



**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 |
| 50 Family and Support Services Contract Liaison | Kevin Givens | 312-746-8534 | 9/25/2020 | |
| Altha Riley | Email Contract Liaison altha.riley@cityofchicago.org | Telephone 312-743-0736 | | |

List Name of NCRB Attendees/Department

| | |
|---------------------------------|-------------------------------------|
| Cerathel Burgess Burnett - DFSS | Carleton Nolan - AIS |
| Jonathan Ernst- DFSS | Jennifer Alexander - Mayor's Office |
| Altha Riley-DFSS | |
| Hameed Ahsan-DFSS | |

Request NCRB review be conducted for the product(s) and/or service(s) described herein.

Company: 3SI - Third Sector Intelligence

| | | |
|---------------------|--------------|---------------------|
| Contact Person: | Phone: | Email: |
| Chris Strausz-Clark | 206.957.8587 | csclark@team3si.com |

Project Description: We are respectfully requesting a 13 month contract with 3SI - Third Sector Intelligence to develop Phase III of a project that is a continuation of work that 3SI initiated in partnership with the University of Illinois - Chicago (UIC) as part of a McCormick Foundation project to assist the Department of Family and Support Services in the development of a data warehouse focusing on our children early learning data and that of CPS.

This is a request for:

| | |
|---|--|
| <input checked="" type="checkbox"/> New Contract | <input type="checkbox"/> Amendment / Modification |
| <u>Contract Type</u> | <u>Type of Modification</u> |
| <input type="checkbox"/> Blanket Agreement Term: <u>13</u> (# of mo) | <input type="checkbox"/> Time Extension <input type="checkbox"/> Vendor Limit Increase <input type="checkbox"/> Scope Change |
| <input checked="" type="checkbox"/> Standard Agreement | Contract Number: _____ |
| | Specification Number: _____ |
| | Modification Number: _____ |

| | | | |
|------------------------------------|-----------|-----------------------------|---------|
| Department Request Approval | | Recommended Approval | |
| | 9/23/2020 | | 11/6/20 |
| DEPARTMENT HEAD OR DESIGNEE | DATE | BOARD CHAIRPERSON | DATE |
| Lisa Morrison Butler | | Steven M. Liboda | |
| PRINT NAME | | PRINT NAME | |

(FOR NCRB USE ONLY)

Recommend Approval/Date: _____

Return to Department/Date: _____

Rejected/Date: _____

Approved Rejected

CHIEF PROCUREMENT OFFICER Co November 2020

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.

DFSS is requesting a sole source 13 month contract with 3Si - Third Sector Intelligence for Phase III of a data warehousing project.

The Department of Family & Support Services (DFSS) invests millions in early childhood education and care to help prepare young learners for school and for life. Despite these efforts, 72% of Chicago children are not fully ready when they enter kindergarten. DFSS is committed to addressing this gap and will leverage the latest cloud-based technology to better assess: Eligibility and Access, Quality and Outcomes.

In 2018, the Robert R. McCormick Foundation and Crown Family Philanthropies, in collaboration with DFSS and the City of Chicago -Mayor's Office, conducted a national search and engaged Third Sector Intelligence, Inc. (3Si) in 2019 to assess the Child Outcome, Planning & Administration (COPA) early learning technology system, which supports a large portion of Chicago's early learning programs.

The McCormick Foundation and the City of Chicago selected 3Si because of its national early childhood analytic and technology expertise in performing similar work for other states and cities across the United States. A key aspect of this work is 3Si's Early Childhood Data Warehouse (ECDW) platform. The ECDW contains a common code base to help governments, philanthropic organizations, and nonprofit organizations use early childhood data to make informed decisions to improve the lives of the children and families they serve. 3Si owns and maintains the common code base and makes it available to its clients free of charge.

3Si completed its initial assessment of COPA in January 2020. Following 3Si's presentation of recommendations, the City and its funding partners expressed their intention to implement a DFSS analytic data warehouse within 12 months (using data from the existing COPA system). This decision resulted in a Data Warehouse Initiative for DFSS, which is described in three phases. Phase I/II was directly funded by the McCormick Foundation in partnership with the University of Illinois - Chicago (UIC) whom is a delegate agency of DFSS. UIC has current access to the COPA system and provided 3SI access to the data under a data access agreement drafted by the City of Chicago Law Department. The project is currently in Phase II which is scheduled to concluded in November 2020. Phase III will be funded by the City of Chicago.

2.

This is a first time procurement between DFSS and 3Si. DFSS would like to continue the work initiated by 3SI as part of the collobative project initiatially funded by the McCormick Foundation.

3.

There has been no effort to competitvely procure the suggested services due to the co-funded structure with McCormick in addition to the consecutive timeline of the three phases. Additionally DFSS needs the opportunity to quickly understand the impact of COVID-19 on our early learning programming which is addressed in Phase II of the project. The purpose of Phase II is to accelerate and condense the initial development of a DFSS data warehouse from twelve months to five months and reorient the analysis to enable DFSS to rapidly respond to the COVID-19 pandemic. The goal will be to integrate current data from COPA and other sources, so that DFSS and City decision-makers will have a more complete picture of Chicago's childcare supply and demand and can act more swiftly and decisively to address anticipated market shifts and impacts

4.



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N/A

5.

The contract for Phase III will be an one-time sole source contract request between DFSS and 3Si. Although we do not anticipate the contract to extend longer than the 13 months we are requesting the option to extend the contract two additional 12 month period if the project stakeholders need to consider additional scope requirements in order to provide a higher quality deliverable that is mutually agreed between DFSS and the Mayor's Office.

6.

Future competitive bidding will be considered as DFSS addresses the need to expand and sustain the data warehouse after the conclusion of Phase III.

ESTIMATED COST

1.

The 13 month contract is expected to cost \$529,000. The cost will be supported using Ready To Learn (RTL) provided from Mayor's Office. The estimated cost is based on the current scope of Phase III and the associated billable rate of 3Si.

2.

Estimated cost FY20 \$40,692 and FY21 \$488,307

3.

the estimated cost was based on the scope of Phase III and the associated billable rate and work hours. The FY20 cost is for one month of work for December 2020 and the FY 21 cost is for the remaining 12 months of the project from January 2021 - December 2021.

4.

McCormick Foundation at the completion of Phase I and Phase II would have invested in upwards of \$740,000 in order to develop the basic structure for the data warehouse with 3Si. The deliverables of Phase I/II are critical for the successful deployment of Phase III which continues to build on the data warehouse structure and use case development that is the needed foundation for a sustainable data warehouse that will be expanded to include additional program areas in DFSS over the next few years.

