

Request for Proposal



**City of Minneapolis
Public Works Department
Solid Waste Information System
And Technical Proof of Concept
RFP 2016-64**

Issue Date: Monday, May 9, 2016

Proposals Due: Thursday, June 16, 2016 – 1 pm CT

May 9, 2016

To Whom It May Concern:

Attached is a Request for Proposal for a Solid Waste Information System (SWIS) Technical Proof of Concept and Replacement System. These services are needed for the Public Works Department, Solid Waste and Recycling Division. Please consider submitting a proposal for providing these services if your firm meets the qualifications and is available. Please review the RFP for details.

Proposals are due no later than 1 pm CT, Thursday, June 16, 2016. A pre-proposal conference will be held Wednesday, May 18, 2016, 1 pm CT, Minneapolis City Hall, Room 319, 350 South 5th St., Minneapolis.

Thank you for your consideration,

Otto Doll
Chief Information Officer
Information Technology Department

Table of Contents

RFP General Information	Page
Table of Contents.....	3
I. Invitation.....	4
II. Pre-Proposal Conference.....	5
III. Proposal Due Date and Location	5
IV. Proposal Format	5
V. Evaluation of Proposals – Selection of Consultant.....	6
VI. Demonstration of City Specified Use Cases	7
VII. Selection Process for Technical Proof of Concept/SWIS Replacement System	7
VIII. Schedule	8
IX. Contract.....	8
X. Equity and Inclusion.....	8
XI. Department Contact/Requests for Clarification	9
XII. Rejection of Proposals.....	9
XIII. Addendum to the RFP	9
Exhibit A - General Conditions for Request for Proposals (RFP).....	10
Exhibit B - Scope of Services	23
Exhibit C - Service Levels and Disaster Recovery.....	26

Appendices (Under Separate Cover)

Appendix I – Requirements Matrix

Appendix II – Access Databases

Appendix III – As-Is Technology Environment

Appendix IV - Integrations

Attachment I – SWIS As-Is Visio

Attachment II – Dirty Collection Point Use Case

**Request for Proposals
For
Solid Waste Information System (SWIS)
and Technical Proof of Concept**

I. Invitation

The City of Minneapolis is the largest city in the State of Minnesota and is home to approximately 400,000 residents. The City of Minneapolis Department of Public Works, Solid Waste and Recycling Division, provides solid waste management services to approximately 105,000 residential customers and a small number of commercial and municipal customers.

The Public Works Department's Solid Waste Information System (SWIS) has been in production since 2002. SWIS is an address based work order system that manages routes for the pick-up and removal of solid waste, recycling, organics, problem materials, mattresses, and yard waste. In addition, it tracks carts and schedules maintenance and replacement of carts, records tags, issues work orders, vouchers and letters and exchanges information to other internal and external systems. SWIS, a custom application since its inception, utilizes function keys, validates data, and other smart technology to provide the user with speed of data entry, and agile movement between modules, resulting in a quick response time to customer queries and complaints, and an overall efficient work process for the SWIS user.

Although SWIS is an efficient, effective System for users, the current SWIS system was developed on Swing GUI, Custom Framework, and JBoss environment, and, as stated above, was a highly customized product since its inception. It has become increasingly difficult to find computer specialists able to make enhancements and corrections to such outdated technology. SWIS users desire to take advantage of newer technology for the core system, including the potential to add mobile capability. SWIS users understand the need for a replacement system but are apprehensive about losing functionality, specifically speed and ease of data entry and navigation, and the ability to validate data.

To accommodate this concern, the City is soliciting proposals from qualified Consultants to provide a Technical Proof of Concept. A Technical Proof of Concept will take a subset of requirements for one use case to confirm the solution meets the projects objectives. The Technical Proof of Concept phase is the first phase in the development of a SWIS replacement system. The primary objective of this phase is to evaluate the viability of using ServiceNow as the platform for the new SWIS replacement system. If the City accepts the Technical Proof of Concept, the scope of the project would expand to include implementation of a SWIS replacement System (using ServiceNow software), along with ancillary services.

See Exhibit B – Scope of Services and Appendix I – Requirements Matrix for a description of services required.

II. Pre-Proposal Conference

Prior to submitting proposals, all interested Consultants are strongly encouraged to have a representative attend the optional pre-proposal conference to answer any questions related to Exhibit B – Scope of Services and the intent of the Request. The pre-proposal conference will be held Wednesday, May 18, 2016, 1 pm CT, Minneapolis City Hall, Room 319, 350 South 5th St., Minneapolis.

Answers to all questions will be posted to the City’s website <http://www.minneapolismn.gov/finance/procurement/rfp>, on Friday, June 3, 2016.

III. Proposal Due Date and Location

Consultant shall submit an electronic copy of the business proposal with attachments and a price proposal in two separate electronic files to: RFP.Responses@MinneapolisMN.gov. Deliver ten (10) hard copies of the business proposal with attachments and one price proposal to:

City of Minneapolis - Procurement
Request for Proposals for: Public Works SWIS Replacement System
and Technical Proof of Concept
330 2nd Avenue South, Suite 552
Minneapolis, MN 55401

Proposals must be submitted by Thursday, June 16, 2016, 1pm CT. Note: Late proposals may not be accepted.

IV. Proposal Format

The proposal will set forth full and accurate information as required by this RFP. Proposals must be prepared on 8 1/2” x 11” letter size paper (preferably recycled), printed double-sided, and bound on the long side. The City encourages using reusable and recyclable printed materials for proposals prepared in connection with this solicitation.

To allow for easier comparison of proposals during evaluation, proposals should contain the following information in the order listed below.

Contact Information:

- Name of company and website address
- Company’s point of contact including contact information

Company Profile:

- General overview of the company’s history
- Management and structure of the company
- Percentage of dedicated full-time employees vs. independent contractors

Executive Summary:

- A clear statement of the Consultant’s understanding of the RFP including a brief summary of the Scope of Services
- Experience with ServiceNow software

Company References:

- Provide three (3) current references

Business Proposal:

- Submit your Business Proposal

Pricing Proposal:

- Submit your Pricing Proposal for the Technical Proof of Concept
- Submit your pricing structure and rates for the SWIS replacement system

V. Evaluation of Proposals – Selection of Consultant

Proposals will be reviewed by an evaluation team made up of representatives of the City of Minneapolis. The team may select a “short list” of consultants for final consideration who will be formally interviewed, as deemed necessary by the City. Proposals will be evaluated on:

- Company Profile
- Executive Summary
- Company References
- Business Proposal and Notice of Interest (see Section X - Equity and Inclusion)
- Pricing Proposal for the Technical Proof of Concept using ServiceNow Software
- Pricing structure and rates for SWIS Replacement System using ServiceNow software
- Explanation of how module configuration and updates to module configuration will be documented during implementation and while in production
- Acceptance of City’s RFP Terms and Conditions (Exhibit A)
- Response to the Scope of Services (Exhibit B)
- Response to Appendix I, Business Requirements Matrix for a SWIS Replacement System

VI. Demonstration of City Specified Use Cases

Based on the response to this RFP, and other Evaluation Criteria specified herein, the City will select up to three Consultants to provide a demonstration of City Specified Use Cases. This demonstration is not the Technical Proof of Concept. This presentation will be considered part of the Consultant's offering. Specifically, the City requests the presentation to be led by the Project Manager who will be assigned to the proposed project. Furthermore, the City requests the actual members of the project team (including any sub-Consultants) participate in the formal presentation. Prior to the on-site demonstrations, selected Consultants will be provided with an agenda. Presentations will be evaluated on how well they correspond to the agenda. The Evaluation Panel will schedule and arrange for the presentations.

The Presentation/Interview of the "short listed" Consultants will consist of the following elements:

1. Demonstration of City specified Use Cases provided at the time of selection.
2. Discussion of the Consultant's approach to providing services for this Project based upon the Scope of Services and Requirements Matrix described herein.
3. Overview of the Consultant's experience as related to the Scope of Services, including qualifications and experience of assigned staff.

VII. Selection Process for Technical Proof of Concept/SWIS Replacement System

- Based on the Consultant's presentation of the Use Cases described in Section VI – Demonstration of City Specified Use Cases and other Evaluation Criteria specified in this RFP (Section V – Evaluation of Proposals – Selection of Vendor), the City will select and pay for one Consultant to provide a Technical Proof of Concept. The Technical Proof of Concept Use Case is attached to this RFP. The City expects the Consultant to provide a demonstration of their solution for the Technical Proof of Concept Use Case using ServiceNow software. See Exhibit B - Scope of Services and Attachment II - Dirty Collection Point (DCP) Proof of Concept Use Case.
- Based on the demonstration of the Technical Proof of Concept and the Evaluation Criteria specified in this RFP, the City will accept or reject the Technical Proof of Concept offered.
- If the City accepts the Technical Proof of Concept, the scope would expand, and the Consultant would hold the contract for the SWIS replacement system as well.
- If the City rejects the Technical Proof of Concept, the City may select the second most qualified Consultant to provide a Technical Proof of Concept or the City may decide to re-issue the RFP.

