Amendment No. 1
of
MA 5600 NA180000076
for
Contract Management and Development System
between
Dulles Technology Partners, Inc. ("Contractor")
and the
City of Austin

1.0 The City hereby amends this Contract by modifying the Scope of Work to remove the Legacy Data Migration at $10,000 annually and add a Test Server at $6,600 annually. Scope of Work attached hereto.

Term	Action Amount	Total Contract Amount
Initial Term: 03/22/18 – 03/21/21	$134,600	$134,600
Amendment No. 1: SOW Modification	$0.00	$134,600

2.0 MBE/WBE goals were not established for this contract.

3.0 By signing this Amendment the Contractor certifies that the Contractor and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the General Services Administration (GSA) List of Parties Excluded from Federal Procurement and Non-Procurement Programs, the State of Texas, or the City of Austin.

4.0 All other terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced contract.

Signature: ______

Date: 4/16/19

Printed Name: Tom Nyilasi
Authorized Representative

Dulles Technology Partners, Inc.
817 Larch Valley Ct.
Leesburg, VA 20176

Signature: Elisa Folco

Date: 4/16/2019

Elisa Folco
Procurement Specialist IV

City of Austin
Purchasing Office
124 W. 8th Street, Suite 310
Austin, TX 78701

Dulles
Technology
Partners

Statement of Work
Austin Public Health
Grant Management Software

Prepared by
Dulles Technology Partners Inc (DTPi)
817 Larch Valley Ct.
Leesburg, VA 20176
Phone: 703.623.2128
Email: tom.nyilasi@dullestech.com

February 28, 2019

1 Scope of Work

1.1 Project Description

Dulles Technology Partners Inc. (DTPi) will set up and maintain a test server for Austin Public Health (APH). This server will mirror the data and processes established on the production server. DTPi will also from time to time, at the direction of APH, load data from the production server onto the test server.

1.2 DTPi Hosting

DTPi will host the test server in the Amazon AWS environment. The costs for this new server are detailed below.

Recurring Costs	Occurs Every	Cost	Annual
Standard WebGrants Hosting	Monthly	$ 550	$ 6,600
	Total:	**$ 550**	**$ 6,600**

1.3 Change Orders

A blended hourly rate of $125 dollars will be used when performing change orders during project implementation.

1.4 Miscellaneous Provisions

- APH will provide adequate on-site resources (computer access, telephone, workstation access, access to key personnel, documentation, data, etc.) to support on-going project activities.
- APH personnel will be available to facilitate project activities including: requirement analysis, design, User Acceptance Testing, deliverable review and approval, etc.

1.5 Points of Contact

Dulles Technology Partners Inc.

Mr. Tom Nyilasi

Principal

Phone: 703.623.2128

Fax: 703.783.0667

Email: tom.nyilasi@dullestech.com

Mr. Atif Shah

Principal

Phone: 703.626.7405

Fax: 703.783.0667

Email: atif.shah@dullestech.com

2 SOW Acceptance Acknowledgement

Pursuant to the above referenced DTPi Statement of Work and associated DTPI Master Agreement and Professional Services Addendum, APH hereby acknowledges that the described services be initiated.

SOW Details	
SOW Number	APH2019-001
Title	Grant Management Software
Start Date	TBD
End Date	TBD

DTPi SOW Acceptance

Signature

Name	Tom Nyilasi
Title	Principal
Date	

APH SOW Acceptance

Signature

Name	
Title	
Date	

Dulles Technology
PARTNERS

577 Larch Valley Ct
Leesburg VA 20175
703-823-2128
www.dullestech.com

April 5, 2019

Austin Public Health
7201 Levander Loop
Austin, TX 78702
Phone: 512-972-5000

Dear Sir or Madam:

Austin Public Health has indicated to Dulles Technology Partners Inc. that the Legacy Data Migration line item for $10,000 on the WebGrants implementation project contract number PR16-050 will not be executed and will therefore be removed from the contract.

In addition, Austin Public Health would like to add an additional Test Server to this project for an annual cost of $6,600.

Therefore, DTPi authorizes Austin Public Health to transfer $6,600 from the Legacy Data Migration line item to the new Test Server line item on this contract. The remaining $3,400 can be deleted from the contract.

Sincerely,

Tom Nyilasi
Principal
Dulles Technology Partners
tom.nyilasi@dullestech.com
703-823-2128
703-783-0667 fax

CONTRACT BETWEEN THE CITY OF AUSTIN ("City")
AND
DULLES TECHNOLOGY PARTNERS INC. ("Contractor")
FOR
CONTRACT MANAGEMENT AND DEVELOPMENT SYSTEM

CONTRACT NUMBER: MA 5600 NA180000076

The City accepts the Contractor's Offer (as referenced in Section 1.1.3 below) for the above requirement and enters into the following Contract.

This Contract is between Dulles Technology Partners Inc. having offices at 817 Larch Valley Ct, Leesburg, VA 20176 and the City, a home-rule municipality incorporated by the State of Texas, and is effective as of the date executed by the City ("Effective Date").

Capitalized terms used but not defined herein have the meanings given them in Solicitation Number RFP 9100 ELF0302.

1.1 **<u>This Contract is composed of the following documents:</u>**

1.1.1 This Contract

1.1.2 The City's Solicitation, Request for Proposal, RFP 9100 ELF0302 including all documents incorporated by reference

1.1.3 Dulles Technology Partners Inc. Offer, dated September 14, 2017, including subsequent clarifications

1.2 **<u>Order of Precedence</u>.** Any inconsistency or conflict in the Contract documents shall be resolved by giving precedence in the following order:

1.2.1 This Contract

1.2.2 The City's Solicitation as referenced in Section 1.1.2, including all documents incorporated by reference

1.2.3 The Contractor's Offer as referenced in Section 1.1.3, including subsequent clarifications.

1.3 **<u>Term of Contract.</u>** The Contract shall commence upon execution (Date executed by City), unless otherwise specified, and shall remain in effect for an initial term of 36 months. The Contract may be extended automatically beyond the initial term for up to 2 additional 12 month periods at the City's sole option unless the Contractor is notified in writing no less than 30 days prior to the contract's expiration.

1.3.1.1 If the City exercises any extension option, all terms, conditions, and provisions of the Contract shall remain in effect for that extension period, subject only to any economic price adjustment otherwise allowed under the Contract.

1.3.1.2 Upon expiration of the initial term or any period of extension, the Contractor agrees to hold over under the terms and conditions of this Contract for such a period of time as is reasonably necessary for the City to re-solicit and/or complete the deliverables due under the Contract (not to exceed 120 calendar days unless mutually agreed to in writing).

1.4 **Compensation.** The Contractor shall be paid a total Not-to-Exceed amount of $134,600 for the initial Contract term and $14,400 for extension option 1 and $14,400 for extension option 2. Payment shall be made upon successful completion of services or delivery of goods as outlined in each individual Delivery Order.

1.5 **Quantity of Work.** There is no guaranteed quantity of work for the period of the Contract and there are no minimum order quantities. Work will be on an as needed basis as specified by the City for each Delivery Order

1.6 **Clarifications and Additional Agreements.** The following are incorporated into the Contract.

1.6.1 It is Dulles responsibility to keep any 3rd party security certificate(s) current.

1.6.2 Passwords are required to be hashed or encrypted.

1.6.3 Passwords are required to be masked by default.

1.6.4 Active Directory Federation Services (ADFS) is required.

This Contract (including any Exhibits) constitutes the entire agreement of the parties regarding the subject matter of this Contract and supersedes all prior and contemporaneous agreements and understandings, whether written or oral, relating to such subject matter. This Contract may be altered, amended, or modified only by a written instrument signed by the duly authorized representatives of both parties.

In witness whereof, the parties have caused a duly authorized representative to execute this Contract on the date set forth below.

DULLES TECHNOLOGY PARTNERS INC.	**CITY OF AUSTIN**
Tom Nyilasi	Elisa Folco
Printed Name of Authorized Person	Printed Name of Authorized Person
	Elisa Folco
Signature	Signature
Principal	Procurement Specialist IV
Title:	Title:
3/2/18	3/22/2018
Date:	Date:

The undersigned, by his/her signature, represents that he/she is submitting a binding offer and is authorized to bind the respondent to fully comply with the solicitation document contained herein. The Respondent, by submitting and signing below, acknowledges that he/she has received and read the entire document packet sections defined above including all documents incorporated by reference, and agrees to be bound by the terms therein.

Company Name: Dulles Technology Partners Inc.

Company Address: 817 Larch Valley ct

City, State, Zip: Leesburg VA 20176

Federal Tax ID No.

Printed Name of Officer or Authorized Representative: Tom Nyilasi

Title: Principal

Signature of Officer or Authorized Representative:

Date: 9/15/17

Email Address: tom.nyilasi@dullestech.com

Phone Number: 703-623-2128

*** Proposal response must be submitted with this signed Offer sheet to be considered for award**

ADDENDUM
REQUEST FOR PROPOSAL
CITY OF AUSTIN, TEXAS

RFP: ELF0302 **Addendum No: 1** **Date of Addendum: 08/15/2017**

This addendum is incorporating the following changes, questions and answers to the above-referenced RFP.

1. Question:
Does the City want a custom-developed application, built to their requirements list? Or, does the City prefer an existing Contract Management and Development system that may be modified to meet their needs?

Answer:
A configurable COTS system would be preferred over a 100% custom solution if it can be modified to meet the City's requirements.

2. Question:
Can companies outside the USA participate in this solicitation?

Answer:
Yes.

3. Question:
Will vendors need to come to the USA for meetings?

Answer:
Yes.

4. Question:
Can vendors perform tasks, related to the RFP, outside the USA?

Answer:
Yes, as long as the vendor can meet all requirements included within the solicitation.

5. Question:
Can vendors submit proposals via email?

Answer:
No.

6. Question:
Regarding outside access, what access is required and what activities are required?

Answer:
Outside (not within the COA (city of Austin)) access is granted by system administrator to Executive Director of non-profit organization seeking city funding. Executive director, thereafter, assigns/edits additional outside users from within own organization based on roles and responsibilities within organization (i.e., currently ED, CFO, Program, and Agency level personnel).

Activities for authorized users are based on roles, responsibilities and scope of workflow assigned by Executive Director (external) or COA unit supervisor (internal). Activities are roughly based in accordance with form category types (e.g., Agency, Application, Contract Development, Programmatic Invoicing and Performance, Contract Closeout, etc.).

7. Question:
Will only outside organizations do the contract development?

Answer:
No. Both outside and inside users will utilize solution to do contract development.

Outside organizations will be permitted to compete application forms. If organization is considered for funding, these forms, plus additional forms will be used to negotiate contractual language. Once contractual terms, conditions, and exhibits are agreed and approved by both parties, content from webforms are printed through a business intelligence interface in COA-ready, contractually-approved format and routed for physical signature.

8. Question:
Are the invoicing and accounting requirements mandatory?

Answer:
Strongly Preferred. Excluding will require significant workflow changes/challenges for both internal and external users.

9. Question:
Does the City have a separate system to handle invoices and will both systems need to work together?

Answer:
City has its own financial system, however, no effort currently exists to interface the City financial system with this solution.

The solution will need to print content from the web form through a business intelligence interface and a City of Austin ready-approved form.

10. Question:
Are there any other City systems that this solution will need to integrate with?

Answer:
City currently has no intention to interface this solution with any of its other systems.

11. Question:
How many outside organizations will need to use this solution?

Answer:
Approximately 140 outside organizations currently use the system. Most are active, a lesser amount are inactive. The inactive organizations remain due to records' retention policies.

Each organization will have approximately 4-10 outside users.

12. Question:
The solicitation states it will take about 1 year to roll out. Is there a hard date that the current system shuts down?

Answer:
The current contract for the existing system is set to expire in September 2018. The City is currently considering amending this contract expiration date to roughly coincide with the full roll-out of the proven, new solution.

13. Question:
Is there a deadline for vendor questions?

Answer:
Yes. The deadline for vendor questions is 08-23-2017.

14. ALL OTHER TERMS AND CONDITIONS REMAIN THE SAME.

BY THE SIGNATURES affixed below, this Addendum is hereby incorporated into and made a part of the above-referenced Invitation for Bid.

APPROVED BY:

Elisa Folco, Contract Management Specialist IV
Purchasing Office

Date:
08/15/17

ACKNOWLEDGED BY:

DTPi
Vendor Name

Authorized Signature

9/15/17
Date

RETURN A COPY OF THIS ADDENDUM to the City of Austin Purchasing Office with your proposal. Failure to do so may constitute grounds for rejection of your offer.

ADDENDUM
REQUEST FOR PROPOSAL
CITY OF AUSTIN, TEXAS

RFP: ELF0302 **Addendum No: 2** **Date of Addendum: 09/05/2017**

This addendum is incorporating the following changes, questions and answers to the above-referenced RFP.

1. The City hereby has extended the solicitation bid due date to 09/19/17 at 2:00 pm, local time.

Bid Due Prior To:	**09/19/17 at 2:00 pm, local time**
Bid Opening Time and Date:	**09/19/17 at 3:00 pm, local time**

2. Question:
The RFP requires that offerors provide five (5) references for the "same or similar services." If we are responding with a subcontracting partner with extensive experience implementing contract management solutions, will the City accept a total of five (5) references from both Prime and Sub?

Answer:
The City will accept either Prime or Sub as long as the scope of work matches the City's proposal.

3. Question:
Is the City expecting line-level time/cost estimates to each of the requirement #'s in the red tables?

Answer:
The City is requiring responses to Appendices B – D contained within the solicitation.

4. Question:
Will a static development stack be provided?

Answer:
No, the City expects the vendor to provide a stack to support an application that meets City requirements. The City is looking for a SaaS or hosted solution accessible from the internet.

5. Question:
As far as UI/UX design, there are sample screens from the current workflows, but there is no indication if the City will be providing mock-ups. Should the proposed team solution be capable of creating those?

Answer:
Yes, the vendor will provide a product that meets the City's requirements. The City will not dictate screen layouts via mock-ups.

6. Question:
It is not specifically stated, but it is made to seem that at least some users (Contract managers, etc.) will be using this form remotely. Please confirm.

Answer:
Yes, the application will be used on a variety of browsers (i.e. Chrome, IE, Edge, Safari, Firefox)

6.a Question:
As such, will the application be used on Wi-Fi / digital capable laptops or pad/phone devices?

Answer:
Windows OS laptops or iOS tablets/phones could be used.

6.b Question:
And what, if any, responsive web design implications this may have on the application?

Answer:
The application should be responsive.

7. How will security for the application be handled? We would presume that the City has an in-place LDAP server. If not, would we need to create the security login mechanism from scratch?

Answer:
The City does have Active Directory for LDAP services for City staff, but the external agencies are not in the City's LDAP. The vendor should create an authentication mechanism that meets the requirements.

8. ALL OTHER TERMS AND CONDITIONS REMAIN THE SAME.

BY THE SIGNATURES affixed below, this Addendum is hereby incorporated into and made a part of the above-referenced Invitation for Bid.

APPROVED BY:	Elisa Folco, Contract Management Specialist IV Purchasing Office	Date: 09/05/17

ACKNOWLEDGED BY:

DTRi		9/15/17
Vendor Name	Authorized Signature	Date

RETURN A COPY OF THIS ADDENDUM to the City of Austin Purchasing Office with your proposal. Failure to do so may constitute grounds for rejection of your offer.

ADDENDUM
REQUEST FOR PROPOSAL
CITY OF AUSTIN, TEXAS

RFP: ELF0302 **Addendum No: 3** **Date of Addendum: 09/12/2017**

This addendum is incorporating the following changes, questions and answers to the above-referenced RFP.

1. Question:
Is there a dollar range for this contract? – the highest/lowest dollar amount the proposed bid can be?

Answer:
No

2. Question:
Are there any more pre-offer meetings?

Answer:
No

3. Question:
Solicitation states that Insurance is required? – what kind of insurance?

Answer:
Insurance requirements are defined in Section 0400, Section 2 – Insurance

4. Question:
Does the company have to be in Business for a certain amount of time? – I started my IT Services company March 2016

Answer:
No

5. Question:

Category 4, Requirement 5 – Functional Requirements

The performance goal output is a single number, which is good, and the outcome performance metric appears to be two metrics. Can we get more specification on this?

Answer:
Outcome based performance measures are rate based measures calculating the impact of a program. The intent is to measure the performance and variance of three key factors including: factors that contribute to the numerator, factors that contribute to the denominator and the calculated rate; where rate is defined as the numerator divided by the denominator. A more concrete example would be the measuring the percent of households that transition from homelessness where the measure's rate is defined by the number of households that transition divided by the number of households exiting the program.

6. Question:

Category 5, Requirement 7 – Technical Requirements

The app must be able to perform mass changes to "transactions". The requirement then states the user may need to replace globally replace textual items.

We think the "transactions" may be rules that can be created and edited by the user. But we are not sure, and we are asking for clarification.

Furthermore, these rules appear to edit (find and replace, for example) text or sections of text that may be part of documents stored or created in the system. We would like clarification on this statement as well.

Answer:
Over the lifetime of a program there are needs to change terminology available in the system. The system will need to provide a mechanism for updating terminology without negatively impacting that existing data. For example the program may need to add Puerto Rico as a new state or more commonly change the value of a state from TX to Texas in a way that cascades the changes to the existing data.

7. ALL OTHER TERMS AND CONDITIONS REMAIN THE SAME.

BY THE SIGNATURES affixed below, this Addendum is hereby incorporated into and made a part of the above-referenced Invitation for Bid.

APPROVED BY:

Elisa Folco, Contract Management Specialist IV
Purchasing Office

Date:
09/12 /17

ACKNOWLEDGED BY:

DTRi		9/15/17
Vendor Name	Authorized Signature	Date

RETURN A COPY OF THIS ADDENDUM to the City of Austin Purchasing Office with your proposal. Failure to do so may constitute grounds for rejection of your offer.

ADDENDUM
REQUEST FOR PROPOSAL
CITY OF AUSTIN, TEXAS

RFP: ELF0302 **Addendum No: 4** **Date of Addendum: 09/18/2017**

This addendum is incorporating the following changes, questions and answers to the above-referenced RFP.

1. The City hereby has extended the solicitation bid due date to 10/03/17 at 2:00 pm, local time.

   Bid Due Prior To: **10/03/17 at 2:00 pm, local time**
   Bid Opening Time and Date: **10/03/17 at 3:00 pm, local time**

2. Question:
   In 2.1.1 Table A Technical Reference Model, the City of Austin's Data Management Standards include Oracle and Microsoft SQL Server. My firm, MongoDB, offers an alternative database to these solutions, so it was unclear to me whether we would be eligible to submit, given it is outside the Standard.

   I apologize if I was incorrect in my understanding. Can you please confirm whether my understanding was correct for the future and if there is a process to review MongoDB as a Standard?

   Answer:
   Because the City of Austin is purchasing a SaaS solution with a Service Level Agreement and data ownership and export rights, the vendor can use MongoDB or any other database back-end for the solution.

3. ALL OTHER TERMS AND CONDITIONS REMAIN THE SAME.

BY THE SIGNATURES affixed below, this Addendum is hereby incorporated into and made a part of the above-referenced Invitation for Bid.

APPROVED BY:

Elisa Folco, Contract Management Specialist IV
Purchasing Office

Date:
09/18/17

ACKNOWLEDGED BY:

DTRi
Vendor Name

Authorized Signature

3/27/18
Date

<u>RETURN A COPY OF THIS ADDENDUM</u> to the City of Austin Purchasing Office with your proposal. Failure to do so may constitute grounds for rejection of your offer.

ADDENDUM
REQUEST FOR PROPOSAL
CITY OF AUSTIN, TEXAS

RFP: ELF0302 **Addendum No: 5** **Date of Addendum: 09/28/2017**

This addendum is incorporating the following changes, questions and answers to the above-referenced RFP.

1. City hereby replaces Section 0400, Supplemental Purchase Provisions, Living Wages with:

   LIVING WAGES:

   A. The minimum wage required for any Contractor employee directly assigned to this City Contract is **$14.00** per hour, unless Published Wage Rates are included in this solicitation. In addition, the City may stipulate higher wage rates in certain solicitations in order to assure quality and continuity of service.

   B. The City requires Contractors submitting Offers on this Contract to provide a certification **(see the Living Wages Contractor Certification included in the Solicitation)** with their Offer certifying that all employees directly assigned to this City Contract will be paid a minimum living wage equal to or greater than **$14.00** per hour. The certification shall include a list of all employees directly assigned to providing services under the resultant contract including their name and job title. The list shall be updated and provided to the City as necessary throughout the term of the Contract.

   C. The Contractor shall maintain throughout the term of the resultant contract basic employment and wage information for each employee as required by the Fair Labor Standards Act (FLSA).

   D. The Contractor shall provide to the Department's Contract Manager with the first invoice, individual Employee Certifications for all employees directly assigned to the contract. The City reserves the right to request individual Employee Certifications at any time during the contract term. Employee Certifications shall be signed by each employee directly assigned to the contract. The Employee Certification form is available on-line at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm.

   E. Contractor shall submit employee certifications annually on the anniversary date of contract award with the respective invoice to verify that employees are paid the Living Wage throughout the term of the contract. The Employee Certification Forms shall be submitted for employees added to the contract and/or to report any employee changes as they occur.

   F. The Department's Contract Manager will periodically review the employee data submitted by the Contractor to verify compliance with this Living Wage provision. The City retains the right to review employee records required in paragraph C above to verify compliance with this provision.

2. The City hereby replaces Section 0815, Living Wages Contractor Certification, attached hereto. The Living Wage has changed from $13.50 to $14.00 per hour.
   Vendor shall submit the attached Section 0815 with their bid proposal.

3. Question:
   Our head office in Houston handles all administration and management. We have a branch in Austin at Wells Branch, 78728 out of which we provide localized support. This location provide service to this implementation. Is this considered within Austin's corporate limits?

Answer:
The City uses GIS Web Map to determine if a business address falls within the Corporate City Limits. For additional details regarding Local Business Presence, please see Section No. 0600, Proposal Preparation Instructions and Evaluation Factors and Section No. 0605, Local Business Presence Identification.

4. Question:
We are not using a subcontracting firm, but plan to hire Austin-based local consultants to provide added implementation/support to this project if awarded. Should we fill out section 0905 labeled 'SubContracting/Sub-Consulting' and checking off items 'Advertise and Use a Community Organization on page 17 of the PDF? We do plan to use both channels. Or is section 0905 purely for subcontracting only.

Answer:
Please contact SMBR directly at 512-974-7600 or SMBRComplianceDocuments@austintexas.gov for any questions regarding Section No. 0900, Subcontracting/Sub-Consulting Utilization Form, or Section No. 0905, Subcontracting/Sub-Consulting Utilization Plan.

5. ALL OTHER TERMS AND CONDITIONS REMAIN THE SAME.

BY THE SIGNATURES affixed below, this Addendum is hereby incorporated into and made a part of the above-referenced Invitation for Bid.

APPROVED BY:

Elisa Folco, Contract Management Specialist IV
Purchasing Office

Date:
09/28/17

ACKNOWLEDGED BY:

DTRi		3/27/18
Vendor Name	Authorized Signature	Date

RETURN A COPY OF THIS ADDENDUM to the City of Austin Purchasing Office with your proposal. Failure to do so may constitute grounds for rejection of your offer.

Section 0815
CITY OF AUSTIN, TEXAS
LIVING WAGES CONTRACTOR CERTIFICATION
(*Please duplicate as needed*)

Pursuant to the Living Wages provision (reference Section 0400, Supplemental Purchase Provisions) the Contractor is required to pay to all employees of the Prime Contractor and all tiers of subcontracting directly assigned to this City contract a minimum Living Wage equal to or greater than $14.00 per hour.

(1) The below listed employees of the Contractor who are directly assigned to this contract are compensated at wage rates equal to or greater than $14.00 per hour:

Employee Name	Employer	Prime or Sub	Your Normal Rate	Employee Job Title

(2) all future employees assigned to this Contract will be paid a minimum Living Wage equal to or greater than $14.00 per hour.

(3) Our firm will not retaliate against any employee claiming non-compliance with the Living Wage provision.

A Contractor who violates this Living Wage provision shall pay each affected employee the amount of the deficiency for each day the violation continues. Willful or repeated violations of the provision or fraudulent statements made on this certification may result in termination of this Contract for Cause, subject the firm to possible suspension or debarment, or result in legal action.

I hereby certify that all the listed employees of the Contractor who are directly assigned to this contract are paid a minimum Living Wage equal to or greater than $14.00 per hour.

Contractor's Name: DSP:

Signature of Officer or Authorized Representative: Date: 3/27/18

Printed Name: Tom Nyilasi

Title Principal

ADDENDUM
REQUEST FOR PROPOSAL
CITY OF AUSTIN, TEXAS

RFP: ELF0302 **Addendum No: 6** **Date of Addendum: 09/29/2017**

This addendum is incorporating the following changes, questions and answers to the above-referenced RFP.

1. Question:
Please confirm that we can supply the narrative responses in a spreadsheet for tabs 2, 3, 4 and others that are not already included in City of Austin-provided spreadsheets.

   Answer:
   Vendors must supply narrative responses in the column E cells labeled "Vendor Response" that correspond with each requirement.

2. Question:
Could we use a Word document to present additional supporting information that is limiting to include in spreadsheets, such as timeline charts, organization and other narratives.

   Answer:
   Yes, you can use a Word document to present additional supporting information that is limiting to include in spreadsheets, such as timeline charts, organization and other narratives.

3. Question:
Are you able to share the objective to replace CIODM, besides existing current due to expiration in a year. Does the current system have technical or scalability limitations? Is City firm on installing a new system, or could it continue to use CIODM as part of a renegotiated deal in lieu of new system?

   Answer:
   The City is exploring the marketplace for a new solution based on current technology. Yes, the City is firm on installing a new system.

4. Question:
Has City assessed any vendor solutions prior to RFP issuance? What was the outcome and who is/are vendors?

   Answer:
   This RFP is the City's method for assessing a new solution.

5. Question:
On the solicitation it specifies a few addresses, could you please clarify which address we should send our proposal to?

   Answer:
   Mail your proposal to: Municipal Building, 124 W 8th Street, Rm 308, Austin, Texas 78701.
   All bids are due prior to 2:00 pm Local Time on 10/3/17

6. Question:
The RFP - Offer Sheet document has 111 pages. Is it required that the entire document be filled out and printed out, or are there specific pages that are required. Just verifying that I am including the right things in the bid submittal process.

Answer:
You must complete and return the following with your proposal:

Offer Sheet – Page 4
Section 0605 - Local Business Presence
Section 0700 – Reference Sheet
Section 0800 – Non Discrimination and Non Retaliation Certification
Section 0815 – Living Wages Contractor Certification
Section 0835 – Non Resident Bidder Provisions
Section 0900 – Subcontracting / Sub Consulting Utilization Form (please contact SMBR to ensure you fill out this form correctly)
Section 0905 –Subcontracting / Sub Consulting Utilization Plan (if applicable) (please contact SMBR to ensure you fill out this form correctly)
Price Proposal Form
Proposal Exception Form (if applicable)
Appendices B - D

7. ALL OTHER TERMS AND CONDITIONS REMAIN THE SAME.

BY THE SIGNATURES affixed below, this Addendum is hereby incorporated into and made a part of the above-referenced Invitation for Bid.

APPROVED BY: Elisa Folco, Contract Management Specialist IV, Purchasing Office — Date: 09/29/17

ACKNOWLEDGED BY:

DTPi		3/27/18
Vendor Name	Authorized Signature	Date

RETURN A COPY OF THIS ADDENDUM to the City of Austin Purchasing Office with your proposal. Failure to do so may constitute grounds for rejection of your offer.

CITY OF AUSTIN
PURCHASING OFFICE
STANDARD PURCHASE TERMS AND CONDITIONS

By submitting an Offer in response to the Solicitation, the Contractor agrees that the Contract shall be governed by the following terms and conditions. Unless otherwise specified in the Contract, Sections 3, 4, 5, 6, 7, 8, 20, 21, and 36 shall apply only to a Solicitation to purchase Goods, and Sections 9, 10, 11 and 22 shall apply only to a Solicitation to purchase Services to be performed principally at the City's premises or on public rights-of-way.

1. **CONTRACTOR'S OBLIGATIONS**. The Contractor shall fully and timely provide all Deliverables described in the Solicitation and in the Contractor's Offer in strict accordance with the terms, covenants, and conditions of the Contract and all applicable Federal, State, and local laws, rules, and regulations.

2. **EFFECTIVE DATE/TERM**. Unless otherwise specified in the Solicitation, this Contract shall be effective as of the date the contract is signed by the City, and shall continue in effect until all obligations are performed in accordance with the Contract.

3. **CONTRACTOR TO PACKAGE DELIVERABLES**: The Contractor will package Deliverables in accordance with good commercial practice and shall include a packing list showing the description of each item, the quantity and unit price Unless otherwise provided in the Specifications or Supplemental Terms and Conditions, each shipping container shall be clearly and permanently marked as follows: (a) The Contractor's name and address, (b) the City's name, address and purchase order or purchase release number and the price agreement number if applicable, (c) Container number and total number of containers, e.g. box 1 of 4 boxes, and (d) the number of the container bearing the packing list. The Contractor shall bear cost of packaging. Deliverables shall be suitably packed to secure lowest transportation costs and to conform with requirements of common carriers and any applicable specifications. The City's count or weight shall be final and conclusive on shipments not accompanied by packing lists.

4. **SHIPMENT UNDER RESERVATION PROHIBITED**: The Contractor is not authorized to ship the Deliverables under reservation and no tender of a bill of lading will operate as a tender of Deliverables.

5. **TITLE & RISK OF LOSS**: Title to and risk of loss of the Deliverables shall pass to the City only when the City actually receives and accepts the Deliverables.

6. **DELIVERY TERMS AND TRANSPORTATION CHARGES**: Deliverables shall be shipped F.O.B. point of delivery unless otherwise specified in the Supplemental Terms and Conditions. Unless otherwise stated in the Offer, the Contractor's price shall be deemed to include all delivery and transportation charges. The City shall have the right to designate what method of transportation shall be used to ship the Deliverables. The place of delivery shall be that set forth in the block of the purchase order or purchase release entitled "Receiving Agency".

7. **RIGHT OF INSPECTION AND REJECTION**: The City expressly reserves all rights under law, including, but not limited to the Uniform Commercial Code, to inspect the Deliverables at delivery before accepting them, and to reject defective or non-conforming Deliverables. If the City has the right to inspect the Contractor's, or the Contractor's Subcontractor's, facilities, or the Deliverables at the Contractor's, or the Contractor's Subcontractor's, premises, the Contractor shall furnish, or cause to be furnished, without additional charge, all reasonable facilities and assistance to the City to facilitate such inspection.

8. **NO REPLACEMENT OF DEFECTIVE TENDER**: Every tender or delivery of Deliverables must fully comply with all provisions of the Contract as to time of delivery, quality, and quantity. Any non-complying tender shall constitute a breach and the Contractor shall not have the right to substitute a conforming tender; provided, where the time for performance has not yet expired, the Contractor may notify the City of the intention to cure and may then make a conforming tender within the time allotted in the contract.

9. **PLACE AND CONDITION OF WORK**: The City shall provide the Contractor access to the sites where the Contractor is to perform the services as required in order for the Contractor to perform the services in a timely and efficient manner, in accordance with and subject to the applicable security laws, rules, and regulations. The Contractor acknowledges that it has satisfied itself as to the nature of the City's service requirements and specifications, the location and essential characteristics of the work sites, the quality and quantity of materials, equipment, labor and facilities necessary to perform the services, and any other condition or state of fact which could in any way affect performance of the Contractor's obligations under the contract. The Contractor hereby releases and holds the City

harmless from and against any liability or claim for damages of any kind or nature if the actual site or service conditions differ from expected conditions.

10. **WORKFORCE**

A. The Contractor shall employ only orderly and competent workers, skilled in the performance of the services which they will perform under the Contract.

B. The Contractor, its employees, subcontractors, and subcontractor's employees may not while engaged in participating or responding to a solicitation or while in the course and scope of delivering goods or services under a City of Austin contract or on the City's property .

i. use or possess a firearm, including a concealed handgun that is licensed under state law, except as required by the terms of the contract; or
ii. use or possess alcoholic or other intoxicating beverages, illegal drugs or controlled substances, nor may such workers be intoxicated, or under the influence of alcohol or drugs, on the job.

C. If the City or the City's representative notifies the Contractor that any worker is incompetent, disorderly or disobedient, has knowingly or repeatedly violated safety regulations, has possessed any firearms, or has possessed or was under the influence of alcohol or drugs on the job, the Contractor shall immediately remove such worker from Contract services, and may not employ such worker again on Contract services without the City's prior written consent.

11. **COMPLIANCE WITH HEALTH, SAFETY, AND ENVIRONMENTAL REGULATIONS**: The Contractor, its Subcontractors, and their respective employees, shall comply fully with all applicable federal, state, and local health, safety, and environmental laws, ordinances, rules and regulations in the performance of the services, including but not limited to those promulgated by the City and by the Occupational Safety and Health Administration (OSHA). In case of conflict, the most stringent safety requirement shall govern. The Contractor shall indemnify and hold the City harmless from and against all claims, demands, suits, actions, judgments, fines, penalties and liability of every kind arising from the breach of the Contractor’s obligations under this paragraph.

12. **INVOICES**:

A. The Contractor shall submit separate invoices in duplicate on each purchase order or purchase release after each delivery. If partial shipments or deliveries are authorized by the City, a separate invoice must be sent for each shipment or delivery made.

B. **Proper Invoices must include a unique invoice number, the purchase order or delivery order number and the master agreement number if applicable, the Department’s Name, and the name of the point of contact for the Department**. Invoices shall be itemized and transportation charges, if any, shall be listed separately. A copy of the bill of lading and the freight waybill, when applicable, shall be attached to the invoice. The Contractor’s name and, if applicable, the tax identification number on the invoice must exactly match the information in the Vendor’s registration with the City. Unless otherwise instructed in writing, the City may rely on the remittance address specified on the Contractor’s invoice.

C. Invoices for labor shall include a copy of all time-sheets with trade labor rate and Deliverables order number clearly identified. Invoices shall also include a tabulation of work-hours at the appropriate rates and grouped by work order number. Time billed for labor shall be limited to hours actually worked at the work site.

D. Unless otherwise expressly authorized in the Contract, the Contractor shall pass through all Subcontract and other authorized expenses at actual cost without markup.

E. Federal excise taxes, State taxes, or City sales taxes must not be included in the invoiced amount. The City will furnish a tax exemption certificate upon request.

13. **PAYMENT**:

A. All proper invoices received by the City will be paid within thirty (30) calendar days of the City's receipt of the Deliverables or of the invoice, whichever is later.

B. **If payment is not timely made, (per paragraph A), interest shall accrue on the unpaid balance at the lesser of the rate specified in Texas Government Code Section 2251.025 or the maximum lawful rate; except, if payment is not timely made for a reason for which the City may withhold payment hereunder, interest shall not accrue until ten (10) calendar days after the grounds for withholding payment have been resolved.**

C. If partial shipments or deliveries are authorized by the City, the Contractor will be paid for the partial shipment or delivery, as stated above, provided that the invoice matches the shipment or delivery.

D. The City may withhold or set off the entire payment or part of any payment otherwise due the Contractor to such extent as may be necessary on account of:

i. delivery of defective or non-conforming Deliverables by the Contractor;
ii. third party claims, which are not covered by the insurance which the Contractor is required to provide, are filed or reasonable evidence indicating probable filing of such claims;
iii. failure of the Contractor to pay Subcontractors, or for labor, materials or equipment;
iv. damage to the property of the City or the City's agents, employees or contractors, which is not covered by insurance required to be provided by the Contractor;
v. reasonable evidence that the Contractor's obligations will not be completed within the time specified in the Contract, and that the unpaid balance would not be adequate to cover actual or liquidated damages for the anticipated delay;
vi. failure of the Contractor to submit proper invoices with all required attachments and supporting documentation; or
vii. failure of the Contractor to comply with any material provision of the Contract Documents.

E. Notice is hereby given of Article VIII, Section 1 of the Austin City Charter which prohibits the payment of any money to any person, firm or corporation who is in arrears to the City for taxes, and of §2-8-3 of the Austin City Code concerning the right of the City to offset indebtedness owed the City.

F. Payment will be made by check unless the parties mutually agree to payment by credit card or electronic transfer of funds. The Contractor agrees that there shall be no additional charges, surcharges, or penalties to the City for payments made by credit card or electronic funds transfer.

G. The awarding or continuation of this contract is dependent upon the availability of funding. The City's payment obligations are payable only and solely from funds Appropriated and available for this contract. The absence of Appropriated or other lawfully available funds shall render the Contract null and void to the extent funds are not Appropriated or available and any Deliverables delivered but unpaid shall be returned to the Contractor. The City shall provide the Contractor written notice of the failure of the City to make an adequate Appropriation for any fiscal year to pay the amounts due under the Contract, or the reduction of any Appropriation to an amount insufficient to permit the City to pay its obligations under the Contract. In the event of non or inadequate appropriation of funds, there will be no penalty nor removal fees charged to the City.

14. **TRAVEL EXPENSES**: All travel, lodging and per diem expenses in connection with the Contract for which reimbursement may be claimed by the Contractor under the terms of the Solicitation will be reviewed against the City's Travel Policy as published and maintained by the City's Controller's Office and the Current United States General Services Administration Domestic Per Diem Rates (the "Rates") as published and maintained on the Internet at:

http://www.gsa.gov/portal/category/21287

No amounts in excess of the Travel Policy or Rates shall be paid. All invoices must be accompanied by copies of detailed itemized receipts (e.g. hotel bills, airline tickets). No reimbursement will be made for expenses not actually incurred. Airline fares in excess of coach or economy will not be reimbursed. Mileage charges may not exceed the amount permitted as a deduction in any year under the Internal Revenue Code or Regulations.

15. **FINAL PAYMENT AND CLOSE-OUT**:

A. If an MBE/WBE Program Compliance Plan is required by the Solicitation, and the Contractor has identified Subcontractors, the Contractor is required to submit a Contract Close-Out MBE/WBE Compliance Report to the Project manager or Contract manager no later than the 15th calendar day after completion of all work under the contract. Final payment, retainage, or both may be withheld if the Contractor is not in compliance with the requirements of the Compliance Plan as accepted by the City.

B. The making and acceptance of final payment will constitute:

i. a waiver of all claims by the City against the Contractor, except claims (1) which have been previously asserted in writing and not yet settled, (2) arising from defective work appearing after final inspection, (3) arising from failure of the Contractor to comply with the Contract or the terms of any warranty specified herein, (4) arising from the Contractor's continuing obligations under the Contract, including but not limited to indemnity and warranty obligations, or (5) arising under the City's right to audit; and
ii. a waiver of all claims by the Contractor against the City other than those previously asserted in writing and not yet settled.

16. **SPECIAL TOOLS & TEST EQUIPMENT**: If the price stated on the Offer includes the cost of any special tooling or special test equipment fabricated or required by the Contractor for the purpose of filling this order, such special tooling equipment and any process sheets related thereto shall become the property of the City and shall be identified by the Contractor as such.

17. **AUDITS and RECORDS**:

A. The Contractor agrees that the representatives of the Office of the City Auditor or other authorized representatives of the City shall have access to, and the right to audit, examine, or reproduce, any and all records of the Contractor related to the performance under this Contract. The Contractor shall retain all such records for a period of three (3) years after final payment on this Contract or until all audit and litigation matters that the City has brought to the attention of the Contractor are resolved, whichever is longer. The Contractor agrees to refund to the City any overpayments disclosed by any such audit.

B. Records Retention:

i. Contractor is subject to City Code chapter 2-11 (Records Management), and as it may subsequently be amended. For purposes of this subsection, a Record means all books, accounts, reports, files, and other data recorded or created by a Contractor in fulfillment of the Contract whether in digital or physical format, except a record specifically relating to the Contractor's internal administration.

ii. All Records are the property of the City. The Contractor may not dispose of or destroy a Record without City authorization and shall deliver the Records, in all requested formats and media, along with all finding aids and metadata, to the City at no cost when requested by the City

iii. The Contractor shall retain all Records for a period of three (3) years after final payment on this Contract or until all audit and litigation matters that the City has brought to the attention of the Contractor are resolved, whichever is longer.

C. The Contractor shall include sections A and B above in all subcontractor agreements entered into in connection with this Contract.

18. **SUBCONTRACTORS**:

A. If the Contractor identified Subcontractors in an MBE/WBE Program Compliance Plan or a No Goals Utilization Plan the Contractor shall comply with the provisions of Chapters 2-9A, 2-9B, 2-9C, and 2-9D, as applicable, of the Austin City Code and the terms of the Compliance Plan or Utilization Plan as approved by the City (the "Plan"). The Contractor shall not initially employ any Subcontractor except as provided in the Contractor's Plan. The Contractor shall not substitute any Subcontractor identified in the Plan, unless the substitute has been accepted by the City in writing in accordance with the provisions of Chapters 2-9A, 2-9B, 2-9C and 2-9D, as applicable. No acceptance by the City of any Subcontractor shall constitute a waiver of any rights or remedies of the City with respect to defective Deliverables provided by a Subcontractor. If a Plan has been approved, the Contractor is additionally required to submit a monthly Subcontract Awards and Expenditures Report to the Contract Manager and the Purchasing Office Contract Compliance Manager no later than the tenth calendar day of each month.

B. Work performed for the Contractor by a Subcontractor shall be pursuant to a written contract between the Contractor and Subcontractor. The terms of the subcontract may not conflict with the terms of the Contract, and shall contain provisions that:

i. require that all Deliverables to be provided by the Subcontractor be provided in strict accordance with the provisions, specifications and terms of the Contract;
ii. prohibit the Subcontractor from further subcontracting any portion of the Contract without the prior written consent of the City and the Contractor. The City may require, as a condition to such further subcontracting, that the Subcontractor post a payment bond in form, substance and amount acceptable to the City;
iii. require Subcontractors to submit all invoices and applications for payments, including any claims for additional payments, damages or otherwise, to the Contractor in sufficient time to enable the Contractor to include same with its invoice or application for payment to the City in accordance with the terms of the Contract;
iv. require that all Subcontractors obtain and maintain, throughout the term of their contract, insurance in the type and amounts specified for the Contractor, with the City being a named insured as its interest shall appear; and
v. require that the Subcontractor indemnify and hold the City harmless to the same extent as the Contractor is required to indemnify the City.

C. The Contractor shall be fully responsible to the City for all acts and omissions of the Subcontractors just as the Contractor is responsible for the Contractor's own acts and omissions. Nothing in the Contract shall create for the benefit of any such Subcontractor any contractual relationship between the City and any such Subcontractor, nor shall it create any obligation on the part of the City to pay or to see to the payment of any moneys due any such Subcontractor except as may otherwise be required by law.

D. The Contractor shall pay each Subcontractor its appropriate share of payments made to the Contractor not later than ten (10) calendar days after receipt of payment from the City.

19. **WARRANTY-PRICE**:

A. The Contractor warrants the prices quoted in the Offer are no higher than the Contractor's current prices on orders by others for like Deliverables under similar terms of purchase.

B. The Contractor certifies that the prices in the Offer have been arrived at independently without consultation, communication, or agreement for the purpose of restricting competition, as to any matter relating to such fees with any other firm or with any competitor.

C. In addition to any other remedy available, the City may deduct from any amounts owed to the Contractor, or otherwise recover, any amounts paid for items in excess of the Contractor's current prices on orders by others for like Deliverables under similar terms of purchase.

20. **WARRANTY – TITLE**: The Contractor warrants that it has good and indefeasible title to all Deliverables furnished under the Contract, and that the Deliverables are free and clear of all liens, claims, security interests and encumbrances. The Contractor shall indemnify and hold the City harmless from and against all adverse title claims to the Deliverables.

21. **WARRANTY – DELIVERABLES**: The Contractor warrants and represents that all Deliverables sold the City under the Contract shall be free from defects in design, workmanship or manufacture, and conform in all material respects to the specifications, drawings, and descriptions in the Solicitation, to any samples furnished by the Contractor, to the terms, covenants and conditions of the Contract, and to all applicable State, Federal or local laws, rules, and regulations, and industry codes and standards. Unless otherwise stated in the Solicitation, the Deliverables shall be new or recycled merchandise, and not used or reconditioned.

    A. Recycled Deliverables shall be clearly identified as such.

    B. The Contractor may not limit, exclude or disclaim the foregoing warranty or any warranty implied by law; and any attempt to do so shall be without force or effect.

    C. Unless otherwise specified in the Contract, the warranty period shall be at least one year from the date of acceptance of the Deliverables or from the date of acceptance of any replacement Deliverables. If during the warranty period, one or more of the above warranties are breached, the Contractor shall promptly upon receipt of demand either repair the non-conforming Deliverables, or replace the non-conforming Deliverables with fully conforming Deliverables, at the City's option and at no additional cost to the City. All costs incidental to such repair or replacement, including but not limited to, any packaging and shipping costs, shall be borne exclusively by the Contractor. The City shall endeavor to give the Contractor written notice of the breach of warranty within thirty (30) calendar days of discovery of the breach of warranty, but failure to give timely notice shall not impair the City's rights under this section.

    D. If the Contractor is unable or unwilling to repair or replace defective or non-conforming Deliverables as required by the City, then in addition to any other available remedy, the City may reduce the quantity of Deliverables it may be required to purchase under the Contract from the Contractor, and purchase conforming Deliverables from other sources. In such event, the Contractor shall pay to the City upon demand the increased cost, if any, incurred by the City to procure such Deliverables from another source.

    E. If the Contractor is not the manufacturer, and the Deliverables are covered by a separate manufacturer's warranty, the Contractor shall transfer and assign such manufacturer's warranty to the City. If for any reason the manufacturer's warranty cannot be fully transferred to the City, the Contractor shall assist and cooperate with the City to the fullest extent to enforce such manufacturer's warranty for the benefit of the City.

22. **WARRANTY – SERVICES**: The Contractor warrants and represents that all services to be provided the City under the Contract will be fully and timely performed in a good and workmanlike manner in accordance with generally accepted industry standards and practices, the terms, conditions, and covenants of the Contract, and all applicable Federal, State and local laws, rules or regulations.

    A. The Contractor may not limit, exclude or disclaim the foregoing warranty or any warranty implied by law, and any attempt to do so shall be without force or effect.

    B. Unless otherwise specified in the Contract, the warranty period shall be at least one year from the Acceptance Date. If during the warranty period, one or more of the above warranties are breached, the Contractor shall promptly upon receipt of demand perform the services again in accordance with above standard at no additional cost to the City. All costs incidental to such additional performance shall be borne by the Contractor. The City shall endeavor to give the Contractor written notice of the breach of warranty within thirty (30) calendar days of discovery of the breach warranty, but failure to give timely notice shall not impair the City's rights under this section.

    C. If the Contractor is unable or unwilling to perform its services in accordance with the above standard as required by the City, then in addition to any other available remedy, the City may reduce the amount of services it may be required to purchase under the Contract from the Contractor, and purchase conforming services from other sources. In such event, the Contractor shall pay to the City upon demand the increased cost, if any, incurred by the City to procure such services from another source.

23. **ACCEPTANCE OF INCOMPLETE OR NON-CONFORMING DELIVERABLES**: If, instead of requiring immediate correction or removal and replacement of defective or non-conforming Deliverables, the City prefers to accept it, the City may do so. The Contractor shall pay all claims, costs, losses and damages attributable to the City's evaluation of and determination to accept such defective or non-conforming Deliverables. If any such acceptance occurs prior to final payment, the City may deduct such amounts as are necessary to compensate the City for the diminished value of the defective or non-conforming Deliverables. If the acceptance occurs after final payment, such amount will be refunded to the City by the Contractor.

24. **RIGHT TO ASSURANCE**: Whenever one party to the Contract in good faith has reason to question the other party's intent to perform, demand may be made to the other party for written assurance of the intent to perform. In the event that no assurance is given within the time specified after demand is made, the demanding party may treat this failure as an anticipatory repudiation of the Contract.

25. **STOP WORK NOTICE**: The City may issue an immediate Stop Work Notice in the event the Contractor is observed performing in a manner that is in violation of Federal, State, or local guidelines, or in a manner that is determined by the City to be unsafe to either life or property. Upon notification, the Contractor will cease all work until notified by the City that the violation or unsafe condition has been corrected. The Contractor shall be liable for all costs incurred by the City as a result of the issuance of such Stop Work Notice.

26. **DEFAULT**: The Contractor shall be in default under the Contract if the Contractor (a) fails to fully, timely and faithfully perform any of its material obligations under the Contract, (b) fails to provide adequate assurance of performance under Paragraph 24, (c) becomes insolvent or seeks relief under the bankruptcy laws of the United States or (d) makes a material misrepresentation in Contractor's Offer, or in any report or deliverable required to be submitted by the Contractor to the City.

27. **TERMINATION FOR CAUSE:**. In the event of a default by the Contractor, the City shall have the right to terminate the Contract for cause, by written notice effective ten (10) calendar days, unless otherwise specified, after the date of such notice, unless the Contractor, within such ten (10) day period, cures such default, or provides evidence sufficient to prove to the City's reasonable satisfaction that such default does not, in fact, exist. The City may place Contractor on probation for a specified period of time within which the Contractor must correct any non-compliance issues. Probation shall not normally be for a period of more than nine (9) months, however, it may be for a longer period, not to exceed one (1) year depending on the circumstances. If the City determines the Contractor has failed to perform satisfactorily during the probation period, the City may proceed with suspension. In the event of a default by the Contractor, the City may suspend or debar the Contractor in accordance with the "City of Austin Purchasing Office Probation, Suspension and Debarment Rules for Vendors" and remove the Contractor from the City's vendor list for up to five (5) years and any Offer submitted by the Contractor may be disqualified for up to five (5) years. In addition to any other remedy available under law or in equity, the City shall be entitled to recover all actual damages, costs, losses and expenses, incurred by the City as a result of the Contractor's default, including, without limitation, cost of cover, reasonable attorneys' fees, court costs, and prejudgment and post-judgment interest at the maximum lawful rate. All rights and remedies under the Contract are cumulative and are not exclusive of any other right or remedy provided by law.

28. **TERMINATION WITHOUT CAUSE**: The City shall have the right to terminate the Contract, in whole or in part, without cause any time upon thirty (30) calendar days' prior written notice. Upon receipt of a notice of termination, the Contractor shall promptly cease all further work pursuant to the Contract, with such exceptions, if any, specified in the notice of termination. The City shall pay the Contractor, to the extent of funds Appropriated or otherwise legally available for such purposes, for all goods delivered and services performed and obligations incurred prior to the date of termination in accordance with the terms hereof.

29. **FRAUD**: Fraudulent statements by the Contractor on any Offer or in any report or deliverable required to be submitted by the Contractor to the City shall be grounds for the termination of the Contract for cause by the City and may result in legal action.

30. **DELAYS**:

A. The City may delay scheduled delivery or other due dates by written notice to the Contractor if the City deems it is in its best interest. If such delay causes an increase in the cost of the work under the Contract, the City and the Contractor shall negotiate an equitable adjustment for costs incurred by the Contractor in the Contract price and execute an amendment to the Contract. The Contractor must assert its right to an adjustment within thirty (30) calendar days from the date of receipt of the notice of delay. Failure to agree on any adjusted price shall be handled under the Dispute Resolution process specified in paragraph 48. However, nothing in this provision shall excuse the Contractor from delaying the delivery as notified.

B. Neither party shall be liable for any default or delay in the performance of its obligations under this Contract if, while and to the extent such default or delay is caused by acts of God, fire, riots, civil commotion, labor disruptions, sabotage, sovereign conduct, or any other cause beyond the reasonable control of such Party. In the event of default or delay in contract performance due to any of the foregoing causes, then the time for completion of the services will be extended; provided, however, in such an event, a conference will be held within three (3) business days to establish a mutually agreeable period of time reasonably necessary to overcome the effect of such failure to perform.

31. **INDEMNITY**:

A. Definitions:

i. "Indemnified Claims" shall include any and all claims, demands, suits, causes of action, judgments and liability of every character, type or description, including all reasonable costs and expenses of litigation, mediation or other alternate dispute resolution mechanism, including attorney and other professional fees for:
(1) damage to or loss of the property of any person (including, but not limited to the City, the Contractor, their respective agents, officers, employees and subcontractors; the officers, agents, and employees of such subcontractors; and third parties); and/or
(2) death, bodily injury, illness, disease, worker's compensation, loss of services, or loss of income or wages to any person (including but not limited to the agents, officers and employees of the City, the Contractor, the Contractor's subcontractors, and third parties),

ii. "Fault" shall include the sale of defective or non-conforming Deliverables, negligence, willful misconduct, or a breach of any legally imposed strict liability standard.

B. **THE CONTRACTOR SHALL DEFEND (AT THE OPTION OF THE CITY), INDEMNIFY, AND HOLD THE CITY, ITS SUCCESSORS, ASSIGNS, OFFICERS, EMPLOYEES AND ELECTED OFFICIALS HARMLESS FROM AND AGAINST ALL INDEMNIFIED CLAIMS DIRECTLY ARISING OUT OF, INCIDENT TO, CONCERNING OR RESULTING FROM THE FAULT OF THE CONTRACTOR, OR THE CONTRACTOR'S AGENTS, EMPLOYEES OR SUBCONTRACTORS, IN THE PERFORMANCE OF THE CONTRACTOR'S OBLIGATIONS UNDER THE CONTRACT. NOTHING HEREIN SHALL BE DEEMED TO LIMIT THE RIGHTS OF THE CITY OR THE CONTRACTOR (INCLUDING, BUT NOT LIMITED TO, THE RIGHT TO SEEK CONTRIBUTION) AGAINST ANY THIRD PARTY WHO MAY BE LIABLE FOR AN INDEMNIFIED CLAIM.**

32. **INSURANCE**: (reference Section 0400 for specific coverage requirements). The following insurance requirement applies. (Revised March 2013).