Phase I: Implementation Prep (Apr – Jun 2020) - \$50,000

With continued funding support from the McCormick Foundation and agreement with DFSS and the City of Chicago, 3Si was engaged to complete Phase I of the Project from April to June 2020. The primary purpose of Phase I was to scope and accomplish all the necessary preparations so DFSS and its partners could begin developing the data warehouse as quickly as possible. The scope for Phase I was as follows:

1. Identify use cases
2. Plan for and launch data warehouse infrastructure
3. Participate in the Early Childhood Education (ECE) Launch Committee

Phase II: Development of a Minimal Viable Product (MVP) (Jul – Nov 2020) - \$690,000

The purpose of Phase II is to accelerate and condense the initial development of a DFSS data warehouse from twelve months to five months and reorient the analysis to enable DFSS to rapidly respond to the COVID-19 pandemic. The goal will be to integrate current data from COPA and other sources, so that DFSS and City



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decision-makers will have a more complete picture of Chicago's childcare supply and demand and can act more swiftly and decisively to address anticipated market shifts and impacts.

1. Develop and maintain a data warehouse in the cloud: 3Si will leverage and adapt for Chicago its existing in-house ECDW to accelerate the work. 3Si will customize the ECDW and the common code and adapt it to accommodate the specific circumstances of Chicago's early learning program and its data landscape, availability, and quality. 3Si will:
 - a. Develop a data integration plan.
 - b. Inventory data sources relevant to use cases in more detail.
 - c. Test integration plan (transportation, storage, processing, analysis, etc.).
2. Ingest DFSS system data into data warehouse
3. Collect and ingest real-time data into data warehouse
4. Develop and present database outputs and analyses

Phase III Sustainability - \$529,000

In Phase III, 3Si will continue to develop and present database outputs and analyses in an integrated DFSS data warehouse. In addition to continuing to support use cases for near-term support (COVID-19 impacts, supply-demand analytics, etc.), 3Si will begin to address DFSS longer-term goals of ingesting data on the quality of early childhood learning services to support policy options and better decisions with better information. 3Si will aim to produce two more iterations of the integrated data warehouse (with improved analytical products), and will continue to use a CQI process coupled with Agile development methodologies to support the work.

The purpose of Phase III 3Si will:

- Continue to maintain products developed during Phase II in the cloud
- Prepare a high-level sustainability plan to position DFSS to operate, maintain, and continue developing the data warehouse beyond 2021 (if desired). The goal will be to leverage the DFSS team as much as is possible and realistic, while also accounting for specific staff skills, opportunities, constraints, etc. This work effort could also include defining what capacity and expertise DFSS may need to add (either via FTEs or third parties), depending on its goals for the data warehouse in 2022 and beyond. As part of this task 3Si could help advise DFSS if and how to proceed with an integrated City of Chicago data warehouse with Chicago Public Schools.
- Participate in key stakeholder engagements, including bi-weekly executive briefings and the ECE Launch Committee to assist the City of Chicago and its partners in shepherding the implementation of the early learning system. In particular, 3Si will focus on reporting progress regarding the integrated data warehouse initiative (after receiving direction and approval from DFSS and the McCormick Foundation), including updates on progress towards the use cases co-developed by the DFSS team and the Launch Committee in Phase 1.

5.

The billable rate and associated hours seem reasonable based on the level of work presented from 3Si in Phase I and II of the project. If an extension of the project is needed, DFSS will negotiate on the price.

SCHEDULE REQUIREMENTS

1.

The scheduling for Phase III is based on the expected completion of Phase II which is schedule to end in November 2020. 3Si will enter Phase III of the project to run from 12/1/2020 - 12/31/2021.



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2.

N/A

3.

Currently Phase II is scheduled to end in November 2020 and Phase III should start immediately at the close of Phase II for continuity of the project progress and was agreed upon with the McCormick Foundation in an executed MOA.

4.

Due to the structure of the project phases and the exclusive nature of the code 3Si developed for the project it would not be feasible to issue an RFP in 2020 for the deliverables that 3Si will be developing for DFSS in Phase III. Additionally the FY20 funding allocated might not be accessible for FY21 which could cause a funding deficiency for the contract.

EXCLUSIVE OR UNIQUE CAPABILITY

1.

N/A

2.

3Si because of its national early childhood analytic and technology expertise in performing similar work for other states and cities across the United States has a unique level of expertise that is critical for the success of the project and its impact on the early learning programming issued by DFSS.

3.

A key aspect of this work is 3Si's Early Childhood Data Warehouse (ECDW) platform. The ECDW contains a common code base to help governments, philanthropic organizations, and nonprofit organizations use early childhood data to make informed decisions to improve the lives of the children and families they serve. 3Si owns and maintains the common code base and makes it available to its clients free of charge.

The common code base represents the collective investments of 3Si and its partner organizations, which include multiple states, local governments, philanthropic organizations, and nonprofit organizations. 3Si intends for future users of the common code base to benefit from these collective investments and to pay it forward by adding their own contributions. 3Si is committed to providing the common code base to its clients, assisting its clients to use the common code base correctly, and preventing uses of the common code base that are contrary to 3Si's intention to improve the lives of children and families. To the knowledge of both 3Si and City of Chicago stakeholders, the common code within the ECDW is a unique asset and a comparable equivalent does not exist either in the private market or in the public and not-for-profit sectors.

In addition to the common code that 3Si developed the key principals of the company hold a depth of experience in the non for profit, early learning and analytics areas. Their biographies is as follows:

Chris Strausz-Clark, Managing Principal

Chris Strausz-Clark has over 25 years of professional experience analyzing data and performance for large-scale program and business investments. Chris' passion is to use data to help improve program outcomes and to make program costs affordable and sustainable. Chris has led successful consulting engagements with a wide array of public sector agencies, philanthropies, and nonprofits regionally, nationally and internationally. He is particularly focused on improving the lives of disadvantaged populations for a wide array of early learning partners, including the National Institute of Early Education Research (NIEER), Early Childhood DataWorks (Kellogg Foundation multi-year grant administered by the University of Pennsylvania), thread Alaska, the Bill & Melinda Gates Foundation, the Washington State Department of Early Learning, and many others.



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Prior to founding his consulting practice in 2009, Chris spent six years at the Bill & Melinda Gates Foundation and led financial planning and analysis of an \$800 million K-12 strategy. Chris also managed financial planning and analysis for the \$2 billion Global Development Program and led a program team for the Global Libraries program, which represented \$100 million in grants to Eastern Europe and Southeast Asian governments. Chris has also served as an equity analyst for a socially responsible asset management firm in Boston and worked in finance and marketing in Paris, Johannesburg, and New York for Sara Lee Corporation. Chris holds a Master of Public Policy from Duke University, a MBA from the University of North Carolina - Chapel Hill, and a BA from Davidson College.

