

**REQUEST FOR PROPOSALS**

**TECHNICAL ASSISTANCE FOR THE**

**TURKEY: ISTANBUL METROPOLITAN MUNICIPALITY**

**TECHNOLOGY CENTER CONSOLIDATION**

Submission Deadline: **4:00 PM**  
**LOCAL TIME**  
**JUNE 13, 2012**

Submission Place: **Istanbul Buyuksehir Belediye Baskanligi**  
**Kasim Sokak.**  
**Merter, Gungoren, Istanbul**

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SEALED PROPOSALS SHALL BE CLEARLY MARKED AND RECEIVED PRIOR TO THE TIME AND DATE SPECIFIED ABOVE. PROPOSALS RECEIVED AFTER SAID TIME AND DATE WILL NOT BE ACCEPTED OR CONSIDERED.

**N.B.: Any and all questions pertaining to the RFP should be sent to Rob Yavuz, USTDA, 1000 Wilson Blvd, Suite 1600, Arlington, VA 22209-3901, Tel: (703) 875-4357, Fax: (703) 875-4009, [ryavuz@ustda.gov](mailto:ryavuz@ustda.gov)**

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## **Section 1: INTRODUCTION**

The U.S. Trade and Development Agency (USTDA) has provided a grant in the amount of US\$595,743 to the Istanbul Metropolitan Municipality (IBB) (the “Grantee”) in accordance with a grant agreement dated April 2, 2012 (the “Grant Agreement”), for Technical Assistance (“TA”) on the Technology Center Consolidation Project (“Project”). The Project will consolidate over 40 municipal data centers, command and control centers, and call centers currently operated and maintained by numerous municipal agencies into a common Technology Center. The TA will provide a comprehensive blueprint for data and systems migration, and will develop a plan for the consolidation of resources within the Technology Center. The Grant Agreement is attached at Annex 4 for reference. The Grantee is soliciting technical proposals from qualified U.S. firms to provide expert consulting services to perform the TA.

### **1.1 BACKGROUND SUMMARY**

The Istanbul Metropolitan Municipality (IBB) believes that both the delivery of municipal services and the general state of Istanbul’s disaster preparedness could be greatly improved through extensive consolidation of its existing Operations Centers. At present, each municipal service (police, fire, transportation, electricity, gas, water/wastewater) runs its own Operations Center, and these employ a variety of often incompatible and non-interoperable hardware and software platforms. The lack of interoperability among these Operations Centers severely impairs the municipal authority’s ability to effectively respond to emergency and disaster situations.

Accordingly, IBB is planning to design, construct and operate a Consolidated Technology Center that would incorporate common platforms, systems and data sources for its Operations Centers to use, allowing for more coordinated approaches to service delivery. Planning for the Technology Center has been entrusted to Office of the Chief Information Officer of IBB. The Office has identified 41 Operations Centers to be consolidated, assembled baseline data regarding the scope of their operations, formulated a set of high-level objectives for the Project, and scoped a general framework for phasing and timing for the construction of the Technology Center. USTDA awarded this TA to IBB in order to provide IBB with the expertise and support it requires to plan and execute this high-priority project for the Municipality.

The Office of the Chief Information Officer for IBB has a staff of some 300 professionals, the majority of whom are professionally trained engineers. IBB has the requisite capability to operate and maintain the consolidated Technology Center and associated telecommunications infrastructure once the project has been completed. The project has already been approved by the local government, and land has been allocated for the construction of the Technology Center. The municipality requires that the additional planning assistance included in this TA be completed before the project can be implemented.

Portions of a background Definitional Mission Turkey: Information and Communications Technology Projects is provided for reference in Annex 2.

## 1.2 OBJECTIVE

The objective of the TA is to consolidate over 40 municipal data centers, command and control centers and call centers that are currently operated and maintained by numerous municipal agencies into a common Technology Center. The TA will provide a comprehensive blueprint for data and systems migration, as well as plan for the consolidation of resources within the Technology Center.

The Terms of Reference (TOR) for the TA are attached as Annex 5.

## 1.3 PROPOSALS TO BE SUBMITTED

Technical proposals are solicited from interested and qualified U.S. firms. The administrative and technical requirements as detailed throughout the Request for Proposals (RFP) will apply. Specific proposal format and content requirements are detailed in Section 3.

The amount for the contract has been established by a USTDA grant of US\$595,743. **The USTDA grant of US\$595,743 is a fixed amount. Accordingly, COST will not be a factor in the evaluation and therefore, cost proposals should not be submitted.** Upon detailed evaluation of technical proposals, the Grantee shall select one firm for contract negotiations.

## 1.4 CONTRACT FUNDED BY USTDA

In accordance with the terms and conditions of the Grant Agreement, USTDA has provided a grant in the amount of US\$595,743 to the Grantee. The funding provided under the Grant Agreement shall be used to fund the costs of the contract between the Grantee and the U.S. firm selected by the Grantee to perform the TOR. The contract must include certain USTDA Mandatory Contract Clauses relating to nationality, taxes, payment, reporting, and other matters. The USTDA nationality requirements and the USTDA Mandatory Contract Clauses are attached at Annexes 3 and 4, respectively, for reference.

## Section 2: INSTRUCTIONS TO OFFERORS

### 2.1 PROJECT TITLE

The project is called Technical Assistance for Technology Center Consolidation.

### 2.2 DEFINITIONS

Please note the following definitions of terms as used in this RFP.

The term "Request for Proposals" means this solicitation of a formal technical proposal, including qualifications statement.

The term "Offeror" means the U.S. firm, including any and all subcontractors, which responds to the RFP and submits a formal proposal and which may or may not be successful in being awarded this procurement.

### **2.3 DEFINITIONAL MISSION REPORT**

USTDA sponsored a Definitional Mission on Information and Communications Technology Projects in Turkey, which assessed the technical, financial, sociopolitical, environmental and other aspects of the proposed project. Portions of the report are attached at Annex 2 for background information only. Please note that the TOR referenced in the report are included in this RFP as Annex 5.

### **2.4 EXAMINATION OF DOCUMENTS**

Offerors should carefully examine this RFP. It will be assumed that Offerors have done such inspection and that through examinations, inquiries and investigation they have become familiarized with local conditions and the nature of problems to be solved during the execution of the TA.

Offerors shall address all items as specified in this RFP. Failure to adhere to this format may disqualify an Offeror from further consideration.

Submission of a proposal shall constitute evidence that the Offeror has made all the above mentioned examinations and investigations, and is free of any uncertainty with respect to conditions which would affect the execution and completion of the TA.

### **2.5 PROJECT FUNDING SOURCE**

The TA will be funded under a grant from USTDA. The total amount of the grant is not to exceed US\$595,743.

### **2.6 RESPONSIBILITY FOR COSTS**

Offeror shall be fully responsible for all costs incurred in the development and submission of the proposal. Neither USTDA nor the Grantee assumes any obligation as a result of the issuance of this RFP, the preparation or submission of a proposal by an Offeror, the evaluation of proposals, final selection or negotiation of a contract.

### **2.7 TAXES**

Offerors should submit proposals that note that in accordance with the USTDA Mandatory Contract Clauses, USTDA grant funds shall not be used to pay any taxes, tariffs, duties, fees or other levies imposed under laws in effect in the Host Country.

## **2.8 CONFIDENTIALITY**

The Grantee will preserve the confidentiality of any business proprietary or confidential information submitted by the Offeror, which is clearly designated as such by the Offeror, to the extent permitted by the laws of the Host Country.

## **2.9 ECONOMY OF PROPOSALS**

Proposal documents should be prepared simply and economically, providing a comprehensive yet concise description of the Offeror's capabilities to satisfy the requirements of the RFP. Emphasis should be placed on completeness and clarity of content.

## **2.10 OFFEROR CERTIFICATIONS**

The Offeror shall certify (a) that its proposal is genuine and is not made in the interest of, or on behalf of, any undisclosed person, firm, or corporation, and is not submitted in conformity with, and agreement of, any undisclosed group, association, organization, or corporation; (b) that it has not directly or indirectly induced or solicited any other Offeror to put in a false proposal; (c) that it has not solicited or induced any other person, firm, or corporation to refrain from submitting a proposal; and (d) that it has not sought by collusion to obtain for itself any advantage over any other Offeror or over the Grantee or USTDA or any employee thereof.

