

SOFTWARE AS A SERVICE AGREEMENT

This Software as a Service Agreement ("Agreement") is made effective as of this 31 day of July 2021 ("Effective Date") by and between Ventiv Technology Inc., and its Affiliates ("Ventiv" or "Contractor") with main offices located at 3350 Riverwood Parkway, Suite #2000, 20<sup>th</sup> Floor, Atlanta, GA 30339, and the City of San Diego ("Customer" or "City") with offices located 1200 Third Ave., Suite 1000, San Diego, CA 92101

This Agreement consists of this signature page, the attached Terms and Conditions ("Terms and Conditions") and the following attached schedules ("Schedules") that are listed below:

- Schedule A: Software Schedule (Ventiv Digital)
- Schedule B: Initial Order Form
- Schedule C: Support Schedule and Service Levels (SaaS)

By executing this Agreement, both parties acknowledge that they have reviewed the terms and conditions incorporated into this Agreement and agree to be legally bound by the same. The parties hereby cause this Agreement to be executed by their respective duly authorized representatives effective as of the Effective Date.

**Accepted and Agreed:**

City of San Diego

By: [Signature]  
Name: Claudia C. Barca  
Title: Director, Purchasing & Contracting  
Date: September 8, 2021  
Address: 1200 Third Ave  
Suite 200  
San Diego, CA 92101  
Telephone: (619) 236-1400  
Fax: (619) 235-5904

VENTIV TECHNOLOGY INC.

By: [Signature]  
Name: Melloney Douce  
Title: General Counsel  
Date: Jul 28, 2021  
Address: 3350 Riverwood Parkway, 20th Floor,  
Suite #2000,  
Atlanta, GA 30339  
Telephone: 770-308-5425  
Fax: 770-308-5601

Approved as to form this 19 day of September,  
2021.

MARA W. ELLIOTT, City Attorney

By: [Signature]  
Deputy City Attorney

## TERMS AND CONDITIONS

**1. GENERAL.** The following terms and conditions ("Terms and Conditions") govern this Agreement. To the extent there is a conflict between the Terms and Conditions and any Schedule, Exhibit or Statement of Work, the order of precedence of documents constituting this Agreement will be as follows: (a) Terms and Conditions; (b) Schedules; (c) Statements of Work, if any; (d) attachments or exhibits to Schedules; and (e) any other document incorporated herein.

**2. DEFINITIONS.** As used in this Agreement, and in addition to any other terms defined in this Agreement, the following terms will have the following meanings:

**2.1 "Affiliate"** means any entity that controls, is controlled by, or is under common control with Ventiv. For purposes of the Agreement, "control" means possessing, (i) directly or indirectly, the power to direct or cause the direction of the management, policies, or operations of an entity, whether through ownership of voting securities, by contract or otherwise; or (ii) the ownership of, or the power to vote, at least fifty percent (50%) of the voting stock, shares or interests of such entity.

**2.2 "Business Day"** collectively means Monday through Friday of each week, other than days on which banks in Marietta, Georgia, U.S.A. are closed for banking and any other date designated by Ventiv as a holiday to Customer from time-to-time as such in advance in writing (because different holidays may be recognized on different days each year);

**2.3 "Change Request"** has the meaning set forth in Section 8.2;

**2.4 "Confidential Information"** means any information or material in tangible or intangible form that: (i) is confidential and proprietary to the disclosing party, possesses an element of value to the disclosing party, is not generally known to the disclosing party's competitors, and would damage the disclosing party if disclosed; or (ii) the disclosing party obtains from any third party which the disclosing party treats as proprietary whether or not owned by the disclosing party;

**2.5 "Customer Data"** means any and all data and information related to the data (including text, graphics, photographs, audio visual elements, music, illustrations, video, or other content) provided to Ventiv by or on behalf of Customer for processing, and any and all updates or modifications thereto or Derivative Works thereof made by Customer or Ventiv;

**2.6 "Customer Support Services"** has the meaning set forth in Section 8.1(d);

**2.7 "Deliverables"** means those Services detailed in the Statement of Work to be performed during implementation of the System to enable Production Use of the System, including without limitation, (i) Project Management – managing the project delivery; (ii) Business Analysis – requirements gathering, specifications, QA testing; (iii) Configuration – setup of Customer database including custom fields and custom business rules; (iv) Data Conversion – convert source data into format used by the Software; (v) Reporting – deploy standard templates, complete custom report development, as applicable; (vi) Training – training for Customer testing and go-live;

**2.8 "Derivative Works"** means any suggestions, contributions, enhancements, improvements, modifications, or changes to the referenced materials;

**2.9 "Documentation"** means the user documentation and any other operating, training, and reference manuals relating to the use of the Software, as supplied by Ventiv to Customer, as well as any Derivative Works thereto;

**2.10 "Intellectual Property Rights"** means all rights in and to any of the following, however constituted: trade secrets, patents, copyrights, trademarks, service marks, URLs, trade dress, brand features, know-how, moral rights, contract rights, code (executable, source and other) and similar rights of any type under the laws of any applicable governmental authority, or international treaty, including, without limitation, all applications and registrations relating to any of the foregoing;

**2.11 "Order Form"** means the initial order form set forth in Schedule C as well as subsequent order forms, which will serve as the mechanism by which Customer may purchase additional software and services following the Effective Date that incorporates the terms and conditions of this Agreement;

**2.12 "Production Use"** means the capability to use, or the actual use of, the System in a live environment;

**2.13 "Project"** means the scope of work to be performed by Ventiv as set forth in the Statement of Work;

**2.14 "Project Plan"** means the methodology for completing the Project to be agreed by the parties at the initial requirements meeting following execution of the Agreement.

**2.15 "Services"** is the collective reference to all services Ventiv performs for Customer under this Agreement and includes without limitation, the services specifically described in Section 8 as well as any new services purchased under an Order Form;

**2.16 "Software"** means the object code to Ventiv's proprietary software products listed in Schedule A, and any modified, updated, or enhanced versions of, or additional modules related to, such software products for which Ventiv provides access to Customer either pursuant to the maintenance and support provisions or pursuant to an Order Form, as well as the Software Configurations and Documentation for such software products, including any Derivative Works of such software and documentation;

**2.17 "Software Configurations"** means any of the Deliverables set forth in the SOW related to configuration or modification of the Software or of the standard reports or templates within the Software or the creation of business rules using the Software;

**2.18 "Specifications"** means the software specifications set forth in the Documentation and in the Statement of Work for the relevant Software product;

**2.19 "Statement of Work" or "SOW"** means the statement of work set forth in Attachment 1 to this Agreement as well as any changes or amendments to such SOW or any new SOWs that may be attached to a new Order Form;

**2.20 "System"** is the collective reference to the Software, Software Configurations, Documentation, Ventiv Server, and other technology that together comprises the software as a service offered to Customer under this Agreement;

**2.21 "Term"** has the meaning set forth in Section 13.1 of this Agreement;

**2.22 "Ventiv Content"** means any information, data, materials, software, files, text, graphics, photographs, audio visual elements, music, illustrations, video, or other content available through the System, which is proprietary to Ventiv, its licensors, or Ventiv's affiliates; and

**2.23 "Ventiv Server"** means those computer servers that Ventiv owns, leases, or otherwise controls whether in its own data center or the data center of another entity with which Ventiv has a contractual relationship.

## **3. LICENSE GRANT & LIMITATIONS.**

**3.1 License Grant.** Subject to the terms and conditions of this Agreement, including, but not limited to, payment by Customer of the applicable fees set forth on the Order Form, Ventiv grants to Customer a limited, non-exclusive, non-transferable (except as permitted under Section 15.4 of the Terms and Conditions) license, without the right to sublicense (except as permitted under Section 3.2 below), to remotely access and use the System that is located on the Ventiv Server in accordance with the terms of this Agreement for the length of the Term solely for Customer's internal business purposes. Use of the System is limited to authorized users of Customer. There is one Administrator as listed in the Order Form in Schedule Users maybe divided into user type describing the level of access granted to such user (such access rights detailed in Schedule A); users may not exceed the access granted to them by the user type they have been assigned. Ventiv authorizes Customer to use, copy and distribute Ventiv Content provided that (1) the use and distribution of Ventiv Content is limited to Customer, its representatives, and/or its clients, and (2) all copies of Ventiv Content will retain all copyright or proprietary notices. Any other use or distribution of Ventiv Content, unless authorized in writing by Ventiv, is prohibited.

### 3.2 Other Authorized Users.

(a) *Third-Party Vendors.* Ventiv acknowledges and agrees that Customer may use certain third-party vendors for purposes of performing some of Customer's internal business processes ("**Third-Party Vendors**"). Customer may allow its Third-Party Vendors (other than Ventiv's direct competitors) to access and use the System subject to the terms and conditions of this Agreement solely for Customer's internal business processing services, subject to the following conditions: (i) Customer agrees to be fully responsible for all use of the System by its Third-Party Vendors; (ii) Customer will ensure compliance by Third-Party Vendors of the terms and conditions of this Agreement, including without limitation, Section 6 of this Agreement (Confidential Information); (iii) Customer will notify Ventiv of any such Third-Party Vendors (such notification provided when requesting passwords for such Third Party Vendors) and will ensure that each such Third-Party Vendor uses its own unique password as detailed in Section 4 below; and (iv) upon termination of its relationship with such Third-Party Vendors or of this Agreement, Customer will ensure that all access to the System by such Third-Party Vendors ceases immediately.

(b) ~~Reserved for Customers who have clients requiring access to the System.~~

### 3.3 Limitations.

(a) *Use Restrictions.* Unless otherwise expressly authorized in this Agreement, Customer will not, and will ensure that its end-users will not: (i) modify, adapt, alter, translate, or create derivative works from the System; (ii) merge the System (or any part thereof) with any other software, products or services (other than Ventiv-provided interfaces); (iii) sublicense, resell, re-distribute, lease, rent, loan, disclose or otherwise transfer the System (or any part thereof) or any other associated products and services to any third party; (iv) reverse engineer, decompile, disassemble, or otherwise attempt to derive the source or object code of the System (or any part thereof); (v) use the System (or any part thereof) to provide any facility management, service bureau or similar services to third parties, permit third parties to remotely access and use the System (or any part thereof) or use the System (or any part thereof) to develop a product line that is similar to the Software or System; (vi) publish or share with any third party any results of any benchmark or performance tests run on the System (or any part thereof); (vii) otherwise use or copy the System (or any part thereof) except as expressly allowed under this Agreement or (viii) alter, distort, or remove any confidential, proprietary, copyright, trademark, trade secret, or patent legends from any copy of the System (or any part thereof).

(b) *Unauthorized Actions.* In addition, Customer agrees that it will not use the System to take any action that: (i) violates any applicable law or regulation or is legally libelous, defamatory, indecent, obscene or pornographic; (ii) would violate copyright, trademark, trade secret or other property right of any third party; (iii) involves the addition, removal or modification of identifying network header information in an effort to deceive; (iv) uses the System to access, or attempt to access, the accounts of others, or to penetrate, or attempt to penetrate, security measures of Ventiv's or another entity's computer software or hardware, electronic communications system, or telecommunications system, whether or not the intrusion results in access to or the corruption or loss of data; (vi) uses the System to collect, or attempt to collect, personal information about third parties without their valid consent.

(c) *Removal of Files.* Ventiv reserves the right to remove from the Ventiv Server(s) any files that may damage the System or any files that are in violation of Section 3.3(b), provided that Ventiv agrees to give Customer written notice within two (2) Business Days after removing such files. The removed files will be placed in a temporary quarantined area until both parties mutually agree how to handle the files. Customer consents to such removal and waives any claim arising out of any such file removal.

(d) *Mapping functionality.* Ventiv obtains from selected mapping data source(s) (e.g., ESRI, USGS, AccuWeather, etc.) geographic, hazard and weather mapping data that provides a basis for the mapping of client information in relation to these sources. Neither Ventiv, nor these source systems, their affiliates nor any third-party licensor will have any liability for the accuracy or completeness of the information in the source content or for delays, interruptions, or omissions therein. Access to the mapping data source(s) content is subject to termination in the event that any agreement between Ventiv and the mapping data source(s) is terminated in accordance with its terms.

(e) ~~Reserved for Customer getting S&P Data Feeds.~~

**3.4 Additional Software.** To the extent Customer wishes to purchase additional Ventiv software products other than that set forth in Schedule A, Customer and Ventiv will, subject to compliance with Customer's procurement requirements, execute an Order Form to purchase such additional software.

**3.5 Proprietary Rights.** As between the parties, and subject to the terms and conditions of this Agreement and the applicable Statement of Work, Ventiv and Software as a Service/SaaS Agreement - V21.4

its third-party suppliers will retain ownership of all Intellectual Property Rights in the System, and any and all Derivative Works made to the System or any part thereof, as well as all Work Product provided to Customer ("**Ventiv Proprietary Technology**"). Customer acquires no rights to Ventiv Proprietary Technology except for the licensed interests granted under this Agreement or any SOW. The term "**Work Product**" means all other materials, reports, manuals, visual aids, documentation, ideas, concepts, techniques, inventions, processes, or works of authorship developed, provided or created by Ventiv or its employees or contractors during the course of performing work for Customer (excluding any Customer Data or Derivative Works thereof and excluding any output from the System generated by Customer's use of the System, including without limitation, reports, graphs, charts, modified Customer Data, etc., but expressly including any form templates of such reports, graphs or charts by themselves that do not include Customer Data). Customer also acknowledges that the Ventiv Proprietary Technology contains Confidential Information belonging to Ventiv and its third-party suppliers, and that nothing herein gives Customer any right, title or interest in such Ventiv Proprietary Technology except as otherwise expressly set forth in this Agreement or in any SOW. Customer acknowledges and agrees that Ventiv may use, without restriction, all suggestions, improvements and ideas concerning any part of the System (including without limitation any Beta Versions as defined in Section 16 below) or Intellectual Property Rights therein that may be communicated to Ventiv by Customer. Customer agrees to inform Ventiv immediately of any infringement or other improper action with respect to Ventiv's Confidential Information, the System, or the Intellectual Property Rights therein that comes to Customer's attention.

**3.6 Rights Reserved.** Title, ownership rights, and all Intellectual Property Rights in and to the System will remain the sole property of Ventiv or its suppliers. Customer acknowledges that the Software in source code form remains Confidential Information or a trade secret of Ventiv and/or its suppliers that the source code is not covered by any license hereunder and will not be provided by Ventiv. Except as set forth in this Agreement, no right or implied license or right of any kind is granted to Customer, regarding the System or any part thereof. Nothing in this Agreement confers upon either party any right to use the other party's trade names and trademarks, except for permitted license use in accordance with this Agreement. All use of such marks by either party will inure to the benefit of the owner of such marks, use of which will be subject to specifications controlled by the owner.

## 4. PASSWORDS.

**4.1 Customer's Obligations.** Customer will be given all applicable passwords to use in connection with the System and will ensure that each user is given their own individual user ID and password, which may not be shared with another individual for any reason. Customer will be responsible for changing such passwords immediately upon first use of the System. Customer is entirely responsible for maintaining the confidentiality of such passwords and of its accounts (including, if applicable, the passwords and accounts of each of the Customer personnel accessing the System by means of an account established by Customer). Customer is responsible for all access to and use of the System through Customer's passwords.

**4.2 Unauthorized Access.** Ventiv is not responsible for any unauthorized access and/or use by any third party who independently gains access to Customer's instance of the Software on the System and/or related information, provided that such access is not caused or contributed to by Ventiv. Customer will notify Ventiv promptly of any unauthorized use of any user accounts or of any other breach of security occurring as a result of any activities of any of Customer's end-users or of any vulnerabilities that Customer believes are contained in or caused by the System such that Ventiv may take or recommend appropriate remedial measures. Ventiv will have no liability for any loss or damage arising from Customer's failure to comply with the provisions of this Section 4.

**4.3** Ventiv and Customer agree (a) to maintain and update an industry standard anti-virus program within their respective computer systems and (b) to use commercially reasonable efforts to check attachments to e-mail messages that a party receives before saving such attachments to their respective organization's hard drives or servers.