A. General Requirements.

i. The Contractor shall at a minimum carry insurance in the types and amounts indicated in Section 0400, Supplemental Purchase Provisions, for the duration of the Contract, including extension options and hold over periods, and during any warranty period.

ii. The Contractor shall provide Certificates of Insurance with the coverages and endorsements required in Section 0400, Supplemental Purchase Provisions, to the City as verification of coverage prior to contract execution and within fourteen (14) calendar days after written request from the

City. Failure to provide the required Certificate of Insurance may subject the Offer to disqualification from consideration for award. The Contractor must also forward a Certificate of Insurance to the City whenever a previously identified policy period has expired, or an extension option or hold over period is exercised, as verification of continuing coverage.

iii. The Contractor shall not commence work until the required insurance is obtained and until such insurance has been reviewed by the City. Approval of insurance by the City shall not relieve or decrease the liability of the Contractor hereunder and shall not be construed to be a limitation of liability on the part of the Contractor.

iv. The City may request that the Contractor submit certificates of insurance to the City for all subcontractors prior to the subcontractors commencing work on the project.

v. The Contractor's and all subcontractors' insurance coverage shall be written by companies licensed to do business in the State of Texas at the time the policies are issued and shall be written by companies with A.M. Best ratings of B+VII or better.

vi. The "other" insurance clause shall not apply to the City where the City is an additional insured shown on any policy. It is intended that policies required in the Contract, covering both the City and the Contractor, shall be considered primary coverage as applicable.

vii. If insurance policies are not written for amounts specified in Section 0400, Supplemental Purchase Provisions, the Contractor shall carry Umbrella or Excess Liability Insurance for any differences in amounts specified. If Excess Liability Insurance is provided, it shall follow the form of the primary coverage.

viii. The City shall be entitled, upon request, at an agreed upon location, and without expense, to review certified copies of policies and endorsements thereto and may make any reasonable requests for deletion or revision or modification of particular policy terms, conditions, limitations, or exclusions except where policy provisions are established by law or regulations binding upon either of the parties hereto or the underwriter on any such policies.

ix. The City reserves the right to review the insurance requirements set forth during the effective period of the Contract and to make reasonable adjustments to insurance coverage, limits, and exclusions when deemed necessary and prudent by the City based upon changes in statutory law, court decisions, the claims history of the industry or financial condition of the insurance company as well as the Contractor.

x. The Contractor shall not cause any insurance to be canceled nor permit any insurance to lapse during the term of the Contract or as required in the Contract.

xi. The Contractor shall be responsible for premiums, deductibles and self-insured retentions, if any, stated in policies. Self-insured retentions shall be disclosed on the Certificate of Insurance.

xii. The Contractor shall provide the City thirty (30) calendar days' written notice of erosion of the aggregate limits below occurrence limits for all applicable coverages indicated within the Contract.

xiii. The insurance coverages specified in Section 0400, Supplemental Purchase Provisions, are required minimums and are not intended to limit the responsibility or liability of the Contractor.

B. Specific Coverage Requirements: Specific insurance requirements are contained in Section 0400, Supplemental Purchase Provisions

33. **CLAIMS**: If any claim, demand, suit, or other action is asserted against the Contractor which arises under or concerns the Contract, or which could have a material adverse affect on the Contractor's ability to perform thereunder, the Contractor shall give written notice thereof to the City within ten (10) calendar days after receipt of notice by the

Contractor. Such notice to the City shall state the date of notification of any such claim, demand, suit, or other action; the names and addresses of the claimant(s); the basis thereof; and the name of each person against whom such claim is being asserted. Such notice shall be delivered personally or by mail and shall be sent to the City and to the Austin City Attorney. Personal delivery to the City Attorney shall be to City Hall, 301 West 2nd Street, 4th Floor, Austin, Texas 78701, and mail delivery shall be to P.O. Box 1088, Austin, Texas 78767.

34. **NOTICES**: Unless otherwise specified, all notices, requests, or other communications required or appropriate to be given under the Contract shall be in writing and shall be deemed delivered three (3) business days after postmarked if sent by U.S. Postal Service Certified or Registered Mail, Return Receipt Requested. Notices delivered by other means shall be deemed delivered upon receipt by the addressee. Routine communications may be made by first class mail, telefax, or other commercially accepted means. Notices to the Contractor shall be sent to the address specified in the Contractor's Offer, or at such other address as a party may notify the other in writing. Notices to the City shall be addressed to the City at P.O. Box 1088, Austin, Texas 78767 and marked to the attention of the Contract Administrator.

35. **RIGHTS TO BID, PROPOSAL AND CONTRACTUAL MATERIAL**: All material submitted by the Contractor to the City shall become property of the City upon receipt. Any portions of such material claimed by the Contractor to be proprietary must be clearly marked as such. Determination of the public nature of the material is subject to the Texas Public Information Act, Chapter 552, Texas Government Code.

36. **NO WARRANTY BY CITY AGAINST INFRINGEMENTS**: The Contractor represents and warrants to the City that: (i) the Contractor shall provide the City good and indefeasible title to the Deliverables and (ii) the Deliverables supplied by the Contractor in accordance with the specifications in the Contract will not infringe, directly or contributorily, any patent, trademark, copyright, trade secret, or any other intellectual property right of any kind of any third party; that no claims have been made by any person or entity with respect to the ownership or operation of the Deliverables and the Contractor does not know of any valid basis for any such claims. The Contractor shall, at its sole expense, defend, indemnify, and hold the City harmless from and against all liability, damages, and costs (including court costs and reasonable fees of attorneys and other professionals) arising out of or resulting from: (i) any claim that the City's exercise anywhere in the world of the rights associated with the City's' ownership, and if applicable, license rights, and its use of the Deliverables infringes the intellectual property rights of any third party; or (ii) the Contractor's breach of any of Contractor's representations or warranties stated in this Contract. In the event of any such claim, the City shall have the right to monitor such claim or at its option engage its own separate counsel to act as co-counsel on the City's behalf. Further, Contractor agrees that the City's specifications regarding the Deliverables shall in no way diminish Contractor's warranties or obligations under this paragraph and the City makes no warranty that the production, development, or delivery of such Deliverables will not impact such warranties of Contractor.

37. **CONFIDENTIALITY**: In order to provide the Deliverables to the City, Contractor may require access to certain of the City's and/or its licensors' confidential information (including inventions, employee information, trade secrets, confidential know-how, confidential business information, and other information which the City or its licensors consider confidential) (collectively, "Confidential Information"). Contractor acknowledges and agrees that the Confidential Information is the valuable property of the City and/or its licensors and any unauthorized use, disclosure, dissemination, or other release of the Confidential Information will substantially injure the City and/or its licensors. The Contractor (including its employees, subcontractors, agents, or representatives) agrees that it will maintain the Confidential Information in strict confidence and shall not disclose, disseminate, copy, divulge, recreate, or otherwise use the Confidential Information without the prior written consent of the City or in a manner not expressly permitted under this Agreement, unless the Confidential Information is required to be disclosed by law or an order of any court or other governmental authority with proper jurisdiction, provided the Contractor promptly notifies the City before disclosing such information so as to permit the City reasonable time to seek an appropriate protective order. The Contractor agrees to use protective measures no less stringent than the Contractor uses within its own business to protect its own most valuable information, which protective measures shall under all circumstances be at least reasonable measures to ensure the continued confidentiality of the Confidential Information.

38. **PUBLICATIONS**: All published material and written reports submitted under the Contract must be originally developed material unless otherwise specifically provided in the Contract. When material not originally developed is included in a report in any form, the source shall be identified.

39. **ADVERTISING**: The Contractor shall not advertise or publish, without the City's prior consent, the fact that the City has entered into the Contract, except to the extent required by law.

40. **NO CONTINGENT FEES**: The Contractor warrants that no person or selling agency has been employed or retained to solicit or secure the Contract upon any agreement or understanding for commission, percentage, brokerage, or contingent fee, excepting bona fide employees of bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business. For breach or violation of this warranty, the City shall have the right, in addition to any other remedy available, to cancel the Contract without liability and to deduct from any amounts owed to the Contractor, or otherwise recover, the full amount of such commission, percentage, brokerage or contingent fee.

41. **GRATUITIES**: The City may, by written notice to the Contractor, cancel the Contract without liability if it is determined by the City that gratuities were offered or given by the Contractor or any agent or representative of the Contractor to any officer or employee of the City of Austin with a view toward securing the Contract or securing favorable treatment with respect to the awarding or amending or the making of any determinations with respect to the performing of such contract. In the event the Contract is canceled by the City pursuant to this provision, the City shall be entitled, in addition to any other rights and remedies, to recover or withhold the amount of the cost incurred by the Contractor in providing such gratuities.

42. **PROHIBITION AGAINST PERSONAL INTEREST IN CONTRACTS**: No officer, employee, independent consultant, or elected official of the City who is involved in the development, evaluation, or decision-making process of the performance of any solicitation shall have a financial interest, direct or indirect, in the Contract resulting from that solicitation. Any willful violation of this section shall constitute impropriety in office, and any officer or employee guilty thereof shall be subject to disciplinary action up to and including dismissal. Any violation of this provision, with the knowledge, expressed or implied, of the Contractor shall render the Contract voidable by the City.

43. **INDEPENDENT CONTRACTOR**: The Contract shall not be construed as creating an employer/employee relationship, a partnership, or a joint venture. The Contractor's services shall be those of an independent contractor. The Contractor agrees and understands that the Contract does not grant any rights or privileges established for employees of the City.

44. **ASSIGNMENT-DELEGATION**: The Contract shall be binding upon and enure to the benefit of the City and the Contractor and their respective successors and assigns, provided however, that no right or interest in the Contract shall be assigned and no obligation shall be delegated by the Contractor without the prior written consent of the City. Any attempted assignment or delegation by the Contractor shall be void unless made in conformity with this paragraph. The Contract is not intended to confer rights or benefits on any person, firm or entity not a party hereto; it being the intention of the parties that there be no third party beneficiaries to the Contract.

45. **WAIVER**: No claim or right arising out of a breach of the Contract can be discharged in whole or in part by a waiver or renunciation of the claim or right unless the waiver or renunciation is supported by consideration and is in writing signed by the aggrieved party. No waiver by either the Contractor or the City of any one or more events of default by the other party shall operate as, or be construed to be, a permanent waiver of any rights or obligations under the Contract, or an express or implied acceptance of any other existing or future default or defaults, whether of a similar or different character.

46. **MODIFICATIONS**: The Contract can be modified or amended only by a writing signed by both parties. No pre-printed or similar terms on any the Contractor invoice, order or other document shall have any force or effect to change the terms, covenants, and conditions of the Contract.

47. **INTERPRETATION**: The Contract is intended by the parties as a final, complete and exclusive statement of the terms of their agreement. No course of prior dealing between the parties or course of performance or usage of the trade shall be relevant to supplement or explain any term used in the Contract. Although the Contract may have been substantially drafted by one party, it is the intent of the parties that all provisions be construed in a manner to be fair to both parties, reading no provisions more strictly against one party or the other. Whenever a term defined by the Uniform Commercial Code, as enacted by the State of Texas, is used in the Contract, the UCC definition shall control, unless otherwise defined in the Contract.

48. **DISPUTE RESOLUTION**:

A. If a dispute arises out of or relates to the Contract, or the breach thereof, the parties agree to negotiate prior to prosecuting a suit for damages. However, this section does not prohibit the filing of a lawsuit to toll the running of a statute of limitations or to seek injunctive relief. Either party may make a written request for a meeting between representatives of each party within fourteen (14) calendar days after receipt of the request or such later period as agreed by the parties. Each party shall include, at a minimum, one (1) senior level individual with decision-making authority regarding the dispute. The purpose of this and any subsequent meeting is to attempt in good faith to negotiate a resolution of the dispute. If, within thirty (30) calendar days after such meeting, the parties have not succeeded in negotiating a resolution of the dispute, they will proceed directly to mediation as described below. Negotiation may be waived by a written agreement signed by both parties, in which event the parties may proceed directly to mediation as described below.

B. If the efforts to resolve the dispute through negotiation fail, or the parties waive the negotiation process, the parties may select, within thirty (30) calendar days, a mediator trained in mediation skills to assist with resolution of the dispute. Should they choose this option, the City and the Contractor agree to act in good faith in the selection of the mediator and to give consideration to qualified individuals nominated to act as mediator. Nothing in the Contract prevents the parties from relying on the skills of a person who is trained in the subject matter of the dispute or a contract interpretation expert. If the parties fail to agree on a mediator within thirty (30) calendar days of initiation of the mediation process, the mediator shall be selected by the Travis County Dispute Resolution Center (DRC). The parties agree to participate in mediation in good faith for up to thirty (30) calendar days from the date of the first mediation session. The City and the Contractor will share the mediator's fees equally and the parties will bear their own costs of participation such as fees for any consultants or attorneys they may utilize to represent them or otherwise assist them in the mediation.

49. **JURISDICTION AND VENUE**: The Contract is made under and shall be governed by the laws of the State of Texas, including, when applicable, the Uniform Commercial Code as adopted in Texas, V.T.C.A., Bus. & Comm. Code, Chapter 1, excluding any rule or principle that would refer to and apply the substantive law of another state or jurisdiction. All issues arising from this Contract shall be resolved in the courts of Travis County, Texas and the parties agree to submit to the exclusive personal jurisdiction of such courts. The foregoing, however, shall not be construed or interpreted to limit or restrict the right or ability of the City to seek and secure injunctive relief from any competent authority as contemplated herein.

50. **INVALIDITY**: The invalidity, illegality, or unenforceability of any provision of the Contract shall in no way affect the validity or enforceability of any other portion or provision of the Contract. Any void provision shall be deemed severed from the Contract and the balance of the Contract shall be construed and enforced as if the Contract did not contain the particular portion or provision held to be void. The parties further agree to reform the Contract to replace any stricken provision with a valid provision that comes as close as possible to the intent of the stricken provision. The provisions of this section shall not prevent this entire Contract from being void should a provision which is the essence of the Contract be determined to be void.

51. **HOLIDAYS:** The following holidays are observed by the City:

Holiday	Date Observed
New Year's Day	January 1
Martin Luther King, Jr.'s Birthday	Third Monday in January
President's Day	Third Monday in February
Memorial Day	Last Monday in May
Independence Day	July 4
Labor Day	First Monday in September
Veteran's Day	November 11

Thanksgiving Day	Fourth Thursday in November
Friday after Thanksgiving	Friday after Thanksgiving
Christmas Eve	December 24
Christmas Day	December 25

If a Legal Holiday falls on Saturday, it will be observed on the preceding Friday. If a Legal Holiday falls on Sunday, it will be observed on the following Monday.

52. **SURVIVABILITY OF OBLIGATIONS:** All provisions of the Contract that impose continuing obligations on the parties, including but not limited to the warranty, indemnity, and confidentiality obligations of the parties, shall survive the expiration or termination of the Contract.

53. **NON-SUSPENSION OR DEBARMENT CERTIFICATION:**

The City of Austin is prohibited from contracting with or making prime or sub-awards to parties that are suspended or debarred or whose principals are suspended or debarred from Federal, State, or City of Austin Contracts. By accepting a Contract with the City, the Vendor certifies that its firm and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the General Services Administration List of Parties Excluded from Federal Procurement and Non-Procurement Programs, the State of Texas, or the City of Austin.

54. **EQUAL OPPORTUNITY**

A. **Equal Employment Opportunity:** No Contractor, or Contractor's agent, shall engage in any discriminatory employment practice as defined in Chapter 5-4 of the City Code. No Offer submitted to the City shall be considered, nor any Purchase Order issued, or any Contract awarded by the City unless the Offeror has executed and filed with the City Purchasing Office a current Non-Discrimination Certification. Non-compliance with Chapter 5-4 of the City Code may result in sanctions, including termination of the contract and the Contractor's suspension or debarment from participation on future City contracts until deemed compliant with Chapter 5-4.

B. **Americans with Disabilities Act (ADA) Compliance:** No Contractor, or Contractor's agent, shall engage in any discriminatory practice against individuals with disabilities as defined in the ADA, including but not limited to: employment, accessibility to goods and services, reasonable accommodations, and effective communications.

55. **BUY AMERICAN ACT-SUPPLIES (Applicable to certain Federally funded requirements)**

A. Definitions. As used in this paragraph –

i. "Component" means an article, material, or supply incorporated directly into an end product.

ii. "Cost of components" means -

(1) For components purchased by the Contractor, the acquisition cost, including transportation costs to the place of incorporation into the end product (whether or not such costs are paid to a domestic firm), and any applicable duty (whether or not a duty-free entry certificate is issued); or

(2) For components manufactured by the Contractor, all costs associated with the manufacture of the component, including transportation costs as described in paragraph (1) of this definition, plus allocable overhead costs, but excluding profit. Cost of components does not include any costs associated with the manufacture of the end product.

iii. "Domestic end product" means-

(1) An unmanufactured end product mined or produced in the United States; or

(2) An end product manufactured in the United States, if the cost of its components mined, produced, or manufactured in the United States exceeds 50 percent of the cost of all its components. Components of foreign origin of the same class or kind as those that the agency determines are not mined, produced, or manufactured in sufficient and reasonably available commercial quantities of a satisfactory quality are treated as domestic. Scrap generated, collected, and prepared for processing in the United States is considered domestic.

iv. "End product" means those articles, materials, and supplies to be acquired under the contract for public use.

v. "Foreign end product" means an end product other than a domestic end product.

vi. "United States" means the 50 States, the District of Columbia, and outlying areas.

B. The Buy American Act (41 U.S.C. 10a - 10d) provides a preference for domestic end products for supplies acquired for use in the United States.

C. The City does not maintain a list of foreign articles that will be treated as domestic for this Contract; but will consider for approval foreign articles as domestic for this product if the articles are on a list approved by another Governmental Agency. The Offeror shall submit documentation with their Offer demonstrating that the article is on an approved Governmental list.

D. The Contractor shall deliver only domestic end products except to the extent that it specified delivery of foreign end products in the provision of the Solicitation entitled "Buy American Act Certificate".

CITY OF AUSTIN
PURCHASING OFFICE
SUPPLEMENTAL PURCHASE PROVISIONS
SECTION 0400
SOLICITATION NUMBER: ELF0302

The following Supplemental Purchasing Provisions apply to this solicitation:

1. **EXPLANATIONS OR CLARIFICATIONS:** (reference paragraph 5 in Section 0200)

   All requests for explanations or clarifications must be submitted in writing to the Purchasing Office by end of business on 08/23/2017 to Elisa.Folco@austintexas.gov.

2. **INSURANCE:** Insurance is required for this solicitation.

   A. **General Requirements:** See Section 0300, Standard Purchase Terms and Conditions, paragraph 32, entitled Insurance, for general insurance requirements.

      i. The Contractor shall provide a Certificate of Insurance as verification of coverages required below to the City at the below address prior to contract execution and within 14 calendar days after written request from the City. Failure to provide the required Certificate of Insurance may subject the Offer to disqualification from consideration for award
      ii. The Contractor shall not commence work until the required insurance is obtained and until such insurance has been reviewed by the City. Approval of insurance by the City shall not relieve or decrease the liability of the Contractor hereunder and shall not be construed to be a limitation of liability on the part of the Contractor.
      iii. The Contractor must also forward a Certificate of Insurance to the City whenever a previously identified policy period has expired, or an extension option or holdover period is exercised, as verification of continuing coverage.
      iv. The Certificate of Insurance, and updates, shall be mailed to the following address:

         City of Austin Purchasing Office
         P. O. Box 1088
         Austin, Texas 78767

   B. **Specific Coverage Requirements:** The Contractor shall at a minimum carry insurance in the types and amounts indicated below for the duration of the Contract, including extension options and hold over periods, and during any warranty period. These insurance coverages are required minimums and are not intended to limit the responsibility or liability of the Contractor.

      i. **Worker's Compensation and Employers' Liability Insurance:** Coverage shall be consistent with statutory benefits outlined in the Texas Worker's Compensation Act (Section 401). The minimum policy limits for Employer's Liability are \$100,000 bodily injury each accident, \$500,000 bodily injury by disease policy limit and \$100,000 bodily injury by disease each employee.
         (1) The Contractor's policy shall apply to the State of Texas and include these endorsements in favor of the City of Austin:
            (a) Waiver of Subrogation, Form WC420304, or equivalent coverage
            (b) Thirty (30) days Notice of Cancellation, Form WC420601, or equivalent coverage
      ii. **Commercial General Liability Insurance:** The minimum bodily injury and property damage per occurrence are \$500,000 for coverages A (Bodily Injury and Property Damage) and B (Personal and Advertising Injury).
         (1) The policy shall contain the following provisions:
            (a) Contractual liability coverage for liability assumed under the Contract and all other Contracts related to the project.
            (b) Contractor/Subcontracted Work.
            (c) Products/Completed Operations Liability for the duration of the warranty period.
            (d) If the project involves digging or drilling provisions must be included that provide Explosion, Collapse, and/or Underground Coverage.

(2) The policy shall also include these endorsements in favor of the City of Austin:
  (a) Waiver of Subrogation, Endorsement CG 2404, or equivalent coverage
  (b) Thirty (30) days Notice of Cancellation, Endorsement CG 0205, or equivalent coverage
  (c) The City of Austin listed as an additional insured, Endorsement CG 2010, or equivalent coverage

iii. **<u>Business Automobile Liability Insurance</u>:** The Contractor shall provide coverage for all owned, non-owned and hired vehicles with a minimum combined single limit of $500,000 per occurrence for bodily injury and property damage. Alternate acceptable limits are $250,000 bodily injury per person, $500,000 bodily injury per occurrence and at least $100,000 property damage liability per accident.

(1) The policy shall include these endorsements in favor of the City of Austin:
  (a) Waiver of Subrogation, Endorsement CA0444, or equivalent coverage
  (b) Thirty (30) days Notice of Cancellation, Endorsement CA0244, or equivalent coverage
  (c) The City of Austin listed as an additional insured, Endorsement CA2048, or equivalent coverage.

iv. **Professional Liability Insurance:** The Contractor shall provide coverage, at a minimum limit of $500,000 become legally obligated to pay as damages by reason of any negligent act, error, or omission arising out of the performance of professional services under this Agreement.

(1) If coverage is written on a claims-made basis, the retroactive date shall be prior to or coincident with the date of the Contract and the certificate of insurance shall state that the coverage is claims-made and indicate the retroactive date. This coverage shall be continuous and will be provided for 24 months following the completion of the contract.

C. **<u>Endorsements</u>:** The specific insurance coverage endorsements specified above, or their equivalents must be provided. In the event that endorsements, which are the equivalent of the required coverage, are proposed to be substituted for the required coverage, copies of the equivalent endorsements must be provided for the City's review and approval.

3. **<u>TERM OF CONTRACT</u>:**

A. The Contract shall be in effect for an initial term of 36 months and may be extended thereafter for up to 2 additional 12 month periods, subject to the approval of the Contractor and the City Purchasing Officer or his designee.

B. Upon expiration of the initial term or period of extension, the Contractor agrees to hold over under the terms and conditions of this agreement for such a period of time as is reasonably necessary to re-solicit and/or complete the project (not to exceed 120 days unless mutually agreed on in writing).

C. Upon written notice to the Contractor from the City's Purchasing Officer or his designee and acceptance of the Contractor, the term of this contract shall be extended on the same terms and conditions for an additional period as indicated in paragraph A above.

D. Prices are firm and fixed for the first 36 months. Thereafter, price changes are subject to the Economic Price Adjustment provisions of this Contract.

4. **<u>QUANTITIES</u>:** The quantities listed herein are estimates for the period of the Contract. The City reserves the right to purchase more or less of these quantities as may be required during the Contract term. Quantities will be as needed and specified by the City for each order. Unless specified in the solicitation, there are no minimum order quantities.

5. **<u>INVOICES and PAYMENT</u>:** (reference paragraphs 12 and 13 in Section 0300)

A. Invoices shall contain a unique invoice number and the information required in Section 0300, paragraph 12, entitled "Invoices." Invoices received without all required information cannot be processed and will be returned to the vendor.

Invoices shall be mailed to the below address:

	City of Austin
Department	Communications & Technology Management (CTM)
Attn:	Accounts Payable
Email Address	CTMAPInvoices@austintexas.gov

B. The Contractor agrees to accept payment by either credit card, check or Electronic Funds Transfer (EFT) for all goods and/or services provided under the Contract. The Contractor shall factor the cost of processing credit card payments into the Offer. There shall be no additional charges, surcharges, or penalties to the City for payments made by credit card.

6. **LIVING WAGES:**

The City's Living Wage Program, Rule R161-17.14, is located at:
http://www.austintexas.gov/edims/document.cfm?id=277854

A. The minimum wage required for all Contractor Employees (and all tiers of Subcontracting) directly assigned to this City Contract is $13.50 per hour, unless Published Wage Rates are included in this solicitation. In addition, the City may stipulate higher wage rates in certain solicitations in order to assure quality and continuity of service.

B. The City requires Contractors submitting Offers on this Contract to provide a certification **(see the Living Wages Contractor Certification included in the Solicitation**) with their Offer certifying that all Contractor Employees (and all tiers of Subcontracting) directly assigned to this City Contract will be paid a minimum living wage equal to or greater than $13.50 per hour. The certification shall include a list of all Contractor Employees (and all tiers of Subcontracting) directly assigned to providing services under the resultant contract including their name and job title. The list shall be updated and provided to the City as necessary throughout the term of the Contract.

C. The Contractor shall maintain throughout the term of the resultant contract basic employment and wage information for each employee as required by the Fair Labor Standards Act (FLSA).

D. The Contractor shall provide to the Department's assigned Contract Manager with the first invoice, individual Employee Certifications for all Contractor Employees (and all tiers of Subcontracting) directly assigned to the contract. The City reserves the right to request individual Employee Certifications at any time during the contract term. Employee Certifications shall be signed by each Contractor Employee (and all tiers of Subcontracting) directly assigned to the contract. The Employee Certification form is available on-line at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm.

E. Contractor shall submit employee certifications for Contractor Employees (and all tiers of Subcontracting) annually on the anniversary date of contract award with the respective invoice to verify that employees are paid the Living Wage throughout the term of the contract. The Employee Certification Forms shall be submitted for Contractor Employees (and all tiers of Subcontracting) added to the contract and/or to report any employee changes as they occur.

F. The Department's assigned Contract Manager will periodically review the employee data submitted by the Contractor to verify compliance with this Living Wage provision. The City retains the right to review employee records required in paragraph C above to verify compliance with this provision.

7. **NON-COLLUSION, NON-CONFLICT OF INTEREST, AND ANTI-LOBBYING:**

A. On November 10, 2011, the Austin City Council adopted Ordinance No. 20111110-052 amending Chapter 2.7, Article 6 of the City Code relating to Anti-Lobbying and Procurement. The policy defined in this Code applies to Solicitations for goods and/or services requiring City Council approval under City Charter Article VII, Section 15 (Purchase Procedures). During the No-Contact Period, Offerors or potential Offerors are prohibited from making a representation to anyone other than the Authorized Contact Person in the Solicitation as the contact for questions and comments regarding the Solicitation.

B. If during the No-Contact Period an Offeror makes a representation to anyone other than the Authorized Contact Person for the Solicitation, the Offeror's Offer is disqualified from further consideration except as permitted in the Ordinance.

C. If an Offeror has been disqualified under this article more than two times in a sixty (60) month period, the Purchasing Officer shall debar the Offeror from doing business with the City for a period not to exceed three (3) years, provided the Offeror is given written notice and a hearing in advance of the debarment.

D. The City requires Offerors submitting Offers on this Solicitation to certify that the Offeror has not in any way directly or indirectly made representations to anyone other than the Authorized Contact Person during the No-Contact Period as defined in the Ordinance. The text of the City Ordinance is posted on the Internet at: http://www.ci.austin.tx.us/edims/document.cfm?id=161145

8. **WORKFORCE SECURITY CLEARANCE AND IDENTIFICATION (ID):**

A. Contractors are required to obtain a certified criminal background report with fingerprinting (referred to as the "report") for all persons performing on the contract, including all Contractor, Subcontractor, and Supplier personnel (for convenience referred to as "Contractor's personnel").

B. The report may be obtained by reporting to one of the below governmental entities, submitting to fingerprinting and requesting the report [requestors may anticipate a two-week delay for State reports and up to a four to six week delay for receipt of a Federal report.].

i. Texas Department of Public Safety for any person currently residing in the State of Texas and having a valid Texas driver's license or photo ID card;
ii. The appropriate governmental agency from either the U.S. state or foreign nation in which the person resides and holds either a valid U.S. state-issued or foreign national driver's license or photo ID card; or
iii. A Federal Agency. A current Federal security clearance obtained from and certified by a Federal agency may be substituted.

C. Contractor shall obtain the reports at least 30 days prior to any onsite work commencement. Contractor also shall attach to each report the project name, Contractor's personnel name(s), current address(es), and a copy of the U.S. state-issued or foreign national driver's license or photo ID card.

D. Contractor shall provide the City a Certified Criminal Background Report affirming that Contractor has conducted required security screening of Contractor's personnel to determine those appropriate for execution of the work and for presence on the City's property. A list of all Contractor Personnel requiring access to the City's site shall be attached to the affidavit.

E. Upon receipt by the City of Contractor's affidavit described in (D) above and the list of the Contractor's personnel, the City will provide each of Contractor's personnel a contractor ID badge that is required for access to City property that shall be worn at all times by Contractor's personnel during the execution of the work.

F. The City reserves the right to deny an ID badge to any Contractor personnel for reasonable cause, including failure of a Criminal History background check. The City will notify the Contractor of any such denial no more than twenty (20) days after receipt of the Contractor's reports. Where denial of access by a particular person may cause the Contractor to be unable to perform any portion of the work of the contract, the Contractor shall so notify the City's Contract Manager, in writing, within ten (10) calendar days of the receipt of notification of denial.

G. Contractor's personnel will be required to wear the ID badge at all times while on the work site. Failure to wear or produce the ID badge may be cause for removal of an individual from the work site, without regard to Contractor's schedule. Lost ID badges shall be reported to the City's Contract Manager. Contractor shall reimburse the City for all costs incurred in providing additional ID badges to Contractor Personnel.

H. ID badges to enter and/or work on the City property may be revoked by the City at any time. ID badges must be returned to the City at the time of project completion and acceptance or upon removal of an individual from the work site.

I. Contractor is not required to obtain reports for delivery personnel, including but not limited to FedEx, UPS, Roadway, or other materials delivery persons, however all delivery personnel must present company/employer-issued photo ID and be accompanied by at least one of Contractor's personnel at all times while at the work site.

J. The Contractor shall retain the reports and make them available for audit by the City during regular business hours (reference paragraph 17 in Section 0300, entitled Right to Audit).

9. **Data Location**: The Contractor shall provide its Services to the City and its end users solely from data centers in the U.S. Storage of City Data at rest shall be located solely in data centers in the U.S. The Contractor shall not allow its personnel or contractors to store City Data on portable devices, including personal computers, except for devices that are used and kept only at its U.S. data centers. The Contractor shall permit its personnel and contractors to access City data remotely only as required to provide technical support. The Contractor may provide technical user support on a 24/7 basis using a support in other countries in order to provide round-the-clock support, unless otherwise prohibited in this contract.

10. **Import and Export of Data:** The City shall have the ability to import or export data in piecemeal or in entirety at its discretion without interference from the Contractor. This includes the ability for the City to import or export data to/from other Contractors.

11. **Data:**

Data Ownership: The City will own all right, title and interest in its data that is related to the services provided by this contract. The Contractor shall not access City user accounts or City data, except (1) in the course of data center operations, (2) in response to service or technical issues, (3) as required by the express terms of this contract, or (4) at the City's written request.

Data Protection: Protection of personal privacy and data shall be an integral part of the business activities of the Contractor to ensure there is no inappropriate or unauthorized use of City information at any time. To this end, the Contractor shall safeguard the confidentiality, integrity and availability of City information and comply with the following conditions:

i. The Contractor shall implement and maintain appropriate administrative, technical and organizational security measures to safeguard against unauthorized access, disclosure or theft of personal data and non-public data. Such security measures shall be in accordance with recognized industry practice and not less stringent than the measures the Contractor applies to its own personal data and non-public data of similar kind.
ii. All data obtained by the Contractor in the performance of this contract shall become and remain property of the City.
iii. All personal data shall be encrypted at rest and in transit with controlled access. Unless otherwise stipulated, the Contractor is responsible for encryption of the personal data. Any stipulation of responsibilities will identify specific roles and responsibilities and shall be included in the service level agreement (SLA), or otherwise made a part of this contract.
iv. Unless otherwise stipulated, the Contractor shall encrypt all non-public data at rest and in transit. The City shall identify data it deems as non-public data to the Contractor. The level of protection and encryption for all non-public data shall be identified and made a part of this contract.
v. At no time shall any data or processes – that either belong to or are intended for the use of a City or its officers, agents or employees – be copied, disclosed or retained by the Contractor or any party related to the Contractor for subsequent use in any transaction that does not include the City.
vi. The Contractor shall not use any information collected in connection with the service issued from this proposal for any purpose other than fulfilling the service.

12. **Compliance with Accessibility Standards:** The Contractor shall comply with and adhere to Accessibility Standards of Section 508 Amendment to the Rehabilitation Act of 1973.

13. **Security:** The Contractor shall disclose its non-proprietary security processes and technical limitations to the City such that adequate protection and flexibility can be attained between the City and the Contractor. For example: virus checking and port sniffing – the City and the Contractor shall understand each other's roles and responsibilities.

14. **Security in Compliance with Chapter 521 of the Texas Business and Commerce Code:** Contractor shall comply with all requirements under Chapter 521 of the Texas Business and Commerce Code, including but not limited to being responsible for a program that protects against the unlawful use or disclosure of personal information collected or maintained in the regular course of business. The program shall include policies and procedures for the implementation of administrative, technical, and physical safeguards, and shall also address appropriate corrective action for events of any security breach and proper methods of destroying records containing sensitive personal information.

15. **Security Incident or Data Breach Notification:** The Contractor shall inform the City of any security incident or data breach.

i. **Incident Response:** The Contractor may need to communicate with outside parties regarding a security incident, which may include contacting law enforcement, fielding media inquiries and seeking external expertise as mutually agreed upon, defined by law or contained in the contract. Discussing security incidents with the City should be handled on an urgent as-needed basis, as part of Contractor communication and mitigation processes as mutually agreed upon, defined by law or contained in the contract.
ii. **Security Incident Reporting Requirements:** The Contractor shall report a security incident to the appropriate City identified contact immediately as defined in the SLA.
iii. **Breach Reporting Requirements:** If the Contractor has actual knowledge of a confirmed data breach that affects the security of any City content that is subject to applicable data breach notification law, the Contractor shall (1) promptly notify the appropriate City identified contact within 24 hours or sooner, unless shorter time is required by applicable law, and (2) take commercially reasonable measures to address the data breach in a timely manner.

16. **Breach Responsibilities:** This section only applies when a data breach occurs with respect to personal data within the possession or control of Contractor.
    - **i.** The Contractor, unless stipulated otherwise, shall immediately notify the appropriate City identified contact by telephone in accordance with the agreed upon security plan or security procedures if it reasonably believes there has been a security incident.
    - **ii.** The Contractor, unless stipulated otherwise, shall promptly notify the appropriate City identified contact within 24 hours or sooner by telephone, unless shorter time is required by applicable law, if it confirms that there is, or reasonably believes that there has been a data breach. The Contractor shall (1) cooperate with the City as reasonably requested by the City to investigate and resolve the data breach, (2) promptly implement necessary remedial measures, if necessary, and (3) document responsive actions taken related to the data breach, including any post-incident review of events and actions taken to make changes in business practices in providing the services, if necessary.
    - **iii.** Unless otherwise stipulated, if a data breach is a direct result of the Contractor's breach of its contract obligation to encrypt personal data or otherwise prevent its release, the Contractor shall bear the costs associated with (1) the investigation and resolution of the data breach; (2) notifications to individuals, regulators or others required by state law; (3) a credit monitoring service required by state (or federal) law; (4) establishing a website or a toll-free number and call center for affected individuals required by state law – all not to exceed the average per record per person cost calculated for data breaches in the United States (currently $201 per record/person) in the most recent Cost of Data Breach Study: Global Analysis published by the Ponemon Institute at the time of the data breach; and (5) complete all corrective actions as reasonably determined by Contractor based on root cause; all [(1) through (5)] subject to this contract's limitation of liability.

17. **Business Continuity and Disaster Recovery:** The Contractor shall provide a business continuity and disaster recovery plan upon request and ensure that the City's recovery time objective (RTO) of two hours is met.

18. **INTERLOCAL PURCHASING AGREEMENTS:** (applicable to competitively procured goods/services contracts).

    A. The City has entered into Interlocal Purchasing Agreements with other governmental entities, pursuant to the Interlocal Cooperation Act, Chapter 791 of the Texas Government Code. The Contractor agrees to offer the same prices and terms and conditions to other eligible governmental agencies that have an interlocal agreement with the City.

    B. The City does not accept any responsibility or liability for the purchases by other governmental agencies through an interlocal cooperative agreement.

19. **OWNERSHIP AND USE OF DELIVERABLES:** The City shall own all rights, titles, and interests throughout the world in and to the Deliverables.

    A. **Patents:** As to any patentable subject matter contained in the Deliverables, the Contractor agrees to disclose such patentable subject matter to the City. Further, if requested by the City, the Contractor agrees to assign and, if necessary, cause each of its employees to assign the entire right, title, and interest to specific inventions under such patentable subject matter to the City and to execute, acknowledge, and deliver and, if necessary, cause each of its employees to execute, acknowledge, and deliver an assignment of letters patent, in a form to be reasonably approved by the City, to the City upon request by the City.

    B. **Copyrights:** As to any Deliverable containing copyrighted subject matter, the Contractor agrees that upon their creation, such Deliverables shall be considered as work made-for-hire by the Contractor for the City and the City shall own all copyrights in and to such Deliverables, provided however, that nothing in this Paragraph 36 shall negate the City's sole or joint ownership of any such Deliverables arising by virtue of the City's sole or joint authorship of such Deliverables. Should by operation of law, such Deliverables not be considered work made-for-hire, the Contractor hereby assigns to the City (and agrees to cause each of its employees providing services to the City hereunder to execute, acknowledge, and deliver an assignment to the City of Austin) all worldwide right, title, and interest in and to such Deliverables. With respect to such work made-for-hire, the Contractor agrees to execute, acknowledge and deliver and cause each of its employees providing services to the City hereunder to execute, acknowledge, and deliver a work-for-hire agreement, in a form to be reasonably approved by the City, to the City upon delivery of such Deliverables to the City or at such other time as the City may request.

C. **Additional Assignments:** The Contractor further agrees to, and if applicable, cause each of its employees to execute, acknowledge, and deliver all applications, specifications, oaths, assignments, and all other instruments which the City might reasonably deem necessary in order to apply for and obtain copyright protection, mask work registration, trademark registration and/or protection, letters patent, or any similar rights in any and all countries and in order to assign and convey to the City, its successors, assigns, and nominees, the sole and exclusive right, title, and interest in and to the Deliverables, The Contractor's obligations to execute acknowledge, and deliver (or cause to be executed, acknowledged, and delivered) instruments or papers such as those described in this Paragraph 36 A., B., and C. shall continue after the termination of this Contract with respect to such Deliverables. In the event the City should not seek to obtain copyright protection, mask work registration or patent protection for any of the Deliverables, but should arise to keep the same secret, the Contractor agrees to treat the same as Confidential Information under the terms of Paragraph above.

20. **<u>CONTRACT MANAGER</u>:** The following person is designated as Contract Manager, and will act as the contact point between the City and the Contractor during the term of the Contract:

Leslie Boyd

Program Manager

Leslie.Boyd@austintexas.gov

*Note: The above listed Contract Manager is not the authorized Contact Person for purposes of the **<u>NON-COLLUSION, NON-CONFLICT OF INTEREST, AND ANTI-LOBBYING Provision</u>** of this Section; and therefore, contact with the Contract Manager is prohibited during the no contact period.

1.0 INTRODUCTION

1.1 Project Purpose

This request for proposal (RFP) by the City of Austin (City), on behalf of Austin Public Health (APH) seeks proposals for a contract management and development system. The contract management and development system should be capable of the following:

- To align the needs of the Social Service Policy Unit with APH strategic goals through the use of an efficient system that allows faster resolution of contract related activities
- To provide a single, outward-facing cloud-based portal for social service vendors to access, create, and maintain contract-related documents, eligible expenditures, invoicing, supporting documentation, performance reporting, and various organizational related risk management documents
- To provide a secure web application for contracted vendors and internal staff with clear workflow management.
- To provide a replacement for the current contract management system Community Impact Online Data Manager (CIODM) at the end of its lifecycle
- To provide a system with reporting capabilities where the reports may be designed to list the contracts, vendors with current status. This reporting should have capability to list any contract (e.g., exhibit), city (e.g. SVI), and/or grant required (e.g., RW) etc.
- To provide an application with form and field design capabilities whereby expressions may be added within field properties (i.e., validation, calculation, and population of other fields within form based on selected field response)
- To provide an application with flexible report design capabilities to accommodate future growing needs of the contact management system.
- The web based application should have ability to allow large volume of users accessing it concurrently.
- The web application must be able to upload contract files like Tender Documents that are at least 25MB and above in size
- The application should have strong security features like role based access to limit the vendors and other supporting staff to operate on only required features while the administrator and senior management having the entire access privileges to host, approve and cancel the tenders.

The Contract Management and development solution, when completed in approximately one (1) year, will be supporting the Social Services and Policy Unit (SSPU) and its affiliates

1.2 Business Goals

The contract management and development system will support various work units within APH to include Social Service Policy Unit, APH contract management, APH HIV Resources Administration Unit, and Telecommunication and Regulatory Affairs Grant for Technology Opportunities Program unit. The system shall be a scalable, fast, and secure cloud-based Contract Development and Contract Management Software System.

The contract management and development system shall:

- Provide automation of contract management process
- Provide functionalities and ease daily work flow for end users

- Implementation of a 90% paperless system for faster contract development and management; the remaining 10% will be physical documentation necessary for accounting and administrative purposes
- Promotes vendor and City business continuity plans in the event of pandemic flu and/or activation of Incident Command
- Decrease the processing time frame to attain physical, contract-ready documents
- Reduce cost of storing and publishing contract file papers
- Enhances the integrity, and reliability of data entered into the system
- Improves the efficiency of staff reviewing documents, reduces contract errors, and speeds up the processing time of payment to the third-party vendors
- Improves the reporting of unique contractual terms and conditions
- Track the preferred vendors to reduce the vendor screening process every time they bid.
- Provide an option to display the contracts/e-tenders to the vendors

1.3 Scope of Work

At minimum, the system shall meet or exceed the following:

1.3.1 Contract Management

The system shall:

- Manage a contract from execution of contract by both parties through expiration of retention period as determined by control schedule
- Monitor and control the processing of vendor payments per the signed agreement
- Implement safeguard measures to ensure that vendor meets all contractual terms and conditions
- Report capabilities e.g. Ad-hoc reporting
- Agreed upon arrangements for service performance and delivery are satisfactory to APH and vendor and the expected business gains and value for money are attained
- The application will allow vendors to log into the system with assigned credentials and fulfill any requirement needed e.g. signing of document, agreeing to terms and condition
- A customizable template for various department's contract management needs
- Ability to send notification and alerts based on criteria set by contract management personnel e.g. setting future alerts automatically, and sending notification based on logged in activity
- Records automatically locks following final reviewer's approval and final deadline has elapsed
- Auditing capability
- Password and User Account management
- Assign privileges
- Profile creation
    - o User type profile
    - o Workflow level
- Manage exceptions to solicitations

1.3.2 Accounting and Performance

The system shall:

- Auto populate Year to Date (YTD) spend and remaining balances, from awarded budgets and performance as well as previous accounting and performance of same record type e.g. January 2017 performance shall include YTD and remaining balances from December 2016 invoice and include awarded budget as amended to calculate new YTD and remaining balances for January 2017 invoice
- Upon Validation customized forms can skip null records and still load correct YTD and remaining balances in sequential /reverse chronological order
- Forecast analysis
- Program Level
  o Performance and accounting
- Contract Level
  o Accounting
- Business Plan Level
  o Performance

1.4 Project Scope

1.4.1 Conduct Onsite Visit

The Contract Manager contacts an Agency to schedule a time for the annual Onsite Visit. The Contract Manager arrives at the Agency's office along with a second reviewer, who is part of the same contract unit. The Contract Manager reviews the Agency's stated policies and monitoring procedures with all parties present, focusing on the following areas: Fiscal Review (FR), Performance Review (PR), Administrative Review (AR) and Prior Monitoring Review (PM).

1.4.1.1 Ensure Continuous Coverage

The Contract Compliance Associate receives notification of a change in the Agency's insurance status. The Contract Compliance Associate contacts the Agency Representative for the new insurance documentation. The Agency Representative provides the updated insurance documentation to the Contract Compliance Associate or provides rationale for an insurance exemption and requests a waiver.

1.4.1.2 Evaluate Document Content

The Reviewer accesses the System to evaluate the Approval Document. The Reviewer performs a review of the document's content, clarity and completeness. The Reviewer indicates the quality of the content by indicating one of the following statuses for the Review Phase: Approved, Rejected or 'Request Modification'. The System generates a Review Log entry with the following fields: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status.

1.4.1.3 Evaluate Grant Proposals

The Agency Representative accesses the System to create a Grant for Technology Opportunities Program (GTOPS) (GTOPS link: https://www.austintexas.gov/department/grant-technology-opportunities) Application Approval Document. The Agency Representative enters a Budget narrative and uploads the following Support Documents: Organizational Budget and Proposed Budget. The Agency Representative enters a Work Statement narrative and uploads the following Support

Document: Work Statement. The Agency Representative enters an Organizational Description narrative and uploads the following Support Documents: Marketing Materials, Program Description. The Agency Representative enters a Performance Measure narrative and uploads the following Support Document: Performance Measure Methodology. The Agency Representative uploads additional Support Documents including: Letters of Support, In-Kind Match Funding, and a Program Argument. The Agency Representative certifies the GTOPS Application.

1.4.1.4 Initiate Contract Reimbursement
The Agency Representative accesses the System to create a Monthly Expenditure Report (MER) Approval Document. The Agency Representative selects the Contract Name, Program Name and Program Period for the MER and enters the following information: Reimbursement Period (1-13), indicator of Final Expenditure, Expenditure Period Start Date, and Expenditure Period End Date. The Agency Representative enters the Current Month Expenditure amount for each Expenditure Subcategory of the following Expenditure Categories: Personnel, Operating, Direct Assistance/Other, and Capital Outlay. The Agency Representative uploads one or more Support Documents, which help justify the expenditures. If the Agency's Contract involves the Texas Department of Housing and Community Affairs (TDHCA) Homeless Housing and Services Program (HHSP), the Agency Representative enters a Current Month Expenditure amount for each HHSP Expenditure Subcategory.

1.4.1.5 Monitor Audit Requirements
The Agency Representative submits the original hardbound copy of the Agency's annual audit findings to the Contract Management Specialist. A Management Letter, may also accompany the audit findings when the Agency's Board of Directors wishes to make known their disagreement with the audits findings.
The Contract Management Specialist unbinds the audit findings and scans the pages into an electronic document. The Contract Management Specialist contacts the audit firm to verify the audit date and the date of the board briefing. The Contract Management Specialist then accesses the Texas State Board of Public Accountancy (TSBPA) website to verify the auditor's license is current and in good standing

1.4.1.6 Monitor Contract Performance
The Agency Representative accesses the System to create a Quarterly Program Performance (QPP) Approval Document. The Agency Representative selects the Contract Name, Program Name, Contract Period, Reporting Year and Reporting Period. The System determines, which Performance Measure(s) apply for the Contract and displays the data entry fields. The Agency Representative enters information for each Performance Measure. For each Output Measure in the Contract the Agency Representative enters the Quarter Output amount and Justification. If for each Outcome Measure in the Contract the Agency Representative enters an Outcome Numerator, Outcome Denominator, and Justification. The Agency Representative also enters the Total People Served for each Demographic Category and Demographic Subcategory

The Agency Representative instructs the System to validate the data entry. The System aggregates the quarterly (QTR) and year-to-date (YTD) numbers for each Performance Measure; using the numbers from the 'Approved' Outcome and Output numbers for the Contract Period

1.4.1.7 Monitor Contract Progress
The Agency Representative accesses the System to create a Progress Report document. The Agency

Representative selects the Contract Name, Program Name, and Program Period. The System calculates the Contract Period Program Budget, which is the sum of the approved Budget Amount including any Budget Amendments, and Contract Period Program Expenditure, which is the sum of approved Monthly Expenditure Report's Expenditure Amount for the Contract Period. The Agency Representative enters Contract Period Payments Received and the System calculates both the Contract Period Unexpended Balance, which is the sum of the Contract Period Payments Received amount not exceeding the Contract Period Program Budget, and the Contract Period Overpayment, which is the sum of the Contract Period Payments Received amount exceeding the Contract Period Program Budget. The Agency Representative enters a Financial Justification to explain the unexpended balance or overpayment

1.4.1.8 Negotiate Agency Contract
The Contract Negotiator receives an approval notification for the Contract Development Request. The Contract Negotiator discusses the requirements and, using the Agreement Development Process Manual (ADMP), provides guidance to the Agency Representative completing the contract documents. The Agency Representative creates the Contract Information Approval Document and enters the contract negotiation data. The Agency Representative and Contract Negotiator discuss the contract's terms revising data, as necessary, until both parties agree upon the terms.

1.4.1.9 Perform Admin and Fiscal Review
The Agency Representative accesses the System to update the important Business Documents. The Agency Representative removes any important Business Documents that are out of date and uploads the latest versions including the following Business Document Types: Americans with Disabilities Act, Drug Free Workplace Policy, Non-Discrimination of Clients Policy, Articles of Incorporation, Employee Wellness Initiative, Personnel Policies and Procedures, Assumed Name, Equal Opportunity Employment Policy, Personnel Grievance Policy, Business Continuity Plan, Financial Management/Fiscal Policies, 'Subcontracts and/or Procurement Policy', Client Grievance Policy, 'Health, Safety and Environmental Regulations', Violence Prevention, Client Privacy Policy, Regulations, Whistleblower Policy, Conflict of Interest Policy, Limited English Proficiency (LEP), Criminal Background Checks Policy, Mother Friendly Workplace, Culturally and Linguistically Appropriate Services (CLAS), and Nepotism Policy

1.4.1.10 Process Agency Intake
The Agency Representative accesses the System to request a site administrator account. The Agency Representative enters their First Name, Last Name, Phone Number, Email Address, and Agency Name. The System sends a notification to the System Administrator. The System Administrator accesses the System to review the request. If the System Administrator approves the request, the System Administrator creates a new Agency and a new User Role, which grants User Accounts access to the new Agency only. The System Administrator creates a new User Account and assigns it the new User Role. The System Administrator sends a notification with further instructions to the Agency Representative. (The Site Administrator may add/change/remove Agency Site user accounts and grant/remove access to the Agency's records. Site Administrator's access control over user accounts is limited to accounts created for the Agency site.)

1.4.1.11 Record Agency Correspondence
The Contract Manager sends or receives a correspondence message regarding a Contract. The Contract Manager accesses the System to record the correspondence. The Contract Manager records

the following information: Correspondence Date, Correspondence Type (Fax, Mail, Email, Phone), Sender, Recipient and Comment. The Contract Manager uploads an electronic file version of the correspondence.

1.4.1.12 Report on Business Plan Measures
The Contract Negotiator accesses the System to run the 'Business Plan Measure Approval by Fiscal Year' report for each Business Plan Measures they monitor. The report lists the Business Plan Measure (BPM), (BPM) Fiscal Year, and all Contracts that report against that BPM. The report also indicates the BPM numbers and approval status for each Contract's Quarterly Program Performance (QPP) report. If the report indicates approval for all QPP reports, the Contract Negotiator records each value in an Excel spreadsheet to verify the total BPM performance numbers for the quarter.

1.4.1.13 Report Spending Plan
The Agency Representative accesses the System to create a Spending Plan Approval Document. The Agency Representative enters the approved Budget Amount (total amount for the Contract Period including amendments) and the current Expended Amount, then enters the anticipated Expended Amount for each remaining month in the Contract Period. The System calculates anticipated over or under spending for the Contract Period. The Agency Representative enters a Comment pertaining to the balance.

1.4.1.14 Request Contract Development

The Contract Negotiator accesses the System to create a Contract Development Request (CDR) Approval Document. The Contract Negotiator enters the following fields in the general section: Agency Name, Vendor Code, Request Type (New Contract, Amendment), Contract Type (Social Services Reimbursable, Social Services Deliverables, HIV Reimbursable, HIV Deliverables, Professional Services Agreement, Inter-local Agreement), Ticket Number, and enters the name of each potential Contract Program

1.5 Responsibilities

1.5.1 City's Responsibilities

The City will be responsible for:

- Identifying priority scope implementations
- Setting work hours on City sites and work associated with the City's network
  - o Normal City business hours are 7:45 a.m. – 4:45 p.m. CST, Monday through Friday no weekends or City holidays
- Approving all scope of work and or changes in the scope of work, including adds, deletions, and equal changes
- Approving process flows
- Approving implementation schedules
- Approving all measurable project objectives, including but not limited to, milestones and requirement functionality implementation through User Acceptance Testing
- Approving Vendor invoices
- Providing all data entry elements to include forms and sources of information

1.5.2 Vendor's Responsibilities

The Vendor shall be responsible for:

- All system design, software installation, programming, testing, performance tuning, training, updating, data backup, documentation and implementation required for the system.
- If third-party software is required, Vendor shall assume full responsibility for its inclusion in this solution
- Acquiring and installing of any required hardware
  <u>Note</u>: The City reserves the right to purchase hardware from other sources
- Providing all technical documents for the proposed system and its components. These documents shall include administrator and end user manuals about product installation and maintenance, including detailed design documents for customized system application and test plans. The supplier shall grant the City the authorization to reproduce any provided documents for internal use.
- Providing detail data backup and restore plan
- Providing disaster recovery and business continuity plan
- Assisting in the development of an acceptance test plan and assist in the performance of testing the entire system. During testing, the Vendor shall be available for assistance and correction of any error detected. Testing shall be successfully performed before the City approves the final sign-off for the acceptance of the system
- Providing a detailed list of the necessary resources and expertise, complete with personnel job descriptions, which shall be required for the City to maintain the system once implemented
- Providing all functional, technical standard, project management/implementation requirements
- Adhering to City holidays and normal business hours as identified by the City in the approved Project Schedule
- Interfacing with the City Communication and Technology Management Staff (CTM) technical staff on related security and network matters through a Project Communication Plan
- Interfacing with APH staff on related project matters through a Project Communication Plan

2.0 DESCRIPTION OF EXISTING SYSTEMS

2.1 Current System

The description of the existing system is based on the City's Technical Reference Model and the current system(s) comprising the APH Health Services.

2.1.1 Technical Reference Model

The Technical Reference Model is based on the September 24, 2015 model provided by the Office of the Chief Enterprise IT Architect. It is the City's component-based technical framework used for standards, specification, and technologies that support and enable the delivery of service to City departments.