VIII. Schedule

The following is a listing of key proposal and Project milestones:

Issue RFP	Monday, May 9, 2016
Pre-Proposal Conference	Wednesday, May 18, 2016 1 pm CT 350 South 5 th Street, Room 319 Minneapolis, MN
Questions Due	Thursday, May 26, 2016 Noon
Equity Notice of Interest Due	Thursday, May 26, 2016 Noon
Answers Posted	Friday, June 3, 2016
Equity Notice of Interest Posted	Friday, June 3, 2016
Proposal Due	Thursday, June 16, 2016 , 1pm CT
Proposal Review	Week of June 20, 2016
Demonstrations	Week of July 18, 2016

IX. Contract

The contracting parties will be the City of Minneapolis and the Consultant selected to provide the professional services as described herein. The selected proposals and exhibits, along with the RFP, will be incorporated into a formal agreement after negotiations. It is the intent of the City to award a contract to one (1) qualified consultant to provide a Technical Proof of Concept. This contract would include the ability to expand the scope, at the sole discretion of the City, and include the SWIS replacement project, in its entirety, should the Proof of Concept be accepted. The contract shall be for a term of three (3) years, with the sole option of the City to extend the contract two (2) additional one-year terms or one additional two-year term.

X. Equity and Inclusion

The City is committed to minority and women owned business inclusion on City projects. In addition to the Small and Underutilized Business Program (Section 28 of the General Terms and Conditions of this RFP), minority and women owned businesses that cannot satisfy all of the requirements of the RFP may submit a Notice of Interest to partner with a Consultant. The Notice of Interest shall be a short description (1 page or less) of how the business can provide a portion of the services in partnership with a Consultant.

The Notice of Interest must be submitted to the Contract Administrator, as specified in Section XI - Department Contact/Requests for Clarification by the deadline set forth in Section VIII – Schedule of this RFP. The City will issue an addendum to the RFP per Section XIII – Addendum to the RFP. This addendum will include all Notice of Interest(s) received. Consultants shall take action to subcontract a portion

of services to interested minority and women owned businesses. Efforts to use or use of minority or women owned businesses will be part of the evaluation criteria.

XI. Department Contact/Requests for Clarification

The Consultant's primary interface with the City will be with the Contract Administrator who will act as the City's designated representative. Prospective consultants shall direct inquiries/questions **in writing only** to:

ITContractAdministrator@MinneapolisMN.gov

All questions are due per Section VIII - Schedule. Responses to the questions will be posted per Section XIII – Addendum to the RFP.

The Contract Administrator is the only individual who can be contacted regarding the RFP before proposals are submitted and cannot vary the terms of the RFP.

XII. Rejection of Proposals

The City of Minneapolis reserves the right to reject any or all proposals on the basis of the submittals, to waive technicalities or irregularities, and to accept any proposal it deems to be in the best interest of the City. This RFP doesn't commit the City to award any contract. The City of Minneapolis shall not be liable for any costs incurred by any firm responding to this RFP.

XIII. Addendum to the RFP

If any addendum is issued for this RFP, it will be posted on the City of Minneapolis web site: <http://www.minneapolismn.gov/finance/procurement/rfp>. The City reserves the right to cancel or amend the RFP at any time.

Exhibit A - General Conditions for Request for Proposals (RFP)

Revised: December 2015

The General Conditions are terms and conditions that the City expects all of its Consultants to meet. The Consultant agrees to be bound by these requirements unless otherwise noted in the Proposal.

1. City's Rights

The City reserves the right to reject any or all proposals or parts of proposals, to accept part or all of proposals on the basis of considerations other than lowest cost, and to create a project of lesser or greater expense and reimbursement than described in the Request for Proposal, or the respondent's reply based on the component prices submitted.

2. Equal Opportunity Statement

The Consultant agrees to comply with applicable provisions of applicable federal, state and city regulations, statutes and ordinances pertaining to the civil rights and non-discrimination in the application for and employment of applicants, employees, subConsultants and suppliers of the Consultant. Among the federal, state and city statutes and ordinances to which the Consultant shall be subject under the terms of this Contract include, without limitation, Minnesota Statutes, section 181.59 and Chapter 363A, Minneapolis Code of Ordinances Chapter 139, 42 U.S.C Section 2000e, et. seq. (Title VII of the Civil Rights Act of 1964), 29 U.S.C Sections 621-624 (the Age Discrimination in Employment Act), 42 U.S.C Sections 12101-12213 (the Americans with Disability Act or ADA), 29 U.S.C Section 206(d) (the Equal Pay Act), 8 U.S.C Section 1324 (the Immigration Reform and Control Act of 1986) and all regulations and policies promulgated to enforce these laws. The Consultant shall have submitted and had an "affirmative action plan" approved by the City prior to entering into a Contract.

3. Insurance

Insurance secured by the Consultant shall be issued by insurance companies acceptable to the City and admitted in Minnesota. The insurance specified may be in a policy or policies of insurance, primary or excess. Such insurance shall be in force on the date of execution of the Contract and shall remain continuously in force for the duration of the Contract.

Acceptance of the insurance by the City shall not relieve, limit or decrease the liability of the Consultant. Any policy deductibles or retention shall be the responsibility of the Consultant. The Consultant shall control any special or unusual hazards and be responsible for any damages that result from those hazards. The City does not represent that the insurance requirements are sufficient to protect the Consultant's interest or provide adequate coverage. Evidence of coverage is to be provided on a current ACORD Form. A thirty (30) day written notice is required if the policy is canceled, not renewed or materially changed. The Consultant shall

require any of its subConsultants, if sub-contracting is allowable under this Contract, to comply with these provisions, or the Consultant will assume full liability of the subConsultants.

The Consultant and its subConsultants shall secure and maintain the following insurance:

- a) **Workers Compensation** insurance that meets the statutory obligations with Coverage B- Employers Liability limits of at least \$100,000 each accident, \$500,000 disease - policy limit and \$100,000 disease each employee.
- b) **Commercial General Liability** insurance with limits of at least \$2,000,000 general aggregate, \$2,000,000 products - completed operations \$2,000,000 personal and advertising injury, \$100,000 each occurrence fire damage and \$10,000 medical expense any one person. The policy shall be on an "occurrence" basis, shall include contractual liability coverage and the City shall be named an additional insured. The amount of coverage will be automatically increased if the project amount is expected to exceed \$2,000,000 or involves potentially high risk activity.
- c) **Commercial Automobile Liability** insurance covering all owned, non-owned and hired automobiles with limits of at least \$1,000,000 per accident.
- d) **Professional Liability** Insurance or Errors & Omissions Insurance providing coverage for 1) the claims that arise from the errors or omissions of the Consultant or its subConsultants and 2) the negligence or failure to render a professional service by the Consultant or its subConsultants. The insurance policy should provide coverage in the amount of \$2,000,000 each claim and \$2,000,000 annual aggregate. The insurance policy must provide the protection stated for two years after completion of the work.
- e) **Network Security and Privacy Liability** for the duration of this agreement providing coverage for, but not limited to, Technology and Internet Errors & Omissions, Security and Privacy Liability, and Media Liability. Insurance will provide coverage against claims that arise from the disclosure of private information from files including but not limited to: 1) Intentional, fraudulent or criminal acts of the Consultant, its agents or employees. 2) Breach of the City's private data, whether electronic or otherwise. The insurance policy should provide minimum coverage in the amount of \$1,000,000 per occurrence and \$2,000,000 annual aggregate. If written on a Claims-Made basis, the policy must remain in continuous effect for at least 3 years after the service is provided or include a 3 year extended reporting period.

4. Hold Harmless

The Consultant will defend, indemnify and hold harmless the City and its officers and employees from all liabilities, claims, damages, costs, judgments, lawsuits and expenses, including court costs and reasonable attorney's fees regardless of the Consultant's insurance coverage, arising directly from any negligent act or omission of the Consultant, its employees, agents, by any sub-Consultant or sub-Consultant, and by any employees of the sub-Consultants and sub-Consultants of the Consultant, in the performance of work and delivery of services provided by or

through this Contract or by reason of the failure of the Consultant to perform, in any respect, any of its obligations under this Contract.

The City will defend, indemnify and hold harmless the Consultant and its employees from all liabilities, claims, damages, costs, judgments, lawsuits and expenses including court costs and reasonable attorney's fees arising directly from the negligent acts and omissions of the City by reason of the failure of the City to perform its obligations under this Contract. The provisions of the Minnesota Statutes, Chapter 466 shall apply to any tort claims brought against the City as a result of this Contract.

Except as provided in the section titled Data Practices, neither party will be responsible for or be required to defend any consequential, indirect or punitive damage claims brought against the other party.

5. Subcontracting

The Consultant shall provide written notice to the City and obtain the City's authorization to sub-contract any work or services to be provided to the City pursuant to this Contract. As required by Minnesota Statutes, Section 471.425, the Consultant shall pay all subConsultants for subConsultant's undisputed, completed work, within ten (10) days after the Consultant has received payment from the City.

6. Assignment or Transfer of Interest

The Consultant shall not assign any interest in the Contract, and shall not transfer any interest in the same either by assignment or novation without the prior written approval of the City. The Consultant shall not subcontract any services under this Contract without prior written approval of the City Department Contract Manager designated herein.

7. General Compliance

The Consultant agrees to comply with all applicable Federal, State and local laws and regulations governing funds provided under the Contract.

8. Performance Monitoring

The City will monitor the performance of the Consultant against goals and performance standards required herein. Substandard performance as determined by the City will constitute non-compliance with this Contract. If action to correct such substandard performance is not taken by the Consultant within a reasonable period of time to cure such substantial performance after being notified by the City, Contract termination procedures will be initiated. All work submitted by Consultant shall be subject to the approval and acceptance by the City Department Contract Manager designated herein. The City Department Contract Manager designated herein shall review each portion of the work when certified as complete and submitted by the Consultant and shall inform the Consultant of any apparent deficiencies, defects, or incomplete work, at any stage of the project.

