



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

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

Department	Originator Name	Telephone	Date	Signature of Application Author
Office of the Mayor	Tiffany Newbern	4-2597	9/12/2018	
Contract Liaison	Email Contract Liaison	Telephone		
Yasmin Rivera	yasmin.rivera@cityofchicago.org	4-9991		

List Name of NCRB Attendees/Department	
Tiffany Newbern	Office of the Mayor
Maria Guerra	
Yasmin Rivera	

Request NCRB review be conducted for the product(s) and/or service(s) described herein.  
**Company:** William Filan  
**Contact Person:** William Filan      **Phone:** 312-832-4700      **Email:** wfilan@earthlink.net  
**Project Description:** Legislative Consulting Services

**This is a request for:**  
 New Contract       Amendment / Modification  
Contract Type      Type of Modification  
 Blanket Agreement    Term: 24 (# of mo)       Time Extension       Vendor Limit Increase     Scope Change  
 Standard Agreement      Contract Number: \_\_\_\_\_  
Specification Number: \_\_\_\_\_  
Modification Number: \_\_\_\_\_

<b>Department Request Approval</b>  DEPARTMENT HEAD OR DESIGNEE MARIA GUERRA LAPACER PRINT NAME	9-12-18 DATE	<b>Recommended Approval</b>  BOARD CHAIRPERSON Steven M. Loboda PRINT NAME	11/15/18 DATE
---	-----------------	--	------------------

(FOR NCRB USE ONLY)  
Recommend Approval/Date: 11/14/18  
Return to Department/Date: \_\_\_\_\_  
Rejected/Date: \_\_\_\_\_

Approved       Rejected  
  
CHIEF PROCUREMENT OFFICER      11-15-18  
DATE



**DEPARTMENT OF PROCUREMENT SERVICES  
NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION  
JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT WORKSHEET**

**All applicable information on this worksheet must be addressed using each question found on the "Instructions for Non-Competitive Procurement Application" in this application.**

**Justification for Non-Competitive Procurement Worksheet**

**PROCUREMENT HISTORY**

1) Due to the importance of state funding, legislation, and administrative actions to the operations and finances of the City, the City of Chicago has consistently had a presence in Springfield. Historically, this team has been composed of a number of City employees, as well as one or more professional legislative consultants. The City requires the services of a consultant with extensive knowledge of the state legislative process and the people that work within that process. As such, it is important to maintain outside representation continuously. Such a consultant provides advice and insight regarding state legislative matters and furthers the City's interests in initiatives taking place at the state level.

Mr. Filan (Consultant) has served as such a consultant for the City since 1995. The Consultant has been engaged through the non-competitive procurement process on the basis of Consultant's background, expertise on state and city issues, understanding of the legislative process, and institutional knowledge. Based on his expertise and performance to date, it was determined it would be beneficial for the City to continue this engagement.

2) Mr. Filan currently has an active contract with the city PO 46750 that will expire on December 28, 2018. We are requesting a new contract effective December 29, 2018 for 12 months plus a 12-month extension option.

3) There have been no efforts to competitively bid this requirement as it is believed the Consultant is uniquely situated to be the provider of the required services to the City.

4) N/A

5) It is possible that there will be future requests made for the services of the Consultant. This will depend on the City's needs and the performance of the Consultant.

6) The expertise and qualifications that are critical to legislative consulting - including relationships within both City government and state government, as well as a history with and understanding of the needs and priorities of the City and how these needs and priorities intersect with state policy, regulation, legislation, and funding - are often specific to an individual. As such, it is likely that such services will continue to be procured through the public non-competitive procurement process.

**ESTIMATED COST**

1) Mr. Filan current schedule of compensation under his contract; William Filan shall be paid for services performed under this Agreement at a quarterly rate of \$23,000.00. The contract is funded with finance general funds.

2. Therefore the annual costs to be paid to the Consultant by the City is \$92,000 per year.

3) The proposed contract rate is the same as the rate under the current contract. The cost of the contract and the proposed extension is based on Consultant's experience and expertise; the travel, time, and '24/7 on call' requirements of the engagement; and rates for other consultants doing the same or similar work. The Consultant's almost 40 years of experience in state legislative affairs makes his services especially valuable to the City.