Table A: Technical Reference Model

Area	Category	Standard
Application Technology		
Development Tools	Analysis, Design and Modeling	Unified Modeling Language (UML)
	Requirements Management	Rational Software Architect (RSA)
	Software Change and Configuration Management Tools	GitHub
	Web Authoring and Content Management Tools	Drupal (outward)
	Application Development Tools	Visual Studio
		PL/SQL Developer
		Notepad++
		Java
		Cold Fusion
Software Engines	Search Engines	Solr
	Geographic Information System (GIS) Engines	ESRI Current minus 2 versions (10.1-10.3)
		ArcGIS for Desktop current minus 2 versions (10.1-10.3)
		ArcGIS for Server current minus 2 versions (10.1-10.3)
		ArcGIS Online current minus 2 versions (10.1-10.3)
		Smallworld Electronic Office (AE only)
		ArcSDE current minus 2 versions (10.1-10.3)
		FME current minus 2 versions (10.1-10.3)
	Business Rules Engines	BPM
		BPMN

	Business Process Management Engines	Websplore
Area	**Category**	**Standard**
Application and Web Server Software	Application Server Software	ArcGIS Server (includes server extensions) current minus 2 versions (10.1-10.3)
		FME Server current minus 2 versions (10.1-10.3)
	Web Server Software	Apache current minus 2 versions
		Internet Information Services (IIS) current minus 1 version
		IBM WebSphere
Integration Software	Enterprise Service Bus (ESB)	IBM Integration Bus (IIB)
Application Testing Software	Debugging Test Tools	PL/SQL Developer
		Fiddler
		Firebug (Firefox plugin)
		IE Developer Tools
	Function Testing Tools	PL/SQL Developer
	Load and Performance Testing Tools	PL/SQL Developer
		Visual Studio
		Jmeter
	System Testing Tools	Visual Studio
		PL/SQL Developer
	Unit Testing Tools	Visual Studio
		PL/SQL Developer
Information Management Technologies		
Business Intelligence and Data Warehouse Platforms	Business Intelligence Platforms	MicroStrategy
	Web Reporting Tools	Google Analytics
		DBNetGrid
		CADReports
		Microcall
	Dashboard/Scorecard Tools	MicroStrategy
	Data Mining Tools	Oracle Discoverer
		PL/SQL Developer
	Data Warehouses	Oracle
		SQL Server
	Geospatial Tools	ArcGIS Desktop current minus 2 versions (10.1-10.3)
	Data Analytics (Statistical Analytics, Prediction, and Modeling)	ERWin
		Visio
	Unstructured Data/Natural Language Processing	EDIMS
		OS File
		CIFS
Data Management	Database Connectivity	PL/SQL Developer
		Oracle SQL Developer
		Oracle SQL *Net
	Object Oriented DBMS	Oracle

Area	Category	Standard
	Relational DBMS	Oracle
		SQL Server
		Oracle
		SQL Server
	Database Related Management Tools	IDERA
		PL/SQL Developer
Data Integration	Database Replication and Clustering	PL/SQL Developer
		FME
		Oracle Real Applications Cluster (RAC)
		SQL Server Cluster
	Data at Rest	EMC
		NetApp Storage
		Tintri
		Nimble
		Pure
	Data Synchronization	GeoWorx Sync
		DFS
	Extract, Transform, Load (ETL)	FME Server
		FME Desktop
		Informatica
	Data in Motion (Common Message Terminology and Semantics)	SQL *Net
		TCP/IP
		BigIP
Collaboration and Electronic Workplace		
Collaboration Software	Content Management	SharePoint
		GitHub
		Drupal CMS
	Electronic Messaging	Microsoft Exchange
	Unified Messaging	Lync/Skype
	Email and Calendaring	Microsoft Outlook
	Real Time and Team Collaboration	SharePoint
		GoToMyPC
		Cisco VPN
		NetMotion
		Citrix
		Adobe Connect
		Vidyo
		Cleo
		Lync/Skype
	Shared Whiteboard	SmartBoard
		BMC Service Desk Express
	Process and Schedule Synchronization	Tivoli
		AirWatch

Area	Category	Standard
	Computer Based Training (CBT)	Adobe Connect
Productivity Software	Accounting and Finance	Advantage
	Desktop Publishing	Microsoft Publisher
	File Manager and Viewer	EDIMS (OpenText)
		Adobe Acrobat
	Enterprise Faxing	Captaris RightFax
	Graphics Design Software	Adobe Creative Suite
	Multimedia Software	Adobe Creative Suite
	Standard Office Suite	Microsoft Office 2013
	Miscellaneous Productivity Tools and Utilities	Windows Snipping Tool
	Web Browsers	Internet Explorer current minus 1 (IE 11 and 10)
		Firefox current minus 1
		Chrome current minus 1
	Case Management	AMANDA
		BMC Magic Service Desk Express
		FDM
		Versadex
		LIMS
	Surveys	Survey Monkey
		Survey Builder
		SharePoint
System Management		
System Management Tools	Alert Management	Orion SolarWinds
		Puppet
		Microsoft SCCM
		Idera
		Trend IWSVA
		NetBotz
		ISX Environmental Monitoring
		Avaya ASA
		Avaya Session Manager
		ADV NMS
	Application Management	Tivoli
	Asset Management and Work Order	Maximo
		BMC Magic Service Desk Express
		Mobile Workforce Manager
	Data Center Automation Software	AppSense
		Idera
		Microsoft SCCM
		EMC Networker
		APC StructureWare
		Active Directory
	Disaster Recovery	NetApp VSC

Area	Category	Standard
	Monitoring	Orion SolarWinds
	Remote Desktop Management	DameWare
		MS RDP
	System Change and Configuration Management	Puppet
		Microsoft SCCM
Network Infrastructure	Switching and Routing	Cisco
		Brocade
		ADVA
	Load Balancing and Failover	F5 Big-IP
	Network Name and Address	Windows DHCP
		Windows DNS
		IP - IPv6 (not used yet)
		IPsec
		WINS
		BIND DNS
Network and Telecommunications		
Transport	Local/Campus Area Network (LAN/CAN)	Cisco
		Brocade
	Wide Area Network (WAN)	City Owned Fiber
		AT&T Connections
		Avaya Equipment
		Nortel Equipment
		TimeWarner Cable
	Cabling	BICSI
Wireless and Mobile Networks	Cellular Networks	AT&T (Public Safety)
		Verizon (Public Safety)
		AT&T (AVL- Public Safety)
		Verizon (AVL)
		Sprint (AVL)
	Secure WiFi	Cisco WAP
	Public WiFi	Cisco WAP
		Meraki WAP
	Radio	P25
		Motorola
	Pagers	USA Mobility
	Aircards	Sprint
		Verizon
		AT&T
End User Computer Devices	Personal Computers (PCs)	Dell Workstations/Laptops
	Mobile Hardware	iPad current minus 1
		iPhone current minus 1
		Android current minus 1
	Hardened Laptops	Panasonic
		Dell

Platforms and Storage		
Area	**Category**	**Standard**
Operating Systems	Desktop/Laptop	Win 7 current minus 1
		Win 8 current minus 1
	Mainframe	AIX current minus 2
	Mobile Device	Android current minus 1
		iOS current minus 1
	Server	Windows Server current minus 1
		AIX current minus 2
		Linux (Red Hat) current minus 1
Cloud Services/Virtualization	Cloud Technologies	ArcGIS Online current minus 2
	Virtualization Software	VMWare
		Citrix Xen Server
		VirtualBox
Storage	Long Term Back-up	EMC Networker
		NetApp
		Avamar
	Operational Recovery	EMC Networker
		NetApp
		Avamar
	Production	EMC Networker
		NetApp
		Avamar
System Management Tools	Network Performance Optimization	Microsoft SCCM
		Trend Antivirus
		Puppet
		GitHub
		PKI
		GPO
		IBM HMC
		Trend IWSVA
	Logging	Splunk
	Patch Management	WSUS
		Microsoft SCCM
Enterprise Architecture		
Employment	Application	Rational Software Architect (RSA)
		MS Picture Manager
		HTML-Kit
		SnagIt
		FTP
		Subversion
	Framework	Eclipse
		Unified Modeling Language (UML)
		IBM UPIA

2.1.2 Current APH SSPU System(s)

The APH Social Services and Policy Unit and its affiliates currently use a system called CIODM. This system is used by Social Service Policy Unit, APH contract management, APH HIV Resources Administration Unit, and Telecommunication and Regulatory Affairs Grant for Technology Opportunities Program unit.

3.0 Appendices

- Appendix A – Use Cases
- Appendix B – Functional Requirements
- Appendix C – Technical Standards (Requirements)
- Appendix D – Project Management/Implementation Requirements

APPENDIX A – USE CASES

1 General Information

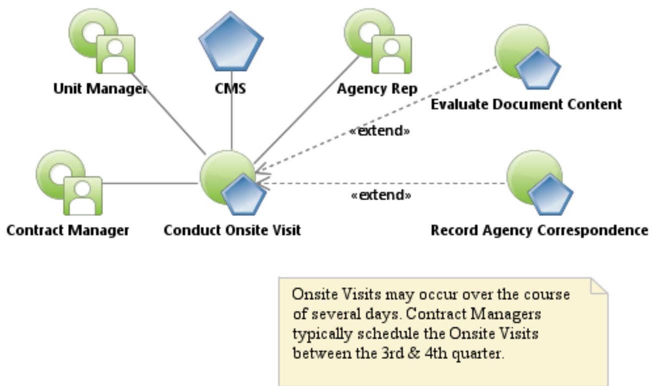
Use Case requirements describing processes that the new contract management and development cloud based solution shall address. The Functional requirements are created from Use Case requirements as described under **Appendix A**.

The following Use Cases summaries are the general functional summaries of the Scope of Work (SOW) for the City APH CDMD Project which includes fifteen (15) areas of contract management and development

2 Use Case

The following Unified Modeling Language (UML) use-case models identify the functional requirements of the City desired Contract Management and Development System (CMDS) and existing processes where a CMDS may help improve. The City proposed operational processes provide contextual reference and scope understanding. However, the vendor may propose alternative processes or technologies - the City encourages and are open to innovative solutions. The City prefers a Cloud (hosted) solution - i.e., Software as a Service (SaaS) . The vendor may provide a complete solution or collaborate with Cloud providers to propose a SaaS solution. The City provides a fully functional IBM Integration Bus (IIB), enterprise service bus (ESB) to include an ESB instance in our demilitarized security zone to interface with internal city applications discussed in our use-case model. The City identified the required response (performance) in each table describing interface descriptions shown on the adjacent sequence diagram.

2.1 Conduct Onsite Visit



The Contract Manager contacts an Agency to schedule a time for the annual Onsite Visit. The Contract Manager arrives at the Agency's office along with a second reviewer, who is part of the same contract unit. The Contract Manager reviews the Agency's stated policies and monitoring procedures with all parties present, focusing on the following areas: Fiscal Review (FR), Performance Review (PR), Administrative Review (AR) and Prior Monitoring Review (PM).

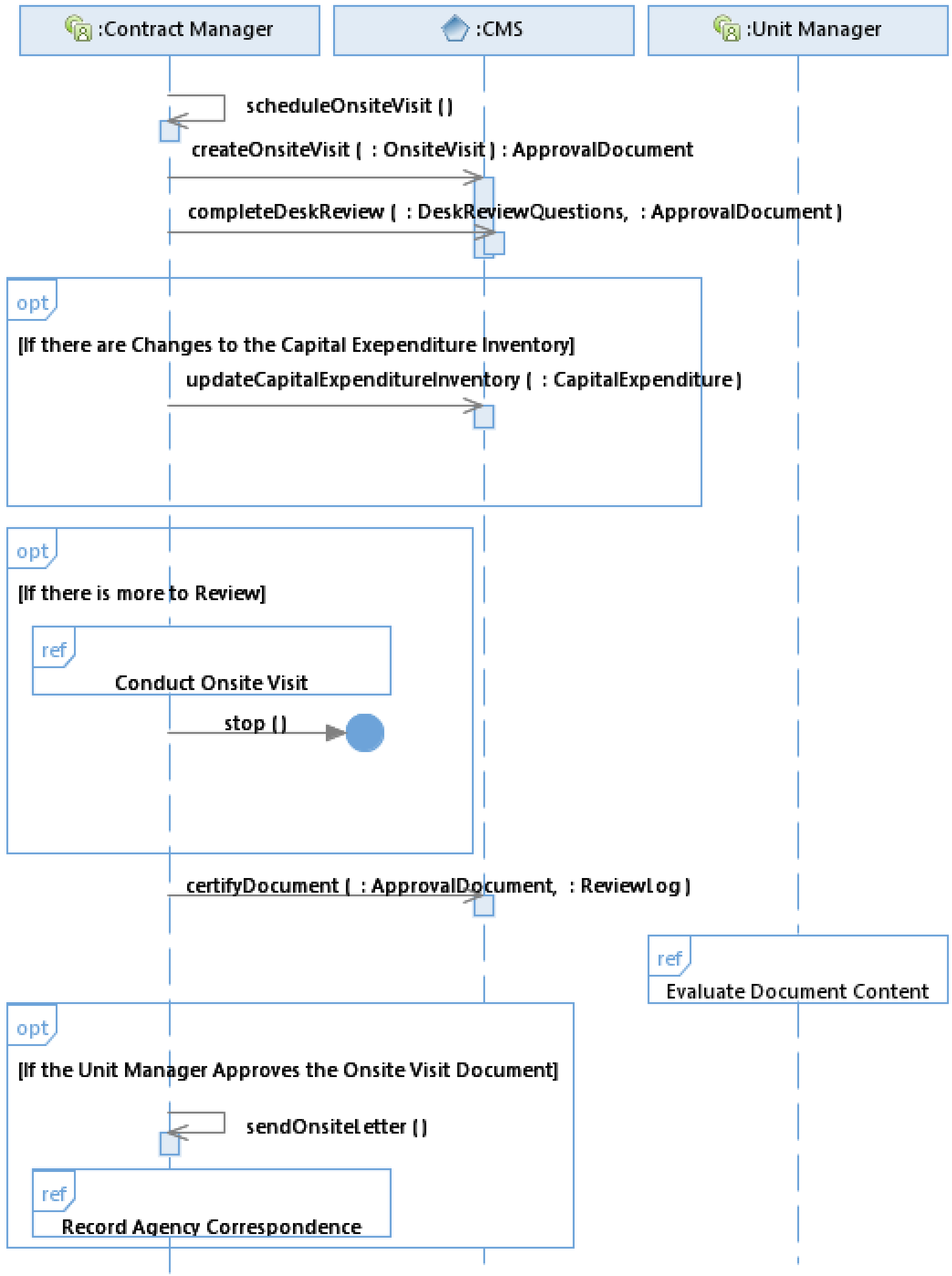
The Contract Manager accesses the System to record the results of the Onsite Visit. If Contract Manager is conducting a new Onsite Visit the Contract Manager creates a new Onsite Visit Approval Document and selects the Contract Name, Program Name and Contract Period. If Contract Manager is resuming an Onsite Visit the Contract Manager accesses the existing Onsite Visit Approval Document for the Contract Name, Program Name and Contract Period. For each Focus Area the Contract Manager enters the Review Date, agency Signature Authority (who attends from the agency) and the Second Reviewer. The Contract Manager answers the Desk Review questions that correspond with each Focus Area.

The Onsite Visit, depending on the program size, may occur over the course of several days. When the Contract Manager needs additional time to conduct the Onsite Visit, the Contract Manager schedules another session with the Agency Representative and continues where they left off.

Once the Onsite Visit is complete the Contract Manager certifies the Onsite Visit Approval Document. The System sends a notification to the Unit Manager.

The Unit Manger accesses the System to evaluate the Onsite Visit Approval Document. If the Unit Manager approves the Onsite Visit, the System sends a notification to the Contract Manager.

The Contract Manager creates a formal Onsite Letter and emails the letter to the Agency Representative. The Contract Manager notes the Contract Correspondence including the: File Attachment, Comment, Correspondence Date, and Correspondence Type of Email.


:Contract Manager
:CMS
:Unit Manager
scheduleOnsiteVisit ()
createOnsiteVisit (: OnsiteVisit) : ApprovalDocument
completeDeskReview (: DeskReviewQuestions, : ApprovalDocument)
opt
[If there are Changes to the Capital Exependiture Inventory]
updateCapitalExpenditureInventory (: CapitalExpenditure)
opt
[If there is more to Review]
ref
Conduct Onsite Visit
stop ()
certifyDocument (: ApprovalDocument, : ReviewLog)
ref
Evaluate Document Content
opt
[If the Unit Manager Approves the Onsite Visit Document]
sendOnsiteLetter ()
ref
Record Agency Correspondence

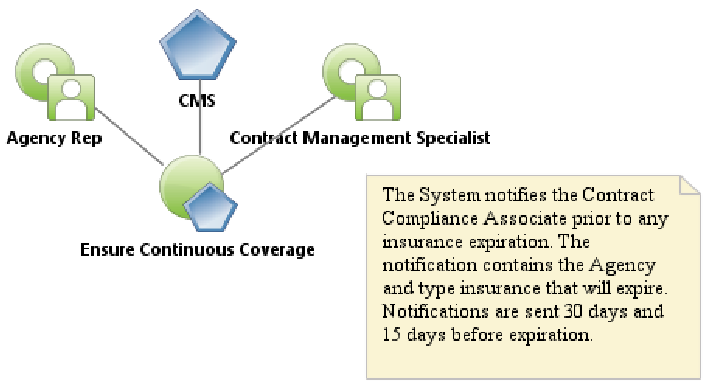
Req#	Type/Interface - Requirement Description
1	Contract Manager/scheduleOnsiteVisit
	The Contract Manager contacts the Agency's Representative and negotiates a time to conduct the Onsite Visit. The Contract Manager checks the city staff's availability on that day and asks for a second ride along member. The Contract Manager schedules an appointment in Outlook with a reminder one day prior to the schedule date.
2	CMS/createOnsiteVisit
	The System records the following fields for the Onsite Visit: Contract Name, Program Name and Contract Period, and Contract Manager. For each Focus Area the System records the following fields: Review Date, Signature Authority and the Second Reviewer.
3	CMS/completeDeskReview
	The System displays a set of Review Questions with possible responses of Yes, No or Not Applicable. The System records a Question, Response and Comment for each Question in the Question Set. The System requires a Comment for all 'No' responses.
4	CMS/updateCapitalExpenditureInventory
	The System records the following fields for each Capital Expenditure: Item Description, Item Cost, Purchase Date, Serial Number, Agency Tag Number and City Tag Number.
5	CMS/certifyDocument
	The System captures a 'signature' indicating certification of the Approval Document. The System records the following fields in the Review Log: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status of 'Certified'. Signature methods may include: typed name, electronic signature capture, or digital signatures.
6	CMS/sendNotifications
	The System uses a select, editable template to draft a message to one or more specified contacts and sends the message via email to the contacts.
7	CMS/sendOnsiteLetter
	The Contract Manager drafts a formal letter, the Onsite Letter, detailing the discussion points and findings of the Onsite Visit. The Contract Manager emails the Onsite Letter to the Agency Representative and any other stakeholders.

Desk Audit Questions

Prior Monitoring Results	
1	Was the previous monitoring report(s) free of findings?
2	Has there been appropriate progress toward resolving them?
3	If required or requested, other funders monitoring reviews have been provided from the past 12-months?
4	Were all concerns or findings resolved from other funding monitoring reviews? If applicable.
5	Additional Grant Requirements (If applicable)
Financial Review	
1	Does the financial documentation match reimbursement request?
2	Is there sufficient progress in spending/requesting funds to meet the contract goals? If not, is there a plan in place for making better progress in the future?
3	If advances of funds are issued, are funds spent and documented in the appropriate time frame?
4	Does documentation exist to support expenditures (receipts, vouchers, invoices, or other supporting information including general journal entries that support the payment request submitted)?
5	Does the contractor maintain records that indicate monthly bank reconciliations have been conducted?
6	If the contractor earns interest from contract funds, is the interest documented and used appropriately?
7	If the contractor earns program income from contract funds, is the program income documented and used appropriately?
8	Do the direct service costs appear to be reasonable and eligible under the contract terms?
9	Were procurement procedures followed for major purchases?
10	Do the administrative costs appear to be reasonable, eligible and limited to the appropriate % under the contract terms?
11	Are records maintained that indicate how administrative costs are used?
12	Additional Grant Requirements (If applicable)
Performance Review	
1	Do written materials, project files, and staff interviews indicate that contract activities are consistent with the contract terms/provisions?

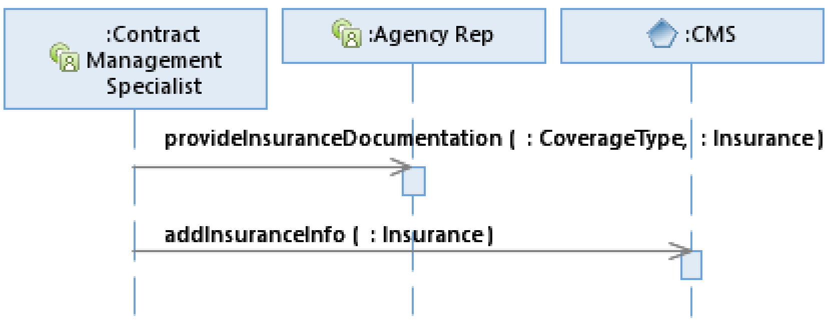
2	Is there documentation to verify reported results for specific performance goals stated in the contract?
3	Does an inspection of a sample of files (client, participant, activity, etc.) indicate that proper documentation is maintained?
4	Additional Grant Requirements (If applicable)
Administrative Review	
1	Have adequate records been retained for the appropriate period of time?
2	Based on information that came to light during planning, contractor interviews, or the documentation review: Is the contract not influenced by outside pressure or contractor relationships with special interest groups that could hinder the department's ability to sufficiently manage the contract?
3	Are all required postings and policies present?
4	Are employee files maintained with appropriate documentation?
5	Is there evidence that the contractor is in compliance with contract terms (even with those that do not require a report)?
6	If the Contractor works with Sub-Contractors, are there signed agreements for each of them that contain the critical pass through terms from the City?
7	If the Contractor works with Sub-Contractors, were sub-contractor agreements signed before disbursing/reimbursing any funds?
8	Additional Grant Requirements (If applicable)

2.2 Ensure Continuous Coverage



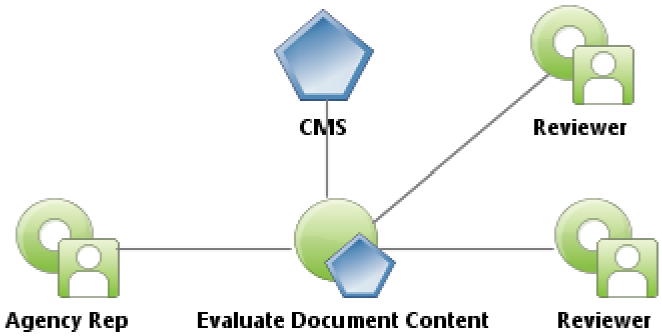
The Contract Compliance Associate receives notification of a change in the Agency's insurance status. The Contract Compliance Associate contacts the Agency Representative for the new insurance documentation. The Agency Representative provides the updated insurance documentation to the Contract Compliance Associate or provides rationale for an insurance exemption and requests a waiver.

The Contract Compliance Associate accesses the System to enter the latest Insurance information for each new insurance document including the following fields: Coverage Start Date, Coverage End Date, Coverage Comment and Coverage Type (General Liability, Auto, Professional, 'Directors and Officers', Blanket Crime, Cancellation Notice, Employee Dishonesty, EPLI, Property, 'Sexual Abuse and Molestation', Workman's Compensation, 'Excess – Umbrella', 'Waiver'). The Contract Compliance Associate also uploads an electronic copy of each corresponding insurance document.



Req#	Type/Interface - Requirement Description
8	Agency Representative/provideInsuranceDocumentation
	The Agency Representative provides documentation of all required insurance.
9	CMS/addInsuranceInfo
	The System the following fields for each type of insurance: Coverage Start Date, Coverage End Date, Coverage Comment and Coverage Type (General Liability, Auto, Professional, 'Directors and Officers', Blanket Crime, Cancellation Notice, Employee Dishonesty, EPLI, Property, 'Sexual Abuse and Molestation', Workman's Compensation, 'Excess – Umbrella', 'Waiver')

2.3 Evaluate Document Content



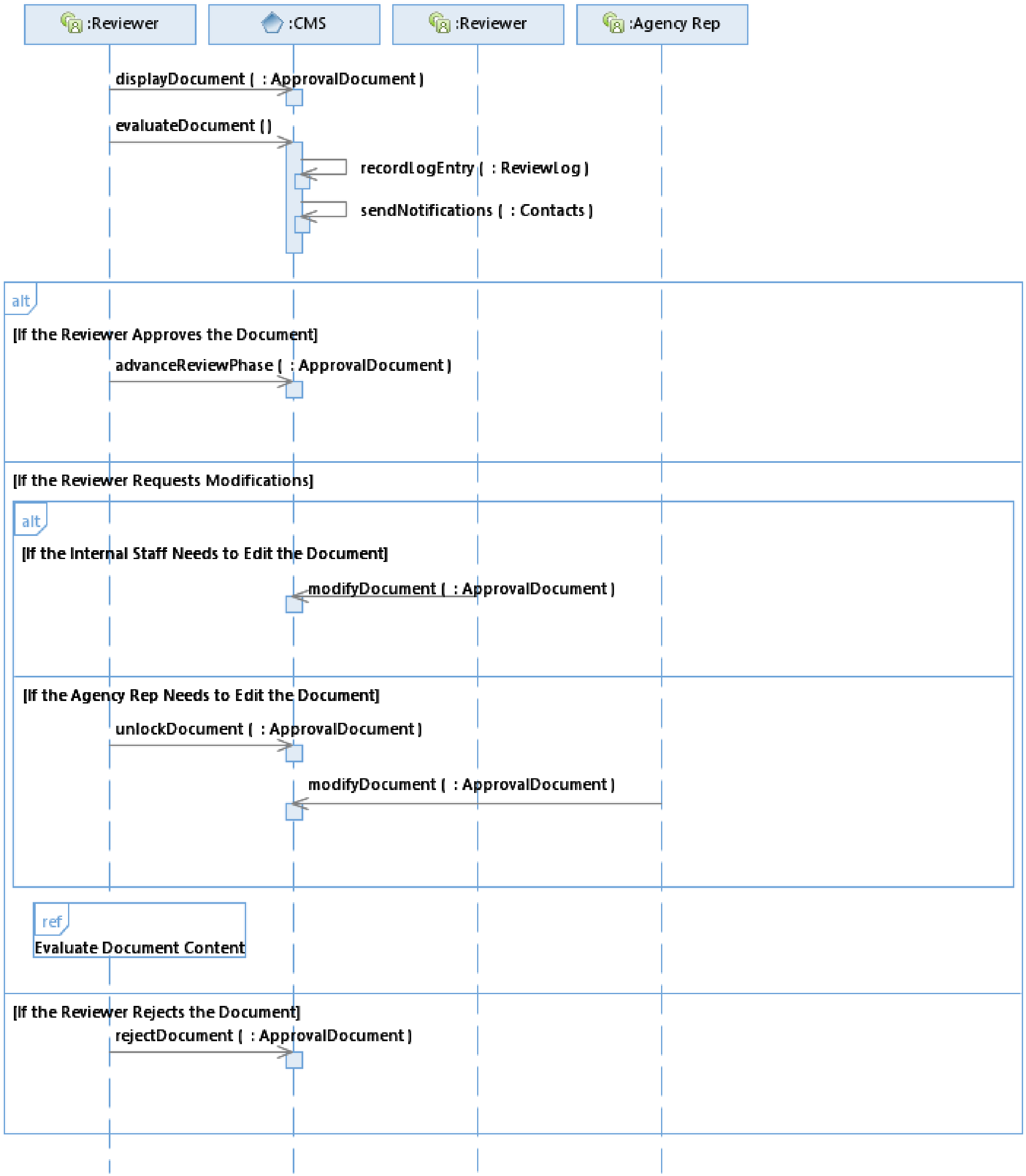
The Reviewer accesses the System to evaluate the Approval Document. The Reviewer performs a review of the document's content, clarity and completeness. The Reviewer indicates the quality of the content by indicating one of the following statuses for the Review Phase: Approved, Rejected or 'Request Modification'. The System generates a Review Log entry with the following fields: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status.

If Review Phase is approved, the System advances the Approval Document to the next Review Phase in the workflow and sends a notification to the appropriate Contact(s). If there are no other Review Phases the System sets the Approval Document's status to Approved and invokes role-based lock, preventing users from editing the content of the Approval Document*.

If Review Phase is rejected, sets the Approval Document's status to Rejected and invokes role-based lock, preventing users from editing the content of the Approval Document*. The System sends a notification to the appropriate Contact(s).

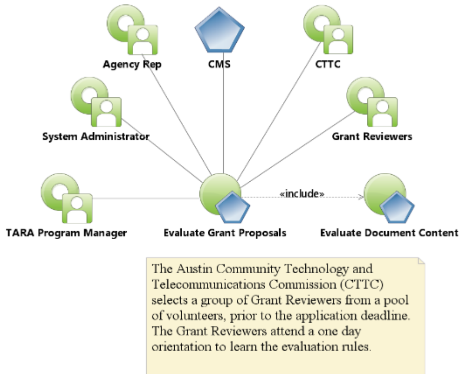
If Review Phase indicates the need for modification the Reviewer the System prompts the Reviewer to specify the appropriate Contact and provide detailed instructions. The System sends the Contact a notification with the attached instructions. The Contact accesses the System, makes the appropriate changes and notifies the current Reviewer. The Reviewer starts the evaluation process over again. (If the Contact is an Agency Representative the Reviewer enable editing for the Approval Document before changes can be made.)

* System users with the role of 'Admin Staff' may modify documents.


:Reviewer
:CMS
:Reviewer
:Agency Rep
displayDocument (: ApprovalDocument)
evaluateDocument ()
recordLogEntry (: ReviewLog)
sendNotifications (: Contacts)
alt
[If the Reviewer Approves the Document]
advanceReviewPhase (: ApprovalDocument)
[If the Reviewer Requests Modifications]
alt
[If the Internal Staff Needs to Edit the Document]
modifyDocument (: ApprovalDocument)
[If the Agency Rep Needs to Edit the Document]
unlockDocument (: ApprovalDocument)
modifyDocument (: ApprovalDocument)
ref
Evaluate Document Content
[If the Reviewer Rejects the Document]
rejectDocument (: ApprovalDocument)

Req#	Type/Interface - Requirement Description
10	CMS/displayDocument
	The System draws the data entry screen for the Approval Document.
11	CMS/evaluateDocument
	The System records the user's evaluation (Approved, Rejected, Request Modification) and sets the Approval Documents's status.
12	CMS/recordLogEntry
	The System records the following fields for a Review Log entry: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status
13	CMS/sendNotifications
	The System uses a select, editable template to draft a message to one or more specified contacts and sends the message via email to the contacts.
14	CMS/advanceReviewPhase
	The System advances the Approval Document to the next Review Phase in the workflow process. If the Approval Document is in the last Review Phase the System sets the Approval Document's status to Approved and invokes role-based lock, preventing users from editing the content of the Approval Document.
15	CMS/modifyDocument
	The System records changes to an Approval Document.
16	CMS/rejectDocument
	The System sets the Approval Document's status to Rejected and invokes role-based lock, preventing users from editing the content of the Approval Document.

2.4 Evaluate Grant Proposals



The Agency Representative accesses the System to create a GTOPS Application Approval Document. The Agency Representative enters a Budget narrative and uploads the following Support Documents: Organizational Budget and Proposed Budget. The Agency Representative enters a Work Statement narrative and uploads the following Support Document: Work Statement. The Agency Representative enters an Organizational Description narrative and uploads the following Support Documents: Marketing Materials, Program Description. The Agency Representative enters a Performance Measure narrative and uploads the following Support Document: Performance Measure Methodology. The Agency Representative uploads additional Support Documents including: Letters of Support, In-Kind Match Funding, and a Program Argument. The Agency Representative certifies the GTOPS Application.

The (TARA) Program Manager accesses the System to perform an internal application review. The Program Manager reviews each GTOPS Application for sufficient content and documentation. If the Program Manager approves the GTOPS Application, the System sends a notification to the Agency Representative notifying them of acceptance. If the Program Manager finds the application content lacking in a certain area, the Program Manager contacts the Agency Representative and requests a revision. (The Agency Representative have one week from the original submission deadline, to complete the revisions; otherwise the Agency is out of the running for the grant.)

The Program Manager divides the applications into two random groups, with concessions for Agencies submitting multiple applications to remain in the same group. The Program Manager divides the Grant Reviewers into two random groups and assigns each group one group of applications to review, with concessions for Grant Reviewer conflicts of interest and to consolidate multiple Grant Reviewers from the same Agency into the same group. The Program Manager presents the System Administrator with the groups. The System Administrator creates user accounts, sets the appropriate System access levels and notify the Agency Representatives.

The Grant Reviewers begin the first round of evaluations by accessing the System to review the GTOPS Applications assigned to their group. Each Grant Reviewer creates a GTOPS Evaluation Approval Document, answers a series of Evaluation Questions and certifies the document. Each answer has a set corresponding point value that the System totals upon completion to create an Evaluation Score. A Grant Reviewer may recuse themselves from the evaluation, by marking the Recusal indicator and certifying the document, in which case the Evaluation Score is zero.

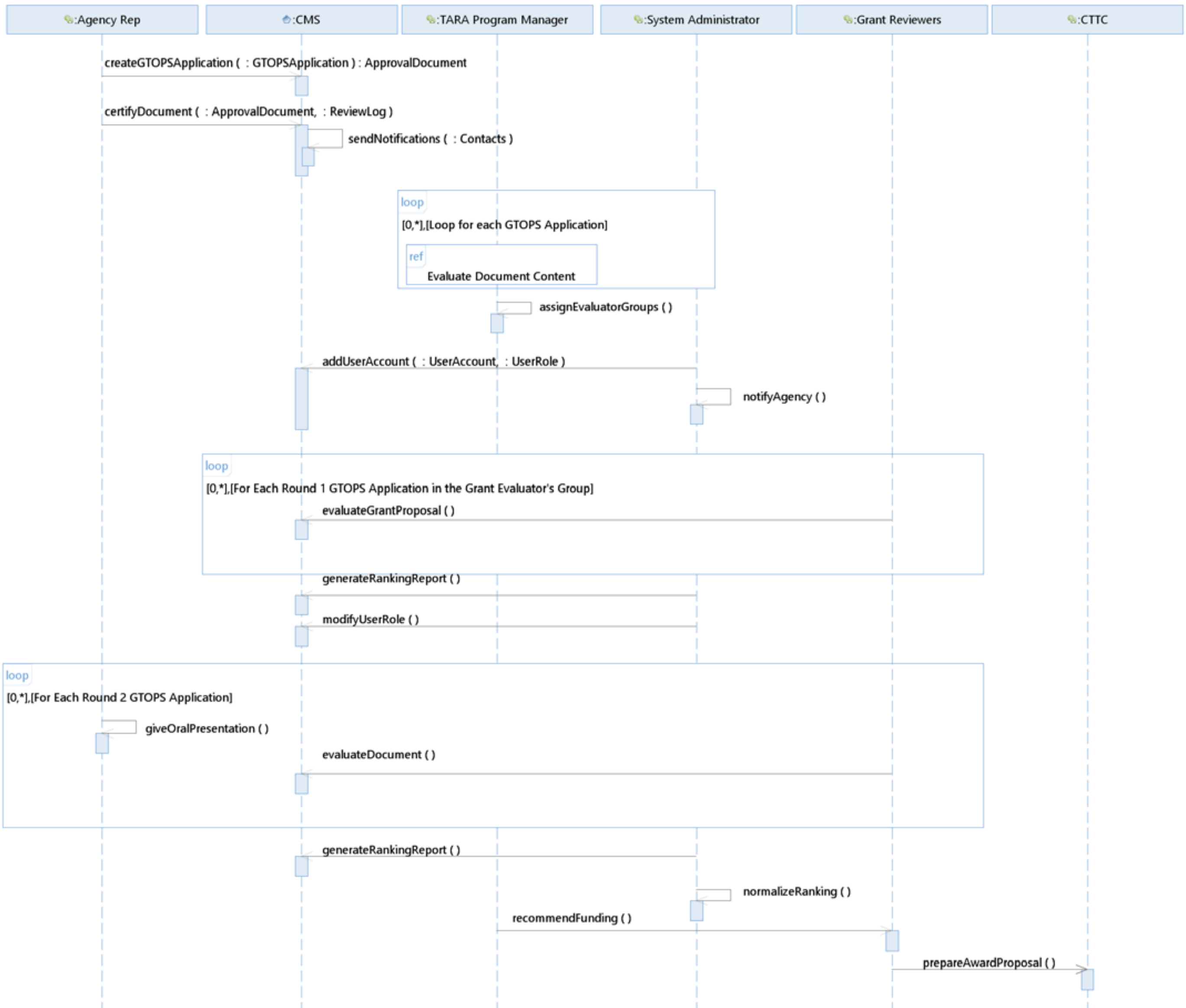
The Program Manager runs the ‘Round 1 Ranking’ report, which lists the GTOPS Applications by average point value accumulation, excluding recusals. The Program Manager selects the top ranking applications (top 15) to move forward to the next round of evaluations and emails the Agency Representatives indicating if the GTOPS Application is moving to the next round of evaluations. The Program Manager instructs the System Administrator modify the Grant Reviewers access level permissions so they may review the second round GTOPS Applications.

The Grant Reviewers begin the second round of evaluations by attending oral presentations at City Hall. Each Agency Representative gives a brief presentation to Austin Community Technology and Telecommunications Commission (CTTC). After each presentation the Grant Reviewers access the System to create an Evaluation Approval Document, answer a series of Evaluation Questions and certify the Evaluation. (Grant Reviewers may review their first round Evaluation of the GTOPS Application prior to entering a second evaluation.)

The System Administrator accesses the System to run the 'Round 2 Ranking' report, which lists the GTOPS Applications by average point value accumulation, excluding recusals. The System Administrator exports, normalizes the scores and sends the normalized ranking to the Program Manager. The Program Manager relays the results to the Grant Reviewers, who make recommendations regarding the percentage of funding each GTOPS Application should receive. The Grant Reviewers present their recommendations to the CTTC.

The CTTC takes the recommendations under advisement, changing the recommendations upon consensus, and provides the final award proposal to the Assistant City Manager for signature.

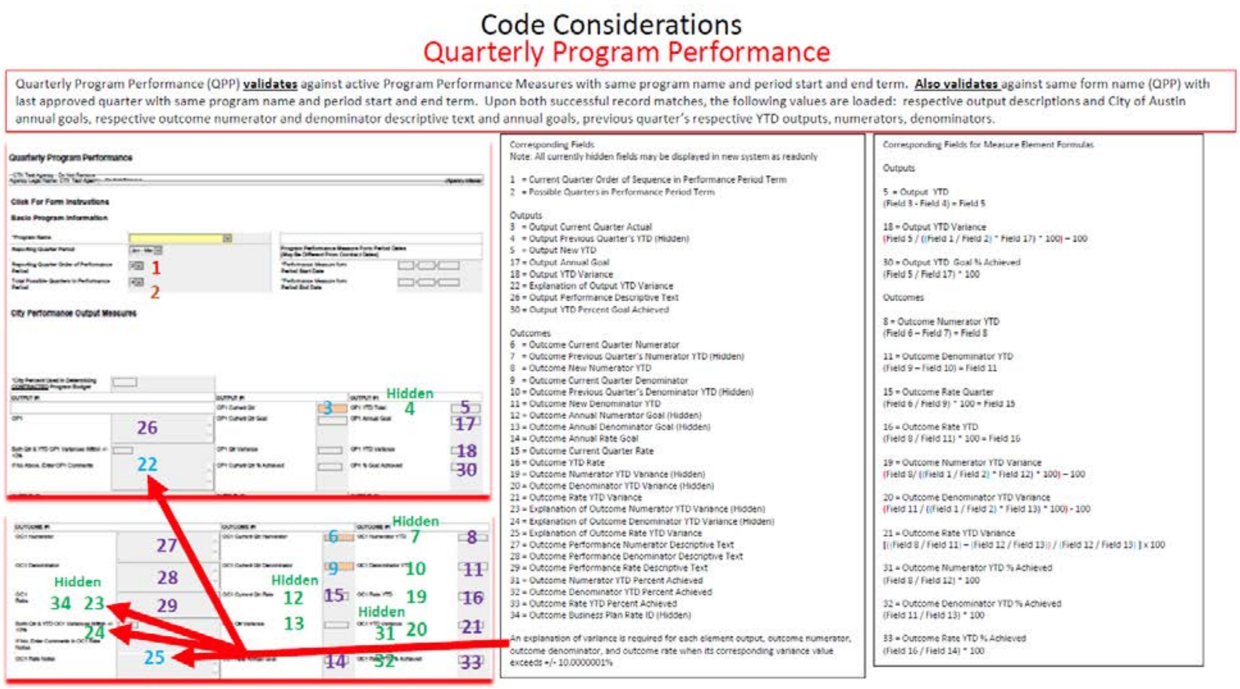
* Grant Reviewers may only access evaluations they personally complete.


:Agency Rep
:CMS
:TARA Program Manager
:System Administrator
:Grant Reviewers
:CTTC
createGTOPSApplication (: GTOPSApplication) : ApprovalDocument
certifyDocument (: ApprovalDocument, : ReviewLog)
sendNotifications (: Contacts)
loop
[0,*],[Loop for each GTOPS Application]
ref
Evaluate Document Content
assignEvaluatorGroups ( )
addUserAccount (: UserAccount, : UserRole)
notifyAgency ( )
loop
[0,*],[For Each Round 1 GTOPS Application in the Grant Evaluator's Group]
evaluateGrantProposal ( )
generateRankingReport ( )
modifyUserRole ( )
loop
[0,*],[For Each Round 2 GTOPS Application]
giveOralPresentation ( )
evaluateDocument ( )
generateRankingReport ( )
normalizeRanking ( )
recommendFunding ( )
prepareAwardProposal ( )

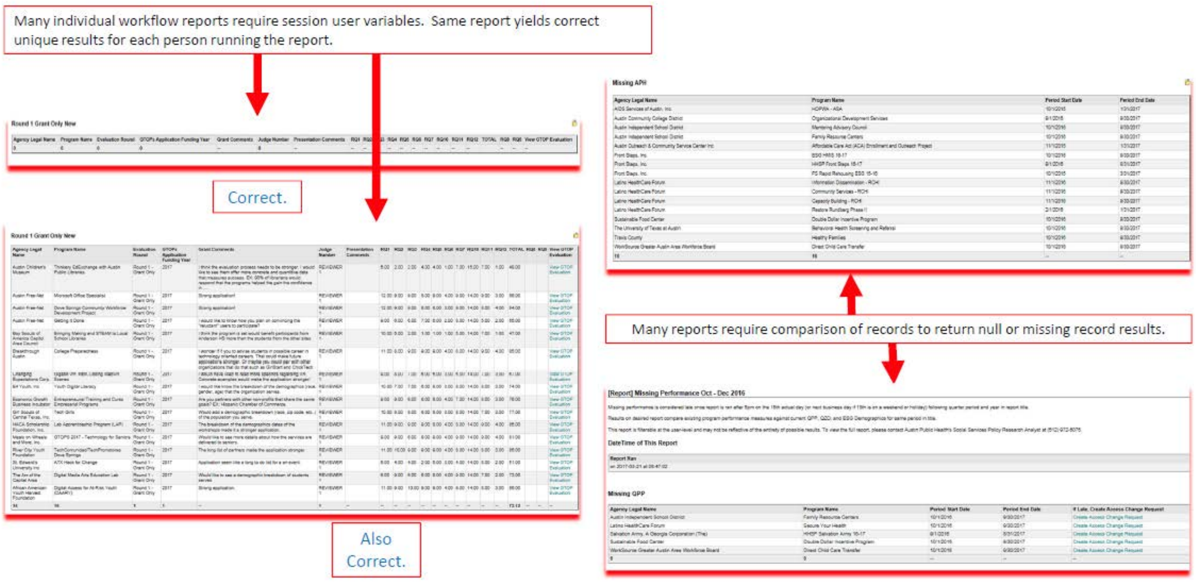
Req#	Type/Interface - Requirement Description
17	Agency Representative/createGTOPSApplication
	The System creates a GTOPS Application Approval Document and records the following narrative fields: Budget, Work Statement, Organizational Description and Performance Measure Description. The System records Support Documents of the following types: Organizational Budget, Proposed Budget, Work Statement, Marketing Materials, Program Description, Performance Measure Methodology, Letters of Support, In-Kind Match Funding, and Program Argument.
18	CMS/certifyDocument
	The System captures a 'signature' indicating certification of the Approval Document. The System records the following fields in the Review Log: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status of 'Certified'. Signature methods may include: typed name, electronic signature capture, or digital signatures.
19	CMS/sendNotifications
	The System uses a select, editable template to draft a message to one or more specified contacts and sends the message via email to the contacts.
20	TARA Program Manager/assignEvaluatorGroups
	The Program Manager divides the applications into two random groups, with concessions for Agencies submitting multiple applications to remain in the same group. The Program Manager divides the Grant Reviewers into two random groups and assigns each group one group of applications to review, with concessions for Grant Reviewer conflicts of interest and to consolidate multiple Grant Reviewers from the same Agency into the same group. The Program Manager presents the System Administrator with the groups.
21	CMS/addUserAccount
	The System creates a new User Account and assigns a User Role to the User Account. The User Account includes First Name, Last Name, User Name, Email Address, Phone Number, Date Requested, Date Approved and an indicator for Site Administrator.
22	System Administrator/notifyAgency
	The System Administrator notifies the Agency Representative with user information and further instructions.
23	Grant Reviewers/evaluateGrantProposal
	The Grant Reviewers access the System to review each assigned GTOPS Application and create corresponding Evaluation Approval Document. The Grant Reviewers answer a series of point-based questions regarding each GTOPS Application.
24	CMS/generateRankingReport
	The System generates a Ranking Report listing each GTOPS Application in order of the point value accumulation.
25	Agency Representative/giveOralPresentation
	The Agency Representative makes an oral presentation to the CTTC as to why their need should be funded by the grant.
26	System Administrator/modifyUserAccount

	The System modifies the User Role and/or changes the following User Account fields including: First Name, Last Name, Email Address, Phone Number, Date Requested, Date Approved and an indicator for Site Administrator.
27	System Administrator/normalizeRanking
	The System Administrator normalized the ranking report by removing outlier records and biased leanings via a spreadsheet and reports the findings.
28	Grant Reviewers/recommendFunding
	The Program Manager relays the application ranking to the Grant Reviewers, who make recommendations regarding the percentage of funding each GTOPS Application should receive. The Grant Reviewers present their recommendations to the CTTC.
29	CTTC/prepareAwardProposal
	The CTTC takes the recommendations under advisement, changing the recommendations upon consensus, and provides the final award proposal to the Assistant City Manager for signature.

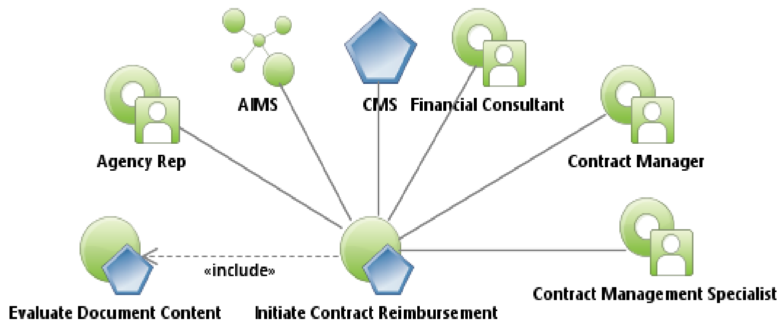
See a sample screen shot below of current work flow



Code Considerations
Common Throughout System



2.5 Initiate Contract Reimbursement



The Agency Representative accesses the System to create a Monthly Expenditure Report (MER) Approval Document. The Agency Representative selects the Contract Name, Program Name and Program Period for the MER and enters the following information: Reimbursement Period (1-13), indicator of Final Expenditure, Expenditure Period Start Date, and Expenditure Period End Date. The Agency Representative enters the Current Month Expenditure amount for each Expenditure Subcategory of the following Expenditure Categories: Personnel, Operating, Direct Assistance/Other, and Capital Outlay. The Agency Representative uploads one or more Support Documents, which help justify the expenditures. If the Agency's Contract involves the Texas Department of Housing and Community Affairs (TDHCA) Homeless Housing and Services Program (HHSP), the Agency Representative enters a Current Month Expenditure amount for each HHSP Expenditure Subcategory.

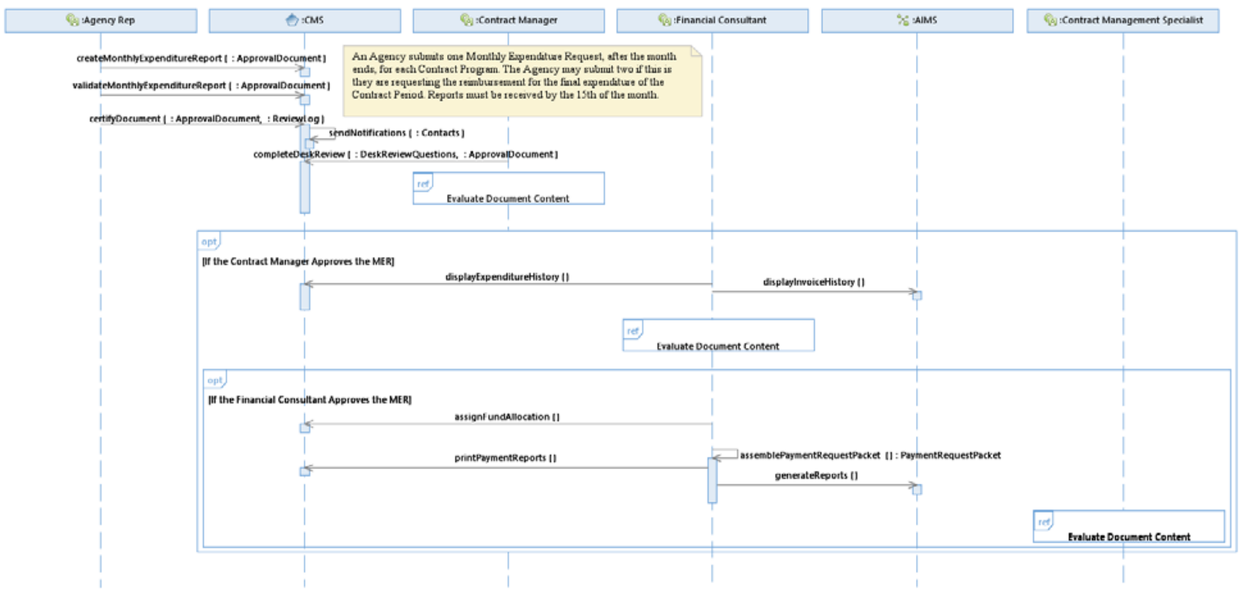
After data entry, the Agency Representative instructs the System to validate the data entry. The System accesses the Budgeted Expenditures and the Approved Expenditures for the Contract Period. The System aggregates the Approved Expenditures by Expenditure Category and Expenditure Subcategory, formulating the year-to-date (YTD) Expenditure Amount for each of the following Expenditure Categories: Personnel, Operating, Direct Assistance/Other, and Capital Outlay. The System calculates the Current Budget Balance by subtracting the YTD Expenditure Amount and Current Month Expenditure amount from the Budgeted Expenditure Amount for each Expenditure Category. The System displays the results of the calculation and prompts the Agency Representative if the remaining balance is less than zero. If the Agency's Contract involves HHSP the System aggregates the Current Monthly Expenditure for the HHSP Expenditure Category.

The Agency Representative certifies the MER. The System sends notifications to the Agency Representative, Agency Executive Director, Primary Financial Contact, Secondary Financial Contact and the Contract Manager for the Program. The Contract Manager accesses the System to evaluate the MER and complete a set of Desk Review Questions. (Additional Desk Review Question apply if the Annual Contract is an HIV contract.) If the Contract Manager approves the MER the System sends a notification to the Financial Consultant.

The Financial Consultant accesses the System to evaluate the MER. The Financial Consultant researches the historical Expenditures for the Program Period. The Financial Consultant accesses the Accounting Information and Management System (AIMS) to research the last payment's status and verify the balance information is correct. Prior to approval the Financial Consultant enters one or more Delivery Orders (DO) for funding purposes. The Delivery Order information consists of the following: Commodity Line Number, FDU and Allocation Amount.

If the Financial Consultant approves the MER the System sends a notification to the Contract Compliance Associate. The Financial Consultant prints the Payment Request report and Substitute Vendor Invoice (SVI) from the System. The Financial Consultant prints the Vendor Information Page, Vendor Address Page and a copy of the Delivery Order from AIMS. The Financial Consultant assembles the paperwork into a Payment Request Packet and delivers it to Contract Compliance.

The Contract Compliance Associate reviews the Payment Request Packet (PRP). If the Contract Compliance Associate approves they access the System to note the evaluation of the MER document. The System marks each Expenditure as Approved and sends notifications to each following: Contract Manager, Financial Consultant and Agency Representative. The Contract Compliance Associate delivers the Payment Request Packet to APH's Accounting Department.



Req#	Type/Interface - Requirement Description
30	Contract Manager/ createMonthlyExpenditureReport
	The System records the following fields for the Monthly Expenditure Report: Contract Name, Program Name, Program Period, Reimbursement Period, Final Expenditure indicator, Expenditure Period Start Date, and Expenditure Period End Date. The System records the following fields for each expenditure: Current Month Expenditure Amount, Category and Subcategory.
31	CMS/ validateMonthlyExpenditureReport
	The System calculates and displays the year-to-date expenditures for the Contract Period, by totaling the Current Month Expenditures with an approved indicator for each Expenditure Category. The System calculates and displays the Current Budget Balance for each Expenditure Category by subtracting the City Funded Amount (from Budget & Narrative) from the year-to-date expenditures. The System calculates and displays the Expenditure Estimate for each Expenditure Category by subtracting the Current Month Expenditures from the Current Budget Balance and prompts the user the System detects a zero balance or negative balance.
32	CMS/certifyDocument
	The System captures a 'signature' indicating certification of the Approval Document. The System records the following fields in the Review Log: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status of 'Certified'.

