



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

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

Department	Originator Name	Telephone	Date	Signature of Application Author
Office of the Mayor	Patrick Schweska	4-7965	10/7/2019	
Contract Liaison	Email Contract Liaison	Telephone		
Yasmin Rivera	yasmin.rivera@cityofchicago.org	4-9991		

**List Name of NCRB Attendees/Department**

Patrick Schweska  
Samantha Fields  
Manuel Perez  
Yasmin Rivera  
Office of the Mayor

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

Company: William Filan

Contact Person:	Phone:	Email:
William Filan	312-832-4700	wfilan@earthlink.net

Project Description: Legislative Consulting Services

This is a request for:

New Contract

Amendment / Modification

Contract Type

Blanket Agreement Term: 12 (# of mo)

Type of Modification

Time Extension  Vendor Limit Increase  Scope Change

Standard Agreement

Contract Number: 89951

Specification Number: 882127

Modification Number: \_\_\_\_\_

Department Request-Approval	Recommended Approval
DEPARTMENT HEAD OR DESIGNEE	BOARD CHAIRPERSON
<u>10/8/19</u>	<u>12/11/19</u>
DATE	DATE
<u>S. Fields</u>	<u>Steven M. Loboda</u>
PRINT NAME	PRINT NAME

(FOR NCRB USE ONLY)

Recommend Approval/Date: 11-13-19

Return to Department/Date: \_\_\_\_\_

Rejected/Date: \_\_\_\_\_

Approved  Rejected

CHIEF PROCUREMENT OFFICER

DATE



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

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

**Justification for Non-Competitive Procurement Worksheet**

**PROCUREMENT HISTORY**

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

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

2) The consultant currently has an active contract PO 89951 that will expire on December 28, 2019. We are requesting an extension per section 5.3 of his current contract for 12 months taking the consultant to December 2020.

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

4) N/A

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

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

**ESTIMATED COST**

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

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

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

4) N/A

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

**SCHEDULE REQUIREMENTS**

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



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JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT WORKSHEET**

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

2) N/A

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

4) N/A

**EXCLUSIVE OR UNIQUE CAPABILITY**

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

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

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

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

4) N/A.

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

6) N/A

7) N/A

8) N/A

**OTHER**

Approved and signed request to use personal services contractor



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

## INSTRUCTIONS FOR PREPARATION OF NON-COMPETITIVE PROCUREMENT APPLICATION

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

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

### PROCUREMENT HISTORY

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

### ESTIMATED COST

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

### SCHEDULE REQUIREMENTS

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

### EXCLUSIVE OR UNIQUE CAPABILITY

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

### MBE/WBE COMPLIANCE PLAN

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

### OTHER

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

### REVIEW AND APPROVAL

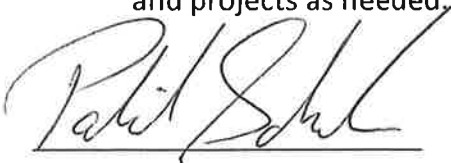
This application must be signed by both Originator of the request and signed by the Department Head. After review and final disposition from the Board, this application will be signed by the Board Chairman. After review and final disposition from the Board, this form will be presented to the Chief Procurement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



## Scope of Services

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

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



Patrick Schweska  
Intergovernmental Affairs  
Office of the Mayor

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

Date: October 7, 2019

Department Name:  
**Office of the Mayor**

Requisition No: <b>308786</b>	Specification No: 882127
PO No: 89951	Modification No:

Contract Liaison:  
Yasmin Rivera

Telephone:  
312 744 9991

Email:  
yasmin.rivera@cityofchicago.org

Project / Program Manager:  
Patrick Schweska

Telephone:  
312-744-7965

Email:  
patrick.schweska@cityofchicago.org

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

Note

1) **Funding:** Attach information if multiple funding lines  
2) **Individual Contract Services:** Include approval form signed by all parties  
3) **ITGB:** IT project valued at \$100,000.00 or more, attach approval transmittal sheet.