Jonathan Oakdale, Principal

Mr. Oakdale has spent the past 15 years providing analysis, reporting, and systems development services for non-profit, government, and corporate organizations, including national and international firms. Jon brings to 3SI extensive knowledge of data analytics, reporting, forecasting, budgeting, data warehousing, master data management, and systems development. He is skilled at data modeling and designing information distribution processes in order to improve both data efficacy and organizational efficiency and has successfully done so for a wide variety of clients.

Prior to joining 3SI, Jon was Principal and Founder of Ideal Solutions NW, a consultancy focused on data solutions for non-profit organizations and philanthropies, including clients such as the Bill & Melinda Gates Foundation, College Success Foundation, Child Care Aware Washington, and Thrive Washington. His deep technical knowledge and extensive capabilities with task automation are visible in the rapid development solutions he has designed and tailored for both non-profit and corporate clients over the years. Before founding Ideal Solutions, Jon performed financial analytics at T-Mobile, and has also worked in finance and accounting for Tektronix, a leading technology company specializing in measurement and monitoring tools. Jon holds a MBA from the University of Washington and a BA in Economics and Computer Science from Willamette University.

Technical Skills:

Database Systems: SQL Server (SS) | Access | SS Integration Services (ETL) | SS Master Data Services | MySQL

Reporting: Tableau (Desktop & Server) | MS SS Reporting & Analysis Services, Power BI, Excel

CRM: Salesforce | Dynamics

Languages: T-SQL | SQL | VBA | VB | C++ | XML | Data Analysis Expressions (DAX) | Multidimensional Expressions (MDX)

Joelle Gruber, Project Manager

Joelle has over 10 years of experience in educational program evaluation. Most recently Joelle has:

- Lead mixed-methods program evaluation for philanthropic and government clients such as the Bill & Melinda Gates Foundation, WA State Department of Early Learning (DEL), and numerous other organizations.
- Assessed system limitations and made recommendations to improve the City of Seattle Department of Education and Early Learning (DEEL) primary early learning software system and its strategic use of data for planning, policy, and operations.



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- Performed quantitative and qualitative analyses for the purposes of continuous quality improvement in the areas of workforce preparedness, kindergarten readiness and program implementation.
- Worked closely with clients to use analyses for continuous quality improvement purposes.

Joelle has worked closely with the Early Learning team at the Bill & Melinda Gates Foundation to assess kindergarten readiness in WA State and to summarize the landscape of quality among rated providers and Head Start (HS) and Washington State's Early Childhood Education and Assistance Program (ECEAP) sites in the state. Joelle leads an annual analysis of the early learning workforce and professional development (PD) opportunities in Washington State for DEL. Prior to joining 3Si, Joelle worked for a third-party education evaluator at Metis Associates and led an evaluation strategy for the JPMorgan Chase Foundation. Joelle holds a Master of Public Administration from Columbia University and a BA from the University of Chicago.

4.

N/A

5.

3Si has a strong history of providing analytical support and technology in the early childhood area. 3Si because of its national early childhood analytic and technology expertise in performing similar work for other states and cities across the United States has a unique level of expertise that is critical for the success of the project and its impact on the early learning programming issued by DFSS. A key aspect of this work is 3Si's Early Childhood Data Warehouse (ECDW) platform. The ECDW contains a common code base to help governments, philanthropic organizations, and nonprofit organizations use early childhood data to make informed decisions to improve the lives of the children and families they serve. 3Si owns and maintains the common code base and makes it available to its clients free of charge. The common code base represents the collective investments of 3Si and its partner organizations, which include multiple states, local governments, philanthropic organizations, and nonprofit organizations.

6.

N/A

7.

No

8.

N/A

MBE/WBE Compliance Plan

3Si submitted a request for a waiver to DFSS.

OTHER

1. M/WBE Compliance Plan - 3Si submitted a request for a waiver to DFSS. This is included in the submission
2. The ITGB letter from BOIT /DAIS in support of the contract will be presented before the scheduled NCRB meeting.



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 800.

Date: 9/26/2020

Department Name: SO - Department of Family and Support Services

Revision No: 365075

Specification No: 1210921

Contract Liaison: Alpha Riley

Telephone: 312-749-0788

Email: alpha.riley@cityofchicago.org

Project / Program Manager: Kevin Givens

Telephone: 312-746-8634

Email: kevin.givens@cityofchicago.org

Check One:
 New Contract Request

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 forms and conditions of the funding source.

Notes:
 1) Example: Attach information if multiple funding lines
 2) Additional Contract Sections: include approval forms signed by all parties
 3) IDOT: If project value is \$100,000.00 or more, attach additional transmittal sheet.

Contract Liaison Signature: *Alpha Riley*

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

Project Title: 3SI Data Warehouse Phase III

Project Description: DFB is requesting a sole source contract with SSI - Third Sector Intelligence to develop Phase III of a project that is a continuation of work that SSI initiated in partnership with the University of Illinois - Chicago (UIC) as part of a McCormick Foundation project to assist the Department of Family and Support Services in the development of a data warehouse focusing on our children early learning data and that of CPB.

Funding:

Corporate Bond Enterprise Grant Other

IDOT/Transit IDOT/Highway FHWA FTA FAA

| LINE | FY | FUND | DEPT | ORGN | APPR | ACTV | PROJECT | RPTG | ESTDOLLAR AMOUNT |
|------|------|------|------|------|--------|------|---------|------|------------------|
| 020 | 0100 | 050 | 2005 | 9253 | 220140 | | | | 6529,000 |

Project / Program Manager / Purchaser Signature: *Kevin Givens*

Contract Liaison Signature: *Alpha Riley*

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 Weeks): 13
 Extension Options (Rate of Recurrence): 2 one year
 Estimated Spend/Value: \$ 529,000
 Grant Commitment / Expiration Date:
 Pre-Bid/Submittal Conference: Yes No
 Mandatory Site Visit

Contract Type:
 Architect/Engineering Commodity Construction JOC SSI
 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 2-82-897) 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 Filing (Included) Yes No
 IDOT Concurrence (required) Yes No

Vendor Information:
 Name: 3SI - Third Sector Intelligence
 Contact: Chris Strausz-Clark
 Address: 1932 1st Avenue, Suite 204, WA 98101
 E-mail: CS.clark@team3si.com
 Phone: 206 957 8587



DEPARTMENT OF FAMILY AND SUPPORT SERVICES
CITY OF CHICAGO

MEMORANDUM

To: Shannon Andrews
Chief Procurement Officer
Department of Procurement Services

From: _____
Lisa Morrison Butler
Commissioner
Department of Family and Support Services

Subject: NCRB Sole Source Contract Request
Vendor: 3SI

Date: September 25, 2020

The Department of Family and Support Services (DFSS) is requesting a sole source 13 month contract from December 1, 2020 to December 31, 2021 with an annual contract value of \$529,000.00 and with two (1) year extensions with Third Sector Intelligence (3Si) for the development of a data warehouse to support our Children Services Division. The sole source contract will fund Phase III of the project. Phase I and Phase II were funded by an outside party.

