A
PROPOSAL

TO

THE METROPOLITAN WATER RECLAMATION DISTRICT

OF

GREATER CHICAGO

TO

DEVELOP AND TEST

A DISASTER RECOVERY PLAN

FOR CRITICAL BUSINESS SUPPORT SYSTEMS

By

THE 4M COMPANY

METROPOLITAN WATER RECLAMATION DISTRICT OF GREATER CHICAGO
RFP NUMBER 02-RFP-07

May 17, 2002
# TABLE OF CONTENTS

Executive Summary ........................................................................................................ 3  
Objectives and Scope .................................................................................................... 3  
Project Assumptions ..................................................................................................... 4  
Project Objectives ......................................................................................................... 4  
Work Approach and Deliverables ................................................................................... 4  

Scope of Work ................................................................................................................ 6  
  Phase II: Recovery Strategy Development (Segment 1200) ........................................ 7  
  Phase III: Recovery Plan Development (Segment 1300) ............................................ 9  
  Phase III: Maintenance Procedures Development (Segment 1400) .......................... 11  
  Phase IV: Recovery Plan Training (Segment 1500) .................................................. 12  
  Phase IV: Recovery Plan Testing (Segment 1600) ...................................................... 13  
  Phase IV: Recovery Plan Installation (Segment 1700) ............................................... 15  
  Phase IV: Continuing Support (Segment 1800) .......................................................... 17  

Vendor Qualifications .................................................................................................... 18  
Description Of Companies .............................................................................................. 18  
Experience ..................................................................................................................... 20  
  Project Team ................................................................................................................ 20  
  Project References ....................................................................................................... 20  
    CLIENT REFERENCES # 1 ......................................................................................... 22  
    CLIENT REFERENCES # 2 ......................................................................................... 23  
    CLIENT REFERENCES # 3 ......................................................................................... 24  
Financial Statements ....................................................................................................... 25  
References ....................................................................................................................... 26  
Legal Requirements ........................................................................................................ 27  
Affirmative Action .......................................................................................................... 28  

Insurance Requirements ............................................................................................... 29  

Attachments – Other Required Submittal Forms .......................................................... 30  
      Cost Proposal ........................................................................................................... 31  
      Non-Collusion Affidavit ......................................................................................... 32  
      Certification Affidavit ........................................................................................... 33  
      Affidavit of Ownership ......................................................................................... 34  
      Affidavit AF-1 ...................................................................................................... 35  
      Consultant Contracts ............................................................................................ 37  
      Certification Letters ............................................................................................. 38  
      Detailed Work Plan ............................................................................................... 39  

The 4M Company May 17, 2002
May 17, 2002

Purchasing Agent
Metropolitan Water Reclamation District of Greater Chicago
100 East Erie Street
Chicago, Illinois 60611

Dear Purchasing Agent;

The 4M Company (4M) is pleased to submit this proposal to the Metropolitan Water Reclamation District of Greater Chicago ("District") to present our Disaster Recovery Planning approach and pricing in response to RFP No. 02-RFP-07. This proposal covers the development, implementation, and test of a comprehensive contingency recovery plan. Our firm has the professional staff and experience to provide the consulting and technology services that address the Scope of Work presented in Section II of your RFP.

This proposal is a firm offer for a period of at least one hundred and twenty (120) days, and 4M will comply with the terms of RFP No. 02-RFP-07.

Our professional fees for the Disaster Recovery portion of this project are $134,000.00. Additionally, we would assist you in selecting Disaster Recovery Planning Software, if you so chose, that would be priced in addition to the engagement fee. From our experience and based on the work plan outlined in this proposal, we estimate that we can complete this engagement within 75 workdays after receiving written notification of the District’s acceptance of this proposal and approval to begin work.

The 4M Company is a minority-owned business having received minority certifications from the State of Illinois, the County of Cook, and the City of Chicago. We are committed to meeting or exceeding the District’s Affirmative Action goals. If you need any additional information on the content of this proposal, please contact Marlon Woods at 312-555-1212.

Sincerely,

Marlon Woods
CEO
Executive Summary

The 4M Company (4M) project team (the “4M project team”) appreciates the opportunity to present our proposal in response to the Metropolitan Water Reclamation District of Greater Chicago’s (“District”) Request for Proposal for Development and Testing of a Disaster Recovery Plan For Critical Business Support Systems; RFP No. 02-RFP-07. This submission covers the Scope of Work presented in Section II of RFP No. 02-RFP-07.