## **2.11 CONDITIONS REQUIRED FOR PARTICIPATION**

Only U.S. firms are eligible to participate in this tender. However, U.S. firms may utilize subcontractors from the Host Country for up to 20 percent of the amount of the USTDA grant for specific services from the TOR identified in the subcontract. USTDA's nationality requirements, including definitions, are detailed in Annex 3.

## **2.12 LANGUAGE OF PROPOSAL**

All proposal documents shall be prepared and submitted in English, and only English.

## **2.13 PROPOSAL SUBMISSION REQUIREMENTS**

The **Cover Letter** in the proposal must be addressed to:

Hakki Tok  
Istanbul Buyuksehir Belediye Baskanligi  
Kasim Sokak.

Merter, Gungoren, Istanbul  
Phone: [90] (212) 449-4000  
Fax: [90] (212) 449-4526

**An Original and eight (8) copies of your proposal must be received at the above address no later than 4:00 PM, LOCAL TIME, on JUNE 13, 2012.**

Proposals may be either sent by mail, overnight courier, or hand-delivered. Whether the proposal is sent by mail, courier or hand-delivered, the Offeror shall be responsible for actual delivery of the proposal to the above address before the deadline. Any proposal received after the deadline will be returned unopened. The Grantee will promptly notify any Offeror if its proposal was received late.

Upon timely receipt, all proposals become the property of the Grantee.

#### **2.14 PACKAGING**

The original and each copy of the proposal must be sealed to ensure confidentiality of the information. The proposals should be individually wrapped and sealed, and labeled for content including the name of the project and designation of "original" or "copy number x." The original and eight (8) copies should be collectively wrapped and sealed, and clearly labeled, including the contact name and the name of the project.

Neither USTDA nor the Grantee will be responsible for premature opening of proposals not properly wrapped, sealed and labeled.

#### **2.15 OFFEROR'S AUTHORIZED NEGOTIATOR**

The Offeror must provide the name, title, address, telephone number, e-mail address and fax number of the Offeror's authorized negotiator. The person cited shall be empowered to make binding commitments for the Offeror and its subcontractors, if any.

#### **2.16 AUTHORIZED SIGNATURE**

The proposal must contain the signature of a duly authorized officer or agent of the Offeror empowered with the right to bind the Offeror.

#### **2.17 EFFECTIVE PERIOD OF PROPOSAL**

The proposal shall be binding upon the Offeror for NINETY (90) days after the proposal due date, and Offeror may withdraw or modify this proposal at any time prior to the due date upon written request, signed in the same manner and by the same person who signed the original proposal.

#### **2.18 EXCEPTIONS**

All Offerors agree by their response to this RFP announcement to abide by the procedures set forth herein. No exceptions shall be permitted.

## **2.19 OFFEROR QUALIFICATIONS**

As provided in Section 3, Offerors shall submit evidence that they have relevant past experience and have previously delivered advisory, technical assistance and/or other services similar to those required in the TOR, as applicable.

## **2.20 RIGHT TO REJECT PROPOSALS**

The Grantee reserves the right to reject any and all proposals.

## **2.21 PRIME CONTRACTOR RESPONSIBILITY**

Offerors have the option of subcontracting parts of the services they propose. The Offeror's proposal must include a description of any anticipated subcontracting arrangements, including the name, address, and qualifications of any subcontractors. USTDA nationality provisions apply to the use of subcontractors and are set forth in detail in Annex 3. The successful Offeror shall cause appropriate provisions of its contract, including all of the applicable USTDA Mandatory Contract Clauses, to be inserted in any subcontract funded or partially funded by USTDA grant funds.

## **2.22 AWARD**

The Grantee shall make an award resulting from this RFP to the best qualified Offeror, on the basis of the evaluation factors set forth herein. The Grantee reserves the right to reject any and all proposals received.

## **2.23 COMPLETE SERVICES**

The successful Offeror shall be required to (a) provide local transportation, office space and secretarial support required to perform the TOR if such support is not provided by the Grantee; (b) provide and perform all necessary labor, supervision and services; and (c) in accordance with best technical and business practice, and in accordance with the requirements, stipulations, provisions and conditions of this RFP and the resultant contract, execute and complete the TOR to the satisfaction of the Grantee and USTDA.

## **2.24 INVOICING AND PAYMENT**

Deliverables under the contract shall be delivered on a schedule to be agreed upon in a contract with the Grantee. The Contractor may submit invoices to the designated Grantee Project Director in accordance with a schedule to be negotiated and included in the contract. After the Grantee's approval of each invoice, the Grantee will forward the invoice to

USTDA. If all of the requirements of USTDA's Mandatory Contract Clauses are met, USTDA shall make its respective disbursement of the grant funds directly to the U.S. firm in the United States. All payments by USTDA under the Grant Agreement will be made in U.S. currency. Detailed provisions with respect to invoicing and disbursement of grant funds are set forth in the USTDA Mandatory Contract Clauses attached in Annex 4.

### **Section 3: PROPOSAL FORMAT AND CONTENT**

To expedite proposal review and evaluation, and to assure that each proposal receives the same orderly review, all proposals must follow the format described in this section.

Proposal sections and pages shall be appropriately numbered and the proposal shall include a Table of Contents. Offerors are encouraged to submit concise and clear responses to the RFP. Proposals shall contain all elements of information requested without exception. Instructions regarding the required scope and content are given in this section. The Grantee reserves the right to include any part of the selected proposal in the final contract.

The proposal shall consist of a technical proposal only. A cost proposal is NOT required because the amount for the contract has been established by a USTDA grant of US\$595,743, which is a fixed amount.

Offerors shall submit one (1) original and eight (8) copies of the proposal. Proposals received by fax cannot be accepted.

Each proposal must include the following:

- Transmittal Letter,
- Cover/Title Page,
- Table of Contents,
- Executive Summary,
- Firm Background Information,
- Completed U.S. Firm Information Form,
- Organizational Structure, Management Plan, and Key Personnel,
- Technical Approach and Work Plan, and
- Experience and Qualifications.

Detailed requirements and directions for the preparation of the proposal are presented below.

#### **3.1 EXECUTIVE SUMMARY**

An Executive Summary should be prepared describing the major elements of the proposal, including any conclusions, assumptions, and general recommendations the Offeror desires to

make. Offerors are requested to make every effort to limit the length of the Executive Summary to no more than five (5) pages.

### **3.2 U.S. FIRM INFORMATION**

A U.S. Firm Information Form in .pdf fillable format is attached at the end of this RFP in Annex 6. The Offeror must complete the U.S. Firm Information Form and include the completed U.S. Firm Information Form with its proposal.

### **3.3 ORGANIZATIONAL STRUCTURE, MANAGEMENT, AND KEY PERSONNEL**

Describe the Offeror's proposed project organizational structure. Discuss how the project will be managed including the principal and key staff assignments for this Technical Assistance. Identify the Project Manager who will be the individual responsible for this project. The Project Manager shall have the responsibility and authority to act on behalf of the Offeror in all matters related to the Technical Assistance.

Provide a listing of personnel (including subcontractors) to be engaged in the project, including both U.S. and local subcontractors, with the following information for key staff: position in the project; pertinent experience, curriculum vitae; other relevant information. If subcontractors are to be used, the Offeror shall describe the organizational relationship, if any, between the Offeror and the subcontractor.

A manpower schedule and the level of effort for the project period, by activities and tasks, as detailed under the Technical Approach and Work Plan shall be submitted. A statement confirming the availability of the proposed project manager and key staff over the duration of the project must be included in the proposal.

### **3.4 TECHNICAL APPROACH AND WORK PLAN**

Describe in detail the proposed Technical Approach and Work Plan (the "Work Plan"). Discuss the Offeror's methodology for completing the project requirements. Include a brief narrative of the Offeror's methodology for completing the tasks within each activity series. Begin with the information gathering phase and continue through delivery and approval of all required reports.

Prepare a detailed schedule of performance that describes all activities and tasks within the Work Plan, including periodic reporting or review points, incremental delivery dates, and other project milestones.