The Department of Family & Support Services (DFSS) regularly invests millions in early childhood education and care to help prepare young learners for school and for life. Despite these efforts, 72% of Chicago children are not fully ready when they enter kindergarten. DFSS is committed to addressing this gap and will leverage the latest cloud-based technology to better assess: Eligibility and Access, Quality and Outcomes.

In 2018, the Robert R. McCormick Foundation and Crown Family Philanthropies, in collaboration with DFSS and the City of Chicago - Mayor's Office, conducted a national search and engaged Third Sector Intelligence, Inc. (3Si) in 2019 to assess the Child Outcome,

Planning & Administration (COPA) early learning technology system, which supports a large portion of Chicago's early learning programs.

The McCormick Foundation and the City of Chicago selected 3Si because of its national early childhood analytic and technology expertise in performing similar work for other states and cities across the United States. A key aspect of this work is 3Si's Early Childhood Data Warehouse (ECDW) platform. The ECDW contains a common code base to help governments, philanthropic organizations, and nonprofit organizations use early childhood data to make informed decisions to improve the lives of the children and families they serve. 3Si owns and maintains the common code base and makes it available to its clients free of charge.

3Si completed its initial assessment of COPA in January 2020. Following 3Si's presentation of recommendations, the City and its funding partners expressed their intention to implement a DFSS analytic data warehouse within 12 months (using data from the existing COPA system). This decision resulted in a Data Warehouse Initiative for DFSS, which is described in three phases. Phase I/II was directly funded by the McCormick Foundation in partnership with the University of Illinois - Chicago (UIC) whom is a delegate agency of DFSS. UIC has current access to the COPA system and provided 3SI access to the data under a data access agreement drafted by the City of Chicago Law Department. The project is currently in Phase II which is scheduled to conclude in November 2020.

Phase III will be funded by the City of Chicago. This is a first time procurement between DFSS and 3SI. DFSS would like to continue the work initiated by 3SI as part of the collaborative project initially funded by the McCormick Foundation. To look to procure a different partner for this phase via a competitive process would cause the City to lose much of the product that has been delivered in the first two phases, a \$740,000 investment that was at no cost to the City.

The contract for Phase III will be a one-time sole source contract request between DFSS and 3SI. Although we do not anticipate the contract to extend longer than the 13 months we are requesting the option to extend the contract two additional 12 months if the project stakeholders need to consider additional scope requirements in order to provide a higher quality deliverable that is mutually agreed between DFSS and the Mayor's Office.

Thank you for your consideration of this request.

cc: Jonathan Ernst, DFSS Altha Riley, DFSS

Exhibit A

Scope

3Si Phase III: Scope of Work (MVP) (Dec 2020 – Dec 2021)

In Phase III, 3Si will continue to develop and present database outputs and analyses in an integrated DFSS data warehouse. In addition to continuing to support use cases for near-term support (COVID-19 impacts, supply-demand analytics, etc.), 3Si will begin to address DFSS longer-term goals of ingesting data on the quality of early childhood learning services to support policy options and better decisions with better information. 3Si will aim to produce two more iterations of the integrated data warehouse (with improved analytical products), and will continue to use a CQI process coupled with Agile development methodologies to support the work.

For Phase III, 3Si will produce two new versions of deliverables based on the work completed in Phase I/II:

Version 3 deliverable: By May 31, 2021 3Si will add, analyze, and produce preliminary results related to the early learning quality of provider sites. The primary purpose is to help both DFSS and its partner agencies monitor and improve quality program practices, as described by the uses cases co-developed by DFSS and the Launch Committee in Phase 1, and in accordance with Chicago’s Early Learning Standards Manual 2.0 (April 2019).

3Si will to access, ingest, model, and analyze data comprised of two major quality components.

1st quality component:

The first quality component is selective standards and evidence requirements associated with the Gold Circle of Quality—the highest rating in Illinois’ ExceleRate Quality Rating and Improvement System. All DFSS provider agencies are required to maintain these standards. 3Si proposes data associated with, but not limited to, the following standards:

TEACHING AND LEARNING: Learning Environment (1A), Instructional Quality (1C)

- Environmental Rating Scale (ERS)
- Classroom Assessment Scoring System (CLASS)
- Head Start Program Performance Standards: 1302 Subpart C – Education and Child Development Program Teaching and the Learning Environment

2nd quality component

The second quality component includes scores associated with child assessments.. 3Si proposes data associated with this instrument as follows:

CHILD ASSESSMENTS:

- Teaching Strategies GOLD outcome data across children, classrooms, and sites, to strengthen teacher practices and children’s learning and outcomes for the three annual regular checkpoints (fall, winter, and spring) required to be reported to DFSS.

If we conclude these data are viable, 3Si would combine outputs of these data with landscape data (compiled in Phase II) related to provider supply and demand. The goal would be to produce analytics that aggregate and organize teaching and learning and child assessment data by key variables (e.g. quality standard site score distributions).

Version 4 deliverable: 3Si will produce Version 4 of the integrated data warehouse (with improved analytical products) by October 31, 2021. The goal of this version will be to continue augmenting the integrated data warehouse as defined by DFSS and its partners to help support longer-term goals. The focus would remain on augmenting targeted datasets associated with, but not limited to, quality as follows:

CHILD ASSESSMENTS:

- Illinois' KIDS (Kindergarten Individual Development Survey) administered annually to kindergartners in Chicago Public Schools measures students' unique learning and support needs in three key developmental areas: social and emotional development, language and literacy development, and mathematics. This state-wide, validated tool for assessing kindergarten readiness would help the Children Services Division at DFSS measure its department success goal of ensuring more children are ready for school.

LEADERSHIP AND MANAGEMENT: Group size and staff/child ratios (3B) and operational data on attendance, chronic absenteeism, and staff turnover and vacancies

- Illinois State Board of Education Preschool for All monitoring item is in compliance: Checklist item #1 AND Student Information System (SIS) Data
- Head Start Program Performance Standards 1302 Subpart B – Program Structure (center-based option)
- TBD metrics from DFSS operating system on student attendance rates, chronic absenteeism, staff turnover and vacancies

DIRECTOR AND STAFF QUALIFICATIONS AND CONTINUING EDUCATION (4A,4B, 4C)

- Relevant qualifications as recorded by Gateways Registry
- Illinois State Board of Education Preschool for All monitoring item is in compliance: Checklist item #15
- Head Start Program Performance Standards are in compliance: 1302 Subpart I – Human Resources Management Staff qualifications and competency requirements: 1302.91 (a), 1302.91 (b).