The 4M Company is a full service management consulting firm specializing in Business Continuity and Recovery Planning, Data Security, and Facilities Management. Since 1986, we have partnered with and assisted more than 200 clients to create value from opportunities offered by the convergence of business and technology. Our firm, based in Chicago, Illinois, is strategically located in the epicenter of downtown Chicago. Over the past five years, we have maintained an average of 57 employees, and our professional consultants have assisted commercial, government, and university clients in successfully tailoring technology to meet their business needs and strategies.

As senior management within the District realizes, the continued economic viability of the District depends upon the processing availability of its critical business support systems. It is estimated that, perhaps, as many as eleven (11) of its 105 core business processes may be considered to be "mission-critical" and, therefore, require recovery provisions which allow normal processing to be resumed within a seventy-two hour period. The District’s management has established the need for a Disaster Recovery Plan Project to assure its continued business processing following outages, and has made a careful decision to seek professional consulting assistance in organizing and guiding this project to its successful completion. Therefore, The 4M Company (4M) is submitting this proposal describing how we might be of assistance.

Objectives and Scope

In this proposal, we have described how the 4M project team intends to address contingency planning for the District’s departments. The 4M project team has defined the objectives of this project based on several important assumptions (stated in the next section), as follows:

1. To develop and implement a contingency recovery plan for the "mission-critical" computer systems of the District based on a previously completed Business Impact Analysis (BIA).
2. To monitor, assess, and report to District management on the effectiveness of a test of the implemented disaster recovery plan for the mission critical computer systems to be included in the plan to be developed in #1 above.
**Project Assumptions**

In order to develop, implement, and test an effective contingency recovery plan for the District’s critical business support systems, The 4M Project team has established several project assumptions upon which it has based its work plan. The assumptions are:

1. The 4M project team would be working from a Business Impact Analysis (BIA) that the District completed and approved prior to this engagement. The accuracy or completeness of this BIA is not the responsibility of the 4M project team.
2. The District’s Recovery Time Objective (RTO) is seventy-two (72) hours.
3. The 4M project team and each District Department will provide all required personnel for contingency plan implementation. The 4M project team will provide capacity planning expertise to define the configuration requirements of the identified "mission-critical" computer systems.
4. Only the "mission-critical" computer systems as identified in the BIA and included within the RFP (in addition to systems software) will be tested.
5. The 4M project team will assist the District in selecting Disaster Recovery Planning Software, if required.
6. Inventories of all computer hardware, software, and supplies are assumed in place and current.
7. The District’s Information Technology Department (ITD) will provide sufficient configuration resource to run all mission critical computer systems at the "hot" or "cold" back-up center.

**Project Objectives**

The overall aim of a DRP is the identification, qualification and documentation of the costs, plans, procedures and activities associated with the loss and restoration of business function capabilities should a major disruption or emergency occurs. A DRP should enable an organization to more readily deal with a disruptive situation because its subsequent consequences can be avoided, mitigated or moved away from.

**Work Approach and Deliverables**

It has been the 4M project team’s experience that successful recovery planning integrates information technology, project management and business strategy. To that end, we will focus on the District’s objectives by analyzing the logical and physical information flows and requirements enveloping your business functions and applications.

**Proven Methodology:** Our Recovery Planning Methodology (RPM) is of a flexible and modular design. This schema was created by The 4M Company to provide a structured, thorough and efficient basis for creating and maintaining business Recovery Plans. The 4M Company can help the District develop a DRP that is consistent with your organization’s culture, strategy and operations, plus incorporate other ancillary services such as managing testing operations, configuration management, and providing
assistance during, and immediately after, a disaster situation.
The project would ordinarily be broken down into four (4) distinct phases. Each project phase is based upon the RPM methodology segmentation. Phase I would contain the Project Vision (Segment 1000) and Risk Assessment and BIA (Segment 1100) processes. The information gathered during this phase would form the basis for the remainder of the DRP activities.

However, due to the District's requirement, as stated in the Scope of Work presented in Section II of RFP No. 02-RFP-07, that the plan reflect the findings of a previously completed BIA, The 4M project team will initiate the project starting with Phase II.

Phase II will encompass the Recovery Strategy Development (Segment 1200) activities, and will include a special emphasis on constructing the criticality matrix and developing the cost/benefit analysis. This phase will also provide the management direction for the assemblage of the DRP document.

Phase III will be concerned with Recovery Plan Development (Segment 1300) and Maintenance Procedures Development (Segment 1400). During this phase, the actual Business Recovery Plan document will be designed and assembled according to District management's needs and the 4M project team's recommendations.