Based on the Work Plan, and previous project experience, describe any support that the Offeror will require from the Grantee. Detail the amount of staff time required by the Grantee or other participating agencies and any work space or facilities needed to complete the Technical Assistance.

### **3.5 EXPERIENCE AND QUALIFICATIONS**

Provide a discussion of the Offeror's experience and qualifications that are relevant to the objectives and TOR for the Technical Assistance. If a subcontractor(s) is being used, similar information must be provided for the prime and each subcontractor firm proposed for the project. The Offeror shall provide information with respect to relevant experience and qualifications of key staff proposed. The Offeror shall include letters of commitment from the individuals proposed confirming their availability for contract performance.

As many as possible but not more than six (6) relevant and verifiable project references must be provided for each of the Offeror and any subcontractor, including the following information:

Project name,  
Name and address of client (indicate if joint venture),  
Client contact person (name/ position/ current phone and fax numbers),  
Period of Contract,  
Description of services provided,  
Dollar amount of Contract, and  
Status and comments.

Offerors are strongly encouraged to include in their experience summary primarily those projects that are similar to the Technical Assistance as described in this RFP.

### **Section 4: AWARD CRITERIA**

Individual proposals will be initially evaluated by a Procurement Selection Committee of representatives from the Grantee. The Committee will then conduct a final evaluation and completion of ranking of qualified Offerors. The Grantee will notify USTDA of the best qualified Offeror, and upon receipt of USTDA's no-objection letter, the Grantee shall promptly notify all Offerors of the award and negotiate a contract with the best qualified Offeror. If a satisfactory contract cannot be negotiated with the best qualified Offeror, negotiations will be formally terminated. Negotiations may then be undertaken with the second most qualified Offeror and so forth.

As is evident from the accompanying Terms of Reference (attached in Annex V), the TA is oriented toward the development of a comprehensive "blueprint" for the migration of IBB's current disparate Operations Centers to a consolidated Technology Center, as well as consolidation of resources (e.g., server virtualization) within the Technology Center. This blueprint also extends to the networking infrastructure that will be required to adequately support the operation of the Technology Center. On a general level, therefore, it is expected that the Contractor will provide the requisite breadth and depth of expertise in integrated ICT infrastructure planning, design and implementation, in environments on a similar scale and with a comparable end-user profile. Specific areas of expertise which are expected to be directly relevant to the proposed TA include the following:

- Data Center planning, design and operation
- Data Center consolidation (physical and virtual)

- Command and Control Center and Call Center planning, design and operation
- Customer Relationship Management (CRM) systems and platforms
- Fiber-optic and wide-area network infrastructure, technologies and standards, as well as network analysis, design, engineering, implementation and operation
- Costing of comparable large-scale ICT implementations, as well as familiarity with methodology of baselining the operating costs of Operations Centers

Additionally, it is expected that the Contractor will display experience and abilities in the following areas:

- Working closely with senior management and technical and administrative personnel
- Communicating results and disseminating information to management and to interested parties

Successful performance of the TA will require close collaboration with IBB to ensure that maximum practical benefit is derived from the TA and that the resources thus acquired are put to good practical use in the context of the Consolidation Project. Thus, the following additional attributes are also considered critical to a successful outcome:

- Willingness of Contractor to spend significant time in-country
- A work plan ensuring close collaboration and interaction with IBB
- The capability to deliver quality results and recommendations in timely fashion

The proposed specific composition of the Contractor team for the recommended TA is described below:

### **Team Composition and Experience**

In terms of the composition and particular credentials of the Contractor, it is judged that the team should consist of a Project Manager, a Telecom/Network Specialist; two (2) Data Center Planning and Design Specialists; an Integration/Consolidation Specialist; and an ICT Operations Specialist (all U.S.-based); plus Local Support (Istanbul-based). The position of Project Manager may be combined with that of any of the other U.S.-based specialists, provided that the person so designated meets all of the requirements of the two positions separately, and it can be shown that the proposed Contractor Team can efficiently carry out the full scope of the TA. More specific descriptions follow:

Project Manager:

- At least fifteen (15) years' experience in the ICT industry
- Specific expertise in planning and implementing large-scale consolidation/integration projects, preferably in the context of public-sector organizations
- Organizational, management and cross-cultural skills and perspective to structure, oversee and carry out the TA effectively; ability to work closely and effectively with IBB CIO personnel throughout the TA, as well as with other stakeholders and interested parties
- Proficiency in Turkish, at a level adequate to enable effective conduct of day-to-day work in that language, is not specifically required but would be an advantage

Telecom/Network Specialist:

- At least ten (10) years' experience with the planning, design and implementation of telecom/networking infrastructure and connectivity solutions
- Specific experience with fiber-optic-based wide-area and metropolitan-area backbone networks and protocols (e.g., IP/MPLS), VPNs
- Exposure to network security/privacy issues, authentication, access control is highly desirable
- Ability to work closely with and support the Data Center Planning and Design Specialists as may be required
- Organizational and cross-cultural skills and perspective to structure, oversee and carry out the TA effectively

Data Center Planning and Design Specialist 1:

- At least ten (10) years' experience with Data Center planning and operation, including experience with data center construction/migration projects
- Experience with estimation of both hard data-center costs (e.g., required new hardware and software) and associated soft costs (e.g., administration, training) and cost/benefit analysis
- Knowledge of backup and disaster-recovery requirements, infrastructure and procedures
- Organizational/management skills to structure, oversee and carry out the TA effectively

Data Center Planning and Design Specialist 2:

- At least ten (10) years' experience with Data Center planning, design and/or operation
- Complementary skills to those of Data Center Planning and Design Expert 1; in particular, experience with data warehousing/archiving and Storage Area Networks
- Exposure to storage virtualization would be an advantage
- Organizational/management skills to structure, oversee and carry out the TA effectively
- Ability to work closely and effectively with IBB CIO personnel and interested parties throughout the TA

Integration / Consolidation Specialist:

- At least ten (10) years' experience in the ICT industry
- Specific expertise with consolidation of data centers
- Experience with server virtualization, including cost/benefit analysis
- Knowledge of interoperability issues and standards, applicable middleware solutions
- Organizational/management skills and perspective to structure, oversee and carry out the TA effectively
- Ability to work closely and effectively with IBB CIO personnel and interested parties throughout the TA

ICT Operations Specialist:

- At least ten (10) years' experience in ICT with a focus on Call Center and/or Command and Control Center planning, design and/or operation, preferably in a public-sector or municipal environment
- Experience with estimation of both hard costs (e.g., required new hardware and software) and associated soft costs (e.g., administration, training) of such centers, as well as cost/benefit analysis
- Experience with Customer Relationship Management (CRM) platforms and solutions would be a definite advantage
- Familiarity with related operational issues (e.g., emergency response and disaster coordination) would be an advantage
- Organizational and management skills to carry out the TA effectively

In addition, the Contractor Team shall include Local Support. It is envisaged that Local Support will take the form of an individual or small firm based in Istanbul, with knowledge and experience in ICT and in working with public-sector institutions. It is anticipated that the Local Support will provide logistical and translation assistance, particularly in conjunction with interviews, site visits and data-gathering activities (see the Terms of Reference in Annex V), as well as liaison and continuity in the intervals between in-country visits of U.S.-based Contractor Team members.

The selection of the Contractor will be based on the following criteria:

<b>Criterion</b>	<b>Max. Points</b>
Expertise and skills of proposed personnel	40
Proposed approach to the TA and to the individual tasks	35
Pertinent international experience and cross-cultural skills	15
Experience and capabilities of Local Support	10
<b>Total:</b>	<b>100</b>

Proposals that do not include all requested information may be considered non-responsive.

Price will not be a factor in contractor selection.