## 5. FEES AND PAYMENT TERMS.

**5.1 Payments.** Customer will pay to Ventiv all fees due to Ventiv under this Agreement, including, subject to the limit described in the Order Form and any Expenses (as defined below) incurred, as set forth on the Order Form in U.S. dollars (collectively "**Fees**") in a total amount not to exceed \$132,728.40 during the term of this Agreement, including any Renewal terms. Unless otherwise set forth in this Agreement, all Fees will be due within thirty (30) days after the date of the invoice for same. All Fees payable under this Agreement are fully

earned, non-cancelable and the sums paid are non-refundable, unless otherwise outlined herein. If any amounts are withheld by Customer, Customer will, within thirty (30) days from receipt of invoice ("Dispute Period"), provide Ventiv a reasonably detailed written explanation of the nature of the dispute, which explanation will set forth the dollar amounts withheld and the reasons for withholding such amounts. If Customer does not dispute the applicable invoice during the Dispute Period, any such will be deemed waived. For clarity, Customer remains obligated to pay Ventiv for all portions of the applicable invoice that are not under reasonable and good faith dispute. Ventiv shall send all invoices to Customer's billing contact at:

**David Heller**

City of San Diego, Risk Management Department, 1200 Third Ave., Suite 1000, San Diego, CA 92101

619-236-6754

dheller@sandiego.gov

**5.2 Expenses.** Customer will reimburse Ventiv for expenses for any necessary travel to San Diego for actual travel cost (coach air fare or car mileage) on the basis of fairness, reasonableness, and expenses considered customary as travel expenses by the Customer. Customary travel related expenses include airfare, mileage, airport shuttles, car rental, hotel, and meals. Ventiv shall base lodging and per-diem expenses on the most recent General Services Administration (GSA) standards for reimbursement of lodging and per-diem rates for San Diego, California. GSA standards may be located at this website: <http://www.gsa.gov/portal/category/21287> ("Expenses").

**5.3 Overdue Accounts.** A late fee may be charged by Ventiv on all undisputed Fees and Expenses not paid to Ventiv by Customer within thirty (30) days after receipt of the invoice for same at the lesser of the maximum amount chargeable by law or one and one-half percent (1½%) per month commencing with the date payment was due. Customer will be liable for all costs of collection of such undisputed, overdue amounts including, without limitation, all court costs and attorneys' fees incurred by Ventiv. Fees and Expenses due from Customer under this Agreement may not be withheld or offset by Customer against other amounts for any reason.

**5.4 Taxes.** The Fees and other charges do not include any applicable sales, use, and other taxes (including value added tax) and all applicable export and import fees, customs duties and similar charges, and Customer will also be responsible for the payment of all such taxes (other than taxes based on Ventiv's income), fees, duties, and charges, and any related penalties and interest, which will be above and beyond, and in addition to, the Fees, arising from the payment of the Fees and from the delivery or license of the Software and Services to Customer, whether such taxes are assessed before or retroactively following the issue of any invoice by Ventiv. If Customer is required by law to deduct or withhold any tax or other amount from any sum payable to Ventiv, then the sum payable by Customer will be increased to the extent necessary to ensure that after such tax or other amount has been deducted, withheld or paid, Ventiv receives on the due date and retains (free from any liability in respect of any such deduction, withholding or payment) a net sum equal to what it would have received and so retained had no such deduction, withholding or payment been required or made.

## **6. CONFIDENTIAL INFORMATION.**

**6.1 Disclosure of Confidential Information.** Neither party may use or disclose any Confidential Information of the other party, except on a need-to-know basis for purposes of performing its obligations under this Agreement. Disclosure of Confidential Information to employees of the parties hereto will be limited to those who have a need to know such information in connection with carrying out the obligations of that party pursuant to this Agreement. Customer acknowledges that all parts of the System are the Confidential Information of Ventiv and/or Ventiv's licensors, and Customer agrees to treat such information as Confidential Information in accordance with the terms of this Agreement. A "party" (as used in this Section 6) will be deemed to include each party's respective subsidiaries, affiliates and sister companies or any other organization in which such party has an ownership stake or over which such party can exert control, each of which such party will cause to observe the confidentiality requirements of this Agreement with respect to the information disclosed by the other party under this Agreement. The receiving party will only allow its independent contractors to receive the Confidential Information if such contractors execute nondisclosure agreements with Confidential Information restrictions no less protective than those of this Agreement; provided that the receiving party will not under any circumstances provide access to such Confidential Information to competitors of Ventiv.

**6.2 Legally Required Disclosures.** If a receiving party is presented with legal process under which it could be legally compelled to disclose any Confidential Information of the disclosing party (whether by oral question, deposition, interrogatory, request for documents, subpoena, civil investigative demand or similar process or by rule, regulation or other applicable law), such receiving party will, to the extent legally permissible while complying with applicable law, use reasonable efforts to promptly notify the disclosing party of the same before any disclosure is made so that the disclosing party may, at its discretion, seek a protective order or other appropriate remedy or may waive compliance with the confidentiality terms of this Agreement. If such protective order or other remedy is not obtained, or if the disclosing party waives compliance with the provisions hereof, then only that portion of the Confidential Information that it is legally required to be disclosed may be disclosed.

party will, to the extent legally permissible while complying with applicable law, use reasonable efforts to promptly notify the disclosing party of the same before any disclosure is made so that the disclosing party may, at its discretion, seek a protective order or other appropriate remedy or may waive compliance with the confidentiality terms of this Agreement. If such protective order or other remedy is not obtained, or if the disclosing party waives compliance with the provisions hereof, then only that portion of the Confidential Information that it is legally required to be disclosed may be disclosed.

**6.3 Exclusions to Confidential Information.** For purposes of this Agreement, "Confidential Information" will not include information or material which (a) enters the public domain (other than as a result of a breach of this Agreement); (b) was in the receiving party's possession prior to its receipt from the disclosing party; (c) is independently developed by the receiving party without the use of Confidential Information; (d) is obtained by the receiving party from a third party under no obligation of confidentiality to the disclosing party, or (e) that qualifies as a "public record" (as that term is defined in the California Public Records Act, codified in California Government Code sections 6250 through 6270) and which is not otherwise exempt from release under the provisions of the California Public Records Act. The receiving party will be entitled to use for any purpose any Residual Information obtained as a result of this Agreement, provided that the receiving party will not disclose Confidential Information of the disclosing party except as expressly permitted pursuant to the terms of this Agreement. The term "Residual Information" means the ideas, know-how and techniques retained in the unaided memories of the receiving party's personnel who have had access to the Confidential Information of the disclosing party in the course of this Agreement. The receiving party will not have any obligation to limit or restrict the assignment of such persons or to pay royalties for any work resulting from the use of Residual Information. However, this sub-paragraph will not be deemed to grant to the receiving party a license under the disclosing party's copyrights or patents. Section 7 of this Agreement and any business associate agreement Customer requires Ventiv to execute will govern all use and protection of Customer Data.

**6.4 Duration and Injunctive Relief.** The confidentiality obligations set forth in this Section 6 will continue indefinitely following termination or expiration of this Agreement for as long as the Confidential Information remains a Trade Secret under applicable law and will continue for three (3) years following termination or expiration of this Agreement with respect to Confidential Information that does not rise to the level of a trade secret. The receiving party acknowledges that disclosure of any Confidential Information or trade secret by it or its employees will give rise to irreparable injury to the disclosing party or the owner of such information, not adequately compensated by damages. Accordingly, the disclosing party will be entitled to seek equitable relief, including injunctive relief and specific performance against the breach or threatened breach of the undertakings in this Section 6, in addition to any other legal remedies which may be available.

## **7. CUSTOMER DATA AND SECURITY.**

**7.1 Customer Data Generally.** Customer is the sole and exclusive owner of all Customer Data and all Intellectual Property Rights in the foregoing, whether or not provided to any other party under this Agreement. Customer Data will be governed under this section of the Agreement. Ventiv will not use Customer Data for any purpose other than that of providing the Software or rendering the Services under this Agreement, nor sell, assign, lease, or dispose of Customer Data. Customer assumes full responsibility for its employees, vendors, representatives, agents, and its clients ("Customer Representatives") with respect to the transmission of Customer Data sent directly by Customer to Ventiv. Customer must ensure that all Customer Representatives provide such Customer Data to Ventiv via either an encryption process or a secure transport mechanism. Customer assumes full responsibility to safeguard against unauthorized access and provide appropriate protection of its Customer Data prior to and during the transmission or transfer of its Customer Data to Ventiv. Customer and Ventiv acknowledge that the accuracy of delivering the Software and Services depends upon the accuracy and completeness of the Customer Data and/or business requirements needed to deliver the Software and Services by Ventiv. Customer accepts sole responsibility for errors in the Software or Services to the extent resulting from inaccurate or incomplete Customer Data supplied to Ventiv by Customer or Customer Representatives.

**7.2 Security Generally.** Ventiv represents and warrants that Ventiv, its partners, and/or its vendors, will maintain the Customer Data in a manner that conforms to applicable laws, utilizing generally accepted industry standard data management practices and no less than reasonable measures in the circumstances as it concerns environmental stability, data backup, backup frequency, media retention, data loss prevention, data/system security, and contingency plans/disaster recovery in accordance with the Information Security Protocols set forth below in Section 7.4. Access to Customer Data will be restricted to Ventiv employees who have been properly trained and instructed as to security and privacy policies, controls, and procedures.

**7.3 Auditing Standards Report.** Upon written request from Customer, Ventiv will provide Customer with a copy of its current certification or attestation report(s) concerning Ventiv's operation of the System. For example, URAC HIPAA Security Accreditation, ISO27001:2013, or replacement standard, concerning Ventiv's operation of the System.

**7.4 Information Security Protocols.** Ventiv uses a layered approach to information security. Ventiv will use commercially reasonable efforts to maintain the security, integrity and availability of all Customer Data to which it has access, including but not limited to commercially reasonable efforts reflecting changing technological approaches, to comply with the following measures: (a) HIPAA Security Rule; (b) ISO 27001; (c) maintain a documented Information Security Program which includes annual risk assessment and management procedures; (d) maintain the principle of least privilege; (e) classify and handle all Customer data as confidential and apply the necessary security and controls to support HIPAA/HITECH Act compliance; (f) maintain commercially customary physical security and access controls for its data center(s); (g) maintain commercially customary network security controls including firewall and intrusion prevention solutions; (h) maintain commercially customary redundancy at the demark, network and system layers; (i) maintain commercially customary monitoring solutions to continually manage health and capacity of the IT infrastructure components; (j) provide data encryption in a commercially customary manner of all data transmissions; (k) require a minimum of 128-bit SSL encryption for application access and use; (l) maintain and update anti-virus program; (m) require individual user accounts and passwords for any access; (n) maintain strong password requirements for all Ventiv-managed accounts; (o) maintain generally acceptable user account management processes and procedures; (p) maintain industry accepted data protection program; (q) maintain whole disk encryption for all laptops; (r) deploy software security patches in accordance with generally accepted industry best practices; (s) maintain and periodically test (at least annually) a commercially customary disaster recovery plan that provides adequate system backup, technology replacement, and alternate (backup-site) site capabilities; (t) follow commercially customary hardening procedures for system/device builds; (u) conduct ongoing vulnerability management through the use of commercially customary tools; (v) conduct periodic (at least annually) third party vulnerability assessments; (w) follow Open Web Application Security Project (OWASP) methodologies, guidelines and techniques for application development; (x) follow commercially customary change and release management practices for hardware and software changes; (y) follow commercially customary asset sanitization procedures to ensure decommissioned equipment is free of any and all Customer Data; (z) maintain Customer Data security using commercially customary database and application controls; (aa) notify Customer of any unauthorized access to Customer Data promptly upon confirmed discovery; and (bb) maintain at least one certification or attestation covered in Section 7.3 above or replacement standard on security practices from a nationally or globally recognized provider of such reports.

**8. Operational Metrics.** From time to time, Ventiv may collect and process technical and related information about Customer's use of the Software and System (which may include, without limitation, ingest volume, search concurrency, number of unique user logins, Internet protocol address, session duration, policy, claims and risk data, frequency, severity and type of risk or claim and other similar data), may analyze and aggregate your data and information with data and/or information Ventiv may have obtained or may in the future obtain from other of its clients, publicly available sources and/or data providers, and may disclose such analyses and aggregated data to individual prospective or current Ventiv clients, provided that (i) your data is synthesized and made anonymous prior to such use, (ii) Ventiv does not use such synthesized and anonymous data of yours in a manner which would allow you to be identified, and (iii) your data is not transferred to such prospective or current clients.

## 9. PROFESSIONAL SERVICES.

**9.1 Services Generally.** Subject to payment by Customer of the Fees detailed in the Order Form (Initial Order Form), Ventiv and its Affiliates will provide Customer with the services listed below in (a) through (f) (collectively "Services"). Ventiv has the sole right and obligation to supervise, manage, contract, direct, procure, perform, or cause to be performed the Services to be performed by Ventiv hereunder unless otherwise provided herein. Ventiv may, as it deems appropriate, use subcontractors for all or any portion of the Services. Ventiv may at any time remove and replace any such subcontractors.

(a) **Setup/Deployment Services.** Ventiv will provide the implementation services described in the Statement of Work in Attachment I to this Agreement ("Implementation Services").

(b) **Training Services.** Ventiv will provide the training services to Customer described in the SOW ("Training Services").

(c) **Hosting Services.** Ventiv will host the Software on Ventiv's Servers to provide the System to Customer in accordance with the terms of this Agreement, which will include administration of database objects, table structure, table space, scheduled programs, stored procedures, and automated backup and recovery processes performed by Ventiv to the Software ("Hosting Services").

(d) **Support and Maintenance Services.** Ventiv will provide the customer support and maintenance services described in Section 9 ("Customer Support Services").

(e) **Ongoing Data Loads.** Ventiv will provide the ongoing data loads described in the Order Form ("Ongoing Data Loads").

(f) **Transitional Services.** At Customer's expense on a time-and-materials basis, Ventiv will, subject to Customer's procurement requirements, provide Customer with reasonable assistance in the windingdown of the Services and/or transition of such Services to a new service provider in the event of any termination or expiration of this Agreement.

**9.2 Change Control Procedures.** Either party may during the implementation of the Project (as detailed in the SOW) request a change to any aspect of the Project Plan ("Change Request"). Such Change Request is to be delivered by the requesting party's Project manager (a "Project Manager") to the other party's Project Manager. For the avoidance of doubt, any redefinition of the scope of services by Customer, or the provision by Customer of new details in respect of the implementation, will be deemed to constitute a Change Request. A Change Request must contain a detailed and complete explanation of the proposed changes and comply with Customer's procurement requirements. If there is any dispute as to whether a change requested by Customer is within or beyond the scope of the Project Plan, Ventiv will not be obliged to proceed with that change until that dispute is resolved and will proceed in accordance with the Project Plan as it then exists. If a Change Request is executed by authorized signatories of both parties, Ventiv will perform the services detailed in the Change Request in accordance with the terms and conditions of this Agreement (subject to any specific terms of the Change Request itself), and such executed Change Request will constitute an amendment to this Agreement and the applicable Statement of Work.

**9.3 Customer Obligations.** Customer will maintain a designated representative who will be authorized to act as the primary point of contact for Ventiv in dealing with Customer with respect to each party's obligations under this Agreement and on a timely basis and at no charge to Ventiv, issue all consents or approvals and make all requests on behalf of Customer. Customer will establish and maintain, at its own expense, all telecommunications equipment and access lines necessary to gain access to and support transmission of the Software via the System. Customer agrees to perform all tasks assigned to Customer as set forth in this Agreement, the SOW, or any Project Plan or as reasonably requested by Ventiv and provide all assistance and cooperation to Ventiv in order to accomplish timely and efficiently the Services. Ventiv will not be deemed in breach of this Agreement or SOW in the event Ventiv's failure to meet the responsibilities and time schedules set forth in the SOW or any Project Plan is caused by Customer's failure to meet (or delay in) its responsibilities and time schedules set forth in the applicable SOW, this Agreement or as otherwise requested by Ventiv. In the event of any delay in Customer's performance of any of the obligations set forth in this Agreement, including any Statement of Work, or any other delays caused by Customer, the milestones, fees, and date(s) set forth in the Statement of Work or Project Plan will be adjusted as reasonably necessary to account for such delays.