Phase IV will involve developing and instituting the activities associated with Recovery Plan Training (Segment 1500), Recovery Plan Testing (Segment 1600), Recovery Plan Installation (Segment 1700) and Continuing Support (Segment 1800). The completion of these tasks will ensure business and plan continuity now, and in the future. It will also serve as a forum for management sign-off and assimilation into the daily business activities.

A detailed work plan can be found at the end of this document.
Phase II: Recovery Strategy Development (Segment 1200)

In this segment, strategies are formulated that will guide the recovery planning process within the District. These strategies will address critical functions and potential threats highlighted from the findings of the BIA, as well as the goals of management. Options for recovering the resources that support the critical functions will then be identified and selected. Finally, management will approve the assumptions, strategies and options, and determine whether any spin-off projects should be further investigated to enhance overall operations.

Validate Interruption and Service Levels: This task will strongly influence the overall recovery plan. The threats and disruption situations to be addressed, and the service levels and interruption durations to be supported, constitute the foundation by which the recovery plan is designed and constructed. (As has previously been stated, the interruption duration scenarios to be addressed include those listed in RFP No. 02-RFP-07 Section II Scope of Work, sub-section C, paragraphs 1 and 2, plus those of an extended or permanent nature.) To agree on these key elements, several questions must be answered by management.

- Of the threats classified in the BIA, which does The District want to include in, or exclude from, the recovery plan?

- What assumptions have been made in determining the threats and disaster situations to be addressed, and the service levels and interruption durations to be supported?
Furthermore, validation of the following criteria must be obtained from management:

- The disaster situations addressed in RFP No. 02-RFP-07 Section II Scope of Work, sub-section C, paragraphs 2 (a), (b), and (c)

- For each business support system that has been deemed critical, the maximum acceptable downtime addressed in RFP No. 02-RFP-07 Section II Scope of Work, sub-section C, paragraphs 1, and the level of short-term operations that would be restored

**Develop Strategies for Critical Functions:** The purpose of this task is to provide definition to the strategies required to avoid, mitigate or recover from the disrupting threats now, and in the future. Management’s approval of these strategies provide direction for developing alternate arrangements for critical resources and writing the recovery plan in the next segment.

**Develop Strategies to Recover Critical Resources:** This task begins the process of identifying the resource requirements needed in a migration environment to support the critical business functions. Resource recovery options are provided, and those that best meet all conditions are recommended.

**Select Spin-Off Projects:** As the project team develops the DRP, they may identify various projects that would enhance normal operations. To accomplish these enhancements, spin-off projects may be needed. Once these projects are highlighted, they can be prioritized and planned for as work outside the scope of the DRP project. These projects can be performed in conjunction with the DRP project.

The major product of the Strategy Development segment is the Executive Summary Report that is subject to management approval and is the culmination of the following deliverables:

- Interruption and Service Approval Report
- Avoidance Strategy Report
- Mitigation Strategy Report
- Recovery Strategy Report
- List of Critical Resource Requirements
- Options and Recommendations Report/Matrix
- List of Recommended Spin-Off Projects.
Phase III: Recovery Plan Development (Segment 1300)

The objective of this segment is to develop the Disaster Recovery Plan that will guide the District in recovering its critical IT functions in the event of a major disruption or emergency event. The recovery strategies that were developed in Phase II would serve as the major input to this segment along with the District's previously completed BIA.

Develop Response Plan: The Response Plan is the first document that should be referred to during an emergency. This document is divided into four smaller plans or sections, i.e., Emergency Response Procedures, Escalation Plan, Notification Plan and Declaration Plan. (Additional information may be found in the attached work plan.) Each of these plans has a particular purpose and set of procedures to be followed.

Develop Assessment Requirements: Damage assessment determines the extent to which resource damage has been caused by a disaster. This information is used by management to determine which, if any, recovery strategy to implement. Once these strategies have been initiated, further assessment is required to allow the determination by management whether the damaged site is restorable. This task focuses on identifying the information and developing the procedures that are required to perform an accurate damage assessment. (Additional information may be found in the attached work plan.)

Develop Migration Requirements: In this task, procedures for migrating critical resources and establishing their operation at an alternate recovery location will be developed. These procedures will aid in the effective recovery of the critical resources. (Additional information may be found in the attached work plan.)