	Signature methods may include: typed name, electronic signature capture, or digital signatures.
33	CMS/sendNotifications
	The System uses a select, editable template to draft a message to one or more specified contacts and sends the message via email to the contacts.
34	CMS/completeDeskReview
	The System displays a set of Review Questions with possible responses of Yes, No or Not Applicable. The System records a Question, Response and Comment for each Question in the Question Set. The System requires a Comment for all 'No' responses.
35	CMS/displayExpenditureHistory
	The System displays the Expenditures with an approved indicator for the Contract Period.
36	AIMS/displayInvoiceHistory
	The System displays the Invoices and Payment Status for the Contract Period.
37	assignFundAllocation
	The System records the following fields for each Delivery Order on the Monthly Expenditure Report: Commodity Line Number, FDU and Allocation Amount.
38	CMS/printPaymentReports
	The System generates print versions of the following: Expenditure Report, Contract Desk Review, Sign Off Log and Payment Allocations. The System generates the Payment Request and Substitute Vendor Invoice (SVI) reports. These reports are customized to match the paper documents in use by the purchasing documents. Print outs must match paper documents exactly.
39	Financial Consultant/assemblePaymentRequestPacket
	The Financial Consultant assembles a Payment Request Packets for the Accounts Payable team, which is a physical file folder containing the following paper documents: Payment Request, Substitute Vendor Invoice (SVI), Vendor Information Page, Vendor Address Page and a copy of the Delivery Order.
40	AIMS/generateReports
	The AIMS system provides financial summary reports and a copy of the original delivery order language, required for all payment submissions.

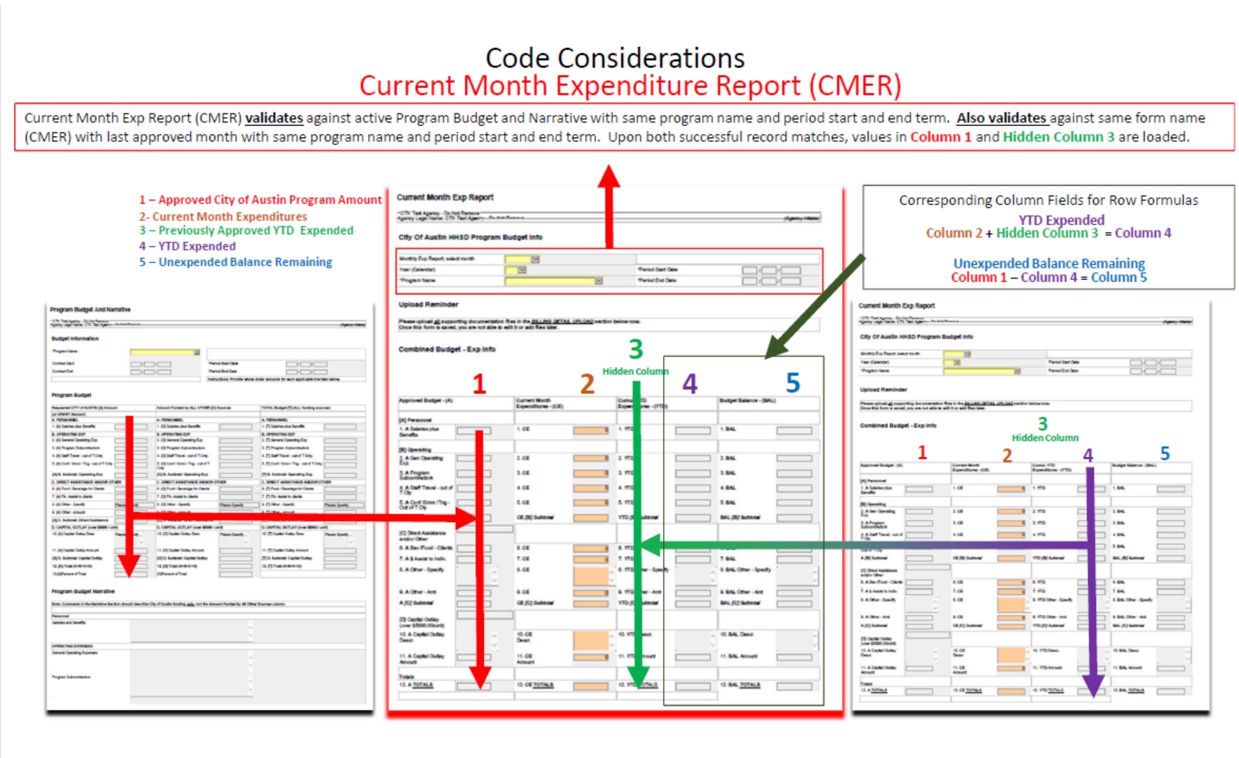
Expenditure Categories & Subcategories

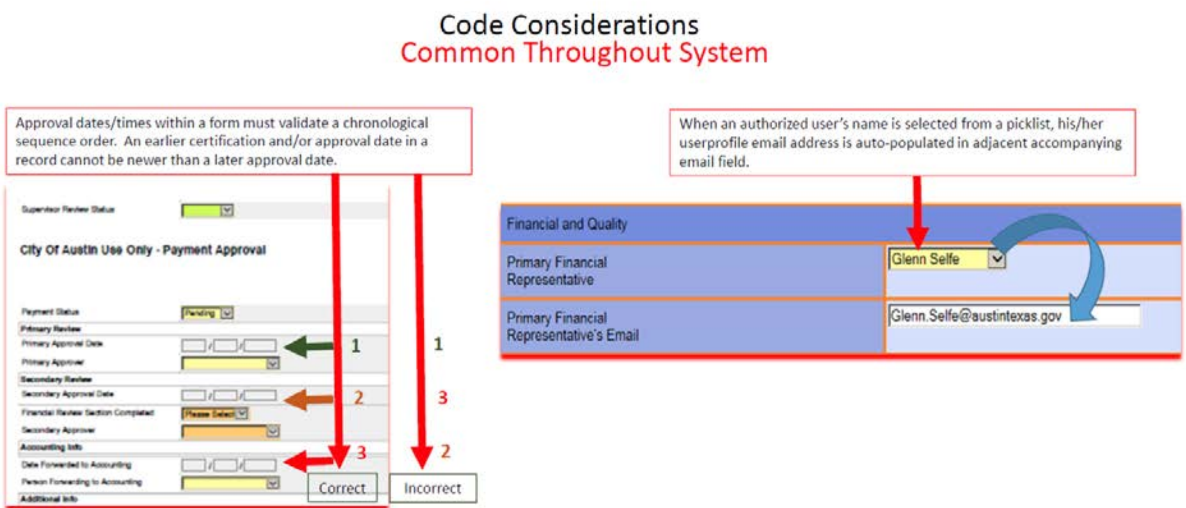
Expenditure Category	Expenditure Subcategory
Personnel	Salaries and Benefits
Operating	General Operating Expense
Operating	Program Subcontractors
Operating	Staff Travel out of Town/County
Operating	Conference/Seminar/Training out of Town/County
Direct Assistance/Other	Food/Beverages for Clients
Direct Assistance/Other	Assistance to Individual
Direct Assistance/Other	Other
Capital Outlay	Capital Outlay
HHSP	Case Management
HHSP	Maintenance, Operations, and Furnishings
HHSP	Homeless Prevention / Direct Financial Assistance
HHSP	Construction/Rehab
HHSP	Homeless/Direct Financial Assistance

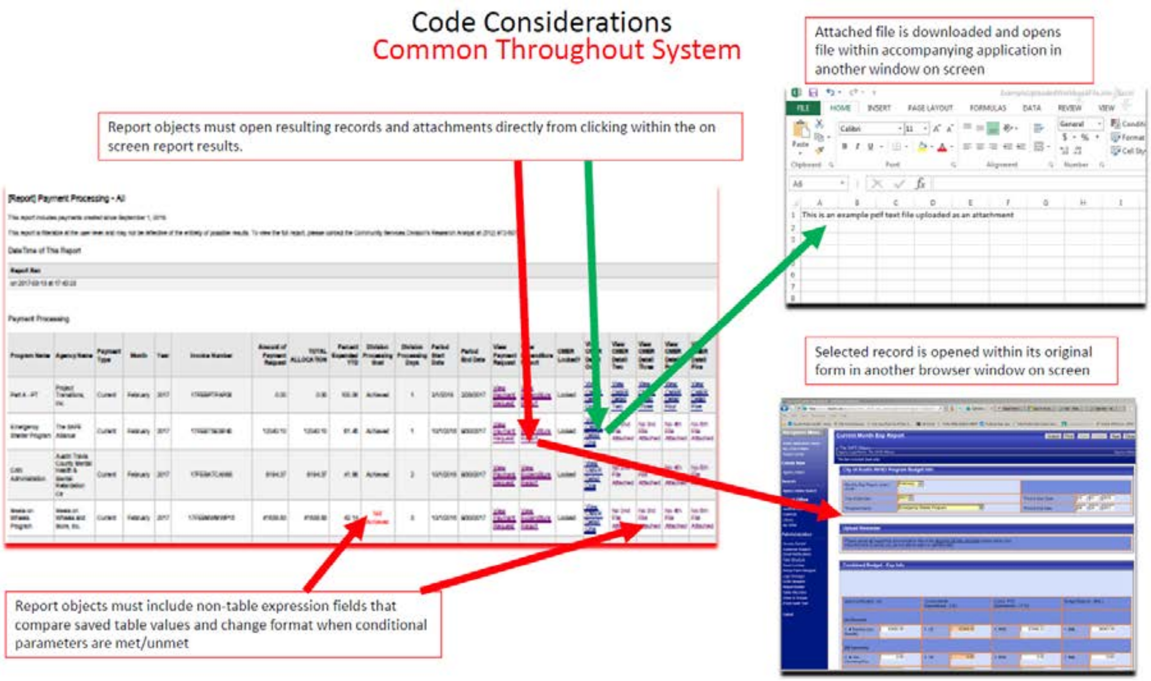
Desk Review Questions

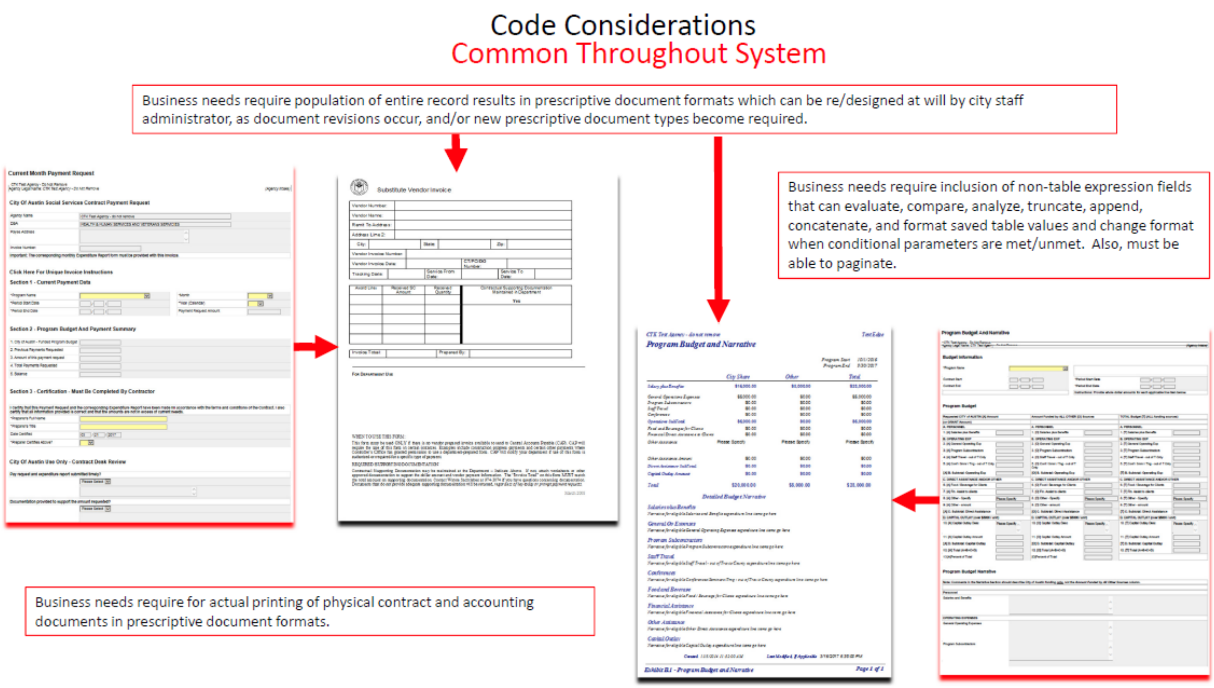
	Monthly Expenditure Request
1	Pay request and expenditure report submitted timely?
2	Documentation provided to support the amount requested
3	Accounting is correct on request form?
4	All expenses are allowable?
5	Are expenditures for administrative/indirect costs versus direct service delivery costs within approved range and/or reasonable? If not, what was done to address issues?
6	Has the contractor made adequate progress toward spending funds awarded?
7	Approved procurement procedures were followed?
8	Additional Grant Requirements (If applicable)

See a sample screen shot below of current work flow

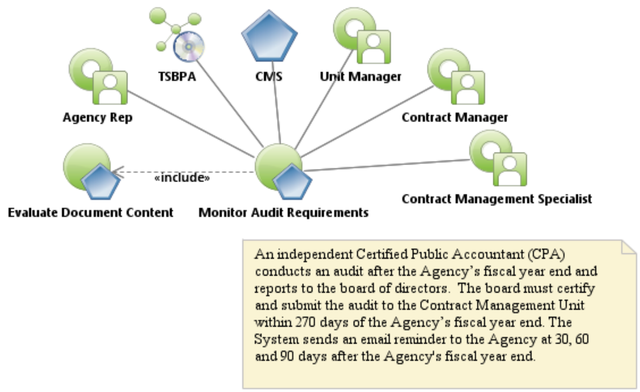





Code Considerations
Common Throughout System
Attached file is downloaded and opens file within accompanying application in another window on screen
Report objects must open resulting records and attachments directly from clicking within the on screen report results.
Selected record is opened within its original form in another browser window on screen
Report objects must include non-table expression fields that compare saved table values and change format when conditional parameters are met/unmet


Code Considerations
Common Throughout System
Business needs require population of entire record results in prescriptive document formats which can be re/designed at will by city staff administrator, as document revisions occur, and/or new prescriptive document types become required.
Business needs require inclusion of non-table expression fields that can evaluate, compare, analyze, truncate, append, concatenate, and format saved table values and change format when conditional parameters are met/unmet. Also, must be able to paginate.
Business needs require for actual printing of physical contract and accounting documents in prescriptive document formats.

2.6 Monitor Audit Requirements



The Agency Representative submits the original hardbound copy of the Agency's annual audit findings to the Contract Management Specialist. A Management Letter, may also accompany the audit findings when the Agency's Board of Directors wishes to make known their disagreement with the audits findings.

The Contract Management Specialist unbinds the audit findings and scans the pages into an electronic document. The Contract Management Specialist contacts the audit firm to verify the audit date and the date of the board briefing. The Contract Management Specialist then accesses the Texas State Board of Public Accountancy (TSBPA) website to verify the auditor's license is current and in good standing.

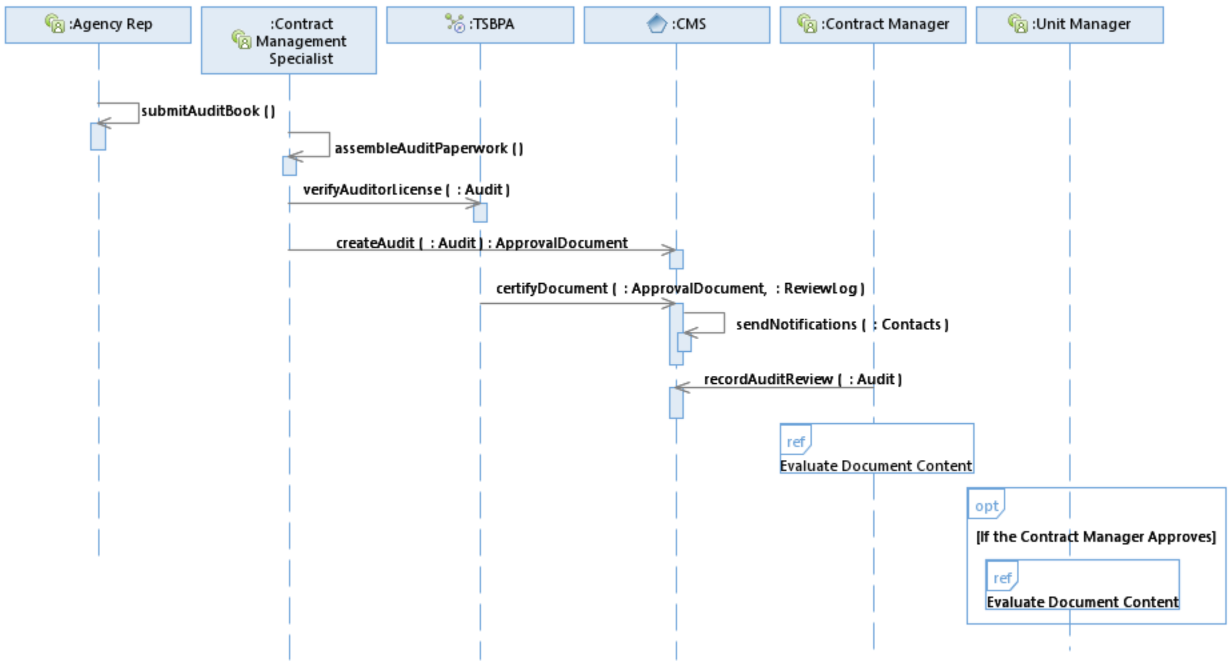
The Contract Management Specialist accesses the System to create an Audit Approval Document. The Contract Management Specialist selects the Agency, then selects a Contract Manager for review and enters the following fields: Audit Comments, Audit Received Date, indicator of Management Letter Required, indicator of Management Letter Received, indicator of Board Certification Received, Board Approval Date, Audit Verification Date, Auditor's Firm Name, indicator of Current CPA License, TSBPA Verification Date and indicates if there is a need for Corrective Action. The Contract Management Specialist uploads the following Support Document Types: Audit Finding, Board Certification, CPA Verification, and Management Letter. The Contract Management Specialist certifies the Audit. The System sends a notification to the Contract Manager.

The Contract Manager accesses the System to review the Audit document. The Contract Manager enters further review information including: indicator of 2CFR200F, Federal Clearinghouse Date, indicator of Prior Audit Approval, indicator of Timely Completion, indicator for Corrective Action, Compliance Finding, Control Finding, Compliance w/ Federal Award and Control w/ Federal Award. The Contract Manager enters an opinion on each audit finding entering the following Audit Finding information: Description, indicator of Federal Award, Programs Affected and Corrective Action.

The Contract Manager enters the Concentration of Revenue for each Revenue Area including: Federal Grant Funds, Other Government Funds, In Kind / Donations and Other Revenue. The Contract Manager enters a dollar amount for the Current Assets and Current Liabilities. The Contract Manager enters the Number of Audit Period Days, Cash On Hand, Total Operating Expense, Depreciation Expense and Audit Recommendation.

The Contract Management Specialist evaluates the document. If the Contract Manager approves, the System sends a notification to the Unit Manager and if the Desk Review indicates the Agency must take corrective action, the System sends the Contract Management Specialist a notification with a 30 day reminder to verify the Agency's state of compliance.

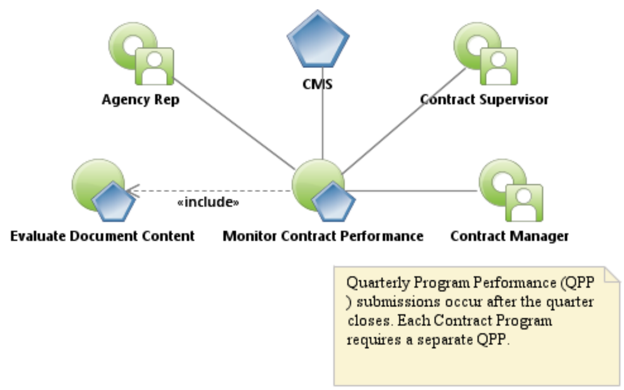
The Unit Manager accesses the System to evaluate the contents of the document.



Req#	Type/Interface - Requirement Description
41	Agency Rep/submitAuditBook
	The Agency Representative submits the original hardbound copy of the Agency's annual audit findings to the Contract Management Specialist and Management Letter, if the Board of Directors wants to denote a disagreement with the audits findings.
42	Contract Management Specialist/assembleAuditPaperwork
	The Contract Management Specialist unbinds the audit findings and scans the pages into an electronic document. The Contract Management Specialist contacts the original audit firm to verify the audit date and the date of the board briefing.
43	TSBPA/verifyAuditorLicense
	The TSBPA presents information concerning registered audit firms and auditors including: the auditor's license is and current license standing.
44	CMS/createAuditReport
	The System creates an Audit Approval Document and records the following fields Agency Name, Contract Manager, Audit Comments, Audit Received Date, indicator of Management Letter Required, indicator of Management Letter Received, indicator of Board Certification Received, Board Approval Date, Audit Verification Date, Auditor's Firm Name, indicator of Current CPA License, TSBPA Verification Date and indicator of needed Corrective Action. The Systems stores electronic versions of the following Support Document Types: Audit Finding, Board Certification, CPA Verification, and Management Letter.
45	CTK Replacement/certifyDocument
	The System captures a 'signature' indicating certification of the Approval Document. The System records the following fields in the Review Log: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status of 'Certified'. Signature methods may include: typed name, electronic signature capture, or digital signatures.

46	CTK Replacement/sendNotifications
	The System uses a select, editable template to draft a message to one or more specified contacts and sends the message via email to the contacts.
47	CMS/recordAuditReview
	The System displays the internal use only section of the Audit Approval Document and records the following fields: 2CFR200F indicator, Federal Clearinghouse Date, Prior Audit Approval indicator, Timely Completion indicator, Corrective Action indicator, Compliance Finding, Control Finding, Compliance w/ Federal Award and Control w/ Federal Award. The System records an opinion on each audit finding entering the following Audit Finding information: Description, indicator of Federal Award, Programs Affected and Corrective Action. The System records the Concentration of Revenue for each Revenue Area including: Federal Grant Funds, Other Government Funds, In Kind / Donations and Other Revenue. The Contract Manager enters a dollar amount for the Current Assets and Current Liabilities. The Contract Manager enters the Number of Audit Period Days, Cash On Hand, Total Operating Expense, Depreciation Expense and Audit Recommendation.

2.7 Monitor Contract Performance

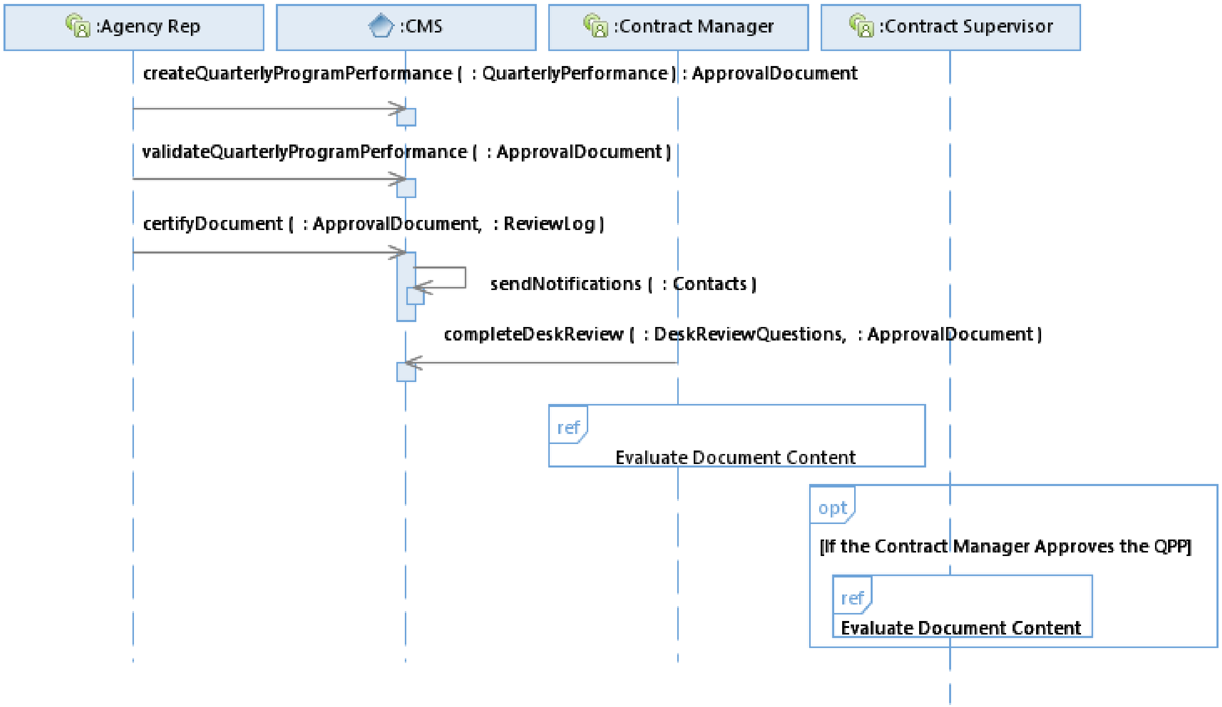


The Agency Representative accesses the System to create a Quarterly Program Performance (QPP) Approval Document. The Agency Representative selects the Contract Name, Program Name, Contract Period, Reporting Year and Reporting Period. The System determines, which Performance Measure(s) apply for the Contract and displays the data entry fields. The Agency Representative enters information for each Performance Measure. For each Output Measure in the Contract the Agency Representative enters the Quarter Output amount and Justification. If for each Outcome Measure in the Contract the Agency Representative enters an Outcome Numerator, Outcome Denominator, and Justification. The Agency Representative also enters the Total People Served for each Demographic Category and Demographic Subcategory.

The Agency Representative instructs the System to validate the data entry. The System aggregates the quarterly (QTR) and year-to-date (YTD) numbers for each Performance Measure; using the numbers from the 'Approved' Outcome and Output numbers for the Contract Period. For each Output Performance Measure the System calculates the QTR Goal, YTD Output, YTD Goal as well as the QTR Output Variance and YTD Output Variance. For each Outcome the system calculates the QTR Rate, QTR Numerator Goal, QTR Denominator Goal, QTR Rate Goal, YTD Numerator, YTD Denominator, YTD Rate, YTD Numerator Goal, YTD Denominator Goal, YTD Rate Goal as well as the QTR Numerator Variance, QTR Denominator Variance, YTD Numerator Variance, YTD Denominator Variance, and YTD Rate Variance. The System displays the aggregated totals for each Performance Measure. If the System detects more than a 10% variance (positive or negative) and the Justification field is empty, the System displays an error prompt with instructions to enter a Justification. The System aggregates the Total People Served for each Demographic Category on the QPP. The System compares the Total People Served across each Demographic Category. If the total is not the same in each Demographic Category, the System display an error prompt.

The Agency Representative certifies the QPP. The System sends notifications to both the Agency Representative and the Contract Manager for the Program. The Contract Manager accesses the System to evaluate the QPP document and completes a set of Desk Review Questions. If the Contract Manager approves the QPP document the System sends a notification to the Contract Supervisor.

The Contract Supervisor accesses the System to evaluate the QPP document. If the Contract Supervisor approves the QPP, the System sets the Approved indicator for each Performance Measure and Demographic then sends notifications to each following: Agency Representative, Contract Manager, Agency Executive Director, Primary Performance Contact and Secondary Performance Contact.



Monitor Contract Performance

Req#	Type/Interface - Requirement Description
48	CMS/createQuarterlyProgramPerformance
	The System creates a Quarterly Program Performance Approval Document and records the following fields: Contract Name, Program Name, Contract Period, Reporting Year and Reporting Period. The System presents the user with the Performance Measure(s) for the Contract Period. For each Output Measure the System records the following fields: Output Total and Justification. For each Outcome Measure the System records the following fields: Outcome Numerator, Outcome Denominator, and Justification. The System calculates the Outcome Rate as (Outcome Numerator/Outcome Denominator) and stores the value. The System records the Total People Served for each Demographic Category and Demographic Subcategory.
49	CMS/validateQuarterlyProgramPerformance
	The System aggregates the quarterly (QTR) and year-to-date (YTD) numbers for each Performance Measure; using the numbers from the ‘Approved’ Outcome and Output numbers for the Contract Period. For each Output Performance Measure the System calculates the QTR Goal, YTD Output, YTD Goal as well as the QTR Output Variance and YTD Output Variance. For each Outcome the system calculates the QTR Rate, QTR Numerator Goal, QTR Denominator Goal, QTR Rate Goal, YTD Numerator, YTD Denominator, YTD Rate, YTD Numerator Goal, YTD Denominator Goal, YTD Rate Goal as well as the QTR Numerator Variance, QTR Denominator Variance, QTR Rate Variance, YTD Numerator Variance, YTD Denominator Variance, and YTD Rate Variance. The System displays the aggregated totals for each Performance Measure. If the System detects more than a 10% variance in any

	respect and the Justification field is empty, the System displays an error prompt with instructions to enter a Justification. The System aggregates the Total People Served for each Demographic Category on the QPP. The System compares the Total People Served across each Demographic Category. If the total is not the same in each Demographic Category, the System display an error prompt.
50	CMS/certifyDocument
	The System captures a 'signature' indicating certification of the Approval Document. The System records the following fields in the Review Log: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status of 'Certified'. Signature methods may include: typed name, electronic signature capture, or digital signatures.
51	CMS/sendNotifications
	The System uses a select, editable template to draft a message to one or more specified contacts and sends the message via email to the contacts.
52	CMS/completeDeskReview
	The System displays a set of Review Questions with possible responses of Yes, No or Not Applicable. The System records a Question, Response and Comment for each Question in the Question Set. The System requires a Comment for all 'No' responses.

Desk Review Questions

	Quarterly Program Performance
1	Performance report(s) submitted timely?
2	Is the entity making satisfactory progress on the work of this contract and/or meeting performance goals?
3	Achievement versus expenditures is reasonable?
4	Report(s) contains all necessary information?
5	Additional Grant Requirements (If applicable)

Demographic Categories and Subcategories

Age
Under 5
5 to 11
12 to 14
15 to 17
18 to 24
25 to 39
40 to 54
55 to 64
65 to 74
75 and Older
Gender

Female
Male
Transgender - Male To Female
Transgender - Female To Male
Balance - Gender Not Specified
Ethnicity
Hispanic or Latino
Not Hispanic or Latino
Balance - ethnicity not specified
Race
American Indian or Alaskan Native
Asian
Black or African American
Native Hawaiian or Other Pacific Islander
White
Some Other Race
Two or More Races
Balance – Race Not Specified
Income Status
Less than 50% of Federal Poverty Income Level (FPIL)
50% to 100% FPIL
101% to 150% FPIL
151% to 200% FPIL
More than 200% FPIL
Balance - Income Status Not Specified
Zip Code
78610
78617
78620
78621
78641
78645

78652
78653
78654
78660
78664
78669
78701
78702
78703
78704
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78751
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78756
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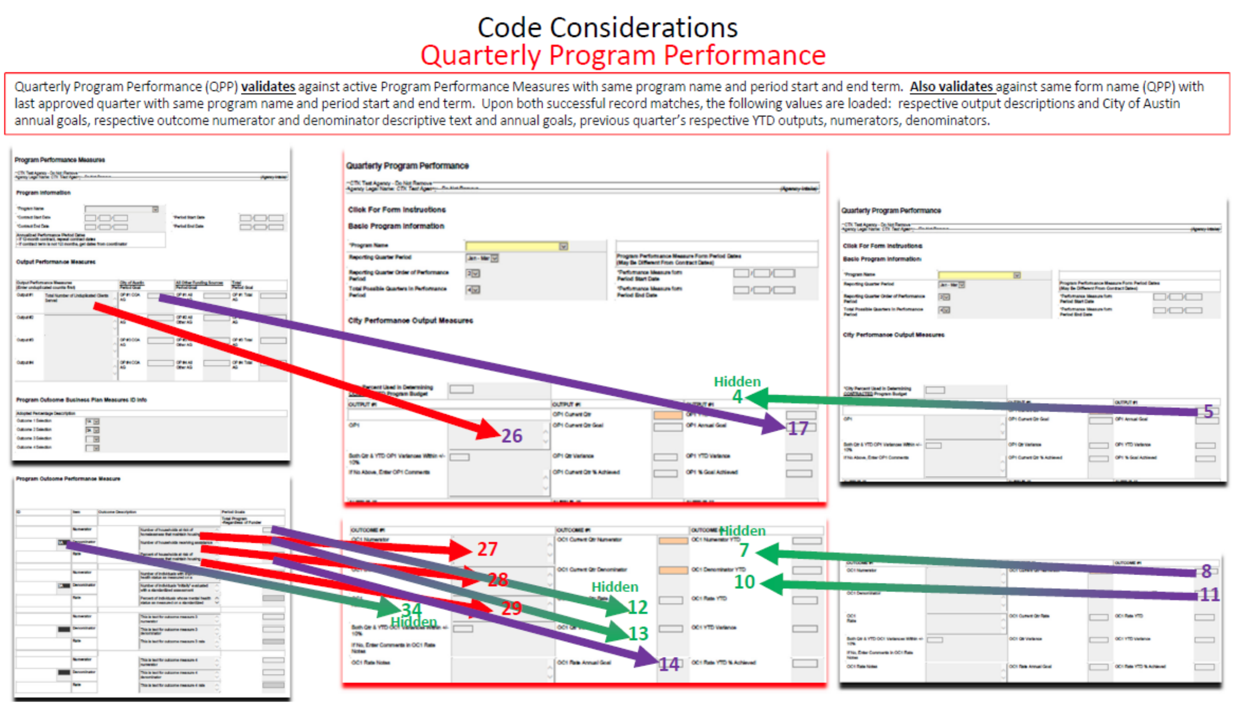
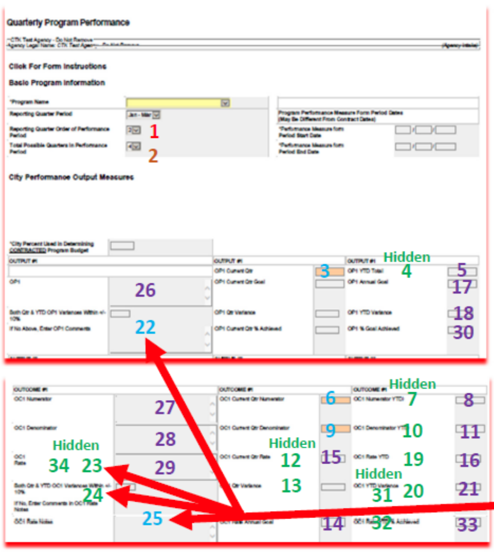
78758
78759
Other or Unknown Zip Codes
Homeless – No Permanent Zip Code
Out of County Zip
Unknown Zip

See a sample screen shot below of current system work flow



Code Considerations
Quarterly Program Performance

Quarterly Program Performance (QPP) **validates** against active Program Performance Measures with same program name and period start and end term. **Also validates** against same form name (QPP) with last approved quarter with same program name and period start and end term. Upon both successful record matches, the following values are loaded: respective output descriptions and City of Austin annual goals, respective outcome numerator and denominator descriptive text and annual goals, previous quarter's respective YTD outputs, numerators, denominators.



Corresponding Fields
Note: All currently hidden fields may be displayed in new system as readonly

1 = Current Quarter Order of Sequence in Performance Period Term
2 = Possible Quarters in Performance Period Term

Outputs
3 = Output Current Quarter Actual
4 = Output Previous Quarter's YTD (Hidden)
5 = Output New YTD
17 = Output Annual Goal
18 = Output YTD Variance
22 = Explanation of Output YTD Variance
26 = Output Performance Descriptive Text
30 = Output YTD Percent Goal Achieved

Outcomes
6 = Outcome Current Quarter Numerator
7 = Outcome Previous Quarter's Numerator YTD (Hidden)
8 = Outcome New Numerator YTD
9 = Outcome Current Quarter Denominator
10 = Outcome Previous Quarter's Denominator YTD (Hidden)
11 = Outcome New Denominator YTD
12 = Outcome Annual Numerator Goal (Hidden)
13 = Outcome Annual Denominator Goal (Hidden)
14 = Outcome Annual Rate Goal
15 = Outcome Current Quarter Rate
16 = Outcome YTD Rate
19 = Outcome Numerator YTD Variance (Hidden)
20 = Outcome Denominator YTD Variance (Hidden)
21 = Outcome Rate YTD Variance
23 = Explanation of Outcome Numerator YTD Variance (Hidden)
24 = Explanation of Outcome Denominator YTD Variance (Hidden)
25 = Explanation of Outcome Rate YTD Variance
27 = Outcome Performance Numerator Descriptive Text
28 = Outcome Performance Denominator Descriptive Text
29 = Outcome Performance Rate Descriptive Text
31 = Outcome Numerator YTD Percent Achieved
32 = Outcome Denominator YTD Percent Achieved
33 = Outcome Rate YTD Percent Achieved
34 = Outcome Business Plan Rate ID (Hidden)

An explanation of variance is required for each element output, outcome numerator, outcome denominator, and outcome rate when its corresponding variance value exceeds +/- 10.0000001%

Corresponding Fields for Measure Element Formulas

Outputs

5 = Output YTD
(Field 3 - Field 4) = Field 5

18 = Output YTD Variance
(Field 5 / ((Field 1 / Field 2) * Field 17) * 100) – 100

30 = Output YTD Goal % Achieved
(Field 5 / Field 17) * 100

Outcomes

8 = Outcome Numerator YTD
(Field 6 – Field 7) = Field 8

11 = Outcome Denominator YTD
(Field 9 – Field 10) = Field 11

15 = Outcome Rate Quarter
(Field 6 / Field 9) * 100 = Field 15

16 = Outcome Rate YTD
(Field 8 / Field 11) * 100 = Field 16

19 = Outcome Numerator YTD Variance
(Field 8/ ((Field 1 / Field 2) * Field 12) * 100) – 100

20 = Outcome Denominator YTD Variance
(Field 11 / ((Field 1 / Field 2) * Field 13) * 100) - 100

21 = Outcome Rate YTD Variance
[((Field 8 / Field 11) – (Field 12 / Field 13)) / (Field 12 / Field 13)] x 100

31 = Outcome Numerator YTD % Achieved
(Field 8 / Field 12) * 100

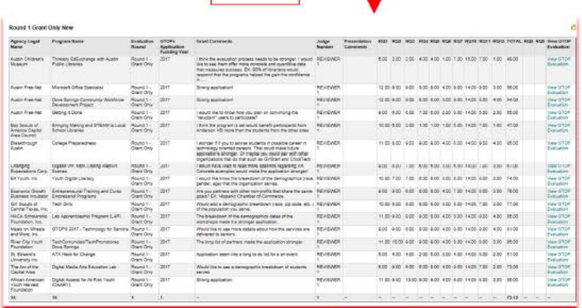
32 = Outcome Denominator YTD % Achieved
(Field 11 / Field 13) * 100

33 = Outcome Rate YTD % Achieved
(Field 16 / Field 14) * 100

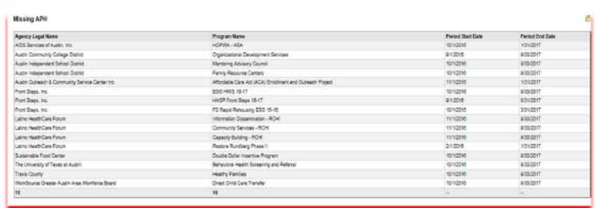
Code Considerations
Common Throughout System

Many individual workflow reports require session user variables. Same report yields correct unique results for each person running the report.

Correct.

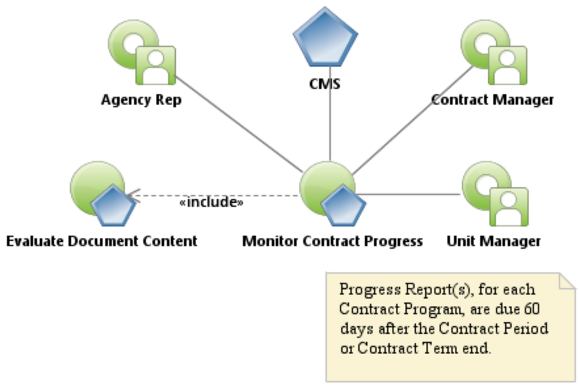


Also Correct.



Many reports require comparison of records to return null or missing record results.

2.8 Monitor Contract Progress



The Agency Representative accesses the System to create a Progress Report document. The Agency Representative selects the Contract Name, Program Name, and Program Period. The System calculates the Contract Period Program Budget, which is the sum of the approved Budget Amount including any Budget Amendments, and Contract Period Program Expenditure, which is the sum of approved Monthly Expenditure Report's Expenditure Amount for the Contract Period. The Agency Representative enters Contract Period Payments Received and the System calculates both the Contract Period Unexpended Balance, which is the sum of the Contract Period Payments Received amount not exceeding the Contract Period Program Budget, and the Contract Period Overpayment, which is the sum of the Contract Period Payments Received amount exceeding the Contract Period Program Budget. The Agency Representative enters a Financial Justification to explain the unexpended balance or overpayment.

The Agency Representative affirms the current status of tax payments by selecting the Tax Certification indicator and enters a Tax Status Comment if the answer to the Tax Certification is no. The Agency Representative enters the number of Unduplicated Clients for the Contract Period. The System calculates the Unduplicated Goal Achievement by dividing the Unduplicated Clients by the Goal Unduplicated Clients.

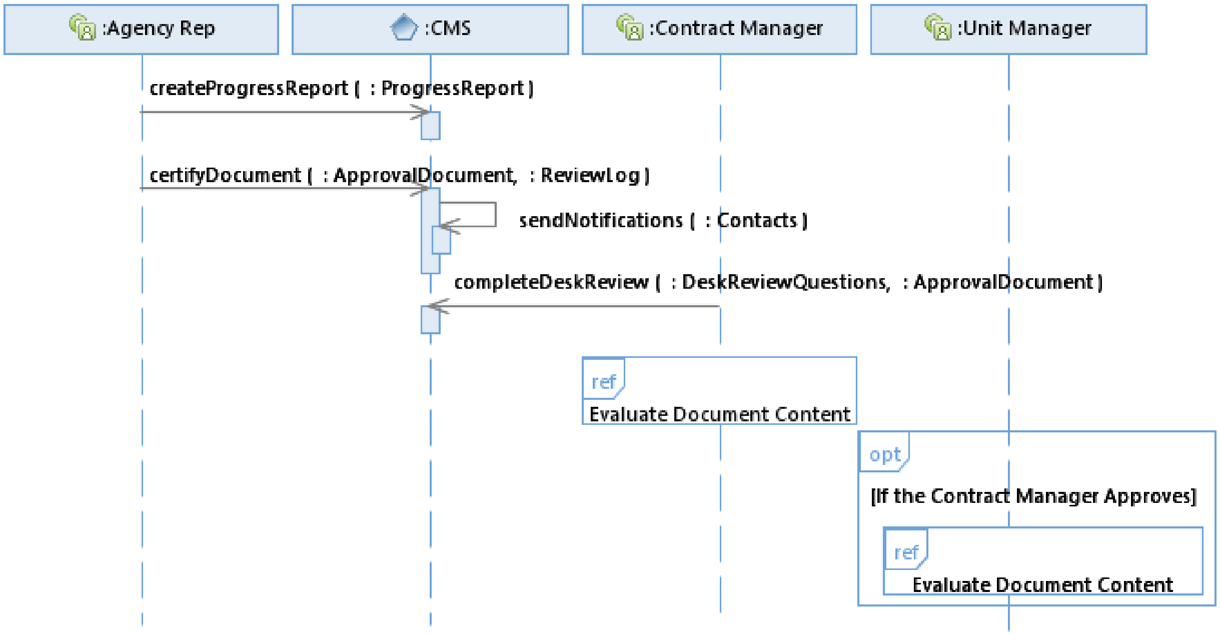
The Agency Representative enters further explanation for Successes, Challenges, Trends, and Progress Comments. If the Agency utilizes the HMIS system, the Agency Representative enters an HMIS Comment.

If the current date exceeds the Contract End Date the Agency Representative also enters additional contract closeout information. The closeout information includes explanations of the following: Program Impact, Unmet Needs, Issue Area Updates, and Suggestions. If the Contract spans more than one Contract Period, the Agency Representative enters information for the entire contract including: Successes, Challenges, Trends and Contract Payments Received. The System also calculates the Contract Program Budget and Contract Expenditure for the Contract Term instead of the Contract Period.

The Agency Representative certifies the Progress Report. The System sends a notification to the Contract Manager.

The Contract Manager accesses the System to review the Performance Report Document. The Contract Manager reviews the information and answers the Desk Review questions. The Contract Compliance Associate evaluates the Document. If the Contract Manager approves, the System sends a notification to the Unit Manager.

The Unit Manager accesses the System to evaluate the contents of the document.

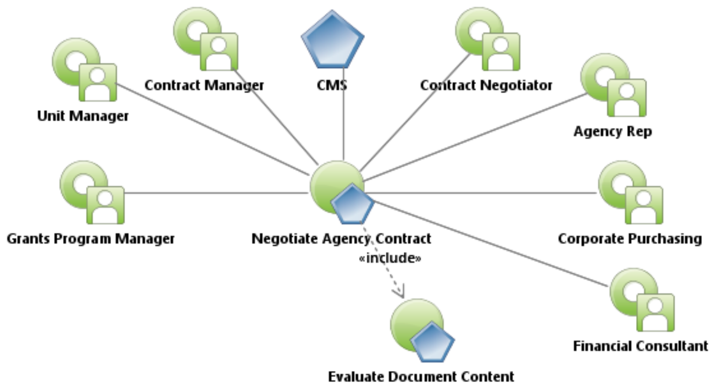

:Agency Rep
:CMS
:Contract Manager
:Unit Manager
createProgressReport (: ProgressReport)
certifyDocument (: ApprovalDocument, : ReviewLog)
sendNotifications (: Contacts)
completeDeskReview (: DeskReviewQuestions, : ApprovalDocument)
ref
Evaluate Document Content
opt
[If the Contract Manager Approves]
ref
Evaluate Document Content

Req#	Type/Interface - Requirement Description
53	CMS/createProgressReport
	The System creates a Progress Report Approval Document and records the following fields for each Contract Program: Contract Name, Program Name, and Program Period, Tax Certification indicator, Tax Status Comment (if Tax Certification indicator = 'no') and total Unduplicated Clients. The System records the following narrative fields for each Contract Program: Successes, Challenges, Trends, and Progress Comments, and HMIS Comment. If the current date exceeds the Contract End Date System records the following narrative fields: Program Impact, Unmet Needs, Issue Area Updates, and Suggestions. If the Contract spans more than one Contract Period, System records the following capstone narrative fields: Successes, Challenges, Trends and Contract Payments Received. The System calculates and records the total Contract Budget (Award Amount) for each Contract Program in the current Contract Period. The System calculates and records the total Contract Expenditures (Expenditure Amount) for each Contract Program in the current Contract Period. The System records the Fiscal Year Payments Received from the user and calculates the Fiscal Year Unexpended Balance per Contract Program for the current Contract Period by subtracting the Payments Received from the Budget Balance. The System prompts the user for a Financial Justification if the balance does not equal zero. If the current date exceeds the Contract End Date System calculates and records the Contract Budget and Contract Expenditures for each Contract Program in the all Contract Periods. The System calculates and records the Unduplicated Goal Achievement for each Contract Program by dividing the Unduplicated Clients from the Progress Report by the Goal Unduplicated Clients from the Contract Info's Performance Measure Goal.
54	CMS/certifyDocument
	The System captures a 'signature' indicating certification of the Approval Document. The System records the following fields in the Review Log: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status of 'Certified'. Signature methods may include: typed name, electronic signature capture, or digital signatures.
55	CMS/sendNotifications
	The System uses a select, editable template to draft a message to one or more specified contacts and sends the message via email to the contacts.
56	CMS/completeDeskReview
	The System displays a set of Review Questions with possible responses of Yes, No or Not Applicable. The System records a Question, Response and Comment for each Question in the Question Set. The System requires a Comment for all 'No' responses.

Desk Review Questions

Progress Report	
Financial Review	
1	Pay request and expenditure report submitted timely?
2	Documentation provided to support the amount requested
3	Accounting is correct on request form?
4	All expenses are allowable?
5	Are expenditures for administrative/indirect costs versus direct service delivery costs within approved range and/or reasonable? If not, what was done to address issues?
6	Has the contractor made adequate progress toward spending funds awarded?
7	Approved procurement procedures were followed?
8	Additional Grant Requirements (If applicable)
PERFORMANCE REVIEW	
9	Performance report(s) submitted timely?
10	Is the entity making satisfactory progress on the work of this contract and/or meeting performance goals?
11	Achievement versus expenditures is reasonable?
12	Report(s) contains all necessary information?
13	Additional Grant Requirements (If applicable)
ADMINISTRATIVE REVIEW	
14	Is staffing appropriate to administer the program?
15	Documentation of necessary and up-to-date insurance/bond provided?
16	Inventory is up to date (If applicable)?
17	Audits submitted for review annually (if applicable)?
18	If this is a closeout, have final payment and program reports been submitted?
19	Additional Grant Requirements (If applicable)
PRIOR MONITORING RESULTS	
20	Was the previous monitoring report(s) free of findings?
21	Has there been appropriate progress toward resolving them?
22	If required or requested, other funders monitoring reviews have been provided from the past 12-months?
23	Were all concerns or findings resolved from other funding monitoring reviews? If applicable.
24	Additional Grant Requirements (If applicable)

2.9 Negotiate Agency Contract



The Contract Negotiator receives an approval notification for the Contract Development Request. The Contract Negotiator discusses the requirements and, using the Agreement Development Process Manual (ADMP), provides guidance to the Agency Representative completing the contract documents. The Agency Representative creates the Contract Information Approval Document and enters the contract negotiation data. The Agency Representative and Contract Negotiator discuss the contract's terms revising data, as necessary, until both parties agree upon the terms.

The Agency Representative creates a Contract Information entering a Contract Start Date, End Date, Contract Type (Social Services Reimbursable, Social Services Deliverables, HIV Reimbursable, HIV Deliverables, Professional Services Agreement, Inter-local Agreement) and Contract Area (Social Services, TARA, or HIV). The Agency Representative enters one or more Contract Period(s) specifying the Period Start Date and Period End Date for each.[1] The Agency Representative enters one or more Contract Program(s) for each Contract Period. The Agency Representative completes the Contract Information for the first Contract Period only. If the Contract Area does not specify HIV, the Agency Representative completes the following sections for each of the Contract Program(s): Work Statement, Performance Measure[2], Budget & Narrative and may enter Sub-Grantee, if the Agency employs subcontractors.[3] If the Contract Area specifies HIV the Agency Representative completes the following sections for each of the Contract Program(s): Budget by HIV Contract, Work Statement by HIV Contract, Work Statement by HIV Service Category, and Performance Measures by HIV Service Category.

If the Contract Term, the number of months between the Contract Start Date and End Date, is more than 12 months, it is a Multi-Year[4] Contract. On a Multi-Year Contract the Agency Representative provides information regarding the entire Contract Term in addition to the first Contract Period. For each Contract Program the Agency Representative completes the following sections for each Contract Program the entire Contract Term, in addition to the section for first Contract Period: Performance Measure information, Budget & Narrative information and may enter Sub-Grantee information, if the Agency employs subcontractors.[3] The Agency Representative may complete the Contract Term sections first, then complete the Contract Period sections at a later date.

For the Performance Measure section, the Agency Representative selects Outcome and Output measures from the Budget Measure Bank then enters any custom measures they wish to include in the contract. The Agency Representative enters the Output Text, Output Award 1 Goal, City Funded Amount, and Other Funded Amount for each Output Measure. The Agency Representative enters the Numerator Goal, Numerator Text, Denominator Goal and Denominator Text for each Outcome Measure. If the Outcome or Output Measure is from the Budget Measure Bank the System enters the Proscriptive Text, which is not editable, for each text field.

For Work Statement section the Agency Representative enters a short narrative for each of the following fields: Goals & Objectives, Clients Served, Services & Delivery, Data Collection & Reports, Performance Evaluation, Quality Improvement, Alternative Agency Cooperation, Alternative Agency Collaboration, and Community Planning. The Agency Representative uploads one or more Support Documents of the Document Type 'Work Statement Support'.

For Budget & Narrative section the Agency Representative enters City Funded Amount, Other Funded Amount and a Narrative Comment for each Expense Subcategory of the following Expense Categories: Personnel, Operating, Direct Assistance/Other, and Capital Outlay.

For the Sub Grantee section, the Agency Representative enters the following fields for each Subcontractor: Subcontractor Start Date, Subcontractor End Date, Name, Number of Clients Served, City Funded Amount, Other Funded Amount and a description of the Services Provided.

For the Work Statement by HIV Contract section the Agency Representative enters a short narrative for each of the following fields: Client Access, Linkage/Referral/Collaboration, Input & Involvement, and Cultural Competency.

For the Work Statement by HIV Service Category section the Agency Representative enters a short narrative for the following fields: Category Name, Client Eligibility, Target Population, Service Activities, Frequency, Location, Staffing, Quality Management, and Part A Responsibilities; for each awarded Service Category.

For Performance Measures by HIV Service Category the Agency Representative enters Performance Measures for each awarded Service Category. The Agency Representative selects one or more Performance Measures from the Business Plan Measure Bank then enters any custom measures they wish to include in the contract. For each Output Measure the Agency Representative enters an Output Text, Award 1 Output Goal and Award 2 Output Goal. The Agency Representative enters the Numerator Goal, Numerator Text, Denominator Goal and Denominator Text for each Outcome Measure. If the Performance Measure is from the Budget Measure Bank the System enters the Proscriptive Text, which is not editable, for each text field.

For the Budget by HIV Contract section the Agency Representative enters budget information and narrative information for each Service Category. For the budget information the Agency Representative enters a City Funded Amount for each valid HIV Category/Expense Subcategory combination. For narrative information the Agency Representative enters a Narrative comment and uploads a Support Document with a type of Budget Narrative.

Once the Contract Negotiator and Agency Representative reach an agreement, the Agency Representative certifies the Contract Information. The System sends a notification to the Contract Negotiator. The Contract Negotiator accesses the System to evaluate the Contract Information. If the Contract Negotiator approves the Contract Information, the System sends a notification to the Unit Manager.

The Unit Manager accesses the System to evaluate the Contract Information. If the Unit Manager approves the Contract, the System sends a notification to each Contract Manager.

Each Contract Manager accesses the System to review the Contract Information. If the Contract Manager approves the Contract Information, the System sends a notification to the Grants Program Manager.