9. Prior Uncured Defaults

Pursuant to Section 18.115 of the City's Code of Ordinances, the City may not contract with persons or entities that have defaulted under a previous contract or agreement with the City and have failed to cure the default.

10. Independent Consultant

Nothing contained in this Contract is intended to, or shall be construed in any manner, as creating or establishing the relationship of employer/employee between the parties. The Consultant shall at all times remain an independent Consultant with respect to the work and/or services to be performed under this Contract. Any and all employees of Consultant or other persons engaged in the performance of any work or services required by Consultant under this Contract shall be considered employees or subConsultants of the Consultant only and not of the City; and any and all claims that might arise, including Worker's Compensation claims under the Worker's Compensation Act of the State of Minnesota or any other state, on behalf of said employees or other persons while so engaged in any of the work or services to be rendered or provided herein, shall be the sole obligation and responsibility of the Consultant.

11. Accounting Standards

The Consultant agrees to maintain the necessary source documentation and enforce sufficient internal controls as dictated by generally accepted accounting practices (GAAP) to properly account for expenses incurred under this Contract.

12. Retention of Records

The Consultant shall retain all records pertinent to expenditures incurred under this Contract in a legible form for a period of six years commencing after the later of contract close-out or resolution of all audit findings. Records for non-expendable property acquired with funds under this Contract shall be retained for six years after final disposition of such property.

13. Data Practices

The Consultant agrees to comply with the Minnesota Government Data Practices Act (Minnesota Statutes, Chapter 13) and all other applicable state and federal laws relating to data privacy or confidentiality. The Consultant and any of the Consultant's sub-Consultants or sub-Consultants retained to provide services under this Contract shall comply with the Act and be subject to penalties for non-compliance as though they were a "governmental entity." The Consultant must immediately report to the City any requests from third parties for information relating to this Contract. The City agrees to promptly respond to inquiries from the Consultant concerning data requests. The Consultant agrees to hold the City, its officers, and employees harmless from any claims resulting from the Consultant's unlawful disclosure or use of data protected under state and federal laws.

All Proposals shall be treated as non-public information until the Proposals are opened for review by the City. At that time, the names of the responders become public data. All other data is private or non-public until the City has completed negotiating the Contract with the selected Consultant(s). At that time, the proposals and their contents become public data under the provisions of the Minnesota Government Data Practices Act, Minnesota Statutes, Chapter 13 and as such are open for public review.

14. Inspection of Records

Pursuant to Minnesota Statutes, Section 16C.05, all Consultant payroll and expense records with respect to any matters covered by this Contract shall be made available to the City and the State of Minnesota, Office of the State Auditor, or their designees upon notice, at any time during normal business hours, as often as the City deems necessary, to audit, examine, and make excerpts or transcripts of all relevant data.

15. Living Wage Ordinance

The Consultant may be required to comply with the “[Minneapolis Living Wage and Responsible Public Spending Ordinance](http://www.minneapolismn.gov/www/groups/public/@finance/documents/webcontent/convert_255695.pdf)” (http://www.minneapolismn.gov/www/groups/public/@finance/documents/webcontent/convert_255695.pdf), Chapter 38 of the City’s Code of Ordinances (the “Ordinance”). Unless otherwise exempt from the ordinance as provided in Section 38.40 (c), any City contract for services valued at \$100,000 or more or any City financial assistance or subsidy valued at \$100,000 or more will be subject to the Ordinance’s requirement that the Consultant and its subConsultants pay their employees a “living wage” as defined and provided for in the Ordinance.

16. Applicable Law

The laws of the State of Minnesota shall govern all interpretations of this Contract, and the appropriate venue and jurisdiction for any litigation which may arise hereunder will be in those courts located within the County of Hennepin, State of Minnesota, regardless of the place of business, residence or incorporation of the Consultant.

17. Conflict and Priority

In the event that a conflict is found between provisions in this Contract, the Consultant's Proposal or the City's Request for Proposals, the provisions in the following rank order shall take precedence: 1) Contract; 2) Proposal; and last 3) Request for Proposals (only for Contracts awarded using RFP).

18. Travel

If travel by the Consultant is allowable and approved for this Contract, then Consultant travel expenses shall be reimbursed in accordance with the

City's [Consultant Travel Reimbursement Conditions](http://www.minneapolis.gov/www/groups/public/@finance/documents/webcontent/wcms1p-096175.pdf) (<http://www.minneapolis.gov/www/groups/public/@finance/documents/webcontent/wcms1p-096175.pdf>).

19. Billboard Advertising

City Code of Ordinance 544.120, prohibits the use of City and City-derived funds to pay for billboard advertising as a part of a City project or undertaking.

20. Conflict of Interest/Code of Ethics

Pursuant to Section 15.250 of the City's Code of Ordinances, both the City and the Consultant are required to comply with the City's Code of Ethics. Chapter 15 of the Code of Ordinances requires City officials and the Consultant to avoid any situation that may give rise to a "conflict of interest." A "conflict of interest" will arise if Consultant represents any other party or other client whose interests are adverse to the interests of the City.

As it applies to the Consultant, the City's Code of Ethics will also apply to the Consultant in its role as an "interested person" since Consultant has a direct financial interest in this Agreement. The City's Code of Ethics prevents "interested persons" from giving certain gifts to employees and elected officials.

21. Termination, Default and Remedies

The City may cancel this Contract for any reason without cause upon thirty (30) days' written notice. Both the City and the Consultant may terminate this Contract upon sixty (60) days' written notice if either party fails to fulfill its obligations under the Contract in a proper and timely manner, or otherwise violates the terms of this Contract. The non-defaulting party shall have the right to terminate this Contract, if the default has not been cured after ten (10) days' written notice or such other reasonable time period to cure the default has been provided. If termination shall be without cause, the City shall pay Consultant all compensation earned to the date of termination. If the termination shall be for breach of this Contract by Consultant, the City shall pay Consultant all compensation earned prior to the date of termination minus any damages and costs incurred by the City as a result of the breach. If the Contract is canceled or terminated, all finished or unfinished documents, data, studies, surveys, maps, models, photographs, reports or other materials prepared by the Consultant under this Contract shall, at the option of the City, become the property of the City, and the Consultant shall be entitled to receive just and equitable compensation for any satisfactory work completed on such documents or materials prior to the termination.

Notwithstanding the above, the Consultant shall not be relieved of liability to the City for damages sustained by the City as a result of any breach of this Contract by the Consultant. The City may, in such event, withhold payments due to the Consultant for the purpose of set-off until such time as the exact amount of damages due to the City is determined. The rights or remedies provided for herein shall not

limit the City, in case of any default by the Consultant, from asserting any other right or remedy allowed by law, equity, or by statute. The Consultant has not waived any rights or defenses in seeking any amounts withheld by the City or any damages due the Consultant.

22. Ownership of Materials

All finished or unfinished documents, data, studies, surveys, maps, models, photographs, reports or other materials resulting from this Contract shall become the property of the City upon the City's payment for and final approval of the final report or upon payment and request by the City at any time before then. The City at its own risk, may use, extend, or enlarge any document produced under this Contract without the consent, permission of, or further compensation to the Consultant.

23. Intellectual Property

All Work produced by the Consultant under this Contract is classified as "work for hire" and upon payment by the City to the Consultant will be the exclusive property of the City and will be surrendered to the City immediately upon completion, expiration, or cancellation of this Contract. "Work" covered includes all reports, notes, studies, photographs, designs, drawings, specifications, materials, tapes or other media and any databases established to store or retain the Work. The Consultant may retain a copy of the work for its files in order to engage in future consultation with the City and to satisfy professional records retention standards. The Consultant represents and warrants that the Work does not and will not infringe upon any intellectual property rights of other persons or entities.

Each party acknowledges and agrees that each party is the sole and exclusive owner of all right, title, and interest in and to its services, products, software, source and object code, specifications, designs, techniques, concepts, improvements, discoveries and inventions including all intellectual property rights thereto, including without limitations any modifications, improvements, or derivative works thereof, created prior to, or independently, during the terms of this Contract. This Contract does not affect the ownership of each party's pre-existing, intellectual property. Each party further acknowledges that it acquires no rights under this Contract to the other party's pre-existing intellectual property, other than any limited right explicitly granted in this Contract.

24. Equal Benefits Ordinance

Minneapolis Code of Ordinances, Section 18.200, relating to equal benefits for domestic partners, applies to each Consultant and subConsultant with 21 or more employees that enters into a "contract", as defined by the ordinance that exceeds \$100,000. The categories to which the ordinance applies are personal services; the sale or purchase of supplies, materials, equipment or the rental thereof; and the construction, alteration, repair or maintenance of personal property. The categories to which the ordinance does not apply include real property and development contracts.

Please be aware that if a “contract”, as defined by the ordinance, initially does not exceed \$100,000, but is later modified so the Contract does exceed \$100,000, the ordinance will then apply to the Contract. A complete text of the ordinance is available at: http://www.minneapolismn.gov/www/groups/public/@finance/documents/w/bcontent/convert_261694.pdf

It is the Consultant’s and subConsultant’s responsibility to review and understand the requirements and applicability of this ordinance.

25. City Ownership and Use of Data

The City has adopted an Open Data Policy (“Policy”). The City owns all Data Sets as part of its compliance with this Policy. Data Sets means statistical or factual information: (a) contained in structural data sets; and (b) regularly created or maintained by or on behalf of the City or a City department which supports or contributes to the delivery of services, programs, and functions. The City shall not only retain ownership of all City Data Sets, but also all information or data created through the City’s use of the software and /or software applications licensed by the Consultant (or any subConsultant of sub-Consultant of the Consultant) to the City.

