Consultant Contract RISK MANAGEMENT CHECKLIST   ED 2-22-16

CONTRACT NAME: Implementation of Critical IT Processes

CONSULTANT NAME:

DEPARTMENTAL CONTACT: Laura Park   **DEPT**/DIV:Seattle IT   **TEL** EXT: 3-9595

SUMMARY OF SCOPE OF WORK: **Develop Critical Processes for Seattle IT**

CONTINUE ON PAGE 3 IF NECESSARY

ONE BOX BELOW MUST BE CHECKED FOR EACH RISK ELEMENT – DO NOT LEAVE ALL FOUR BOXES UNCHECKED

RISK ELEMENT	LOW	MEDIUM	MEDIUM HIGH	HIGH EMAIL TO RISK MANAGEMENT* Attach Scope of Work for complex proj, Professional Service, IT, Money Access
CONTRACT VALUE	☐ UP TO $49K	☐ $49K-$500K	☒ $500K-$1M	☐ ↑$1M
MOTOR VEHICLES	☐ None used*	☒ Autos*/Small Trucks	☐ Large Trucks	☐ Cranes/Heavy Equipment
*Check "MEDIUM" or higher if Consultant must use their own vehicle to complete *any* part of the Scope of Work				
AIRCRAFT	☒ None/Commercial	☐ Chartered Fixed-Wing	☐ Chartered Helicopter	☐ Non-Professional Pilot
WATERCRAFT	☒ None	☐ <26FT X-NW*	☐ 46-65FT or Incl NW	☐ NW Incl DIVERS
*NW = NAVIGABLE WATERWAYS - http://your.kingcounty.gov/dnrp/library/water-and-land/shorelines/map-folio/technical-appendix/wdnr-navigable-waters-map.pdf				
MARITIME WC	☒ None in NW		☐ NW X- Divers	☐ NW Incl Divers
ENVIRONMENTAL	☒ No RCRA levels*	☐ Some RCRA level	☐ Truckload RCRA level	☐ Multi-truckload RCRA
* The Resource Conservation and Recovery Act (1978) http://dnr.wi.gov/org/aw/rr/cleanup/haz_waste_docs/hazwaste_ppt.pdf				
PROFESSIONAL SERVICES*	☐ None			☒ Any Prof Services listed below

*Architectural/engineering (A/E), environmental, geotechnical, real estate, medical, laboratory, surveying, mapping, Construction Management/Administration (CM/CA) or high-level Technical/Strategic Management Consulting

***NEW**: IF A/E CONTRACT, PROVIDE TOTAL PROJECT COST, INCLUDING ALL PHASES & ALL PACKAGES:*

POTENTIAL FINANCIAL LOSS	☒ None	☐ <$100K	☐ $100K - $1M	☐ >$1M

(For example, total liability and remedy from potential major failure or error by consultant. Call Risk Mngt if questions.)

IT/Technology/ SAAS	☒ N/A	☐ Off-the-shelf, No security issues		☐ Any other IT/Cyber, incl. access to sensitive City or customer data, PII
ACCESS to MONEY, OR CREDIT CARD # OR BANK ACCOUNTS	☒ None			☐ Any ACCESS to cash, credit card or bank account data

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***FAS Risk Management contact**: Sheila Barker (Sheila.Barker@seattle.gov) or Keith Ayling (Keith.Ayling@seattle.gov)

Instructions:

Send ONLY Checklists with a HIGH Risk Element box checked to Risk Management for review and sign-off. When sign-off received, transfer any additional coverages and/or limits requirements to the Insurance Transmittal Form http://inweb/riskmanagement/docs/ConsultantContractInsRequirements.docx and attach to Consultant Contract.

If all boxes checked **LOW**, check "**No Insurance Documentation Required**" box on next page and in Consultant Contract.

If one or more boxes checked MEDIUM or MEDIUM HIGH, but no HIGH and no items below are met, check "**Standard Insurance**."

If any trigger below is met, check box on next page: "**NON-STANDARD**" AND

If "AIRCRAFT" Risk Element box checked MEDIUM or MEDIUM HIGH, check "**Aviation Liability**" box on next page with minimum $1,000,000 limit for MEDIUM or $5,000,000 for MEDIUM HIGH.

If "**WATERCRAFT**" Risk Element box checked MEDIUM HIGH, check "**Watercraft/P&I Liability**" box on next page with minimum $1,000,000 limit.

If "**MARITIME** WC" Risk Element box checked MEDIUM HIGH, check "**Federal Maritime**" and then "**U.S. L.& H.**" boxes under "**Federal Maritime**" on next page.

If "**ENVIRONMENTAL**" Risk Element box checked MEDIUM or MEDIUM HIGH, check "**Contractor's Pollution Liability**" insurance with minimum $1,000,000 limit and also check "**Automobile Liability**" for "**MSC-90 and CA 99 48** endorsements."