The Grants Program Manager accesses the System to review the Contract Information. The Grants Program Manager creates the contract boilerplate template and instructs the System to generate the Contract Wording Report using the data from the Contract Information and the boilerplate template. The Grants Program Manager accesses the System to review the CDR and generates the appropriate exhibit reports. The Grants Program Manager prints the reports and assembles the physical contract.

The Grants Program Manager scans the physical contract and sends it to the Agency Representative for signature. The Agency Representative signs and returns the contract to the Grants Program Manager. The Grants Program Manager creates a Routing Packet, which includes the following: APH Routing Slip, Signed Contract, Form 1295, Risk Manager Approval, Proof of Insurance, Request for Council Action, and Proof of Non-Debarment and any Miscellaneous Requisite forms. The Grants Program Manager sends the Routing Packet for departmental sign off.

The Grants Program Manager receives the completed Routing Packet, then scans and emails the contents to the Corporate Purchasing office. The Corporate Purchasing office provides the Grant Manager with an Executed Contract and an Encumbrance Sheet.

The Grants Program Manager forwards the Encumbrance Sheet to the Financial Consultant. The Financial Consultant enters the Fund Source information for the Contract Period as it appears on the Encumbrance Sheet. The Financial Consultant enters one more Funding Source(s) with the following fields: Order Number, Order Type (DO, PO, CT), FDU, Active Date, Inactive Date (may be blank) and Commodity Line Number.

The Grants Program Manager scans the signed contract document and accesses the System to enter the Master Agreement Number and uploads the Support Documents. The Grants Program Manager attaches the Executed Contract and Encumbrance Sheet to the Contract, specifying the Effective Start Date and Effective End date. The Grants Program Manager enters the Program Amount awarded and the Funding Source (Grant, General, 1115, Other) for each Program.

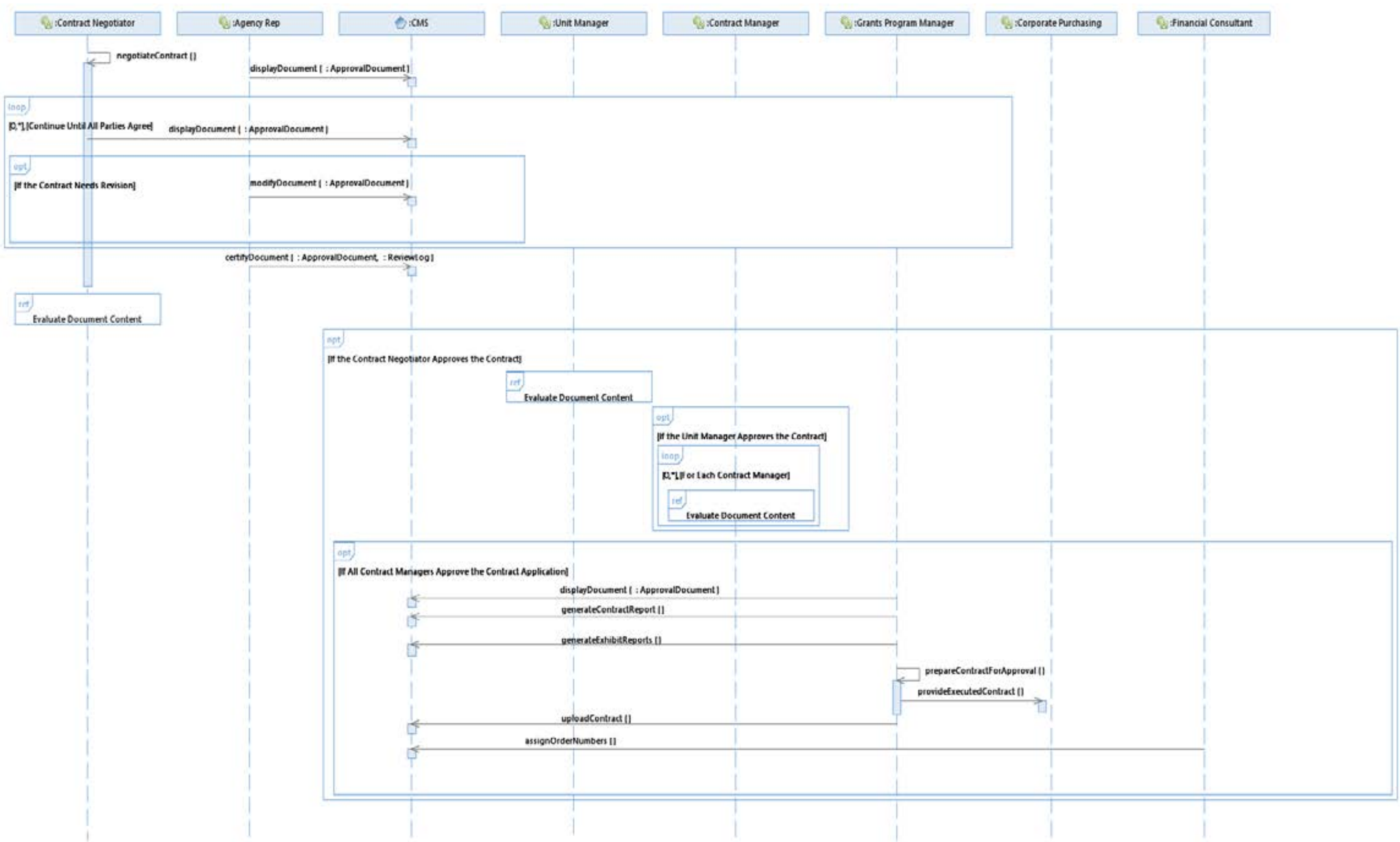
The Contract Negotiator may complete the exhibit documents should the agency be incapable.

[1] Contract Periods may not exceed 13 months.

[2] Development contracts do not require a Performance Measure section.

[3] The Agency must enter Sub-Grantee information for each subcontractor they employ.

[4] Social Service and TARA are the only contract areas offering multi-year contract terms.



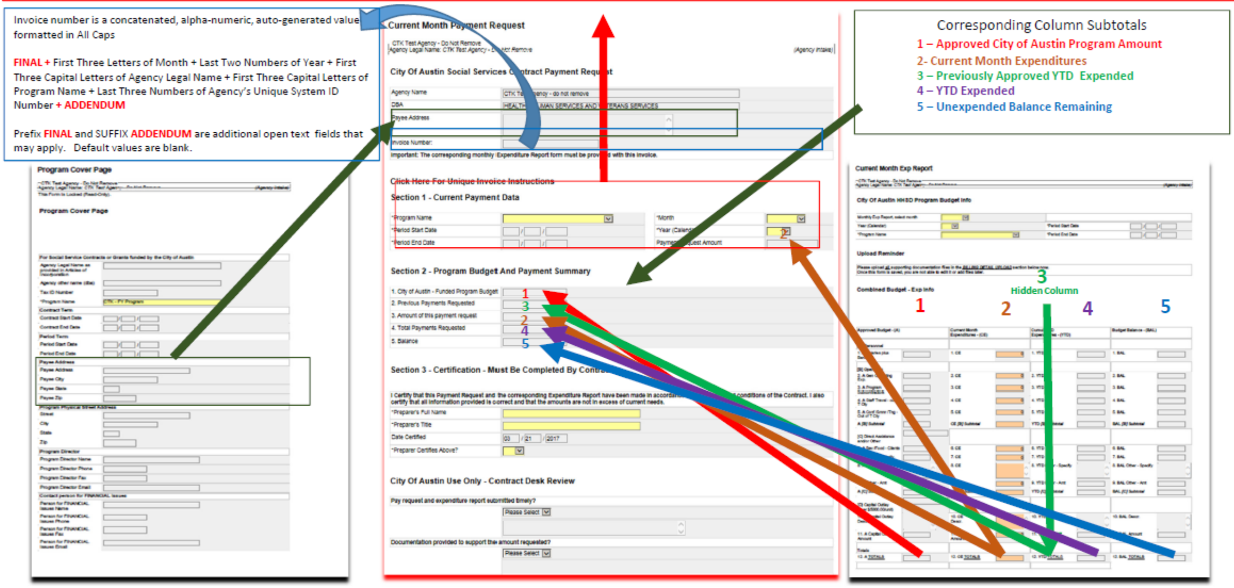
Req#	Type/Interface - Requirement Description
57	Contract Negotiator/negotiateContract
	The Contract Negotiator discusses the requirements and uses the Agreement Development Process Manual (ADMP) to guide the Agency Representative while they complete the Contract Information. The Agency Representative and Contract Negotiator discuss terms until both parties agree.
58	CMS/displayDocument
	The System draws the data entry screen for the Approval Document.
59	CMS/modifyDocument
	The System records changes to an Approval Document.
60	CMS/certifyDocument
	The System captures a 'signature' indicating certification of the Approval Document. The System records the following fields in the Review Log: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status of 'Certified'. Signature methods may include: typed name, electronic signature capture, or digital signatures.
61	CMS/sendNotifications

	The System uses a select, editable template to draft a message to one or more specified contacts and sends the message via email to the contacts.
62	CMS/generateContractReport
	The System generates a rich text document with the legal contract language using the Contract Information and a custom boilerplate template.
63	CMS/generateExhibitReports
	The System generates rich text format exhibit documents using custom formatting to match the paper documents currently in use at the City of Austin.
64	CMS/completeDeskReview
	The System displays a set of Review Questions with possible responses of Yes, No or Not Applicable. The System records a Question, Response and Comment for each Question in the Question Set. The System requires a Comment for all 'No' responses.
65	Grants Program Manager/prepareContractForApproval
	The Grants Program Manager scans the physical contract and sends it to the Agency Representative for signature. The Agency Representative signs and returns the contract to the Grants Program Manager. The Grants Program Manager creates a Routing Packet, which includes the following: APH Routing Slip, Signed Contract, Form 1295, Risk Manager Approval, Proof of Insurance, Request for Council Action, and Proof of Non-Debarment and any Miscellaneous Requisite forms. The Grants Program Manager sends the Routing Packet for departmental sign off.
66	Accounts Payable/provideExecutedContract
	The Accounts Payable group executes the contract, providing an executed contract document with all signatures and funding information for the contract.
67	CMS/uploadContract
	The Grants Program Manager scans the signed contract document and accesses the System to enter the Master Agreement Number and uploads the Support Documents. The Grants Program Manager attaches the Executed Contract and Encumbrance Sheet to the Contract, specifying the Effective Start Date and Effective End date. The Grants Program Manager enters the Program Amount awarded and the Funding Source (Grant, General, 1115, Other) for each Program.
68	CMS/assignOrderNumbers
	The Financial Consultant enters the Fund Source information for the Contract Period as it appears on the Encumbrance Sheet. The Financial Consultant enters one more Funding Source(s) with the following fields: Order Number, Order Type (DO, PO, CT), FDU, Active Date, Inactive Date (may be blank) and Commodity Line Number.

See a sample screen shot below of current system work flow

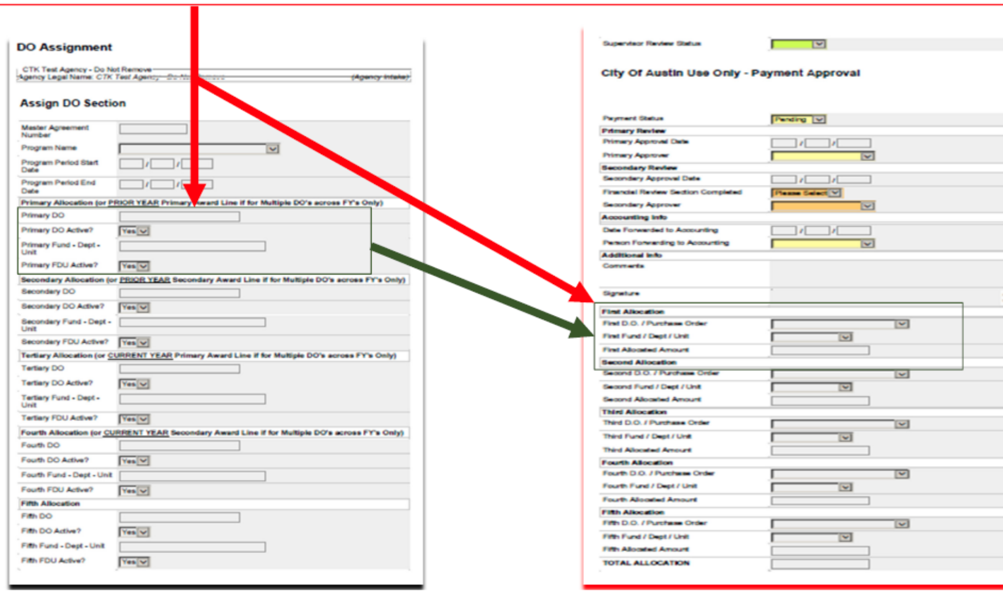
Code Considerations
Current Month Payment Request (CMPR)

Current Month Payment Request (CMPR) **validates** against active Current Month Expenditure Report (CMER) with same month, program name and period start and end term. **Also validates** against active Program Cover Page with same program name and period start and end term. Upon both successful record matches, column subtotals and payee address are loaded.



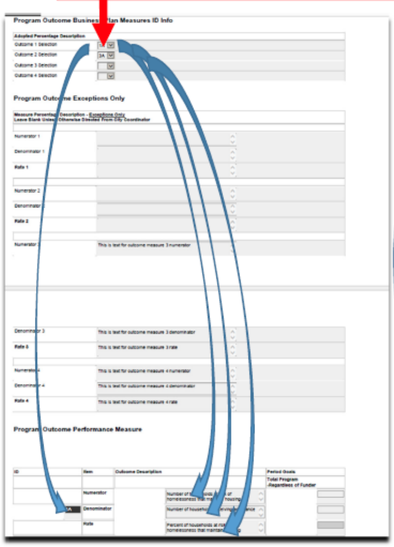
Code Considerations
Current Month Payment Request (CMPR)

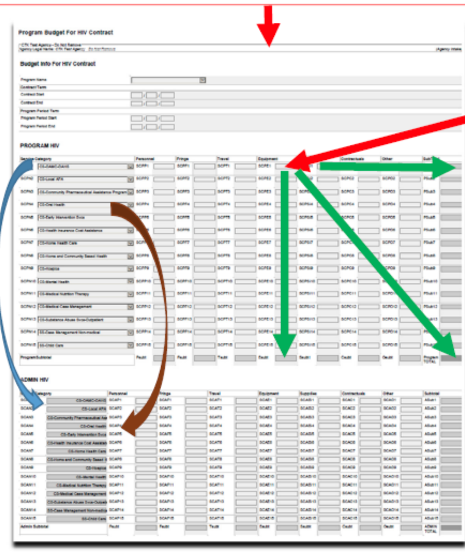
An agency's active payment allocation sequence in the program's DO Assignment form populates their dynamic SQL allocation sequence in the Current Month Payment Request for matching program name and period start and end term.



Code Considerations
Common Throughout System

Business needs require population of prescriptive text in other fields in a form conditional to a particular option selected from another field. Conditional formatting and prescriptive text must be editable by city staff administrator, as terminal physical document revisions and/or new prescriptive text changes, additions, and deletions periodically occur.

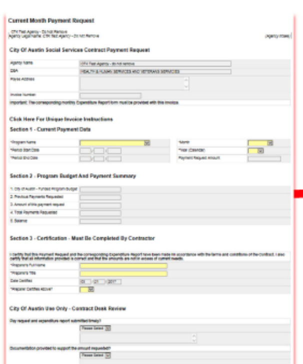


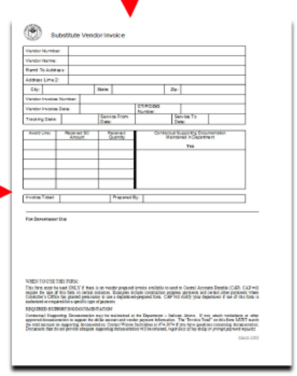


Business needs require form fields to be editable by city staff administrator so as to evaluate, compare, analyze, truncate, append, concatenate, format, and/or calculate other fields within the form before a record is saved. Also, label fields will need to hyperlink to internal or external guidance for updated workflow support or resources.

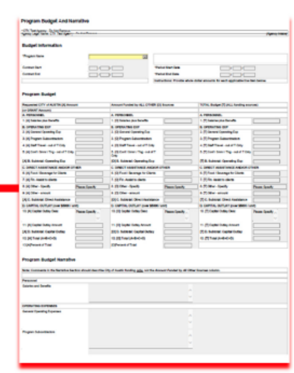
Code Considerations
Common Throughout System

Business needs require population of entire record results in prescriptive document formats which can be re/designed at will by city staff administrator, as document revisions occur, and/or new prescriptive document types become required.



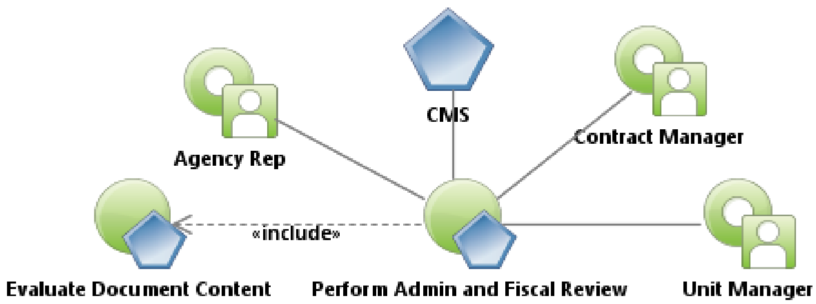


Business needs require inclusion of non-table expression fields that can evaluate, compare, analyze, truncate, append, concatenate, and format saved table values and change format when conditional parameters are met/unmet. Also, must be able to paginate.



Business needs require for actual printing of physical contract and accounting documents in prescriptive document formats.

2.10 Perform Admin and Fiscal Review



The Agency Representative accesses the System to update the important Business Documents. The Agency Representative removes any important Business Documents that are out of date and uploads the latest versions including the following Business Document Types: Americans with Disabilities Act, Drug Free Workplace Policy, Non-Discrimination of Clients Policy, Articles of Incorporation, Employee Wellness Initiative, Personnel Policies and Procedures, Assumed Name, Equal Opportunity Employment Policy, Personnel Grievance Policy, Business Continuity Plan, Financial Management/Fiscal Policies, 'Subcontracts and/or Procurement Policy', Client Grievance Policy, 'Health, Safety and Environmental Regulations', Violence Prevention, Client Privacy Policy, Regulations, Whistleblower Policy, Conflict of Interest Policy, Limited English Proficiency (LEP), Criminal Background Checks Policy, Mother Friendly Workplace, Culturally and Linguistically Appropriate Services (CLAS), and Nepotism Policy.

The Agency Representative creates a new Administrative and Fiscal Review (AFR) document, selecting the Contract Name, Contract Period and Program Name; then enters the following Agency Administration information: indication of whether Policy Outline Controls, indication of whether Personnel/Operating Policies Exist, Number of Board Members (chartered), Number of Vacant Board Spots, Number of Branch Offices (Central Texas), Number of Staff (full/part time), Community Reflection, Volunteer Utilization, Number of Volunteers, Predicted Tax Year Reported, Last Tax Year Reported, Tax Report Comments, indication of 990 Extension, Anticipated 990 Date, 'Management and General Expense Amount', Fundraising Expenses, Revenue, 'Percent of Revenue for Admin & Fundraising', indication of 'Admin & Fundraising Over 25 Percent', Community Collaboration, and General Comments.

The System presents the Agency Representative with Agency information pertaining to the Board Members, Agency Offices, and the Fiscal Year. The Agency Representative updates the existing information and/or and adds new information to reflect the current state of the Agency. The System presents the following Fiscal Year information: Fiscal Year Start Date and Fiscal Year End Date. The System presents the following Board Member information: First Name, Last Name, Address, City, State, Zip, Phone Number, Email Address, Job Title, Business Affiliation, Gender, Race, Ethnicity, Term Start Date, Term End Date, Member Status, and Member Position for each Contact with a Contact Type of 'Board Member' or 'Chairman of the Board'. The System presents the following Agency Office information: Office Type (Main Office, Branch Office), Office Name, Physical Address, Service Type (Shelter, Child Care, Housing, Classroom, Counseling, Food Pantry, Meal Program, Basic Needs Assistance, Elder Services, Workforce, Other), Number of Shelter Beds, and Description of Programs Offered for each Agency Office. The System presents the Accessibility Options for each Agency Office which consist of: Accessible Main Entrance, Designated Handicapped Parking, Accessible Public Restrooms, Accessibility Provision Policy, and Public Bus Access. The System presents the primary Contact for each Agency Office.

The Agency Representative enters the following financial information: Current Fiscal Year Ending, Agency Budget Amount, indicator of 990 Submission, indicator for Payroll Taxes Current, indicator of an Unqualified Audit Opinion (within 2 years), indicator of Pending Financial Issues, indicator of More than 3 Funding Sources, indicator of Funding Source Over 75% of Budget, Justification Comments. The Agency Representative enters the Percentage of Revenue for each Revenue Source Category ('State and Federal Grants', 'City and County Grants/Contracts', Fundraising Revenue, Foundation Grants, Special Events, 'Contributions & Major', United Way, Client Fees, 'Interest and Other'). The Agency Representative enters the Percentage of Expenditures for each Expenditure Area (Management, Program, and Fundraising Expense).

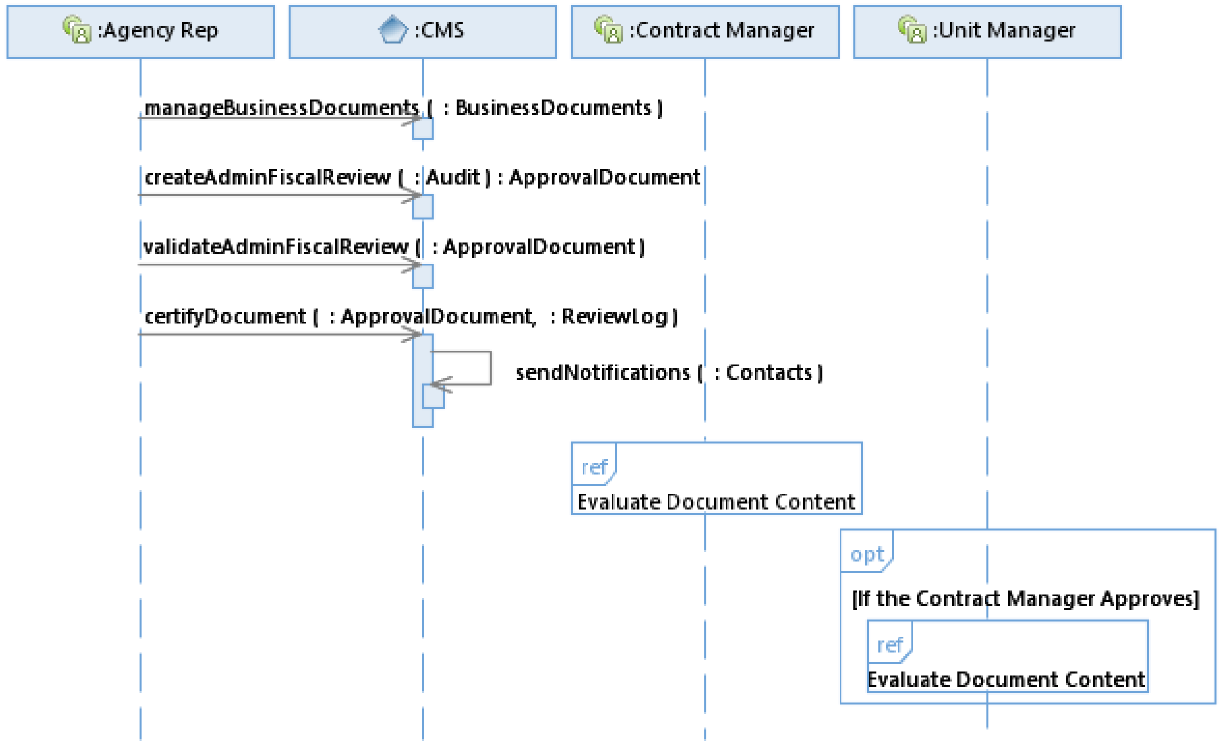
The Agency Representative enters the In-kind Support, indicator of a Month Reserves, indicator of Plan to Build Reserves, indicator of Operating within Revenue, Fund Leveraging Method, Fund Leveraging Amount, Fund Leveraging Description, and Fund Comments.

The Agency Representative uploads the following Support Document Types: Calendar Year of AFR, FYE Budget, Current Budget, Most Recent IRS-990, IRS 990 Extension Approval, Most Recent Board Approved Meeting Minutes, 2nd Most Recent Board Approved Meeting Minutes, 3rd Most Recent Board Approved Meeting Minutes, Organizational Chart, Most Recent Monthly Financial Statements, and Next FY Proposed Agency Budget. The Agency Representative enters a description for each Business Document.

Agency Representative instructs the System to validate the Document. The System warns if there are any empty fields. The System warns if uploads are missing with the exception of the 'IRS 990 Extension Approval'. The System warns if the Number of Board Members minus the Number of Vacant Board Seats do not match the count of Board Member entries. The System warns if the Number of Branches does not match the count of Agency Offices. The System warns if the Percentage of Revenue for each Revenue Source Category does not total 100. The System warns if the Percentage of Expenditures for each Expenditure Area does not total 100. If no warnings appear, the Agency Representative certifies the AFR. The System sends a notification to the Contract Manager.

The Contract Manager accesses the System to review the AFR Document. The Contract Manager reviews the information and answers the Desk Review questions. If the Contract Manager approves, the System sends a notification to the Unit Manager.

The Unit Manager accesses the System to evaluate the contents of the document.

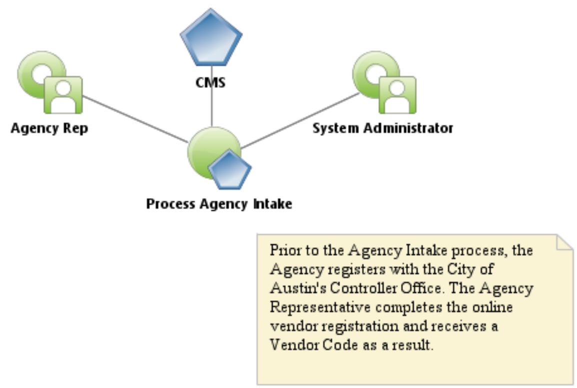


Req#	Type/Interface - Requirement Description
69	CMS/manageBusinessDocuments
	The System allows authorized users to manage electric documents on file for a specific Agency. The System allows a user to delete or specify an inactive date for each file. The System allows users to upload electronic documents and specify the following: Business Document Type, Active Date, Description. Business Document Types include, but are not limited to: of the following Types: Americans with Disabilities Act, Drug Free Workplace Policy, Non-Discrimination of Clients Policy, Articles of Incorporation, Employee Wellness Initiative, Personnel Policies and Procedures, Assumed Name, Equal Opportunity Employment Policy, Personnel Grievance Policy, Business Continuity Plan, Financial Management/Fiscal Policies, 'Subcontracts and/or Procurement Policy', Client Grievance Policy, 'Health, Safety and Environmental Regulations', Violence Prevention, Client Privacy Policy, Regulations, Whistleblower Policy, Conflict of Interest Policy, Limited English Proficiency (LEP), Criminal Background Checks Policy, Mother Friendly Workplace, Culturally and Linguistically Appropriate Services (CLAS), and Nepotism Policy.
70	CMS/createAdminFiscalReview
	The System Creates a new Administrative and Fiscal Review Approval Document and records the following fields: Contract Name, Contract Period and Program Name,

	indication of Policy Outline Controls, indication of Personnel/Operating Policies Exist, Number of Board Members, Number of Vacant Board Spots, Number of Branch Offices, Number of Staff, Community Reflection, Volunteer Utilization, Number of Volunteers, Predicted Tax Year Reported, Last Tax Year Reported, Tax Report Comments, indication of 990 Extension, Anticipated 990 Date, 'Management and General Expense Amount', Fundraising Expenses, Revenue, 'Percent of Revenue for Admin & Fundraising', indication of 'Admin & Fundraising Over 25 Percent', Community Collaboration, and General Comments. The System presents the current Board Members information and allows the user to add new Board Members or update existing Board Members fields including the following: First Name, Last Name, Address, City, State, Zip, Phone Number, Email Address, Job Title, Business Affiliation, Gender, Race, Ethnicity, Term Start Date, Term End Date, Member Status, and Contact Type('Board Member' or 'Chairman of the Board'). The System presents the current Agency Office(s) and allows the user to add new Agency Office(s) or update existing Agency Office fields including the following: Office Type (Main Office, Branch Office), Office Name, Physical Address, Service Type (Shelter, Child Care, Housing, Classroom, Counseling, Food Pantry, Meal Program, Basic Needs Assistance, Elder Services, Workforce, Other), Number of Shelter Beds, and Description of Programs Offered for each Agency Office. The System presents the Accessibility Options for each Agency Office and allows for update of the following: Accessible Main Entrance, Designated Handicapped Parking, Accessible Public Restrooms, Accessibility Provision Policy, and Public Bus Access. The System presents the primary Contact for each Agency Office and allows for update. The System records the following fields: Current Fiscal Year Ending, Agency Budget Amount, indicator of 990 Submission, indicator for Payroll Taxes Current, indicator of an Unqualified Audit Opinion, indicator of Pending Financial Issues, indicator of More than 3 Funding Sources, indicator of Funding Source Over 75% of Budget, Justification Comments. The Agency Representative enters the Percentage of Revenue for each Revenue Source Category ('State and Federal Grants', 'City and County Grants/Contracts', Fundraising Revenue, Foundation Grants, Special Events, 'Contributions & Major', United Way, Client Fees, 'Interest and Other'). The System records the Percentage of Expenditures for each Expenditure Area (Management, Program, and Fundraising Expense). The System records the In-kind Support, indicator of a Month Reserves, indicator of Plan to Build Reserves, indicator of Operating within Revenue, Fund Leveraging Method, Fund Leveraging Amount, Fund Leveraging Description, and Fund Comments.
71	CMS/validateAdminFiscalReview
	The System checks for empty fields and prompts the user upon detection. The System checks for missing uploads excluding the 'IRS 990 Extension Approval' and

	prompts the user upon detection. The System checks for the appropriate number of Board Member contacts and prompts the user if the contacts are not equal to the Number of Board Members minus the Number of Vacant Board Seats. The System checks for the appropriate number of Agency Offices and prompts the user if the number does not equal the Number of Branches. The System checks the total Percentage of Revenue for each Revenue Source Category and prompts the user if any totals per Revenue Source Category do not equal 100. The System checks the total Percentage of Expenditures for each Expenditure Area and prompts the user if any totals per Expenditure Area do not equal 100.
72	CMS/certifyDocument
	The System captures a 'signature' indicating certification of the Approval Document. The System records the following fields in the Review Log: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status of 'Certified'. Signature methods may include: typed name, electronic signature capture, or digital signatures.
73	CMS/sendNotifications
	The System uses a select, editable template to draft a message to one or more specified contacts and sends the message via email to the contacts.

2.11 Process Agency Intake



The Agency Representative accesses the System to request a site administrator account. The Agency Representative enters their First Name, Last Name, Phone Number, Email Address, and Agency Name. The System sends a notification to the System Administrator. The System Administrator accesses the System to review the request. If the System Administrator approves the request, the System Administrator creates a new Agency and a new User Role, which grants User Accounts access to the new Agency only. The System Administrator creates a new User Account and assigns it the new User Role. The System Administrator sends a notification with further instructions to the Agency Representative. (*The Site Administrator may add/change/remove Agency Site user accounts and grant/remove access to the Agency's records. Site Administrator's access control over user accounts is limited to accounts created for the Agency site.*)

The Agency Representative accesses the System to complete the Agency registration process.

The Agency Representative enters Contact information including: First Name, Last Name, Primary Phone Number, Email Address, Mobile Phone, Mailing Address and Title for each of the following Contact Types: Executive Director, Chairman of the Board, First Line of Succession (from Executive Director), Second Line of Succession (from Executive Director), Volunteer Coordinator, 'Administrative and Fiscal Reviewer' and Chief Financial Officer. The Agency Representative enters Contact information with a Contact Type of 'Mass Email' for each additional Agency stakeholder. The Agency Representative enters Contact information with a Contact Type of 'Board Member' for each member of the board of directors. Additionally, the Agency Representative enters the following information for the Board Members: Business Affiliation, Term Start Date, Term End Date, and Board Position.

The Agency Representative enters Agency information including: Legal Name, DBA Name, Mailing Address, Tax ID, Website, Vendor Code, Main Phone Number, Agency Email, Agency Fax Number, Fiscal Year Begin Date, Fiscal Year End Date, Mission Statement, Vision Statement, Agency Overview, Agency Licenses, National Accreditations, and Certifications/Affiliations.

The Agency Representative enters information about each Agency Office in the Central Texas Region including: Office Type (Main Office, Branch Office), Office Name, Physical Address, Service Type (Shelter, Child Care, Housing, Classroom, Counseling, Food Pantry, Meal Program, Basic Needs Assistance, Elder Services, Workforce, Other), Number of Shelter Beds, Number of Child Care Slots, and Description of Programs Offered. For each Agency Office the Agency Representative also enters a Primary Contact and selects all Accessibility Options available at the location including: Accessible Main Entrance, Designated Handicapped Parking, Accessible Public Restrooms, Accessibility Provision Policy, and Public Bus Access.

The Agency Representative enters Board information including: Number of Charter Board Members, Board Meeting Frequency [Weekly, Bi-Weekly, Monthly, Quarterly, Annually], Board Structure, Fundraising Activities, Reviews Performance [Yes, No], Annual Budget Approval [Yes, No], and Board

Comments.

The Agency Representative enters the following Program information for each Program regardless of whether the Program may participate in a future contract: Program Name, Program Description, Service Provided.

The Agency Representative uploads the following important Business Documents: Americans with Disabilities Act, Drug Free Workplace Policy, Non-Discrimination of Clients Policy, Articles of Incorporation, Employee Wellness Initiative, Personnel Policies and Procedures, Assumed Name, Equal Opportunity Employment Policy, Personnel Grievance Policy, Business Continuity Plan, Financial Management/Fiscal Policies, 'Subcontracts and/or Procurement Policy', Client Grievance Policy, 'Health, Safety and Environmental Regulations', Violence Prevention, Client Privacy Policy, Regulations, Whistleblower Policy, Conflict of Interest Policy, Limited English Proficiency (LEP), Criminal Background Checks Policy, Mother Friendly Workplace, Culturally and Linguistically Appropriate Services (CLAS), and Nepotism Policy.

The System sends a notification to the Site Administrator. The Site Administrator accesses the System to review the Agency information. The Site Administrator researches the Agency to obtain the correct legal information and records the information in the System. Legal information includes the following: Legal Binding Name (legal name from the articles of incorporation), AIMS Agency Name (agency name listed in AIMS), Assumed DBA (agency doing business as name appearing on the assumed name certificate), AIMS DBA (agency doing business as name appearing in AIMS), Agency Status [Active, Inactive], Access Approval Date, Intake Usage [Solicitation Evaluation, Agreement Development], and Contract Area [TARA, Social Services, HIV, Chronic Disease].

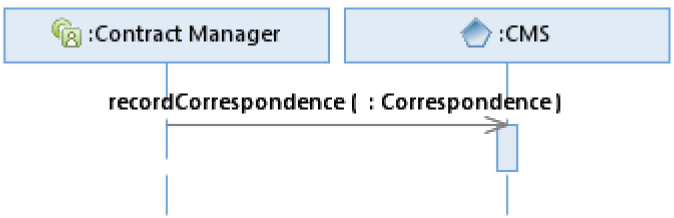
The System sends a notification to the Unit Manager who oversees the Contract Area informing them of the registration status.


:Agency Rep
:CMS
:System Administrator
requestSiteAdminAccount (: UserAccount, : Agency)
sendNotifications (: Contacts)
viewUserAccountRequest () : UserAccount
alt
[If the System Admin Does Not Approve the Request]
notifyAgency ()
stop ()
[If the System Admin Does Approve the Request]
addAgency (: Agency)
addUserRole (: UserRole, : Agency)
addUserAccount (: UserAccount, : UserRole)
notifyAgency ()
updateAgencyInfo (: Agency)
sendNotifications (: Contacts)
researchAgency ()
updateAgencyInfo (: Agency)
sendNotifications (: Contacts)

Req#	Type/Interface - Requirement Description
74	**CMS/requestSiteAdminAccount** An anonymous user accesses the System to request a user account with site administrator permissions for a new Agency. The request contains the First Name, Last Name, Phone Number, Email Address, and new Agency Name.
75	**CMS/sendNotifications** The System sends preset notifications via email mail merge capabilities.
76	**CMS/viewUserAccountRequest** The System displays new User Account requests.
77	**CMS/addAgency** The System creates a new Agency and assigns a unique Agency ID. The System displays an error message if the same Agency Legal Name or Agency DBA Name already exists.
78	**CMS/addUserRole** The System creates a new User Role. The User Role includes a Role Name and Access Level permissions for a specific Agency's records.
79	**CMS/addUserAccount** The System creates a new User Account and assigns a User Role to the User Account. The User Account includes First Name, Last Name, User Name, Email Address, Phone Number, Date Requested, Date Approved and an indicator for Site Administrator.
80	**CMS/updateAgencyInfo** The System records changes to an Agency's information and sends out a notification of change to the Unit Manager for the Contract Area. If the Contract Area is not entered the System Administrator receives the notification.
81	**System Administrator/notifyAgency** The System Administrator provides information to an Agency by phone or email.
82	**System Administrator/researchAgency** The System Administrator researches the Agency accessing court filing, registration listings and internal systems to determine the proper, legal terms to use for contract development.

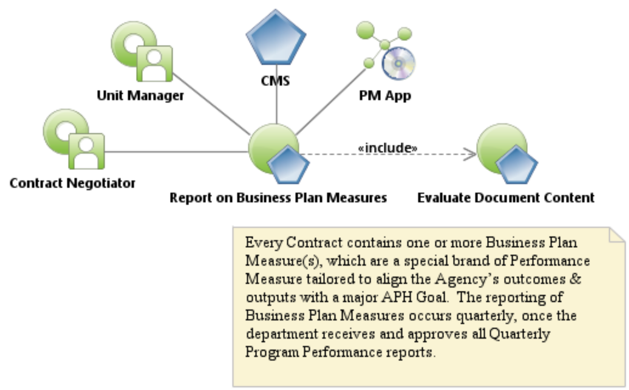
2.12 Record Agency Correspondence

The Contract Manager sends or receives a correspondence message regarding a Contract. The Contract Manager accesses the System to records the correspondence. The Contract Manager records the following information: Correspondence Date, Correspondence Type (Fax, Mail, Email, Phone), Sender, Recipient and Comment. The Contract Manager uploads an electronic file version of the correspondence.



Req#	Type/Interface - Requirement Description
83	CMS/recordCorrespondence
	The System records the following correspondence fields: Correspondence Date, Correspondence Type (Fax, Mail, Email, Phone), Sender, Recipient and Comment. The System stores an electronical file with the contents of the correspondence.

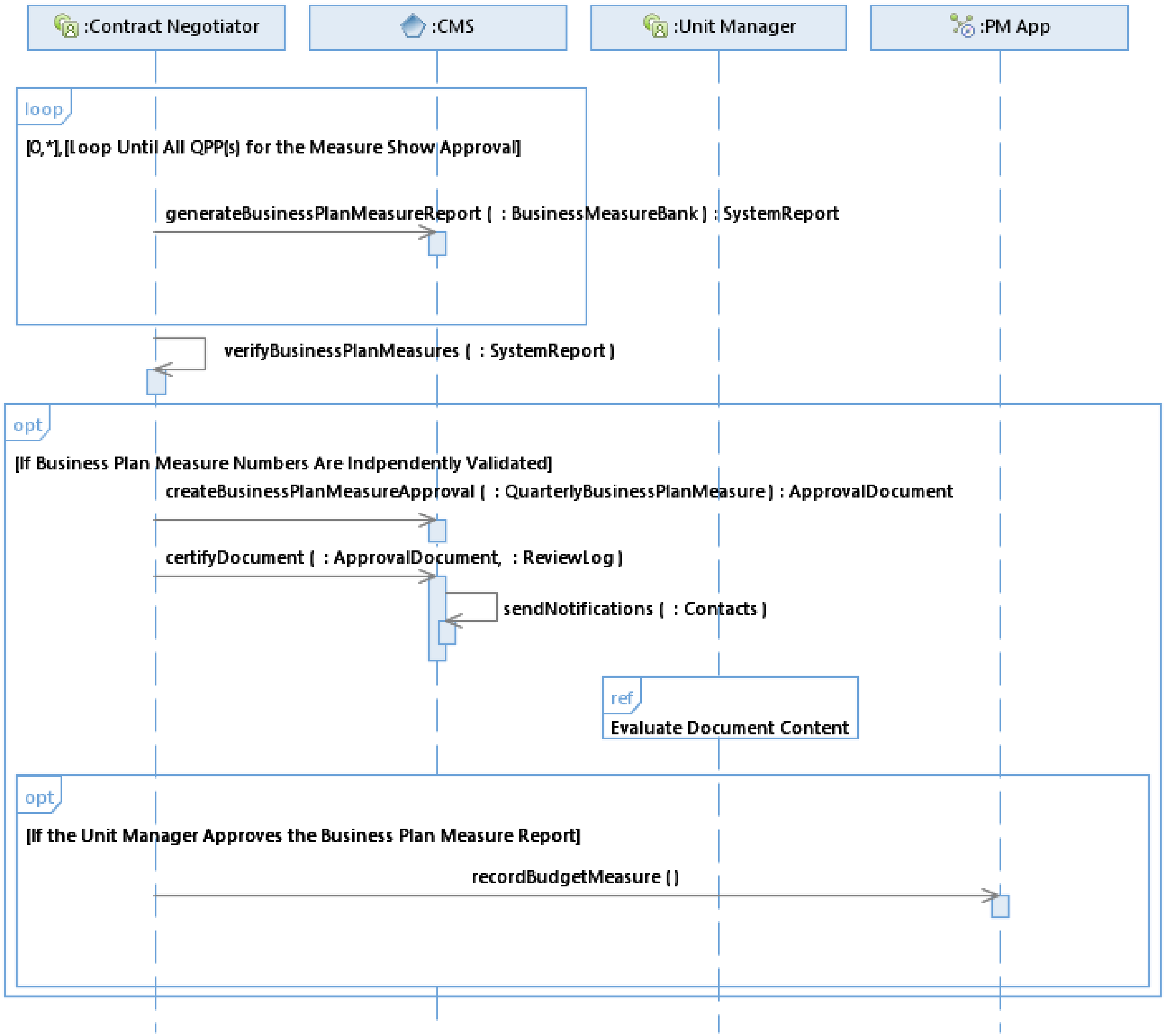
2.13 Report on Business Plan Measures



The Contract Negotiator accesses the System to run the 'Business Plan Measure Approval by Fiscal Year' report for each Business Plan Measures they monitor. The report lists the Business Plan Measure (BPM), (BPM) Fiscal Year, and all Contracts that report against that BPM. The report also indicates the BPM numbers and approval status for each Contract's Quarterly Program Performance (QPP) report. If the report indicates approval for all QPP reports, the Contract Negotiator records each value an Excel spreadsheet to verify the total BPM performance numbers for the quarter. If the numbers match the process can continue.

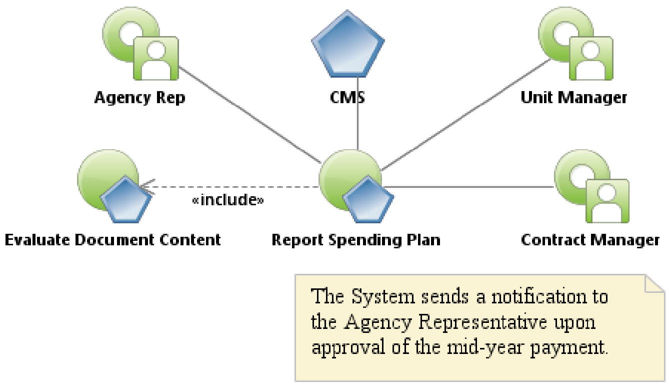
The Contract Negotiator creates a Quarterly Business Plan Measure Approval Document and enters the ECOMBS Number, Fiscal Year, Fiscal Quarter, Activity Issue, Report ID, Report Run Date and Comments. If the BPM is an Outcome measure the Contract Negotiator enters the Output Total, otherwise they enter the Outcome Numerator and Outcome Denominator. The Contract Negotiator certifies the document. The System sends a notification to the Unit Manager.

The Unit Manager accesses the System to evaluate the document. If the Unit Manager approves the System sends a notification to the Contract Negotiator. The Contract Negotiator accesses the Budget Measure website and enters the performance measure data.


:Contract Negotiator
:CMS
:Unit Manager
:PM App
loop
[0,*], [Loop Until All QPP(s) for the Measure Show Approval]
generateBusinessPlanMeasureReport (: BusinessMeasureBank) : SystemReport
verifyBusinessPlanMeasures (: SystemReport)
opt
[If Business Plan Measure Numbers Are Indpendently Validated]
createBusinessPlanMeasureApproval (: QuarterlyBusinessPlanMeasure) : ApprovalDocument
certifyDocument (: ApprovalDocument, : ReviewLog)
sendNotifications (: Contacts)
ref
Evaluate Document Content
opt
[If the Unit Manager Approves the Business Plan Measure Report]
recordBudgetMeasure ( )

Req#	Type/Interface - Requirement Description
84	CMS/generateBusinessPlanMeasureReport
	The System generates a 'Business Plan Measure Approval by Fiscal Year' report for a given Business Plan Measure and Fiscal Year. The report lists all Contracts that report against the Business Plan Measure (BPM) and, for each Reporting Quarter, the total output for the BPM and for an indication of whether a Quarterly Performance Report has an approved status.
85	Contract Negotiator/verifyBusinessPlanMeasures
	The Contract Negotiator records the performance number for each contract on a separate Excel spreadsheet, then totals the spreadsheet to verify if the System calculated the overall Business Plan Measure correctly.
86	CMS/createBusinessPlanMeasureApproval
	The System creates a Business Plan Measure (BPM) Approval Document and records the following fields: ECOMBS Number, Fiscal Year, Fiscal Quarter, Activity Issue, Report ID, Report Run Date and Comments. For each Output measure the System records the Output Total. For each Outcome the System records an Outcome Numerator and Outcome Denominator.
87	CMS/certifyDocument
	The System captures a 'signature' indicating certification of the Approval Document. The System records the following fields in the Review Log: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status of 'Certified'. Signature methods may include: typed name, electronic signature capture, or digital signatures.
88	CMS/sendNotifications
	The System uses a select, editable template to draft a message to one or more specified contacts and sends the message via email to the contacts.
89	PM App/RecordBusinessMeasure
	The System records the total and justification for a given performance measure.

2.14 Report Spending Plan

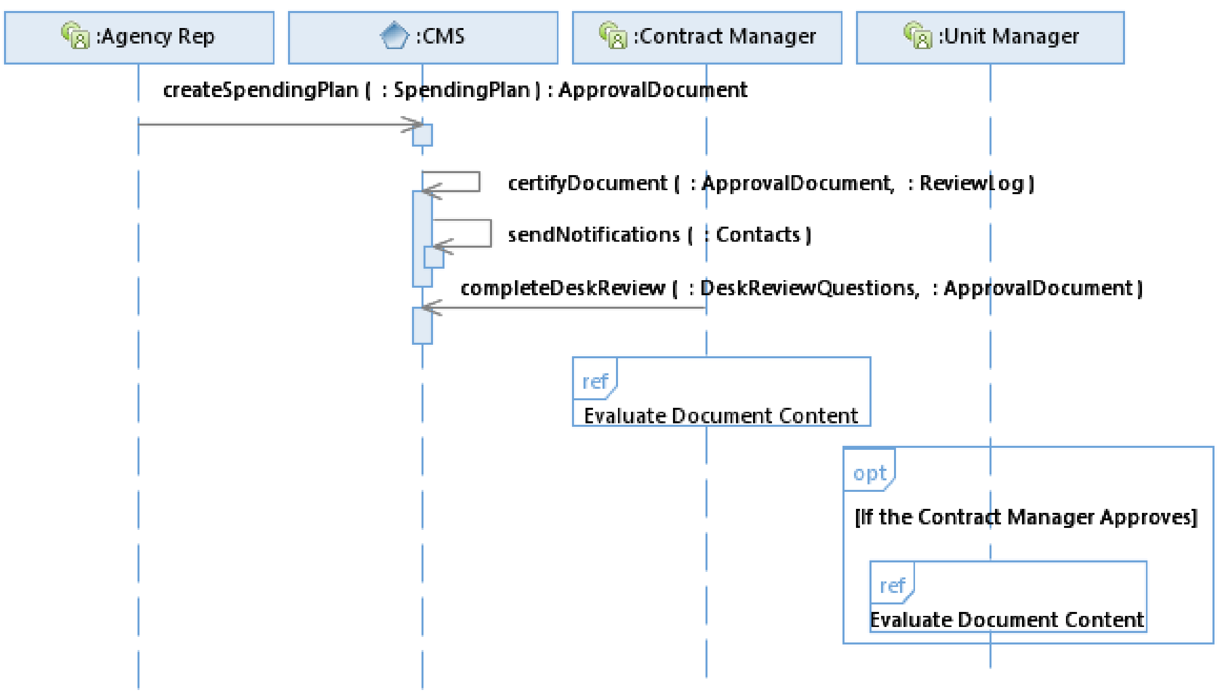


The Agency Representative accesses the System to create a Spending Plan Approval Document. The Agency Representative enters the approved Budget Amount (total amount for the Contract Period including amendments) and the current Expended Amount, then enters the anticipated Expended Amount for each remaining month in the Contract Period. The System calculates anticipated over or under spending for the Contract Period. The Agency Representative enters a Comment pertaining to the balance.

The Agency Representative certifies Spending Plan. The System sends a notification to the Contract Manager.

The Contract Manager accesses the System to evaluate the Spending Plan and complete a desk audit. If the Contract Manager approves the Spending Plan, the System sends a notification to the Unit Manager.

The Unit Manager accesses the System to evaluate the Spending Plan. If the Unit Manager approves the Spending Plan, the System sends a notification to the Contract Manager.



Req#	Type/Interface - Requirement Description
90	CMS/createSpendingPlan
	The System creates a Spending Plan Approval Document and records the following fields: Budget Amount, Expended Amount, and the anticipated Expended Amount for each month remaining in the Contract Period.
91	CMS/certifyDocument
	The System captures a 'signature' indicating certification of the Approval Document. The System records the following fields in the Review Log: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status of 'Certified'. Signature methods may include: typed name, electronic signature capture, or digital signatures.
92	CMS/sendNotifications
	The System uses a select, editable template to draft a message to one or more specified contacts and sends the message via email to the contacts.
93	CMS/completeDeskReview
	The System displays a set of Review Questions with possible responses of Yes, No or Not Applicable. The System records a Question, Response and Comment for each Question in the Question Set. The System requires a Comment for all 'No' responses.

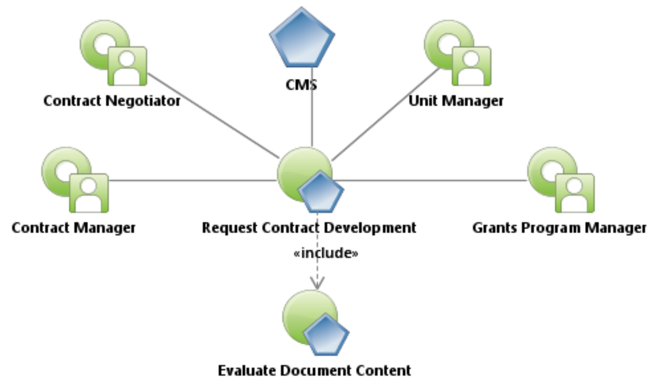
Desk Review Questions

Prior Monitoring Results	
1	Was the previous monitoring report(s) free of findings?
2	Has there been appropriate progress toward resolving them?
3	If required or requested, other funders monitoring reviews have been provided from the past 12-months?
4	Were all concerns or findings resolved from other funding monitoring reviews? If applicable.
5	Additional Grant Requirements (If applicable)
Financial Review	
1	Does the financial documentation match reimbursement request?

2	Is there sufficient progress in spending/requesting funds to meet the contract goals? If not, is there a plan in place for making better progress in the future?
3	If advances of funds are issued, are funds spent and documented in the appropriate time frame?
4	Does documentation exist to support expenditures (receipts, vouchers, invoices, or other supporting information including general journal entries that support the payment request submitted)?
5	Does the contractor maintain records that indicate monthly bank reconciliations have been conducted?
6	If the contractor earns interest from contract funds, is the interest documented and used appropriately?
7	If the contractor earns program income from contract funds, is the program income documented and used appropriately?
8	Do the direct service costs appear to be reasonable and eligible under the contract terms?
9	Were procurement procedures followed for major purchases?
10	Do the administrative costs appear to be reasonable, eligible and limited to the appropriate % under the contract terms?
11	Are records maintained that indicate how administrative costs are used?
12	Additional Grant Requirements (If applicable)
Performance Review	
1	Do written materials, project files, and staff interviews indicate that contract activities are consistent with the contract terms/provisions?
2	Is there documentation to verify reported results for specific performance goals stated in the contract?
3	Does an inspection of a sample of files (client, participant, activity, etc.) indicate that proper documentation is maintained?
4	Additional Grant Requirements (If applicable)
Administrative Review	
1	Have adequate records been retained for the appropriate period of time?
2	Based on information that came to light during planning, contractor interviews, or the documentation review: Is the contract not influenced by outside pressure or contractor relationships with special interest groups that could hinder the department's ability to sufficiently manage the contract?

3	Are all required postings and policies present?
4	Are employee files maintained with appropriate documentation?
5	Is there evidence that the contractor is in compliance with contract terms (even with those that do not require a report)?
6	If the Contractor works with Sub-Contractors, are there signed agreements for each of them that contain the critical pass through terms from the City?
7	If the Contractor works with Sub-Contractors, were sub-contractor agreements signed before disbursing/reimbursing any funds?
8	Additional Grant Requirements (If applicable)

2.15 Request Contract Development



The Contract Negotiator accesses the System to create a Contract Development Request (CDR) Approval Document. The Contract Negotiator enters the following fields in the general section: Agency Name, Vendor Code, Request Type (New Contract, Amendment), Contract Type (Social Services Reimbursable, Social Services Deliverables, HIV Reimbursable, HIV Deliverables, Professional Services Agreement, Inter-local Agreement), Ticket Number, and enters the name of each potential Contract Program.