## **ANNEX 1**

MR. HAKKI TOK, ISTANBUL BUYUKSEHIR BELEDIYE BASKANLIGI, KASIM SOKAK., MERTER, GUNGOREN, ISTANBUL/TURKEY, TEL [90] (212) 449-4000, FAX [90] (212) 449-4526, HAKKI.TOK@IBB.GOV.TR

TURKEY: TECHNICAL ASSISTANCE: ISTANBUL METROPOLITAN MUNICIPALITY TECHNOLOGY CENTER CONSOLIDATION

POC: Robin Yavuz, USTDA, 1000 Wilson Boulevard, Suite 1600, Arlington, VA 22209-3901, Tel: (703) 875-4357, Fax: (703) 875-4009. Turkey: Technical Assistance: Istanbul Metropolitan Municipality Technology Center Consolidation. The Grantee invites submission of qualifications and proposal data (collectively referred to as the "Proposal") from interested U.S. firms that are qualified on the basis of experience and capability to perform Technical Assistance ("TA") on the Istanbul Metropolitan Municipality's Technology Center Consolidation ("Project").

The Istanbul Metropolitan Municipality (IBB) believes that both the delivery of municipal services and the general state of Istanbul's disaster preparedness could be greatly improved through extensive consolidation of its existing Operations Centers. At present, each municipal service (police, fire, transportation, electricity, gas, water/wastewater) runs its own Operations Center, and these employ a variety of often incompatible and non-interoperable hardware and software platforms. The lack of interoperability among these Operations Centers severely impairs the municipal authority's ability to effectively respond to emergency and disaster situations.

Accordingly, IBB is planning to design, construct and operate a Consolidated Technology Center that would incorporate common platforms, systems and data sources for its Operations Centers to use, allowing for more coordinated approaches to service delivery. Planning for the Technology Center has been entrusted to Office of the Chief Information Officer of IBB. The Office has identified 41 Operations Centers to be consolidated, assembled baseline data regarding the scope of their operations, formulated a set of high-level objectives for the Project, and scoped a general framework for phasing and timing for the construction of the Technology Center. USTDA has awarded this TA to IBB in order to provide IBB with the expertise and support it requires to plan and execute this high-priority project for the Municipality.

The Office of the Chief Information Officer for IBB has a staff of some 300 professionals, the majority of whom are professionally trained engineers. IBB has the requisite capability to operate and maintain the consolidated Technology Center and associated telecommunications infrastructure once the project has been completed. The project has already been approved by the local government, and land has been allocated for the construction of the Technology Center. The municipality requires that the additional planning assistance included in this TA be completed before the project can be implemented.

The U.S. firm selected will be paid in U.S. dollars from a \$595,743 grant to the Grantee from the U.S. Trade and Development Agency (USTDA).

A detailed Request for Proposals (RFP), which includes requirements for the Proposal, the Terms of Reference, and portions of a background definitional mission/desk study report are available from USTDA, at 1000 Wilson Boulevard, Suite 1600, Arlington, VA 22209-3901. To request the RFP in PDF format, please go to: <https://www.ustda.gov/businessopps/rfpform.asp>. Requests for a mailed hardcopy version of the RFP may also be faxed to the IRC, USTDA at 703-875-4009. In the fax, please include your firm's name, contact person, address, and telephone number. Some firms have found that RFP materials sent by U.S. mail do not reach them in time for preparation of an adequate response. Firms that want USTDA to use an overnight delivery service should include the name of the delivery service and your firm's account number in the request for the RFP. Firms that want to send a courier to USTDA to retrieve the RFP should allow one hour after faxing the request to USTDA before scheduling a pick-up. Please note that no telephone requests for the RFP will be honored. Please check your internal fax verification receipt. Because of the large number of RFP requests, USTDA cannot respond to requests for fax verification. Requests for RFPs received before 4:00 PM will be mailed the same day. Requests received after 4:00 PM will be mailed the following day. Please check with your courier and/or mail room before calling USTDA.

Only U.S. firms and individuals may bid on this USTDA financed activity. Interested firms, their subcontractors and employees of all participants must qualify under USTDA's nationality requirements as of the due date for submission of qualifications and proposals and, if selected to carry out the USTDA-financed activity, must continue to meet such requirements throughout the duration of the USTDA-financed activity. All goods and services to be provided by the selected firm shall have their nationality, source and origin in the U.S. or host country. The U.S. firm may use subcontractors from the host country for up to 20 percent of the USTDA grant amount. Details of USTDA's nationality requirements and mandatory contract clauses are also included in the RFP.

Interested U.S. firms should submit their Proposal in English directly to the Grantee by **4:00 PM, LOCAL TIME, on JUNE 13, 2012**, at the above address. Evaluation criteria for the Proposal are included in the RFP. Price will not be a factor in contractor selection, and therefore, cost proposals should NOT be submitted. The Grantee reserves the right to reject any and/or all Proposals. The Grantee also reserves the right to contract with the selected firm for subsequent work related to the project. The Grantee is not bound to pay for any costs associated with the preparation and submission of Proposals.

## **ANNEX 2**

***FINAL REPORT***

**DEFINITIONAL MISSION TO TURKEY:  
INFORMATION AND COMMUNICATIONS  
TECHNOLOGY (ICT) PROJECTS**

USTDA CO2010810013



This report was funded by the U.S. Trade and Development Agency (USTDA), an agency of the U.S. Government. The opinions, findings, conclusions, or recommendations expressed in this document are those of the author(s) and do not necessarily represent the official position or policies of USTDA. USTDA makes no representation about, nor does it accept responsibility for, the accuracy or completeness of the information contained in this report.

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## **The U.S. Trade and Development Agency**

The U.S. Trade and Development Agency (USTDA) advances economic development and U.S. commercial interests in developing and middle income countries. The agency funds various forms of technical assistance, feasibility studies, training, orientation visits and business workshops that support the development of a modern infrastructure and a fair and open trading environment.

USTDA's strategic use of foreign assistance funds to support sound investment policy and decision-making in host countries creates an enabling environment for trade, investment and sustainable economic development. Operating at the nexus of foreign policy and commerce, USTDA is uniquely positioned to work with U.S. firms and host countries in achieving the agency's trade and development goals. In carrying out its mission, USTDA gives emphasis to economic sectors that may benefit from U.S. exports of goods and services.

**Mailing and Delivery Address:** 1000 Wilson Boulevard, Suite 1600, Arlington, VA 22209-3901  
**Phone:** 703-875-4357 • **Fax:** 703-875-4009 • **Web site:** [www.ustda.gov](http://www.ustda.gov) • **Email:** [info@ustda.gov](mailto:info@ustda.gov)

## SECTION I. GENERAL INTRODUCTION

### 1. BACKGROUND ON THE DEFINITIONAL MISSION

The present Definitional Mission (DM) sought to identify opportunities for greater U.S. involvement in the ICT sector in Turkey. The general objectives of the DM were as follows:

- To conduct in-depth research into the Turkish ICT sector, with the aim of identifying specific project opportunities, as well as developing relevant and current information on activities in the sector, principal actors and stakeholders, interested U.S.-based parties, and other resources to support the subsequent DM in-country activities;
- To assess and define ICT sector projects (feasibility studies, technical assistance or trade capacity building activities) which are regarded as viable options for USTDA consideration, which will both benefit the host country (e.g., through deployment of new and/or more cost-effective infrastructure, technologies and services; ICT sector resource capacity-building; strengthening of sector regulation and oversight, promotion of public-private partnerships in ICT), and offer potential for increased U.S. exports of ICT-related goods and services.

The USTDA Solicitation for the DM described a number of “areas of opportunity” to be followed up and assessed in the course of the DM, including the following:

- e-Government initiatives
- Technology parks
- ICT in healthcare
- Wireless networking
- Resource management / SCADA systems for municipal utilities

At the same time, it was understood that yet other opportunities to be assessed by the DM might be identified prior to the respective in-country portions of the mission, or might come to light in the course of the DM itself. In all cases, the DM was tasked with evaluating the technical, financial and economic viability of the corresponding project possibilities, and to quantify the potential for exports of U.S. goods and services to Turkey.

The DM Contractor traveled to Turkey for a period of twelve business days (March 27 through April 13 2011) and conducted interviews with a wide range of public- and private-sector entities. Additionally, the DM Contractor liaised with the Commercial Section of the U.S. Embassy in Ankara. An overview of the meetings held is contained in Section III of this Report, and a general contact list may be found in Section IV. As a result of these activities, one project opportunity was identified which, in the opinion of the DM Contractor, can be recommended for USTDA funding support. The opportunity in question is a Technical Assistance to the Office of the Chief Information Officer (CIO) of Greater Istanbul Municipality (IBB), in the area of planning the implementation of a consolidated municipal Technology Center. (See Section II of this Report for a full description, as well as the proposed Terms of Reference and budget for the proposed assistance.)