The City shall also retain the right to publish all data, information and Data Sets independently of this Contract with the Consultant and any of Consultant’s subConsultants or sub-Consultants involved in providing the Services, using whatever means the City deems appropriate.

The City shall have the right to access all data, regardless of which party created the content and for whatever purpose it was created. The Consultant shall provide bulk extracts that meet the public release criteria for use in and within an open data solution. The Consultant shall permit and allow free access to City information and Data Sets by using a method that is automatic and repeatable. The Data Sets shall permit classification at the field level in order to exclude certain data.

26. Audit Requirements for Cloud-Based Storage of City Data

If the Consultant’s services include the storage of City data using a cloud based solution, then the Consultant agrees to secure the data as though it were “private data” as defined in Minnesota Statutes, Chapter 13. The Consultant shall provide the City with the annual copy of the Federal Standards for the Statement on Standards for Attestation Engagements (SSAE) No. 16 or the International Standard on Assurance Engagements (ISAE) No. 3402. The Consultant agrees to provide a .pdf copy to the City’s Contract Manager, upon the Consultant’s receipt of the audit results.

27. Small & Underutilized Business Program (SUBP) Requirements

The City of Minneapolis policy is to provide equal opportunities to all businesses, with an effort to redress discrimination in the City's marketplace and in public contracting against Minority-Owned Business Enterprises (MBEs) and Women-Owned Business Enterprises (WBEs). The SUBP requirements detailed in the Minneapolis Code of Ordinances Chapter 423.50 applies to any professional or technical Service contract in excess of \$100,000. SUBP goals are set on contracts based on project scope, subcontracting opportunities and availability of qualified MBEs/WBEs.

There are no SUBP goals on this RFP. However, if there are subcontracting opportunities later identified, Consultant shall inform the Contract Manager to obtain authorization as stated under the section titled "Subcontracting" of the Terms and Conditions. Consultant shall take action to afford MBEs and WBEs full and fair opportunities to compete on this contract and resulting subcontracts. To locate certified MBEs and WBEs under the Minnesota Uniform Certification Program (MnUCP), please visit <http://mnucp.metc.state.mn.us/> or contact contractcompliance@minneapolismn.gov.

28. Click Wrap

The terms and conditions of any contract resulting from the RFP take precedence over any conflicting Consultant license terms and conditions including those found in Consultant's or a Third Party's Software Click Wrap license, whether presented in writing or electronically; whether presented prior to or subsequent to executing this Contract. City and its users shall not be bound by the terms of a Click Wrap license encountered during installation or at any time thereafter, even if City users click 'Accept' in order to continue using the software.

29. Software Audit Rights

In lieu of any audit provisions in the license agreement and no more than once annually, Consultant may require City to perform an internal audit and City will use its best efforts to keep full and accurate accounts that may be used to properly ascertain and verify numbers of licenses in use. Consultant shall not impose any fees upon City for this internal audit to be performed. Should City's internal audit reveal that it is out of license compliance, City shall have the right to either, a) de-install the offending software without penalty or fee from Consultant or its third parties, or b) pay to Consultant the fees owed, based upon the rates established in this agreement, to obtain license compliance. No additional fees or penalties shall be applied, either retroactively or otherwise.

30. Warranty

The Consultant warrants and implies that the items delivered hereunder are merchantable and fit for use for the particular purpose described in this Contract.

CONSULTANT WARRANTS FOR ONE (1) YEAR FROM THE DATE ON WHICH THE SOFTWARE SPECIFIED IN A DELIVERY ORDER

DOCUMENT IS FIRST USED IN PRODUCTION BY CITY THAT THE SOFTWARE WILL PERFORM IN ALL MATERIAL RESPECTS THE FUNCTIONS DESCRIBED IN THE DOCUMENTATION WHEN OPERATED IN ACCORDANCE WITH (a) THE DOCUMENTATION ON A SUPPORTED PLATFORM [OR] (b) IN THE CITY REQUIREMENTS SPECIFIED IN THE CITY SOLICITATION.

31. Transfer Rights

The City shall have the right, without the prior written consent of the software’s publisher or its authorized resellers, to assign, reassign, or transfer software licenses or City’s rights in the software to an “Affiliate” of City, to include any governmental organization that is managed, operated or controlled by the City.

32. Third Party Software

Consultant has obtained all necessary licenses for City to use any Third Party Materials (including without limitation, all Open Source licenses) provided with Consultant’s Software and Managed Services. Consultant complies with and shall continue to comply with all third party licenses (including, without limitation, all Open Source licenses) associated with any Third Party Materials provided with Consultant’s Software and Managed Services. To the extent any Third Party Materials are provided with Consultant’s Software and Managed Services, City’s use of such Consultant’s Software and Managed Services as provided by Consultant and in accordance with this Contract or any additional agreements issued hereunder will not be in conflict with any third party license requirements and will satisfy all conditions on use, modification or distribution of any such Third Party Materials without the need for any additional, unanticipated action or license fees on City’s part. City does not and will not need to procure any rights or licenses to any patents or other third-party intellectual property rights to use as intended in this Contract or any additional agreements issued hereunder Consultant’s Software and Managed Services delivered by Consultant.

33. Access to Source Code

At the City’s discretion, Consultant and City shall enter into a separate source code escrow agreement.

34. Multiple Instances of Licenses under one License

City shall only pay for licenses in a production environment. Licenses for all other environments shall be included in fees paid for the production environment.

35. Consultant Access to City Data

City grants Consultant the non-exclusive, non-transferable, license to copy, store, record, transmit, maintain, display, view, print or otherwise use City Data solely to the extent necessary to provide the Service to City. City agrees that the license to City

Data shall survive termination of the Service for a period of one (1) year solely for the purpose of storing backup City Data at an offsite storage facility. City expressly prohibits the use of Client Data except as expressly provided herein. Any employee of Consultant, its subConsultants and its third parties that have physical or logical access to criminal justice data contained within the City Data must be a U.S. citizen, permanent resident and/or have been living in the United States for at least five (5) years and shall undergo a background check conducted by the City. The City shall be informed in writing 90 days prior to any proposed change of location of the services performed. The City shall have the right to approve or deny said change of location.

36. City Data Ownership and Access

The City owns all “City Data”. City Data shall mean any data, information, or other materials of any nature whatsoever, provided to Consultant by City in the course of implementing and/or using the Service. The City shall have unconditional access to City’s data.

37. Site to Site VPN

Should Consultant be provided site-to-site virtual private network (“VPN”) access to perform the services stated in this Contract, Consultant agrees to protect City’s network, systems and data accessible through the site-to-site VPN. This includes but is not limited to, the following:

Ensuring that all devices used to access City’s network, systems and data are fully patched and running professional-grade anti-virus, anti-malware protection that receives daily signature updates.

Ensuring that only Consultant’s authorized employees are provided access to City’s systems, and such access shall be only for those purposes authorized by City.

City shall be notified within twenty-four (24) hours when a Consultant’s employee no longer needs access, and immediately if the Consultant’s employee is involuntarily terminated.

City shall be notified immediately upon discovery that Consultant’s authorized employees have been unintentionally granted access to City systems or data other than what is necessary to perform the services in this Contract.

Notifying City’s IT Service Desk immediately upon learning of an actual or suspected security breach within Consultant’s environment may impact City’s network, systems and data.

Respond within two (2) hours upon notification of a suspected security incident generating from Consultant’s site or from the equipment supported by Consultant on City’s site.

City reserves the right to disable the VPN tunnel at any time to ensure the security of City data and network operations.

Should Consultant be provided a City issued laptop or similar device that allows virtual private network (“VPN”) access to perform the services stated in this Contract, Consultant agrees to the following:

Only authorized employees of the Consultant shall use the device to access City systems. Such access shall be only for those purposes authorized by City.

Each authorized employee of Consultant shall have an individual named account and access credentials and will not be shared with anyone other than the authorized employee.

City shall be notified within twenty-four (24) hours when Consultant’s authorized employee no longer needs access or immediately if Consultant’s authorized employee is involuntarily terminated.

City shall be notified immediately upon discovery that Consultant’s authorized employees have been unintentionally granted access to City systems or data other than what is necessary to provide the services in this Contract.

Consultant’s use of the City issued devices and any resulting access to City’s network shall be used in compliance with City’s policies, procedures, standards and guidelines, including but not limited to, City’s Electronic Communications Policy and Minneapolis IT Network Security Standards.

Consultant’s authorized employees shall not interfere with standard security protections applied to the device by City, including but not limited to, anti-malware, personal firewall, disk encryption, or adding additional user profiles to the device.

No software except that which is expressly authorized by City shall be installed on the device.

Any sign of malware infection or other security breach on the device is reported immediately to City’s IT Service Desk.

No private or confidential data as defined by the Minnesota Government Data Practices Act (MGDPA) and/or other applicable legal or regulatory requirements shall be stored on the assigned device.

No nonpublic data (as defined by the MGDPA) accessed on the City’s network will be copied from City’s network to portable storage (e.g. USB) and/or disclosed to any unauthorized employees of Consultant or third party.

Lost or stolen devices shall be reported immediately to City’s IT Service Desk.

Devices shall be returned to City within five (5) business days after completion of the services or expiration of the contract, whichever comes first.

38. On Premise

If the solution being proposed by the Consultant is on premise, the City shall have the right to continue use of any products and documentation that were purchased prior to the transfer or termination of the Agreement. Consultant may not terminate this Contract for non-payment.