The Contract Negotiator enters the following fields in the master agreement section: Contract Number, Amendment Number, Earliest Start Date, Latest End Date, Requestor Name, Requestor Email, Contract Amount, Amendment Amount (if Request Type is Amendment), Full Contract Amount, Agency Signatory, Signatory Title, Number of Options, Current Extension, Initial Request Date, and Revision Date.

The Contract Negotiator selects one or more necessary exhibits from the following list: 'A.1. Program Work Statement', 'A.1. Program Work Statement for Deliverables', 'A.1.1. Program Work Statement for HIV Contract', 'A.1.2. Program Work Statement by HIV Service Category', 'A.2. Program Performance Measures', 'A.2. Program Multi Year Performance Measures', 'A.2. Program Performance for HIV Service Category', 'A3. Client Eligibility Requirements', 'B.1. Program Budget & Narrative', 'B.1.1-3. Program Budget for HIV Contract', 'B.1. Program Multi Year Budget', 'B.2. Program Subcontractors', 'B.2. Program Multi Year Subcontractors', 'C.1. Equal Employment/ Fair Housing Office/ Non-Discrimination Certification', 'D.1. Homeless Management Information System (HMIS) Reporting Requirements', 'D.1. Performance & Financial Report Delivery Schedule', and 'Other Exhibits'.

The Contract Negotiator enters the following field in the council section: indicator of RCA, Council Date, Council Agenda Number, and an indicator of Prior Council Action. If the Prior Council Action indicator is 'yes', the Contract Negotiator enters the Council Date and Council Agenda Number for each prior action.

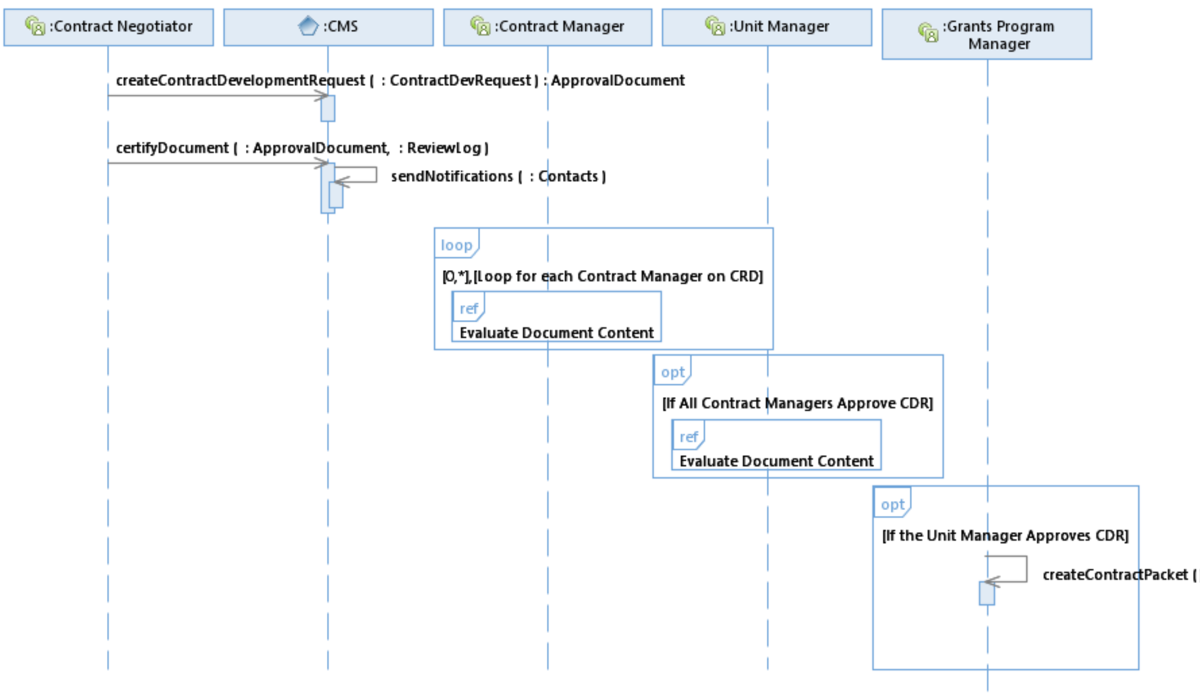
The Contract Negotiator enters an indicator of Insurance Status, FDU, Grant Fund indicator and if 'yes', then enters the Grant Name and Grant Program Number. If this is a new agreement the Contract Negotiator enters a Competitive Award indicator and, if 'yes', enters the Number of Bids, Number of Vendors Solicited, indicator of Master Agreement Replacement, and, if 'yes', and Prior Master Agreement Number.

The Contract Negotiator lists each pertinent Contract Manager in the internal use section and certifies the CDR. The System sends a notification to the Unit Manager.

The Unit Manager evaluates the content of the CDR. If the Unit Manager approves the CDR the System sends a notification to the Contract Manager for each program on the CDR.

The Contract Manager(s) access the System to review the document. If the Contract Manager(s) approves the document the System sends a notification to the Grants Program Manager.

The Grants Program Manager accesses the System to print the CDR. Uses the print out, the Grants Program Manager updates a master contact spreadsheet for the fiscal year. The Grants Program Manager begins drafting the contract boilerplate template for the contract and creates a Contract Packet (file folder). The Grants Program Manager begins gathering documentation for the Contract Packet including, but not limited to the following: Request for Master Agreement (RQM), Form 1295, Risk Manager Approval, Insurance Documentation, Request for Council Action, Proof of Non-Debarment and Department Routing Slip. If the request is for a contract amendment, the Grants Program Manager drafts an amendment boilerplate template and the Contract Packet does not include the Request for Master Agreement or Form 1295.



Req#	Type/Interface - Requirement Description
94	CMS/createContractDevelopmentRequest
	The System records the following fields for the Contract Development Request: Agency Name, Vendor Code, Request Type (New Contract, Amendment), Contract Type (Social Services Reimbursable, Social Services Deliverables, HIV Reimbursable, HIV Deliverables, Professional Services Agreement, Inter-local Agreement), Ticket Number, one or more Contract Program(s),Contract Number, Amendment Number, Earliest Start Date, Latest End Date, Requestor Name, Requestor Email, Contract Amount, Amendment Amount, Full Contract Amount, Agency Signatory, Signatory Title, Number of Options, Current Extension, Initial Request Date, and Revision Date.

	The System records one or more exhibits from the following list as a requirement: 'A.1. Program Work Statement', 'A.1. Program Work Statement for Deliverables', 'A.1.1. Program Work Statement for HIV Contract', 'A.1.2. Program Work Statement by HIV Service Category', 'A.2. Program Performance Measures', 'A.2. Program Multi Year Performance Measures', 'A.2. Program Performance for HIV Service Category', 'A3. Client Eligibility Requirements', 'B.1. Program Budget & Narrative', 'B.1.1-3. Program Budget for HIV Contract', 'B.1. Program Multi Year Budget', 'B.2. Program Subcontractors', 'B.2. Program Multi Year Subcontractors', 'C.1. Equal Employment/ Fair Housing Office/ Non-Discrimination Certification', 'D.1. Homeless Management Information System (HMIS) Reporting Requirements', 'D.1. Performance & Financial Report Delivery Schedule', and 'Other Exhibits'. The System records the following fields: RCA indicator, Council Date, Council Agenda Number, Prior Council Action indicator along with the date of each prior action Council Date and Council Agenda Number. The System records the following fields: Insurance Status indicator, FDU, Grant Fund indicator along with the Grant Name and Grant Program Number for each grant. If this is a new agreement the System records the following fields: Competitive Award indicator, Number of Bids, Number of Vendors Solicited, of Master Agreement Replacement indicator, and Prior Master Agreement Number.
95	CMS/certifyDocument
	The System captures a 'signature' indicating certification of the Approval Document. The System records the following fields in the Review Log: Reviewer Name, Reviewer Title, Date Reviewed, Comment and Status of 'Certified'. Signature methods may include: typed name, electronic signature capture, or digital signatures.
96	CMS/sendNotifications
	The System uses a select, editable template to draft a message to one or more specified contacts and sends the message via email to the contacts.
97	Grants Program Manager/createContractPacket
	The Grants Program Manager creates a Contract Packet (file folder) and begins assembling all required documentation including, but not limited to the following: Request for Master Agreement (RQM), Form 1295, Risk Manager Approval, Insurance Documentation, Request for Council Action, Proof of Non-Debarment and Department Routing Slip.

Attachment A: Price Proposal

Term: Initial Term 36 Months (Year 1, 2, 3) with two additional 12 month options (Year 4, 5)

1. HOSTING AND MAINTENANCE

1.1 Year 1

Description	Year 1 Price	Detailed Breakdown (add a separate sheet if needed)
Hosting/Subscription Fees	$ 13,200.00	
Maintenance Fees (If not included in above)*	$ -	
Third Party tools/licenses (If not included in hosting/Subscription Fee)	$ -	
Technical and User Support Fees (If not included in above)*	$ -	
Third Party system data privacy and security evaluation, such as SAS70, SSAE16 or SOC1/2 (if not included in above)*	$ -	
Disaster backup and recovery (If not included in the hosting fees)	$ -	
Other Costs (if required and not included in above)**	$ 45,000.00	One Time Licensing fee. Grants the City unlimited use for unlimited users and unlimited data. No recurring fees. Also listed in section 3. Additional Services
Year 1 Total	$ 58,200.00	

*Indicate if cost is included elsewhere, and if so which line item it is included.

**Include a detailed breakdown of other specific costs not referenced above as a supplemental to the cost proposal. Such as: minor revision upgrades to the insalled system, major revision upgrades to the installed system, bug fix releases, product enhancement and new features

1.2 **Year 2, Year 3, Year 4, Year 5**

Description	Year 2 Price	Year 3 Price	Option One (Year 4) Price	Option Two (Year 5) Price
Hosting/Subscription Fee	$ 13,200.00	$ 13,200.00	$ 14,400.00	$ 14,400.00
Maintenance Fee (If not included in above)*				
Third party tools/licenses (If not included in hosting/Subscription Fees)				
Technical and User Support Fee (If not included in above)*				
Third Party system data privacy and security evaluation, such as SAS70, SSAE16 or SOC1/2 (if not included in above)*				
Disaster backup and recover(If not included in the hosting fee)				
Other Costs (if required and not included in above)**				
Per Year Total	$ 13,200.00	$ 13,200.00	$ 14,400.00	$ 14,400.00

*Indicate if cost is included elsewhere, and if so which line item it is included.

**Include a detailed breakdown of other specific costs not referenced above as a supplemental to the cost proposal. Such as: minor revision upgrades to the insalled system, major revision upgrades to the installed system, bug fix releases, product enhancement and new features

2. INITIAL CONFIGURATION AND IMPLEMENTATION

Proposer must submit a detailed breakdown of services for the implementation if not included in Initial Term of item 1 above. Provide a supplemental to the cost proposal detailing the cost structure and any assumptions being made (hourly, per diem, etc.) as well as costs for future consideration.

Description	Price
Implementation Services*	$ 35,000.00
Legacy Data migration and / or scrubbing (if not included in above)*	$ 10,000.00
Training (if not included in above)*	$ 5,000.00
Other Costs (if required and not included in above)**	$ -
Total Price	$ 50,000.00

*Indicate if cost is included elsewhere, and if so which line item it is included.

**Include a detailed breakdown of other specific costs not referenced above as a supplemental to the cost proposal. Such as: minor revision upgrades to the insalled system, major revision upgrades to the installed system, bug fix releases, product enhancement and new features

3. ADDITIONAL SERVICES (CUSTOMIZATION, USER EXPERIENCE CONSULTANT, AND LICENSING FEE)

Description	Year One (Initial Term) Price	Year Two (Initial Term) Price	Year Three (Initial Term) Price	Option One (Year 4) Price	Option Two (Year 5) Price
Customization*					
User Experience Consultant**					
Licensing/Seats ***	$ 45,000.00				
Total Price	$ 45,000.00	$ -	$ -	$ -	$ -

One time Licensing Fee of $45,000. Grants the City unlimited use for unlimited users

*Fixed hourly rate for custom development requested by the City for software functionality not included in the base software licensing agreement for years one through five. Provide a supplemental to the cost proposal detailing any additional information as well as other cost structures for future consideration.

**Fixed hourly rate for User Experience Consultant. Provide a supplemental to the cost proposal detailing any additional information as well as other cost structures for future consideration.

***Per License/Seat Include information on licensing model and type of user licenses proposed (concurrent, per seat, etc.) as well as any quantity driven price breaks, if applicable. Provide a supplemental to the cost proposal detailing any additional information as well as other cost structures for future consideration.

4. ADDITIONAL COSTS (COSTS INVOLVED WITH YOUR PROPOSAL NOT COVERED IN THE SECTION ABOVE)

Include a detailed breakdown of other specific costs not referenced above on a separate sheet. Any customization or 3rd party software, or any packaged hardware referenced in the response to Requirements

Description

COMPANY NAME: ____

SIGNATURE OF AUTHORIZED REPRESENTATIVE: _____________________________________

PRINTED NAME: ____

EMAIL ADDRESS: ____

PHONE: ____

Section 0605: Local Business Presence Identification

A firm (Offeror or Subcontractor) is considered to have a Local Business Presence if the firm is headquartered in the Austin Corporate City Limits, or has a branch office located in the Austin Corporate City Limits in operation for the last five (5) years, currently employs residents of the City of Austin, Texas, and will use employees that reside in the City of Austin, Texas, to support this Contract. The City defines headquarters as the administrative center where most of the important functions and full responsibility for managing and coordinating the business activities of the firm are located. The City defines branch office as a smaller, remotely located office that is separate from a firm's headquarters that offers the services requested and required under this solicitation.

OFFEROR MUST SUBMIT THE FOLLOWING INFORMATION FOR EACH LOCAL BUSINESS (INCLUDING THE OFFEROR, IF APPLICABLE) TO BE CONSIDERED FOR LOCAL PRESENCE.

NOTE: ALL FIRMS MUST BE IDENTIFIED ON THE MBE/WBE COMPLIANCE PLAN OR NO GOALS UTILIZATION PLAN (REFERENCE SECTION 0900).

USE ADDITIONAL PAGES AS NECESSARY

OFFEROR:

Name of Local Firm	DTPi	
Physical Address	817 Larch Valley Ct Leesburg VA 20176	
Is your headquarters located in the Corporate City Limits? (circle one)	Yes	No
or		
Has your branch office been located in the Corporate City Limits for the last 5 years?	Yes	No
Will your business be providing additional economic development opportunities created by the contract award? (e.g., hiring, or employing residents of the City of Austin or increasing tax revenue?)	Yes	No

SUBCONTRACTOR(S):

Name of Local Firm	None	
Physical Address		
Is your headquarters located in the Corporate City Limits? (circle one)	Yes	No
or		
Has your branch office been located in the Corporate City Limits for the last 5 years	Yes	No

Will your business be providing additional economic development opportunities created by the contract award? (e.g., hiring, or employing residents of the City of Austin or increasing tax revenue?)	Yes	No

SUBCONTRACTOR(S):

Name of Local Firm		
Physical Address		
Is your headquarters located in the Corporate City Limits? (circle one)	Yes	No
or		
Has your branch office been located in the Corporate City Limits for the last 5 years	Yes	No
Will your business be providing additional economic development opportunities created by the contract award? (e.g., hiring, or employing residents of the City of Austin or increasing tax revenue?)	Yes	No

Section 0700: Reference Sheet

Responding Company Name DTPi

The City at its discretion may check references in order to determine the Offeror's experience and ability to provide the products and/or services described in this Solicitation. The Offeror shall furnish at least 5 complete and verifiable references. References shall consist of customers to whom the offeror has provided the same or similar services within the last 5 years. References shall indicate a record of positive past performance.

1. Company's Name: State of Iowa
   Name and Title of Contact: Debra Scrowther
   Project Name: Webgrants
   Present Address:
   City, State, Zip Code:
   Telephone Number: (515) 281-7076 Fax Number ( )
   Email Address: debra.scrowther@iowa.gov

2. Company's Name: State of Utah
   Name and Title of Contact: Mary Jacobs
   Project Name: Webgrants
   Present Address:
   City, State, Zip Code:
   Telephone Number: (801) 468-0135 Fax Number ( )
   Email Address: mjacobs@utah.gov

3. Company's Name: City of San Jose
   Name and Title of Contact: Colleen Brennan
   Project Name: Webgrants
   Present Address:
   City, State, Zip Code:
   Telephone Number: (408) 794-1139 Fax Number ( )
   Email Address: Colleen.brennan@sanjoseca.gov

4. Company's Name — MN State Arts Board

Name and Title of Contact — David White

Project Name — Webgrants

Present Address —

City, State, Zip Code —

Telephone Number — (651) 215-1622 Fax Number (____)

Email Address — david.white@arts.state.mn.us

5. Company's Name — Sacramento Metro Arts Comm.

Name and Title of Contact — Anja Aulenbacher

Project Name — Webgrants

Present Address —

City, State, Zip Code —

Telephone Number — (916) 566-3986 Fax Number (____)

Email Address — aaulenbacher@cityofsacramento.org

City of Austin, Texas
Section 0800
NON-DISCRIMINATION AND NON-RETALIATION CERTIFICATION

City of Austin, Texas

Equal Employment/Fair Housing Office

To: City of Austin, Texas,

I hereby certify that our firm complies with the Code of the City of Austin, Section 5-4-2 as reiterated below, and agrees:

(1) Not to engage in any discriminatory employment practice defined in this chapter.

(2) To take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without discrimination being practiced against them as defined in this chapter, including affirmative action relative to employment, promotion, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rate of pay or other forms of compensation, and selection for training or any other terms, conditions or privileges of employment.

(3) To post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Equal Employment/Fair Housing Office setting forth the provisions of this chapter.

(4) To state in all solicitations or advertisements for employees placed by or on behalf of the Contractor, that all qualified applicants will receive consideration for employment without regard to race, creed, color, religion, national origin, sexual orientation, gender identity, disability, sex or age.

(5) To obtain a written statement from any labor union or labor organization furnishing labor or service to Contractors in which said union or organization has agreed not to engage in any discriminatory employment practices as defined in this chapter and to take affirmative action to implement policies and provisions of this chapter.

(6) To cooperate fully with City and the Equal Employment/Fair Housing Office in connection with any investigation or conciliation effort of the Equal Employment/Fair Housing Office to ensure that the purpose of the provisions against discriminatory employment practices are being carried out.

(7) To require of all subcontractors having 15 or more employees who hold any subcontract providing for the expenditure of $2,000 or more in connection with any contract with the City subject to the terms of this chapter that they do not engage in any discriminatory employment practice as defined in this chapter

For the purposes of this Offer and any resulting Contract, Contractor adopts the provisions of the City's Minimum Standard Non-Discrimination and Non-Retaliation Policy set forth below.

City of Austin
Minimum Standard Non-Discrimination and Non-Retaliation in Employment Policy

As an Equal Employment Opportunity (EEO) employer, the Contractor will conduct its personnel activities in accordance with established federal, state and local EEO laws and regulations.

The Contractor will not discriminate against any applicant or employee based on race, creed, color, national origin, sex, age, religion, veteran status, gender identity, disability, or sexual orientation. This policy covers all aspects of employment, including hiring, placement, upgrading, transfer, demotion, recruitment, recruitment advertising, selection for training and apprenticeship, rates of pay or other forms of compensation, and layoff or termination.

The Contractor agrees to prohibit retaliation, discharge or otherwise discrimination against any employee or applicant for employment who has inquired about, discussed or disclosed their compensation.

Further, employees who experience discrimination, sexual harassment, or another form of harassment should immediately report it to their supervisor. If this is not a suitable avenue for addressing their compliant, employees are advised to contact another member of management or their human resources representative. No employee shall be discriminated against, harassed, intimidated, nor suffer any reprisal as a result of reporting a violation of this policy. Furthermore, any employee, supervisor, or manager who becomes aware of any such discrimination or harassment should immediately report it to executive management or the human resources office to ensure that such conduct does not continue.

Contractor agrees that to the extent of any inconsistency, omission, or conflict with its current non-discrimination and non-retaliation employment policy, the Contractor has expressly adopted the provisions of the City's Minimum Non-Discrimination Policy contained in Section 5-4-2 of the City Code and set forth above, as the Contractor's Non-Discrimination Policy or as an amendment to such Policy and such provisions are intended to not only supplement the Contractor's policy, but will also supersede the Contractor's policy to the extent of any conflict.

UPON CONTRACT AWARD, THE CONTRACTOR SHALL PROVIDE THE CITY A COPY OF THE CONTRACTOR'S NON-DISCRIMINATION AND NON-RETALIATION POLICIES ON COMPANY LETTERHEAD, WHICH CONFORMS IN FORM, SCOPE, AND CONTENT TO THE CITY'S MINIMUM NON-DISCRIMINATION AND NON-RETALIATION POLICIES, AS SET FORTH HEREIN, **OR** THIS NON-DISCRIMINATION AND NON-RETALIATION POLICY, WHICH HAS BEEN ADOPTED BY THE CONTRACTOR FOR ALL PURPOSES WILL BE CONSIDERED THE CONTRACTOR'S NON-DISCRIMINATION AND NON-RETALIATION POLICY WITHOUT THE REQUIREMENT OF A SEPARATE SUBMITTAL.

Sanctions:

Our firm understands that non-compliance with Chapter 5-4 and the City's Non-Retaliation Policy may result in sanctions, including termination of the contract and suspension or debarment from participation in future City contracts until deemed compliant with the requirements of Chapter 5-4 and the Non-Retaliation Policy.

Term:

The Contractor agrees that this Section 0800 Non-Discrimination and Non-Retaliation Certificate of the Contractor's separate conforming policy, which the Contractor has executed and filed with the City, will remain in force and effect for one year from the date of filling. The Contractor further agrees that, in consideration of the receipt of continued Contract payment, the Contractor's Non-Discrimination and Non-Retaliation Policy will automatically renew from year-to-year for the term of the underlying Contract.

Dated this 15th day of Sept., 2017

CONTRACTOR DTR

Authorized Signature

Title Principal

Section 0815: Living Wages Contractor Certification

Company Name DTPi

Pursuant to the Living Wages provision (reference Section 0400, Supplemental Purchase Provisions) the Contractor is required to pay to all employees of the Prime Contractor and all tiers of subcontracting directly assigned to this City contract a minimum Living Wage equal to or greater than $13.50 per hour.

(1) The below listed employees of the Contractor who are directly assigned to this contract are compensated at wage rates equal to or greater than $13.50 per hour:

Employee Name	Employer	Prime or Sub	Your Normal Rate	Employee Job Title
Tom Nyilasi	DTPi	P	50/hr	PM
Tena Malone	DTPi	P	~~$5~~ 50/hr	Client Relations
Joe Hughes	DTPi	P	50/hr	Dev.
Atif shah	DTPi	P	50/hr	Dev.

(2) all future employees assigned to this Contract will be paid a minimum Living Wage equal to or greater than $13.50 per hour.

(3) Our firm will not retaliate against any employee claiming non-compliance with the Living Wage provision.

A Contractor who violates this Living Wage provision shall pay each affected employee the amount of the deficiency for each day the violation continues. Willful or repeated violations of the provision or fraudulent statements made on this certification may result in termination of this Contract for Cause, subject the firm to possible suspension or debarment, or result in legal action.

I hereby certify that all the listed employees of the Contractor who are directly assigned to this contract are paid a minimum Living Wage equal to or greater than $13.50 per hour.

Section 0835: Non-Resident Bidder Provisions

Company Name DTPi

A. Bidder must answer the following questions in accordance with Vernon's Texas Statues and Codes Annotated Government Code 2252.002, as amended:

Is the Bidder that is making and submitting this Bid a "Resident Bidder" or a "non-resident Bidder"?

Answer: Non - Resident

(1) Texas Resident Bidder- A Bidder whose principle place of business is in Texas and includes a Contractor whose ultimate parent company or majority owner has its principal place of business in Texas.
(2) Nonresident Bidder- A Bidder who is not a Texas Resident Bidder.

B. If the Bidder id a "Nonresident Bidder" does the state, in which the Nonresident Bidder's principal place of business is located, have a law requiring a Nonresident Bidder of that state to bid a certain amount or percentage under the Bid of a Resident Bidder of that state in order for the nonresident Bidder of that state to be awarded a Contract on such bid in said state?

Answer: NO Which State: VA

C. If the answer to Question B is "yes", then what amount or percentage must a Texas Resident Bidder bid under the bid price of a Resident Bidder of that state in order to be awarded a Contract on such bid in said state?

Answer: ______

MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISE (MBE/WBE)
PROCUREMENT PROGRAM
Subcontracting/Sub-Consulting ("Subcontractor") Utilization Plan

SOLICITATION NUMBER: ELF0302
SOLICITATION TITLE: CONTRACT MANAGEMENT AND DEVELOPMENT SYSTEM

INSTRUCTIONS: Offerors who DO intend to use Subcontractors may utilize M/WBE Subcontractor(s) or perform Good Faith efforts when retaining Non-certified Subcontractor(s). Offerors must determine which type of Subcontractor(s) they are anticipating to use (CERTIFIED OR NON-CERTIFIED), check the box of their applicable decision, and comply with the additional instructions associated with that particular selection.

☐ I intend to use City of Austin CERTIFIED M/WBE Subcontractor/Sub-consultant(s).

Instructions: Offerors may use Subcontractor(s) that ARE City of Austin certified M/WBE firms. Offerors shall contact SMBR (512-974-7600 or SMBRComplianceDocuments@austintexas.gov) to confirm if the Offeror's intended Subcontractor(s) are City of Austin certified M/WBE and if these firm(s) are certified to provide the goods and services the Offeror intends to subcontract. If the Offeror's Subcontractor(s) are current valid certified City of Austin M/WBE firms, the Offeror shall insert the name(s) of their Subcontractor(s) into the table below and must include the following documents in their sealed Offer:

- Subcontracting/Sub-Consulting Utilization Form (completed and signed)
- Subcontracting/Sub-Consulting Utilization Plan (completed)

☐ **I intend to use NON-CERTIFIED Subcontractor/Sub-Consultant(s) after performing Good Faith Efforts.**

Instructions: Offerors may use Subcontractors that ARE NOT City of Austin certified M/WBE firms ONLY after Offerors have first demonstrated Good Faith Efforts to provide subcontracting opportunities to City of Austin M/WBE firms.

STEP ONE: Contact SMBR for an availability list for the scope(s) of work you wish to subcontract;
STEP TWO: Perform Good Faith Efforts (Check List provided below);
STEP THREE: Offerors shall insert the name(s) of their certified or non-certified Subcontractor(s) into the table below and must include the following documents in their sealed Offer:

- Subcontracting/Sub-Consulting Utilization Form (completed and signed)
- Subcontracting/Sub-Consulting Utilization Plan (completed)
- All required documentation demonstrating the Offeror's performance of Good Faith Efforts (see Check List below)

GOOD FAITH EFFORTS CHECK LIST –

When using NON-CERTIFIED Subcontractor/Sub-consultants(s), **ALL of the following CHECK BOXES MUST be completed in order to meet and comply with the Good Faith Effort requirements and all documentation must be included in your sealed Offer. Documentation CANNOT be added or changed after submission of the bid.**

☐ **Contact SMBR.** Offerors shall contact SMBR (512-974-7600 or SMBRComplianceDocuments@austintexas.gov) to obtain a list of City of Austin certified M/WBE firms that are certified to provide the goods and services the Offeror intends to subcontract out. (Availability List). Offerors shall document their contact(s) with SMBR in the "SMBR Contact Information" table on the following page.

☐ **Contact M/WBE firms.** Offerors shall contact all of the M/WBE firms on the Availability List with a Significant Local Business Presence which is the Austin Metropolitan Statistical Area, to provide information on the proposed goods and services proposed to be subcontracted and give the Subcontractor the opportunity to respond on their interest to bid on the proposed scope of work. When making the contacts, Offerors shall use at least two (2) of the following communication methods: email, fax, US mail or phone. Offerors shall give the contacted M/WBE firms at least seven days to respond with their interest. Offerors shall document all evidence of their contact(s) including: emails, fax confirmations, proof of mail delivery, and/or phone logs. These documents shall show the date(s) of contact, company contacted, phone number, and contact person.

SOLICITATION NUMBER: ELF0302
SOLICITATION TITLE: CONTRACT MANAGEMENT AND DEVELOPMENT SYSTEM

☐ **Follow up with responding M/WBE firms.** Offeror shall follow up with all M/WBE firms that respond to the Offeror's request. Offerors shall provide written evidence of their contact(s): emails, fax confirmations, proof of mail delivery, and/or phone logs. These documents shall show the date(s) of contact, company contacted, phone number, and contact person.

☐ **Advertise.** Offerors shall place an advertisement of the subcontracting opportunity in a local publication (i.e. newspaper, minority or women organizations, or electronic/social media). Offerors shall include a copy of their advertisement, including the name of the local publication and the date the advertisement was published.

☐ **Use a Community Organization.** Offerors shall solicit the services of a community organization(s); minority persons/women contractors'/trade group(s); local, state, and federal minority persons/women business assistance office(s); and other organizations to help solicit M/WBE firms. Offerors shall provide written evidence of their Proof of contact(s) include: emails, fax confirmations, proof of mail delivery, and/or phone logs. These documents shall show the date(s) of contact, organization contacted, phone number, email address and contact person.

MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISE (MBE/WBE)
PROCUREMENT PROGRAM
Subcontracting/Sub-Consulting ("Subcontractor") Utilization Plan

SOLICITATION NUMBER:	ELF0302
SOLICITATION TITLE:	CONTRACT MANAGEMENT AND DEVELOPMENT SYSTEM

(Offerors may duplicate this page to add additional Subcontractors as needed)

Subcontractor/Sub-consultant	
City of Austin Certified	☐ MBE ☐ WBE Ethnic/Gender Code: ☒ NON-CERTIFIED
Vendor ID Code	
Contact Person	Phone Number:
Additional Contact Info	Fax Number: E-mail:
Amount of Subcontract	$
List commodity codes & description of services	
Justification for not utilizing a certified MBE/WBE	

Subcontractor/Sub-consultant	
City of Austin Certified	☐ MBE ☐ WBE Ethnic/Gender Code: ☐ NON-CERTIFIED
Vendor ID Code	
Contact Person	Phone Number:
Additional Contact Info	Fax Number: E-mail:
Amount of Subcontract	$
List commodity codes & description of services	
Justification for not utilizing a certified MBE/WBE	

SMBR Contact Information

SMBR Contact Name	Contact Date	Means of Contact	Reason for Contact
		☐ Phone **OR** ☐ Email	

FOR SMALL AND MINORITY BUSINESS RESOURCES DEPARTMENT USE ONLY:

Having reviewed this plan, I acknowledge that the Offeror ☐ HAS or ☐ HAS NOT complied with these instructions and City Code Chapters 2-9A/B/C/D, as amended.

Reviewing Counselor Date

I have reviewed the completing the Subcontracting/Sub-Consultant Utilization Plan and ☐ Concur ☐ Do Not Concur with the Reviewing Counselor's recommendation.

Director/Assistant Director or Designee Date

REQUIREMENTS INFORMATION

• Functional Requirements: These requirements describe product features and functionality requested by end users.
• Technical Requirements: Developed by the City's Communication and Technology Management staff, these requirements describe the technical specifications to support the Functional Requirements and the constraints for security and networking.
• Project Management/Implementation Requirements: These requirements describe the project management resources, processes, documentation and training that ensure effective product implementation and accomplishment of project objectives.

2. Qualifiers for Requirements

Category Identification (ID)
"Category" ID distinguishes the requirement within each functional, technical, and project management/implementation group. "Category" ID organizes requirements by business process or technical similarity. The "Category" IDs are:
• "4" for Functional Requirements
• "5" for Technical Requirements
• "6" for Project Management/Implementation Requirements

3. Requirement Number

The "Requirement Number" preceded by the "Category ID" provides a unique requirement number to each requirement in the RFP. "Requirement Numbers" begin with 001 and are in chronological order by "Category ID".
• 4 -"001", 4 -"002", 4 -"003", etc. = Functional Requirement
• 5 -"001", 5 -"002", 5 -"003", etc. = Technical Standard (Requirement)
• 6 -"001", 6 -"002", 6 -"003", etc. = Project Management/Implementation Requirement

4. Type

"Type" is a sub-category providing a brief distinguishing description of the requirement within each category.

5. Use Case Requirement Number

"Use Case Requirement Number" is used only with a Functional requirement. These reference callouts are to the Unified Modeling Language (UML) use-case models in Appendix A which identify additional business processes and functional processes desired in the Contract Management and Development System and are used for additional clarity only.

The purpose of the "Required Response" is to guide vendors in describing the item, product feature, or system customization that satisfies the requirements as stated in the "Requirement Description".
• BASE describes a product feature in the vendor's product software
• NOT PROVIDED describes a product feature unobtainability through the vendor's product software
• CUSTOMIZATION describes a product obtainability only through the special modification of the vendor's product software
• THIRD-PARTY describes a product obtainability only through the vendor's interface with another vendor's product software

APPENDIX B – FUNCTIONAL REQUIREMENTS

Category	Req No.	Topic	Requirement Description	Type	Vendor Response
4	1	Data Entry	The System provides a mechanism for managing and customizing contact information such as name, age, gender, race, ethnicity, and email address; along with support for multiple addresses and phone numbers.	Base	The People and Organization modules are a full contact management system built into the WebGrants system. People can be added as WebGrants users or as contacts. Once in the system, staff can send emails, alerts, distribution lists and other communications. Contacts can be collected, managed and organized within the WebGrants system. All users have roles and strict security access defined in the system. External users can be added by staff or they can register and added to the system via a new user approval process. Any number of additional fields can be added to the profile. This can include demographic information such as age, race, etc. Also, other information can be captured like additional addresses, emails and phone numbers.
4	2	Data Entry	The System provides a mechanism for managing and customizing contracting agency information such as contacts, employees, board members, offices, branch offices and business units.	Base	People are associated to organizations. A single person can belong to one or more organizations and a single organization can have many members. Each organization has a profile with many profile fields including the name, address, contact information, website and others. Clients can customize the organization profile and add any number of additional fields to the profile using the form creator tool. Fields such as employees, board members, offices, branch offices can be added in this fashion.
4	3	Contract Management	The System provides a mechanism for managing and customizing collected contract development information such as contract terms, contractors and subcontractors.	Base	The WebGrants contract module allows staff to define any number of contract templates within the system. These templates can contain both boilerplate text and dynamic data mappings to grant data such as the grantee's name, budget amounts, scope of work, delivery schedule and other data. Once this document is defined this document can be generated for each individual grant. Staff can then further edit the contract. The contract can be routed for signature within the system. Both internal staff and the grantee can sign the document electronically within the system. The contract can be printed in both HTML and PDF formats.
4	4	Contract Management	The System provides a mechanism for managing various insurance requirements such as type of insurance, date issued and expiring date.	Base	Insurance information can be captured by creating user defined forms. These forms are created using the form creator tool. These forms are created by defining any number of fields such as type of insurance, date issued and expiring date. These fields can have many different parameters like required/optional, text or numbers, maximum characters and others.
4	5	Performance Measures	The System provides a mechanism for establishing output/outcome based performance goals, where output performance is defined as single metric aggregation and outcome performance is defined as impact rate with a recorded numerator and denominator.	Base	The form creator tool allows staff to define mathematical functions for any field in the system. A value can be calculated via a user defined formula. When the user enters data into the form, the form will use that data in a mathematical formula to derive certain values in the form. The mathematical function can use the operators add, subtract, multiply and divide. The user can use parentheses to establish the order of operations. Any number of fields on any number of forms can be used together in a single formula.
4	6	Contract Management	The System provides a mechanism for establishing a contract line itemized budget.	Base	Users can develop their line itemized budgets in the system. Not only can they enter various numbers and perform calculations but they can also define the overall layout and structure of the budget itself. By using the form creator tool, users can define their own budget forms and templates. Once these are defined, users can enter numbers and perform mathematical calculations, subtotals, and totals. Once a budget is developed, it can be copied. For example, if the budget is developed in the application it can be easily copied into the grant. There is no need for any data reentry. Budgets can be unique to a particular program area, grant competition or an individual grant. Budgets can also be created at a global level where all documents use the same budget.
4	7	Contract Management	The System provides a mechanism for establishing multiple funding streams for a contract budget and budget period.	Base	Awards in the awards module are subdivided into one or more fund sources. These fund sources are used to commit money to grants. Dollar amounts from the fund source are committed to the grant. The committed amount imposes a maximum funding level for the grant. As a project is implemented and claims, expense reports and reimbursements are submitted, these amounts are deducted from the fund source. The budget line items can also impose a restriction on spending. The system will keep track of the budget amount, expended amount this period, all prior expenses, the total of this period plus all prior periods and the available balance.

4	8	Contract Management	The System provides a mechanism for tracking and analyzing contract payment requests and contract payments made against a contract's budget.	Base	Claims in the system can be for reimbursements, advance payments and lump sum payments. All claims are based upon the budget as the budget is defined in the grant. The system will automatically copy the budget format from the grant into the claim. The grantee will enter their expense information into specific fields for expenses this period and matching information. Other fields like the fields copied form the budget are not editable for the grantee. The grantee can enter their expenses this period for each budget line item. The system will enforce business rules like the grantee cannot request more money than is available in the entire budget, or they cannot request more money than what is available in a budget line item, or the grantee can request up to 10% more than what is in a single budget line item as long as they do not exceed the overall budget amount. The claim can also be customized using the form creator and the grantee can attach any number of electronic files as backup documentation.
4	9	Contract Management	The System provides a mechanism for tracking contract amendments.	Base	Contract amendments are a standard component of the grant. Amendments can be used for making changes to any aspect of the grant. The amendment document can be created by the grantee or by internal staff. The amendment can be created to extend the grant duration, modify the budget, change the scope of work or for any other reason. This document is routed through a multi-level internal approval process. Once approved, staff can make the requested changes to any aspect of the grant.
4	10	Contract Management	The System provides a mechanism for the extension/renewal of contracts.	Base	Contracts can be extended or renewed for any reason. Staff can edit the end date of the contract. They can modify the scope of work, budget, objectives and any other aspect of the grant to reflect the current situation.
4	11	Contract Management	The System allows for contracts to span multiple years, multiple contract periods, and multiple contractors.	Base	A single grant can be for multiple years, have multiple contract periods and any number of contractors.
4	12	Contract Management	The System allows for tracking of budget and performance across multiple years, multiple contract periods, and multiple contractors.	Base	A single budget can be used for multiple years, multiple contract periods and any number of contractors.
4	13	Report Development & Management & Management	The System provides a feature rich mechanism for creating robust reports and applying custom formatting rules in a manner similar to Crystal Reports.	Base	WebGrants contains both standard and ad hoc reports. Any field in the system can be reporting on in the reporting module. Any field in the system can be used as filter criteria. Users can specify parameters like filtering, sorting, grouping, subtotaling and others. Reports can be exported to a wide variety of formats like PDF, Excel, Word, HTML, CSV, XML, JSON and others. Reports can generate tabular data but also graphics like pie charts or bar charts.
4	14	Access Management	The System provides a mechanism for a user to self-initiate a password reset	Base	Users can request new passwords at any time if they forgot or lost their password. This is a completely automated process without the involvement of client staff. The system will email the user their temporary password. The system will then force the user to change their password when they log in.
4	15	Access Management	The System provides a mechanism for administering role-based permissions and row level user access controls.	Base	WebGrants has full role based security access rights defined by the system administer. The system admin creates all security roles based upon about 70 different security privileges. Once the role is defined, the role can be assigned to any user. A single user can have one or more roles. Roles can be defined for the system administrator, client staff, reviewers and applicants. For more information, please see sections 7.15 and 8.12.
4	16	Access Management	The System provides a mechanism allowing authorized users to administer user accounts and limit accessibility level of user roles accounts their purview.	Base	The system administrator and other authorized users manage the roles and the role assignments to all users. The admin can create new roles based upon privileges and then assign those roles to users. A single user can have one or more roles.
4	17	Report Development & Management	The System provides a feature rich mechanism for creating robust reports and applying custom formatting rules in a manner similar to MicroStrategy, Cognos or Crystal Reports.	Base	Custom reports are supported as ad hoc reports. WebGrants allows the client users to define their own reports by selecting fields to add to the report from any form in the system. Once the fields are added, staff can define data aggregation parameters like grouping data, sorting data, filtering data by certain filter criteria, inserting subtotals and grand totals and inserting mathematical formulas that allow add, subtraction, multiplication and division of selected fields. Once the report is created, staff can save the report and rerun it over time and can export the report in a wide variety of formats including PDF, Excel, Word, HTML and CSV.
4	18	Report Development & Management	The System allows for customized reporting using Structured Query Language (SQL).	Base	Direct SQL is supported, as well as direct database access for third party reporting tools like Crystal Reports

4	19	Contract Audit	The System provides a workflow mechanism for the routing and approval of documents such as payment requests, performance reports, audit reports, progress reports and contract information	Base	All documents are part of a workflow. An inherent workflow exists over the entire grant management lifecycle. Then each document type has its own workflow. A unique workflow exists for opportunities, applications, reviews, grants, status reports, claims and all other documents. All workflows within the system are flexible and configurable. Examples of workflow parameters include the staff involved, the security access rights of those staff, the number of approval levels, branching logic for dollar amount thresholds, negotiation/correcting processes, exception cases and others. Workflows can be configured on a global level and for each program area. Some workflow parameters can also be set on a per funding opportunity basis. Exception cases and unique departures are also supported on a case-by-case basis.
4	20	Contract Management	The System provides a data entry mechanism which allows remote users to report on specific contract areas such as: expenditures, performance metrics, audit findings, and progress.	Base	The WebGrants software allows clients to design and define unique status reports that require grantees to periodically report upon both financial and non-financial progress. These status reports can include key performance indicators, programmatic progress reporting and compliance. The status report is created using the form creator tool. Clients can configure the reports themselves at any time. Data from the application, grant and other documents can be automatically copied to the status report. Automated email alerts remind the grantee to submit the reports.
4	21	Contract Management	The System provides a data entry mechanism for internal users to track contract desk reviews of reports submitted by remote users.	Base	Status reports can be approved by staff once the reports are submitted. If a status report has an issue, staff can route the report back to the grantee for corrections. Staff can also make notes and provide feedback on the report. The report approval process can move through a workflow. Up to five approvals are supported for a single report. Any number of staff can be assigned to levels 1-5. When the report is submitted by the grantee all staff assigned to level 1 are notified via email alerts. Once a single user from level 1 approves the report then the staff assigned to level 2 are notified. Once a user from level 2 approves the report, all users in level 3 are notified. This process continues until all assigned levels have approved the report.
4	22	Report Development & Management	The System provides a mechanism for creating customized data entry forms for contract reporting and a mechanism for storing the data once entered.	Base	The WebGrants software contains a powerful form creator tool that allows staff to create and define their own forms, fields, business rules and workflows. The software allows users to create their own fields. These fields can have many different parameters like required/optional, text or numbers, maximum characters and others. Since every client will require different fields and different forms, WebGrants is a blank canvas upon which different clients can develop different data reporting requirements. Once configured, the WebGrants software will be tailored specifically for the client and will incorporate all client specific data elements and business rules.
4	23	Data Entry	The System allows for real-time calculation based upon data entry form data and stored data.	Base	The form creator tool allows staff to define mathematical functions for any field in the system. A value can be calculated via a user defined formula. When the user enters data into the form, the form will use that data in a mathematical formula to derive certain values in the form. The mathematical function can use the operators add, subtract, multiply and divide. The user can use parentheses to establish the order of operations. Any number of fields on any number of forms can be used together in a single formula.
4	24	Scripting	The System allows for extension/configuration of data entry forms, by select administrative staff, via web scripting languages such as JavaScript, Python or Perl.	Base	This is not supported and not necessary. There is no need to do actual programming. The form creator tool is powerful enough to handle all required configurations to the system.
4	25	Scripting	The System allows for the creation of custom validation rules for use on data entry forms.	Base	All form and field validation is defined in the form creator tool by the admin. There are many field level validations that WebGrants can automatically perform to ensure that submitted applications are complete and contain all required data and documentation. For example, users can define required or optional fields; they can define data types like number, date, text, phone or email and the software will enforce that the data entered corresponds to the type defined. Staff can introduce branching logic dynamically making fields required or optional or to dynamically hide or show fields and forms based upon answers provided. Staff can set minimum and maximum limits on fields or the number of require attachments. Form validation displays error messages and pop ups directly to the applicant. The software will not allow submissions until all rules are followed.

4	26	File Upload	The System allows for the upload of electronic files types such as Microsoft Word (DOC, DOCX), Microsoft Excel (XLS, XLSX), Comma Separated Values (CSV), or Portable Document File (PDF).	Base	WebGrants supports file uploads with any document in the system. Users can upload any number of documents of any size or type. The admin can limit file types if they choose to do so, however, by default all file types are allowed.
4	27	File Upload	The System allows for the upload of electronic files within a configurable file size threshold or with a static file size threshold of at least 25MB.	Base	By default the system will accept any file of any size. However, the system can be configured to limit file sizes to 25 mb or smaller.
4	28	Alerts	The System provides a mechanism for generating email notifications to one or more recipients based upon an editable template message and a given workflow path.	Base	The WebGrants software supports over 70 different automated email alerts. These emails are sent under a wide range of business rules. An automated email alert is sent to the applicant when the applicant submits their application and other alerts are sent as the status of the application changes. The admin can configure the text in all email alerts. The admin can edit the boilerplate text and can insert variables that resolve when the email is sent. This allows the email to include information like the recipient's name, application title, status, due date and other dynamic information.
4	29	Alerts	The System provides a mechanism for sending email notifications, without user intervention, based on preset criteria.	Base	The WebGrants software supports over 70 different automated email alerts.
4	30	Data Management	The System allows for unidirectional database access via direct access or a provided extraction methodology.	Base	DTPi will allow clients to connect directly to the WebGrants database. This process is typically done by opening a port in the firewall to a particular IP address range. This requires that client staff must be in the client's primary location in order to gain access to the database. Any connections outside of this IP address range will be denied. This connection will be a secure encrypted connection. Once the connection is established, clients can query the database. This user will have read-only access to the database. DTPi will not grant any client write access directly to the database. The client may connect any third-party reporting tool to the database and run their own custom reports. The client may also download the entire database or any subset of tables or data. DTPi can also automatically send each nightly database backup to the client's servers. Also available are certain APIs to retrieve data from the system.
4	31	Data Management	Solution provides a process for secure disposal of data when requested by COA.	Base	All contacts, documents, forms, records, applications, grants and other data can be archived in the WebGrants system. Archived data is retained indefinitely in the WebGrants database; however, it is hidden in most routine navigation of the system. WebGrants never deletes data it only hides data. Archived data can be exported in batch from the system if the client wishes to do so.
4	32	Document Customization	The System provides a mechanism for generating contract documents, in a rich text or other editable format, based upon a customizable boilerplate template.	Base	The WebGrants contract module allows staff to define any number of contract templates within the system. These templates can contain both boilerplate text and dynamic data mappings to grant data such as the grantee's name, budget amounts, scope of work, delivery schedule and other data. Once this document is defined this document can be generated for each individual grant. Staff can then further edit the contract. The contract can be routed for signature within the system. Both internal staff and the grantee can sign the document electronically within the system. The contract can be printed in both HTML and PDF formats.
4	33	Access Management	The System provides a mechanism for requesting administrative support for items such as adding a user creation or permission changes.	Base	Intersystem communication via the correspondence component is supported
4	34	Audit	The System provides a mechanism for auditing record changes down to the field level and user	Base	The WebGrants audit log captures all users' activity for all users. The audit log records the user id, action taken and the date/time stamp. This log file grows infinitely large and is never truncated. Staff can refer to the log file at any time. All questionable actions can be researched in this file.

4	35	Geo Coordinates	The System provides a mechanism for determining the geo coordinates for a given address.	Base	By default, WebGrants integrates with Google Maps for mapping and GIS functionality. WebGrants has the ability to map addresses and coordinates for one or more document. For each document in the WebGrants system (applications, grants, status reports, claims, etc.) users can define up to five addresses or coordinates. WebGrants can then integrate with Google maps and the system can plot the location of each address or coordinate on the map. Users can generate a map for a single document or for many documents at once. Users can also define the information that pops up in the location pin. Possible information that can be displayed in the pin includes the document title, grantee name, grantee organization, budget total and other data. DTPi can also integrate with other GIS tools beyond Google Maps including ArcGIS, openGIS and others. Via JavaScript and some customization, it is possible to export all location information from WebGrants into any external system.
4	36	Cloud Connectivity	The System provides application features/accessibility solely via a cloud-based environment.	Base	DTPi will provide the dedicated server to host the system. DTPi will host the software on behalf of the client. WebGrants is a 100% web-based system. WebGrants is accessed through a web browser through a standard internet connection. All data will be separated for each client on completely different servers, databases and hard drives. No data from any two clients will be hosted or comingled at any time.
4	37	Browser	The System is browser agnostic, guaranteeing performance across various web browser platforms including: Edge Browser, Firefox, Chrome and Safari.	Base	WebGrants is compatible with all current browsers including Internet Explorer, Chrome, Firefox, Safari and Opera.
4	38	Browser	The System is platform agnostic, guaranteeing performance across various device platforms including: Windows, iOS and Android.	Base	WebGrants is a web-based system that runs inside of a browser; the OS of the client is not important. WebGrants is 100% compatible with Microsoft and Apple OS, as well as mobile devices such as tablets and smart phones.
4	39	Browser	The System communicates using a Secure Socket Layer (SSL) encryption verified by a 3rd party certificate authority.	Base	Data encryption is used for both data in transit and at rest. Data in transit is encrypted using SSL at 256-bit encryption with a server certificate. Data at rest can be encrypted at the client's discretion on an individual field basis. Fields can be encrypted using DES Cipher and they can be hashed. Encrypted fields can be unencrypted and viewed clear text or viewed obfuscated or partially obfuscated. Hashed fields cannot be unencrypted. Only DTPi employees have access to the decryption keys. DTPi tests this process continuously.
4	40	Report Development & Management	The System provides access to data entry forms via system report objects. (See attached Code Consideration - Common Throughout System pg. 8)	Base	The ad hoc reporting tool is based upon the current database structure, any changes to the structure is immediately reflected in the reporting tool. By using the form creator tool, users can change the database structure; they can create new tables and columns. These new tables and columns are immediately available in the reporting module. Any change to forms such as adding or removing fields is immediately reflected in the reporting tool.
4	41	Report Development & Management	The System provides access to uploaded files via system report objects. (See attached Code Consideration - Common Throughout System pg. 8)	Base	Uploaded files, file names and file descriptions are available to the ad hoc reporting tool.
4	42	Secure	The System is tested and hardened to mitigate cross site scripting attacks.	Base	There are many ways to hack into a website. The following list is an example of some of the more common ways: un-validated input; broken access controls (malicious use of a user's ID); broken authentication and session management (manipulation and use of authentication credentials and session cookies); cross site scripting (XSS) and Cross-Site Forgery (CSRF) attacks; buffer overflows, injection flaws (e.g., SQL and XML injection); improper error handling; insecure storage of data; insecure configuration management. DTPi safeguards against all of these attacks by escaping all input fields, enforcing strict data type validation, stripping all script tags, removing quotation marks and other strategies. Untrusted data is never inserted into the database.

APPENDIX C – TECHNICAL STANDARDS (REQUIREMENTS)

Category	Req No.	Topic	Requirement Description	Type	Vendor Response
5	1	Application Architecture	The application provides Web-enabled components to meet the Rehabilitation Act of 1973 Section 503, W3C and industry standards for graphics and design; speed; reliability; and security for dynamic content and user interaction.	Base	WebGrants is fully Section 508 compliant, meaning visually impaired people can use the software with the aid of website reading programs such as JAWS.
5	2	Application Architecture	The cloud-based application will allow the deployment of custom codes, or 3rd party plug-in to client workstations e.g Java Script (note: If Java Runtime Environment (JRE) is required, please list all supported versions).	Base	Yes, third party plugins are supported
5	3	Application Architecture	The application provides the ability to automate the deployment of software and updates to user workstations including, but not limited to Web-based deployment tools to push/pull software to the desktop (note: applicable only to run-time environment, like Java). Unless the contractor provides an alternative solution, users do not require administrative privileges.	Base	There is no need to deploy anything to the client. The client is only a browser. There are no plugins or downloadables needed.
5	4	Application Architecture	The application provides built-in application and system configuration tables accessible by all modules.	Base	Functionality is enabled and disabled two ways in the WebGrants system: configuration files and system settings, both of which are configurations and not customizations. Configuration files are typically system wide settings that affect an entire client's site. These include settings such as the session timeout interval, graphic banner images and client name, client webpage location and other settings. System settings are found within the WebGrants system itself. These settings can be on a global level or they can affect only a single program, document, form or field. System settings also affect the business rules and workflow. Examples of system settings are the forms and fields associated with a program. The number of approval levels for a claim. Or the point value of an evaluation form. System settings are found primarily in the Utilities module, but can also be found throughout the system.
5	5	Application Architecture	The application provides forms-based data validation (field level validation) and displays error messages when validation fails (i.e., user enters text in a numeric field).	Base	All form and field validation is defined in the form creator tool by the admin. There are many field level validations that WebGrants can automatically perform to ensure that submitted applications are complete and contain all required data and documentation. For example, users can define required or optional fields; they can define data types like number, date, text, phone or email and the software will enforce that the data entered corresponds to the type defined. Staff can introduce branching logic dynamically making fields required or optional or to dynamically hide or show fields and forms based upon answers provided. Staff can set minimum and maximum limits on fields or the number of require attachments. Form validation displays error messages and pop ups directly to the applicant. The software will not allow submissions until all rules are followed.
5	6	Application Architecture	The application provides copy, cut, paste, and undo functions from all data fields to/from other applications.	Base	Fields in WebGrants can be defined as plain text or rich text. Either way, data can be copied from Word or any other Office application into WebGrants into any field in the system. If the field is a rich text field, then the formatting will be retained. If the field is a plain text field, then the formatting will be omitted. Regardless no data will be lost or altered in the cutting and pasting process
5	7	Application Architecture	The application provides ability to perform mass changes to a defined group of transactions with appropriate selection criteria. Sometimes item descriptions or nomenclature change, the application provides advanced users of the system the ability to globally replace textual items with identity grouping constraints using SQL (or similar technology) like replacements when necessary.	Base	Bulk updates are supported under some circumstances
5	8	Application Architecture	The application provides ability to effective date transactions and table updates including, but not limited to future and retroactive changes, based on user-defined criteria.	Base	All transactions are recorded in the system with a last update date.
5	9	Application Architecture	The application provides ability to drill down from a transaction view to the supporting source document or record, regardless of the module source.	Base	Drill down reporting is supported in many reports in the WebGrants system. All system queries will return data that is drillable. A list of grants or applications or claims will be drillable down to the individual grants, applications and claims. On these subsequent pages, the information will become more narrowed and focused on the data in question.