In addition to Versions 3 and 4, in Phase III 3Si will:

- Continue to maintain products developed during Phase II in the cloud
- Prepare a high-level sustainability plan to position DFSS to operate, maintain, and continue developing the data warehouse beyond 2021 (if desired). The goal will be to leverage the DFSS team as much as is possible and realistic, while also accounting for specific staff skills, opportunities, constraints, etc. This work effort could also include defining what capacity and expertise DFSS may need to add (either via FTEs or third parties), depending on its goals for the data warehouse in 2022 and beyond. As

part of this task 3Si could help advise DFSS if and how to proceed with an integrated City of Chicago data warehouse with Chicago Public Schools.

- Participate in key stakeholder engagements, including bi-weekly executive briefings and the ECE Launch Committee to assist the City of Chicago and its partners in shepherding the implementation of the early learning system. In particular, 3Si will focus on reporting progress regarding the integrated data warehouse initiative (after receiving direction and approval from DFSS and the McCormick Foundation), including updates on progress towards the use cases co-developed by the DFSS team and the Launch Committee in Phase 1.

Deliverables:

The deliverables for Phase III are:

- Analytical outputs and presentation materials generated by 3Si for DFSS leadership, staff, and key stakeholders as derived from the data warehouse outputs:
 - Version 3 – due May 30, 2021
 - Version 4 – due October 31, 2021.
- A sustainability plan (in the form of a Word document) to help ensure continuity for the data warehouse in future years.
- Development of presentation materials for and participation in bi-weekly executive briefings and ECE Launch Committee meetings - ongoing

Signed:

Kevin N. Givens

9/24/2020



Kevin N. Givens, Deputy Commissioner Contracts, IT and Programmatic Monitoring

TO: Kevin Givens, Deputy Commissioner, DFSS

FROM: Chris Strausz-Clark, Managing Principal, 3Si

DATE: 9/24/2020

SUBJECT: Sole Source Justification for DFSS Data Warehouse Phase III

Background for Project

The Robert R. McCormick Foundation and Crown Family Philanthropies, in collaboration with DFSS and the City of Chicago, conducted a national search and engaged Third Sector Intelligence, Inc. (3Si) in 2019 to assess the Department of Family & Support Services (DFSS) Child Outcome, Planning & Administration (COPA) early learning technology system, which supports a large portion of Chicago's early learning programs. 3Si completed its initial assessment of COPA in January 2020; based on this assessment DFSS and its funding partners then decided to implement an analytic data warehouse in at least three phases starting in 2020 through 2022. The purpose is to improve DFSS's ability to perform data analytics and evaluation, which is currently limited by the COPA system.

With continued funding support from the McCormick Foundation and agreement with DFSS and the City of Chicago, 3Si was then engaged to complete Phase I from April to June 2020. The primary purpose of Phase I was to scope and accomplish all the necessary preparations so DFSS and its partners could begin developing the data warehouse as quickly as possible. 3Si and its partners successfully completed all aspects of Phase I by June 30, 2020. In parallel with Phase I, the McCormick Foundation and the City of Chicago (including DFSS) jointly signed a Memorandum of Understanding (MOU) to guide the remainder of the project. The McCormick Foundation and Crown Family Philanthropies agreed to fund Phase II. The City committed to fund Phase III and additional future phases of the project through 2022.

3Si was then engaged by the McCormick Foundation, in coordination with DFSS and using the University of Illinois-Chicago as an intermediary, to conduct Phase II of the work. Phase II is occurring now between July and November 2020. The purpose of Phase II is to develop the first version of a data warehouse in five months and enable DFSS to rapidly respond to the COVID-19 pandemic.

Justification for Sole Source

Phase III is scheduled to occur from December 1, 2020 until December 31, 2021. During Phase III 3Si will continue to develop the integrated data warehouse to generate analytics and use cases to help DFSS respond to the COVID pandemic. In addition, 3Si will begin to address DFSS longer-term goals of ingesting data on the quality of early childhood learning services to support policy options and better decisions with better information.

The rationale for a sole source contract is as follows:

- **Using 3Si's unique code base:** DFSS is leveraging 3Si's Early Childhood Data Warehouse (ECDW) platform, which 3Si has installed and is customizing for DFSS and the City of Chicago on DFSS's Microsoft Azure cloud platform during Phase II. The ECDW contains a code base to help organizations use data to make informed decisions to improve the lives of the children and families they serve. 3Si owns and maintains this code base and provides a free license in perpetuity to its public sector and not-for-profit clients. To the knowledge of both 3Si and City of Chicago

stakeholders, the code within the ECDW is a unique asset and a comparable equivalent does not exist either in the private market or in the public and not-for-profit sectors.

- **Leveraging 3Si's unique expertise and experience:** The McCormick Foundation and the City of Chicago selected 3Si because of its national early childhood analytic and technology expertise in performing similar work for other states and cities across the United States. In addition, 3Si has developed almost two years of specialized knowledge regarding DFSS's customized COPA system and data. This combination of expertise and experience is unique and would not be possible to duplicate within the time remaining for this project (or possibly at all regardless of the time period).
- **Honoring DFSS's commitment to its partners:** DFSS and the City of Chicago have signed a MOU with the McCormick Foundation that commits DFSS to supporting Phase III of the work. Since McCormick has already selected and funded 3Si for Phases I and II of the project, the City's commitment includes continuing to engage 3Si as a vendor to maintain project performance, continuity, and partnerships. DFSS has realized multiple benefits from 3Si's status as a trusted partner with the McCormick Foundation, Crown Family Philanthropies, the Education Systems Center, and others. These benefits in turn have enabled DFSS to accelerate the project and move much faster, and this speed has been critical to help position the agency to respond to the pandemic, compete for Head Start funding, and other critical tasks. This role and situation are unique and the combination of 3Si's speed, efficacy, and trust by partners, in the middle of a pandemic, cannot be duplicated by another vendor at this stage of the project.

I would be happy to answer any questions or discuss any of these points in further detail if necessary.