**9.4 Additional Services.** In the future, subject to Customer's procurement requirements and applicable laws, Customer may purchase additional services by executing an Order Form describing the proposed services and fee payment schedule. A new Statement of Work describing in detail the services to be provided may be attached to such Order Form (a "New Statement of Work"). Once the Order Form and New Statement of Work are signed by both parties it will be incorporated herein by reference and made a part of this Agreement. No New Statement of Work will become effective until it has been executed by an authorized representative of both Ventiv and Customer and attached to an Order Form. Any services detailed in a New Statement of Work will be deemed to be "Services" under this Agreement.

## 10. CUSTOMER SUPPORT SERVICES AND SLAs.

**10.1 Customer Support Services.** Ventiv will provide the Customer Support Services set forth in Schedule C.

**10.2 SLAs.** Ventiv will provide the System in accordance with the service levels set forth in Schedule C.

## 11. WARRANTY AND DISCLAIMER.

**11.1 General Warranty.** Each party represents and warrants that it is not

subject to any agreement that would prevent it from complying with this Agreement. Ventiv represents and warrants that it will comply with all applicable laws and regulations relating to its performance of the Services under this Agreement.

**11.2 Software Warranty.** Following Production Use of the System, Ventiv represents and warrants that during the Term the System will perform substantially in accordance with the Specifications for the System. If Ventiv receives written notice that the System does not perform as warranted within sixty (60) days of such non-performance, Ventiv will, at its option and at no additional charge to Customer, undertake to correct errors, or replace such portions of the System free of charge with software that performs as warranted hereunder. If Ventiv is unable to repair or replace the non-conforming software, then Customer's sole and exclusive remedy against Ventiv will be to terminate this Agreement and receive a pro-rata refund of Subscription Fees paid under the Agreement for its use of the System for the terminated portion of the Term. For the avoidance of doubt, Ventiv will not be responsible for payment of any fines assessed against Customer by any regulatory authority for failure of the Customer to comply with statutory or regulatory requirements of any kind.

**11.3 Services Warranty.** For sixty (60) days after the performance of any Services under this Agreement, Ventiv warrants that such Services will be performed in a professional and workmanlike manner consistent with generally accepted industry practices. For any breach of this services warranty, Customer's exclusive remedy, and Ventiv's entire liability, will be the re-performance of such deficient Ventiv Services. Customer must identify in a written notice to Ventiv any deficiencies in such Services within ninety (90) days of completion of such deficient Services in order to receive the above warranty remedies.

**11.4 Customer Warranty.** Customer represents and warrants that Customer is authorized to provide Ventiv with the Customer Data and that Ventiv is authorized to use such Customer Data solely for the purpose of providing the System and Services.

**11.5 Exclusions.** Ventiv does not warrant and is not responsible for (a) any third-party products not provided by Ventiv, or (b) services not provided solely by Ventiv, its agents and subcontractors.

**11.6 DISCLAIMER.** OTHER THAN AS EXPRESSLY SET FORTH IN THIS AGREEMENT, NEITHER VENTIV, ITS AFFILIATES, LICENSORS OR SUPPLIERS, NOR THEIR OFFICERS, DIRECTORS, EMPLOYEES, SHAREHOLDERS, AGENTS OR REPRESENTATIVES MAKES ANY EXPRESS OR IMPLIED WARRANTIES, CONDITIONS, OR REPRESENTATIONS TO CUSTOMER, OR ANY OTHER PERSON OR ENTITY WITH RESPECT TO THE SOFTWARE, SYSTEM AND SERVICES PROVIDED HEREUNDER OR OTHERWISE REGARDING THIS AGREEMENT, WHETHER ORAL OR WRITTEN, EXPRESS, IMPLIED OR STATUTORY, INCLUDING WITHOUT LIMITATION THE IMPLIED WARRANTY OR CONDITION OF MERCHANTABILITY, THE IMPLIED WARRANTY AGAINST INFRINGEMENT, AND THE IMPLIED WARRANTY OR CONDITION OF FITNESS FOR A PARTICULAR PURPOSE. VENTIV DOES NOT WARRANT THAT THE OPERATION OF THE SOFTWARE, SYSTEM OR SERVICES WILL BE UNINTERRUPTED OR ERROR-FREE.

## **12. INDEMNIFICATION.**

**Ventiv Indemnity.** Ventiv will indemnify, defend, and hold Customer, its individual directors, officers, employees and agents, harmless from and against any claims, actions or proceedings, arising out of any third-party claim that the Software of the permitted use thereof infringes or violates any third party's valid U.S. patent, copyright or trade secret ("IP Claim"). If in Ventiv's reasonable judgment any such IP Claims, or threat of an IP Claim materially interferes with Customer's use of the Software, Ventiv will consult with Customer, and Ventiv will have the option, with choice of remedy to be in in Ventiv's sole but reasonable discretion, to (i) substitute functionally equivalent non-infringing software or documentation, (ii) modify the Software to make it non-infringing, obtain for Customer at Ventiv's expense the right to continue using the infringing Software; or, if the foregoing is not feasible in Ventiv's sole but reasonable discretion, Ventiv will (iv) require Customer to cease using the System, refund a pro-rata portion of the Fees (as defined in the Order Form) for the System for such period of time in which Customer was unable to use the Software or System. Ventiv will have no indemnity obligation for claims of infringement resulting or alleged to result from (i) any combination, operation, or use of any Software with any programs or equipment not supplied by Ventiv or not specified or authorized in this Agreement for such purpose if in Ventiv's reasonable judgment such infringement would have been avoided by the combination, operation, or use of such Software with items supplied by Ventiv or specified in this Agreement for such purpose; (ii) inclusion of Customer Data; (iii) any modification of the Software by a party other than Ventiv if such infringement would have been avoided in the absence of such

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modifications; or (iv) the use of the Software in a manner other than for its intended purposes or contrary to the Specifications. This Section states Ventiv's entire liability and Customer's sole and exclusive remedy for infringement claims and actions.

**12.1 Customer Indemnity.** Customer will indemnify, defend, and hold Ventiv, its Affiliates, and their respective individual directors, officers, employees and agents, harmless from and against any claims, actions or proceedings, arising out of any third-party claim: (a) resulting from Customer's reliance on results obtained through the use of the System (provided the System has functioned in accordance with the Documentation); (b) that the Customer Data or Ventiv's transmission to Customer or hosting thereof infringes or violates the rights of such third party.

**12.2 General.** The defense and indemnification obligations set forth in this Section 11 are conditioned upon (i) the indemnified party providing the indemnifying party timely notice of any claim or cause of action upon which the indemnified party intends to base a claim of indemnification hereunder, (ii) the indemnified party providing reasonable assistance and cooperation to enable the indemnifying party to defend the action or claim hereunder; and (iii) allowing the indemnifying party to control the defense and all related settlement negotiations; provided that the indemnifying party may not settle any claim that results in the indemnified party's liability and the indemnifying party will be required to consult with the indemnified party during any settlement discussions, and further provided that Ventiv acknowledges and agrees that certain settlements may be subject to the approval of Customer's City Council.

## **13. LIMITATION OF LIABILITY.**

**13.1 LIMITATION OF REMEDY.** EXCEPT AS PROHIBITED BY LAW, IN NO EVENT WILL EITHER PARTY, OR ITS CONTRACTORS, LICENSORS OR SUPPLIERS OR ANY OF THEIR OFFICERS, DIRECTORS, EMPLOYEES, SHAREHOLDERS, AGENTS OR REPRESENTATIVES BE LIABLE TO THE OTHER PARTY, OR ANY OTHER PERSON OR ENTITY FOR ANY SPECIAL, INCIDENTAL, CONSEQUENTIAL, INDIRECT, EXEMPLARY, OR PUNITIVE DAMAGES OR LIABILITIES FOR ANY CAUSE WHATSOEVER ARISING OUT OF OR RELATING TO THIS AGREEMENT, INCLUDING ALL STATEMENTS OF WORK, ORDER FORMS, OR AMENDMENTS THERETO, WHETHER IN CONTRACT OR TORT OR BY WAY OF INDEMNITY OR OTHERWISE, INCLUDING A BREACH THEREOF OR INCLUDING DAMAGES OR LIABILITIES FOR LOST PROFIT, LOST REVENUE, LOSS OF USE, LOSS OF GOODWILL, LOSS OF REPUTATION, LOSS OF DATA, REGULATORY FINES, COSTS OF RECREATING LOST DATA, THE COST OF ANY SUBSTITUTE EQUIPMENT, SOFTWARE PROGRAM, OR DATA, REGARDLESS OF WHETHER THE POSSIBILITY OF SUCH DAMAGES OR LIABILITIES HAVE BEEN COMMUNICATED TO SUCH PARTY AND REGARDLESS OF WHETHER SUCH PARTY HAS OR GAINS KNOWLEDGE OF THE EXISTENCE OF SUCH DAMAGES OR LIABILITIES.

**13.2 MAXIMUM LIABILITY.** EXCEPT FOR (I) THE RECOVERY OF SUMS DUE UNDER THIS AGREEMENT OR IN AN SOW, (II) AS PROHIBITED BY LAW OR (III) FOR CLAIMS ARISING UNDER SECTIONS 6 (OTHER THAN DATA BREACHES), 11.1 AND 11.2, IN NO EVENT WILL EITHER PARTY'S LIABILITY FOR ANY DAMAGES TO THE OTHER, ANY OF ITS AFFILIATES, OR TO ANY THIRD PARTY REGARDLESS OF THE FORM OF ACTION, WHETHER BASED ON CONTRACT, TORT, NEGLIGENCE, STRICT LIABILITY, PRODUCTS LIABILITY OR OTHERWISE, EVER EXCEED THE ACTUAL FEES RECEIVED BY VENTIV UNDER THIS AGREEMENT FOR THE PORTION OF THE SOFTWARE OR SERVICES GIVING RISE TO SUCH CLAIM DURING THE PREVIOUS TWENTY-FOUR (24) MONTH PERIOD OR, IF THE AGREEMENT HAS BEEN EFFECTIVE FOR LESS THAN TWENTY-FOUR (24) MONTHS, THEN THE CAP ON LIABILITY, AS DESCRIBED IN THIS SECTION, WILL EQUAL THE ESTIMATED FEES THAT VENTIV WOULD HAVE BEEN PAID IF THE AGREEMENT HAD BEEN IN PLACE FOR TWENTY-FOUR MONTHS AT THE TIME THAT A CLAIM AROSE, AND, FURTHER PROVIDED THAT THE CAP ON LIABILITY DESCRIBED IN THIS SECTION 12.2 WILL NOT APPLY TO VENTIV'S GROSS NEGLIGENCE, FRAUDULANT ACTIONS OR WILLFUL BAD ACTS.

## **14. TERM AND TERMINATION.**

**14.1 Term and Renewals.** The initial term of this Agreement will be one year

(the "Initial Term"), unless earlier terminated in accordance with this Section 13. The Customer in its sole discretion may renew the Agreement for four (4) one-year option periods ("Renewal Term") will at the then-current rate, indicated herein, commencing on the anniversary of the end of each Renewal Term (the Initial Term and all Renewal Terms are collectively referred to as the "Term"), by providing thirty (30) days' written notice to Ventiv prior to the end of the then current Term. Notwithstanding anything herein, the total term of the Agreement, including Renewal Terms, will not exceed five years unless approved by an ordinance of the City Council.

**14.2 Termination for Breach.** In the event that either party materially defaults in the performance of any of its duties or obligations under this Agreement and does not substantially cure such default, or commence a cure, within thirty (30) days after being given written notice specifying the default, the non-defaulting party may, by giving written notice thereof to the defaulting party, terminate this Agreement. Ventiv may, by written notice to Customer, terminate Customer's right to use the System without liability to Customer, if Customer fails to pay the applicable fees for the System as set forth in the Order Form within thirty (30) days after Ventiv gives Customer notice of such nonpayment. Any such suspension or termination of access to the System does not relieve Customer from paying any past due amounts and any amounts due Ventiv through the expiration date of this Agreement.

**14.3 Effect of Termination.** Within thirty (30) days (or earlier upon Ventiv's reasonable written request) after the effective date of a termination of this Agreement for any reason, Customer will (i) pay Ventiv for all Services performed by Ventiv up to the effective date of such termination and all other amounts owed by Customer to Ventiv under this Agreement including, but not limited to, all Fees owed by Customer as of the effective date of termination according to the payment schedule set forth in the Order Form, regardless of the date of termination; and (ii) to the extent legally permissible, destroy or return to Ventiv all Ventiv property, including, but not limited to all Documentation and the Confidential Information of Ventiv. Upon the destruction or return of such materials, Customer will provide Ventiv with a signed written statement certifying that it has destroyed or returned all Ventiv property to Ventiv. Upon termination of this Agreement for any reason, all rights and licenses granted by Ventiv hereunder to Customer will immediately cease.

**14.4 Return of Customer Data.** When requested in writing by Customer, based upon termination of this Agreement, Ventiv will deliver (within sixty (60) days of receipt of request) electronic files containing all available Customer Data. Ventiv will deliver the data files in a normalized, ASCII, flat file format. The files will be encrypted and posted to an agreed to SFTP site. Standardized documentation describing the data files will be included. All work completed by Ventiv for the extract of the data will be billed to the Customer on a time and materials basis. Sixty (60) days following termination of this Agreement, all Customer Data in the System will no longer be available on Ventiv's Systems, as Ventiv will purge all such Customer Data from its Systems, and all such Customer Data will either be returned to Customer if requested in accordance with this Section 13.5 or, if return of data is not requested, it will be destroyed, unless otherwise agreed by the parties in writing. All data received from third parties for Customer will also be deleted from Ventiv's Systems within the 60-day period.

**14.5 Survival.** Termination of this Agreement will not affect survival of the provisions regarding Ventiv's or Customer's treatment of Confidential Information, provisions relating to the payments of amounts due that have accrued prior to termination, indemnity provisions, provisions limiting or disclaiming the party's liability, provisions on non-solicitation of employees, or the provisions on termination, which provisions will survive such termination.

## 15. DISPUTES.

If at any time a dispute arises out of or in connection with this Agreement or any part thereof (e.g., a SOW), then Ventiv and Customer (together the "Parties") will have their respective Project Managers meet in good faith with a view to resolving the dispute within a period of fifteen (15) working days from the day the dispute first arises. Should the Parties not be able to resolve the dispute within the fifteen (15) working days, then both Parties will refer the matter to their own appropriate level of senior executive management respectively for resolution. If the relevant senior executive management of Ventiv and Customer are unable to resolve the dispute within a further ten (10) working day period, then the Parties will attempt to settle the dispute through discussions between each Parties' respective Chief Executive Officer. In the absence of an amicable resolution within fifteen (15) days from the meeting of the respective Chief Executive Officers in accordance with the conditions set forth in this Section 14, the dispute may then be submitted to the appropriate courts having jurisdiction over the matter as governed by Section 15.6. Nothing in this Agreement will prevent either party from taking such action as it deems appropriate (including any application to a relevant court) for injunctive or other emergency or interim relief in relation to its Intellectual Property Rights or Confidential Information.

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## 16. GENERAL.

**16.1 Marketing.** With Customer's prior written approval, and subject to any requirements for limitations contained in Customer's Council Policy 000-41 regarding Endorsement, Customer agrees to permit Ventiv's reasonable reference to Customer's status as a user of the Software, including captioned quotations in product literature or advertisements, websites, articles, press releases, marketing literature, presentations, and the like, and occasional use as a reference for potential new users.

**16.2 Force Majeure.** Neither Ventiv nor Customer will be liable to the other for any delay or failure to perform (other than a failure to pay monies due under this Agreement) arising out of causes beyond its reasonable control including, but not limited to, riots, epidemics, severe weather, acts of the otherparty, fire, flood, terrorism, war, acts of the enemy, embargoes or work stoppages, labor disputes or strikes. Ventiv and Customer will notify each other promptly upon learning of any event that may result in any delay or failure to perform. If the force majeure event occurs and continues to prevent substantial performance for more than thirty (30) days, the other party has the right to terminate this Agreement.

**16.3 Entire Agreement.** This Agreement and any Addenda hereto signed by the parties, constitutes the entire agreement between the parties regarding the subject matter hereof and supersedes all prior agreements, negotiations, representations, and proposals, written or oral. Neither party has relied upon any representation not contained in this Agreement as an inducement to enter into this Agreement. This Agreement will prevail over any conflicting or additional provision of any click-through agreement, purchase order or any other instrument of Customer, it being understood that any purchase order issued by Customer will be for Customer's convenience only, and any differing or additional terms and conditions contained therein are hereby expressly rejected by Ventiv. This Agreement will be construed and interpreted fairly, in accordance with the plain meaning of its terms, and there will be no presumption or inference against the party drafting this Agreement in construing or interpreting the provisions hereof. No modifications, additions, or amendments to this Agreement will be effective unless made in writing and signed by duly authorized representatives of the parties.