Develop Operational Requirements: Once all of the resources have been successfully put in place at the alternate site, the District will need to have a schedule for operating at this
location. This task will document how available resources should be utilized to support critical functions. The documentation produced will include staffing and operating schedules. (Additional information may be found in the attached work plan.)

**Develop Restoration Procedures:** While the critical functions and applications are being performed at the alternate recovery location, steps can be taken to begin the restoration of the permanent location. In this task, high-level procedures will be developed to begin restoration of the damaged location, or selection of a new location, based upon the damage assessment and management direction. (Additional information may be found in the attached work plan.)

**Document Team Procedures:** Recovery team members must know what their responsibilities are, whom they are to contact, and where they should report to perform their duties. This step facilitates the grouping and organizing of all the procedures identified in the previous tasks, and assigns them to a particular recovery team. (Additional information may be found in the attached work plan.)

The primary deliverable of the Recovery Plan Development segment is the Disaster Recovery Plan. This plan will be composed of the smaller plans that are specific to individual phases.

The **Response Plan** will give procedures for the immediate response to a disaster. These procedures will describe how to identify and respond to a disaster, notify management and recovery personnel, formally declare a disaster, and establish a crisis management center.

Recovery Procedures for the following phases will be developed for each team:

- **Assessment Plan:** Describes procedures for assessing the damage to each resource category:
  - Information
  - Technology
  - Telecommunications
  - Process
  - People
  - Facilities.

- **Migration Plan:** Describes procedures for transferring operations of the resources in each category to an alternative recovery location.

- **Operations Plan:** Documents the operating procedures and staffing schedules to be followed once critical resources have been recovered at the alternate recovery location.
- Restoration Plan: Serves as a high-level guide for determining the method by which the damaged location will be restored or replaced, and the critical resources reestablished.

Phase III: Maintenance Procedures Development (Segment 1400)

Developing maintenance procedures is crucial in assuring that a DRP is updated and training is undertaken whenever necessary. In order to simplify the maintenance process, three types of documentation are created in this segment. First, procedures are developed to guide updates to the plan. Next, testing strategies are developed which, if used, will enhance the recovery from an actual disruptive event and help keep the plan current. Finally, standard training materials are developed to simplify the training process and provide consistency in training the District's personnel regarding the plan.

Develop Plan Update Procedures: The procedures developed in this task provide the organization with the capability to update its DRP. An Update Task Responsibility Matrix will identify responsible positions for the execution of these procedures. These procedures are developed by first identifying the trigger points in the organization which will require the plan to be update. Based on these events, procedures are designed to guide the submission of changes and the application of those changes to the plan. Finally, these procedures are incorporated into formal change control procedures.

Develop Testing Strategy: This task provides the organization with the strategies for testing the plan. The product of this task will be used in the Recovery Plan Validation segment for guidance each time a test is conducted. Specific strategies will be developed to guide the organization in testing by outlining what elements of the plan to test, at what level to test these components, and how often they should be tested. Criteria will be developed for use in evaluating the results of the test and assessing its validity.

Develop Training Material: The material developed in this task will be used in the
Recovery Plan Training segment. The training will be developed in two sections. The first section will be directed at the recovery team and highlight how testing should be done. The second section will focus on making personnel throughout the organization, including management, aware of disaster prevention and response, what the recovery plans are, and their responsibilities and duties if the plan must be executed.

The deliverables from this segments are the:

- Recovery Plan Update Procedures
- Update Task Responsibility Matrix for Plan Maintenance
- Training Materials
- Testing Strategy.

Phase IV: Recovery Plan Training (Segment 1500)

Training is directed at two groups within the organization. The first training course is for personnel who are members of one of the recovery teams. The second course is for the remaining personnel and the management team in the organization. At the completion of each course, the training material is evaluated for any required updates.

**Objectives:**
- Develop recovery plan training materials and scenarios
- Train appropriate organizational and IT recovery team members in the implementation of the recovery plan

**High-Level Functional Steps:**
- Develop training materials
- Conduct recovery team training
- Conduct staff awareness training
- Conduct management training
- Evaluation training
- Obtain management approval

**Deliverables:**
- Appropriate training materials
- Applicable training sessions
- Training evaluation
- Management approval

Conduct Team Training: This training is done to prepare the key Disaster Recovery team members on the development and execution of the DRP. Since the plan is utilized under stressful situations, the training helps team members become comfortable working with each other and executing their duties and responsibilities they would follow in an actual disaster. Lastly, participants will be taught the trigger points used when updates to the plan may be required, and the procedures for initiating these updates.