Sincerely,



Chris Strausz-Clark
Managing Principal
Third Sector Intelligence, Inc

THIRD SECTOR INTELLIGENCE, INC (3SI) – PRICE QUOTE

Early Childhood Education Data Warehouse Initiative Budget: Phase III

| Phase III Data Warehouse Budget (13 months) | | | | | | |
|---|---------------|------------------|------------------|--------------------|--------------------|--|
| | Rate/ Hour | DW v3 Dec-Apr | DW v4 May-Oct | Sustain Nov-Dec | Phase III Total | |
| Managing Principal | \$ 220 | \$ 38,133 | \$ 45,760 | \$ 15,253 | \$ 99,147 | |
| Technology Principal | \$ 195 | \$ 49,010 | \$ 47,913 | \$ 13,520 | \$ 110,443 | |
| Business Intelligence Engineers | \$ 175 | \$ 75,833 | \$ 91,000 | \$ 30,333 | \$ 197,167 | |
| Product/Analytical Manager | \$ 155 | \$ 47,017 | \$ 56,420 | \$ 18,807 | \$ 122,243 | |
| Total Budget Phase III | | \$ 209,993 | \$ 241,093 | \$ 77,913 | \$ 529,000 | |

Managing Principal: is responsible for the success of all contracted deliverables and associated project work. He has deep subject matter expertise in early childhood education and related topics, and is responsible for end-to-end analytic product development, analytics outputs, and how these outputs and analyses are used and interpreted. The Managing Principal shapes, synthesizes, and visualizes complex data concepts and converts these concepts into information that support decisions and client actions.

Technology Principal: is responsible for deploying cloud-based analytic technologies, business intelligence engineering, software code, quality control, and the integrity of all 3Si technology products. In addition, the technology principal identifies, assembles, and oversees all technical resources. This role is responsible for end-to-end technology products and processes, such as extract-load-transport sequences, data transport pipelines, data processing and scaling, data transformations, etc.

Business Intelligence Engineer: Writes code to transform unstructured data into relational databases (e.g., SQL); tests code and maintains source control (e.g., GitHub); builds automated visualizations, dashboards, and other analytical outputs; adjusts data models to account for significant data fragmentation and guides analytic and technology investments, and additional technical tasks.

Product and Project Manager: Builds automated visualizations, dashboards, and other analytical outputs; takes ownership of and shepherds analytic product releases; manages scope, schedule, budget, and other project components for each release; translates complex information into presentations that audiences can understand and use; reports and communicates analysis to diverse audiences.

Role and Budget Discipline: 3Si staff record all work in 15-minute increments, then compare this work to actual and planned progress on project deliverables (both interim and overall). 3Si's internal tools and processes enable 3Si to exert tight fiscal and operational control, and allow 3Si to flex its labor as project conditions change to ensure staff deliver against contracted outcomes.

I would be happy to answer any questions or discuss any of these points in further detail if necessary.

Sincerely,

Chris Strausz-Clark
 Managing Principal
 Third Sector Intelligence, Inc

Kevin Givens

From: Kevin Givens
Sent: Thursday, September 24, 2020 10:13 AM
To: csclark (csclark@team3si.com)
Cc: Denise Carlson
Subject: City of Chicago's General contract Terms and Conditions submittal to 3SI
Attachments: IT Pro Serv single project 09-07-2018 (002).doc

Good morning Mr. Chris Strauz Clark of Third Sector Intelligence (3SI) –

As part of the City' NCRB procurement process I need to send an email to you that clearly states that I sent to you a copy of the City's general contract terms and conditions. This information was part of the attachment I sent last week and what I have resent today. Articles 3 and 4 of the attached document cover the City's General Contract Terms and Conditions. Please review and contact me with any questions.

Thank you

Kevin N.Givens
Deputy Commissioner
Contracts, IT and Programmatic Monitoring

Chicago Department of Family and Support Services
1615 West Chicago Avenue 3rd Floor | Chicago, Illinois 60622
312-746-8534 | kevin.givens@cityofchicago.org



September 24, 2020

Kevin N. Givens
Deputy Commissioner
Contracts, IT and Programmatic Monitoring
Chicago Department of Family and Support Services
1615 West Chicago Avenue 3rd Floor | Chicago, Illinois 60622
312-746-8534 | kevin.givens@cityofchicago.org

Dear Kevin:

Third Sector Intelligence (3Si) is requesting a waiver for Article 6 in the Professional Services Agreement as it relates to the City of Chicago's MBE and WBE contracting goals.

3Si is an SBA certified small business. As such, 3Si at this time has no capacity to subcontract project work to Minority Owned Business Enterprises (MBE) nor Women Owned Business Enterprises (WBE).

In addition, the relatively small proposed contract size and short duration make hiring a MBE or WBE prohibitive for this work.

Thank you for this consideration, and please don't hesitate to contact me with any questions.

Sincerely,



Chris Strausz-Clark
Managing Principal
Third Sector Intelligence, Inc



DEPARTMENT OF FAMILY AND SUPPORT SERVICES
CITY OF CHICAGO

MEMORANDUM

To: Shannon Andrews
Chief Procurement Officer
Department of Procurement Services

From: David Reynolds SB
David Reynolds
Commissioner
Department of Assets, Information and Services

Subject: **Non-Competitive Review Board Approval**
Vendor: 3SI

Date: October 29, 2020

I concur with the Department of Family and Support Services (DFSS) request to enter into a new sole source 13 month contract with 3SI – Third Sector Intelligence for the third phase of the Data Warehouse Initiative for DFSS Children Services Division. 3SI is part of a current agreement funded by the McCormick Foundation for Phase I/II of the data warehouse initiative. In order to ensure continuity and integrity of the project deliverables the selection of 3SI for Phase III is ideal. The Children Services' data for the initiative is housed in the DFSS' Child Outcome, Planning & Administration (COPA) early learning technology system, which supports a large portion of Chicago's early learning programs. The COPA system contains the data of thousands of Chicago families and the deliverables of the 3SI's Phase III will allow DFSS to analyze educational program gaps across the City and identify which demographics of children need the most assistance.

The purpose of the DFSS Data Warehouse Initiative is to position an integrated data warehouse to deliver data and analysis to support DFSS's longer-term objectives. These objectives include the delivery of timely, integrated data from multiple data sources—including Chicago Public Schools—for informed decision-making across more aspects of its strategic framework: eligibility, access, services, systems, and impact. During this time, 3Si also will continue to refresh early childhood data and provide regular analyses to inform decisions

Thank you for your consideration of this request

cc: Carleton Nolan, DAIS
Jonathan Ernst, DFSS
Altha Riley, DFSS
Kevin Givens, DFSS



DEPARTMENT OF FAMILY AND SUPPORT SERVICES
CITY OF CHICAGO

MEMORANDUM

To: Monica Jimenez
Deputy Procurement Officer
Department of Procurement Services

From: 

Lisa Morrison Butler
Commissioner
Department of Family and Support Services

Subject: **M/WBE Waiver Request for New Sole Source Contract**
Vendor: 3SI

Date: September 25, 2020

The Department of Family and Support Services (DFSS) is requesting a sole source 13 month contract from December 1, 2020 to December 31, 2021 with an annual contract value of \$529,000.00 and with two (1) year extensions with Third Sector Intelligence (3Si) for the development of a data warehouse to support our Children Services Division. The sole source contract will fund Phase III of the project. Phase I and Phase II were funded by the McCormick Foundation.