39. Cloud Based

If the solution being proposed by the Consultant is Cloud Based, all conditions in RFP Terms and Conditions Numbers 29 - 37 above apply, in addition to the following terms and conditions:

A. Data Locations

All City Data and backup City Data shall be located in the continental United States. Consultant shall obtain permission from City prior to any change in the location of the City Data.

B. Back ups

All environments must be backed up on a daily basis.

C. Cloud Data Storage Audit Requirements

If Cloud data storage is utilized as part of the solution, the Consultant agrees to maintain full security of their data system. The Consultant must agree to supply the City with a copy of the Federal standards for the Statement on Standards for Attestation Engagements (SSAE) No. 16 or International Standard on Assurance Engagements (ISAE) No. 3402. These third party audits will be required annually, and the City will request a copy to be supplied to the Contract Manager as soon as they are released.

Exhibit B - Scope of Services

The Public Works Department's Solid Waste Information System (SWIS) has been in production since 2002. SWIS is an address based work order system that manages routes for the pick-up and removal of solid waste, recycling, organics, problem materials, mattresses, and yard waste. In addition, it tracks carts and schedules maintenance and replacement of carts, records tags, issues work orders, vouchers and letters and exchanges information to other internal and external systems. SWIS, a custom application since its inception, utilizes function keys, validates data, and other smart technology to provide the user with speed of data entry, and agile movement between modules, resulting in a quick response time to customer queries and complaints, and an overall efficient work process for the SWIS user.

Although SWIS is an efficient, effective System for users, the current SWIS system was developed on Swing GUI, Custom Framework, and JBoss environment, and, as stated above, was a highly customized product since its inception. It has become increasingly difficult to find computer specialists able to make enhancements and corrections to such outdated technology. SWIS users desire to take advantage of newer technology for the core system, including the potential to add mobile capability. SWIS users understand the need for a replacement system but are apprehensive about losing functionality, specifically speed and ease of data entry and navigation, and the ability to validate data.

Therefore, the City desires to start the replacement process with a technical Proof of Concept. This is the first phase in the development of a SWIS replacement system. The primary objective of this phase is to evaluate the viability of using ServiceNow as the platform for the new SWIS replacement system. ServiceNow is the software currently used by the City for IT Service Desk support and is being considered for use with other projects within the City.

ServiceNow provided a demonstration of their products and functionality to SWIS users. SWIS users expressed concerns about the following:

- Address lookup
- Speed of data entry and navigation between modules
- Ability to view prior activity
- Ability to validate entries
- Ability to maintain a print status

The City will select one Consultant to provide a Technical Proof of Concept (see Section VII – Selection Process for Technical Proof of Concept/SWIS Replacement System). The City expects the Proof of Concept to include:

- 1) Demonstration of the Consultant's solution for the attached Proof of Concept Use Case using ServiceNow software, taking into account the concerns expressed above. See Attachment II –Dirty Collection Point (DCP) Proof of Concept Use Case.
- 2) Demonstration of how to view historical SWIS activity on ServiceNow.

Should a Proof of Concept be accepted, the contract would include the ability to expand the scope, at the sole discretion of the City, to include the proposed SWIS replacement project, in its entirety.

Although the Proof of Concept Use Case encompasses many key elements of SWIS, Consultant(s) must understand that the Proof of Concept Use Case cannot be construed as capturing the entire breadth of the SWIS system. Highlights of a replacement system would include:

- Ability to track and maintain Address/Customer Records
- Interface Capability
- Management of Work Orders and Notations
- Ability to track and maintain Carts
- Ability to produce reports
- Ability to maintain print status

Expected Outcomes for a Replacement System:

- Core SWIS functionality is contained in one software solution. This would include complaints, tags, vouchers, DCPs and service address information. These components are all related to each other and used in conjunction with one another, make a complete Solid Waste and Recycle (SW&R) customer record.
- Functionality from Access databases currently being used as shadow/parallel systems is incorporated into the new solution. See Appendix II – Access Databases – functions outside of SWIS for more detail.
- Cart inventory tracking system is enhanced. The System should track active Trash, Recycling and Organics carts. This would involve tracking the status, type, size and unique ID for the cart. Currently SWIS tracks and displays all carts, displaying the quantity of active Solid Waste carts only, and relies on the user to quantify and determine the status of all other cart types. New functionality would allow SW&R users to quickly see the size and quantity of carts for each service type.
- System has the capability to track and use multiple collection days by service type, by block or by specific address. SWIS currently tracks one collection day per block. The collection day for all properties on the block are the same for all services, although some services such as recycling collection occur bi-weekly based on zone. Some customers require a collection day that is different from the block's collection day or on a different frequency (e.g. multiple times per week, rather than weekly, or weekly rather than bi-weekly). Currently, this would include litter containers and various City buildings serviced by SW&R.
- Access to mobile technology solutions to improve how Dirty Collection Point and Cart service orders are processed. Mobile technology would allow for real-time record of activities and faster response time.

If awarded a contract, Consultant must be able to provide all aspects of the SWIS Replacement System implementation (using ServiceNow), including project management, consultation services, requirements gathering using Appendix I – Business Requirements Matrix for a SWIS Replacement System as the starting point, design,

development/configurations, implementation, documentation and training.

Consultant must have a system in place during the project for tracking and documenting module configuration to be used in performing knowledge sharing and transfer.

Consultant(s) must submit a description of the format that will be used to document module configuration and a brief explanation about how those files would be maintained during the project, and eventually provided to the City. The Consultant will be a resource to the City's ServiceNow team during the knowledge sharing and transfer period.

The Consultant will work jointly with the City to plan for System migration and to transfer data from the old SWIS System to the Replacement System. Functionality currently performed on Access databases must be transferred to the new Replacement System as well, where possible. See Appendix II - Access Databases - functions outside of SWIS for more detail.

Exhibit C - Service Levels and Disaster Recovery

Service Levels

Consultant agrees to provide service levels for its solution:

- Response time for providing electronic responses for software malfunctions.
- Response time for providing live responses to software malfunctions.
- Severity levels to be established.
 - Level 1 (high), significant impact on system use.
 - Level 2 (moderate), causes some user issues, but most processes are functional.
 - Level 3 (low), does not have significant impact on users.
- Contract to include clause for negligence of support and associated penalties.
- Support hierarchies cannot materially change, thereby providing a lower level of support.
- Hours of support to be established.
- Modes (telephone, email, tickets, instant messaging) of support to be established.

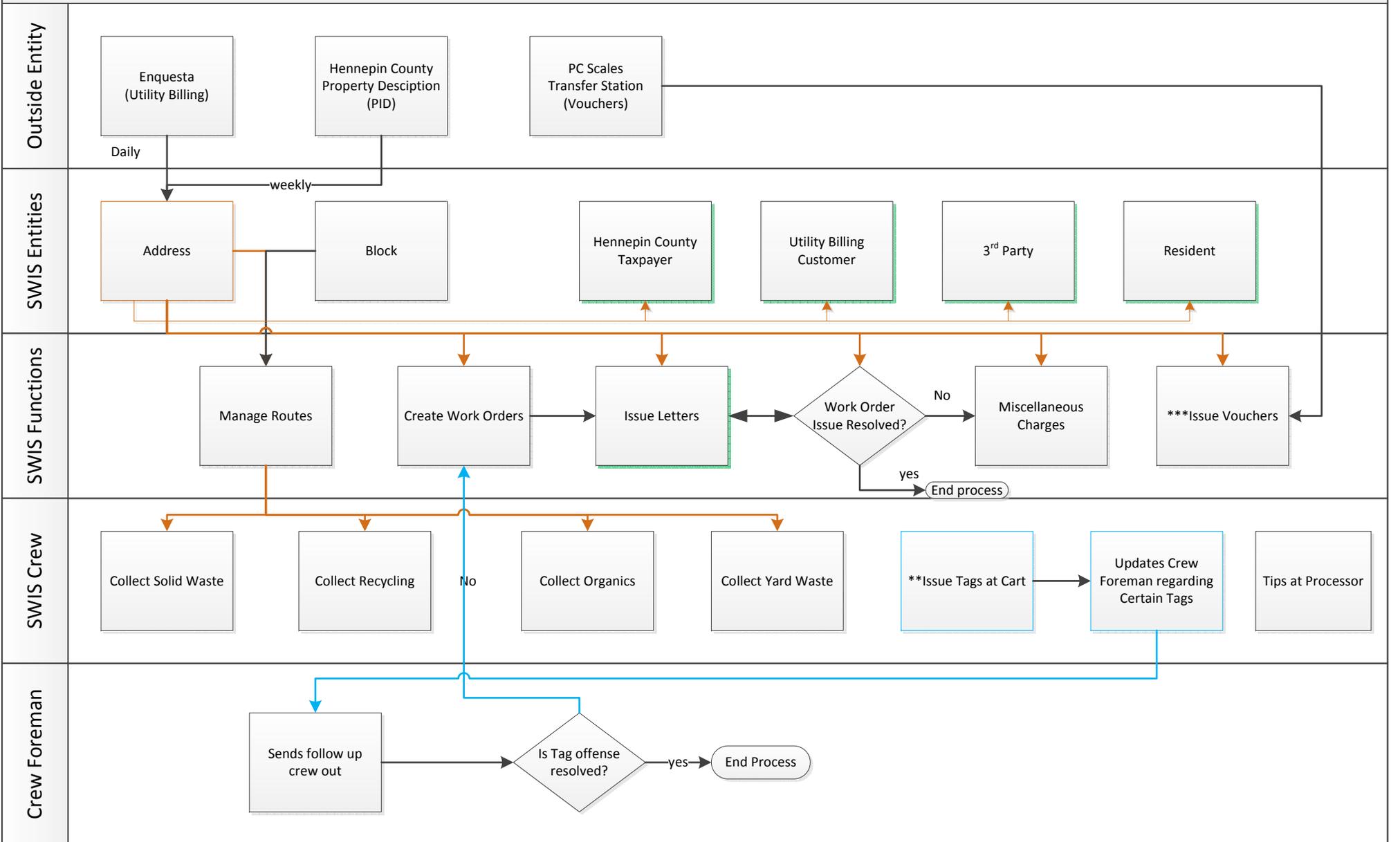
Disaster Recovery

If the Consultant's proposed solution is cloud based, a detailed outline of the Consultant's disaster recovery (DR) plan must be provided. As part of the DR plan, the following should be addressed.