**16.4 Assignment.** Except as otherwise set forth in this Agreement, this Agreement and all rights and obligations may not be assigned (by operation of law or otherwise) in whole or in part by Customer, and any such attempted assignment will be void and of no effect; provided, however, that either party hereto will have the right to assign this Agreement to another entity in connection with a reorganization, merger, consolidation, acquisition or other restructuring involving all or substantially all of the voting securities and/or assets of the assigning party upon written notice to the non-assigning party. This Agreement will be binding upon and inure to the benefit of the parties, their legal representatives, permitted transferees, successors, and assigns as permitted by this Agreement. Except with respect to indemnification provisions, there are no third-party beneficiaries of this Agreement and in particular, but without limiting the generality of the foregoing, no end-users of the Customer or any Customer Affiliate will have any legal rights or entitlements of any kind hereunder under any circumstances.

**16.5 Waiver and Invalidity.** No delay or failure in exercising any right hereunder and no partial or single exercise thereof will be deemed to constitute a waiver of such right or any other rights hereunder. If any provision hereof is declared invalid by a court of competent jurisdiction, such provision will be ineffective only to the extent of such invalidity, so that the remainder of that provision and all remaining provisions of this Agreement will be valid and enforceable to the fullest extent permitted by applicable law.

**16.6 Choice of Law.** This Agreement will be exclusively construed, governed and enforced in all respects in accordance with the internal laws (excluding all conflict of law rules) of the State of California and any applicable federal laws of the United States of America, as from time to time amended and in effect. Each party agrees that any claim or cause of action whether in law or equity, arising under or relating to this Agreement may be brought in a court of appropriate jurisdiction in the County of San Diego, State of California. The parties agree that the United Nations Convention on Contracts for the International Sale of Goods will not apply in any respect to this Agreement or the parties hereto. The parties hereby agree that their respective rights and obligations hereunder will be solely and exclusively as set forth herein and that UCITA, whether enacted in whole or in part by any state or applicable jurisdiction, regardless of how codified, will not apply to this Agreement and is hereby disclaimed. Each party represents and warrants that it is aware of, understands and has complied and will comply with, all applicable U.S. and foreign anti-corruption laws, including without limitation, the U.S. Foreign Corrupt Practices Act and the U.K. Bribery Act.

**16.7 Counterparts and Signatures.** This Agreement may be executed in any number of counterparts, each of which will be deemed an original but all of which together will be deemed for all purposes to constitute one and the same instrument. The parties agree that this Agreement may be electronically signed

provided that such signature comply with Customer's requirements. The parties agree that, provided that the electronic signatures appearing on this Agreement, or any Service Attachment satisfy Customer's requirements, such electronic signatures are the same as handwritten signatures for the purposes of validity, enforceability, and admissibility.

**16.8 Solicitation.** To promote an optimum working relationship, the parties agree in good faith not to knowingly solicit for employment, directly or indirectly, employ or otherwise engage any employee who has been involved in rendering or receiving services hereunder as an employee of the other party without that party's prior written consent. This restriction will apply during the term of and for a period of one (1) year after the termination of this Agreement. The provisions of this Section 15.8 will not restrict the hiring of any person who: (i) has not been involved in rendering or receiving services, on behalf of Ventiv or Customer, under this Agreement; (ii) as of the time of hiring, has not been an employee of the other party at any time during the preceding one hundred eighty (180) days; or (iii) responds to a publicly announced vacancy notice.

**16.9 Government Entities.** The Software is "commercial computer software" or "commercial computer software documentation" and that, absent a written agreement with Ventiv to the contrary, the government's rights with respect to such Software are, in the case of civilian agency use, Restricted Rights, as defined in FAR §52.227.19, and if for Department of Defense use, limited by the terms of this Agreement, pursuant to DFARS §227.7202.

**16.10 Restricted Nations.** The term "Restricted Nation" means any country, individual, group or organization on the U.S. Department of Treasury's Office of Foreign Assets Control's Country Sanctions Program or list of Specially Designated Nationals, or the U.S. Department of Commerce's Bureau of Export Administration's List of Denied Persons, as each may be amended from time to time. Customer represents and warrants that it will not allow access to the Software and/or System to any user and/or perform a transaction related to (i) an individual located in a Restricted Nation; (ii) a business or organization owned, controlled by or acting on behalf of an individual, business or organization in a Restricted Nation; (iii) a government of a Restricted Nation; (iv) a business or organization owned, controlled by or acting on behalf of a government of a Restricted Nation; and (v) an individual, group or organization on the U.S. Department of Treasury's Office of Foreign Assets Control's list of Specially Designated Nationals or the U.S. Department of Commerce's Bureau of Export Administration's List of Denied Persons. Subject to Customer having been notified by Ventiv of any changes to the Restricted Nations, Customer will defend, indemnify, and hold Ventiv, and Ventiv's officers, directors, employees, agents, suppliers, or representatives harmless from and against any and all losses, damages, costs, and expenses, including legal fees, incurred directly or indirectly as a consequence of Customer's failure to comply with this Section. This obligation will survive termination of this Agreement.

**16.11 Notices.** Any and all notices permitted or required to be given hereunder will be deemed duly given (a) upon actual delivery, if delivery is by hand; or (b) upon delivery into the United States mail if delivery is by postage paid registered or certified return receipt requested mail. Each such notice must be sent to the respective party at the addresses indicated on the signature page.

**17. Beta Testing and Sunset.** In the event that Customer agrees to beta-test any new software or new functionality ("Beta Versions") for Ventiv under the terms of this Agreement, Customer acknowledges and agrees that THE BETA VERSIONS ARE PROVIDED ON AN "AS-IS" BASIS and none of the warranties set forth in this Agreement with respect to the Software or System will apply to any Beta Versions. Ventiv will not be liable for any damages whatsoever that arise out of Customer's use of the Beta Version if Customer attempts to use the Beta Versions with anything other than test data in a test environment. Ventiv will have the right upon 120 days prior written notice to sunset and discontinue support of any of the Software provided under this Agreement in its sole discretion.

#### **18. Mandatory City of San Diego Provisions.**

Ventiv acknowledges and agrees that it will comply with the following provisions:

(a) Contractor Certification for Americans with Disabilities Act (ADA) and State Access Laws and Regulations: Contractor shall comply with all accessibility requirements under the ADA and under Title 24 of the California Code of Regulations (Title 24). When a conflict exists between the ADA and Title 24, Contractor shall comply with the most restrictive requirement (i.e., that which provides the most access). Contractor also shall comply with the City's ADA Compliance/City Contractors requirements as set forth in Council Policy 100-04, which is incorporated into this Contract by reference. Contractor warrants and certifies compliance with all federal and state access laws and regulations and further certifies that any subcontract agreement for this contract contains language which indicates the subcontractor's agreement Software as a Service/SaaS Agreement - V21.4

to abide by the provisions of the City's Council Policy and any applicable access laws and regulations.

(b) Compliance with City's Equal Opportunity Contracting Program (EOCP). Contractor shall comply with City's EOCP Requirements. Contractor shall not discriminate against any employee or applicant for employment on any basis prohibited by law. Contractor shall provide equal opportunity in all employment practices. Prime Contractors shall ensure that their subcontractors comply with this program. Nothing in this Section shall be interpreted to hold a Prime Contractor liable for any discriminatory practice of its subcontractors.

(c) Non-Discrimination Ordinance. Contractor shall not discriminate on the basis of race, gender, gender expression, gender identity, religion, national origin, ethnicity, sexual orientation, age, or disability in the solicitation, selection, hiring or treatment of subcontractors, vendors, or suppliers. Contractor shall provide equal opportunity for subcontractors to participate in subcontracting opportunities. Contractor understands and agrees that violation of this clause shall be considered a material breach of the Contract and may result in Contract termination, debarment, or other sanctions. Contractor shall ensure that this language is included in contracts between Contractor and any subcontractors, vendors, and suppliers.

(d) Compliance Investigations. Upon City's request, Contractor agrees to provide to City, within sixty calendar days, a truthful and complete list of the names of all subcontractors, vendors, and suppliers that Contractor has used in the past five years on any of its contracts that were undertaken within San Diego County, including the total dollar amount paid by Contractor for each subcontract or supply contract. Contractor further agrees to fully cooperate in any investigation conducted by City pursuant to City's Nondiscrimination in Contracting Ordinance. Contractor understands and agrees that violation of this clause shall be considered a material breach of the Contract and may result in Contract termination, debarment, and other sanctions.

(e) Contractor Standards. Contractor shall comply with Contractor Standards provisions codified in the SDMC. Contractor understands and agrees that violation of Contractor Standards may be considered a material breach of the Contract and may result in Contract termination, debarment, and other sanctions.

(f) Business Tax Certificate. Unless the City Treasurer determines in writing that a contractor is exempt from the payment of business tax, any contractor doing business with the City of San Diego is required to obtain a Business Tax Certificate (BTC) and to provide a copy of its BTC to the City before a Contract is executed.

**19. Insurance.** Contractor shall procure and maintain for the duration of the Agreement insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder and the results of that work by Contractor, his agents, representatives, employees, or subcontractors.

Contractor shall provide, at a minimum, the following:

**19.1 Commercial General Liability.** Insurance Services Office Form CG 00 01 covering CGL on an "occurrence" basis, including products and completed operations, property damage, bodily injury, and personal and advertising injury with limits no less than \$1,000,000 per occurrence. If a general aggregate limit applies, either the general aggregate limit shall apply separately to this project/location (ISO CG 25 03 or 25 04) or the general aggregate limit shall be twice the required occurrence limit.

**19.2 Commercial Automobile Liability.** Insurance Services Office Form Number CA 0001 covering Code 1 (any auto) or, if Contractor has no owned autos, Code 8 (hired) and 9 (non-owned), with limit no less than \$1,000,000 per accident for bodily injury and property damage.

**19.3 Workers' Compensation.** Insurance as required by the State of California, with Statutory Limits, and Employer's Liability Insurance with limit of no less than \$1,000,000 per accident for bodily injury or disease.

**19.4 Professional Liability (Errors and Omissions).** For consultant contracts, insurance appropriate to Consultant's profession, with limit no less than \$1,000,000 per occurrence or claim, \$2,000,000 aggregate.

If Contractor maintains broader coverage and/or higher limits than the minimums shown above, City requires and shall be entitled to the broader coverage and/or the higher limits maintained by Contractor. Any available insurance proceeds in excess of the specified minimum limits of insurance and coverage shall be available to City.

**19.5 Other Insurance Provisions.** The insurance policies are to contain, or be endorsed to contain, the following provisions:

**19.6 Additional Insured Status.** The City, its officers, officials, employees, and volunteers are to be covered as additional insureds on the CGL policy with respect



to liability arising out of work or operations performed by or on behalf of Contractor including materials, parts, or equipment furnished in connection with such work or operations. General liability coverage can be provided in the form of an endorsement to Contractor's insurance (at least as broad as ISO Form CG 20 10 11 85 or if not available, through the addition of both CG 20 10, CG 20 26, CG 20 33, or CG 20 38; and CG 20 37 if a later edition is used).

**19.7 Primary Coverage.** For any claims related to this contract, Contractor's insurance coverage shall be primary coverage at least as broad as ISO CG 20 01 04 13 as respects the City, its officers, officials, employees, and volunteers. Any insurance or self-insurance maintained by City, its officers, officials, employees, or volunteers shall be excess of Contractor's insurance and shall not contribute with it.

**19.8 Notice of Cancellation.** Each insurance policy required above shall provide that coverage shall not be canceled, except with notice to City.

**19.9 Waiver of Subrogation.** Contractor hereby grants to City a waiver of any right to subrogation which the Workers' Compensation insurer of said Contractor may acquire against City by virtue of the payment of any loss under such insurance. Contractor agrees to obtain any endorsement that may be necessary to affect this waiver of subrogation, but this provision applies regardless of whether or not the City has received a waiver of subrogation endorsement from the insurer.

**19.10 Claims Made Policies (applicable only to professional liability).** The Retroactive Date must be shown and must be before the date of the contract or the beginning of contract work. Insurance must be maintained, and evidence of insurance must be provided for at least five (5) years after completion of the contract of work. If coverage is canceled or non-renewed, and not replaced with another claims-made policy form with a Retroactive Date prior to the contract effective date, Contractor must purchase "extended reporting" coverage for a minimum of five (5) years after completion of work.

**19.11 Self-Insured Retentions.** Self-insured retentions must be declared to and approved by City. City may require Contractor to purchase coverage with a lower retention or provide proof of ability to pay losses and related investigations, claim administration, and defense expenses within the retention. The policy language shall provide, or be endorsed to provide, that the self-insured retention may be satisfied by either the named insured or City.

**19.12 Acceptability of Insurers.** Insurance is to be placed with insurers with a current A.M. Best's rating of no less than A-VI, unless otherwise acceptable to City.

City will accept insurance provided by non-admitted, "surplus lines" carriers only if the carrier is authorized to do business in the State of California and is included on the List of Approved Surplus Lines Insurers (LASLI list). All policies of insurance carried by non-admitted carriers are subject to all of the requirements for policies of insurance provided by admitted carriers described herein.

**19.13 Verification of Coverage.** Contractor shall furnish City with original certificates and amendatory endorsements or copies of the applicable policy language effecting coverage required by this clause. All certificates and endorsements are to be received and approved by City before work commences. However, failure to obtain the required documents prior to the work beginning shall not waive Contractor's obligation to provide them. City reserves the right to require complete, certified copies of all required insurance policies, including endorsements required by these specifications, at any time.

**19.14 Special Risks or Circumstances.** City reserves the right to modify these requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage, or other special circumstances.

**19.15 Additional Insurance.** Contractor may obtain additional insurance not required by this Contract.

**19.16 Excess Insurance.** All policies providing excess coverage to City shall follow the form of the primary policy or policies including but not limited to all endorsements.

**19.17 Subcontractors.** Contractor shall require and verify that all subcontractors maintain insurance meeting all the requirements stated herein, and Contractor shall ensure that City is an additional insured on insurance required from subcontractors. For CGL coverage, subcontractors shall provide coverage with a format at least as broad as the CG 20 38 04 13 endorsement.

**Schedule A to the Software as a Service Agreement**

**Software Description (Ventiv Digital)**

The Software being provided to Customer is the **Ventiv Digital** incident intake forms tool.

**Schedule B to the Software as a Service Agreement**

**Initial Order Form (Digital)**

- I. **Initial Term.** The Initial Term of the Agreement will commence on the Effective Date and continue through the end of the twelfth (12) month thereafter. Customer will have the option to renewal annually at the prices specified below.
- II. **Software Modules.** Ventiv licenses the selected Software modules indicated below to Customer in accordance with the terms and conditions of the Agreement.

**Ventiv Digital.**

- III. **Fees.** Ventiv will invoice and Customer will pay the following Fees per Payment Schedule in Section IX below:

A. **Non-recurring Fees** - Estimated one-time fees comprised of the following:

Estimated One-time setup/deployment fees were purchased by a separate Statement of Work. This purchase includes no additional setup/deployment effort or associated fees. In the event the hours included in the separate statement of work are insufficient for the requested work, a subsequent Statement of Work will be issued.

Additional implementation costs will be invoiced on a monthly basis, at the then current rate, as incurred.