Conduct Staff Awareness Training: Staff awareness training is conducted to give staff
within the organization a fundamental working knowledge of the DRP. This training will teach staff personnel how to recognize, avoid and report potential threats, as well as how to respond to these threats in order to ensure safety. It will also teach staff personnel what their duties and responsibilities are during an actual recovery. Finally, participants will be taught to identify when updates to the plan may be required, and the procedures for initiating these updates.

Evaluate Training: Since the recovery plan is constantly being updated to reflect current conditions, it is important to ensure that the training materials are also up-to-date, and that the staff and team members are benefiting from their training. Therefore, the training program will be evaluated at the completion of each session for relevance, with any changes being identified, approved and applied to the next training opportunity.

The deliverables from this segment will be:

- Trained Recovery Team members,
- Trained staff, and
- Updated training materials.

Phase IV: Recovery Plan Testing (Segment 1600)

The importance of this segment lies in moving the strategy of recovery planning from a concept to reality. Only by testing, can the plan be checked for completeness, accuracy, workability and reliability. Recovery plan validation is accomplished by testing various parts of the plan at different levels. Each test is carefully planned based on the testing strategy from the previous segment to ensure that everyone understands its objectives and agenda. It is then conducted by performing procedures of the plan as if an actual disaster had occurred, although normal operations will not usually be disrupted. Finally, the test is evaluated against its objectives to determine its effectiveness and to identify updates that need to be made to the plan.
Plan the Test: If the recovery plan is properly tested, the risk of failure after an actual disaster is significantly reduced. For testing to be beneficial, it must be carefully planned, including what should be tested, how it should be tested, who should participate in the test, and what results should be expected.

Conduct the Test: This step involves briefing the test team about the test and then executing it. During testing, documentation would be produced which would be evaluated following the test to analyze expected versus actual test results. This will help to detect any oversights that may exist in the plan and reinforce the expectation that the plan can be executed successfully in the event of a disaster. Testing the plan is also a good method of familiarizing personnel with the recovery plan and the importance of its continual maintenance. We propose to conduct three tests addressing the following scenarios:

(a) all of the primary processing and communications resources and facilities are inaccessible or non-operational at the District’s Main Office Complex;
(b) all of the primary processing and communications resources and facilities are inaccessible or non-operational at the Stickney Water Reclamation Plant,
(c) both the District’s Main Office Complex and the Stickney Water Reclamation Plant have experienced a disabling cyberattack.

Obtain Management Approval: The purpose of this step is to present the results of the test to the organization’s management. These results will be used by management to determine if the recovery plan actually accomplishes all of the requirements and objectives set forth in the test. Any improvements or revisions recommended by the testing team should be approved by management and documented in the recovery plan.

The deliverables from this segment are a compilation of several test documents that will facilitate a thorough validation of the completed recovery plan test, and include the

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<tr>
<th>Phase IV - Recovery Plan Testing (Segment 1600)</th>
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<td><strong>Objectives:</strong></td>
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<th><strong>High-Level Functional Steps:</strong></th>
<th><strong>Deliverables:</strong></th>
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<tbody>
<tr>
<td>Draft recovery plan testing scenario</td>
<td>Document testing scenario</td>
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<tr>
<td>Conduct test</td>
<td>Test</td>
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<tr>
<td>Evaluate test</td>
<td>Test evaluation</td>
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<tr>
<td>Obtain management approval</td>
<td>Required recovery plan changes and/or updates</td>
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<tr>
<td>Management checkpoint</td>
<td>Overall findings and recommendations</td>
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<th>Information Technology Telecom Process People Facilities</th>
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<td>Project Vision</td>
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<tr>
<td>Recovery Strategy Development</td>
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<td>Recovery Plan Training</td>
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<tr>
<td>Recovery Plan Installation</td>
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The 4M Company May 17, 2002
following:

- Test Plan containing scope, objectives, scenario, schedules and measurement criteria,
- Test Results containing the test log and documentation, actual outcome, exceptions and deviations,
- Test evaluation and action plan, and
- Revisions to the Disaster Recovery Plan.

**Phase IV: Recovery Plan Installation (Segment 1700)**

This segment marks the completion and publication of the DRP. The final format of the recovery plan will be determined when the plan is published. The format varies depending upon the needs of the organization and may be in hard or softcopy editions. If the recovery plan is fairly small, it may be contained in one book which would be distributed to all appropriate personnel. However, if the plan encompasses several volumes, the procedures for different recovery teams or departments will be grouped separately with a common introduction. Each group would receive the procedures relevant to itself, while copies of the entire plan would only be kept in select areas at the location. (Many organizations choose to publish the emergency response plan separately and distribute it to all personnel for reference during normal daily operations.) Finally, it should be remembered that the DRP contains a great deal of confidential information and should be protected under appropriate information security policies and procedures.