In 2018, the Robert R. McCormick Foundation and Crown Family Philanthropies, in collaboration with DFSS and the City of Chicago - Mayor's Office, conducted a national search and engaged Third Sector Intelligence, Inc. (3Si) in 2019 to assess the Child Outcome, Planning & Administration (COPA) early learning technology system, which supports a large portion of Chicago's early learning programs.

The McCormick Foundation and the City of Chicago selected 3Si because of its national early childhood analytic and technology expertise in performing similar work for other states and cities across the United States. A key aspect of this work is 3Si's Early Childhood Data Warehouse (ECDW) platform. The ECDW contains a common code base to help

governments, philanthropic organizations, and nonprofit organizations use early childhood data to make informed decisions to improve the lives of the children and families they serve. 3Si owns and maintains the common code base and makes it available to its clients free of charge.

Due to the common code elements used for the ECDW which is proprietary coding that 3Si has developed and customized primarily for DFSS. The coding will be used on a hosted system that is accessible via the internet. In order to protect the source code and maintain the confidentiality of information, 3Si does not partner or subcontract with other vendors including M/WBE vendors. Further, the headquarters of the firm is based in Seattle which makes obtaining indirect M/WBE participation from local Chicago vendors challenging.

Thank you for your consideration of this request.

cc: Jonathan Ernst, DFSS Altha Riley, DFSS



CERTIFICATE OF FILING FOR
CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT

EDS Number: 155765

Date of This Filing:09/25/2020 11:30 AM

Certificate Printed on: 09/25/2020

Original Filing Date:09/25/2020 11:30 AM

Disclosing Party: Third Sector Intelligence, Inc Title:Director of Operations

Filed by: Denise Carlson

Matter: DFSS Data Warehouse

Applicant: Third Sector Intelligence, Inc

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.

ACORD™ CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YY)
7/6/2020

PRODUCER

SHINSTROM & NORMAN INC
PO Box 638
Kirkland, WA 98083
(425) 827-6200

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW.

INSURERS AFFORDING COVERAGE

INSURED

THIRD SECTOR INTELLIGENCE, INC.
1932 - 1ST AVENUE, SUITE 204
SEATTLE, WA 98101

INSURER A: **MUTUAL OF ENUMCLAW INSURANCE COMPANY**
INSURER B:
INSURER C:
INSURER D:
INSURER E:

COVERAGES

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. AGGREGATE LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.


| INSR LTR | TYPE OF INSURANCE | POLICY NUMBER | POLICY EFFECTIVE DATE (MM/DD/YY) | POLICY EXPIRATION DATE (MM/DD/YY) | LIMITS |
|----------|---|----------------------------------|----------------------------------|-----------------------------------|---|
| A | GENERAL LIABILITY <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY CLAIMS MADE <input type="checkbox"/> OCCUR <input checked="" type="checkbox"/> | BOP0007603 | 07/16/20 | 07/16/21 | EACH OCCURRENCE \$ 2,000,000 |
| | | | | | FIRE DAMAGE (Any one fire) \$ 100,000 |
| | | | | | MED EXP (Any one person) \$ 10,000 |
| | | | | | PERSONAL & ADV INJURY \$ 2,000,000 |
| | | | | | GENERAL AGGREGATE \$ 4,000,000 |
| | | | | | PRODUCTS - COMP/OP AGG \$ 4,000,000 |
| | GEN'L AGGREGATE LIMIT APPLIES PER: <input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC | | | | |
| A | AUTOMOBILE LIABILITY <input type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS <input checked="" type="checkbox"/> NON-OWNED AUTOS | BOP0007603 | 07/16/20 | 07/16/21 | COMBINED SINGLE LIMIT (Ea accident) \$ 2,000,000 |
| | | | | | BODILY INJURY (Per person) \$ |
| | | | | | BODILY INJURY (Per accident) \$ |
| | | | | | PROPERTY DAMAGE (Per accident) \$ |
| | GARAGE LIABILITY <input type="checkbox"/> ANY AUTO | | | | AUTO ONLY - EA ACCIDENT \$ OTHER THAN EA ACC \$ AUTO ONLY: AGG \$ |
| A | EXCESS LIABILITY <input checked="" type="checkbox"/> OCCUR <input type="checkbox"/> CLAIMS MADE <input type="checkbox"/> DEDUCTIBLE <input checked="" type="checkbox"/> RETENTION \$ 10,000 | UMC0007334 | 06/26/20 | 06/26/21 | EACH OCCURRENCE \$ 1,000,000 |
| | | | | | AGGREGATE \$ 1,000,000 |
| | | | | | \$ |
| | | | | | \$ |
| A | WORKERS COMPENSATION AND EMPLOYERS' LIABILITY | BOP0007603 WASH STOP GAP ONLY | 07/16/20 | 07/16/21 | WC STATU-TORY LIMITS OTH-ER E.L. EACH ACCIDENT \$ 2,000,000 |
| | | | | | E.L. DISEASE - EA EMPLOYEE \$ 2,000,000 |
| | | | | | E.L. DISEASE - POLICY LIMIT \$ 2,000,000 |
| | OTHER | | | | |

DESCRIPTION OF OPERATIONS/LOCATIONS/VEHICLES/EXCLUSIONS ADDED BY ENDORSEMENT/SPECIAL PROVISIONS

RE: OPERATIONS
THE CITY OF CHICAGO, DEPARTMENT OF FINANCE, RISK MANAGEMENT OFFICE IS INCLUDED AS ADDITIONAL INSURED PER ATTACHED FORM BP0448. COVERAGE IS PRIMARY & NON-CONTRIBUTORY PER ATTACHED FORM BP1488. WAIVER OF SUBROGATION IS INCLUDED PER ATTACHED FORM BP0497.
UMBRELLA POLICY FOLLOWS FORM.

CERTIFICATE HOLDER

CITY OF CHICAGO
DEPARTMENT OF FINANCE
RISK MANAGEMENT OFFICE
333 SOUTH STATED STREET, ROOM 400
CHICAGO, IL 60604

CANCELLATION
SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, THE ISSUING INSURER WILL ENDEAVOR TO MAIL 45 DAYS WRITTEN NOTICE TO THE CERTIFICATE HOLDER NAMED TO THE LEFT, BUT FAILURE TO DO SO SHALL IMPOSE NO OBLIGATION OR LIABILITY OF ANY KIND UPON THE INSURER, ITS AGENTS OR REPRESENTATIVES.
AUTHORIZED REPRESENTATIVE


THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

**ADDITIONAL INSURED – DESIGNATED PERSON
OR ORGANIZATION**

This endorsement modifies insurance provided under the following:

BUSINESSOWNERS COVERAGE FORM

SCHEDULE

| |
|--|
| Name Of Additional Insured Person(s) Or Organization(s): |
| CITY OF CHICAGO, DEPARTMENT OF FINANCE, RISK MANAGEMENT |
| Information required to complete this Schedule, if not shown above, will be shown in the Declarations. |

Section II – Liability is amended as follows:

A. The following is added to Paragraph C. **Who Is An Insured:**

- 3. Any person(s) or organization(s) shown in the Schedule is also an additional insured, but only with respect to liability for "bodily injury", "property damage" or "personal and advertising injury" caused, in whole or in part, by your acts or omissions or the acts or omissions of those acting on your behalf in the performance of your ongoing operations or in connection with your premises owned by or rented to you.