4) N/A

5) Mr. Filan has kept his cost the same for the past 7 years.

**SCHEDULE REQUIREMENTS**

1) The Consultant will be engaged year-round, and will be especially active during the legislative session, when he will have to spend weeks in Springfield consulting and strategizing on the City's state legislative agenda. More specifically: Planning and preparation will largely occur during the late summer and fall months; execution of the agenda will occur during the winter and spring months, mostly in Springfield; and late spring and summer will entail



**DEPARTMENT OF PROCUREMENT SERVICES  
NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION  
JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT WORKSHEET**

review of the prior legislative session. The Consultant will also assist in regulatory matters, which occur all year.

2) N/A

3) Because of the year-round schedule described above and the volatility of schedules and needs related to state legislation and funding, it is critical to have a consistent presence in state legislative affairs. Contracting with a state legislative consultant provides the flexibility and coverage to achieve this.

4) N/A

**EXCLUSIVE OR UNIQUE CAPABILITY**

1) The Consultant is uniquely qualified to represent the City's interest before state governmental bodies and to assist the City in forming strategies to influence the posture of state legislation, state regulations or other matters affecting the City. The Consultant provides critical institutional knowledge, advice, and direction to City officials and staff. The Consultant also has an in-depth understanding of how the budget process works, which is critical to City finances and initiatives. In addition, the Consultant's relationships with key political leaders, as well as rank and file members of the legislature, enhances the City's standing and provides direct access to decision-makers. The Consultant's keen understanding of the legislative process is invaluable to the City in a setting that changes quickly and is often difficult to navigate.

2) The qualifications discussed in this application relate to a specific individual, Mr. Filan.

3) The Consultant brings a unique experience from his prior work in both the public and private sector at the state and local levels, including almost 40 years of involvement in the state legislative process, significantly enhancing the City's ability to be effective in Springfield.

Additionally, the Consultant has worked on several top-tier issues that the City will continue to work on going forward including education reform, sales-tax sourcing, and efforts to strengthen public safety, including issues related to the gun laws. The Consultant has also worked on state budget issues and their impact on the City. The Consultant has worked on all of these issues in the past and his background will be critical for the City into the future.

4) N/A.

5) The City team must work under significant time constraints and deadlines while in Springfield and must be on call at all times throughout the day and year. Having an individual such as the Consultant is indispensable to provide a direct line to decision-makers and senior staff to make quick progress on vital issues. The numerous committee action and amendments that are offered on a daily basis requires an individual with experience and the ability to act quickly and strategically, and Consultant has the capabilities and the network to do so.

6) N/A

7) N/A

8) N/A

**OTHER**

Approved and signed request to use personal services contractor



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

### INSTRUCTIONS FOR PREPARATION OF NON-COMPETITIVE PROCUREMENT APPLICATION

If a City Department has determined that the purchase of supplies, equipment, work and/or services cannot be done on a competitive basis, a justification must be prepared on this "Justification for Non-Competitive Procurement Application" in which procurement is requested on a or non-competitive basis in accordance with 65 ILCS 5/8-10-4 of the Illinois Compiled Statutes. Using this instruction sheet, all applicable information must be addressed on the worksheet. The information provided must be complete and in sufficient detail to allow for a decision to be made by the Non-Competitive Procurement Review Board. For Amendments, Modifications, describe in detail the change in terms of dollars, time period, scope of services, etc., its relationship to the original contract and the specific reasons for the change. Indicate both the original and the adjusted contract amount and/or expiration date with this change.

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

#### PROCUREMENT HISTORY

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

#### ESTIMATED COST

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

#### SCHEDULE REQUIREMENTS

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

#### EXCLUSIVE OR UNIQUE CAPABILITY

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

#### MBE/WBE COMPLIANCE PLAN

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

#### OTHER

1. Explain other related considerations and attach all applicable supporting documents, i.e., an approved "ITGB Form" or "Request For Individual Hire Form".