5	10	Application Architecture	The application provides ability to apply upgrades and patches without impact to existing user interface customizations (e.g., user-defined forms/fields, Web interface, etc.).	Base	DTPi continually tests WebGrants on the most recent versions or all major browsers and operating systems. When a change is necessary, DTPi will modify the source code and notify all clients. Clients can deploy the new version on their own timetable. Deployments and upgrades take no more than a few minutes of server downtime. DTPi releases about six major upgrades and six minor upgrades per year. DTPi notifies all clients when a new upgrade is available. Clients can deploy the upgrade on their own schedules. There is no pressure to upgrade. A client can remain at any version for any length of time without violating their maintenance agreement. All upgrades are cumulative so an upgrade from 5.9 to 5.12 includes all upgrades 5.10, 5.11 and 5.12.
5	11	Application Architecture	Solution provides a patch management program that includes testing patches prior to implementation.	Base	DTPi maintains a baseline version of the system that is used in all test case scenarios. This version is routinely tested with new browsers. DTPi also uses this version to test all new features and additions to the software.
5	12	Cloud Application	The application provides a multi-tenancy service delivery that reduces many of the problems created by traditional software licensing and update. All the system end users will experience the same updates concurrently at the same time	Base	DTPi will provide the dedicated server to host the system. DTPi will host the software on behalf of the client. WebGrants is a 100% web-based system. WebGrants is accessed through a web browser through a standard internet connection. All data will be separated for each client on completely different servers, databases and hard drives. No data from any two clients will be hosted or comingled at any time.
5	13	Cloud Application	The application provides seamless integration with on-premise and on-demand solutions (e.g. integration with Microsoft Office 365, Active Directory)	Base	DTPi has integrated WebGrants with a wide assortment of client back office systems including financial accounting systems, single sign on systems, CRM systems, document management systems, website lookups, data posting and other integrations. The most common form of integration is with financial accounting systems. We have integrated WebGrants with many different systems including Oracle, PeopleSoft, Great Plains, Sage, Mainframe systems, AMS financial systems and many others. For single sign on, we have integrated with both Active Directory and LDAP systems. For CRM systems, we have integrated with Microsoft CRM and others. For document management systems, we have integrated with SharePoint and other systems.
Category	**Req No.**	**Topic**	**Requirement Description**	**Type**	**Vendor Response**
5	14	Cloud Application	The application provides the ability to configure and customize at will to meet the different needs of the organization at no cost	Base	DTPi and clients have complete control over how the application forms look and what data they capture. The Form Creator tool allows users to define the forms and implement business rules and specific workflows. The form creator allows specific branding by incorporating images and banners. The form creator allows users to specify each field on the form and specific parameters of those fields like data type, maximum length, required or optional and other parameters. Data can be entered directly into fields on the forms or it can be uploaded as electronic attachments in a wide range of file formats. All forms and fields on the application are customized by the admin, be that the DTPi or the client admin.
5	15	Cloud Application	The application should provide the total control of system data to APH. The ability to import, export, archive data, and dispose data to and from the application without having to first contact the vendor	Base	All data in WebGrants can be easily exported in a wide variety of formats. This data includes contacts, applications, reviews, grants, status reports, claims and other data. Data can be exported on a single record or multiple records at once. This data can be exported in many formats including PDF, Excel, Word, HTML, CSV, text, XML, JSON and others.
5	16	Business Intelligence	The application should provide the ability to leverage existing data stores and system infrastructure	Base	All existing data stores and system infrastructure can be leveraged
5	17	Business Intelligence	The application should provide the capability to import and merge data from different application (e.g. csv, excel files, forms)	Base	WebGrants can import external data as a onetime or ongoing process. The import source file can be a comma separated or tab separated flat file or an Excel spreadsheet. The format and layout of the file must be known ahead of time. The file format cannot change without modifications to the import process. Once established, the import process can import any type or amount of data including people, organizations, applications, reviews, grants, claims, status reports, site visits or any other type of data.

5	18	Business Intelligence	The application provides the capability to generate reports and define views easily without the assistance of the IT department	Base	Custom reports are supported as ad hoc reports. WebGrants allows the client users to define their own reports by selecting fields to add to the report from any form in the system. Once the fields are added, staff can define data aggregation parameters like grouping data, sorting data, filtering data by certain filter criteria, inserting subtotals and grand totals and inserting mathematical formulas that allow add, subtraction, multiplication and division of selected fields. Once the report is created, staff can save the report and rerun it over time and can export the report in a wide variety of formats including PDF, Excel, Word, HTML and CSV.
5	19	Data Entry Support and On-Line Help	The system provides ability to restrict free form entry for structured data types (e.g. require use of drop-down calendar for date field).	Base	The WebGrants form creator tool allows users to define up to 22 different data types for any field added to any form in the system. These data types include text boxes, rich text boxes, numbers, currency, dates, yes/no values, phone numbers, email addresses, file attachments, check boxes, percentages and many other fields. All fields can be designated as either required or optional. Fields can also be conditionally required based on answers to prior questions.
5	20	Data Storage and Archiving	The solution provides a complete copy of hosted data using comma separated view (CSV) format or other agreed to and usable formats in the event of contract termination with 30 days of the request.	Base	When DTPi terminates a project for whatever reason we typically turn off the current production server. All data on this server is the property of the client. We will back this data up into a file format that is preferable to the client and then send this data to the client. The data may be in the form of a database backup or some type of data export file. The client can then take this data and extract the data and then migrate this data to a new system. There is no charge for this, we do this as a courtesy for the client.
5	21	Data Storage and Archiving	The solution supports future releases of the application without rendering the archived data unusable or provides an upgrade script to convert archived data to supported format.	Base	If a client requests a new feature and DTPi adds that feature only for that one client that does not preclude the client from future updates and patches. The reason for this is all clients receive the WebGrants baseline core source code, in addition to the baseline core some clients also receive a custom core. This custom core overrides the functionality in the baseline core. However, the baseline core can always be updated without any issues.
5	22	Data Storage and Archiving	The solution provides online access to the current year plus unlimited previous years of all types of data retained in the system, and provides archive capabilities thereafter for inactive historical records. The solution provides a method to retrieve archived records back into active state.	Base	All contacts, documents, forms, records, applications, grants and other data can be archived in the WebGrants system. Archived data is retained indefinitely in the WebGrants database; however, it is hidden in most routine navigation of the system. WebGrants never deletes data it only hides data. Archived data can be exported in batch from the system if the client wishes to do so.
5	23	Database Architecture	The application provides standardized data extraction functions or Application Program Interface (API) to allow import and export of data to/from other systems.	Base	DTPi will allow clients to connect directly to the WebGrants database. This process is typically done by opening a port in the firewall to a particular IP address range. This requires that client staff must be in the client's primary location in order to gain access to the database. Any connections outside of this IP address range will be denied. This connection will be a secure encrypted connection. Once the connection is established, clients can query the database. This user will have read-only access to the database. DTPi will not grant any client write access directly to the database. The client may connect any third-party reporting tool to the database and run their own custom reports. The client may also download the entire database or any subset of tables or data. DTPi can also automatically send each nightly database backup to the client's servers. Also available are certain APIs to retrieve data from the system.
5	24	Database Architecture	The application provides ability to exchange database information using industry accepted standards and formats including JavaScript Object Notation (JSON). The solution uses the same data validation criteria for bulk data loads as it does for manual data entry. The application provides ability to exchange database information using industry accepted standards and formats including Extensible Markup Language (XML).	Base	WebGrants supports integration formats including CSV, XML, JSON, space delimited files or EDI.

5	25	Database Architecture	The application provides ability to perform database maintenance including, but not limited to, backup and upgrades without requiring system downtime during core business hours.	Base	DTPi will completely maintain and the support the WebGrants server. DTPi will apply all required upgrades and security patches. DTPi will maintain the database and perform nightly backups. DTPi will be responsible for network monitoring and ensure the system is up and running at all times.
5	26	Database Architecture	The solution includes a method of purging record data from the database(s) ensuring referential integrity with master/child records.	Base	Archived data can be exported and deleted from the system in batches from the system if the client wishes to do so.
5	27	End-User Interface	The system meets Web Accessibility standards including, but not limited to, ability to support ADA and compliant with Section 508 of the Federal Rehabilitation Act (see http://www.access-board.gov/sec508/summary.htm). Web based applications must be ADA compliant following the specifications of 508c of the Americans With Disabilities Act. If compliance is not possible, reasonable alternatives may be considered.	Base	WebGrants is fully Section 508 compliant, meaning visually impaired people can use the software with the aid of website reading programs such as JAWS.
5	28	Information Management	The system prevents the loss or unauthorized deletion of records before the expiration of their retention period as authorized by an approved records control schedule or with the written permission of the Texas State Library and Archives Commission. Texas Local Government Records Act §202.001(a).	Base	WebGrants never deletes data it only hides data. Data can be deleted through an export process.
5	29	Information Management	The system prevents the unauthorized alteration of records before the expiration of their retention period. The system provides logs or audit trails that document edits and views of records. This is a requirement for information	Base	The WebGrants audit log captures all users' activity for all users. The audit log records the user id, action taken and the date/time stamp. This log file grows infinitely large and is never truncated. Staff can refer to the log file at any time. All questionable actions can be researched in this file.
5	30	Information Management	The system provides systematic deletion of records upon expiration of their retention period as authorized by an approved records control schedule or with the written permission of the Texas State Library and Archives Commission. Texas Local Government Records Act §202.001(a) and §201.003(16), Austin City Code §2-11-11. Sufficient metadata must be present to identify records eligible for disposition based on defined triggering events and dates.	Base	Deletion of data is only possible via a purge script that is run by DTPi according to set criteria from the client.
5	31	Information Management	Upon expiration of the retention period, the system ensures destruction of all duplicate records to include convenience copies. Texas Rules of Evidence, Rule 1003. The system's back-up strategy ensures retention of backup records doesn't excessively exceed destruction of originals. System procedures must ensure retention rules apply to copies of production data used to develop, test, or train.	Base	Data will be deleted from all copies, servers and backups.
5	32	Information Management	The system ensures records are retrievable and available until the expiration of their approved retention period. Texas Local Government Records Act §205.008(b). Records stored on contractor, outsourced, cloud, or hosted platforms remain the property and responsibility of the City. When contacted by an authorized City employee or when the contract ends or is terminated, contractors must deliver records, in all requested formats and media, along with all finding aids and metadata, to the City at no cost. Austin City Code §2-11-15.	Base	When DTPi terminates a project for whatever reason we typically turn off the current production server. All data on this server is the property of the client. We will back this data up into a file format that is preferable to the client and then send this data to the client. The data may be in the form of a database backup or some type of data export file. The client can then take this data and extract the data and then migrate this data to a new system. There is no charge for this, we do this as a courtesy for the client.
5	33	Information Management	Until expiration of retention period, hardware and software must be available to access records and sufficient metadata must be present to facilitate timely retrieval of records. Contracts with hosted solution providers must specify the contractor's duties with respect to management of records as required by Austin City Code §2-11-15. The system ensures retention of specific records – even if their retention period has expired – if they are the subject of known or reasonably anticipated litigation, public information request, audit or other legal action. Texas Local Government Records Act §202.002, Austin City Code § 2-11-11. The system maintains a log of litigation and other holds allowing release of holds after resolution of litigation, audit, or public information requests.	Base	DTPi will only delete data as instructed by the client.
5	34	Information Management	The system creates records/logs of destruction activity. Texas Local Government Records Act §203.046, Austin City Code §2-11-11. Destruction logs must:	Base	Destruction of data will be coordinated with the client. The client will send written authorization for all data to be deleted. A destruction log can be created with all of the required information.
			(a) show a minimal set of metadata sufficient to uniquely identify the records purged;	Base	
			(b) show who approved and who executed the destruction, and the dates on which these events took place;	Base	
			(c) reflect compliance with an approved, written standard operating procedure; and (d) be retained permanently	Base	

5	35	Information Management	Solution provides a data recovery plan and tested procedures within the last 6 (six) months.	Base	DTPi utilizes hosting facilities in four geographically distinct locations: Reston Virginia, Nashville Tennessee, Phoenix Arizona and Seattle Washington. On a nightly basis DTPi backs ups the entire deployment directory from a server at one location to a server at another location. In the event of a catastrophic disaster, the data could be recovered from the other location. If a disaster were to occur at a hosting facility, DTPi could setup a new server from the backup in a matter of hours. Disaster recovery mechanisms are tested annually to verify system availability and data integrity.
	36	Integration Architecture	If application requires integration with other City data, the application must integrate using industry standards useful to a service-oriented architecture (SOA) and an enterprise service bus (ESB).	Base	WebGrants is capable of communicating in a wide variety of formats including CSV, XML, JSON, space delimited files or EDI. These integrations can be on demand or via a batch process to either push or pull information from other systems.
5	37	Security and Authentication	The system uses Microsoft Active Directory Federated Services (ADFS) [current version minus 1] for federated identity management. The City is migrating to Microsoft Office 365 (O365) and ultimately migrating to a Microsoft managed Active Directory service. Therefore, the system uses single sign on for application access.	Base	DTPi has extensive experience integrating WebGrants with client's single sign on systems. DTPi has integrated WebGrants with both LDAP and Active Directory. The user id and password can be entered into the WebGrants system and then WebGrants can authenticate the user with the single sign on system. Alternatively, WebGrants can pass the user to the single sign on system and authenticate there and then be returned to the WebGrants system.
5	38	Security and Authentication	The system allows user registration and de-registration, at a minimum, communicates relevant policies to users and requires:	Base	New users can register with the WebGrants system by clicking the registration link on the log in page. On the registration screen, the user will enter their personal and organization contact information. After completing these fields, the user will submit their registration. Internal staff will receive an alert that a new user has registered. Staff can then approve the new user, reject the new user or approve the new user and associate that user to an existing organization. Once the new user is approved, the user will receive their user id and password via email. By default, WebGrants supports four user types: internal, reviewer, administrator, and grantee. All grantees have a similar role. The other three roles are internal roles. The administrator has full system access and can perform any action in the system. The reviewer is a user whose role is the evaluation of applications. A user can be a standalone reviewer or they can have additional roles. The internal user is a user with some but not all of the internal capabilities. The roles grantee and administrator cannot be changed. The client can change the roles internal user and reviewer by adding or subtracting permissions. The client can also add any number of additional roles to the system.
			· signed acknowledgement,	Base	
			· checks authorization and minimum level of access necessary prior to granting access,	Base	
			· ensures access is appropriate to the business need (consistent with sensitivity/risk and does not violate segregation of duties requirements),	Base	
			· addresses termination and transfer,	Base	
			· ensures default accounts are removed and/or renamed,	Base	
			· removes or blocks critical access rights of users who have changed roles or jobs and	Base	
			· automatically removes or disables inactive accounts	Base	
5	39	Security and Authentication	Conduct an annual security assessment of all tiers of hosting facility, including application servers and network devices.	Base	Periodically DTPi hires a third-party security analysis firm to conduct a penetration test on the WebGrants system. This test simulates a malicious hacking attack on the server to probe the system for any security vulnerabilities. These vulnerabilities may include cross site scripting, SQL injection flaws, cross site request forgery and others. Any issues discovered by this test are corrected and then the test is run again to ensure that all issues are corrected. DTPi can provide the results of this test upon request. Currently, DTPi has corrected any known defects and the site is secure from all common security vulnerabilities.
			Provide annual summary copies of the security audit reports to the City of Austin.	Base	
			The City prefers an annual 3rd party security assessment, which we may require depending on the hosted data.	Base	
5	40	Security and Authentication	The system provides ability to restrict remote access to the application by client IP address or network address range.	Base	DTPi will allow clients to connect directly to the WebGrants database. This process is typically done by opening a port in the firewall to a particular IP address range. This requires that client staff must be in the client's primary location in order to gain access to the database. Any connections outside of this IP address range will be denied. This connection will be a secure encrypted connection.
5	41	Security and Authentication	Solution provides a process for secure disposal of data when requested by COA.	Base	Destruction of data will be coordinated with the client. The client will send written authorization for all data to be deleted. A destruction log can be created with all of the required information.

5	42	Security and Authentication	Solution/Application provides SSAE 16 or SAS70 audit covering application controls.	Base	DTPi's hosting is compliant with the SSAE 16 requirements. DTPi maintains strict controls over all of our implementations and financial reporting. DTPi can provide SSAE 16 Type II SOC 1 Report for verification.
5	43	Security and Authentication	Solution provides regularly engagements with 3rd parties to perform system data privacy and security evaluation.	Base	Periodically DTPi hires a third-party security analysis firm to conduct a penetration test on the WebGrants system. This test simulates a malicious hacking attack on the server to probe the system for any security vulnerabilities. These vulnerabilities may include cross site scripting, SQL injection flaws, cross site request forgery and others. Any issues discovered by this test are corrected and then the test is run again to ensure that all issues are corrected. DTPi can provide the results of this test upon request. Currently, DTPi has corrected any known defects and the site is secure from all common security vulnerabilities.
5	41	Security and Authentication	Solution provides journals and/or procedures to determine compromised assets. Solution provides: · system vulnerability scans on a regular basis, · notifies user staff and · publishes potential issues and risks	Base Base Base Base	See answer above
5	42	Security and Authentication	Solution utilizes methods to detect and block application level software attacks.	Base	There are many ways to hack into a website. The following list is an example of some of the more common ways: un-validated input; broken access controls (malicious use of a user's ID); broken authentication and session management (manipulation and use of authentication credentials and session cookies); cross site scripting (XSS) and Cross-Site Forgery (CSRF) attacks; buffer overflows, injection flaws (e.g., SQL and XML injection); improper error handling; insecure storage of data; insecure configuration management. DTPi safeguards against all of these attacks by escaping all input fields, enforcing strict data type validation, stripping all script tags, removing quotation marks and other strategies. Untrusted data is never inserted into the database.
5	43	Security and Authentication	The solution performs: · SAS70, · SSAE16 or · SOC1 data center audit and · a current report is available for review	Base Base Base Base Base	DTPi's hosting is compliant with the SSAE 16 requirements. DTPi maintains strict controls over all of our implementations and financial reporting. DTPi can provide SSAE 16 Type II SOC 1 Report for verification.
5	44	Security and Authentication	Application audit logs record and are regularly reviewed to examine: · user IDs, · dates and · times of log on and log off · log in failures · changes to security parameters and · other security actions	Base Base Base Base Base Base Base	The WebGrants audit log captures all users' activity for all users. The audit log records the user id, action taken and the date/time stamp. This log file grows infinitely large and is never truncated. Staff can refer to the log file at any time. All questionable actions can be researched in this file.
5	45	Security and Authentication	All data encrypted (even at rest) using 256 bit AES encryption or better/similar technology.	Base	Data encryption is used for both data in transit and at rest. Data in transit is encrypted using SSL at 256-bit encryption with a server certificate. Data at rest can be encrypted at the client's discretion on an individual field basis. Fields can be encrypted using DES Cipher and they can be hashed. Encrypted fields can be unencrypted and viewed clear text or viewed obfuscated or partially obfuscated. Hashed fields cannot be unencrypted. Only DTPi employees have access to the decryption keys. DTPi tests this process continuously.
5	46	Security and Authentication	Solution securely transmits data over public networks.	Base	WebGrants communicates via HTTP/HTTPS over the internet
5	47	Security and Authentication	Solution provides emergency access (only) for authorized personnel while maintaining appropriate security controls.	Base	Emergency access is supported
5	48	System Flexibility	The system provides the ability to define business rules based on user-defined criteria (e.g., organizational level, account code, bargaining unit, location, program, grant, etc.).	Base	The WebGrants software can be configured with all of a client's specific compliance business rules and workflows. This includes exception routing, branching based on thresholds, auto scoring, business rule enforcement, workflow adherence and other compliance requirements. The system will enforce requirements based upon data in the system like the requirement of additional approvals based on dollar amounts, the requirement for additional documentation based on certain answers in a form and the requirement for exception routing under specific circumstances.

APPENDIX D – PROJECT MANAGEMENT / IMPLEMENTATION REQUIREMENTS

Category	Req. No.	Topic	Requirement Description	Vendor Response
6	1	Project Management Methodology	Provide a Project Manager (PM) to represent the Vendor in the management of the Project, interfacing with the City Project Manager (PM) in any decisions relating to the Project.	DTPi will provide several roles on this project to deliver successfully the fully configured WebGrants system. DTPi will provide an overall project manager and primary point of contact. This person will be the client's primary point of contact and this person will be involved with all aspects of the system implementation. DTPi will provide a client relationship manager. This person will also be a primary point of contact for the client. This person will communicate with the client on a regular basis and be involved in all aspects of the project. DTPi will provide an analyst that will communicate the system functionality to the client and will learn from the client the client's current business process including the client's workflows and business rules. DTPi will provide several software developers. These developers will configure the system using the built-in configuration tools and will modify the system's source code to develop client specific customizations. Developers also assist with system integration and legacy data migration. DTPi will provide a trainer and documentation specialist. The trainer will train all required client staff and the documentation specialist will modify the baseline system documentation to conform to the client's customized system.
6	2	Project Management Methodology	Assume and lead all day-to-day management of Vendor personnel, including subcontractor personnel, and associated Deliverables related to the required services	DTPi will take the lead on all project management related activities. DTPi will schedule regular weekly status meetings. DTPi will set the meeting agendas. DTPi will coordinate with all project staff. DTPi will setup all project communication methodologies. DTPi will set the deliverable schedule and ensure compliance from all parties.
6	3	Project Management Methodology	Provide a robust project management methodology founded on industry best practices.	DTPi has a complete project implementation methodology detailed in section 9. DTPi uses a waterfall methodology to implement the WebGrants system. This process includes a requirements phase, a customization phase and an implementation phase. These phases are then followed by maintenance, support and hosting. DTPi's development methodologies include Agile programming, Extreme programming and Rapid application development. Our development methodology uses the concept of rapid development and iteration. We believe in getting a working system in front of the client faster proves to be more effective than long requirements and planning phases.

6	4	Project Management Methodology	Conduct project management activities throughout the life of the project and execute the associated plans.	DTPi and the client will be in continuous communication during the entire course of the project. In the initial requirements phase, DTPi will meet with the client to understand the client's needs and business requirements. During the customization phase, DTPi and the client will hold regular weekly meetings to discuss the current progress of the project, upcoming events, past events, current issues, resolved issues, risks and other topics. DTPi will communicate with the client in in-person meetings, via email, telephone and other electronic methods such as Google Drive and other tools. The client can always contact DTPi for any reason at any time through any communication method.
6	5	Project Management Methodology	Document deliverable details, formats, and acceptance criteria in Deliverable Expectation Documents (DEDs) as mutually agreed upon by the City and the Vendor.	Business requirements deliverables are established in the requirements phase of the project. During these meetings, DTPi will understand the client's business rules and workflows. DTPi will document the gaps between the baseline version of WebGrants and the client's vision for the ultimate system. Examples of requirements include the forms and fields that make up the application, review, grant, status report, claim and other forms. Other examples of requirements include data migration and system integration. In addition, specific customizations to add new feature and functionality not present in the baseline system. DTPi will meet with the client to go over the client's overall business process including the forms, workflow and business rules. DTPi will compare this process with the baseline system. Any gaps will be documented in the requirements document. Once created, the document will be approved by the client. Once approved, DTPi will configure and customize the WebGrants system to incorporate all the gaps in the requirements document.
6	6	Project Management Methodology	Provide, update, and maintain a Project Schedule (e.g. in MS Project) that includes the following key components: · Work breakdown structure · Tasks and activities required to successfully complete the Project · Schedule/milestone tracking and resource allocation · Critical path identification and dependencies Provide periodic updates (as mutually agreed upon by the City and the Vendor) to the Project Schedule which is maintained by the Vendor.	DTPi will maintain and update an MS Project plan throughout the project timeframe. This project plan will include a work breakdown structure, tasks and activities required to successfully complete the project, schedule/milestone tracking and resource allocation and critical path identification and dependencies. This plan will include tasks to be performed by both the client and by DTPi. DTPi will periodically update the plan to reflect the current status of the project.
6	7	Project Management Methodology	Provide, update, and maintain a formal Project Management Plan (PMP) that includes the following key components: · Project initiation activities · Issues tracking, escalation and resolution · Change request approval, management and tracking · Deliverable/product review and approval and other acceptance criteria · Risk management, identification, quantification of impact, monitoring, and mitigation plans · Quality management	DTPi will maintain and update a project management plan throughout the project timeframe. This project plan will include project initiation activities, issues tracking, escalation and resolution, change request approval, management and tracking, deliverable/product review and approval and other acceptance criteria, risk management, identification, quantification of impact, monitoring, and mitigation plans, quality management, DTPi resource

			· Vendor and subcontractor resource management · Project success evaluation criteria and Project close-out activities · Status and other reporting activities · Status reporting templates (including deliverable status reports, issues, risks, plan vs. actual status, etc.)	plans, quality management, DTPi resource management, project success evaluation criteria and project close-out activities, project status and other reporting activities.
6	8	Project Management Methodology	Provide and implement risk mitigation measures, contingency plans and disaster recovery plans as high-priority risks are identified and monitored	Risk management and early problem identification are key elements within the overall DTPi management approach. This is because undetected and unmitigated risks and problems that are not resolved quickly, often lead to cost increases, missed delivery dates, or less than satisfactory products. For each major activity or change in progress, the DTPi project manager is responsible for reviewing and updating the risk analysis and mitigation plan, in accordance with this process. Risk management is dynamic and ongoing throughout the development process. It requires active participation from the entire team from management down to the working level. DTPi's risk management approach consists of two broad categories of activities: risk assessment and risk control. DTPi mitigates schedule and cost risk by: looking ahead, using rapid prototyping when necessary, following a defined risk mitigation process, using a good set of metrics, keeping the customer in the loop, and "keeping the lights on". This risk management approach contributes to success in developing and maintaining quality software over time.
6	9	Training Methodology	Provide a formal Project Team Training Plan to document City Project Team training requirements	DTPi will provide full system training for all staff on full system usage and maintenance. DTPi personnel will conduct on-site training at client's facilities or offsite training via web conference before final software deployment. DTPi will utilize WebGrants software and data that mirrors the production system. A qualified WebGrants instructor who is familiar with client's specific requirements and functionality will conduct training. Training will occur in a classroom setting covering all major modules and functionality of WebGrants. The instructor will lead the class through exercises that provide real world scenarios. One-on-one interaction with students will be provided as needed during the classes. The DTPi trainer will deliver the course outline for each training session before the training day. This document will contain an outline of the training areas and exercises to be conducted during the class. This information will be customized to meet the specific training needs of the client.

6	10	Project Management Methodology	Provide a Communication Plan and Matrix to document the communications with all Project stakeholders throughout the life of the Project as mutually agreed upon by the City of the Vendor communication with internal and external end users	DTPi and the client will be in continuous communication during the entire course of the project. In the initial requirements phase, DTPi will meet with the client to understand the client's needs and business requirements. During the customization phase, DTPi and the client will hold regular weekly meetings to discuss the current progress of the project, upcoming events, past events, current issues, resolved issues, risks and other topics. DTPi will communicate with the client in in-person meetings, via email, telephone and other electronic methods such as Google Drive and other tools. The client can always contact DTPi for any reason at any time through any communication method.
6	11	Project Management Methodology	Provide Project Status Reports and conduct regularly scheduled status meetings reviewing Project progress, risk, mitigation, issue resolution, deliverable status, and next steps as mutually agreed upon by the City and the Vendor.	DTPi recommends weekly status meetings.
6	12	Project Management Methodology	Use the Microsoft Outlook system provided for all e-mails and scheduling for all Project-related communications	MS Outlook will be used.
6	13	Project Management Methodology	Prepare system Change Requests as required based on all added, deleted, and/or modified scopes of work	DTPi is very open to change requests. DTPi has a process to handle client's change requests. DTPi requires that clients submit a formal change request; this can be in the form of an email or opening an issue in the issue tracker. DTPi will then evaluate the change request and determine its feasibility. DTPi will also determine if there are any additional costs associated with the request. DTPi will relay this information to the client in the form of an email or verbal conversation. The client will determine if the changes should be made. DTPi will then make the change and test the changes internally. DTPi will then deploy the changes to the test server. The client can then test the change and approve it. Once approved, DTPi will deploy the change to the production system. DTPi will then update all necessary documentation to reflect the change.
6	14	Implementation Methodology	Test the capability of failover to secondary Disaster Recovery site.	DTPi utilizes hosting facilities in four geographically distinct locations: Reston Virginia, Nashville Tennessee, Phoenix Arizona and Seattle Washington. On a nightly basis DTPi backs ups the entire deployment directory from a server at one location to a server at another location. In the event of a catastrophic disaster, the data could be recovered from the other location. If a disaster were to occur at a hosting facility, DTPi could setup a new server from the backup in a matter of hours. Disaster recovery mechanisms are tested annually to verify system availability and data integrity.

6	15	Implementation Methodology	Provide the Configured Hardware Environments (testing) to test and/or demonstrate all required functionality has been satisfied.	DTPi typically maintains three distinct environments for a client implementation: development, test and production. The development environment exists on the developer's PCs and on an internal development server. Developers will program the system source code on their own PCs and then deploy the code to the central development server. DTPi staff will do internal testing of the functionality on the development server. Once the system is tested on the development server, DTPi will deploy the code to the client's test server. The client will then test the functionality on the test server. If the production server exists, then DTPi will also deploy to the production server. Sometimes only code is moved between servers and sometimes both code and data is moved. DTPi will always coordinate with the client before a deployment is done. This is especially important for deployments to production. Production deployments are typically done at night and over the weekend. Constant communication between DTPi and the client is important for any migration between servers.
6	16	Implementation Methodology	Provide and document test results in a Documented Successful Testing Results deliverable.	DTPi will deliver all test results in a formal test results document.
6	17	Implementation Methodology	Validate the system for compliance with the Security Requirements	DTPi will validate that all security requirements are properly implemented and all security vulnerabilities are mitigated by the system.
6	18	Implementation Methodology	Correct defects found as a result of testing efforts and record all defect in a Defects Log.	All defects will be tracked in an issue tracker for the project. DTPi and client will go over the issues list during each status meeting.
6	19	Implementation Methodology	Provide Go/No-go Documentation, including the Production Cutover Plan and the Go-Live Checklist.	DTPi will provide a production cutover plan and a go live checklist.
6	20	Implementation Methodology	Conduct Go/No-go Meetings with the City's staff and Vendor's technical team	DTPi will coordinate all approval meetings with the client to determine production cutovers
6	21	Project Management Methodology	Conduct and document Lessons Learned meetings at key intervals with Project Team. Apply Lessons Learned to future design and implementation phases.	DTPi will meet with the client as needed to discuss risks and lessons learned and determine how not to make the same mistakes again.
6	22	Licensing	Provide the licensing model necessary to meet each of the required project objectives	The WebGrants license model is an enterprise license for unlimited users and unlimited data. There is only a onetime license fee without any reoccurring fees. There are no restrictions on the license. The system can grow infinitely large without any additional costs. We assumed unlimited users for our cost calculations.

Dulles Technology PARTNERS
817 Larch Valley Ct
Leesburg VA 20176
703-623-2128
www.dullestech.com

September 15, 2017

Central Purchasing
124 W 8th Street,
Austin, TX 78701
Room/Suite 308
Elisa Folco
(512) 974-2500

Due Date: 07/07/2017

Dear Madam:

Dulles Technology Partners would like to thank the City of Austin, Austin Public Health for the opportunity to submit a response to the Grants Management Request for Proposal. Attached please find 1 copy of DTPi's proposal and 8 copies of all documents on CD.

- DTPi is legally authorized, pursuant to the requirements of the Texas Statutes, to do business in the State of Texas.
- DTPi has no criminal proceeding or hearings concerning business related offenses in which DTPi, its principals, officers, predecessor organization(s), or wholly owned subsidiaries were defendants.
- DTPi has not failed to complete any work awarded.
- DTPi has never been terminated from a contract due to lack of performance or fault.
- DTPi has never done business using another corporation/company name.

Please do not hesitate to call if you have any questions or concerns.

Sincerely,

Tom Nyilasi
Principal
Dulles Technology Partners
tom.nyilasi@dullestech.com
703-623-2128
703-783-0667 fax

ID		Task Name	Duration	Start	Finish	Predecessors	Resource Names
1		**WebGrants Implementation**	**122 days**	**Mon 10/16/17**	**Tue 4/3/18**		
2							
3		**Initial Requirements Phase**	**11 days**	**Mon 10/16/17**	**Mon 10/30/17**		
4		Requirement Meeting with all Departments	5 days	Mon 10/16/17	Fri 10/20/17		DTPi and Client
5		Development of draft of Project Plan	3 days	Mon 10/23/17	Wed 10/25/17	4	DTPi
6		*Delivery of draft of Project Plan to Client*	0 days	Wed 10/25/17	Wed 10/25/17	5	DTPi
7		Development of draft of Requirements Document	3 days	Thu 10/26/17	Mon 10/30/17	6	DTPi
8		*Delivery of draft of Requirements Document*	0 days	Mon 10/30/17	Mon 10/30/17	7	DTPi
9		**Initial Requirements Phase Complete**	0 days	Mon 10/30/17	Mon 10/30/17	8	Client
10		***Client Signs off on Project Plan and Requirement Document as Complete***	0 days	Mon 10/30/17	Mon 10/30/17	9	Client
11							
12		**Application Phase**	**55 days**	**Tue 10/31/17**	**Mon 1/15/18**	**9**	
13		**Application Customization Phase**	**21 days**	**Tue 10/31/17**	**Tue 11/28/17**		
14		DTPi Customization of all Application Forms	10 days	Tue 10/31/17	Mon 11/13/17	9	DTPi
15		DTPi Customization of Funding Opportunity Forms	3 days	Tue 11/14/17	Thu 11/16/17	14	DTPi
16		DTPi Customization of People/Organizations and Registration Forms	3 days	Fri 11/17/17	Tue 11/21/17	15	DTPi
17		DTPi Customization of Unique Client Business Rules	5 days	Wed 11/22/17	Tue 11/28/17	16	DTPi
18		*Delivery of Test Website to Client*	0 days	Tue 11/28/17	Tue 11/28/17	17	DTPi
19		**Initial Customization Phase Complete**	0 days	Tue 11/28/17	Tue 11/28/17	18	Client
20							
21		**Client Application Validation Phase**	**22 days**	**Wed 11/29/17**	**Thu 12/28/17**		
22		Client Tests and Validates all Application Forms	5 days	Wed 11/29/17	Tue 12/5/17	19	Client
23		Client Tests and Validates all Funding Opportunity Forms	5 days	Wed 12/6/17	Tue 12/12/17	22	Client
24		Client Tests and Validates People/Organizations and Registration Forms	2 days	Wed 12/13/17	Thu 12/14/17	23	Client
25		Client Tests and Validates all Unique Client Business Rules	5 days	Fri 12/15/17	Thu 12/21/17	24	Client
26		Client Tests and Validates the Application Solicitation Process	5 days	Fri 12/22/17	Thu 12/28/17	25	Client
27		**Initial Client Testing and Validation Complete**	0 days	Thu 12/28/17	Thu 12/28/17	26	Client
28							
29		**DTPi Application Corrections Phase**	**12 days**	**Fri 12/29/17**	**Mon 1/15/18**		
30		DTPi Corrects all Client Identified Issues	5 days	Fri 12/29/17	Thu 1/4/18	27	DTPi
31		Client Verifies Issues are Correct	5 days	Fri 1/5/18	Thu 1/11/18	30	Client
32		DTPi Updates Requirements Document and Project Plan	2 days	Fri 1/12/18	Mon 1/15/18	31	DTPi
33		*Delivery of updated Requirements Document and Project Plan*	0 days	Mon 1/15/18	Mon 1/15/18	32	DTPi
34		***Client Signs off on Application Phase as Complete***	0 days	Mon 1/15/18	Mon 1/15/18	33	Client
35							
36		**Review Phase**	**37 days**	**Wed 11/29/17**	**Thu 1/18/18**		
37		**Review Customization Phase**	**10 days**	**Wed 11/29/17**	**Tue 12/12/17**		
38		DTPi Customization of all Review Forms	5 days	Wed 11/29/17	Tue 12/5/17	19	DTPi
39		DTPi Customization of Unique Client Business Rules	5 days	Wed 12/6/17	Tue 12/12/17	38	DTPi
40		*Delivery of Test Website to Client*	0 days	Tue 12/12/17	Tue 12/12/17	39	DTPi
41		**Initial Customization Phase Complete**	0 days	Tue 12/12/17	Tue 12/12/17	40	Client
42							

ID		Task Name	Duration	Start	Finish	Predecessors	Resource Names
43		**Client Application Validation Phase**	**15 days**	**Wed 12/13/17**	**Tue 1/2/18**		
44		Client Tests and Validates all Review Forms	5 days	Wed 12/13/17	Tue 12/19/17	41	Client
45		Client Tests and Validates all Unique Client Business Rules	5 days	Wed 12/20/17	Tue 12/26/17	44	Client
46		Client Tests and Validates the Review Process	5 days	Wed 12/27/17	Tue 1/2/18	45	Client
47		**Initial Client Testing and Validation Complete**	0 days	Tue 1/2/18	Tue 1/2/18	46	Client
48							
49		**DTPi Review Corrections Phase**	**12 days**	**Wed 1/3/18**	**Thu 1/18/18**		
50		DTPi Corrects all Client Identified Issues	5 days	Wed 1/3/18	Tue 1/9/18	47	DTPi
51		Client Verifies Issues are Correct	5 days	Wed 1/10/18	Tue 1/16/18	50	Client
52		DTPi Updates Requirements Document and Project Plan	2 days	Wed 1/17/18	Thu 1/18/18	51	DTPi
53		*Delivery of updated Requirements Document and Project Plan*	0 days	Thu 1/18/18	Thu 1/18/18	52	DTPi
54		***Client Signs off on Review Phase as Complete***	0 days	Thu 1/18/18	Thu 1/18/18	53	Client
55							
56		**Grant Tracking Phase**	**47 days**	**Wed 12/13/17**	**Thu 2/15/18**		
57		**Grant Tracking Customization Phase**	**20 days**	**Wed 12/13/17**	**Tue 1/9/18**		
58		DTPi Customization of all Grant Tracking Forms	10 days	Wed 12/13/17	Tue 12/26/17	41	DTPi
59		DTPi Customization of Unique Client Business Rules	10 days	Wed 12/27/17	Tue 1/9/18	58	DTPi
60		*Delivery of Test Website to Client*	0 days	Tue 1/9/18	Tue 1/9/18	59	DTPi
61		**Initial Customization Phase Complete**	0 days	Tue 1/9/18	Tue 1/9/18	60	Client
62							
63		**Client Grant Tracking Validation Phase**	**15 days**	**Wed 1/10/18**	**Tue 1/30/18**		
64		Client Tests and Validates all Grant Tracking Forms	5 days	Wed 1/10/18	Tue 1/16/18	61	Client
65		Client Tests and Validates all Unique Client Business Rules	5 days	Wed 1/17/18	Tue 1/23/18	64	Client
66		Client Tests and Validates the Grant Tracking Process	5 days	Wed 1/24/18	Tue 1/30/18	65	Client
67		**Initial Client Testing and Validation Complete**	0 days	Tue 1/30/18	Tue 1/30/18	66	Client
68							
69		**DTPi Grant Tracking Corrections Phase**	**12 days**	**Wed 1/31/18**	**Thu 2/15/18**		
70		DTPi Corrects all Client Identified Issues	5 days	Wed 1/31/18	Tue 2/6/18	67	DTPi
71		Client Verifies Issues are Correct	5 days	Wed 2/7/18	Tue 2/13/18	70	Client
72		DTPi Updates Requirements Document and Project Plan	2 days	Wed 2/14/18	Thu 2/15/18	71	DTPi
73		*Delivery of updated Requirements Document and Project Plan*	0 days	Thu 2/15/18	Thu 2/15/18	72	DTPi
74		***Client Signs off on Grant Tracking Phase as Complete***	0 days	Thu 2/15/18	Thu 2/15/18	73	Client
75							
76		**Reports Phase**	**22 days**	**Wed 1/10/18**	**Thu 2/8/18**		
77		**Reports Customization Phase**	**5 days**	**Wed 1/10/18**	**Tue 1/16/18**		
78		DTPi Customization of all Reports	5 days	Wed 1/10/18	Tue 1/16/18	61	DTPi
79		*Delivery of Test Website to Client*	0 days	Tue 1/16/18	Tue 1/16/18	78	DTPi
80		**Initial Customization Phase Complete**	0 days	Tue 1/16/18	Tue 1/16/18	79	Client
81							
82		**Client Reports Validation Phase**	**5 days**	**Wed 1/17/18**	**Tue 1/23/18**		
83		Client Tests and Validates all Reports	5 days	Wed 1/17/18	Tue 1/23/18	80	Client
84		**Initial Client Testing and Validation Complete**	0 days	Tue 1/23/18	Tue 1/23/18	83	Client

ID		Task Name	Duration	Start	Finish	Predecessors	Resource Names
85							
86		**DTPi Reports Corrections Phase**	**12 days**	**Wed 1/24/18**	**Thu 2/8/18**		
87		DTPi Corrects all Client Identified Issues	5 days	Wed 1/24/18	Tue 1/30/18	84	DTPi
88		Client Verifies Issues are Correct	5 days	Wed 1/31/18	Tue 2/6/18	87	Client
89		DTPi Updates Requirements Document and Project Plan	2 days	Wed 2/7/18	Thu 2/8/18	88	DTPi
90		*Delivery of updated Requirements Document and Project Plan*	0 days	Thu 2/8/18	Thu 2/8/18	89	DTPi
91		***Client Signs off on Reports Phase as Complete***	0 days	Thu 2/8/18	Thu 2/8/18	90	Client
92							
93		**System Integration Phase**	**30 days**	**Fri 2/9/18**	**Thu 3/22/18**		
94		Identification of all Integration Systems	5 days	Fri 2/9/18	Thu 2/15/18	91	DTPi and Client
95		DTPi Analysis of Integrations	5 days	Fri 2/16/18	Thu 2/22/18	94	DTPi
96		DTPi Customization/Integration Development	10 days	Fri 2/23/18	Thu 3/8/18	95	DTPi
97		Client Validation of Integrations	10 days	Fri 3/9/18	Thu 3/22/18	96	Client
98		***Client Signs off on Integration Phase as Complete***	0 days	Thu 3/22/18	Thu 3/22/18	97	Client
99							
100		**Documentation Phase**	**5 days**	**Fri 3/23/18**	**Thu 3/29/18**		
101		DTPi Develops/Updates User Manuals	5 days	Fri 3/23/18	Thu 3/29/18	98	DTPi
102		*Delivery of User Manuals to Client*	0 days	Thu 3/29/18	Thu 3/29/18	101	DTPi
103							
104		**Production Server Setup Phase**	**3 days**	**Fri 3/30/18**	**Tue 4/3/18**		
105		Set up and Configuration of WebGrants on Prodution Server	3 days	Fri 3/30/18	Tue 4/3/18	102	DTPi
106		*Delivery of Production Server*	0 days	Tue 4/3/18	Tue 4/3/18	105	DTPi
107							
108		**Training Phase**	**3 days**	**Fri 3/30/18**	**Tue 4/3/18**		
109		DTPi Trains Key Client Personnel	3 days	Fri 3/30/18	Tue 4/3/18	102	DTPi
110		***Client Signs off on Training Phase***	0 days	Tue 4/3/18	Tue 4/3/18	109	Client

Dulles
Technology
Partners

Cost Proposal

City of Austin, Austin Public Health
Electronic Grants Management System

Prepared by

Dulles Technology Partners Inc (DTPi)

817 Larch Valley Ct.

Leesburg, VA 20176

Phone: 703.623.2128

Email: tom.nyilasi@dullestech.com

September 14, 2017

1 Costs

1.1 Project Cost

1.1.1 Labor

All project costs are billed at a blended hourly rate of $125 per hour. The hours below include all program areas.

Activities	Hours Allocated	Estimated Cost
Phase 1 – Requirements	80 Hours	$ 10,000
Phase 2 – Configuration	160 Hours	$ 20,000
Phase 3 – Implementation	80 Hours	$ 10,000
Total	**320 Hours**	**$ 40,000**

1.1.2 Software License

Software License	Usage	Cost
WebGrants Enterprise License	Single Server Unlimited Users	$ 45,000
	Total:	**$ 45,000**

License fee is due upon sighing of the Master Agreement (contract) for this project.

1.1.3 Legacy Data Migration

DTPi will migrate all existing APH data into the new WebGrants database. Legacy data migration includes analysis, data conversion plan and execution of plan.

Data migration will be billed on a time and materials basis. It is extremely difficult to accurately determine the time required to migrate legacy data. Too many factors like data cleanliness and normalization can greatly increase the time required. As a guide, DTPi estimates that the time required for data migration on this project will be approximately: 80 hours, which at $125 per hour will cost $10,000. DTPi will bill for data migration on a monthly basis.

1.1.4 System Integration

DTPi can integrate WebGrants with many back-office systems such as financial accounting systems and single sign on systems. Integration cost is included in the labor category above.

1.1.5 Travel

Travel	Quantity	Cost
Airplane	1 tickets	$ 500
Lodging	5 days	$ 500
Meals	5 days	$ 300
Incidentals	NA	$ 100

Total:	**$ 1,400**

Travel will be used on an as needed basis and with APH's approval.

1.1.6 Project Total

Project Total	Cost
Labor	$ 40,000
WebGrants Enterprise License - Single Server Unlimited Users	$ 45,000
Legacy Data Migration (estimate)	$ 10,000
Total:	**$ 95,000**

1.2 Maintenance and Support Plan

Recurring Costs	Occurs Every	Cost	Annual
WebGrants Support	Monthly	$ 1,100	$ 13,200
	Total:	**$ 1,100**	**$ 13,200**

The monthly WebGrants Support fee allows APH access to DTPi's standard software support program that includes:

- Phone and Email support Monday-Friday 8-6
- Support for Error Corrections and bug fixes
- Access to all Patches (patches developed internally by DTPi to address core software issues like security, performance, etc)
- Access to new versions/upgrades

1.2.1 DTPi Hosting

DTPi hosting includes SSL certificate, nightly backup, domain name registration, server hardware, operating system, JBoss Application Server and MySQL database software. If the client requires a different application server or database software, they are responsible for the license cost.

Additional documentation and details on DTPi hosting is provided in the included DTPi Hosting Document.

During the initial implementation, the hosting of the test server is free. At the start of the project, DTPi and APH will agree on a project plan. If the software is not placed into production at the end of the project schedule, then DTPi will start to charge the above rate for the test server. Once the software is in production, DTPi will begin to charge the hosting fee for the production server and decommission the test server. If APH would like to maintain the test server after the software is in production, then APH will be charged a hosting fee for both the production and the test server.

1.3 Change Orders

A blended hourly rate of $125 dollars will be used when performing change orders during project implementation.

1.4 Miscellaneous Provisions

- APH will provide adequate on-site resources (computer access, telephone, workstation access, access to key personnel, documentation, data, etc.) to support on-going project activities.
- APH personnel will be available to facilitate project activities including: requirement analysis, design, User Acceptance Testing, deliverable review and approval, etc.

Dulles
Technology
Partners

Response to Request for Proposal

City of Austin, Austin Public Health
Electronic Grants Management System

Prepared by

Dulles Technology Partners Inc (DTPi)

817 Larch Valley Ct.

Leesburg, VA 20176

Phone: 703.623.2128

Email: tom.nyilasi@dullestech.com

September 14, 2017

1 Executive Summary

Dulles Technology Partners Inc (DTPi) would like to thank the City of Austin, Austin Public Health (APH) for the opportunity to respond to the Request for Proposal for the Electronic Grants Management System.

DTPi has been in business since 1999. Since 2001, DTPi has been exclusively engaged in the development and implementation of the web-based full-life-cycle WebGrants software solution. Our clients range in industries from federal, state and local governments, charities and nonprofits, medical research, colleges and universities and other grant giving organizations. DTPi is an acknowledged market leader in providing grant management systems. Our WebGrants product is the leading software solution for cross industry clients. Feel free to see how we compare with our competitors in these independent evaluations: http://www.dullestech.com/GartnerGrantManagement.pdf and http://www.dullestech.com/IdealWareGrantsManagement.pdf.

The WebGrants grants management system is a mature and robust system. For most clients, WebGrants supports 100 percent of the grant management requirements. There is very little need for additional software development. After a decade of improvements, WebGrants is replete with features and flexibility allowing most clients to use the software "out of the box" without the need for any additional customizations. Built in configuration tools such as the Form Creator and other Utilities allows DTPi to configure forms, business rules, workflows, security, alerts and other functions through the interface itself and without the need to change the underlying source code. This not only translates into a rapid implementation time but also allows APH to take over the maintenance of the system and modify the forms, business rules, workflows, security, alerts and other functions without DTPi involvement or additional costs.

WebGrants has been used in a production environment since 2001. WebGrants has over a decade's worth of use, testing and fine-tuning. WebGrants is one of the most tried and tested grants management systems on the market. DTPi has invested huge amounts of corporate resources to improve and ensure WebGrants remains the market leader now and into the future. DTPi has implemented WebGrants in over 60 clients in a wide variety of industries. Single implementations have included as many as over 10,000 users and more than 50 program areas. WebGrants is used all over the world in almost every country. The US Federal government and dozens of US State governments use WebGrants. WebGrants has passed countless security, accessibility and quality tests to ensure federal compliance for government systems. Tens of thousands of users all over the world currently use WebGrants. WebGrants is a tried and tested solution that will require minimal testing and quality assurance to implement. APH is safe in selecting WebGrants as your grants management system and the project will incur the minimal amount of risk to implement.

DTPi has fine-tuned its implementation methodology over the last decade. DTPi has developed a thorough and comprehensive project plan that quickly and efficiently moves a client from engagement to production with 100 percent of the business rules captured and translated into the system. DTPi staff will meet with your subject matter experts and capture 100 percent of your current business process. DTPi will then translate this process into the WebGrants system. Leveraging DTPi's decade of experience, DTPi will also recommend any business process reengineering and optimization of workflows and business rules. DTPi will provide onsite or remote training for all APH users including grant program managers, reviewers and system administrators on a train the trainer basis. All manuals and system documentation will be updated specifically for this project and presented to APH at the end of the project. DTPi's extended hours support service is available via phone, email and an in-system trouble-ticketing module. In summary, DTPi complements its WebGrants solution with complete project lifecycle support.

2 Introduction

DTPi has read and understands the requirements of the RFP. DTPi has extensive experience implementing this type of grant management system. DTPi will leverage its experience by assigning staff familiar with this type of project and reusing any software and implementation methodology from similar past client engagements.

DTPi will oversee all parts of the system implementation including requirements gathering, planning, design, configuration and tailoring, migration of legacy data, back office system integration, training and ongoing support. DTPi will handle all technical aspects of the project. APH staff will be utilized sparingly but effectively to ensure minimal interruption in current work schedules but also to ensure that all requirements are thoroughly captured and translated into the system.

DTPi will engage in weekly status meetings with APH personnel to go over current progress, issues, resolutions and other agenda. DTPi will direct its full resources and work closely in partnership with APH to ensure successful project completion beyond APH’s expectations.

3 Dulles Technology Partners Inc. Profile

Dulles Technology Partners Inc. was founded in 1999, and is headquartered in North Virginia, in the Washington DC metro area.

3.1 Company Contact Information

Dulles Technology Partners Inc. (DTPi)

817 Larch Valley Ct.

Leesburg, VA 20176

Phone: 703.623.2128

Fax: 703.783.0667

Web: www.dullestech.com

EIN: 54-1938527

DUNS: 80-461-7707

Primary Contact: Tom Nyilasi

Email: tom.nyilasi@dullestech.com

3.2 Company Type

C Corporation – Virginia, United States. EIN: 54-1938527. Founded: 1999.

3.3 Corporate Profile

DTPi's mission statement is to provide leading grant management software to grant giving organizations in any industry. DTPi's staff is highly proficient in providing and developing in modern web based environments using the latest technologies. Our staff has over a decade's worth of experience translating client's business processes into automated workflows within the WebGrants environment.

DTPi is a privately held company that is free from debt and has been profitable every year since its inception in 1999. DTPi has never been part of any legal action, has never been in financial trouble and has a long list of satisfied clients. DTPi has been in existence longer than most other companies in this market space, and will continue to be a leader in this space for many years to come.

3.3.1 Federal, State and Local Governments

DTPi has extensive experience with US government and other government grant management systems. DTPi has clients in the Federal, State, Local and City governments. Approximately 50% of DTPi's clients are governments. DTPi has worked with almost every department of the federal government including Housing, Transportation, Homeland Security, Justice, Education, Agriculture, Health and Human Services, Commerce, Labor, Energy and State. DTPi has experience with grants.gov, OMB reporting requirements, federal reporting requirements and integration with federal systems. DTPi understands federal accounting conventions, regulation compliance and business rules. DTPi has also worked with governments outside the US including Canada, New Zealand and Saudi Arabia.

3.3.2 Charities and Non-Profits

DTPi has worked with dozens of charities, non-profits, colleges and universities. WebGrants supports grant giving to both organizations and individuals. WebGrants also supports fiscal agents. DTPi can host WebGrants for a simple turnkey cloud solution without any overhead or technical maintenance from the client. WebGrants supports mass emails via distribution lists and automated alerts that cut staff workloads.

3.3.3 Medical Research Organizations

DTPi has extensive experience with medical research grants. DTPi has implemented WebGrants to support Clinical and Translational Science, Research Professorships, Clinical Research Career Development Awards, Postdoctoral Fellowships, Project Grants, Career Transition Fellowships, Collaborative Research Center Awards, Health Care Delivery and Policy Research Contracts, and Research Grants. WebGrants has been used for grants management to fight a wide variety of diseases including Breast Cancer, General Cancer, Multiple Sclerosis, Muscular Dystrophy, Dystonia and Parkinson's disease.

3.3.4 Other Industries

The flexibility of the WebGrants software solution allows DTPi to implement WebGrants in a diverse set of industries. This provides our staff with extensive experience in a large number of industries. Other industries include the arts, education, environment, health, science, religion, transportation and human rights.

3.4 Corporate Stability

DTPi is a highly stable company that has been in business since 1999. DTPi is profitable and growing.

- DTPi has never defaulted on its performance of a contract.
- DTPi has never been involved in a lawsuit.