**Total Non-Recurring Fees: \$0**

B. **Annual Subscription Fees** -- Comprised of the following:

i. **Subscription Fee:** As set forth in Table VII below:

- a. Includes one Administrator license, unlimited entry only licenses
- b. Web application only included
- c. Mobile access is excluded

**Total Annual Fees: See Table VII below**

- C. **Estimated Travel & Expenses.** Customer will reimburse Ventiv for expenses for any necessary travel to San Diego for actual travel cost (coach air fare or car mileage) on the basis of fairness, reasonableness, and expenses considered customary as travel expenses by the Customer. Customary travel related expenses include airfare, mileage, airport shuttles, car rental, hotel, and meals. Ventiv shall base lodging and per-diem expenses on the most recent General Services Administration (GSA) standards for reimbursement of lodging and per-diem rates for San Diego, California. GSA standards may be located at this website: <http://www.gsa.gov/portal/category/21287>
- D. **Additional Fees.**
- Additional Setup/Deployment Services are available at a rate of \$240/hour.
  - Additional hours for Customer Support Services are available at a rate of \$240/hour..
  - Additional Training Services available at \$240/hour.
  - Additional Managed Service Hours are available at \$240/hour.
  - Additional travel and expense costs associated with such additional services will be billed as incurred. Pursuant to the terms specified under Schedule B Section 3 C.
  - Customer Conference Attendee Fee is current annual rate per attendee (not including travel and expenses)
- IV. **Setup Services.** The Statement of Work executed separately as City of San Diego SOW #1 contains the implementation/setup fees for this purchase.
- V. **Managed Service Hours.** Customer will not receive Managed Service Hours on an annual basis.
- VI. **Payment Schedule.**
- A. **Annual Subscription Fees.** Ventiv will invoice Customer for the Annual Subscription Fees upon the Effective Date and annually thereafter on the anniversary of the Effective Date as outlined in the table below in Section VII.
- B. **Non-Recurring Fees.** Ventiv will invoice Customer for the non-recurring Fees on the Effective Date as outlined in the table below in Section IX.
- C. **Travel & Expenses.** Ventiv will invoice Customer for all travel and expense costs on a monthly basis subject to the limitations and requirements described in III.C, above.

**VII. Total Fees per Year to be Paid as of Effective Date**

Each of the annual fees listed above will increase each year during the Initial Term and any Renewal Term at an amount of three percent (3%). The table below indicates what that the total annual fees will be in Years 1, 2, 3, 4 and 5. Note that Travel & Expenses will be billed as incurred (subject to the limitations and requirements herein) and are in addition to the fees outlined below.

<b>Year</b>	<b>Non-Recurring Fees Payable</b>	<b>Annual Recurring Fees Payable</b>	<b>Total Fees Payable</b>
Year 1	\$0	\$25,000.00	\$25,000.00
Year 2	\$0	\$25,750.00	\$25,750.00
Year 3	\$0	\$26,522.50	\$26,522.50
Year 4	\$0	\$27,318.18	\$27,318.18
Year 5	\$0	\$28,137.72	\$28,137.72

**VIII. Fees for Modules Not Purchased**

Customer has not purchased any modules or services other than those specified in Section II above. Customer may purchase additional modules after the Effective Date at the then current price sheet.

**Schedule C to the Software as a Service Agreement**  
**Support Schedule and Service Levels**

**1. Definitions.**

“**Business Hours**” means the hours of 8:00am to 8:00pm Eastern Time on all Business Days, with the exclusion of Ventiv observed holidays. “**Customer’s Support Contacts**” has the meaning set forth in Section 6 of this Schedule C.

“**Error**” means a material failure of the applicable Software to conform to the functional specifications described in its Documentation. “**Error Corrections**” means any modification, workaround, or routine intended to correct the practical adverse effect of an Error.

“**Excusable Downtime**” means the total minutes in the Measurement Window during which the Software or the Hosting Environment (as applicable) was not available due to (a) any negligent or wrongful act or omission by Customer or its users; (b) any negligent or wrongful actor omission by Third-Party Vendors; or (c) any force majeure events or disruption in public internet access.

“**Follow-up Frequency**” means the frequency of time that a support consultant will update the customer on the progress of commercially reasonable efforts to resolve an issue.

“**Hosting Environment**” means the infrastructure encompassing the Software and System as a whole maintained by Ventiv or its vendors, including the data loading servers and application reporting servers as well as the system servers.

“**Measurement Window**” means a period of thirty (30) days.

“**Recovery Declaration**” means the time period in which a disaster would be declared, and recovery plans are enacted.

“**Release**” means a modification of the Software, normally denoted with a new number to the immediate right or left of the decimal, which contains new features and functionality. Release does not include new products or modules of the Software for which Ventiv generally charges its customers an additional license or subscription fee.

“**Response Time**” means the amount of time from when the customer properly reports an issue until a support consultant acknowledges receipt and initiates troubleshooting to resolve.

“**Resolution Goal**” means the amount of time that is set as a goal to resolve an incident. Commercially reasonable efforts will be used to meet this goal.

“**RPO**” means Recovery Point Objective, which is the maximum amount of time for potential data loss in the event of a disaster.

“**RTO**” means Recovery Time Objective, which is the period of time to restore services from point of Recovery Declaration.

“**Scheduled Downtime**” means the total number of minutes of actual time the Software or Hosting Environment, as applicable, were not available as a result of scheduled time to perform system maintenance or Updates.

“**Severity Level**” means the impact level assigned to an issue based on the level of service degradation or loss of functionality as defined in section 9.

“**Updates**” means a change to the Software that may include patches, fixes, minor updates, and Error Corrections, which Ventiv generally provides to its customers who receive customer support services.

“**Unscheduled Downtime**” means total number of minutes of actual time the Software or Hosting Environment, as applicable, were not available, which does not qualify as Scheduled Downtime, but specifically excludes any Excusable Downtime.

**2. Support Generally.**

Ventiv will provide one or more reasonable means of communication to allow Customer’s Support Contacts to contact Ventiv for assistance in resolving problems with the Software (“**Help Desk**”) in accordance with and during the hours of operation more specifically set forth in this Schedule C. The Help Desk will allow communication in accordance with the table set forth in Section 7 below.

**3. Error Corrections and Updates.**

3.1 As a part of the Customer Support Services, Ventiv will use commercially reasonable efforts to provide Error Corrections for all verifiable and reproducible Errors in the Software in accordance with the Agreement and this Schedule C.

3.2 As a part of the Customer Support Services, Ventiv will provide Updates to the Software that Ventiv makes generally available to its customers who receive support services.

**4. New Releases.**

4.1 As a part of the Customer Support Services, Ventiv will provide to Customer new Releases of the Software as and when developed, except for new products or modules for which Ventiv generally charges a separate license or subscription fee. Ventiv is not obligated to develop new Releases of the Software.

4.2 Ventiv will provide Customer, as part of the Customer Support Services, with new Releases created by Ventiv as a result of a change in law or new law that directly applies to existing functionality within the Software currently offered by Ventiv. As an accommodation and not as provision of legal advice, Ventiv will take commercially reasonable efforts to promptly notify Customer in writing upon becoming aware of any material changes to any applicable law or governmental regulations that may cause the current Release of the Software not to conform to such law or regulations. Notwithstanding the foregoing, in the event that the required modifications

to the Software (i) would require a material re-architecture or other significant product re-design, (ii) would require Ventiv to obtain data which is either unavailable, or, which is only available at a material cost, or (iii) would otherwise require Ventiv to incur material expenditures (as measured against the fees charged under this Agreement), and Ventiv is not otherwise making such modifications for its other customers, then Ventiv may cease providing the affected Software in the affected jurisdiction. Customer is strongly encouraged to consult with its own attorneys and other advisors as to legal requirements in effect from time to time.

4.3 In the event that Ventiv intends to withdraw any Software from general availability for any reason whatsoever, Ventiv will provide Customer at least six (6) months prior written notice of such withdrawal.

**5. Limitations.**

5.1 Ventiv is under no obligation to provide Customer Support Services with respect to: (a) Software used on a system that does not meet the minimum hardware, software, operating system, mobile device, and other system and configuration requirements set forth in the Documentation or provided by Ventiv; or (b) any systems or software not both supplied by Ventiv and identified on an Order Form.

5.2 Customer Support Services does not include researching Customer requests, researching and fixing anomalies caused by other vendors, making changes resulting from internal Customer business practices, enhancing system configuration and other similar tasks that are requested or required, but are outside of Ventiv's control.

5.3 If Ventiv has created a third party interface ("Third Party Interface") to one of Customer's third party products provided by another vendor ("Third Party Product") and such vendor modifies the Third Party Product causing the Third Party Interface to stop functioning properly, then the services required to modify the Third Party Interface as a result of the changes to the Third Party Product are considered outside the scope of Customer Support Services and would incur additional fees in accordance with Section 5.4 below. Services required to resolve any Customer-Created Error are outside the scope of Customer Support Services and would incur additional fees in accordance with Section 5.4 below.

5.4 If a problem reported is outside the scope of this Agreement as indicated in Sections 5.1 through 5.3 above, Ventiv will notify Customer to that effect and reserves the right to charge Customer at a rate of \$240/hour., for which Customer agrees to pay Ventiv promptly upon receiving an invoice. Certain requests, such as building custom modules, database objects, reports, utilities, or other complex projects ("Additional Services") may also incur additional fees beyond those associated with Customer Support Services and will be detailed in a new Order Form and Statement of Work agreed between the parties and subject to the terms and conditions of this Agreement. The following are examples of Additional Support Services that are available from Ventiv: (i) add-on data conversions; (ii) implementation for any optional software modules; (iii) supplemental training; (iv) custom reports – defining, creating, testing or troubleshooting (Ventiv will help with "how do I add a table, column, field, etc." in Report Designer, but Ventiv will require an SOW to help troubleshoot or clean up a modified or custom report (unless the custom report is specifically under maintenance; for example: "I tried to tweak or modify my custom report and now my outstanding indemnity figures are out of whack")); (v) data conversion issues once transitioned from implementation to support; (vi) Ventiv database changes, such as organization changes, combining insureds, reference table changes, etc.; (vii) corrections to Customer's data, including, but not limited to, data modification for purposes of exporting/importing to/from the Ventiv database; (viii) performance troubleshooting outside of the application; (ix) any hardware or software problems beyond the control of Ventiv; and (x) Customer network changes and network performance problems.

6. **Customer Obligations.** Customer will be responsible for the following: (a) reporting errors promptly; (b) providing sufficient information for Ventiv to duplicate the circumstances of a reported Software defect or duplicate the error, as described in the Specifications, so Ventiv can duplicate the error, assess the situation, and/or undertake any needed or appropriate maintenance action hereunder; (c) designating two (2) members of its technical staff to serve as Customer's sole representatives to contact Ventiv with maintenance issues ("Customer's Support Contacts"); and (d) carrying out procedures for the rectification of errors or malfunctions within a reasonable time after such procedures (or revisions, upgrades, enhancements, etc.) have been received from Ventiv.

7. **Helpdesk.** Ventiv provides services through its Helpdesk as set forth in the table below.

Support Type	Support Description	Expectation	Exclusions
Toll Free Live Phone Support	Hours available for live phone support	Monday - Friday 8:00am – 8:00pm (Eastern)	Ventiv observed holidays
Emergency after-hours Support	Emergency after normal Business Hours on-call support (24 hours a day, 7 days a week - Severity 1 issues only)	24x7x365	
Self-Service Portal	Online access to ticketing system to report an incident.	Response will be end of next Business Day	Use live or emergency for Severity 1

**Note:** If an issue is considered Severity 1 / Critical, Customer must call the Support Desk.

8. **Proactive Support.** Ventiv provides the following proactive support set forth in the table below.

Support Type	Support Description	Quarterly	Monthly	Weekly
Self-Service Portal	Online access to ticketing system to monitor status of outstanding tickets	✓	✓	✓
Account Review	Regular meeting with Account Management Team to review overall status including outstanding tickets and usage reports.		✓	

9. **Incident Response for Functionality of the Software.** The Software is designed and configured to meet minimal functionality standards as described in the Documentation and the Statement of Work. The following table illustrates the response level and resolution goal for loss of functionality of the Software.

Severity Classification	Severity Description	Response Time	Follow-up Frequency	Resolution Goal
<b>Severity 1 Critical</b>	<ul style="list-style-type: none"> <li>Critical service functionality is down</li> <li>Major impact to Customer's business</li> <li>No reasonable workaround(s) exists</li> <li>No current patch set or service pack available</li> </ul>	30 minutes during Business Hours	Every 60 minutes during Business Hours. After hours, update frequency will be mutually agreed upon.	8 Business Hours
<b>Severity 2 Major</b>	<ul style="list-style-type: none"> <li>Critical functionality is impaired or degraded</li> <li>There are time-sensitive issues that impact ongoing production</li> <li>Workaround exists, but it is only temporary</li> <li>Hotfix, patch or service pack or upgrade is available</li> </ul>	60 minutes during Business Hours	One Daily Update sent during Business Hours.	5 Business Days or by next scheduled maintenance window; whichever is less
<b>Severity 3 Minor</b>	<ul style="list-style-type: none"> <li>Non-critical functionality is down or impaired</li> <li>Does not have significant current production impact</li> <li>Performance is degraded</li> <li>A short to medium term work-around is available</li> <li>Patch, service pack or upgrade is available</li> </ul>	1 Business Day	Every 5 Business Days	As Agreed
<b>Severity 4 Low Impact</b>	<ul style="list-style-type: none"> <li>Non-critical function impaired</li> <li>No business impacts</li> <li>A medium to long term work-around is available</li> <li>Patch, service pack or upgrade is available</li> </ul>	5 Business Days	As Agreed	As Agreed
<b>Severity 5 Enhancement Request</b>	<ul style="list-style-type: none"> <li>Software and System is working according to specification, but Customer has identified an enhancement to improve product experience</li> </ul>	N/A	N/A	N/A

10. **Escalation Levels.**

Escalation Level	Contact Notified
State 1	Front-Line Support Manager
State 2	Global Support Services Director
State 3	VP Customer Management / Managing Director

Severity	Support State Levels	Escalation within the following time frames
Severity Level 1 - Critical	State 1	1 Business Hour
	State 2	2 Business Hours
	State 3	8 Business Hours
Severity Level 2 – Major	State 1	8 Business Hours
	State 2	12 Business Hours
	State 3	16 Business Hours
Severity Level 3 – Minor	State 1	When agreed resolution time is not met
	State 2	Resolution time agreed + 1 Business Day
	State 3	Resolution time agreed + 2 Business Days
Severity Level 4 – Low Impact	All	N/A
Severity Level 5 – Enhancement Request	All	N/A

1. **Maintenance Windows.** Ventiv will conduct regular weekly maintenance. The standard maintenance window will be six (6) hours in length. In the event that the required maintenance will require an extension, Ventiv will provide a written notice at least ten (10) Business Days in advance. Such extension will not exceed fifteen (15) total hours per week and all reasonable efforts will be taken for such extensions not to occur more than once in a five (5) week period. Ventiv will communicate directly with Customer on any maintenance specific to any dedicated resources. The User will see a standard '504 Gateway Timeout' message in the event the system is unavailable during a maintenance window.

2.

<b>Standard Maintenance Window:</b>
ATLANTA Time: Friday 23:00 – Saturday 05:00

<b>Extended Maintenance Window:</b>
ATLANTA Time: Friday 21:00 – Saturday 12:00

3. **Incident Response for Hosting Environment.** Ventiv provides proactive monitoring of the Hosting Environment. The Ventiv IT Operations staff is notified by the monitoring systems of an incident occurring that causes a material disruption, material performance degradation or outage to the Hosting Environment. The Ventiv customer support team will coordinate resolution and communication (status updates) with the Ventiv IT Operations staff and the Customer. Ventiv IT Operations will respond to issues with the Hosting Environment based on the severity levels defined below.