#### REVIEW AND APPROVAL

**This application must be signed by both Originator of the request and signed by the Department Head. After review and final disposition from the Board, this application will be signed by the Board Chairman. After review and final disposition from the Board, this form will be presented to the Chief Procurement Officer recommending approval.**



Attach required forms for each procurement type and detailed scope of services and/or specifications and forward original documents to the Chief Procurement Officer; City Hall, Room 806.

Date: September 12, 2018

Department Name: Office of the Mayor

Requisition No: 241002      Specification No: 882127

PO No:      Modification No:

Contract Liaison: Yasmin Rivera

Telephone: 312-744-9991

Email: yasmin.rivera@cityofchicago.org

Project / Program Manager: Tiffany Newbern

Telephone: 312-744-2597

Email: tiffany.newbern2@cityofchicago.org

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

Note:

1) **Funding:** Attach information if multiple funding lines

2) **Individual Contract Services:** Include approval form signed by all parties

3) **ITGB:** IT project valued at \$100,000.00 or more, attach approval transmittal sheet.

Contract Liaison Signature: *Yasmin Rivera*

By signing this form, I attest that all information provided is true and accurate.

Project Title: Legislative Consulting Services

Project Description: Legislative Consulting Services in Springfield IL. for the City of Chicago

**Funding:**

Corporate     Bond     Enterprise     Grant     Other:

IDOT/Transit     IDOT/Highway     FHWA     FTA     FAA

LINE	FY	FUND	DEPT	ORGN	APPR	ACTV	PROJECT	RPTG	ESTDOLLAR AMOUNT
	19	0100	99	4401	0140	0000			92,000
	20	0100	99	4401	0140	0000			92,000

Check One:

**New Contract Request**

*\*By signing below, I attest the estimates provided for this contract are true and accurate.*

\*Project / Program Manager Signature: *Tiffany Newbern*

Commissioner/Authorized Designee Signature: *Alvin Carr Cook*

**Purchase Order Type:**

Blanket/Purchase Order (DUR)

Master Consultant Agreement (Task Order)

Standard/One-Time Purchase

**Procurement Method:**

Bid     RFP     RFQ     RFI

Small Order

**Special Approvals Required:**

Emergency

Non-Competitive Review Board (NCRB)

Request for Individual Contract Services

Information Technology Governance Board (ITGB)

IDOT Concurrence

**Purchase Order Information:**

Contract Term (No. of Months): 12 months

Extension Options (Rate of Recurrence): 1 - 12 months

Estimated Spend/Value: \$ 184,000

Grant Commitment / Expiration Date:

Pre-Bid/Submittal Conference:  Yes     No

Mandatory     Site Visit

**Contract Type:**

Architect Engineering     Commodity     Construction     JOC     SBI

Professional Services     Revenue Generating     Vehicle & Heavy Equipment

Work Service     Joint Procurement     Reference Contract

**Modification or Amendment**

Modification Information:

PO Start Date: \_\_\_\_\_

PO End Date: \_\_\_\_\_

Amount (Increase/Reduction): \_\_\_\_\_

**Safety Enhancing Vehicle Equipment (MCC 2-92-597) Yes \_\_\_ No**

**Modification/Amendment Type:**

Time Extension     Scope Change/Price Increase /Additional Line Item(s)

Vendor Limit Increase     Requisition Encumbrance Adjustment

Other (specify): \_\_\_\_\_

**MBE/WBE/DBE Analysis: (Attach MBE/WBE/DBE Goal Setting Memo)**

Full Compliance     Contract Specific Goals

No Stated Goals     Waiver Request

**Risk Management / EDS / IDOT**

Insurance Requirements (included)     Yes     No

EDS Certification of Filling (included)     Yes     No

IDOT Concurrence (required)     Yes     No

**Vendor Information**

Name: William Filan

Contact: William Filan

Address: 321 N. Clark St. Suite 2800 Chicago IL 60610

E-mail: wfilan@earthlink.net

Phone: 312-832-4700



OFFICE OF MAYOR RAHM EMANUEL  
CITY OF CHICAGO

To: Shannon E. Andrews  
Chief Procurement Officer, Department of Procurement Services

From: Maria Guerra, Director   
Mayor's Office, Legislative Counsel and Government Affairs

Re: Procurement of Legislative Consulting Services – William Filan, Ltd.