- The Consultant should describe what they can support as a recovery point objective (RPO).
- The Consultant should describe what they can support as a recovery time objective (RTO).

Attachment I – SWIS As-Is (high level overview)

Phase



GRID

Addressed based functionality
 Manual process
 Letters can be issued to four different entities – see green shadow highlights above
 **Tags are issued if Crew observes an 'offense' at the collection site such as a spill near the Cart, solid waste in a recycling cart etc.
***Client calls to request a voucher to drop off debris at a transfer station

Appendix I

Solid Waste & Recycle System - Requirements Matrix

Using the tables in the matrix document below, the Consultant should respond to each individual requirement by entering an 'X' in one of the columns provided. Select the appropriate response using the following guidelines below.

The functional requirements are presented in tabular format. The columns in the table include:

Reference #	The internal cross-reference number for the requirement. See appendices for detail requirements that were summarized to this internal cross-reference number.
Requirement	The specific function or behavior necessary to satisfy City business needs.
Standard	The requirement is satisfied by the solution proposed without configuration. Where the requirement is satisfied by third-party software, indicate the third party product proposed. Also mark here for questions in which the Consultant satisfies the requirement.
Configured	The requirement is not satisfied by the solution out of the box, but is satisfied by configuration.
Customized	A modification to the solution is required to satisfy this requirement. Provide an explanation of the volume of labor and work complexity. In addition, indicate whether the requirement will be satisfied by an upcoming release, and if so, give the version number and date of release.
Not Available	The solution will not satisfy the requirement. Also mark here for questions in which the Consultant does not satisfy the requirement.
Describe how this requirement will be satisfied	Details regarding the delivery of the requirement. Narrative will adequately describe how the Consultant solution can satisfy the requirement. Screen shots, sample reports, or supporting documentation may be included in the response. Use extra pages as necessary and include the Requirement Reference #.

The Consultant also must enter a response in each requirement table under the row heading: "Describe how this requirement will be satisfied."

Where Consultant has indicated that modifications/exceptions are needed to meet the requirement, Consultant must use this section to provide an explanation of the amount of work, the level of complexity and your availability to perform the modification. Where appropriate, indicate whether the requirement is planned for upcoming releases, and give the version number and date of release if known.

To understand associated data requirements, Consultant should reference the appendices or links provided. Additionally, Consultant can provide further comments outlining additional information or functionality of the system relevant to the requirement by attaching documents to the completed appendix and indicating the appropriate reference number.

The Consultant may also include screen shots, samples, and inventories for any requirement listed.

The items listed should not be construed as to be an exhaustive list of system requirements. As part of the implementation process, we expect Consultant to conduct an assessment of our process and business requirements, determine how their product meets the City of Minneapolis requirements, and identify possible gaps. The City would anticipate that this process would occur on-site and in collaboration with the relevant stakeholders.

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Table 1 – Definitions

Term	Definition
SWIS	Solid Waste Information System
SW&R	Solid Waste and Recycling, the Public Works Unit that uses SWIS.
Address	Solid Waste & Recycling collection point address. This is the address used to store information on the property being serviced.
Block	A unique number assigned to a physical city block, which is used to group addresses. The block is also used to store common data shared for all addresses on the block.
Tag	An educational tag left for a certain collection activity for a specific reason, recorded by a numerical code. For example, a recycling tag is issued when a collection worker sees garbage in the recycling bin, or when a garbage worker sees overflowing garbage carts. The City tracks tags issued by the related collection activity, type of violation, and date of occurrence. Some, but not all, tags require multiple steps to be resolved. This includes resulting work orders or letters. Follow-up action is based on the type of violation and/or the frequency of the issue. A tag has three (3) states; processed, unprocessed, and expired.
Activity Type	Activity Type includes work orders for collections (garbage, recycling, yard waste, organics, problem material, mattresses, dirty collection points), record updating (dwelling unit increases, decreases, start service, stop service, suspend service), as well as billing.
Record Status	Tags, work orders and vouchers each have status such as open, closed, processed, unprocessed, pending, printed, not printable.
Voucher	<p>A coupon that is issued to a City SW&R customer which allows the customer to drop off items routinely collected by the City in quantities that exceed the setout threshold, or items that are not routinely collected such as construction and demolition debris or tires at the City's South Transfer Station at no additional charge.</p> <p>The number of vouchers issued to each customer each year is limited. The number issued is calculated by the system.</p> <p>Vouchers are issued by specific week, or by Saturday date. The number of vouchers issued to all customers for a specific week or Saturday is calculated and displayed by the system.</p> <p>The weight or quantity of the materials/items disposed and date of disposal are recorded by the system.</p>
Work Order	Work Orders are created by users as the result of a tag or other field report, customer call, or data reconciliation report. These are assigned to a specific crew, field foreman or collection vendor. Currently, this is a printed document that tells field personnel to perform some task at a

Appendix I
Solid Waste & Recycle System - Requirements Matrix

	specific location. The document is used as a turnaround form to make hand written field notes about status or condition that is input into system as field response. The system goes through an end of day process where work orders are printed in the evening for distribution to the crews, Foreman or collection vendor. There are multiple types of work-orders which affect when it should print. The schedule is based on collection type, and service frequency, as well as the work order type such as next day, next week or two weeks out.
Work Order Type	Work Order Type is based on the function being performed, and includes a variety of characteristics such as activity type, activity schedule, level of urgency, chargeability, printability, and address changes (e.g. dwelling unit updates).
Workflow status	Work Flow is a series of tags, work orders, letters and deadlines used to bring an address through a process. The Work Flow status is the step last issued and/or last completed.
DCP	Dirty Collection Point is typically designated for items not routinely collected, or routinely collected items in an excessive quantity, and/or set out unprepared. Dirty Collection Points require multiple steps to be resolved. This includes tags, letters, work orders, photos, billing, waiving, and /or crediting charges and attachment of images. A DCP has three (3) states, open, closed and expired.
Hennepin County PID	Hennepin County Property Identification Number. This number is used to link the system to Hennepin County Property Information and import information such as current tax payer name, and mailing address.
SYSAD	System Administrator
CSR	Customer Service Representative
Active Directory	System that controls employee logon, password reset, and security profiles.
Recycling District	Recycling is collected every-other week. The Recycling District specifies which week the recycling collection takes place.
Foreman Zone	Specifies the Solid Waste & Recycling Foreman that services a specific block.
Maintain 3 rd party contact information	3rd party contact information is provided by a customer. It is stored by address and is used as an additional mailing address for all letters sent out by the system for the address. Not all addresses have 3rd party contact information.
Serialized carts	Each Minneapolis Solid Waste & Recycling cart has a serial number that is used to track the cart.
Maintain work order data	Work orders are stored by address, as part of the record. The history of all work orders issued for an address are stored for reporting and tracking.
Customer	Customer is the current utility bill payer, but also includes secondary customers such as the current tax payer, and current resident.

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Requirements Matrix

Reference Number	Requirement	Standard/Satisfy	Configure	Customize	Not Available/Do Not Satisfy	Describe how this requirement will be satisfied
1.0 General -System						
1.01	Compatible with MS .Net environment preferable					
1.02	Compatible with MS Active Directory					
1.03	Provide functionality for a System calendar that contains: <ul style="list-style-type: none"> • contains schedule parameters • contains history of past parameters 					
1.04	Track date, time and initials of user who created, modified, printed or deactivated a record					
1.05	Ability for SYSAD to create, modify, deactivate multiple pick lists used for tags, DCP, street names, neighborhood, work order codes and service status codes					
1.06	Ability for SYSAD to define required fields and validation rules for all modules					
1.07	Implement a user approach to System that is keyboard centric with the ability to perform the majority of system commands and application commands without the benefit of a mouse (with function keys or command key combinations)					
1.08	Ability to provide on-line help and on-line instructions					
1.11	Ability to accommodate image file types: .jpg, .gif, .tiff,					
1.12	Ability to import/export PDF documents and WAV files					
1.13	Ability to import/export an electronic file, including					