3.5 WebGrants Overview

Detailed below is a short history of the WebGrants software product:

- WebGrants was first commercially available in 2001.
- The current WebGrants version number is 5.10.
- DTPi typically releases 4 to 5 upgrades per year.

3.6 Independent Evaluations

Listed below are papers from two independent studies that compared WebGrants with many other grant management systems available today.

Gartner Group:

- http://www.dullestech.com/GartnerGrantManagement.pdf

IdealWare:

- http://www.dullestech.com/IdealWareGrantsManagement.pdf

3.7 Staff Overview

DTPi employs a wide variety of personnel. Staff is divided into three main groups, project managers, customer relationship managers and software developers. All staff personnel meet strict minimum qualifications for employment and have multiple years of industry experience within and outside of DTPi. Most of our staff has been with the company for many years.

Project managers each have many years of experience leading large-scale web-based system implementations. All project managers have complete and intimate knowledge of the WebGrants system and can assist in the translation of all APH business rules and workflows into the WebGrants system. Our project managers are all experts in developing project plans, managing project stakeholders and the development team, mitigating risk, ensuing that the project stays on schedule and on budget and mitigating any conflicts.

Customer relationship managers typically engage on a project half way through implementation and continue to be engaged for the life of the system. Customer relationship managers are also experts in the WebGrants system and can assist in the design and development process. Primarily, client relationship managers assist in the development of system documentation, training and assisting the client in the testing and use of the system prior and after production. The primary contact for a client will switch from the project manager to the client relationship manager after the system goes live.

All DTPi software developers are experts in web based software development. All developers have multiple years of experience prior to joining DTPi and most developers have been with DTPi for many years. All of our developers are experts in java development and are experts in the latest web technologies. Our developers are also proficient in standard waterfall methodologies and agile software development methodologies such as extreme programming.

3.8 Partial Client List

Dulles Technology Partners is currently working with or has delivered services to the following clients:

- 4H
- Case Western University, Clinical & Translational Science Collaborative
- Canadian Breast Cancer Foundation
- Children's Trust Foundation
- Dane County Wisconsin, Cultural Affairs Commission
- Eugene Oregon, Community Development
- Fulton County Georgia, Housing and Human Services Department
- Iowa, Statewide Implementation
- Israel Cancer Research Fund
- Kansas Department for Children and Families
- King Abdulla University of Science and Technology in Saudi Arabia
- Minneapolis Metropolitan Council
- Michigan Courts
- Minnesota State Arts Board
- Minnesota State Colleges and Universities
- Missouri Department of Public Safety
- Montana, Statewide Implementation
- National Multiple Sclerosis Society
- Nebraska Children and Families Foundation
- Newark New Jersey, Housing Department
- New Hampshire, Community Development Finance Authority
- Pennsylvania Courts
- Parent Project Muscular Dystrophy
- Salem Oregon, Urban Development Department
- San Jose California, Citywide Implementation
- Seattle Washington, Department of Neighborhoods
- Sacramento California, Metropolitan Arts Commission
- US Department of State, US Ambassadors Fund for Cultural Preservation
- Texas Access to Justice Foundation
- University of Michigan, Michigan Institute for Clinical & Health Research
- University of California, San Diego, Clinical and Translational Research Institute
- United States Institute of Peace
- Utah Housing and Community Development Division

- Utah Workforce Services
- University of Winnipeg, Canada
- World Vision

4 Past Project Highlights

As seen above, DTPi has engaged with a wide variety of clients in a wide variety of industries. Below are descriptions of four of these implementations in detail plus some highlights of significant implementations.

4.1 Project Highlights

- Largest annual grant amount dispersed from a single WebGrants implementation: World Vision with over $1.2 billion in grants annually.
- Largest number of grant programs in a single WebGrants implementation: State of Iowa with over 113 simultaneous grant programs.
- Largest number of registered users in a single WebGrants implementation: US Institute of Peace with almost 16,000 users in over 150 countries.

4.2 State of Iowa

DTPi has worked with the State of Iowa since 2008. DTPi is currently implementing WebGrants for all grants management programs across the entire state of Iowa. DTPi has implemented 113 grant programs in 42 departments of the state government. These departments include agriculture, student aid, commerce, corrections, cultural affairs, economic development, education, homeland security, volunteer services, justice, energy, public health and safety, transportation, veteran's affairs and workforce development. The Iowa WebGrants software is a one-stop shop for all of Iowa and is modeled after the federal government's grants.gov. DTPi integrated WebGrants with Iowa's single sign on technology called A&A authenticating user's to Iowa's centralized authentication system. The Iowa Department of Management has coordinated the implementation of all departments of the Iowa government along with DTPi project managers and staff. The project has become so successful that the Governor of Iowa has ordered all departments to utilize WebGrants for all grant related activity in the entire state.

Site Location: https://www.iowagrants.gov

4.3 State of Utah

DTPi has worked with the State of Utah since 2005. Initially we contracted with the department of Housing and Community Development to support the US HUD grant programs of CDBG, ESG, HOME and HOPWA. This project then expanded to include the Utah Commission on Volunteers, Museum Services, Weatherization Assistance, Zoos, Workforce Development and others. In total, WebGrants now supports over 50 grant programs of the Utah government. WebGrants integrates with Utah's financial accounting system to seamlessly process payments electronically without the need to reenter information by any user. Payments are made by Utah on a payment schedule and reimbursement basis. Once approved in WebGrants, these payments are electronically exported from WebGrants and imported into the financial accounting system. This then cuts the checks and in turn passes back to WebGrants the dates paid and check numbers, which are immediately visible to the grantee.

Site Location: https://webgrants.community.utah.gov

4.4 City of San Jose California

DTPi has worked with the city of San Jose since 2009. DTPi has implemented all grant related programs offered by the City into a single instance of WebGrants. WebGrants currently supports almost 50 grant programs across multiple departments of the city government. These programs include housing, community development, cultural affairs, health services, environmental preservation, transportation, education, workforce development and others. Utilizing the Form Creator, San Jose has implemented many of the grant programs on their own with little involvement from DTPi. San Jose and their system experts are able to implement new grant programs and edit the business rules and workflows of existing programs with minimal oversight from DTPi.

Site Location: http://grants.sanjoseca.gov

5 APH Project Team Members

The following individuals will serve as key personnel from DTPi on the APH project team.

5.1 Tom Nyilasi – Founder and CEO

Project Time Allocation: Full Time

Experience with DTPi: Since 1999

Project Responsibilities: Project Management, Business Analysis, and Quality Assurance.

Mr. Nyilasi will serve as the Senior Business Analyst and Project Manager for this initiative. Mr. Nyilasi has been involved in software implementations since 1996. Mr. Nyilasi has been involved in some capacity on every WebGrants implementation since DTPi's founding. Mr. Nyilasi will be the direct single point of contact for APH and will be responsible for all day-to-day project execution activities. He will have the authority to commit DTPi in matters related to project resources and costs. Mr. Nyilasi has extensive grant management subject matter expertise and has played key leadership and business analysis/reengineering roles in all past DTPi engagements.

Mr. Nyilasi has also played a key role in the WebGrants product strategy and solution design. He is an expert in WebGrants functionality and capabilities. He performed analysis and design activities on many recent projects.

Mr. Nyilasi will be in charge of the requirement analysis and design phases of this project. He will lead the APH requirement definition meetings and meet with key personnel on a one on one basis. He will be responsible for the successful delivery of all project deliverables. He will also act as a liaison between APH staff and DTPi's technical resources assigned to the project.

5.2 Joseph Hughes – Software Architect

Project Time Allocation: Full Time

Experience with DTPi: Since 2003

Project Responsibilities: Technical Lead, Development, and Customization.

Mr. Hughes is the lead software engineer and technical team lead in charge of development for the WebGrants application. Mr. Hughes is intimately knowledgeable in all technical aspects of the WebGrants solution. He was responsible for designing the WebGrants technical architecture and been a key developer for the core product modules.

Mr. Hughes has many years experience in object oriented software development and development methodologies including design patterns and UML modeling. While an expert in current web technologies like Java, Mr. Hughes has the ability to interface with the business community and translate business requirements into effective technical solutions.

In addition to developing the WebGrants application, Mr. Hughes has extensive experience designing and developing rules based and XML applications such as the product life cycle management/collaboration applications and the web based network management applications.

Mr. Hughes will be the Senior Software Engineer responsible for the tailoring and customization phases of the project. He will also lead and coordinate communication between any other software engineers used on this initiative. Mr. Hughes will be directly responsible for the customization and meeting APH's business and technical requirements. He will also interface with APH's technical staff to ensure the solution is compliant with the technical requirements.

5.3 Tena Malone – Engagement Director

Project Time Allocation: Part Time to Full Time

Experience with DTPi: Since 2010

Project Responsibilities: Training, Documentation, Customer Relationship Management.

As Engagement Manager, Tena Malone will help with Project Management, and will also focus on providing DTPi's Enterprise-wide capabilities and services to internal and external customers from conception to delivery thus maximizing customer understanding and satisfaction as well as the Client's operational effectiveness. Engagement Management will provide the tie between Sales and the actual technical solution at a client. It will be the glue that holds the delivery process together with the intent of avoiding many of the disconnects faced by clients when Sales, IT, and PM are all working under their own assumptions and priorities. Then expectations for that client are more likely to be set appropriately thus avoiding delays, resetting of scope, and adding additional customer training that could have been taken care of before the engagement started.

Mrs. Malone wrote the current WebGrants system documentation and is the primary trainer for new WebGrants customers. Mrs. Malone has experience as project manager on several WebGrants implementations and typically is involved on projects after the initial configuration is complete. Mrs. Malone is the primary contact after the initial stages of the project is complete. Mrs. Malone supports ongoing maintenance and support. She is also the primary trainer and will update the system documentation to reflect the project specific modifications.

5.4 Atif Shah – Founder and CIO

Project Time Allocation: Part Time (On an as needed basis)

Experience with DTPi: Since 1999

Project Responsibilities: Project Oversight, Project Management Support, Issue Resolution and Risk Mitigation.

Mr. Shah has been leading large-scale enterprise software development projects since 1995. He has managed several key DTPi initiatives in the past and has extensive WebGrants knowledge. He currently overseas service delivery on multiple DTPi engagements. He will serve as oversight on the APH project on an as needed basis and will be available to provide key insights from past engagements and help ensure a quality on time delivery for APH. He will oversee and support Mr. Nyilasi in his project management role and be available to APH management to address any concerns and/or issues.

5.5 Additional Project Resources

In addition to the key personnel specified above, DTPi will utilize other qualified resources from its resource pool to address specific project needs. Additional training, testing, and other resources may be employed depending on project needs.

6 References

References below represent satisfied customers of DTPi's WebGrants implementations. Please feel free to contact any of the individuals listed below.

6.1 Debra Scrowther

Iowa Department of Management

https://www.iowagrants.gov

515-281-7076

debra.scrowther@iowa.gov

2008 to today

6.2 Mary Jacobs

Manager

Utah Division of Housing & Community Development

https://webgrants.community.utah.gov

(801) 468-0135

mjacobs@utah.gov

2005 to today

6.3 Colleen Brennan

Project Manager

City of San Jose

http://grants.sanjoseca.gov/

408-794-1139

Colleen.Brennan@sanjoseca.gov

2009 to today

6.4 David J White

Director of finance and grants administration

Minnesota State Arts Board

http://apply.mnartsboard.com/

(651) 215-1622

david.white@arts.state.mn.us

6.5 Anja Aulenbacher

Administrative Analyst

Sacramento Metropolitan Arts Commission

916-566-3986

Aaulenbacher@cityofsacramento.org

7 WebGrants Overview

WebGrants is a comprehensive full-lifecycle grant management system for grant giving organizations. Since 2000, DTPi has refined and enhanced the core product resulting in software that currently meets 90 percent of all new client requirements “out of the box”. How is this possible? At a high-level, all grant management projects are similar; they all have the core grant management lifecycle, which is opportunity creation and announcement, application preparation and submission, application evaluation, grant award, project implementation and reporting, and finally project closeout. Many details at each stage of the lifecycle are also similar for each client. WebGrants has evolved over the years with many features and functions at each stage of the process. These “bells and whistles” set WebGrants apart from our competition. Not only does WebGrants support the grant management lifecycle at a high-level, but also features numerous specific capabilities within each module.

In additional to all the great functionality “out of the box”, WebGrants is also almost completely user definable. Clients can create their own forms for almost any aspect of the system including announcements, applications, reviews, grants, status reports, claims, site visits, contacts, contracts and more.

A quick high-level overview of each WebGrants module is provided below:

7.1 Dashboard

The dashboard module allows internal staff to view all assigned work in one convenient location. Staff can easily check their dashboard to see any new alerts, work or pending authorizations. Management staff can view their dashboard to see the current volume of work. Management can easily see where in the grant management lifecycle the current applications, grants, payments and other documents are pending. Each staff person can easily configure the dashboard to display information that is most relevant to him or her. Staff also receives automated email alerts when new work assignments are made.

7.2 People and Organizations

WebGrants has a comprehensive contact management system. Users and contacts of the system maintain a personal profile and an organization profile;

these users can be internal staff, reviewers, applicants, board members, etc. The People module maintains all the personal information about each user and contact. This information includes the person's name, address, email, phone and other standard contact information. In addition to the standard contact information, the WebGrants Form Creator allows APH to expand the base fields and add new additional fields. These new fields can cover additional information not covered by the base fields such as the person's academic degrees, demographic information, their department or additional email addresses and phone numbers. This configuration capability allows APH staff to expand and capture any additional relevant information for a person.

Staff can search for people in a wide variety of ways including selecting a letter of the alphabet, name search and advanced search that allows searching on expanded fields. Staff can also set additional parameters on each user in the People module including configuring the user's dashboard preferences, associating them with one or more internal agencies or departments, associating them with one or more program areas, setting their security roles, subscribing them to certain automated email alerts, and resetting their password. Staff can also view the history of that person and view their submitted applications, reviews and successful grants. Staff can also merge people to eliminate duplicates.

Each person can be associated with one or more organizations. WebGrants also supports people that are not associated with any organization at all. The Organization module uses the same navigation as the People module with the same abilities to search. Each organization has a base profile that can be expanded to include custom fields in the same manner as the People module. Organizations can be associated with people in a many to many relationship. A single organization can be associated with one or more people.

Information entered into the People and Organization modules are reused on all submitted documents. A person's or organization's contact information never needs to be entered again, this information will appear on all documents by a query to the database. The People and Organization can be entered into the system in three ways, via self-registration, added manually by staff or via legacy data migration.

7.3 Distribution Lists

Staff can leverage the contacts in the People module to send mass emails and letters to large subsets of people. By selecting individuals from the people module or by running a query, staff can compile a list of people and save the list. Once the list is established, staff can send the list a mass email or staff can create and send to the list form letters, staff can also export the data to use as a mail merge source for physical letters and labels. While WebGrants has over 70 automated email alerts that are sent under a wide variety of business rules, staff can utilize the distribution lists module to augment those notifications with additional specialized alerts like announcements.

7.4 Awards

WebGrants supports a comprehensive financial management module. The Awards module acts as a financial dashboard giving staff visibility into the overall financial situation of the organization at any point in time. Each award records a grant or allocation to your organization from an external source. This source can be from the federal, state or local government or from corporate or private contributions. This award can then be subdivided into fund sources to support grant giving, loan giving or internal administration activities. Funds from each fund source are allocated, earmarked, or committed to one or more grants. When the grantee is paid, either on a payment schedule or reimbursement basis, the funds are drawn down from the allocated fund sources. WebGrants automatically calculates the committed, expended and unexpended amounts at the grant level and rolled up by fiscal year and funding opportunity.

7.5 Funding Opportunities

New grant competitions are announced and posted online via the Funding Opportunity module. Staff can create and post new opportunities at any time. Funding opportunities can require a single-stage final application submission or a two-stage submission with a pre-application, letter of intent or eligibility quiz followed by a final application submission. Prospective applicants can view, search and apply to posted funding opportunities. Applicants can also post questions about the funding opportunity and staff can post the answers for all applicants to view.

Applicants can apply to a posted funding opportunity by starting a blank application or by copying the contents of an old application into a new application, make any necessary edits and then submit the application.

WebGrants supports any number of application forms. Forms are created in the system via a user-friendly tool called the Form Creator. APH staff can use the form creator to create new forms and edit existing forms. Creating or modifying forms requires no formal technical expertise and can be learned by anyone in an afternoon. Forms are associated with program areas or grant types. When a new funding opportunity is posted it is associated with a program area, the application that applicants complete will display only those forms associated with the same program area. Thus, it is possible to support any number of program areas with any number of forms in the system.

Applicants complete the application by answering all questions on each of the forms. When designing forms, APH staff can designate fields to be required or optional, of a specific type like dates, numbers, text, drop downs, etc. There are twenty different data types available. Fields can have a maximum character length. Fields can also have instructions, calculations, input masks, conditional required properties, conditional reject properties, conditional comparison properties, subtotals and other specifications. Applicants can also attach electronic documents to their application of any type or size. Applicants completing the forms in the application must adhere to the rules defined in the form creator. Therefore, it is impossible for an applicant to submit an incomplete application or an application where the answers logically do not match the definition. All of the applicant's work is saved in real time so an applicant can stop writing the application at any time, turn off their computer and return later to complete their work. They can even resume their work from a different computer. Applicants can also work on smart phones and tablets. Multiple applicants can work on the same application from the same organization. Once submitted, the application is locked from further editing.

7.6 Submitted Applications

Once applications are submitted, internal staff can view the applications in the Submitted Applications module. This module is a quality control area to ensure that applications assigned to reviewers are of good quality. While the system will enforce completeness and accuracy, it cannot enforce quality. Any ineligible applications can be withdrawn from the competition. If any clarifications or edits need to be made by the applicant, staff can unlock one or more sections of the application via the negotiation process. This process allows staff to unlock each application form independently and route the application back to the applicant. Upon receiving an automated email notification, the applicant can open and edit the unlocked forms and only the unlocked forms. The applicant can then make their edits and resubmit the application. In this negotiation process, the system will version all unlocked forms, this copies the forms and allows the applicant to edit the new version and not the original version, therefore the original version and the new version are both stored in the system. Thus, no data is ever overwritten or lost via the negotiation process. Staff can negotiate each form any number of times and each time the system will create a new version.

Staff can also add internal notes to the application that are viewable only by internal staff and optionally reviewers. Staff can also add feedback to the application that will be appended to the end of the application and is visible to everyone viewing the application including the applicant. Addresses or coordinates in the application can be mapped via integration with Google Maps. Staff can map a single application per map or multiple applications on a single map.

7.7 Panel Evaluations

After the initial quality control phase, the applications can be assigned to evaluation panels. WebGrants supports up to five evaluation rounds. In each round, staff can assign any number of evaluators to any number of applications. Evaluators can be assigned two ways, either on an ad hoc basis or via static panels. The ad hoc method allows staff to assign any number of evaluators to any number of applications. Staff can assign two evaluators to one application, three to another, four to another, etc. Evaluators are selected from the People module and assigned to applications. The static panel method allows staff to predefine a panel that remains static over many competitions. These static panels can be reused over time. The assignment of a static panel assigns many evaluators to many applications in a single step.

Once the panels are defined, staff can choose to optionally require a conflict of interest process. This process requires that each evaluator indicate if they have a conflict of interest with the applicant or the application. If they do have a conflict then staff can choose to remove the evaluator from that application or the entire panel.

Once the panels are finalized, evaluators can view the assigned applications in the My Reviews module. This module is an inbox for each evaluator where applications assigned to them personally appear. Evaluators can read the applications online; they can print out a paper copy or save a PDF version of the application on their computer. The PDF version will also merge all PDF attachments into a single consolidated document. Evaluators can then complete the associated review forms. APH staff use the Form Creator module to define review forms. Like application forms, review forms can be created, modified and associated with a program area. Review form questions can be numeric scores, comments, yes/no fields and drop downs. WebGrants will automatically calculate the total score for the application and the average score for all reviewers.

This process can be repeated five times in five review rounds. Applications can be eliminated after each round. The evaluators and the evaluation forms can be different in each round. Rounds are typically used to differentiate internal panels from external panels or reviewer scores from management/board member scores.

7.8 Final Approval

Once all panel evaluations are complete, internal staff can view the results in the Final Approval module and make the ultimate decision on each application. This module will display a sorted list of all applications with an automatically calculated average score per application, per round. Staff can drill down on the average score to see the breakdown of scores by evaluators. Staff can further drill down and view the forms each evaluator completed. This process allows staff to view all the comments and feedback from each evaluator. This data can also be displayed on a report. Staff can unlock the review to allow further editing by evaluators. This process will version the review forms. Staff can also enter notes for each application and can set an internal status. Internal status is a temporary status to capture additional steps in a business process like awaiting board approval or awaiting a director's signature. If necessary, staff can also at this point negotiate the application for further editing back to the applicant, in a process identical to the one described under the Submitted Applications section above. Staff can also change the application's status from the current Under Review to Awarded or Not Awarded. Not awarded would mean a rejection, and awarded would award the application and the system will automatically create a grant in the Grant Tracking module.

7.9 Grant Tracking

Once awarded, the application data is automatically copied from the application into the grant. The Grant Tracking module encapsulates the entire post-award grant management lifecycle. Each grant is subdivided into a number of components. There are three types of components, first are default components that all customers receive. These components are described in the sections below and include the Status Reports, Claims, Communications, etc. The second type are any application forms designated to be copied into the grant. This is a configuration setting on each application form that can be set by APH staff. Typical application forms that are copied into the grant include the budget, scope of work and any other form that contains data that might change during the course of the grant. Third are user-defined forms. Staff can create and maintain any number of additional user defined forms. These forms are created in the Form Creator. Staff can set security on the grant and each component. In addition, the grantee is able to view and edit certain components of the grant.

Each component of the grant is described in further detail below.

7.9.1 General Information

Upon creation of the grant, high-level application data is automatically copied into the grant. This information includes the title, organization, grantee, year, project dates and other information. Staff can at this point enter a new multi-part grant id number, designate primary and secondary grant contacts and establish the project duration dates.

7.9.2 Budget

Upon award of the application, the budget is automatically copied into the grant. To support budget amendments, internal staff can version the budget and edit the new version. This allows the original budget to be retained in the system, and the new version is stored as the new official version. This process can be repeated any number of times. In addition, internal staff can unlock the budget to allow the grantee themselves to make modifications. This process requires internal approval for the updated budget to become the official version. Grantees can view the budget read-only at any time in the system.

7.9.3 Fund Sources

Fund sources created under an award in the Awards module can be associated to grants. Staff can associate one or more fund sources per grant. Staff can also allocate, earmark, or reserve dollars from each fund source to pay the grantee on a grant. When the grantee submits a payment request or reimbursement request, the system will draw down the funds from the associated fund sources. Fund source allocations and payments can be viewed at the grant level or rolled up at the funding opportunity or fiscal year level. This information is also available via reports.

7.9.4 Status Reports

Periodic status reports can be submitted in WebGrants. Internal staff can designate a status report schedule for a single grant or for a collection of grants. Once scheduled, WebGrants will email automated reminders to the grantee when the due date approaches. The grantee can complete a multi-form status report and submit it. Internal staff can design the status report using the form creator in the same manner as the application. The status report can be of various types, for example, reports can be defined for quarterly reports, interim reports and final reports. Once submitted, internal staff can route the reports back to the grantee for clarifications, they can make notes and provide feedback. Internal staff can also approve submitted status reports.

7.9.5 Claims

WebGrants supports two types of claims, payments and reimbursements. Payments are scheduled payments that reoccur over time. Staff can define a payment schedule with a start date, a payment type, an installment amount and a frequency. The system will automatically generate the payments as they come due and notify appropriate accounting personnel for approval.

Reimbursements are claims that are more complex. WebGrants will reproduce the grant budget, complete with all budget line items, on the claim. Grantees can create a new reimbursement request at any time. The grantee will enter the expenses this period for each budget line item. The system will then compute the total prior expenses, the current total including the current expenses and the available balance. Upon submission, WebGrants will route the claim for approval to up to five levels. Any number of staff can be assigned to levels one thru five. When the claim is submitted, everyone in level one is notified, when a person in level one approves the claim then level two is notified. This continues until the highest level defined is reached or until level five is reached. Once approved, staff can create the voucher. The voucher is the payment authorization form. On this form will be all associated funding sources. These funds are associated to the grant via the fund source component described above. Staff can designate for each budget line item how much of the requested amount will be drawn down from each associated fund source. When the values are entered and the voucher is saved, it is ready to move to the financial accounting system. Data from the voucher can move to the financial accounting system two ways, one is a manual process where accounting staff manually key into the financial accounting system the details of the voucher. Second, via electronic integration with the financial accounting system. Once the voucher is paid, staff can either manually key in the date paid and check number into WebGrants or this information can automatically return from the financial accounting system via the electronic integration.

7.9.6 Communication

The communication component has two sub-sections, the Non-WebGrants Communication Log and the Inter-WebGrants Grantee Correspondence. The Non-WebGrants Communication Log records important conversations that occur outside of the WebGrants system. For example, if there is an external phone call, email, fax or letter then staff can create a new record and record the communication including the recipient, date, subject message and they can attach the external file. This information can be searched and viewed by other staff with the correct security access. The Inter-WebGrants Grantee Correspondence allows staff and the grantee to communicate by sending messages within the WebGrants system. Both parties can initiate communication and the other party can reply to any communication received. The whole conversation is recorded in the system. The benefit of this over using external email like Outlook is anyone with security access to the grant can view the entire communication history.

7.9.7 Site Visit

Site visits are fully supported in WebGrants. Site visits can be assigned to a site visitor. Any site visits assigned will appear on the site visitor's main menu in a new module called My Site Visits. Staff can impose deadlines for when the site visits must be completed. Staff using the form creator develops site visit forms just as forms are developed for the application or the status report. Site visit forms have a type and forms can be developed for both the grantee and the site visitor. The grantee can be assigned preliminary forms that must be completed prior to the site visit. The site visitor can also be assigned forms that will record the monitoring oversight and any findings. All site visit data is associated with the grant and is fully searchable and can be displayed on reports.

7.9.8 Contract Amendment

The contract amendment component provides an amendment authorization workflow. The contract amendment process can be started either by the grantee or by internal staff. Each contract amendment has a type such as a grant duration extension, a budget modification or a scope of work modification. Once the contract amendment is created, it can be routed internally to up to five levels of approval. This process is very similar to the claim approval process. Once the ultimate level has approved the contract amendment, staff can make the corresponding changes in the grant components. This component records a history of the authorizations and the requested changes.

7.9.9 Closeout Schedule

The closeout schedule is used to define a list of activities that must be completed before the grant can be closed. These activities can be defined for a group of grants or for a single grant. Each task will have an expected completion date that will tie into the alerts. As the dates approach, WebGrants will send automated email alerts to the grantee. Once the task is complete, internal staff can enter the actual date completed.

7.9.10 Contract Data Export

Contract data can be exported from WebGrants two ways. The most common way is for the required raw data to be exported from the system in CSV format. This raw data includes the grantee contact information, the grant information, the budget, scope of work and other relevant information. This data can be exported for a single grant or for many grants at once. This data can then be imported into a Microsoft Word document template via the mail merge functionality. The resulting contracts can be signed, scanned and stored in the system. The other less common method is to develop the entire contract in the system and generate it fully complete directly from the system. This is a good option if the standard boilerplate text does not change. However, this process will not work for any clients where the standard language is edited for each contract.

7.9.11 Attachments

Internal staff can attach any number of electronic files in any file format to the grant. These files could be the scanned signed contract or any other relevant documents.

7.9.12 Other Functionality

Other grants management functionality includes the ability to map grants via Google maps. The system will map both addresses and coordinates. Multiple addresses can be mapped on a single map. Staff can define their own alerts for each grant. These alerts can be for any purpose and can be one time alerts or reoccurring alerts. Grants can be copied and the standard forms associated with a group of grants can be changed on an individual grant basis.

7.10 Inventory

The inventory module allows clients to store information in the WebGrants system that is separate from an application or a grant. The inventory module can be used for a wide variety of purposes. Some clients may want to use the module to track equipment or capital purchases that might be used on a variety of grants. Once the inventory item is created, it can then be associated with other objects in the system such as People, Organizations, Applications, Grants, Status Reports, Claims, Site Visits or Amendments. Inventory items can be added by internal staff or by applicants/grantees. Examples of inventory module uses would include transportation clients can enter vehicles to track mileage, repair history and transportation route, art clients could use the module to track applicant art portfolios and housing clients could use the module to track unique properties. Once these items were created in the system, each item can be associated with one or more applications or grants.

The inventory module forms can be defined in the Form Creator to allow each client to maintain unique forms for each item. Each form can be associated with a type to allow clients to store more than one type of inventory item in the system. The user defined forms and fields are immediately available in the ad hoc reporting tool to allow clients to run full reports on all inventory module activity.

7.11 Reports

WebGrants supports two report types, standard and ad-hoc. Standard reports come standard with the system. There are approximately two dozen standard reports in the system. These reports display data from all aspects of the grant management lifecycle including financial management, applications, panel reviews, grants, payments and monitoring activities. Each standard report has its own filter screen where staff can limit the data returned on the report; common filter criteria include program area, data range, status and funding opportunity. Each report can be exported to PDF, HTML, Word and Excel formats. New reports can be developed during the course of the project.

Ad hoc reports allow APH staff to develop their own reports. Ad hoc reports can be created, named, saved, and shared with other co-workers. Staff can define their report by adding fields from nearly anywhere in the system including the funding opportunity, application, review, grant, status report, claim, site visit or contract amendment. Once the fields are added staff can reorder the fields, rename the fields, group the data by any field, sort the data, filter the data with the logical operators (=, <, >, like, IN, Between), insert subtotals and grand totals. In addition, mathematical formulas can be added using the operators add, subtract, multiple and divide. In addition, the data can be exported to MS Excel where any number of additional computations can be executed. Other formats include HTML and CSV.

DTPi also allows direct database access. Clients who wish to use their own third party reporting tools can connect the tool directly to the WebGrants database and run their reports. DTPi will give each client a copy of the data dictionary and the database schema.

7.12 Program Areas

A program area is a grant type; it is also a concept within the WebGrants software that allows a single instance of WebGrants to support many unique process workflows, business rules, formula-based calculations/allocations, reporting, and standardization across a client's diverse set of grant offerings. Clients typically give away multiple types of grants. Each program area can be distinct in terms of forms, business rules, workflow and security access. Each program area can have its own unique set of forms including applications, reviews, grants, payments, status reports, site visits and contract amendments. WebGrants can support any number of program areas. Our largest client, the State of Iowa currently has 113 program areas running simultaneously in a single instance of WebGrants. Program areas can be grouped into agencies and security access can be assigned at either the program area or the agency level.

7.13 Drop Down Lists

All drop down list boxes in the WebGrants software can be edited by the system administrator. The administrator can add, edit or delete the contents of any drop down list box. Drop down list boxes can also be nested so the selection of an option in the first drop down restricts the choices in a second drop down.

7.14 Form Creator

The WebGrants Form Creator is a powerful tool that places the customization and configuration of the system in the customer's hands. Clients have the power to modify forms, business rules, workflow and security practically anywhere in the system. Clients can add new forms that are used throughout the grants management lifecycle including user profiles, funding opportunities, applications, review forms, grants, status reports, claims, contract amendments, and site visits. Staff can define the form's rules such as where in the process the form is used, how it is routed, who has access to the form, what stage of the process the form is used, when the form is visible and when its hidden and when the data is copied from one step in the workflow into the next. Staff can create new forms, modify existing forms and discontinue using old forms. The workflow can be modified at any time to include or exclude forms, queues, staff and stages. Business rules can be changed at any time to reflect changes in business practice. Forms, workflows and business rules can be defined at a global level or down at a program area level.

Forms can be defined using a wide collection of powerful tools. Staff can define many different types of forms including, budgets, attachments and standard forms used in any document in the lifecycle. Each form can have any number of sections. Sections can be data entry forms, lists or grids. Each field has dozens of parameters that allow staff to fine-tune the specific field-level business rules. These parameters include a data type. There are over twenty data types to choose from including text, number, date, currency, yes/no, drop down, phone, email, attachment, percentage, etc. Staff can also define an order, a label, a default value, an input mask, a field size, a maximum length in terms of characters, required or optional parameter, a visibility flag, header labels, sub labels, instructions, and online help text. Conditional parameters can also be set these include a conditional required parameter that allows staff to designate a field as required if an answer to a prior question is met. Conditional validation allows staff to set up logical comparisons that force answers to be within certain parameters like 1-10. Conditional reject defines certain answers to questions that automatically disqualify an applicant. In addition, staff can define mathematical calculations between any fields on any forms. Staff can use the operators add, subtract, multiply and divide, they can use parenthesis to establish the order of the operations. Staff can define complex mathematical formulas that execute automatically for the benefit of the applicant or grantee so the applicant or grantee never has to do any math and there are never any mathematical mistakes to worry about.

Staff also have the ability to set up and define workflow parameters like how many approvals are required for a certain document, by what percentage can a grantee overdraw a budget line item, and who is alerted when certain documents are submitted. There are too many parameters and business rules to list here. Over the course of a decade of customer requests DTPi has added so many configuration parameters to the system that almost any workflow can be accommodated without the need for software development.

7.15 Security

WebGrants security starts with user authentication that is via a user id and password. WebGrants generates each user's user id to ensure uniqueness. Passwords are originally set by the system however; users can reset them at any time. A self-service screen can retrieve lost passwords. The system admin can configure certain password parameters like expiration period, restrict past password reuse, require alpha characters, require numbers, require special characters, set minimum length and force reset upon first login. WebGrants can also be integrated with client's single sign on technologies like LDAP and Active Directory. Both passive and active integration is supported. Simultaneous lookup is also supported.

Once logged in, WebGrants restricts user access two ways. First users have access to only certain program areas and agencies. The admin assigns access to each program area and agency. If the user does not have access to a program area or agency, then they do not see that data. Clients can maintain a multi-departmental implementation without the fear that users in each department will see each other's data. Second, user access is restricted via roles. Each role is defined by associating privileges. There are approximately 70 privileges in the system. These privileges control access to modules, forms, workflows, business rules and other areas. It is possible to restrict access at various levels including the module, form, function and field level.

7.16 Online Help

The entire WebGrants user manual is available via online help. A dedicated online help button appears on every screen. This button will pop up a new window that will display the relevant online help for that screen. The system comes with a complete online help library; client staff via the online help module under Utilities can extend this library. Staff can expand or rewrite the existing online help for each screen. DTPi will also update all online help in areas that were specifically customized for the customer. In addition to online help, staff can also add instructions to the screen at the form, section and field levels.

7.17 Automated Alerts

WebGrants sends automated email alerts under a wide set of business rules. These alerts are sent to applicants, grantees, internal staff, evaluators and administrators. WebGrants contains over 70 different automated alerts. Examples of automated alerts include registration, application deadline approaching, reviewer assigned to a panel, review deadline approaching, grant status change, grant closeout approaching, status report deadline approaching, claim deadline approaching and others. Each alert is fully customizable, staff can edit the alert body, and the frequency and staff can insert variables into the body to indicate the recipient's name, grant title, deadline, budget amount, status and other data elements. Individual staff personnel can subscribe to certain alerts so they receive only the alerts they want.

7.18 Audit Trail

WebGrants records all user actions in an audit trail. The system records the user's id, the timestamp and the action performed. This audit trail can be queried to determine the user responsible for any action in the system. The audit log grows indefinitely large.

8 WebGrants Architecture

WebGrants is a multi-tier application built using Java 2 Enterprise Edition (J2EE) technologies and is completely object oriented and modular in design. WebGrants employs a sophisticated yet simple to configure XML layer that allows easy addition and modification of user screens, customization of organization specific data elements, security policy enforcement and workflow configuration. WebGrants also supports very flexible operating system and database deployment options in order to comply with an organization’s existing enterprise IT standards.

DTPi is committed to open source technology. When given an option, DTPi always tries to incorporate open source technology in place of proprietary technology.

Typical WebGrants deployments are comprised of the following tiers:

8.1 Tier One – User

To utilize the WebGrants application, the user simply needs an Internet connection and a current browser either Internet Explorer, Chrome, Firefox, Safari or Opera. The user's computers can be Windows or Macintosh, also tablets and Smartphones are supported. The Internet communication can be a simple 56k dialup connection, high-speed internet is not required. No additional software or plug-in is required. No additional software is ever downloaded to the user's device.

8.2 Tier Two – Web Server

WebGrants is built upon the robust and ubiquitous J2EE technology. A web server that supports this technology is required on the server. This web server is most typically Apache/Tomcat. This is a free server is that is utilized for more websites than MS IIS and is more stable and hacker proof than IIS.

8.3 Tier Three – Application Server

This tier hosts the core WebGrants modules and associated business logic. It provides all the business services required to support the system's functionality. A Java Application Server that is Java 2 Enterprise Edition (J2EE) compliant is required for this tier. DTPi recommends JBOSS, a free application server that is the de-facto standard for J2EE applications. It is the most secure and hacker proof application server on the market.

8.4 Tier Four – Database

WebGrants is compatible with two databases MySQL and MS SQL Server. The customer decides which to use. By default, DTPi will utilize MySQL because it is free and provides the same performance, capabilities and security of MS SQL Server. However, if the client is partial to MS SQL Server then DTPi will use this database instead. However, the client is responsible for the fees associated with the MS SQL Server database. Regardless of which database is used, the client owns all the data stored in the database. The client can also connect directly to the database to use third party reporting tools or to download the data at any time.

8.5 Performance/Scalability

Performance is seldom an issue with grants management systems. The vast majority of the time the CPU utilization on the servers is close to zero. The only time when performance is an issue is the five to ten minutes just before the deadline to a major grant competition. Of course, this is absolutely the worst time for the system to fail or for performance to become an issue. A modern robust server can handle up to 100 concurrent users without any performance impact. One hundred concurrent users does not mean simply 100 users logged in at the same time, it means 100 users concurrently issuing a command in the system, for example all 100 people clicking a button simultaneously. Statistically in order for 100 concurrent users to issue a command at the same time, there needs to be at least 10,000 registered users in the system. Few of our clients have so many users. Typically, a single server instance is more than enough power to support most clients without any performance impact.

However, if for whatever reason performance does become an issue we have several ways to mitigate the problem. WebGrants is an N-tier system, meaning that each system layer can be deployed on a separate server. This means that the web server and the database can both reside on separate servers. In addition, WebGrants is cluster-able. This means that both the web server and the database server can be replicated any number of times with a load balancer to distribute the work amongst the servers. This process can scale to any level.

8.5.1 Typical Deployment

A typical server configuration is described below:

Server Component	Configuration
Processor	2 x 1.6 GHz Xeon Quad Core E5310 Processor
RAM	2 to 8 Gigabytes
Database	MySQL (default) (MS SQL Server optional)
Application Server	JBoss (default)
Hard drive	2 * 250 Gigabytes SATA (RAID 1)
Network	2 x network cards
Operating System	Windows 2012 Server (default) (Linux, UNIX, etc. optional)

8.6 System Integration

DTPi can integrate WebGrants with any number of client back office systems. The most common integration is with a customer's financial accounting system. While the exact integration mechanism may differ by client, the most common financial accounting system integration is via flat file. This process starts by WebGrants batching up all payment request transactions in a day. This data is written to a flat file and this file is exported from the system once be day, typically at night. This file is then imported into the financial accounting system, which in turn processes each transaction and sets up the process to pay the grantee. When the payment is made, the financial accounting system exports a return file to WebGrants; this file contains the date paid and the check number, which is updated in WebGrants for both the applicant and internal staff to view. Of course, other integration mechanisms can be used such as EDI or web services API.

Other integrations include single sign on via integration with a client's LDAP or Active Directly systems. Integration with document repositories, customer relationship management systems (CRM) and other systems is also possible.

8.7 Data Migration

Most customers request some level of legacy data migration. DTPi can accommodate data migration as long as the data is electronic and in certain formats such as Excel and relational databases. DTPi cannot migrate data that is in Word or PDF format. In addition, data cleanup and normalization are the client's responsibility. The client will also assist in the data mapping between the old and new systems. DTPi will develop migration scripts that can be run numerous times. Data can be migrated more than once for testing purposes and also to capture the final snapshot of the data before system cutover.

8.8 Product Roadmap

DTPi updates WebGrants five to six times per year with major releases; these releases typically include new functionality and features. DTPi also updates WebGrants once per month with bug fixes, patches and performance updates. As long as the client has a current maintenance agreement, the client will receive all updates. DTPi will inform the client prior to any updates. Clients can schedule the update when convenient. All updates are performed after hours, over the weekend and at night. Clients who use a test server can deploy the updates first to the test server and test the new functionality prior to deployment to the production server.

8.9 Dual-Core Architecture

DTPi has sold WebGrants since 2001. In this time, DTPi has added so many features and functionality to the system that today clients rarely ask for new features that are not already present. However, if a client requests a new feature and DTPi adds that feature only for that one client that does not preclude the client from future updates and patches. The reason for this is all clients receive the WebGrants baseline core source code, in addition to the baseline core some clients also receive a custom core. This custom core overrides the functionality in the baseline core. However, the baseline core can always be updated without any issues.

8.10 Hosting

The WebGrants software can be hosted either by the client or by DTPi. Historically our customers are divided 50/50 on this option. If the client hosts the software then the client is responsible for server up time, network connectivity and backups. If DTPi hosts the software then DTPi is responsible. DTPi will host the software on a dedicated server in a professional hosting facility. The facility will have direct internet backbone connectivity, multiple ISP access, power redundancy and backup generators, physical and software firewalls, on site security, 24x7 monitoring, and nightly backups. Backups are stored in a geographically remote location to mitigate disaster recovery. DTPi utilizes hosting facilities across the US including Virginia, Tennessee, Arizona and Washington State. If a client's system is hosted in one facility, the data is backed up nightly to another facility. In case of a disaster, DTPi can restore the server in under 24 hours with minimal data lose.

8.11 Accessibility

WebGrants is fully Section 508 compliant, meaning visually impaired people can use the software with the aid of website reading programs such as JAWS.

8.12 Security

SSL (HTTPS) certificates protect all WebGrants systems. All communication is encrypted. WebGrants uses Captchas to eliminate webbot registrations. WebGrants has full protection from cross-site scripting, SQL injection and other hacker attack methods. DTPi has undergone mock many vulnerability attacks from customers testing the WebGrants security features and WebGrants has always passed with little or no issues.

9 Implementation Methodology

Dulles Technology Partners leverages the experience gained in the last decade from both private and public sector clients to continuously improve our product and service delivery. Dulles Technology Partners uses this vast experience to streamline implementations of new projects and mitigate risk to ensure success. This continuous improvement in our service delivery process ensures the client receives the best value.

This methodology has been formulated over years and tuned after each successful project to create an experienced, tested and proven framework for project implementation. The outline that follows encompasses the entire project lifecycle. The methodology is flexible and can adapt to each customer's requirements. It may be possible that a particular implementation will not require each step.

The duration of each phase of the project depends upon the requirements of the specific client; Dulles Technology Partners will provide APH a comprehensive project plan with updates throughout the project lifecycle.

9.1 Phase I – System Definition and Design

This is the initial phase of any WebGrants implementation. The goal of this phase is for DTPi to completely understand the client's grant management business processes. DTPi will deliver a requirements document that describes the gaps between the baseline software and the client's ultimate version at the end of the project.

This phase can be further broken down into the following steps:

9.1.1 Scope and Plan

The initial phase of the project includes the kick off meeting of the primary points of contact and introductions of the key personnel. The location and type of central document repository will be agreed upon. The client will grant access to all necessary internal systems and documentation in a timely manner. Roles will be defined for all concerned parties. The general scope and rough project deadlines will be established as well as initial organization and planning. Finally, current assumptions of both parties will be discussed.

9.1.2 Workshops

DTPi and the client will jointly establish interactive sessions, by business area, to understand how the client's business operates. The goal of this phase is to establish requirements, identify design decisions, and exchange common terminology. DTPi typically sends one analyst (could be more if needed) to the client's home office to perform these tasks.

9.1.3 Assessment

DTPi will perform a detailed analysis of the client's hardware and software infrastructure to determine compatibility with proposed software solutions. This step is typically done over the phone between the client's IT staff and DTPi developers, though this can be done onsite as well. A rough architecture document can be developed at this time.

9.1.4 Business Process Analysis

DTPi will perform and deliver a detailed review and documentation of the client's current business processes incorporating any process refinements. This step results in the requirements document the identifies all the gaps and necessary enhancements to be made to the baseline WebGrants software.

9.1.5 Phase Conclusion

This phase will be deemed complete when DTPi delivers the requirements document. The client will then send DTPi, in writing, their acceptance of the requirements. This will direct DTPi to begin the customization phase of the project.

9.2 Phase II – Customization

This phase is performed completely at DTPi's facilities by DTPi's developers. The goal of this phase is to accurately incorporate all client requirements into the baseline WebGrants software. DTPi will periodically deploy the "work in progress" version of WebGrants to an internal server. The client will be given access to this server and will have the ability to test each incremental deployment as they become available. This iterative testing uncovers issues immediately after the DTPi developers deploy the code resulting in quicker correction.

This phase can be further broken down into the following steps:

9.2.1 Technical Architecture

DTPi will develop and document the technical architecture for the proposed solution and ensure that it complies with the client's standards and infrastructure. DTPi will ensure full compliance with client's Information Technology Enterprise Standards. DTPi will also deliver the integration method and protocol between the client's internal/legacy systems and WebGrants if applicable.

9.2.2 Implementation (Tailoring/Customization)

DTPi will develop the proposed solution employing industry best practices, software development standards, and the requirements determined in System Definition and Design phase.

Built into the WebGrants software is a complete issue tracking system. As each module is deployed, the client can record any issues identified directly in the WebGrants software itself. DTPi and the client will hold weekly meetings to discuss the status of all know issues.

In order to eliminate "scope creep", which can significantly delay a project, DTPi will work with the client to identify these enhancements and defer them to a later project.

9.2.3 Quality Assurance and Verification

DTPi will develop and document a comprehensive set of test scenarios. The client and DTPi together will execute the test plan to ensure compliance with the requirements defined in the Interactive System Definition and Design phase.

9.2.4 Phase Conclusion

This phase will be complete when DTPi corrects all critical and high issues and the client verifies the software meetings 100% of the requirements defined in the System Definition and Design phase.

9.3 Phase III – Deployment

In this final phase, DTPi will work with the client to ensure the software meets 100 percent of the requirements defined in the System Definition and Design phase. The goal of this phase to allow the client to verify and accept the software and place the software into production.

This phase can be further broken down into the following steps:

9.3.1 User Acceptance

This phase enables the client to verify system operations and ensure compliance with requirements defined in System Definition and Design phase. The client will have the opportunity to test the entire system from beginning to end and uncover any last remaining issues.

9.3.2 Installation

DTPi will deploy WebGrants in the designated production environment and ensure successful operations.

DTPi will work the client's own IT staff if the client is hosting the software.

9.4 Phase IV – Training

DTPi will also deliver all technical and user documentation. In addition, facilitate training sessions to ensure users are comfortable with the application.

Training can be provided onsite or offsite via web conferences. If training is occurring onsite, the client is responsible for all travel expenses.

APH and DTPi will collaborate to create a comprehensive training curriculum. The client's training methodology and best practices will be used to create all training courses and materials. DTPi will conduct user and administrator training sessions on a train the trainer basis. DTPi will train several key personnel who will then train the remaining personnel.

User Manuals and PowerPoint presentations will be delivered during this phase.

9.4.1 Method

DTPi personnel will conduct on-site training at client's facilities or offsite training via web conference before final software deployment. DTPi will utilize WebGrants software and data that mirrors the production system. A qualified WebGrants instructor who is familiar with APH's specific requirements and functionality will conduct training. Training will occur in a classroom setting covering all major modules and functionality of WebGrants. The instructor will lead the class through exercises that provide real world scenarios. One-on-one interaction with students will be provided as needed during the classes.

9.4.2 Scope

DTPi will train the following staff members at a minimum:

- Leading Application Users
- Application System Administrators
- Technical Operations and Administration Staff

APH has the option to identify additional resources that require training during the course of the project.

9.4.3 Materials

The DTPi trainer will deliver the course outline for each training session before the training day. This document will contain an outline of the training areas and exercises to be conducted during the class. This information will be customized to meet the specific training needs of APH. In addition, students will also receive:

- A copy of the WebGrants User's Guide. WebGrants also has context sensitive and screen level online help.
- Application Administrator will receive the Administrator's Guide.
- Operations personnel in charge of server and database maintenance will receive the Operations Guide.

9.5 Phase V – Maintenance and Support

DTPi is available to provide telephone, email, and on-site support for APH's WebGrants installation post implementation. DTPi will maintain and support the base WebGrants code and all tailoring and customizations applied during the customization phase of this project if an Annual Maintenance and Support plan is purchased.

DTPi offers a very cost-effective Annual Maintenance and Support plan for the WebGrants solution. This plan adequately addresses the maintenance and support requirements associated with a typical WebGrants implementation. Pricing for the standard WebGrants Annual Maintenance and Support plan is included in the cost proposal. If the client elects to purchase the WebGrants Annual Maintenance and Support plan then the client is entitled to the following maintenance services:

- Phone and Email support Monday-Friday 8-6
- Support for Error Corrections (see definition below)
- Access to all Patches (patches developed internally by DTPi to address core software issues like security, performance, etc)
- Access to new versions/upgrades
- Limited modifications/enhancements per month (see below)

Response Time: During Business Hours, the response time is immediate and after hours, response time is typically 1 to 2 hours. DTPi staff can be contacted via their cell phones.

Support Mechanism: Standard support is provided remotely from DTPi's location and requires access (Internet, and/or VPN) to the client's system. Depending on the nature of the client's data and in-house infrastructure, DTPi will work with the internal technical staff to determine the most appropriate mechanism for gaining access to the system remotely. Industry standard remote access mechanisms (available with MS Windows, etc.) will be used and typically do not require any additional software and/or hardware. With remote access DTPi support technicians will have the ability to log in to client's systems to troubleshoot and diagnose the majority of issues.

On-site Support: DTPi personnel are available to provide on-site support providing the client reimburse all associated travel costs. Depending on the nature of the support (i.e. if not typical and specialized in nature) client may also be responsible for time and materials costs.

City of Austin
SMBR
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GOAL DETERMINATION REQUEST FORM

Buyer Name/Phone	Elisa Folco/512-974-1421	**PM Name/Phone**	Kola Olatunde/512-972-5830
Sponsor/User Dept.	Health Department	**Sponsor Name/Phone**	Kola Olatunde/512-972-5830
Solicitation No	ELF0302	**Project Name**	Contract Management & Development System
Contract Amount	$471,774.00	**Ad Date (if applicable)**	05/29/17 06/05/17

Procurement Type

- ☐ AD – CSP
- ☐ AD – Design Build Op Maint
- ☐ IFB – IDIQ
- ☒ Nonprofessional Services
- ☐ Critical Business Need
- ☐ Sole Source*
- ☐ AD – CM@R
- ☐ AD – JOC
- ☐ PS – Project Specific
- ☐ Commodities/Goods
- ☐ Interlocal Agreement
- ☐ AD – Design Build
- ☐ IFB – Construction
- ☐ PS – Rotation List
- ☐ Cooperative Agreement
- ☐ Ratification

Provide Project Description**

This request for proposal (RFP) by the City of Austin (City), on behalf of Austin Public Health (APH) seeks proposal for a contract management and development system. The needed contract management should be capable of the following:

- To align the needs of the Social Service Policy Unit with Austin Public Health strategic goals through the use of an efficient system that allows faster resolution of contract related activities
- To provide a single, outward-facing cloud-based portal for social service vendors to access, create, and maintain contract-related documents, eligible expenditures, invoicing, supporting documentation, performance reporting, and various organizational related risk management documents
- To provide a secure web application for contracted vendors and internal staff with clear workflow management.
- To provide a replacement for the current contract management system Community Impact Online Data Manager at the end of its lifecycle
- To provide a system with reporting capabilities where the reports may be designed to list the contracts, vendors with current status. This reporting should have capability to list any contract (e.g., exhibit), city (e.g. SVI), and/or grant required (e.g., RW) etc.
- To provide an application with form and field design capabilities whereby expressions may be added within field properties (i.e., validation, calculation, and population of other fields within form based on selected field response)
- To provide an application with flexible report design capabilities to accommodate future growing needs of the contact management system.
- The web based application should have ability to allow large volume of users accessing it concurrently.
- The web application must be able to upload contract files like Tender Documents that are at least 25MB and above in size
- The application should have strong security features like role based access to limit the vendors and other supporting staff to operate on only required features while the administrator and senior management having the entire access privileges to host, approve and cancel the tenders.

The Contract Management and development solution, when completed in approximately one (1) year, will be supporting the Social Services and Policy Unit (SSPU) and its affiliates

Project History: Was a solicitation previously issued; if so were goals established? Were subcontractors/subconsultants utilized? Include prior Solicitation No.

No previous solicitation.

City of Austin SMBR Small & Minority Business Resources

GOAL DETERMINATION REQUEST FORM

List the scopes of work (commodity codes) for this project. ***(Attach commodity breakdown by percentage; eCAPRIS printout acceptable)***	
Commodity Code 20811, 100%	
Elisa Folco	4/27/2017
Buyer Confirmation	**Date**

** Sole Source must include Certificate of Exemption*
***Project Description not required for Sole Source*

FOR SMBR USE ONLY			
Date Received	6/9/2017	**Date Assigned to BDC**	6/9/2017
In accordance with Chapter2-9(A-D)-19 of the Austin City Code, SMBR makes the following determination:			
☐ Goals	% MBE	% WBE	
☐ Subgoals	% African American	% Hispanic	
	% Asian/Native American	% WBE	
☐ Exempt from MBE/WBE Procurement Program	☒ No Goals		

City of Austin SMBR Small & Minority Business Resources

GOAL DETERMINATION REQUEST FORM

This determination is based upon the following:	
☐ Insufficient availability of M/WBEs ☐ Insufficient subcontracting opportunities ☐ Sufficient availability of M/WBEs ☐ Sole Source	☐ No availability of M/WBEs ☒ No subcontracting opportunities ☐ Sufficient subcontracting opportunities ☐ Other
If Other was selected, provide reasoning:	
MBE/WBE/DBE Availability	
There are 3 MBE and 3 WBE firms that may possibly bid as prime.	
Subcontracting Opportunities Identified	
No subcontracting opportunities identified for this solicitation.	

Rachelle Delouis	
SMBR Staff	**Signature/ Date**
	6/9/17
SMBR Director or Designee	**Date** 6/10/17
Returned to/ Date:	