The next section provides background on Turkey and the ICT and telecom sectors of the country.

## 2. COUNTRY OVERVIEW

Turkey is strategically positioned at the crossroads of Europe, Asia and the Middle East. A leading member of NATO and generally a pillar of stability in a volatile region, Turkey is a key U.S. ally, a fact underscored by President Obama's visit to the country in April 2009. Turkey's major cities, particularly Istanbul, are important centers of commercial activity, and indeed numerous U.S. companies use Turkey as a base for their Middle Eastern operations. Turkey is also seeking greater rapprochement with Europe and membership in the European Union, although the current economic crisis has diminished the EU's appetite for enlargement. Nonetheless, Turkey has adopted many EU directives and regulations in anticipation of eventual EU accession.

Turkey's dynamic economy is a complex mix of modern industry and commerce along with a traditional agriculture sector that still accounts for about 30% of employment. The private sector is strong and rapidly growing, and although the state remains a participant in basic industry, banking, transport and communication, this role has been diminishing as Turkey's privatization program continues. Textiles and clothing make up the largest industrial sector, accounting for one-third of industrial employment; the sector faces strong international competition with the end of the global quota system. However, other sectors, notably the automotive and electronics industries, are becoming increasingly important. Due largely to global economic conditions, GDP contracted by about 6% in 2009, but there was a strong trend toward recovery in 2010 as domestic demand strengthened. Also, further economic and judicial reforms and prospective EU membership are expected to continue boosting foreign direct investment.

Turkey: Key Macro Indicators	
Population (mid-2009)	76.8 million
GDP at PPP (est. 2009)	\$874.5 billion
GDP at official exchange rate (est. 2009)	\$615.3 billion
GDP per capita at PPP (est. 2009)	US\$11,400
Unemployment rate (official est. 2009)	14.5%

The U.S. is Turkey's sixth largest trading partner, and U.S. exports to Turkey have increased steadily over the past decade, exceeding US\$10 billion in 2008. In the ICT area, Turkey's overall imports exceed exports by at least a factor of 3:1. U.S. direct exports of telecommunications equipment and services to Turkey in 2009 were estimated at US\$550 million.

Despite strong economic gains over the past decade, due largely to renewed investor interest in emerging markets, IMF backing, and tighter fiscal policy, Turkey's economy has been burdened by a high current account deficit and high external debt. Perhaps the greatest challenge (and also the largest opportunity) is the necessity to create adequate conditions for increased private investment and improved competitiveness, thus ensuring sustainable growth.

## 3. ICT AND TELECOM SECTORS

The DM Solicitation noted that overall turnover in the sector in 2010 was expected to surpass

US\$26 billion and to account for 4% of GDP; some observers cite even higher projections. The ICT sector can be provisionally divided into IT and telecommunications sub-sectors, although the trend toward convergence is increasingly blurring the distinction between the two.

**IT sub-sector.** Though less than half the size of the telecommunications market, Turkey's IT sub-sector is one of the fastest growing in the world. It continues to be dominated by hardware sales, with services playing a secondary but steadily increasing role. A significant driver of growth is provided by e-Transformation Turkey (begun in 2003 under the aegis of the Directorate General for Information Society of the State Planning Organization) and e-government initiatives, many of which are being executed as part of the process of EU harmonization. These initiatives are expected to engender large e-government projects with substantial amounts of public funding, as well as to foster Internet usage and content creation. Additionally, the *Law on Electronic Signatures*, enacted in 2004, and especially the recently adopted *Law on Electronic Communications*, establish a solid legal framework for e-government and e-commerce applications.

In the private sector, the number of IT companies is reported to exceed 4,500; of these, the great majority are concentrated in Istanbul, Ankara and Izmir. The ICT labor force (including telecommunications) is estimated at 400,000. The Government of Turkey (GOT) has taken steps to promote the domestic IT industry, in particular through the establishment of high-tech parks known as Technology Development Zones. IT firms that locate in these facilities benefit from tax and investment incentives, such as exemption from corporate taxes on revenues from software development and R&D, as well as exemption from wage taxes, until the end of 2013.

Turkey: Key ICT Indicators	Value
Fixed-line subscribers (end 2009)	16.5 million
Fixed-line teledensity (end 2009)	23%
Mobile subscribers (end 2009)	62.8 million
Internet users (est. 2009)	~30 million
Broadband Internet access lines (end 2009)	6.4 million
Percentage of households with b/b access (2009)	39.6%
Number of private ICT companies (2009)	> 4500
ICT sector annual turnover (est. 2009)	US\$21 billion
ICT labor force (est. 2009)	~ 400,000

**Telecommunications sub-sector.** Partly due to government initiatives aimed at further liberalization and privatization, this sector has shown vigorous growth in the past few years. Further impetus to domestic growth is provided by rising disposable income and increasing take-up of advanced telecom services, as well as the favorable demographics of the country. Nonetheless, Turkey has relatively low levels of fixed-line, Internet and broadband penetration, so that future growth potential is substantial. The fixed-line sector remains notably underdeveloped, with various factors such as lack of viable fixed-line alternatives hindering its evolution. In addition, Turkey has been slow to formally authorize the introduction of new technologies; three 3G mobile licenses were awarded in 2008, while tenders for WiMAX licenses have been subject to repeated postponements (according to the latest information, they are expected to take place within 2011).

Mobile services, on the other hand, currently enjoy more than 82% penetration, and are projected

to exceed 100% in next few years. Correspondingly, operators will increasingly rely on advanced services to drive their revenues. This, in conjunction with intensifying levels of competition, will stimulate the deployment of new technology platforms, including 3G, WiMAX, IPTV and others.

The Internet market in Turkey is fully liberalized, and according to industry reports there were around 100 commercial Internet service providers (ISPs) in late 2009; however, the ten largest ISPs, including Superonline, Sabanci Telekom, Koçnet and IsNet, accounted for around 95% of all Internet subscriptions. This is not surprising, in that many of these ISPs are backed by powerful corporate interests. For example, Koçnet is owned by the Koç Group, the largest conglomerate in Turkey, while Superonline is similarly controlled by the Çurukova Group, and IsNet is affiliated with a major bank. With such backing, these ISPs are poised to play a larger role in the liberalized telecommunications sector; some of them are known to be actively seeking WiMAX licenses.

#### 4. KEY SECTOR INSTITUTIONS AND ORGANIZATIONS

Key sector institutions and organizations believed to be particularly relevant to the DM are briefly enumerated below.

- **The Ministry of Transport and Communications** (Ulaştırma Bakanlığı, known as Ubak) is the GOT ministry with formal oversight over the transport and ICT sectors, as well as postal services. ICT-related affairs are handled by the Directorate General for Communications within the Ministry. In ICT, the Ministry is mainly concerned with setting broad policy guidelines (for example, the numbers and types of telecom licenses to be issued) and developmental goals such as deployment and usage targets for the GOT e-government portal. Implementation of these measures is assigned to the State Planning Organization (for ICT) and the Information and Communication Technologies Authority (mostly for telecom, but also some aspects of ICT); see below for more details.
- **Directorate General for Information Society** (Bilgi Toplumu Dairesi Başkanlığı, BTDB) **of the State Planning Organization.** The BTDB has overall responsibility for coordination of the e-Transformation Turkey project, with participation of various Ministry-level bodies and representatives of other governmental and non-governmental organizations. In this capacity, the BTDB has developed the *Information Society Strategy 2006–2010*, which analyzes the current ICT situation in the public and private sectors and among the citizenry, and sets out a range of targets together with a detailed Action Plan. In the Action Plan, significant emphasis is placed on modernization in the public administration (e.g., common infrastructure and technology, such as an e-government portal; more efficient and secure data exchange and management; improved electronic communication and document management; expansion of electronic public procurement).
- **The Information and Communication Technologies Authority** (Bilgi Teknolojileri ve İletişim Kurumu, BTK), is a financially and administratively autonomous agency that was established by the 2000 *Telecommunications Law*. Its powers were confirmed and strengthened by the 2008 *Law on Electronic Communications*. BTK currently employs 128 people engaged directly in regulatory work; according to EU observers, its administrative capacity is now regarded as generally satisfactory. It regulates a wide range of activities in the ICT sector,

including implementation of policy, promotion of competition, monitoring of operator behavior and consumer protection. It also conducts license tenders and auctions, monitors spectrum usage, and approves tariffing schemes. According to the latest reports, BTK is expected to issue tenders for WiMAX licenses in late 2011; reportedly, neither Türk Telekom nor the major mobile operators will be allowed to bid.