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Reference Number	Requirement	Standard/Satisfy	Configure	Customize	Not Available/Do Not Satisfy	Describe how this requirement will be satisfied
	work orders					
1.14	Ability to attach documents, WAV files and photos to a file, customer notes, tags, work orders, vouchers, DCPs and overall address					
1.15	Ability to set private /public restricted option to attachment					
1.16	Ability to support annotations to attachments					
1.17	Create and display user alerts based on date, address, block or customer					
1.18	Ability to post alert /change notifications since last user login, user notification alert					
1.19	Ability to define what information will display on user interface					
1.20	Ability to advise user of data necessary to complete transaction (for workflow)					
1.21	Capability for U/I needs to be optionally ADA (American Disability Act) compliant by user					
1.22	Ability to resize content in display by user					
1.23	Capability of sub-second response time for service address lookup, saving, and next record lookup					
1.24	Ability to perform mass updates through secure tool; redistricting of zones, wards, neighborhoods, collection days, recycling districts, and route by block or imported address list					
1.25	Ability to test changes with mock examples in QA environment prior to activating in production environment					
1.26	Ability to operate from mobile device					
1.27	Convert data from the old system to the new system. All data in database tables will be the basis of new system data to include preservation of existing history					

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Reference Number	Requirement	Standard/Satisfy	Configure	Customize	Not Available/Do Not Satisfy	Describe how this requirement will be satisfied
1.28	Move functionality performed on selected Access databases to the new system					
2.0 Security						
2.1	Ability to use Active Directory to authenticate users					
2.2	Ability to control access by individual user					
2.3	Ability to control access by role-based security profiles Ability to control access based on geographic location Ability to use Active Directory security groups to assign users to given role-profiles in the system					
2.4	Ability to restrict add/update/delete based on the user security profile					
3.0 Customer – service address						
Customer address is the center of the system, customer is represented by service address						
3.01	Capability to add/update/deactivate service address					
3.02	Ability to display 30 or more service attributes for each address, depending on mode and screen. Attributes may be address specific or retrieved from the block table					
3.03	Must be able to link Hennepin County PID to Solid Waste & Recycling Service Address. Use this file to send letters to Taxpayers					
3.04	Retrieve and maintain name, and address of every utility billing customer for every city block. Use this file to send letters to the person					

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Reference Number	Requirement	Standard/Satisfy	Configure	Customize	Not Available/Do Not Satisfy	Describe how this requirement will be satisfied
	responsible for the Utility Billing					
3.05	Ensure Hennepin County PID is a known attribute of service address					
3.06	Ensure utility billing customer information (UB acct #) is a known attribute of service address					
3.07	Ensure ELMS (Enterprise Land Management System) dwelling unit and Solid Waste & Recycling dwelling unit counts are a known attribute of service address					
3.08	Ensure Solid Waste & Recycling block number is a known attribute of service address					
3.09	Ensure collection type; solid waste, recycle, organic, or litter container is an attribute of service address					
3.10	Ensure collection location; curb or alley is an attribute of service address					
3.11	Ensure handicap indicator; Y or N, is an attribute of service address					
3.12	Ensure property type is an attribute of the service address					
3.13	Ensure active collection services is an attribute of the service address (Y/N)					
3.14	Ability to modify some attributes of Service address					
3.15	Allow Service address to be created outside of PID and utility bill but within block					
3.16	Maintain valid addresses with multiple unique and common attributes such as, but not limited to: account and property ID numbers, status of services, status of property, billing details, assigned assets (carts or litter containers) and property type					

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Reference Number	Requirement	Standard/Satisfy	Configure	Customize	Not Available/Do Not Satisfy	Describe how this requirement will be satisfied
3.17	Maintain history of all work flows, work orders, letters, tags, vouchers and charges initiated for the service address, with Utility Billing customer indicated					
3.18	Allow users to make notes about service address by date					
3.18.01	Ability to provide narrative /comment fields of unlimited length					
3.18.02	Ability to provide basic word processing capability on narrative /comment fields (not exhaustive): spell check, cut / paste, bullets /numbering, paragraph formatting, text wrap					
3.19	Ability to provide dropdown lists of code					
3.20	Highlight required fields is user fails to enter this data					
3.21	Ability to maintain 3 rd party contact information					
3.22	Ability to store standard collection day by block, and a non-standard collection day by address. The non-standard collection day may vary by service (recycling, organics, garbage), and may vary in frequency (at least bi-weekly, and up to 5 days per week)					
3.23	Store route and collection information at either the block level or address level based on type of service					
3.24	Ability to post a user alert popup for service address based on system date or customer number, when the address is first loaded					
3.25	Ability to post a user alert popup for all service addresses based on the block, and system date, when any address on that block is first loaded					
3.26	Desire Consultant(s) input on the best way to send alerts out to users and ensure the alert is pertinent					

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Reference Number	Requirement	Standard/ Satisfy	Configure	Customize	Not Available/ Do Not Satisfy	Describe how this requirement will be satisfied
	and useful					
3.27	Ability to view /edit /delete popup alerts (see Req. 2.4)					
3.28	Ability to consolidate multiple service addresses into one service address and preserve all histories into one history (example is when a duplex becomes a single family dwelling unit)					
3.29	Ability to maintain apartment numbers and range address house numbers for mailing purposes					
3.30	Ability to track dwelling unit increases and decreases by date, reason, and address					
4.0	Block					
4.01	Identify and use the assigned Solid Waste and Recycling block number for City blocks					
4.02	Store route and collection information at either the block level or address level based on type of service					
4.03	Ensure foreman zone is a known attribute of block					
4.04	Ensure ward is a known attribute of block					
4.05	Ensure neighborhood is a known attribute of block					
4.06	Ensure Recycling District is a known attribute of block					
5.0	Assets – carts					
	Asset manager = inventory manager, Carts are serialized and are assigned to service address					
5.01	Assign serialized carts to a service address					
5.02	Ability to assign multiple cart types and sizes to service address					

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Reference Number	Requirement	Standard/Satisfy	Configure	Customize	Not Available/Do Not Satisfy	Describe how this requirement will be satisfied
5.03	Allow each residential service address to have one or more of the following; solid waste cart, a recycle cart, and an organics cart					
5.04	Manage cart placements by valid address, including cart type, size, serial number and status					
5.05	Quantify the active number of carts by service type and size placed					
6.0 Workflow						
Field observations are noted by crew at service address to be recorded in customer record, field observations are sources of workflow activity.						
6.01	Ensure workflow activity can result in work order, informative letter, or information note to service address record					
6.02	Ensure each workflow activity code has a beginning, middle; process activity, end; closure					
6.03	Manage workflow activity by activity codes (editing, grouping, filtering)					
6.04	Ensure workflow activity duration is variable based on activity codes					
6.05	Base workflow activity duration on system calendar					
6.06	Ability to group workflows by activity codes (garbage, recycling, organics etc.)					
6.07	Ability to view /edit workflows by activity codes					
6.08	Provide a complete list of activity codes in help function					
6.09	Ability for dates to trigger follow up work order					
6.08	Ability to view open /active workflow for service address					

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Reference Number	Requirement	Standard/Satisfy	Configure	Customize	Not Available/Do Not Satisfy	Describe how this requirement will be satisfied
6.10	Ability to filter or group view of open /active workflows for service address					
6.11	Ability to support work order projects with parent / child work order entries, including but not limited to DCP					
6.12	Allow CSR to override workflow					
7.0	Work Orders – Work orders require valid service address					
7.01	Ability to view open /active work orders for service address					
7.02	Ability to filter view of open/pending work orders for service address by work order type					
7.03	Provide unique auto-issuing tracking numbers for work orders					
7.04	Maintain work order data such as type of work order, code for resolution, flags for new or recurring work orders, status codes, extensive field descriptors					
7.05	Maintain history of all work flows, work orders, letters, tags, vouchers and charges initiated for the service address, with responsible customer indicated					
7.06	Maintain record status for tags, work orders and vouchers such as open, closed, processed, unprocessed					
7.07	Provide multiple mechanisms to calculate charges for billing purposes based on type of service provided. Mechanisms should include time based,					

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Reference Number	Requirement	Standard/ Satisfy	Configure	Customize	Not Available/ Do Not Satisfy	Describe how this requirement will be satisfied
	quantity based, and flat fee based abilities.					
7.08	Track the current and past Utility Billing customers for all entries and use such information when billing for cleanup charges					
7.09	Follow schedule set by SYSAD for completed work orders archived after completion, suspension, or resolution					
7.10	Ensure archived work orders are not modifiable					
7.11	Ability to report on archived work order					
7.12	Ability to future date work orders					
7.13	Ability to create, update, deactivate mass work orders based on service address, existing entries, block attributes					
7.14	Ability to identify when work order or Service Level Agreement (SLA) for work order type is due					
7.15	Ability for work orders to create charges or credits against service address based on existing workflow					
7.16	Track all actions and notations made for an address by customer, including work orders, type, and quantity of pieces collected, tags, voucher					
7.17	Ability to allow authorized users to start/stop service based on work order					
8.0	Customer – asset relationship					
8.01	Ensure cart details are accessible from service address /customer detail					
8.02	Ability to identify service address by cart serial					
8.03	Ability to group by block, or selected addresses					
8.04	Ensure all work order actions tied to service address					

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Reference Number	Requirement	Standard/Satisfy	Configure	Customize	Not Available/Do Not Satisfy	Describe how this requirement will be satisfied
	and customer					
8.05	Ability to view work orders after they are archived					
8.06	Ability to identify when work order is scheduled					
8.07	Ensure work orders are modifiable based on security					
8.08	Ability for CSR to review customer voucher history					
8.09	Ensure customer voucher is assigned to a valid service address					
8.10	Ability to issue a customer voucher for a specific date or for specific days of the week					
8.11	Ability to transmit voucher to transfer station for customer use					
8.12	Ability to email customer voucher					
8.13	Ability to generate voucher as a letter to be mailed					
9.0	Additional Capabilities - Reports					
9.01	Ability to track report generation by user id and time					
9.02	Ability to reprint select documents					
9.03	Ability to direct reporting output to specific destinations (network drivers, printers, email addresses)					
9.04	Ability to run reports based on assigned role					
9.05	Ability to generate reports as a PDF only (Not Printed)					
9.06	Produce all current reports, including those produced in Access					
9.07	Capability of producing summary, ad-hoc and canned reports					
9.08	Ability to produce historical reports, comparing activity across months/years					
9.09	Ability to export reports to Excel, Access or other tool					