Contract Liaison Signature  
*Yasmin Rivera*

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

Project Title: **Legislative Consulting Services**

Project Description: **Legislative Consulting services in Springfield IL for the City of Chicago**

**Funding:**

Corporate     Bond     Enterprise     Grant     Other

IDOT/Transit     IDOT/Highway     FHWA     FTA     FAA

LINE	FY	FUND	DEPT	ORGN	APPR	ACTV	PROJECT	RPTG	ESTDOLLAR AMOUNT
	20	100	01	2005	0140				892,000

Check One:

New Contract Request

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

Project / Program Manager Signature  
*Patrick Schweska*

Commissioner/Authorized Designee Signature  
*Stephens*

**Purchase Order Information:**

Contract Term (No. of Months):

Extension Options (Rate of Recurrence):

Estimated Spend/Value: \$

Grant Commitment / Expiration Date:

Pre-Bid/Submittal Conference:  Yes  No

Mandatory     Site Visit

**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

**Contract Type:**

Architect Engineering     Commodity     Construction     JOC     SBI  
 Professional Services     Revenue Generating     Vehicle & Heavy Equipment  
 Work Service     Joint Procurement     Reference Contract

**Modification or Amendment**

Modification Information:

PO Start Date: 12/29/2019  
PO End Date: 12/28/2020

Amount (Increase/Reduction): \$ **92,000**

**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

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

**Modification/Amendment Type:**

Time Extension     Scope Change/Price Increase /Additional Line Item(s)  
 Vendor Limit Increase     Requisition Encumbrance Adjustment  
 Other (specify):

**Vendor Information**

Name: William Filan  
Contact: William Filan  
Address: 321 N. Clark St. Suite 2800 Chicago IL, 60610  
E-mail: wfilan@earthlink.net  
Phone: 312-832-4700



CITY OF CHICAGO



OFFICE OF THE MAYOR

To: Shannon Andrews  
Chief Procurement Officer  
Department of Procurement Services

From: Samantha Fields *SS*  
Senior Advisor, Intergovernmental Affairs  
Office of the Mayor

Date: October 7, 2019

Re: Time Extension and Vendor Limit Increase - William Filan PO 89951

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This memorandum is to request a time extension under article 5.3 and vendor limit increase in the amount of \$92,000 to cover the year, through the non-competitive review board process, for the legislative consulting services of William Filan (Contract No. 89951).

As you may know we have several important issues pending before the State of Illinois. It is critical that the City have representation in Springfield and the firm listed above has the experience and knowledge of the legislative process as well as an understanding of the City's unique interests. Mr. Filan has that expertise that makes him a uniquely qualified candidate for this role. He will continue to provide valuable institutional knowledge, advice, and direction to our office legislative team. As well as continue to work on issues that are forth coming in the upcoming legislative session.

Thank you in advance for your consideration and please contact me if you need any additional information.

September 30, 2019

Ms. Samantha Fields  
Director  
Mayor's Office of Intergovernmental Affairs  
City of Chicago  
121 N. LaSalle Street, Room 406  
Chicago, IL 60602

Dear Ms. Fields:

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

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

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

It will be important to have folks with the experience and institutional knowledge of past sessions when discussing issues and strategies as we approach the new legislative session with a new Mayor and Governor.

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



Ms. Samantha Fields  
Director  
Mayor's Office of Intergovernmental Affairs  
September 30, 2019  
Page 2

As we all know, passing and defeating a law can be very cumbersome. Legislators do not have the time to be experts in every issue and cannot possibly keep up with the daily process of both the Senate and House. The countless legislative committees and amendments that are offered on a daily basis requires someone with the institutional knowledge to help protect the City's interests. I believe that my professional experience and demonstrated talents in both the administrative and legislative areas, combined with my strategic advice, would continue to be a worthwhile endeavor. Once again, I look forward to the opportunity to work with your team.

Yours very truly,



William Filan

# WILLIAM FILAN

CORPORATE AND GOVERNMENT PLANNER

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

September 30, 2019

Ms. Samantha Fields  
Director  
Mayor's Office of Intergovernmental Affairs  
City of Chicago  
121 N. LaSalle Street, Room 406  
Chicago, IL 60602

Re: Salary

Dear Ms. Fields:

I am requesting that my rate for my contract beginning on December 28, 2019 stay at \$92,000 per year.

Thank you.

Sincerely,



William Filan

# WILLIAM FILAN

CORPORATE AND GOVERNMENT PLANNER

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

September 30, 2019

Ms. Samantha Fields  
Director  
Mayor's Office of Intergovernmental Affairs  
City of Chicago  
121 N. LaSalle Street, Room 406  
Chicago, IL 60602

Re: MBE/WBE Waiver

Dear Ms. Fields:

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

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

Sincerely,



William Filan



CITY OF CHICAGO



OFFICE OF THE MAYOR

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

From: Samantha Fields *SF*  
Senior Advisor, Intergovernmental Affairs  
Office of the Mayor

Date: October 7, 2019

Re: MBE/WBE Goals – William Filan

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

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



CERTIFICATE OF FILING FOR  
CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT

EDS Number: 145467

Certificate Printed on: 09/23/2019

Date of This Filing:09/23/2019 02:52 PM

Original Filing Date:09/23/2019 02:52 PM

Disclosing Party: WILLIAM FILAN

Filed by: Mr. WILLIAM M FILAN

Title:OWNER

Matter: CONSULTING AND LOBBYING  
FOR MAYORS OFFICE

Applicant: WILLIAM FILAN

Specification #: 882127

Contract #: 89951

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.