**Finalize and Publish Recovery Plan:** The final format of the recovery plan is determined based on the needs of the organization. Once the format is selected, the plan must be edited, published and distributed to the appropriate organization personnel.

Maintenance of the recovery plan should be considered when determining the applicable format. The selected schema should make allowances for the easy addition, deletion and
modification of information. Here, the 4M project team can aid in the present and future updating process.

**Develop Recovery Plan Presentation:** Developing the presentation includes creating visual aids and handouts that describe key points of the plan and project. This presentation will include a high-level discussion of the table of contents, a description of the significant points in the plan, the appropriate project statistics, and any future work that may be performed.
Obtain Management Approval: Finally, the completed plan is presented to senior management where their approval is obtained and documented.

Phase IV: Continuing Support (Segment 1800)

This segment focuses on the development of a schedule for providing ongoing support for the Plan and associated activities. The 4M project team would work with the District to determine the appropriate level of the 4M project team contribution within the project segment and on a going-forward basis. In addition, no time has been allocated to the performance of this segment pending the District’s decision.

<table>
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<tr>
<th>Phase IV – Continuing Support (Segment 1800)</th>
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<tbody>
<tr>
<td><strong>Objectives:</strong></td>
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<tr>
<td>• Provide continuing support on a scheduled basis</td>
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<tr>
<td>• Render emergency service as required</td>
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</table>

| **High-Level Functional Steps:**          |
| • Develop and document support schedule  |
| • Develop and document level and type of support |
| • Support the plan                       |

| **Deliverables:**                         |
| • Continuing support plan                |
Vendor Qualifications

Description Of Companies

The 4M Company is a management-consulting firm, which provides unique business solutions. Our full array of specialized services include, but are not limited to: Business Continuity and Recovery Planning; Information Security; Facilities Management; Business Process Reengineering; and Systems Integration.

The 4M Company has provided client–centric services to more than 25 satisfied clients over the past three years. Our proven record of accomplishment includes clients across multiple industries in both the public and private sectors. Some of our most recent engagements include services in the following areas: Management Consulting, Project Management, Operations Assessment, Business Continuity Planning, Print Operations, ERP Implementation, and Facilities Management.

The 4M Company employs methodologies that have been designed to ensure accurate and consistent high quality results. Because of our many successful engagements, The 4M Company has developed detailed and repeatable project methodologies and tools. The repeatability of our approach works to ensure we deliver the project on budget and on time. The experience of our consultants and the consistency and effectiveness of our proven project methodologies deliver high quality results for our clients.

Each member of our senior staff has accumulated between ten and twenty-seven years of information systems and consulting experience. Our senior consultants are well experienced in working closely with the management and staffs of our clients. It is our practice to present the resumes of the actual individuals who would participate on projects.

ABC is one of the leading providers of business driven management consulting and information technology solutions. They are committed to helping management in industry and government improve their performance and organizational effectiveness by redesigning business processes and guiding them through the strategic deployment of information technology. ABC services drive real business results for our clients. They are an Illinois corporation with headquarters in Chicago, IL and satellite offices in Memphis, TN and Wisconsin.

Tinia & Associated has extensive experience in helping clients improve their organizational effectiveness through redesigning business processes and strategically deploying information technology to achieve competitive advantage. They have managed and coordinated projects to deliver business solutions through process enablement, organizational change, and technology for the Chicago Public Schools, the State of Wisconsin and the City of East St. Louis. They offer over 20 years of senior management experience with various government agencies including the City of Chicago, City Colleges of Chicago and Metropolitan Pier & Exhibition Authority (managers of Chicago's
McCormick Place and Navy Pier).
Experience

Project Team

The 4M Company staffs all projects with its best and most qualified personnel. In response to the Business Continuity Services requested, the 4M engagement partner selects the appropriate staff and assumes prime responsibility for the delivery of services. As a senior level resource, the engagement partner can ensure the District a “Quality at the Source” effort. Pending a preliminary joint (District/4M Project team) assessment of current District resource deployment, the selected 4M project team members would take responsibility for the required tasks or aspects of the services requested.