Date: September 12, 2018

---

This memorandum is to request the approval of a new contract for the legislative consulting services of William Filan of William Filan, Ltd. The current contract with this vendor was approved through the non-competitive procurement process, and this new contract is being sought through that process as well.

Mr. Filan performs state legislative consulting services on a year-round basis for the City of Chicago. This includes travel to Springfield for all legislative session days, monitoring of the legislative rulemaking committee, tracking state legislation, drafting state legislation, identifying issues or potentially harmful legislation, and attending legislative meetings, committee hearings, and conferences as needed. In addition, Mr. Filan maintains regular communication with state legislators, agencies and other stakeholders, and works with the Springfield team on bill negotiations in both chambers of the General Assembly. Mr. Filan is integral in advancing the City's agenda at the state level and working with legislators to protect the interests of the City.

Mr. Filan's extensive experience in state legislative affairs and institutional knowledge of issues relevant to the City make him a uniquely qualified candidate for this role. Mr. Filan has almost 40 years of state government experience, both working as a legislative senior staff member and as a consultant. His deep knowledge and historic understanding of the issues at hand, as well as his network of relationships in Springfield are unmatched. His wealth of experience and relationships have proven pivotal to the City's work in Springfield, and as such, I would like to secure his services for the period provided in the contract.

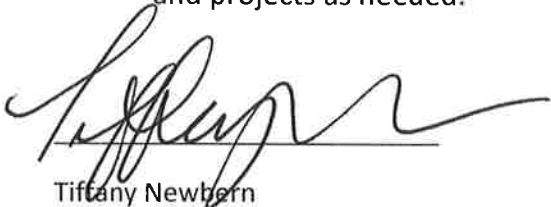
The proposed contract provides for a one-year term with a one-year extension option, at an annually rate of \$92,000.

Thank you, and please do not hesitate to contact me with any questions or concerns.

## Scope of Services

William Filan, of William Filan, LTD, will perform legislative consulting services on a year-round basis for the City of Chicago. Services will include:

1. Travel to Springfield for all legislative session days (Spring, Fall, and any special session days announced).
2. Monitoring of the legislative rulemaking committee.
3. Attendance at meetings and conferences as needed.
4. Tracking state legislation and spotting issues of concern for the City on a daily basis.
5. Advancing the City's agenda at the state level, while also working closely with legislators to protect the interest of the City on potentially harmful legislation.
6. Relationship building will be a critical to his function, as planning and attending legislative events and meetings will be a large part of his role.
7. Working directly with the City's Springfield team on bill.
8. Attending legislative committee hearings in Springfield and Chicago.
9. Drafting legislation for the City as well as amendments for legislation offending the City.
10. Conducting research to ensure the most optimal outcomes of the legislation proposed by City departments and other entities.
11. Consulting with other policymaking entities on legislative strategy.
12. Assisting in the passage of legislation needed by the City's departments and the Mayor's Office.
13. Providing intel to the City from other entities and lobbyist about state government and legislation.
14. Maintaining open lines of communication with the City and its legislative team.
15. Assisting in any state government or legislative affairs related tasks, programs, events, and projects as needed.



Tiffany Newbern  
Office of the Mayor  
Legislative Counsel and Government Affairs

## Yasmin Rivera

---

**From:** Yasmin Rivera  
**Sent:** Friday, May 04, 2018 4:29 PM  
**To:** 'wfilan@earthlink.net'  
**Cc:** Tiffany Newbern  
**Subject:** New Contract  
**Attachments:** GeneralContract.termsandconditions.ProServTCs041718.pdf

Tracking:	Recipient	Delivery
	'wfilan@earthlink.net'	
	Tiffany Newbern	Delivered: 5/4/2018 4:29 PM

Hi Mr. Filan,

Your current contract will expire on December 28, 2018, we will like to start the process on our new contract request, please provide the following by **close of business Friday May 11, 2018**.