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

**REQUEST TO USE PERSONAL SERVICES CONTRACTOR**

Requesting department: **Office of the Mayor** \_\_\_\_\_ Date: September 23, 2019

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

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

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

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

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

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

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

**INDEPENDENT CONTRACTOR VS EMPLOYEE CRITERIA**

Per the Policy On The Use of Non-City Employees To Perform Services For The City, the City may approve the use of a Personal Service Contractor only if the individual to be retained is a true independent contractor. The determination of what constitutes a true independent contractor depends on the specific circumstances of each case, and no one factor is determinative. However, all of the following criteria will be examined for each request to assess whether the engagement is truly independent contractor-like, and not employee-like:

- 1) The reasons the contractor is needed;
- 2) The nature of the work to be performed;
- 3) The extent to which City employees may exercise direction and control over the work, and how the work will be performed, as opposed to merely monitoring the end product to ensure that it satisfies the requirements of the contract;
- 4) The extent to which the work is highly specialized or requires particular skills or expertise;
- 5) The extent to which the contractor is uniquely skilled or qualified to perform the work;
- 6) The similarity of the work to existing work normally performed by City employees;
- 7) The existence of a prior employment relationship between the contractor and the City: prior position(s) held, period(s) of employment, duration, nature of work performed, and similarity to the services to be performed.
- 8) The similarity of the services to be performed to the services performed by the Contractor for non-City clients or customers as part of the contractor's business or professional practice;
- 9) The extent to which the contractor will be free to continue to provide these services to clients or customers other than the City during the term of the contract;
- 10) The location(s) of the work to be performed;
- 11) The extent to which the City will be providing work space, equipment, materials and staff support for the performance of the work and conversely, the extent to which the contractor will work from her/his own facilities, and provide her/his own equipment, materials and staff support;
- 12) The anticipated duration of the contract, including relationship to the completion of a specific project and length of a specified contract period, if applicable;
- 13) The basis for determining how many hours the contractor will work, and which hours the contractor will work;
- 14) The basis for determining the contractor's pay (e.g. flat fee due on completion of project, hourly rate based on a record of hours worked, or regular installments).

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

## MEMORANDUM

TO: Samantha Fields  
Mayor's Office  
121 North LaSalle St., Room 406  
Chicago, IL 60602

FROM: William Filan *W.F.*

DATE: September 30, 2019

RE: Consulting Contract Beginning December 28, 2019/  
Insurance Waiver Contract Number PO 89951  
Specification Number 882127

My contract with the City calls for me to have Commercial General Liability Insurance, Automobile Liability, and Professional Liability. Since I am a sole proprietorship and work by myself, I am asking that you consider a waiver for the Professional Liability (Item 4) since my Business General Liability Insurance amount is \$4,000,000 and would be sufficient to cover both items.

This action would save me \$2,327.00 per year in insurance coverage which I believe is not needed based on my duties as a contract lobbyist for the City. Please review my contract and consider waiving Item No. 4 since Item No. 2 covers my role representing the City sufficiently.

Thank you for extending the waiver on the contract that is being renewed.

# WILLIAM FILAN

CORPORATE AND GOVERNMENT PLANNER

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

September 30, 2019

Shannon E. Andrews  
Chief Procurement Officer  
City of Chicago  
121 N. LaSalle Street, Room 806  
Chicago, IL 60602

Dear Ms. Andrews:

William Filan LTD is a sole proprietor and therefore does not need to supply coverage for Workers Compensation.

Please call if you need further clarification. Thank you!