- **The Turkish Informatics Association** (Türkiye Bilişim Derneği, TBD), a non-governmental, non-profit organization dedicated to the development of the Turkish ICT industry and the promotion of Turkish software and IT services, both domestically and in the global market. Organized in 1971, TBD claims a membership of 5,000, including many U.S.-based firms active in Turkey. The organization is headquartered in Ankara, with branches in Istanbul and other major Turkish cities. The current chairman is Turhan Menteş. TBD professes a strong social mission, namely to ensure that the citizenry reaps maximum benefit from ICT services, and is engaged in a number of social projects such as job placement for recent ICT graduates. Additionally, TBD actively monitors public-sector ICT policies and projects, and provides recommendations and input to government-sponsored ICT initiatives.

## Telecom Operators

The main fixed-line and mobile operators are:

- **Türk Telekom** (TT), Turkey's incumbent fixed-line operator, 100% state-owned until 2005. The company was partly privatized in that year; 55% of its shares were acquired by Oger Telekomünikasyon (a subsidiary of a Saudi consortium). State ownership was further reduced by a public offer in 2008. Despite the fact that its formal monopoly ended in 2004, TT continues to exercise strong dominance in fixed-line access, although 3G mobile is beginning to make inroads. Türk Telekom's core fixed-line business numbered 16.5 million subscribers at end 2009, a slight decrease from the previous year. As of early 2010, TT reported around 6.1 million ADSL accounts, representing over 97% of all ADSL subscribers and 91% of all broadband subscribers.
- **Turkcell**, a GSM operator launched in 1994 and granted a 25-year license in 1998. With a customer base of 35 million (corresponding to a 56% share of the mobile market), Turkcell is Europe's third largest mobile operator in terms of home-country customers. Its 15,000 base stations in Turkey cover virtually 100% of the country's territory. It also has operations or interests in Azerbaijan, Kazakhstan, Georgia, Moldova, the Ukraine and northern Cyprus. Turkcell was awarded a 3G license in 2008, and began rolling out 3G services in 2009; it reports that 3G-based mobile Internet services offer strong future prospects and will attract large numbers of current Internet users.
- **Vodafone Turkey**, formerly the privately owned Telsim, which was acquired by the Vodafone Group (U.K.) in 2005. Its subscriber base of 16 million and 25% market share makes it Turkey's second largest GSM mobile operator. It announced the launch of 3G services in late 2009.
- **AVEA**, in which Türk Telekom currently owns an 81.8% stake. It was founded in 2004 through the merger of two GSM operators, Aycell (at the time a Türk Telekom wholly owned subsidiary) and Aria (a Turkish-Italian joint venture). It claims a subscriber base of 12 million and a market share of 19%. AVEA also recently acquired a 3G license.

## U.S.-Based ICT Companies Active in Turkey

U.S.-based ICT companies with a well-established presence in Turkey include:

- **Cisco**, which is reported to dominate around 70% of the Local Area Networking market and an even higher percentage of the Wide Area Networking market in Turkey. Strategically, Turkey reportedly represents a key global priority and growth opportunity for Cisco. The company has undertaken a five-year, US\$275 million investment program in Turkey, including the creation of technology investment initiatives and support for Turkey's broadband and e-transformation agenda, with a focus on education, healthcare and SMEs. Cisco is a major supplier of networking hardware and solutions, and its presence in Turkey is strengthened through a number of strategic partnerships (e.g., with Probil, a systems integrator and provider of business solutions and consultancy). In May 2010, Cisco announced that it had secured a contract to supply a Next Generation Network (NGN) platform to Turkcell.
- **IBM**. IBM and its predecessors have been present in Turkey since 1935, and currently has some 2000 employees in the country; its country headquarters is located in Istanbul. IBM is a premier supplier of transaction processing software that is extensively used in data center applications. Additionally, IBM is reported to be keenly interested in developing smart systems and solutions for Turkish municipalities.
- **Microsoft**, which has had a direct presence in Turkey since 1993; Microsoft's Istanbul office is the company headquarters for the Middle East region. Like Cisco, Microsoft has been working extensively with public-sector institutions, notably the Ministries of Health and Foreign Affairs.
- **Intel**, which established its Istanbul office in 1997 and is active in number of educational initiatives; reportedly, the company works closely with the Ministry of National Education.
- **Motorola**, which has long been a supplier of hardware and solutions to Turkish telecom companies. Motorola currently has an eight-year contract to upgrade, extend and manage the Vodafone nationwide GSM network. Additionally, Motorola reports excellent sales prospects in Turkey for its TETRA digital trunked-radio platform, which is widely used by public safety agencies as well as transportation and utility companies to provide secure internal communications.
- **Oracle**, which has had a presence in Turkey since 1994, is reported to have 150 employees and to be actively marketing its E-Business Suite and Enterprise Resource Planning (ERP) solutions to large corporations and government institutions. Like IBM, Oracle is a major supplier of software used in data center applications.
- **Sun Microsystems** (recently acquired by Oracle), which has been present in Turkey since 1996, and currently employs 60 people at its Istanbul headquarters. Sun, which has a long-standing partnership with KoçSistem, a provider of IT services and business solutions, is reported to be actively marketing its E-Business Suite and Enterprise Resource Planning (ERP) solutions to large corporations and government institutions.

\* \* \*

The remainder of this report describes a particular project opportunity which the DM Contractor recommends as a viable candidate for USTDA support, namely a proposed Technical Assistance (TA) on behalf of the Office of the Chief Information Officer of Greater Istanbul Municipality (IBB CIO) in the area of planning the implementation of a consolidated municipal Technology Center.

## **SECTION II**

### **PROPOSED TECHNICAL ASSISTANCE ON BEHALF OF THE OFFICE OF THE CHIEF INFORMATION OFFICER OF GREATER ISTANBUL MUNICIPALITY (IBB CIO)**

## A. EXECUTIVE SUMMARY

In the course of the in-country portion of the DM (27 March to 13 April 2010), a series of meetings was conducted with representatives of the Office of the Chief Information Officer (CIO) of Greater Istanbul Municipality (IBB).<sup>1</sup> IBB CIO is seeking assistance with one particular high-priority project, namely the Technology Center Consolidation Project (henceforth the “Consolidation Project”). The objective is to consolidate a wide range and variety of Data Centers, Command and Control Centers and Call Centers (collectively, “Operations Centers”) that are currently operated and maintained by numerous municipal agencies into a common shared Technology Center. This consolidation, together with the concomitant unification, standardization and streamlining of the underlying systems, hardware and software, is expected to yield benefits on a number of levels, including the following:

- More rapid and efficient delivery of quality municipal services to the citizenry
- Economies in terms of premise space and utility consumption (in particular, the consolidated facility is planned to incorporate “smart building” and “green building” technology)
- More efficient utilization of resources, equipment and personnel
- Rationalization of current voice/data/video networking arrangements
- More effective coordination among municipal agencies
- Improved security
- More effective and better-targeted response to natural and man-made emergencies and disasters

Planning of the Consolidation Project has been entrusted to IBB CIO. IBB CIO has identified the Operations Centers to be consolidated, has assembled a certain amount of baseline information regarding the scope of their operations, hardware and software platforms, and so forth, and has formulated a set of high-level objectives for the Project, as well as a general framework project for phasing and timing. However, IBB CIO has never undertaken a migration/consolidation/unification project of this magnitude, complexity or criticality, and is seeking outside assistance with its planning and execution. The proposed Technical Assistance is aimed at providing IBB CIO with the expertise and support it requires to plan and execute this high-priority, “mission-critical” project.