Brief summaries on the backgrounds of the professionals selected to staff this project are presented below:

Marlon Woods – Marlon would perform continuity planning analyst duties for this project. Mr. Woods has 15 years of continuity planning, system security, IT operations management and programming experience, most recently with our Chicago Public Schools and Clerk of the Circuit Court clients.

Project References

The 4M Company has extensive experience in the following practice areas:

- Business Recovery Planning (Including Business Impact Analysis)
- Business Process Reengineering
- Strategic Information Planning
- Systems Design and Implementation
- Network Planning and Implementation
- Systems Integration
- Facilities Management

4M has performed numerous systems consulting projects over the last seven (7) years. Below is a partial list of clients where 4M performed a variety of projects in these practice areas:

- Chicago Transit Authority
- Cook County Bureau of Health Services
- Cook County Hospital
- City of Chicago
- Cook County Assessor’s Office
- City Colleges of Chicago
- Chicago Park District
ABC maintains a strategic alliance with several quality organizations. Below is a partial list of clients where ABC performed a variety of projects:

- Washington, Pittman & McKeever (WPM)
- Michigan Employment Security Commission
- United States Department of Agriculture.
- Deloitte Consulting LLP
- State of Illinois - East St. Louis Financial Advisory Authority
CLIENT REFERENCES # 1

CLIENT: Chicago Transit Authority
440 N. Wells Street
Chicago, IL 60610

CONTACT: TBD
Manager of Data Center Operation,
Information Services
312-664-7200 x4780

FUNCTIONAL AREA: Business Continuity Planning, Disaster Recovery Planning

PROJECT DIRECTOR: Marlon Woods, Senior Consultant, The 4M Company

PERSONNEL ASSIGNED: 4

PRICE AT CONTRACT AWARD: $300,000

FINAL PRICE: $300,000

CONTRACT TYPE: Fixed Rate

PROJECT DESCRIPTION: Development of a disaster recovery plan and data security standards and procedures.

SCHEDULED COMPLETION DATE: 11/2000

COMPLETION DATE 11/2000
CLIENT REFERENCES # 2

CLIENT: Chicago Public Schools
125 S. Clark Street, 3rd Floor
Chicago, IL  60603

CONTACT: TBD
Chicago Public Schools
Chief Technology Officer
125 S. Clark Street, 3rd Floor
Chicago, IL  60603

FUNCTIONAL AREA: Business Continuity Planning, Disaster Recovery Planning

PROJECT DIRECTOR: Marlon Woods, Project Leader, The 4M Company

PERSONNEL ASSIGNED: 3

PRICE AT CONTRACT AWARD: $667,000

FINAL PRICE: $667,000

CONTRACT TYPE: Fixed Rate

PROJECT DESCRIPTION: Provided CPS with a comprehensive Disaster Recovery Plan allowing the CPS’s Information Technology Services to recover critical applications in the event of a disaster.

SCHEDULED COMPLETION DATE: 07/2002

COMPLETION DATE On Going
CLIENT REFERENCES # 3

CLIENT: **Acxiom Corporation/Deluxe Corporation**  
1050 West County Road F  
Shoreview MN 55126

CONTACT: TBD  
General Manager,  
Information Services  
651-555-1212

FUNCTIONAL AREA: Business Continuity Planning, Disaster Recovery Planning

PROJECT DIRECTOR: Marlon Woods, Senior Consultant, The 4M Company

PERSONNEL ASSIGNED: 4

PRICE AT CONTRACT AWARD: $250,000

FINAL PRICE: $250,000

CONTRACT TYPE: Fixed Rate

PROJECT DESCRIPTION: Provided Deluxe with a comprehensive Disaster Recovery Plan allowing Acxiom/Deluxe Information Technology Services to recover the critical application in the event of a disaster.

SCHEDULED COMPLETION DATE: 04/2001

COMPLETION DATE: 04/2001
Financial Statements

The 4M Company’s fiscal year coincides with the calendar year and covers the period from January 1st through December 31st. Attached are copies of our 2000 and 2001 financial statements.
# References

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>Telephone Number</th>
</tr>
</thead>
</table>
| 1. TBD | Harris Bank  
111 W. Monroe St., 3rd Floor  
Chicago, IL 60603 | 312-555-1212 |
| 2. TBD | Cook County Hospital  
1900 W. Polk St.  
Chicago, IL 60612 | 312-555-1212 |
| 3. TBD | Ingalls Health System  
One Ingalls Drive  
Harvey, Illinois 60426 | 708-555-1212 |
Legal Requirements