Sincerely,



William Filan



97 This **Spectrum Policy** consists of the Declarations, Coverage Forms, Common Policy Conditions and any  
39 other Forms and Endorsements issued to be a part of the Policy. This insurance is provided by the stock  
LP insurance company of The Hartford Insurance Group shown below.  
SBA

**INSURER:** HARTFORD CASUALTY INSURANCE COMPANY  
ONE HARTFORD PLAZA, HARTFORD, CT 06155  
COMPANY CODE: 3



**Policy Number:** 83 SBA LP3997 DV

## SPECTRUM POLICY DECLARATIONS

**Named Insured and Mailing Address:** WILLIAM FILAN  
(No., Street, Town, State, Zip Code)

321 N CLARK ST, STE 2800 C/O FOLEY  
CHICAGO IL 60610

**Policy Period:** From 04/28/19 To 04/28/20 1 YEAR  
12:01 a.m., Standard time at your mailing address shown above. **Exception:** 12 noon in New Hampshire.

**Name of Agent/Broker:** MESIROW INS SERVICES INC/BBT/PHS  
**Code:** 551324

**Previous Policy Number:** 83 SBA LP3997

**Named Insured is:** INDIVIDUAL

**Audit Period:** NON-AUDITABLE

**Type of Property Coverage:** SPECIAL

**Insurance Provided:** In return for the payment of the premium and subject to all of the terms of this policy, we agree with you to provide insurance as stated in this policy.

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**TOTAL ANNUAL PREMIUM IS:** \$651

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Countersigned by *Susan L. Castaneda*  
Authorized Representative

02/13/19  
Date

**SPECTRUM POLICY DECLARATIONS (Continued)**

**POLICY NUMBER:** 83 SBA LP3997

Location(s), Building(s), Business of Named Insured and Schedule of Coverages for Premises as designated by Number below.

**Location:** 001      **Building:** 001

321 N CLARK ST, STE 2800  
CHICAGO IL 60610

**Description of Business:**

CONSULTANT - MANAGEMENT

**Deductible:** \$ 250 PER OCCURRENCE

**BUILDING AND BUSINESS PERSONAL PROPERTY LIMITS OF INSURANCE**

**BUILDING**

NO COVERAGE

**BUSINESS PERSONAL PROPERTY**

**REPLACEMENT COST** \$ 3,000

**PERSONAL PROPERTY OF OTHERS**

**REPLACEMENT COST** NO COVERAGE

**MONEY AND SECURITIES**

INSIDE THE PREMISES \$ 10,000  
OUTSIDE THE PREMISES \$ 5,000



**SPECTRUM POLICY DECLARATIONS (Continued)**

**POLICY NUMBER: 83 SBA LP3997**

**PROPERTY OPTIONAL COVERAGES APPLICABLE TO ALL LOCATIONS LIMITS OF INSURANCE**

**BUSINESS INCOME AND EXTRA EXPENSE  
COVERAGES** 12 MONTHS ACTUAL LOSS SUSTAINED  
**COVERAGES INCLUDES THE FOLLOWING  
COVERAGES EXTENSIONS:**

**ACTION OF CIVIL AUTHORITY:** 30 DAYS  
**EXTENDED BUSINESS INCOME:** 30 CONSECUTIVE DAYS

**EQUIPMENT BREAKDOWN COVERAGE  
COVERAGES FOR DIRECT PHYSICAL LOSS  
DUE TO:  
MECHANICAL BREAKDOWN,  
ARTIFICIALLY GENERATED CURRENT  
AND STEAM EXPLOSION**

**THIS ADDITIONAL COVERAGE INCLUDES  
THE FOLLOWING EXTENSIONS**

**HAZARDOUS SUBSTANCES** \$ 50,000  
**EXPEDITING EXPENSES** \$ 50,000

**MECHANICAL BREAKDOWN COVERAGE ONLY  
APPLIES WHEN BUILDING OR BUSINESS  
PERSONAL PROPERTY IS SELECTED ON  
THE POLICY**

**IDENTITY RECOVERY COVERAGE** \$ 15,000  
**FORM SS 41 12**

**SPECTRUM POLICY DECLARATIONS (Continued)**

**POLICY NUMBER: 83 SBA LP3997**

<b>BUSINESS LIABILITY</b>	<b>LIMITS OF INSURANCE</b>
<b>LIABILITY AND MEDICAL EXPENSES</b>	<b>\$2,000,000</b>
<b>MEDICAL EXPENSES - ANY ONE PERSON</b>	<b>\$ 10,000</b>
<b>PERSONAL AND ADVERTISING INJURY</b>	<b>\$2,000,000</b>
<b>DAMAGES TO PREMISES RENTED TO YOU ANY ONE PREMISES</b>	<b>\$ 300,000</b>
<b>AGGREGATE LIMITS</b>	
<b>PRODUCTS-COMPLETED OPERATIONS</b>	<b>\$4,000,000</b>
FORM SS 05 09	
<b>GENERAL AGGREGATE</b>	<b>\$4,000,000</b>
<b>EMPLOYMENT PRACTICES LIABILITY COVERAGE: FORM SS 09 01</b>	
<b>EACH CLAIM LIMIT</b>	<b>\$ 5,000</b>
<b>DEDUCTIBLE - EACH CLAIM LIMIT</b>	
NOT APPLICABLE	
<b>AGGREGATE LIMIT</b>	<b>\$ 5,000</b>
<b>RETROACTIVE DATE: 04281999</b>	