Severity Classification	Severity Description	Response Time	Follow-up Frequency	Resolution Goal	Monthly Metric
Severity 1 Critical	Total inability to use any material part of the Hosting Environment, resulting in a critical impact on user objectives.	30 Minutes	Every 60 minutes during Business Hours; after hours, update frequency will be mutually agreed upon.	8 Business Hours	95% closed within resolution goal
Severity 2 Major	Ability to use Hosting Environment, but user operation is severely restricted or where users notice degraded system performance.	1 hour	One Daily Update sent during Business Hours.	5 Business Days or by next scheduled maintenance window; whichever is less	90% closed within resolution goal
Severity 3 Minor	Ability to use the Hosting Environment with minor faults that cause little disruption to service or use of the product. Failure relates to functions that are not critical to overall user operations.	1 Business Day	Every 2 days	5 Business Days or as agreed	90% closed within resolution goal



4. **Software Availability Service Level.** The Software will be available (as calculated below) to Customer ninety-nine percent (99%) of the time, twenty-four (24) hours per day, seven (7) days per week (a week will be deemed to commence at midnight Eastern Time on Sunday and extend for seven (7) days), including all legal holidays, with the exception of scheduled interruptions for maintenance and time required for deployment of vendor security patches or downtime resulting from general virus or denial of service attacks.

$$\text{Availability \%} = \frac{\text{Total Minutes minus Scheduled Downtime minus Unscheduled Downtime of the Software}}{\text{Total Minutes minus Scheduled Downtime of the Software}}$$

5. **Disaster Recovery Service Levels.**

Objective	Metric
Recovery Declaration	< 12 hours
RTO	< 24 hours
RPO	< 12 hours

6. **Hosting Environment Service Levels.**

Objective	Metric
Vulnerability Management	Weekly Vulnerability Scans and review of hosting and applications
Penetration Testing	Quarterly Penetration hosting testing performed by trusted independent third party
Uptime	99%, 24x7x365 except as detailed above
Calculation	$\% = \frac{\text{Total Minutes minus Scheduled Downtime minus Unscheduled Downtime}}{\text{Total Minutes minus Scheduled Downtime of the Hosting Environment}}$
Monitoring	24x7x365
Redundancy	Maintain redundant or high availability infrastructure for production environment
Control Audit	Maintain a minimum of an ISO 27001 or similar standard process control certification

7. **Managed Service Hours.**

7.1 **Description.** Customer will receive the number of Managed Service Hours ("MSH") specified in Schedule B of this Agreement (Order Form) on an annual basis subject to payment of the fees set forth in Schedule B in exchange for Ventiv providing the Managed Service Hours as detailed below. Managed Service Hours are services provided to Customer through a Ventiv Resource at a higher level than Customer Support Services and provides overall consultancy for training, understanding the Customer's business process, product or report configuration, data service and how any change may impact other areas of the System. The Customer Success Manager also acts as Customer's advocate in product enhancements and providing periodic updates to the client via open items calls, account status reports and stewardship meetings conducted via online meeting application. The Customer Success Manager provides Customer with the additional support as they become familiar with the System. A Customer Success Manager will be assigned and provides training and support through the implementation as new modules or users are added to the System. The Helpdesk is used for questions about the System operation, problems, and enhancement requests.

7.2 **How Managed Service Hours are Eroded.** Ventiv enters all Managed Service Hours into an online CRM and those services are coded as billable or non-billable. Only billable time erodes Managed Service Hours. Any Customer Support Services provided to Customer to resolve errors in the Software that are not Customer-Created Errors, will not result in depletion of any Managed Service Hours purchased by Customer. Hours used for the purpose of gaining new business are considered non-billable (unless the Customer Success Manager is providing consulting support to Customer for how their processes should work). During the implementation, the Customer Success Manager is introduced to Customer and participates in project management calls to learn Customer's business requirements. This time is considered billable. Once the implementation has been completed (and/or Customer requests changes to existing functionality that had previously been agreed), Managed Service Hours can be eroded or funded separately for changes to the System, such as adding or removing fields, adding rules, adding validations, etc. When the requested changes are for the purpose of adding a new module or a full business process, the Customer Success Manager will identify that the suggested work is new scope and will be completed via an Amendment to the Agreement at additional time and expense.

7.3 Tracking Managed Service Hours. Ventiv will maintain a database of Managed Service Hours used by Customer and will update this database following the end of each calendar month. Once the appropriate time entries have been made, Ventiv will make this information available to Customer. Customer will have 30 days from the time this information is made available to dispute the validity of the entries. Should this occur, Customer will state in writing to their Ventiv Customer Success Manager, that the hours utilized are being contested and the reason for the dispute. At that time, Customer and its Services Manager will negotiate a reasonable resolution. Should the annually budgeted amount of Managed Service Hours be exceeded, Ventiv will provide an invoice for the number of excess hours used at the hourly rate listed in Section VII.D. (Additional Fees) of Schedule B along with supporting documentation, on a quarterly basis.

# City of San Diego SaaS Agreement Digital License Purchase 7.20.21 kk to sign

Final Audit Report

2021-07-28

Created:	2021-07-28
By:	Karla Kivlin (karla.kivlin@ventivtech.com)
Status:	Signed
Transaction ID:	CBJCHBCAABAAeRAEeVna3S_7_h-f-6lJWi97Y3zVBU8w

## "City of San Diego SaaS Agreement Digital License Purchase 7.20.21 kk to sign" History

-  Document created by Karla Kivlin (karla.kivlin@ventivtech.com)  
2021-07-28 - 7:07:37 PM GMT- IP address: 4.59.15.154
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-  Document e-signed by Melloney Douce (melloney.douce@ventivtech.com)  
Signature Date: 2021-07-28 - 7:26:29 PM GMT - Time Source: server- IP address: 4.59.15.154
-  Agreement completed.  
2021-07-28 - 7:26:29 PM GMT

**City of San Diego**  
**CONTRACTOR STANDARDS**  
**Pledge of Compliance**

The City of San Diego has adopted a Contractor Standards Ordinance (CSO) codified in section 22.3004 of the San Diego Municipal Code (SDMC). The City of San Diego uses the criteria set forth in the CSO to determine whether a contractor (bidder or proposer) has the capacity to fully perform the contract requirements and the business integrity to justify the award of public funds. This completed Pledge of Compliance signed under penalty of perjury must be submitted with each bid and proposal. If an informal solicitation process is used, the bidder must submit this completed Pledge of Compliance to the City prior to execution of the contract. All responses must be typewritten or printed in ink. If an explanation is requested or additional space is required, Contractors must provide responses on Attachment A to the Pledge of Compliance and sign each page. Failure to submit a signed and completed Pledge of Compliance may render a bid or proposal non-responsive. In the case of an informal solicitation or cooperative procurement, the contract will not be awarded unless a signed and completed Pledge of Compliance is submitted. A submitted Pledge of Compliance is a public record and information contained within will be available for public review except to the extent that such information is exempt from disclosure pursuant to applicable law.

By signing and submitting this form, the contractor is certifying, to the best of their knowledge, that the contractor and any of its Principals have not within a five (5) year period – preceding this offer, been convicted of or had a civil judgement rendered against them for commission of a fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (Federal, State or local) contract or subcontract.

"Principal" means an officer, director, owner, partner or a person having primary management or supervisory responsibilities within the firm. The Contractor shall provide immediate written notice to the Procurement Contracting Officer handling the solicitation, at any time prior to award should they learn that this Representations and Certifications was inaccurate or incomplete.

**This form contains 10 pages, additional information may be submitted as part of Attachment A.**

**A. BID/PROPOSAL/SOLICITATION TITLE:**

Digital Intake Tool - License and Support

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**B. BIDDER/PROPOSER INFORMATION:**

Ventiv Technology, Inc.

Legal Name	3350 Riverwood Parkway, 20th floor, Suite 2000	Atlanta	DBA GA	30339
Street Address		City	State	Zip
Contact Person, Title	John Bohling, Territory VP Sales	Phone	Fax	

Provide the name, identity, and precise nature of the interest\* of all persons who are directly or indirectly involved\*\* in this proposed transaction (SDMC § 21.0103). Use additional pages if necessary.

\* The precise nature of the interest includes:

- the percentage ownership interest in a party to the transaction,
- the percentage ownership interest in any firm, corporation, or partnership that will receive funds from the transaction,
- the value of any financial interest in the transaction,
- any contingent interest in the transaction and the value of such interest should the contingency be satisfied, and
- any philanthropic, scientific, artistic, or property interest in the transaction.

\*\* Directly or indirectly involved means pursuing the transaction by:

- communicating or negotiating with City officers or employees,
- submitting or preparing applications, bids, proposals or other documents for purposes of contracting with the City, or
- directing or supervising the actions of persons engaged in the above activity.

John Bohlig	Vice President, National Accounts
Name	Title/Position
Queen Creek, AZ	
City and State of Residence	Employer (if different than Bidder/Proposer)
Account Manager/Sales	
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

**C. OWNERSHIP AND NAME CHANGES:**

1. In the past five (5) years, has your firm changed its name?  
 Yes       No

If **Yes**, use Attachment A to list all prior legal and DBA names, addresses, and dates each firm name was used. Explain the specific reasons for each name change.

2. Is your firm a non-profit?  
 Yes       No

If **Yes**, attach proof of status to this submission.

3. In the past five (5) years, has a firm owner, partner, or officer operated a similar business?  
 Yes       No

If **Yes**, use Attachment A to list names and addresses of all businesses and the person who operated the business. Include information about a similar business only if an owner, partner, or officer of your firm holds or has held a similar position in another firm.

**D. BUSINESS ORGANIZATION/STRUCTURE:**

Indicate the organizational structure of your firm. Fill in only one section on this page. Use Attachment A if more space is required.

**Corporation** Date incorporated: 04/21/1994 State of incorporation: California

List corporation's current officers: President: Saili Donda, CEO  
Vice Pres: Dinesh Senanayake, COO  
Secretary: \_\_\_\_\_  
Treasurer: Dinesh Senanayake, CFO

Type of corporation: C  Subchapter S

Is the corporation authorized to do business in California:  Yes       No

If **Yes**, after what date: 4/21/1994

Is your firm a publicly traded corporation?  Yes  No

If Yes, how and where is the stock traded? \_\_\_\_\_

If Yes, list the name, title and address of those who own ten percent (10 %) or more of the corporation's stocks:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Do the President, Vice President, Secretary and/or Treasurer of your corporation have a third party interest or other financial interests in a business/enterprise that performs similar work, services or provides similar goods?  Yes  No

If Yes, please use Attachment A to disclose.

Please list the following:	Authorized	Issued	Outstanding
a. Number of voting shares:	_____	_____	_____
b. Number of nonvoting shares:	_____	_____	_____
c. Number of shareholders:	_____	_____	_____
d. Value per share of common stock:		Par	\$ _____
		Book	\$ _____
		Market	\$ _____

**Limited Liability Company** Date formed: \_\_\_\_\_ State of formation: \_\_\_\_\_

List the name, title and address of members who own ten percent (10%) or more of the company:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Partnership** Date formed: \_\_\_\_\_ State of formation: \_\_\_\_\_

List names of all firm partners:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Sole Proprietorship** Date started: \_\_\_\_\_

List all firms you have been an owner, partner or officer with during the past five (5) years. Do not include ownership of stock in a publicly traded company:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Joint Venture** Date formed: \_\_\_\_\_

List each firm in the joint venture and its percentage of ownership:

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**Note:** To be responsive, each member of a Joint Venture or Partnership must complete a separate *Contractor Standards form*.

**E. FINANCIAL RESOURCES AND RESPONSIBILITY:**

1. Is your firm preparing to be sold, in the process of being sold, or in negotiations to be sold?

Yes  No

If **Yes**, use Attachment A to explain the circumstances, including the buyer's name and principal contact information.

2. In the past five (5) years, has your firm been denied bonding?

Yes  No

If **Yes**, use Attachment A to explain specific circumstances; include bonding company name.

3. In the past five (5) years, has a bonding company made any payments to satisfy claims made against a bond issued on your firm's behalf or a firm where you were the principal?

Yes  No

If **Yes**, use Attachment A to explain specific circumstances.

4. In the past five (5) years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

Yes  No

If **Yes**, use Attachment A to explain specific circumstances.

5. Within the last five years, has your firm filed a voluntary petition in bankruptcy, been adjudicated bankrupt, or made a general assignment for the benefit of creditors?

Yes  No

If **Yes**, use Attachment A to explain specific circumstances.

6. Are there any claims, liens or judgements that are outstanding against your firm?

Yes  No

If **Yes**, please use Attachment A to provide detailed information on the action.

7. Please provide the name of your principal financial institution for financial reference. By submitting a response to this Solicitation Contractor authorizes a release of credit information for verification of financial responsibility.

Name of Bank: \_\_\_\_\_

Point of Contact: \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

8. By submitting a response to a City solicitation, Contractor certifies that he or she has sufficient operating capital and/or financial reserves to properly fund the requirements identified in the solicitation. At City's request, Contractor will promptly provide to City



a copy of Contractor's most recent balance sheet and/or other necessary financial statements to substantiate financial ability to perform.

9. In order to do business in the City of San Diego, a current Business Tax Certificate is required. Business Tax Certificates are issued by the City Treasurer's Office. If you do not have one at the time of submission, one must be obtained prior to award.

Business Tax Certificate No.: \_\_\_\_\_ Year Issued: \_\_\_\_\_

**F. PERFORMANCE HISTORY:**

1. In the past five (5) years, has your firm been found civilly liable, either in a court of law or pursuant to the terms of a settlement agreement, for defaulting or breaching a contract with a government agency?

Yes  No

If Yes, use Attachment A to explain specific circumstances.

2. In the past five (5) years, has a public entity terminated your firm's contract for cause prior to contract completion?

Yes  No

If Yes, use Attachment A to explain specific circumstances and provide principal contact information.

3. In the past five (5) years, has your firm entered into any settlement agreement for any lawsuit that alleged contract default, breach of contract, or fraud with or against a public entity?

Yes  No

If Yes, use Attachment A to explain specific circumstances.

4. Is your firm currently involved in any lawsuit with a government agency in which it is alleged that your firm has defaulted on a contract, breached a contract, or committed fraud?

Yes  No

If Yes, use Attachment A to explain specific circumstances.

5. In the past five (5) years, has your firm, or any firm with which any of your firm's owners, partners, or officers is or was associated, been debarred, disqualified, removed, or otherwise prevented from bidding on or completing any government or public agency contract for any reason?

Yes  No

If Yes, use Attachment A to explain specific circumstances.

6. In the past five (5) years, has your firm received a notice to cure or a notice of default on a contract with any public agency?

Yes  No

If Yes, use Attachment A to explain specific circumstances and how the matter resolved.

7. Performance References:

Please provide a minimum of three (3) references familiar with work performed by your firm which was of a similar size and nature to the subject solicitation within the last five (5) years.

Please note that any references required as part of your bid/proposal submittal are in addition to those references required as part of this form.

Company Name: Cox Enterprises, Inc.

Contact Name and Phone Number: Courtenay Wallace 404-401-0556

Contact Email: \_\_\_\_\_

Address: 6205-A Peachtree Dunwoody Rd.

Contract Date: 1/31/2018

Contract Amount: 58720.00

Requirements of Contract: Implement multiple Digital intake forms, provide license and support

Company Name: Vicinity Energy

Contact Name and Phone Number: Sean Caldwell 617-763-0226

Contact Email: sean.caldwell@vicinityenergy.us

Address: 100 Franklin St. 2nd Fl., Boston, MA 02110

Contract Date: 6/26/2020

Contract Amount: 144000

Requirements of Contract: RMIS system implementation with Digital Intake tool.

Company Name: University of Colorado

Contact Name and Phone Number: Teena Shepperson-Turner, 303-860-5712

Contact Email: teena.shepperson-turner@cu.edu

Address: 1800 Grant St. Suite 700 Denver, CO 80203

Contract Date: 09/30/2019

Contract Amount: 52000

Requirements of Contract: Implement up to 4 Digital Intake Forms and License fees

**G. COMPLIANCE:**

1. In the past five (5) years, has your firm or any firm owner, partner, officer, executive, or manager been criminally penalized or found civilly liable, either in a court of law or pursuant to the terms of a settlement agreement, for violating any federal, state, or local law in performance of a contract, including but not limited to, laws regarding health and safety, labor and employment, permitting, and licensing laws?

Yes  No

If **Yes**, use Attachment A to explain specific circumstances surrounding each instance. Include the name of the entity involved, the specific infraction(s) or violation(s), dates of instances, and outcome with current status.

2. In the past five (5) years, has your firm been determined to be non-responsible by a public entity?

Yes  No

If **Yes**, use Attachment A to explain specific circumstances of each instance. Include the name of the entity involved, the specific infraction, dates, and outcome.

**H. BUSINESS INTEGRITY:**

1. In the past five (5) years, has your firm been convicted of or found liable in a civil suit for making a false claim or material misrepresentation to a private or public entity?  
 **Yes**       **No**

If **Yes**, use Attachment A to explain specific circumstances of each instance. Include the entity involved, specific violation(s), dates, outcome and current status.

2. In the past five (5) years, has your firm or any of its executives, management personnel, or owners been convicted of a crime, including misdemeanors, or been found liable in a civil suit involving the bidding, awarding, or performance of a government contract?  
 **Yes**       **No**

If **Yes**, use Attachment A to explain specific circumstances of each instance; include the entity involved, specific infraction(s), dates, outcome and current status.