- Online Economic Disclosure Statement filing certification – leave the contract number blank this would be a new request

[http://www.cityofchicago.org/city/en/depts/dps/provdrs/comp/svcs/economic\\_disclosurestatementseds.html](http://www.cityofchicago.org/city/en/depts/dps/provdrs/comp/svcs/economic_disclosurestatementseds.html)

- Copies of your up to date insurance policies
- New memo regarding your unique and exclusive services
- New memo regarding your request for the waiver on m/WBE compliance plan.
- New memo/quote confirming your rate.

Attached for your records and review is a copy of the city's general contract terms and conditions.

These are all requirements and part of the application process in order to meet with the Non-Competitive Review Board, if you have any questions don't hesitate to contact me.

Thank you,  
Yasmin Rivera  
312-744-9991



June 27, 2018

Ms. Maria Guerra  
Director  
Mayor's Office of Intergovernmental Affairs  
City of Chicago  
121 North LaSalle Street, Room 406  
Chicago, IL 60602

Dear Ms. Guerra:

I have been involved in the legislative process for close to 40 years and have worked with the City of Chicago on many of their issues for over 20 years. I am a problem solver that provides valuable institutional knowledge, advice and direction to your excellent staff and city departments. I assist in the reviewing of over 2500 bills that are introduced in any given session, and then follow many of these bills throughout the legislative session. I have established relationships with my peers, members of the General Assembly, the legislative staff and the executives who run the various departments within the Executive Branch under the Governor.

Some of the issues that confront us in Springfield range from transportation, public safety and pension stability to protecting our water, airports and home rule powers.

I have extensive knowledge on the various public policy issues confronting the City of Chicago. I believe my strategic advice and legislative expertise are invaluable to your team during a legislative session that moves and changes quickly. I understand the budget process and the rules that run the legislative process in both the Senate and the House.

In the past, I have worked with your team to prevent laws from being passed that would be detrimental to the City. I have also worked closely with your team to make sure Chicago gets its fair share of state revenue. My strengths lie in constantly reviewing strategies and tactics for new and creative ways to help achieve your goals. I am aggressive, tenacious and very resourceful with ideas to protect the City's interests in Springfield.

As we all know, passing and defeating a law can be very cumbersome. Legislators do not have the time to be experts in every issue and cannot possibly keep up with the daily process of both the Senate and House. The countless legislative committees and amendments that are

Ms. Maria Guerra  
Director  
Mayor's Office of Intergovernmental Affairs  
June 27, 2018  
Page 2

offered on a daily basis requires someone with the institutional knowledge to help protect the City's interests. I believe that my professional experience and demonstrated talents in both the administrative and legislative areas, combined with my strategic advice, would continue to be a worthwhile endeavor. Once again, I look forward to the opportunity to work with your team.

Yours very truly,



William Filan



# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)  
4/2/2018

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

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

<b>PRODUCER</b> MESIROW INS SERVICES INC/BBT/PHS 551324 P: (866) 467-8730 F: (888) 443-6112 PO BOX 29611 CHARLOTTE NC 28229	CONTACT NAME:		
	PHONE (A/C, No. Ext):	(866) 467-8730	FAX (A/C, No.): (888) 443-6112
E-MAIL ADDRESS:			
<b>INSURED</b> WILLIAM FILAN 321 N CLARK ST STE 2800 CHICAGO IL 60654		INSURER(S) AFFORDING COVERAGE	
		NAIC#	
		INSURER A: Hartford Casualty Ins Co	
		INSURER B:	
		INSURER C:	
		INSURER D:	
		INSURER E:	
		INSURER F:	