This **Employment Practices Liability Coverage** contains claims made coverage. Except as may be otherwise provided herein, specified coverages of this insurance are limited generally to liability for injuries for which claims are first made against the insured while the insurance is in force. Please read and review the insurance carefully and discuss the coverage with your Hartford Agent or Broker.

The Limits of Insurance stated in this Declarations will be reduced, and may be completely exhausted, by the payment of "defense expense" and, in such event, The Company will not be obligated to pay any further "defense expense" or sums which the insured is or may become legally obligated to pay as "damages".

**BUSINESS LIABILITY OPTIONAL  
COVERAGES**

<b>HIRED/NON-OWNED AUTO LIABILITY</b>	<b>\$2,000,000</b>
FORM: SS 04 38	





# SUPER STRETCH SUMMARY

## SUMMARY OF COVERAGE LIMITS

This is a summary of the Coverages and the Limits of Insurance provided by the Super Stretch Coverage form SS 04 74 which is included in this policy. No coverage is provided by this summary. Refer to coverage form SS 04 74 to determine the scope of your insurance protection.

The Limits of Insurance for the following Additional Coverages are in addition to any other limit of insurance provided under this policy:

<b>Blanket Coverage Limit of Insurance: \$150,000</b>
<b>Blanket Coverages</b>
Accounts Receivable- On/Off Premises
Computers and Media
Debris Removal
Personal Property of Others
Temperature Change
Valuable Papers and Records- On/Off Premises

<b>Coverage</b>	<b>Limit</b>
Brands and Labels	Up to Business Personal Property Limit
Claim Expenses	\$ 10,000
Computer Fraud	\$ 5,000
Employee Dishonesty (including ERISA)	\$ 25,000
Fine Arts	\$ 25,000
Forgery	\$ 25,000
Laptop Computers- Worldwide Coverage	\$ 10,000
Off Premises Utility Services – Direct Damage	\$ 25,000
Outdoor Signs	Full Value
Pairs or Sets	Up to Business Personal Property Limit
Property at Other Premises	\$ 10,000
Salespersons' Samples	\$ 5,000
Sewer and Drain Back Up	Included Up to Covered Property Limits
Sump Overflow or Sump Pump Failure	\$ 25,000
Tenant Building and Business Personal Property Coverage-Required by Lease	\$ 20,000
Transit Property in the Care of Carriers for Hire	\$ 10,000
Unauthorized Business Card Use	\$ 5,000

The Limits of Insurance for the following Coverage Extensions are a replacement of the Limit of Insurance provided under the Standard Property Coverage Form or the Special Property Coverage Form, whichever applies to the policy:

<b>Coverage</b>	<b>Limit</b>
Newly Acquired or Constructed Property – 180 Days	
Building	\$1,000,000
Business Personal Property	\$ 500,000
Business Income and Extra Expense	\$ 500,000
Outdoor Property	\$ 25,000 aggregate/ \$1,000 per item
Personal Effects	\$ 25,000
Property Off-Premises	\$ 25,000

The following changes apply only if Business Income and Extra Expense are covered under this policy. The Limits of Insurance for the following Business Income and Extra Expense Coverages are in addition to any other Limit of Insurance provided under this policy:

<b>Coverage</b>	<b>Limit</b>
Business Income Extension for Off-Premises Utility Services	\$ 25,000
Business Income Extension for Web Sites	\$ 50,000/7 days
Business Income from Dependent Properties	\$ 50,000

The following Limit of Insurance for the following Business Income Coverage is a replacement of the Limit of Insurance provided under the Standard Property Coverage Form or the Special Property Coverage Form, whichever applies to the policy:

<b>Coverage</b>	<b>Limit</b>
Extended Business Income	90 Days

The following changes apply to Loss Payment Conditions:

<b>Coverage</b>	<b>Limit</b>
Valuation Changes	
Commodity Stock	Included
"Finished Stock"	Included
Mercantile Stock - Sold	Included