3. In the past five (5) years, has your firm or any of its executives, management personnel, or owners been convicted of a federal, state, or local crime of fraud, theft, or any other act of dishonesty?  
 **Yes**       **No**

If **Yes**, use Attachment A to explain specific circumstances of each instance; include the entity involved, specific infraction(s), dates, outcome and current status.

4. Do any of the Principals of your firm have relatives that are either currently employed by the City or were employed by the City in the past five (5) years?  
 **Yes**       **No**

If **Yes**, please disclose the names of those relatives in Attachment A.

**I. BUSINESS REPRESENTATION:**

1. Are you a local business with a physical address within the County of San Diego?  
 **Yes**       **No**
2. Are you a certified Small and Local Business Enterprise certified by the City of San Diego?  
 **Yes**       **No**

Certification # \_\_\_\_\_

3. Are you certified as any of the following:  
a. Disabled Veteran Business Enterprise Certification # \_\_\_\_\_  
b. Woman or Minority Owned Business Enterprise Certification # \_\_\_\_\_  
c. Disadvantaged Business Enterprise Certification # \_\_\_\_\_

**J. WAGE COMPLIANCE:**

In the past five (5) years, has your firm been required to pay back wages or penalties for failure to comply with the federal, state or local prevailing, minimum, or living wage laws?  **Yes**       **No**      If **Yes**, use Attachment A to explain the specific circumstances of each instance. Include the entity involved, the specific infraction(s), dates, outcome, and current status.

By signing this Pledge of Compliance, your firm is certifying to the City that you will comply with the requirements of the Equal Pay Ordinance set forth in SDMC sections 22.4801 through 22.4809.

**K. STATEMENT OF SUBCONTRACTORS & SUPPLIERS:**

Please provide the names and information for all subcontractors and suppliers used in the performance of the proposed contract, and what portion of work will be assigned to each subcontractor. Subcontractors may not be substituted without the written consent of the City. Use Attachment A if additional pages are necessary. If no subcontractors or suppliers will be used, please write "Not Applicable."

Company Name: NOT APPLICABLE

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Email: \_\_\_\_\_

Contractor License No.: \_\_\_\_\_ DIR Registration No.: \_\_\_\_\_

Sub-Contract Dollar Amount: \$\_\_\_\_\_ (per year) \$\_\_\_\_\_ (total contract term)

Scope of work subcontractor will perform: \_\_\_\_\_

Identify whether company is a subcontractor or supplier: \_\_\_\_\_

Certification type (check all that apply): DBE DVBE ELBE MBE SLBE WBE Not Certified

Contractor must provide valid proof of certification with the response to the bid or proposal to receive participation credit.

Company Name: \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Email: \_\_\_\_\_

Contractor License No.: \_\_\_\_\_ DIR Registration No.: \_\_\_\_\_

Sub-Contract Dollar Amount: \$\_\_\_\_\_ (per year) \$\_\_\_\_\_ (total contract term)

Scope of work subcontractor will perform: \_\_\_\_\_

Identify whether company is a subcontractor or supplier: \_\_\_\_\_

Certification type (check all that apply): DBE DVBE ELBE MBE SLBE WBE Not Certified

Contractor must provide valid proof of certification with the response to the bid or proposal to receive participation credit.

**L. STATEMENT OF AVAILABLE EQUIPMENT:**

A full inventoried list of all necessary equipment to complete the work specified may be a requirement of the bid/proposal submission.

By signing and submitting this form, the Contractor certifies that all required equipment included in this bid or proposal will be made available one week (7 days) before work shall commence. In instances where the required equipment is not owned by the Contractor, Contractor shall explain how the equipment will be made available before the commencement of work. The City of San

Diego reserves the right to reject any response, in its opinion, if the Contractor has not demonstrated he or she will be properly equipped to perform the work in an efficient, effective matter for the duration of the contract period.

**M. TYPE OF SUBMISSION:** This document is submitted as:

- Initial submission of *Contractor Standards Pledge of Compliance*
- Initial submission of *Contractor Standards Pledge of Compliance* as part of a Cooperative agreement
- Initial submission of *Contractor Standards Pledge of Compliance* as part of a Sole Source agreement
- Update of prior *Contractor Standards Pledge of Compliance* dated \_\_\_\_\_.

**Complete all questions and sign below.**

Under penalty of perjury under the laws of the State of California, I certify that I have read and understand the questions contained in this Pledge of Compliance, that I am responsible for completeness and accuracy of the responses contained herein, and that all information provided is true, full and complete to the best of my knowledge and belief. I agree to provide written notice to the Purchasing Agent within five (5) business days if, at any time, I learn that any portion of this Pledge of Compliance is inaccurate. Failure to timely provide the Purchasing Agent with written notice is grounds for Contract termination.

I, on behalf of the firm, further certify that I and my firm will comply with the following provisions of SDMC section 22.3004:

(a) I and my firm will comply with all applicable local, State and Federal laws, including health and safety, labor and employment, and licensing laws that affect the employees, worksite or performance of the contract.

(b) I and my firm will notify the Purchasing Agent in writing within fifteen (15) calendar days of receiving notice that a government agency has begun an investigation of me or my firm that may result in a finding that I or my firm is or was not in compliance with laws stated in paragraph (a).

(c) I and my firm will notify the Purchasing Agent in writing within fifteen (15) calendar days of a finding by a government agency or court of competent jurisdiction of a violation by the Contractor of laws stated in paragraph (a).

(d) I and my firm will notify the Purchasing Agent in writing within fifteen (15) calendar days of becoming aware of an investigation or finding by a government agency or court of competent jurisdiction of a violation by a subcontractor of laws stated in paragraph (a).

(e) I and my firm will cooperate fully with the City during any investigation and to respond to a request for information within ten (10) working days.

**Failure to sign and submit this form with the bid/proposal shall make the bid/proposal non-responsive. In the case of an informal solicitation, the contract will not be awarded unless a signed and completed *Pledge of Compliance* is submitted.**

Melloney Douce, General Counsel	<i>Melloney Douce</i> <i>Melloney Douce</i>	Aug 23, 2021
_____ Name and Title	_____ Signature	_____ Date

City of San Diego  
CONTRACTOR STANDARDS  
Attachment "A"

Provide additional information in space below. Use additional Attachment "A" pages as needed. Each page must be signed. Print in ink or type responses and indicate question being answered.

NOT APPLICABLE

I have read the matters and statements made in this Contractor Standards Pledge of Compliance and attachments thereto and I know the same to be true of my own knowledge, except as to those matters stated upon information or belief and as to such matters, I believe the same to be true. I certify under penalty of perjury that the foregoing is true and correct.

Melloney Douce, General Counsel

*Melloney Douce*  
Melloney Douce

Aug 23, 2021

Print Name, Title

Signature

Date


# City of San Diego Contractor Standard Pledge of Compliance 3 2018\_current\_8.12.21\_JB 8.20.21 legal

Final Audit Report

2021-08-23

Created:	2021-08-20
By:	Karla Kivlin (karla.kivlin@ventivtech.com)
Status:	Signed
Transaction ID:	CBJCHBCAABAAYwY1F7FVXOw3v4vqkQYpkMydeJS45iJ0

## "City of San Diego Contractor Standard Pledge of Compliance 3 2018\_current\_8.12.21\_JB 8.20.21 legal" History

-  Document created by Karla Kivlin (karla.kivlin@ventivtech.com)  
2021-08-20 - 8:57:24 PM GMT- IP address: 75.33.156.77
-  Document emailed to Melloney Douce (melloney.douce@ventivtech.com) for signature  
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Signature Date: 2021-08-23 - 3:18:50 PM GMT - Time Source: server- IP address: 73.137.235.152
-  Agreement completed.  
2021-08-23 - 3:18:50 PM GMT



Adobe Sign



## EQUAL OPPORTUNITY CONTRACTING PROGRAM (EOCP)

### GOODS AND SERVICES CONTRACTOR REQUIREMENTS

#### I. City's Equal Opportunity Contracting Commitment.

The City of San Diego (City) promotes equal employment and subcontracting opportunities. The City is committed to ensuring that taxpayer dollars spent on public contracts are not paid to businesses that practice discrimination in employment or subcontracting. The City encourages all companies seeking to do business with the City to share this commitment. Contractors are encouraged to take positive steps to diversify and expand their subcontractor and supplier solicitation base and to offer opportunities to all eligible business firms.

*Contractors must submit the required EOCP documentation indicated below with their proposals. Contractors who fail to provide the required EOCP documentation are considered non-responsive.*

#### II. Definitions.

**Commercially Useful Function:** a Small Local Business Enterprise or Emerging Local Business Enterprise (SLBE/ELBE) performs a commercially useful function when it is responsible for execution of the work and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the SLBE/ELBE shall also be responsible, with respect to materials and supplies used on the contract, for negotiating price, determining quantity and quality, ordering the material, and installing (where applicable) and paying for the material itself.

To determine whether an SLBE/ELBE is performing a commercially useful function, an evaluation will be performed of the amount of work subcontracted, normal industry practices, whether the amount the SLBE/ELBE firm is to be paid under the contract is commensurate with the work it is actually performing and the SLBE/ELBE credit claimed for its performance of the work, and other relevant factors. Specifically, an SLBE/ELBE does not perform a commercially useful function if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of meaningful and useful SLBE/ELBE participation, when in similar transactions in which SLBE/ELBE firms do not participate, there is no such role performed.

**Disadvantaged Business Enterprise (DBE):** a certified business that is (1) at least fifty-one (51%) owned by socially and economically Disadvantaged Individuals, or, in the case of a publicly owned business at least fifty-one percent (51%) of the stock is owned by one or more socially and economically Disadvantaged Individuals; and (2) whose daily business operations are managed and directed by one or more socially and economically disadvantaged owners. Disadvantaged Individuals include Black Americans, Hispanic Americans, Asian Americans, and other minorities, or individual found to be disadvantaged by the Small Business Administration pursuant to Section 8 of the Small Business Reauthorization Act.

**Disabled Veteran Business Enterprise (DVBE):** a certified business that is (1) at least fifty-one percent (51%) owned by one or more Disabled Veterans; and (2) business operations must be managed and controlled by one or more Disabled Veterans. A Disabled Veteran is a veteran of the U.S. military, naval, or air service who resides in California and has a service-connected disability of at least 10% or more. The firm shall be certified by the State of California's Department of General Services, Office of Small and Minority Business.

**Emerging Business Enterprise (EBE):** a business whose gross annual receipts do not exceed the amount set by the City Manager, and which meets all other criteria set forth in the regulations implementing the City's Small and Local Business Preference Program. The City Manager shall review the threshold amount for EBEs on an annual basis, and adjust as necessary to reflect changes in the marketplace.

**Emerging Local Business Enterprise (ELBE):** a Local Business Enterprise that is also an Emerging Business Enterprise.

**Local Business Enterprise (LBE):** a business that has both a principal place of business and a significant employment presence in the County of San Diego, and that has been in operation for twelve (12) consecutive months.

**Minority Business Enterprise (MBE):** a certified business that is (1) at least fifty-one percent (51%) owned by one or more minority individuals, or, in the case of a publicly owned business at least fifty-one percent (51%) of the stock is owned by one or more minority individuals; and (2) whose daily business operations are managed and directed by one or more minority owners. Minorities include the groups with the following ethnic origins: African, Asian Pacific, Asian Subcontinent, Hispanic, Native Alaskan, Native American, and Native Hawaiian.

**Other Business Enterprise (OBE):** any business which does not otherwise qualify as Minority, Woman, Disadvantaged, or Disabled Veteran Business Enterprise.

**Principal Place of Business:** a location wherein a business maintains a physical office and through which it obtains no less than fifty percent (50%) of gross annual receipts.

**Significant Employee Presence:** no less than twenty-five percent (25%) of a business's total number of employees.

**Small Business Enterprise (SBE):** a business whose gross annual receipts do not exceed the amount set by the City Manager, and that meets all other criteria set forth in regulations implementing the City's Small and Local Business Preference Program. The City Manager shall review the threshold amount for SBEs on an annual basis, and adjust as necessary to reflect changes in the marketplace. A business certified as a DVBE by the State of California, and that has provided proof of such certification to the City manager, shall be deemed to be an SBE.

**Small Local Business Enterprise (SLBE):** a Local Business Enterprise that is also a Small Business Enterprise.

**Women Business Enterprise (WBE):** a certified business that is (1) at least fifty-one percent (51 %) owned by a woman or women, or, in the case of a publicly owned business at least fifty-one percent (51%) of the stock is owned by one or more women; and (2) whose daily business operations are managed and directed by one or more women owners.

**III. Disclosure of Discrimination Complaints.**

As part of its proposal, Contractor shall provide to the City a list of all instances within the past ten (10) years where a complaint was filed or pending against Contractor in a legal or administrative proceeding alleging that Contractor discriminated against its employees, subcontractors, vendors, or suppliers, and a description of the status or resolution of that complaint, including any remedial action taken. (Attachment AA).

**IV. Work Force Report and Equal Opportunity Outreach Plan.**

- A. Work Force Report. Contractors shall submit with their proposal a Work Force Report (WFR) for approval by the City. (Attachment BB). If the City determines that there are under representations when compared to County Labor Force Availability data, then the Contractor will also be required to submit an Equal Employment Opportunity Plan (EEOP) to the City for approval. Questions regarding the WFR should be directed to the Equal Opportunity Contracting Department.
- B. Duty to Comply with Equal Opportunity Outreach Plan. A Contractor for whom an EEOP has been approved by the City shall use best efforts to comply with that EEOP.

**V. Small and Local Business Program Requirements.**

The City has adopted a Small and Local Business Enterprise program for goods, services, and consultant contracts. The SLBE requirements are set forth in Council Policy 100-10. For contracts in which the Purchasing Agent is required to advertise for sealed proposals in the City's official newspaper or consultant contracts valued over \$50,000, the City shall:

- A. Apply a maximum of an additional 12% of the total possible evaluation points to the Contractor's final score for SLBE or ELBE participation. Additional points will be awarded as follows:
  - a. If the Contractor achieves 20% participation, apply 5% of the total possible evaluation points to the Contractor's score; or
  - b. If the Contractor achieves 25% participation, apply 10% of the total possible evaluation points to the Contractor's score; or
  - c. If the prime contractor is a SLBE or an ELBE, apply 12% of the total possible evaluation points to the Contractor's score.

## **VI. Maintaining Participation Levels.**

- A. Additional points are based on the Contractor's level of participation proposed prior to the award of the goods, services, or consultant contract. Contractors are required to achieve and maintain the SLBE or ELBE participation levels throughout the duration of the goods, services, or consultant contract.
- B. If the City modifies the original specifications, the Contractor shall make reasonable efforts to maintain the SLBE or ELBE participation for which the additional points were awarded. The City must approve in writing a reduction in SLBE or ELBE participation levels.
- C. Contractor shall notify and obtain written approval from the City in advance of any reduction in subcontract scope, termination, or substitution for a designated SLBE or ELBE subcontractor.
- D. Contractor's failure to maintain SLBE or ELBE participation levels as specified in the goods, services, or consultant contract shall constitute a default and grounds for debarment under Chapter 2, Article 2, Division 8, of the San Diego Municipal Code.
- E. The remedies available to the City under Council Policy 100-10 are cumulative to all other rights and remedies available to the City.

## **VII. Certifications.**

The City accepts certifications of MBE, WBE, DBE, or DVBE from the following certifying agencies:

- A. Current certification by the State of California Department of Transportation (CALTRANS) as DBE.
- B. Current MBE or WBE certification from the California Public Utilities Commission.
- C. DVBE certification is received from the State of California's Department of General Services, Office of Small and Minority Business.
- D. Current certification by the City of Los Angeles as DBE, WBE, or MBE.

Subcontractors' valid proof of certification status e.g., copy of MBE, WBE, DBE, or DVBE certification must be submitted with the proposal or contract documents. MBE, WBE, DBE, or DVBE certifications are listed for informational purposes only.

## **VIII. List of Attachments.**

- AA. Contractors Certification of Pending Actions
- BB. Work Force Report

**AA. CONTRACTORS CERTIFICATION OF PENDING ACTIONS**

As part of this Contract, the Contractor must provide to the City a list of all instances within the past 10 years where a complaint was filed or pending against the Contractor in a legal or administrative proceeding alleging that Contractor discriminated against its employees, subcontractors, vendors or suppliers, and a description of the status or resolution of that complaint, including any remedial action taken.