**COVERAGES**                      **CERTIFICATE NUMBER:**                      **REVISION NUMBER:**

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

INSR LTR	TYPE OF INSURANCE	ADDL INSR	SUBR BYD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
A	COMMERCIAL GENERAL LIABILITY			83 SBA LP3997	04/28/2018	04/28/2019	EACH OCCURRENCE	\$2,000,000
	CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR						DAMAGE TO RENTED PREMISES (Ea occurrence)	\$300,000
	X General Liab	X					MED EXP (Any one person)	\$10,000
	GEN'L AGGREGATE LIMIT APPLIES PER:						PERSONAL & ADV INJURY	\$2,000,000
	POLICY <input type="checkbox"/> PRO-JECT <input checked="" type="checkbox"/> LOC						GENERAL AGGREGATE	\$4,000,000
	OTHER:						PRODUCTS - COMP/OP AGG	\$4,000,000
								\$
A	AUTOMOBILE LIABILITY			83 SBA LP3997	04/28/2018	04/28/2019	COMBINED SINGLE LIMIT (Ea accident)	\$2,000,000
	ANY AUTO OWNED AUTOS ONLY						BODILY INJURY (Per person)	\$
	X HIRED AUTOS ONLY	X					BODILY INJURY (Per accident)	\$
							PROPERTY DAMAGE (Per accident)	\$
							\$	
	UMBRELLA LIAB						EACH OCCURRENCE	\$
	EXCESS LIAB						AGGREGATE	\$
	DEL							\$
	RETENTION \$							\$
	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY			N/A			PER STATUTE	OTH-ER
	ANY PROPRIETOR/PARTNER/EXECUTIVE/IN OFFICER/MEMBER EXCLUDED? (Mandatory in NH)						E.L. EACH ACCIDENT	\$
	If yes, describe under DESCRIPTION OF OPERATIONS below						E.L. DISEASE - EA EMPLOYEE	\$
							E.L. DISEASE - POLICY LIMIT	\$

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

Those usual to the Insured's Operations. Certificate holder is an additional insured per the Business Liability Coverage Form SS 00 08 attached to this policy.

### CERTIFICATE HOLDER

CITY OF CHICAGO  
DEPARTMENT OF PROCUREMENT SERVICES  
121 N LA SALLE ST RM 806  
CHICAGO, IL 60602

### CANCELLATION

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

AUTHORIZED REPRESENTATIVE

*Susan L. Castaneda*



# ADDITIONAL REMARKS SCHEDULE

<b>AGENCY</b> MESIROW INS SERVICES INC/BBT/PHS		<b>NAMED INSURED</b> WILLIAM FILAN 321 N CLARK ST STE 2800 CHICAGO IL 60654	
<b>POLICY NUMBER</b> SEE ACORD 25		EFFECTIVE DATE: SEE ACORD 25	
<b>CARRIER</b> SEE ACORD 25	<b>NAIC CODE</b>		

**ADDITIONAL REMARKS**

**THIS ADDITIONAL REMARKS FORM IS A SCHEDULE TO ACORD FORM**

**FORM NUMBER:** ACORD 25 **FORM TITLE:** CERTIFICATE OF LIABILITY INSURANCE

Certificate holder is an additional insured per the Business Liability Coverage Form SS0008 and the Hired Auto and Non Owned Auto Endorsement SS0438, attached to this policy. Coverage is primary and noncontributory per the Business Liability Coverage Form SS0008, attached to this policy. Waiver of Subrogation applies in favor of the Certificate Holder per the Business Liability Coverage Form SS0008, attached to this policy. Notice of Cancellation will be provided in accordance with Form SS1223, attached to this policy.

C09965 3/3



# WILLIAM FILAN

CORPORATE AND GOVERNMENT PLANNER

SUITE 2800  
321 NORTH CLARK STREET  
CHICAGO, ILLINOIS 60610-4764  
TELEPHONE 312.832.4391  
FACSIMILE 312.832.4700

June 27, 2018

Ms. Maria Guerra  
Director  
Mayor's Office of Intergovernmental Affairs  
City of Chicago  
121 North LaSalle Street, Room 406  
Chicago, IL 60602

Re: Salary

Dear Ms. Guerra:

I am requesting that my rate for my contract beginning on December 28, 2018 be set at \$92,000 per year.

Thank you.