Revised: 2/22/2016

<div align="center">**INSURANCE** CERTIFICATION REQUIRED (STANDARD INSURANCE in Blue)</div>

☐ **Standard Insurance Required**, however **No Insurance Documentation** must be submitted: Check appropriate box in insurance paragraph of Consultant Contract

☒ **STANDARD** Insurance: Attach Insurance Transmittal form to Consultant Contract

☐ **NON-STANDARD** ADDITIONAL COVERAGES OR INCREASED LIMITS: Attach Insurance Transmittal form to Consultant Contract with additional coverages and/or limits as per instructions or as may be specified by Risk Management.

REQUIRED COVERAGES AND MINIMUM LIMITS (**STANDARD INSURANCE in blue; ADDITIONAL COVERAGES AND/OR INCREASED LIMITS OF LIABILITY in red.**)

A. **STANDARD INSURANCE REQUIRED:**
   ☒ **Commercial General Liability (CGL)** or equivalent insurance including coverage for:
   Premises/Operations, Products/Completed Operations, Personal/Advertising Injury
   Contractual and Stop Gap/Employers Liability (coverage may be provided under a separate policy). Minimum limit of liability shall be $ 1,000,000 each occurrence Combined Single Limit bodily injury and property damage ("CSL") except:
   — $ 1,000,000 each offense Personal/Advertising Injury
   — $ 1,000,000 each accident/disease Stop Gap/Employers Liability.
   ☒ **Automobile Liability** insurance for owned, non-owned, leased or hired vehicles, as applicable. The minimum limits shall be $1,000,000 CSL. ☐ MSC-90 and CA 99 48 endorsements required unless In-transit Pollution coverage MSC-90 and CA 99 48 endorsements required unless In-transit Pollution coverage is covered under required Contractor's Pollution Liability insurance.
   ☒ **Worker's Compensation** insurance for Washington State as required by Title 51 RCW Industrial Insurance.

B. **ADDITIONAL COVERAGES AND/OR INCREASED LIMITS:**
   ☐ **Umbrella or Excess Liability** "follow form" insurance over primary CGL and Automobile Liability insurance limits, if necessary, to provide **total** minimum limits of liability of ☐ $2,000,000 ☐ or $ CSL. These required total minimum limits of liability may be satisfied with primary limits or any combination of primary and umbrella/excess limits.
   ☐ **Contractor's Pollution Liability** insurance with minimum limits of liability of ☐$1,000,000 ☐ or $ CSL each claim.
   ☐ **Aviation Liability** insurance with minimum limits of ☐$1,000,000 or ☐ $ CSL each occurrence.
   ☐ **Watercraft/P&I Liability** insurance with minimum limits of ☐$1,000,000 or ☐ $ CSL each occurrence.
   ☐ **Federal Maritime** insurance with:
       ☐ **U.S.L.&H.** minimum limits ☐ $1,000,000 or ☐ $.
       ☐ **Jones Act** minimum limits ☐ $1,000,000 or $.
   ☐ **Professional Liability (E&O/Technical E&O)** insurance appropriate to the consultant's profession. The minimum limit shall be ☐$1,000,000 or ☐ $ each claim.
   ☐ **Crime Insurance/Employee Dishonesty** with minimum limits ☐ $1,000,000 or ☐ $ per occurrence.
   ☐ **Technology E&O Insurance** with minimum limits ☐ $1,000,000 or ☐ $ each claim.
   ☐ **Network Security/Cyber Liability (Cyber Protection)** with minimum limits ☐ $1,000,000 or ☐ $ each wrongful act.
   ☐ **Other:**   (to be provided by Risk Management)

Name of individual completing this form   Date
REQUIRED FIELD

Sheila Barker   6/10/16
Risk Management Sign-off   **Date**
NOT REQUIRED FOR STANDARD INSURANCE ONLY

CONTINUATION OF SUMMARY OF SCOPE OF WORK MAY CONTINUE TO PAGE 3: These are the objectives of the RFP:

The City expects to select an expert consultant to Implement Critical IT Processes which may include but will not be limited to:

- Develop and implement a one-city approach for requesting IT projects that is understood and trusted by City stakeholders. This approach may also align projects with department strategies and standards.
- Develop and implement a resource/capacity management function that maximizes use of IT staff and identifies potential gaps that could affect portfolio performance
- Develop processes and reports to manage the City IT project portfolio to mitigate risk and provide key stakeholders with visibility into performance
- Transform how Seattle IT helps other City Departments plan for IT projects and needs. Consultant may also, through the new Business Relationship Management (BRM) program, strategically enable the other user City Departments.