The 4M Company faces no outstanding legal actions of any kind and has never been a party to any legal actions as an individual entity or team member with respect to the following:

a) debtor in bankruptcy; or
b) defendant in a lawsuit for deficient performance under contract; or
c) an administrative action for deficient performance on a project; or
d) defendant in any criminal action

Legal Structure

Corporation

Authorized Person(s)

Marlon Woods, President/CEO

Terminated or Canceled Service Agreements

None

The following is from section IV paragraph E of RFP No. 02-RFP07:

Has the Proposer or any shareholder of the Proposer ever had a bond canceled or forfeited (or, if the Proposer is a partnership, has any partner or any shareholder of any corporate affiliate of any partner ever had a bond canceled or forfeited)?

Yes_______ No__X____

Has the Proposer or any shareholder of the Proposer ever declared bankruptcy (or, if the Proposer is a partnership, has any partner or any shareholder of any corporate affiliate of any partner ever declared bankruptcy)?

Yes_______ No__X____
Affirmative Action

The 4M Company is a minority-owned business having received minority certifications from the State of Illinois, the County of Cook, and the City of Chicago. As such, we are in full compliance with the Metropolitan Water Reclamation District of Greater Chicago’s (MWRD) 20% MBE requirement. Our letter of certification is attached. In addition, based on our average sales receipts over the preceding three (3) years, 4M is in full compliance with MWRD’s 10% SBE requirement. Our financials are also included in this proposal.

Furthermore, 4M is committed to meeting or exceeding the MWRD’s 10% WBE and 10% SBE goals for this project by working with Tinia & Associates and Advanced Beta Concepts (ABC), LLC respectively. As a WBE, Tinia & Associates, located in IL, has extensive experience in management and coordination of projects with various government agencies. Their letter of certification is attached. ABC, located in Chicago, IL, is one of the leading providers of business driven management consulting and information technology solutions with strong experience in Enterprise Systems such as SAP R/3. We also have relationships with a number of additional WBE firms if staffing requirements dictate the need. Attached is the data requested from APPENDIX A of RFP No. 02-RFP-07, titled “Consultant Contracts” for each proposed subcontractor for your review.
Insurance Requirements

The 4M Company currently provides and maintains the types of insurance specified in SECTION V of RFQ No. 02-RFP-07. The insurance carrier used by The 4M Company is authorized to conduct business in the State of Illinois and has a BEST rating of not less than an “A”. The 4M Company maintains insurance requirements associated with the following categories:

   a) Workers Compensation and Employers Liability  
   b) Commercial General Liability (aggregate of not less than two million dollars ($2,000,000.00))  
   c) Automobile Liability  
   d) Professional Liability  
   e) Valuable Papers

Attached is a completed copy of the Insurance Certificate of Coverage form for your review.
Attachments – Other Required Submittal Forms
Cost Proposal
Non-Collusion Affidavit
Affidavit of Ownership
Affidavit AF-1
The below is a list of parties that the bidder (4M) has done work for in reference to APPENDIX 5 of RFP No. 02-RFP-07:

<table>
<thead>
<tr>
<th>Year</th>
<th>Party</th>
<th>Kind of Work</th>
<th>Total Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>2002</td>
<td>Chicago Public Schools</td>
<td>Business Continuity Planning, Disaster Recovery Planning</td>
<td>$667,000</td>
</tr>
<tr>
<td>2001</td>
<td>Acxiom Corporation</td>
<td>Business Continuity Planning, Disaster Recovery Planning</td>
<td>$250,000</td>
</tr>
<tr>
<td>2000</td>
<td>Chicago Transit Authority</td>
<td>Business Continuity Planning, Disaster Recovery Planning</td>
<td>$300,000</td>
</tr>
</tbody>
</table>
Consultant Contracts

Type of Firm: SBE
Name of Firm: Advanced Beta Concepts, LLC
Address: 4000 E. Madison Avenue
Chicago, IL 60605
Phone: (312) 555-1212
Scope of A & E Consulting Contract: Public sector Disaster Recovery Planning along with SAP public sector applications analysis.
Amount of Subcontracting Agreement: TBD

Type of Firm: WBE
Name of Firm: Tinia & Associates
Address: 3000 E. Jackson Avenue
Chicago, IL 60609
Phone: (312) 555-1212
Scope of A & E Consulting Contract: Public sector project management and coordination.
Amount of Subcontracting Agreement: 10%
Certification Letters
Detailed Work Plan