Sincerely,



William Filan



CERTIFICATE OF FILING FOR  
CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT

EDS Number: 129357

Certificate Printed on: 06/22/2018

Date of This Filing:06/22/2018 10:29 AM

Original Filing Date:06/22/2018 10:29 AM

Disclosing Party: WILLIAM FILAN

Title:OWNER

Filed by: Mr. WILLIAM M FILAN

Matter: CONSULTING & LOBBYING  
CONTRACT

Applicant: WILLIAM FILAN

Specification #:

Contract #:

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

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

# WILLIAM FILAN

CORPORATE AND GOVERNMENT PLANNER

SUITE 2800  
321 NORTH CLARK STREET  
CHICAGO, ILLINOIS 60610-4764  
TELEPHONE 312.832.4391  
FACSIMILE 312.832.4700

June 27, 2018

Ms. Maria Guerra  
Director  
Mayor's Office of Intergovernmental Affairs  
City of Chicago  
121 North LaSalle Street, Room 406  
Chicago, IL 60602

Re: MBE/WBE Waiver

Dear Ms. Guerra:

I am writing to you concerning my proposed Legislative Consulting Contract with the Mayor's Office of Intergovernmental Affairs. Besides my wife Kimberly I am a sole proprietor with no other employees. I do not have any stated goals for any MBE/WBE participation and, therefore, am requesting a waiver.

Please call if you have any questions or need additional information. Thank you for your assistance in this matter.

Sincerely,




William Filan



OFFICE OF MAYOR RAHM EMANUEL  
CITY OF CHICAGO

To: Shannon E. Andrews  
Chief Procurement Officer  
Department of Procurement Services

From: Maria Guerra   
Director  
Mayor's Office of Legislative Counsel and Government Affairs

Date: September 12, 2018

Re: MBE/WBE Goals – Willian Filan

---

This memorandum is to confirm our office's concurrence with the request from William Filan ("Consultant"), in connection with the proposed contract for Legislative Consulting Services, that there be no stated MBE/WBE participation goals for the contract, for the reasons stated in Consultant's request letter.

Thank you, and please do not hesitate to contact me with any questions or concerns.



*Submit to: Soo Choi, Commissioner, Department of Human Resources*

**REQUEST TO USE PERSONAL SERVICES CONTRACTOR**

Requesting department: **Office of the Mayor** \_\_\_\_\_ Date: August 20, 2018

Contact person and phone number: Yasmin Rivera 312-744-9991

**A. Please provide the following information (attach additional sheets if needed):**

1. Name of the personal services contractor. William Filan
2. Explain why the contractor's services are necessary. The City requires the services of a consultant who possesses unique and extensive knowledge of the State Legislative process and the people that work within that process. That consultant will provide advice and key insight regarding all such matters and will further the City's interest in legislative initiatives taking place at the state level. Mr. Filan has extensive experience in many aspects of the State of Illinois legislative process having served in both state and city government, and having cultivated relationships and established credibility with state legislators. His unique and specific expertise is highly valuable and useful in coordinating lobbying efforts in Springfield for the City of Chicago. The countless legislative committees and amendments that are offered on a daily basis require an individual with Mr. Filan's valuable expertise to protect the City's interests. Mr. Filan is uniquely qualified to represent the City's interests before state governmental bodies and to assist the city in forming strategies to influence the posture of state legislation, state regulations and other matters affecting the city during legislative sessions.
3. Describe the nature of the work to be performed. Consult with the City and its departments on various matters, including, but not limited to, policy matters and legislative strategy; Assists and advise the City in drafting, preparing, and presenting state legislation; Appear before state legislative committees representing the City's interest; Provide information and background on legislation impacting the City of Chicago; Provide training for City team members from his particular nuanced perspective as an introduction to the general state legislative process.
4. Explain how the personal services contractor will function as an independent contractor and not function as employee-like (for guidance, please refer to attached criteria). The contractor will not have an office at City Hall nor will he be supplied with equipment or support staff, but will instead provide consulting services from his personal office, home, over the phone, and from Springfield. He will provide strategic counsel and guidance based upon his unique qualifications, employment history, and legislative perspective and relationships. With his