The DM Contractor believes that the proposed TA is justified on the basis of its potential for exceptionally broad positive developmental impacts, both for the Greater Istanbul Municipality as a whole and for the citizenry at large. The Consolidation Project also offers strong opportunities for participation of U.S.-based suppliers of systems, equipment and services. Given the fact that the Consolidation Project is still in the planning stages, its U.S. export potential is difficult if not impossible to calculate directly, but can be estimated by “benchmarking” against similar initiatives in comparable environments. Based on the benchmarking exercise that was conducted, the export potential is estimated at not less than US\$25 million, and arguably as high as US\$35.4 million.

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<sup>1</sup> IBB is the Turkish abbreviation for İstanbul Büyükşehir Belediyesi (Greater Istanbul municipality).

A further consideration is that, as a large-scale, high-priority and high-visibility initiative, the Consolidation Project is virtually certain to attract the attention of foreign competition; a USTDA-funded TA will enhance the prospects for U.S. participation.

Accordingly, the DM Contractor believes that the proposed TA on behalf of IBB CIO represents a good use of USTDA resources, and makes a recommendation that it be funded at a total budget level of \$595,743, under the conditions set forth in the accompanying Terms of Reference.

## B. PROJECT DESCRIPTION

### 1. Background

In the course of the in-country portion of the DM (27 March to 13 April 2010), a series of meetings was conducted with representatives of the Office of the Chief Information Officer (CIO) of Greater Istanbul Municipality (IBB).<sup>2</sup> IBB CIO is seeking assistance with one particular high-priority project, namely the Technology Center Consolidation Project (henceforth the “Consolidation Project”). The objective is to consolidate a wide range and variety of Data Centers, Command and Control Centers and Call Centers (collectively, “Operations Centers”) that are currently operated and maintained by numerous municipal agencies into a common shared Technology Center. Consolidation, together with the concomitant unification, standardization and streamlining of the underlying systems, hardware and software, is expected to yield benefits on a number of levels, in particular:

- More rapid and efficient delivery of quality municipal services to the citizenry
- Economies in terms of premise space and utility consumption (in particular, the consolidated facility is planned to incorporate “smart building” and “green building” technology)
- More efficient utilization of resources, equipment and personnel
- Rationalization of current voice/data/video networking arrangements
- More effective coordination among municipal agencies
- Improved security
- More effective and better-targeted response to emergencies and disasters

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Additional information on IBB CIO and on the Consolidation Project follows. At this juncture, however, it should be noted that the full Project actually involves the construction of two separate facilities: 1) the Technology Center referred to above, which will house the infrastructure, systems and equipment of the consolidated Operations Centers; and 2) a Consolidated Municipal Building, planned to be a 60-story structure that will bring together the personnel of the affected municipal agencies under one roof. It is estimated that the building, once fully occupied, will accommodate 12,000–14,000 people. However, the main focus of the proposed ICT-oriented TA is the Technology Center. From an ICT standpoint, although the Consolidated Municipal Building represents a very large undertaking, the planning of its ICT infrastructure (mainly PCs and workstations) is straightforward and does not require the engagement of specialized

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<sup>2</sup> IBB is the Turkish abbreviation for İstanbul Büyükşehir Belediyesi (Greater Istanbul municipality).

outside expertise. Accordingly, the Municipal Building lies outside the scope of activity of the TA; however, it is of some relevance from the standpoint of estimating the U.S. export potential of the Consolidation Project.

## **2. IBB CIO Organization and Activities**

### *Overview*

The head of the IBB CIO organization is Mr. Hakkı Tok, the Chief Information Officer. In total, the Office of the CIO employs a staff of around 300, of whom the great majority are degreed engineering and technical personnel. This represents a significant concentration of ICT expertise. Although the organization does not engage primarily in software development, Mr. Tok noted that, even in this area, the Office's resources are equivalent to those of a midsized private-sector software company.

Administratively, IBB CIO consists of three units under his direction, namely:

- Directorate of Information Technology (Director: Mr. Harun Kaya)
- Directorate of Geographic Information Systems (Director: Mr. Hamdi Çinal)
- Directorate of Electronic Systems and Telecommunications (Director: Mr. Vedat Yurt)

The Directorate of Information Technology is responsible for what might be termed traditional IT functions and operations: computing, database development and maintenance, hardware and software, and local-area networking.

The Directorate of Geographic Information Systems is concerned with data related to the geographical and topographical features of the municipality, including a wide range of mapping and visualization operations, documentation of municipal infrastructures and patterns of land use, as well as maintenance and management of the corresponding databases and development of applications to support the necessary integrations.

The Directorate of Electronic Systems and Telecommunications deals with an array of communications infrastructure, systems and services, including video surveillance, smart building systems, and wireline and wireless communications systems. In particular, this Directorate is also responsible for the planning, implementation and operation of the municipality's fiber-optic network infrastructure, which links a large number of municipal buildings and structures throughout the city.

## **3. Current Situation of Greater Istanbul Municipality**

### *General*

Istanbul has grown enormously over the past few decades, the number of inhabitants rising from some 4 million in the 1980s to between 13 and 15 million today –representing around one-fifth of Turkey's entire population. The municipality has correspondingly increased in extent and area, currently spanning some 100 km (60 miles) in the east-west

direction. Entire neighborhoods have been created in a matter of months; to give a concrete example, the Atatürk Olympic Stadium, inaugurated in late 2001, was constructed on then-vacant land beyond the city limits, and as recently as five years ago it was still surrounded by open fields. Currently, it is ringed by new tower blocks and condominiums.

This rapid, often uncontrolled, and in some instances questionably legal expansion has severely exacerbated a number of pre-existing problems, most notably as regards transportation and infrastructure. The increasingly nightmarish traffic jams in the city center have prompted the construction of new motorways and expansion of the subway and ferry services, as well as the creation of a new metrobus service to help bring the suburbs closer. A third bridge is to be built over the Bosphorus, and a third airport (in addition to Atatürk Airport on the European side and Sabiha Gökçen on the Asia side) is in the planning stages.

The situation poses serious challenges for the delivery of essential services within Greater Istanbul Municipality, and for the operation and management of the various infrastructures that support the delivery of these services. Examples include transportation and vehicular traffic control and monitoring systems; infrastructures for clean-water, and wastewater, electricity and gas; and emergency response facilities such as police, fire and first aid.

A further issue which is of increasing concern to the municipal authorities is disaster preparedness, particularly since Istanbul lies in a seismically active zone. Istanbul and nearby cities suffered a major earthquake in 1999, which killed 18,000 people and left thousands homeless. A study conducted in 2007 concluded that a magnitude 7.5 earthquake in Istanbul would cause up to 40,000 fatalities and 120,000 injuries. The study further noted that these estimates were almost ten times higher than those derived from predictions of similar-sized events in San Francisco or Tokyo. A further concern is that a poorly coordinated response to even a relatively minor earthquake could have a serious and prolonged negative impact on Turkey's tourism industry.

### ***Municipal ICT Operations and Need for Consolidation***

As previously indicated, IBB CIO believes that both the delivery of municipal services and the general state of Istanbul's disaster preparedness could be greatly improved through extensive consolidation of existing Operations Centers. At present, each municipal service (police, fire, transportation, electricity, gas, water/wastewater, etc.) runs its own Operations Center(s), and these employ a variety of often incompatible and non-interoperable hardware and software platforms. It is of particular concern, furthermore, that such incompatibilities, and the communication and data exchange problems which they create, may lessen the effectiveness of the municipal authority's response to emergency and disaster situations.