However:

- a. The insurance afforded to such additional insured only applies to the extent permitted by law; and
- b. If coverage provided to the additional insured is required by a contract or agreement, the insurance afforded to such additional insured will not be broader than that which you are required by the contract or agreement to provide for such additional insured.

B. With respect to the insurance afforded to these additional insureds, the following is added to Paragraph D. **Liability And Medical Expenses Limits Of Insurance:**

If coverage provided to the additional insured is required by a contract or agreement, the most we will pay on behalf of the additional insured is the amount of insurance:

- 1. Required by the contract or agreement; or
 - 2. Available under the applicable Limits Of Insurance shown in the Declarations;
- whichever is less.

This endorsement shall not increase the applicable Limits Of Insurance shown in the Declarations.

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

**PRIMARY AND NONCONTRIBUTORY –
OTHER INSURANCE CONDITION**

This endorsement modifies insurance provided under the following:

BUSINESSOWNERS COVERAGE FORM

The following is added to Paragraph H. **Other Insurance of Section III – Common Policy Conditions** and supersedes any provision to the contrary:

Primary And Noncontributory Insurance

This insurance is primary to and will not seek contribution from any other insurance available to an additional insured under your policy provided that:

1. The additional insured is a Named Insured under such other insurance; and

2. You have agreed in writing in a contract or agreement that this insurance would be primary and would not seek contribution from any other insurance available to the additional insured.

POLICY NUMBER: BOP0007603

BUSINESSOWNERS
BP 04 97 01 06

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

**WAIVER OF TRANSFER OF RIGHTS OF RECOVERY
AGAINST OTHERS TO US**

This endorsement modifies insurance provided under the following:

BUSINESSOWNERS COVERAGE FORM

SCHEDULE

| |
|--|
| Name Of Person Or Organization: |
| CITY OF CHICAGO, DEPARTMENT OF FINANCE, RISK MANAGEMENT |
| Information required to complete this Schedule, if not shown above, will be shown in the Declarations. |

Paragraph K. Transfer Of Rights Of Recovery Against Others To Us in Section III – Common Policy Conditions is amended by the addition of the following:

We waive any right of recovery we may have against the person or organization shown in the Schedule above because of payments we make for injury or damage arising out of your ongoing operations or "your work" done under a contract with that person or organization and included in the "products-completed operations hazard". This waiver applies only to the person or organization shown in the Schedule above.



CERTIFICATE OF LIABILITY INSURANCE

DATE(MM/DD/YYYY)

7/6/2020

| | | |
|--|--|--------------|
| PRODUCER SHINSTROM & NORMAN INC PO Box 638 Kirkland, WA 98083 (425)827-6200 | THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. | |
| | INSURERS AFFORDING COVERAGE | NAIC# |
| INSURED THIRD SECTOR INTELLIGENCE, INC. 1932 - 1ST AVENUE, SUITE 204 SEATTLE, WA 98101 | INSURER A: RLI INSURANCE COMPANY | |
| | INSURER B: | |
| | INSURER C: | |
| | INSURER D: | |
| | INSURER E: | |

COVERAGES

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. AGGREGATE LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

| INSR LTR | ADD'L INSRD | TYPE OF INSURANCE | POLICY NUMBER | POLICY EFFECTIVE DATE(MM/DD/YYYY) | POLICY EXPIRATION DATE(MM/DD/YYYY) | LIMITS |
|----------|-------------|--|-------------------|-----------------------------------|------------------------------------|--|
| | | GENERAL LIABILITY <input type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMSMADE <input type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER <input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC | | | | EACH OCCURRENCE \$ DAMAGE TO RENTED PREMISES (Ea occurrence) \$ MED EXP (Any one person) \$ PERSONAL & ADV INJURY \$ GENERAL AGGREGATE \$ PRODUCTS - COMP/OP AGG \$ |
| | | AUTOMOBILE LIABILITY <input type="checkbox"/> ANYAUTO <input type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> HIRED AUTOS <input type="checkbox"/> NON-OWNED AUTOS | | | | COMBINED SINGLE LIMIT (Ea accident) \$ BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ |
| | | GARAGE LIABILITY <input type="checkbox"/> ANYAUTO | | | | AUTO ONLY - EA ACCIDENT \$ OTHER THAN EA ACC AGG \$ |
| | | EXCESS / UMBRELLA LIABILITY <input type="checkbox"/> OCCUR <input type="checkbox"/> CLAIMSMADE <input type="checkbox"/> DEDUCTIBLE <input type="checkbox"/> RETENTION \$ | | | | EACH OCCURRENCE \$ AGGREGATE \$ \$ \$ \$ |
| | | WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) <input type="checkbox"/> Y/N If yes, describe under SPECIAL PROVISIONS below | | | | <input type="checkbox"/> WC STATU-TORY LIMITS <input type="checkbox"/> OTH-ER E.L. EACH ACCIDENT \$ E.L. DISEASE - EA EMPLOYEE \$ E.L. DISEASE - POLICY LIMIT \$ |
| A | | OTHER PROFESSIONAL LIABILITY | TEC0003188 | 07/16/19 | 07/16/20 | \$1,000,000 EACH CLAIM \$2,000,000 AGGREGATE \$5,000 DED EACH CLAIM |

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES / EXCLUSIONS ADDED BY ENDORSEMENT / SPECIAL PROVISIONS

CERTIFICATE HOLDER

CITY CHICAGO
DEPARTMENT OF FINANCE
RISK MANAGEMENT OFFICE
333 SOUTH STATE STREET
CHICAGO, IL 60604

CANCELLATION

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, THE ISSUING INSURER WILL ENDEAVOR TO MAIL 30 DAYS WRITTEN NOTICE TO THE CERTIFICATE HOLDER NAMED TO THE LEFT, BUT FAILURE TO DO SO SHALL IMPOSE NO OBLIGATION OR LIABILITY OF ANY KIND UPON THE INSURER, ITS AGENTS OR REPRESENTATIVES.

AUTHORIZED REPRESENTATIVE

ACORD 25 (2009/01)

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