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Reference Number	Requirement	Standard/ Satisfy	Configure	Customize	Not Available/ Do Not Satisfy	Describe how this requirement will be satisfied
9.10	Ability to quickly add new reports and new fields					
9.11	Ability to report on the schedule of daily activities and work orders based on the type of activity or work order, the day of week or date of collection, collection type, route blocks and/or zones					
9.12	Ability to use type 39 barcode font in all reporting					
10.0	Additional Capabilities – Printing					
10.01	Maintain print status (not printed, scheduled to print, printed, reprinted)					
10.02	Ability to batch print work orders, letters and reports					
10.03	Ability to instantly print certain work orders, vouchers and letters (based on a workflow step/no request involved)					
10.04	Ability to print a single work order, voucher or letter on demand					
10.05	Ability to print work order with public attachments					
10.06	Ability to save a duplication of all print jobs as a PDF					
11.0	Additional Capabilities - Integrations					
11.01	Ability to exchange data with Utility Billing System, enQuesta					
11.01.01	Send account number, description, and amount for tasks completed by city crew (snow cart, DCP etc.)					
11.01.02	Send billing reversals					
11.01.03	Receive account information updates; new customers, status changes to account, new dwelling address					
11.02	Ability to import electronic files from ELMS					

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Reference Number	Requirement	Standard/ Satisfy	Configure	Customize	Not Available/ Do Not Satisfy	Describe how this requirement will be satisfied
	(Enterprise Land Management System)					
11.03	Ability to import electronic files from transfer station scales or proxy					
11.03.01	Ability to import files daily with disposable activity at outside vendors, including date of transaction, truck number, tare and gross weights, type of material and facility					
11.03.02	Ability to record against issued voucher					
11.03.03	Ability to bill service address					
11.03.04	Ability to validate scale data against truck database					
11.03.05	Ability to distinguish material types such as yard waste, garbage, recycling, organics, problem material in scale data					
11.03.06	Ability to track the route collected in scale data					
11.03.07	Ability to track the date, time, material type for scale transaction load					
11.04	Ability to receive updates to property records from the county (Hennepin County Property Information or proxy)					
11.05	Use the City's ArcGIS application to automatically update neighborhood, ward and zip-code information					

Appendix I
Solid Waste & Recycle System - Requirements Matrix

Reference Number	Requirement	Standard/ Satisfy	Configure	Customize	Not Available/ Do Not Satisfy	Describe how this requirement will be satisfied
11.05.01	Allow for future integration with the City's ArcGIS application to obtain Master Address information					
11.06	Ability to exchange information with other systems while maintaining a running history of exchanges at the address level, and being constantly aware of the most recent details. Information exchanged includes but is not limited to customer information, taxpayer information, billing adjustments, itemized billing details, legal dwelling units, with start, stop and interface dates					

Appendix II - Access Databases - Other

Service Area	File Location
Cart Rental	M:\PW Solid Waste\Users\Common\Data
Clean City	M:\PW Solid Waste\Users\Common\Data
Clean City	M:\PW Solid Waste\Users\Common\Data
Community Garder	M:\PW Solid Waste\Users\Common\Data
SW&R Service	M:\PW Solid Waste\Users\Common\Data

SW&R Service	M:\PW Solid Waste\Users\Common\Data
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File Name	Data Source	Type	Reports	Purpose
Cart Rental System	Manual Entry	Read-Write	Yes	Report on data keyed in Access
Clean City Tracking	Manual Entry	Read-Write	No	Store data keyed in Access
CleanCityXP	Manual Entry	Read-Write	Yes	Report on data keyed in Access and Store data keyed on Access
CompostDeliveryProgram	Manual Entry	Read-Write	Yes	Report on data keyed in Access and Store data keyed on Access
PrivateAlleyXP	Manual Entry	Read-Write	Yes	Report on Data keyed in Access

Temp Exemption	Manual Entry	Read-Write	Yes	Report on data keyed in Access and Store data keyed on Access
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Manual Entry	Frequency of Use	Volume of Records (Annual)	Notes
Yes	On demand	50	Tracks participation and statistics for the Cart Rental program, by customer. Includes rental details, containers delivered, container and materials collected, total charges and payment. Generates email notifications of rental, and work orders
Yes	On demand	500	Tracks no charge collection of debris ordered by a Field Foreman, includes serviced and non-serviced properties and intersections.
Yes	On demand	60	Tracks Adopt program participation and areas and CleanSweeps. Litter containers excluded. Details tracked include customer information, date of adoption, physical blocks adopted or linear adoptions (to:from:on), supplies delivered and event dates. Generates confirmation letters.
Yes	Seasonal (Apr to Nov)	110	Tracks Community garden location, and characteristics, compost delivery date and time requested, date and time scheduled, actual delivery date, fee charged and collected, amount of compost and/or deliveries promised, used and open. Generates confirmation notices, invoices, work orders and summary reports.
Yes	On demand	<1/year	Used to issue Release of Liability Agreement to Hold Harmless form / letters. Generates letters and forms to properties that require a release of liability and agreement to hold harmless in order to provide service.

Yes	On demand	100	Tracks Temporary Exemption from Solid Waste service applications, and deadlines. Includes customer name, application date, due dates, and letters. Works with Outlook for user reminders.
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Appendix III As-Is Technology Environment

Current Technology Environment

This section describes the current technology environment to assist Consultants with understanding the technology infrastructure in which the new System will operate. If the proposed system is a Software-As-A-Service Solution, this section will be less applicable.

The City does not anticipate making substantial architectural changes to its enterprise technology architecture other than the addition of servers, clients or services required to support the proposed System. All servers (physical or virtual) that are required to support the proposed system will be furnished by the City through its managed services provider.

The City's managed service provider operates two geographically diverse data centers for hosting the City's applications, including the majority of the City's enterprise environment.

Most of the servers operated on the City's behalf are virtual servers and exist in a VMware environment. The City prefers virtual servers to physical servers. The majority of application servers run Microsoft Windows. Microsoft SQL is the preferred database management system. Table 1 lists major elements of the enterprise environment.

Table 1: Current Server Services

Service	Specification	Roadmap
Server OS	Microsoft Windows 2012 Server 64 bit run in a virtualized environment using VMware ESX	Current
DBMS	Microsoft SQL Server 2012 R2	Current
Storage	Storage Area Networks (SAN), Network Attached Storage (NAS)	Current
	Hosted Storage	Current
Mail Server	Hosted Exchange on Office 365	Current
Other Enterprise Application Services		
GIS	ESRI ArcServer 10.2.2 (GIS)	Current
Document Management	Microsoft SharePoint (Online)	Current

The current end-user clients use Microsoft Windows 7 Enterprise 32/64 bit operating system. The base image software includes the following core components:

- Internet Explorer 11
- Microsoft Office 2010 Professional

Appendix IV: Integrations

Active Directory (AD)

Active Directory is the database the City uses to authenticate users and assign users to role profiles. The City expects any new software, including the new SWIS Replacement System, to integrate with AD.

enQuesta

The City interfaces with enQuesta to download any changes made to the City's Solid Waste and Recycling customers. These changes are then processed to ensure that the Solid Waste & Recycling data is in sync with enQuesta. The City also uploads any miscellaneous billing charges to enQuesta so those charges can be added to our customer's Minneapolis utility bill. These interfaces run daily with flat files being uploaded/downloaded via the secure enQuesta FTP server. This is expected to continue with the new SWIS Replacement System.

City of Minneapolis GIS Database

The City uses ESRI ArcGIS Server 10.2.2 application to manage point, centerline, and polygon address attribute information from its Enterprise Master Addressing System. SWIS uses ArcGIS to keep neighborhoods, wards and zip-codes up-to-date. This is a manual process currently. The City expects this process will be automated with the implementation of the new SWIS Replacement System. Future integrations with ArcGIS Master Address are desired, specifically to import and maintain the Master Address.

Hennepin County Property Information Description (PID)

Minneapolis is the largest City in Hennepin County. The PID is used to link the SWIS System to Hennepin County Property Information and import information such as current tax payer name, and mailing address. This interface is an integral part of this SWIS System. SWIS uses this information to send letters to taxpayers. Hennepin County updates this file daily and SWIS pulls this information on a weekly basis via a secure Hennepin County FTP server

Scales – Update Voucher Status

The City imports a daily file from a PC Scale Application export to collect information on voucher activity at the City's South Transfer Station. This information is used to update the open/closed status of the vouchers, the date used and amount of weight dumped. This functionality is expected to continue with the new SWIS Replacement System.

Enterprise Land Management System (ELMS)

The City currently uses a land management System (KIVA) to issue permits and licenses. The City will transition its Land Management System to ELMS after this RFP is issued, and a vendor is selected. The City expects the Dwelling Unit Count fields in the new SWIS Replacement System will be automatically updated via integration with ELMS.

Appendix IV: Integrations

Property Early Warning System (PEWS)

City IT pulls data nightly via a SQL View to obtain details of Dirty Collection Point (DCP) incidents which is then used for PEWS reporting. The City expects this functionality to continue with the new SWIS Replacement System.