CHECK ONE BOX ONLY.

- The undersigned certifies that within the past 10 years the Contractor has NOT been the subject of a complaint or pending action in a legal administrative proceeding alleging that Contractor discriminated against its employees, subcontractors, vendors or suppliers.
  
- The undersigned certifies that within the past 10 years the Contractor has been the subject of a complaint or pending action in a legal administrative proceeding alleging that Contractor discriminated against its employees, subcontractors, vendors or suppliers. A description of the status or resolution of that complaint, including any remedial action taken and the applicable dates is as follows:

DATE OF CLAIM	LOCATION	DESCRIPTION OF CLAIM	LITIGATION (Y/N)	STATUS	RESOLUTION/ REMEDIAL ACTION TAKEN

Contractor Name: Ventiv Technology, Inc.

Certified By Melloney Douce Title General Counsel  
Name

*Melloney Douce* Date Aug 16, 2021  
Signature

**EQUAL OPPORTUNITY CONTRACTING (EOC)**

1200 Third Avenue, Suite 200 • San Diego, CA 92101  
Phone: (619) 236-6000 • Fax: (619) 236-5904

**BB. WORK FORCE REPORT**

The objective of the *Equal Employment Opportunity Outreach Program*, San Diego Municipal Code Sections 22.3501 through 22.3517, is to ensure that contractors doing business with the City, or receiving funds from the City, do not engage in unlawful discriminatory employment practices prohibited by State and Federal law. Such employment practices include, but are not limited to unlawful discrimination in the following: employment, promotion or upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rate of pay or other forms of compensation, and selection for training, including apprenticeship. Contractors are required to provide a completed *Work Force Report (WFR)*.

**NO OTHER FORMS WILL BE ACCEPTED  
CONTRACTOR IDENTIFICATION**

Type of Contractor:  Construction  Vendor/Supplier  Financial Institution  Lessee/Lessor  
 Consultant  Grant Recipient  Insurance Company  Other

Name of Company: Ventiv Technology, Inc.

ADA/DBA: \_\_\_\_\_

Address (Corporate Headquarters, where applicable): 3350 Riverwood Parkway, Suite 2000, 20th floor

City: Atlanta County: Cobb State: GA Zip: 30339

Telephone Number: 866-452-2787 Fax Number: \_\_\_\_\_

Name of Company CEO: Salil Donde

Address(es), phone and fax number(s) of company facilities located in San Diego County (if different from above):

Address: \_\_\_\_\_

City: \_\_\_\_\_ County: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_ Email: \_\_\_\_\_

Type of Business: \_\_\_\_\_ Type of License: \_\_\_\_\_

The Company has appointed: Mike Schmidt

As its Equal Employment Opportunity Officer (EEOO), The EEOO has been given authority to establish, disseminate and enforce equal employment and affirmative action policies of this company. The EEOO may be contacted at:

Address: 3350 Riverwood Parkway, Suite 2000, 20th floor, Atlanta, GA, 30339

Telephone Number: 201-741-3434 Fax Number: \_\_\_\_\_ Email: mike.schmidt@ventivtech.com

- One San Diego County (or Most Local County) Work Force - Mandatory  
 Branch Work Force \*  
 Managing Office Work Force

Check the box above that applies to this WFR.

\*Submit a separate Work Force Report for all participating branches. Combine WFRs if more than one branch per county.

I, the undersigned representative of Ventiv Technology, Inc.

(Firm Name)

Cobb, Georgia hereby certify that information provided

(County)

(State)

herein is true and correct. This document was executed on this 16th day of August, 2021

Michael C. Schmidt

Michael C. Schmidt (Aug 16, 2021 15:52 EDT)

Michael C. Schmidt

(Authorized Signature)

(Print Authorized Signature Name)

**WORK FORCE REPORT – Page 2**

NAME OF FIRM: Ventiv Technology, Inc.

DATE: August 16, 2021

OFFICE(S) or BRANCH(ES): Atlanta Corporate Headquarters

COUNTY: Cobb

INSTRUCTIONS: For each occupational category, indicate number of males and females in every ethnic group. Total columns in row provided. Sum of all totals should be equal to your total work force. Include all those employed by your company on either a full or part-time basis. The following groups are to be included in ethnic categories listed in columns below:

- (1) Black or African-American
- (2) Hispanic or Latino
- (3) Asian
- (4) American Indian or Alaska Native
- (5) Native Hawaiian or Pacific Islander
- (6) White
- (7) Other race/ethnicity; not falling into other groups

Definitions of the race and ethnicity categories can be found on Page 4

ADMINISTRATION OCCUPATIONAL CATEGORY	(1) Black or African- American		(2) Hispanic or Latino		(3) Asian		(4) American Indian/ Nat. Alaskan		(5) Pacific Islander		(6) White		(7) Other Race/ Ethnicity	
	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)
	Management & Financial					2						4		
Professional												3		
A&E, Science, Computer	6	1	1		4	4					15	3	3	
Technical														
Sales											3			
Administrative Support												1		
Services	6				2	1					4		1	
Crafts														
Operative Workers														
Transportation														
Laborers*														

\*Construction laborers and other field employees are not to be included on this page

Totals Each Column	12	4	1		8	5					26	7	4	
--------------------	----	---	---	--	---	---	--	--	--	--	----	---	---	--

Grand Total All Employees 67

Indicate by Gender and Ethnicity the Number of Above Employees Who Are Disabled:

Disabled	0	0	0	0	0	0	0	0	0	0	0	0	0	0
----------	---	---	---	---	---	---	---	---	---	---	---	---	---	---

Non-Profit Organizations Only:

Board of Directors														
Volunteers														
Artists														

**WORK FORCE REPORT – Page 3**

NAME OF FIRM: \_\_\_\_\_ DATE: \_\_\_\_\_

OFFICE(S) or BRANCH(ES): \_\_\_\_\_ COUNTY: \_\_\_\_\_

INSTRUCTIONS: For each occupational category, indicate number of males and females in every ethnic group. Total columns in row provided. Sum of all totals should be equal to your total work force. Include all those employed by your company on either a full or part-time basis. The following groups are to be included in ethnic categories listed in columns below:

- (1) Black or African-American
- (2) Hispanic or Latino
- (3) Asian
- (4) American Indian or Alaska Native
- (5) Native Hawaiian or Pacific Islander
- (6) White
- (7) Other race/ethnicity; not falling into other groups

Definitions of the race and ethnicity categories can be found on Page 4

TRADE OCCUPATIONAL CATEGORY	(1) Black or African American		(2) Hispanic or Latino		(3) Asian		(4) American Indian/ Nat. Alaskan		(5) Pacific Islander		(6) White		(7) Other Race/ Ethnicity	
	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)
Brick, Block or Stone Masons														
Carpenters														
Carpet, Floor & Tile installers Finishers														
Cement Masons, Concrete Finishers														
Construction Laborers														
Drywall Installers, Ceiling Tile Inst														
Electricians														
Elevator Installers														
First-Line Supervisors/Managers														
Glaziers														
Helpers; Construction Trade														
Millwrights														
Misc. Const. Equipment Operators														
Painters, Const. & Maintenance														
Pipelayers, Plumbers, Pipe & Steam Fitters														
Plasterers & Stucco Masons														
Roofers														
Security Guards & Surveillance Officers														
Sheet Metal Workers														
Structural Metal Fabricators & Fitters														
Welding, Soldering & Brazing Workers														
Workers, Extractive Crafts, Miners														

Totals Each Column														
--------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--

**Grand Total All Employees**

Indicate By Gender and Ethnicity the Number of Above Employees Who Are Disabled:

Disabled														
----------	--	--	--	--	--	--	--	--	--	--	--	--	--	--



## Work Force Report

### HISTORY

The Work Force Report (WFR) is the document that allows the City of San Diego to analyze the work forces of all firms wishing to do business with the City. We are able to compare the firm's work force data to County Labor Force Availability (CLFA) data derived from the United States Census. CLFA data is a compilation of lists of occupations and includes the percentage of each ethnicity we track (American Indian or Alaska Native, Asian, Black or African-American, Native Hawaiian or Pacific Islander, White, and Other) for each occupation. Currently, our CLFA data is taken from the 2010 Census. In order to compare one firm to another, it is important that the data we receive from the consultant firm is accurate and organized in the manner that allows for this fair comparison.

### WORK FORCE & BRANCH WORK FORCE REPORTS

When submitting a WFR, especially if the WFR is for a specific project or activity, we would like to have information about the firm's work force that is actually participating in the project or activity. That is, if the project is in San Diego and the work force is from San Diego, we want a San Diego County Work Force Report<sup>1</sup>. By the same token, if the project is in San Diego, but the work force is from another county, such as Orange or Riverside County, we want a Work Force Report from that county<sup>2</sup>. If participation in a San Diego project is by work forces from San Diego County and, for example, from Los Angeles County and from Sacramento County, we ask for separate Work Force Reports representing your firm from each of the three counties.

### MANAGING OFFICE WORK FORCE

Equal Opportunity Contracting may occasionally ask for a Managing Office Work Force (MOWF) Report. This may occur in an instance where the firm involved is a large national or international firm but the San Diego or other local work force is very small. In this case, we may ask for both a local and a MOWF Report<sup>1,3</sup>. In another case, when work is done only by the Managing Office, only the MOWF Report may be necessary.<sup>3</sup>

### TYPES OF WORK FORCE REPORTS:

Please note, throughout the preceding text of this page, the superscript numbers one <sup>1</sup>, two <sup>2</sup> & three <sup>3</sup>. These numbers coincide with the types of work force report required in the example. See below:

- <sup>1</sup> One San Diego County (or Most Local County) Work Force – Mandatory in most cases
- <sup>2</sup> Branch Work Force \*
- <sup>3</sup> Managing Office Work Force

*\*Submit a separate Work Force Report for all participating branches. Combine WFRs if more than one branch per county.*

### RACE/ETHNICITY CATEGORIES

**American Indian or Alaska Native** – A person having origins in any of the peoples of North and South America (including Central America) and who maintains tribal affiliation or community attachment.

**Asian** – A person having origins in any of the peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

**Black or African American** – A person having origins in any of the Black racial groups of Africa.

**Native Hawaiian or Pacific Islander** – A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

**White** – A person having origins in any of the peoples of Europe, the Middle East, or North Africa.

**Hispanic or Latino** – A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin.

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## Exhibit A: Work Force Report Job Categories – Administration

Refer to this table when completing your firm's Work Force Report form(s).

### Management & Financial

Advertising, Marketing, Promotions, Public  
Relations, and Sales Managers  
Business Operations Specialists  
Financial Specialists  
Operations Specialties Managers  
Other Management Occupations  
Top Executives

### Professional

Art and Design Workers  
Counselors, Social Workers, and Other Community  
and Social Service Specialists  
Entertainers and Performers, Sports and Related  
Workers  
Health Diagnosing and Treating Practitioners  
Lawyers, Judges, and Related Workers  
Librarians, Curators, and Archivists  
Life Scientists  
Media and Communication Workers  
Other Teachers and Instructors  
Postsecondary Teachers  
Primary, Secondary, and Special Education School  
Teachers  
Religious Workers  
Social Scientists and Related Workers

### Architecture & Engineering, Science, Computer

Architects, Surveyors, and Cartographers  
Computer Specialists  
Engineers  
Mathematical Science Occupations  
Physical Scientists

### Technical

Drafters, Engineering, and Mapping Technicians  
Health Technologists and Technicians  
Life, Physical, and Social Science Technicians  
Media and Communication Equipment Workers

### Sales

Other Sales and Related Workers  
Retail Sales Workers  
Sales Representatives, Services  
Sales Representatives, Wholesale and  
Manufacturing  
Supervisors, Sales Workers

### Administrative Support

Financial Clerks  
Information and Record Clerks  
Legal Support Workers

Material Recording, Scheduling, Dispatching,  
and Distributing Workers  
Other Education, Training, and Library  
Occupations  
Other Office and Administrative Support  
Workers  
Secretaries and Administrative Assistants  
Supervisors, Office and Administrative Support  
Workers

### Services

Building Cleaning and Pest Control Workers  
Cooks and Food Preparation Workers  
Entertainment Attendants and Related  
Workers  
Fire Fighting and Prevention Workers  
First-Line Supervisors/Managers, Protective  
Service Workers  
Food and Beverage Serving Workers  
Funeral Service Workers  
Law Enforcement Workers  
Nursing, Psychiatric, and Home Health Aides  
Occupational and Physical Therapist Assistants  
and Aides  
Other Food Preparation and Serving Related  
Workers  
Other Healthcare Support Occupations  
Other Personal Care and Service Workers  
Other Protective Service Workers  
Personal Appearance Workers  
Supervisors, Food Preparation and Serving  
Workers  
Supervisors, Personal Care and Service  
Workers  
Transportation, Tourism, and Lodging  
Attendants

### Crafts

Construction Trades Workers  
Electrical and Electronic Equipment  
Mechanics, Installers, and Repairers  
Extraction Workers  
Material Moving Workers  
Other Construction and Related Workers  
Other Installation, Maintenance, and Repair  
Occupations  
Plant and System Operators  
Supervisors of Installation, Maintenance, and  
Repair Workers  
Supervisors, Construction and Extraction  
Workers  
Vehicle and Mobile Equipment Mechanics,

Installers, and Repairers  
Woodworkers

**Operative Workers**

Assemblers and Fabricators  
Communications Equipment Operators  
Food Processing Workers  
Metal Workers and Plastic Workers  
Motor Vehicle Operators  
Other Production Occupations  
Printing Workers  
Supervisors, Production Workers  
Textile, Apparel, and Furnishings Workers

**Transportation**

Air Transportation Workers  
Other Transportation Workers  
Rail Transportation Workers  
Supervisors, Transportation and Material  
Moving Workers  
Water Transportation Workers

**Laborers**

Agricultural Workers  
Animal Care and Service Workers  
Fishing and Hunting Workers  
Forest, Conservation, and Logging Workers  
Grounds Maintenance Workers  
Helpers, Construction Trades  
Supervisors, Building and Grounds Cleaning  
and Maintenance Workers  
Supervisors, Farming, Fishing, and Forestry  
Workers

**Exhibit B: Work Force Report Job Categories-Trade**

**Brick, Block or Stone Masons**

Brickmasons and Blockmasons  
Stonemasons

**Carpenters**

**Carpet, floor and Tile Installers and Finishers**

Carpet Installers  
Floor Layers, except Carpet, Wood and Hard  
Tiles  
Floor Sanders and Finishers  
Tile and Marble Setters

**Cement Masons, Concrete Finishers**

Cement Masons and Concrete Finishers  
Terrazzo Workers and Finishers

**Construction Laborers**

**Drywall Installers, Ceiling Tile Inst**

Drywall and Ceiling Tile Installers  
Tapers

**Electricians**

**Elevator Installers and Repairers**

**First-Line Supervisors/Managers**

First-line Supervisors/Managers of  
Construction Trades and Extraction Workers

**Glaziers**

**Helpers, Construction Trade**

Brickmasons, Blockmasons, and Tile and  
Marble Setters  
Carpenters  
Electricians  
Painters, Paperhangers, Plasterers and Stucco  
Pipelayers, Plumbers, Pipefitters and  
Steamfitters  
Roofers  
All other Construction Trades

**Millwrights**

Heating, Air Conditioning and Refrigeration  
Mechanics and Installers  
Mechanical Door Repairers  
Control and Valve Installers and Repairers  
Other Installation, Maintenance and Repair  
Occupations

**Misc. Const. Equipment Operators**

Paving, Surfacing and Tamping Equipment  
Operators  
Pile-Driver Operators  
Operating Engineers and Other Construction  
Equipment Operators

**Painters, Const. Maintenance**

Painters, Construction and Maintenance  
Paperhangers

**Pipelayers and Plumbers**

Pipelayers  
Plumbers, Pipefitters and Steamfitters

**Plasterers and Stucco Masons****Roofers****Security Guards & Surveillance Officers****Sheet Metal Workers****Structural Iron and Steel Workers****Welding, Soldering and Brazing Workers**

Welders, Cutter, Solderers and Brazers  
Welding, Soldering and Brazing Machine  
Setter, Operators and Tenders

**Workers, Extractive Crafts, Miners**









# City of San Diego EOC Form 8.16.21

Final Audit Report

2021-08-16

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