*If you have any questions, please contact Christopher Owen, First Deputy, Department of Human Resources at 312-744-8395*

decades of experience in Springfield, Mr. Filan will maintain a distinct role by providing critical guidance and strategic advice to employees during legislative session to aid them in completing their objectives. Mr. Filan will also assist in the training of the City's newer staff members on the state legislative process. He will also apply his skills and learned perspective in appearing before state legislative committees representing the City's interest. Mr. Filan is uniquely qualified to represent the City's interest before state governmental bodies and to assist the City in forming strategies to influence the posture of state legislation, state regulations or other matters affecting the City. Mr. Filan had been involved in legislative process for over 30 years and provides critical institutional knowledge, advice and direction to City officials and staff. He also has an in-depth understanding of how the budget process works. His relationship with key political leaders, as well as rank and file members, enhances the City's standing and provides direct access to decision makers. While in Springfield, the City team must work under incredible time constraints and deadlines. Having a consultant, such as Mr. Filan, is indispensable to provide a direct line to decision makers and senior staff to make quick progress on vital issues. The countless legislative committees and amendments that are offered on a daily basis require an individual with experience and unique expertise to protect the City's interests. Mr. Filan's legislative expertise, strategic advice and reputation are critical to the City's complex interests in Springfield.

5. Number of hours that the personal services contractor is expected to work per week: It varies from week to week. During a legislative session, hours of operations could mean working long days, meeting with state legislators or sitting in committee meetings which could add up to 35 to 50 hours a week. During a non-legislative session, it could be 10 to 25 hours a week. Due to the sporadic schedule we have agreed to an annually rate of \$92,000 to be paid to the consultant after submission of a quarterly invoice summarizing the hours and activities for that particular month. When not providing services to the City during the term of the contract between Mr. Filan and the City, and not during a legislative session, Mr. Filan may choose to continue providing services to other consulting clients to the extent that he is able to fulfill his consulting duties for the City under the agreed upon terms of the contract.
6. Project(s) to which the personal services contractor will be assigned: Review, analyze and comment on state legislative proposals, state regulatory proposals or other matters which may have a bearing on City policy or programs given by City departments, City officials and City employees; Provide strategies to approach the Illinois General Assembly and its leaders as well as the Illinois Executive Branch and various state agencies on issues critical to the City; Appear before state legislative committees representing the City's interest; Provide training to our staff on the legislative process. By its very nature the legislative process is fluid and changing, so the types and specific nature of the proposals and policies that Mr. Filan is asked to comment on may not be consistent. However, what will be

*If you have any questions, please contact Christopher Owen, First Deputy, Department of Human Resources at 312-744-8395*


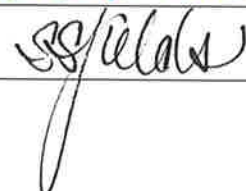
consistent is that Mr. Filan will be autonomous in that he will control and direct the carrying out of his analysis, strategizing and trainings in his role as consultant for the City of Chicago on the state legislative process and the people that work within that process.

7. The duration of the assignment(s). 1 year term

<u>Fund #:</u>	<u>Dept. #</u>	<u>Org. #</u>	<u>Approp.:</u>	<u>Object:</u>
0100	099	4401	0140	220140

**B. Please attach a copy of the contract.**

.....  
Department Head:  Date: 9/2/18

.....  
DHR: Approved Not Approved  Date: 9/6/18  
OBM: Approved Not Approved  Date: 9/11/18

## Yasmin Rivera

---

**From:** Yasmin Rivera  
**Sent:** Wednesday, September 12, 2018 3:21 PM  
**To:** Monica Jimenez; Bridget O'Shea; Gwendolyn Smith  
**Subject:** MBE/WBE Goals - William Filan  
**Attachments:** Filan.NCRB.NewRequest.2019.pdf

Good Afternoon,

Attached you will find our complete non-competitive review board package that includes our memo and the consultant memo regarding a no stated goals request for William Filan to provide Legislative Consulting Services to the Mayor's Office.

Thank you for your time and consideration in this matter.

Yasmin Rivera  
Office of the Mayor  
312-744-9991