A brief enumeration of the existing Operations Centers follows; a full listing is given in the appendixes to the Terms of Reference for the TA (pp. 42–46).<sup>3</sup>

- Data Centers (DCs): six major DCs, collectively accounting for over 1000 separate equipment items (servers, storage devices, switches, etc.). DCs employ a variety of systems, hardware and software; U.S.-based vendors IBM, Cisco, Oracle, Sun, Hewlett-Packard, Microsoft, NetAll, and IMC are all represented.
- Command and Control Centers (CCCs): 11 major CCCs (e.g., traffic, environmental protection, rail systems, tunnels), typically equipped with extensive video infrastructure (so-called “video walls”). Various platforms employed; Motorola trunked radio systems extensively deployed.
- Call Centers (CCs): 23 CCs operated by IBB units, plus another 18 run by IBB subsidiaries; the IBB CCs are staffed by a total of some 123 agents during daytime hours (not all are staffed at night), while the subsidiary CCs engage an additional 84 agents during daytime hours. CCs range in size from large facilities handling upwards of 100,000 calls a month to small operations staffed by one or two individuals. Platforms range from basic telephony to advanced IP-based call-handling systems with Customer Relationship Management (CRM) capability; Cisco is the leading supplier of the latter.

In addition, the municipality owns and operates an extensive data network, whose physical transmission infrastructure consists principally of fiber-optic cables, supplemented as necessary by circuits from major commercial providers such as Türk Telekom. The network is said to encompass all the above Operations Centers, as well as other major municipal buildings and facilities. Fiber-optic facilities have inherent advantages, in particular the ability to support high bandwidth (when equipped with appropriate transmission hardware) as well as relative ease of reconfiguration; since they are owned by the municipality, moreover, the associated ongoing operating expenses are relatively modest. At the same time, it is reported that the network has not developed in systematically planned fashion, but rather in response to immediate requirements and extraneous circumstances (such as opportunities to install cable in conjunction with other infrastructure projects).

#### **4. Technology Center Consolidation Project**

##### ***General Objectives***

IBB CIO has articulated the following general objectives for the design, construction and operation of the Technology Center.

- 7 x 24 x 365 operation
- Use of smart-building and green-building technology to the maximum extent possible
- Redundant power supply, with redundant access from two separate substations; additionally, sufficient backup/reserve/alternative energy sources to ensure uninterrupted operation for an extended period

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<sup>3</sup> A Turkish-language document produced by IBB CIO, titled *IBB Teknoloji Merkezi Projesi* (undated, 2011?), provides a general overview of the existing Operations Centers.

- Availability of a range of communication platforms and technologies, e.g., fiber optics, microwave, VSAT, 3G/4G
- Highest degree of physical, operational and network security
- High degree of disaster resistance and survivability, particularly in terms of earthquake-proofing
- Incorporation of radio and TV broadcasting facilities in order to provide information to the public regarding routine, emergency and disaster conditions

In terms of the Consolidation Project proper, IBB CIO has established the general objectives listed below for the various project areas. As can be seen, significant benefits from consolidation are anticipated in terms of more widespread and optimal usage of common platforms, systems and data sources. Additional benefits are expected in terms of robustness and immunity to disasters; more effective resource utilization; and improved emergency response coordination.

#### ***Data Center Consolidation***

- Greater usage of common platforms, for both stored and operational data (e.g., SCADA), in order to enable greater data integration
- Leveraging of existing fiber-optic network facilities to promote consolidation
- Greater security and stability of consolidated systems
- Management and control systems to be operated from a single location
- Savings in terms of space and equipment
- Reduction of energy consumption
- More rational staff allocation
- Immunity to any conceivable natural or man-made disaster
- High-capacity, robust, “carrier-grade” network infrastructure
- Fully redundant, hot-standby ring infrastructure within the facility

#### ***Command and Control Center Consolidation***

- Greater reliance on common data sources and platforms
- Optimization of platforms to the maximum extent possible
- Ease of incorporation of additional future CCCs
- Improved coordination among emergency response resources of various municipal departments in the event of emergencies or disasters (e.g., Emergency Services, Police, Fire, Public Security, Highway Maintenance, Traffic Control, Electricity, Gas, Water/Wastewater, )

#### ***Call Center Consolidation***

- Greater reliance on common platforms and systems, in particular Customer Relationship Management (CRM) systems
- Savings in terms of space and equipment
- Reduction of energy consumption
- More rational staff allocation

- Better coordination between departments, ensuring more responsive and better-targeted service delivery to the citizenry

### ***Data Network Rationalization***

The impact of the Consolidation Project on the existing network infrastructure has not been examined in great detail, but it is apparent that the Project will afford an opportunity to re-dimension and rationalize this infrastructure. It is also apparent that the Project will impose new requirements on the consolidated facilities, in terms of network performance, robustness and resilience in the event of natural or man-made emergencies or disasters. While the details have yet to be clarified, there appears to be general agreement within IBB CIO that “carrier-grade” core networking infrastructure will be needed in the new environment.

### ***Project Scope and Phasing***

IBB CIO envisages that the Consolidation Project will be executed in three main phases, as follows:

- Phase 1: Physical migration of existing systems
- Phase 2: Virtualization (primarily server virtualization; presumably to include a degree of storage virtualization as well)
- Phase 3: Migration to cloud computing

For purposes of the present TA, Phase 3 is excluded from consideration.<sup>4</sup>

The Consolidation Project will also involve the establishment of a Disaster Recovery Center, which may be housed in one of the premises to be vacated as a result of consolidation. Provision will need to be made for the creation of high-performance, highly robust and available networking infrastructure linking the Technology Center and the Disaster Recovery Center. However, these issues are outside the scope of the TA.

## **C. DEVELOPMENTAL IMPACT**

### **Primary Developmental Benefits**

Given that the Consolidation Project involves virtually every public-sector municipal agency in Istanbul, and the manner in which every such agency interacts with and delivers services to the citizenry, the anticipated developmental impact is exceptionally broad. The consolidated facilities that are put in place as a result of the Project will allow these public-sector entities to share resources and coordinate processes and activities more efficiently, to deliver essential municipal services more effectively, and to ensure a more coordinated, timely and robust response to natural or man-made emergencies and disasters. It will also promote better access on the part of the residents of Istanbul to the corresponding services and resources.

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<sup>4</sup> It is conceivable that Phase 3 could be the subject of a future Feasibility Study.

Particular developmental benefits can be enumerated as follows:

- **Infrastructure:** Creation of new and more efficient ICT infrastructure is a fundamental aspect of the Consolidation Project. It is anticipated that this ICT infrastructure can be consolidated in such a way as to make effective use of newer, higher-performance and more cost-effective solutions, such as server virtualization. The unified ICT infrastructure resulting from the consolidation will partly or completely eliminate the current problems associated with disparate, physically separate and non-interoperable data processing, Command and Control Center and Call Center platforms. Secondary infrastructure benefits include the construction of new municipal facilities based on smart- and green-building principles; the implementation of more robust and reliable “carrier-grade” municipal networking; and, finally, the creation of a Disaster Recovery Center capable of ensuring adequate response and continuity of service delivery in the event of natural or man-made disasters.
- **Human Capacity Building:** In terms of the number of people involved, the initial direct capacity-building impact of the proposed TA will probably be confined to the staff of IBB CIO, plus the key ICT liaison personnel at the participating institutions – as best as can be currently estimated, perhaps 500 people would be directly affected. The capacity-building impact would primarily concern the development of skills in planning, coordinating and executing a highly complex ICT-related activity in which a large number of previously disparate systems and processes are brought together under one roof, consolidated, systematized and optimized. Less directly and longer term, the Consolidation Project is expected to enable streamlining and re-engineering of a range of existing institutional processes, with positive effects in terms of improving the capability of the municipal employees involved to respond effectively and efficiently to emergency and disaster situations.
- **Technology Transfer:** Overall, the Turkish ICT environment is already relatively sophisticated, and the Consolidation Project is primarily an exercise in consolidation and rationalization of existing technology and platforms, rather than deployment of entirely new ones. In all likelihood, the ICT infrastructure that is deployed at in conjunction with the Consolidation Project, while being state-of-the-art, will at the same time be in general use elsewhere in the world. It appears that the principal benefits that will accrue will be in the areas of increased efficiency, reliability and flexibility of service delivery, as well as reduced costs of operation, on the one hand, and greater ease of access to and use of municipal services on the part of the citizenry.
- **Market Oriented Reforms:** As a technical intervention on behalf of a public-sector municipal agency in Turkey, the proposed TA is not expected to contribute significantly to market-oriented reform in the customary sense. At the same time, in addition to yielding the other developmental benefits enumerated above, the Consolidation Project could be construed as productive of such reform if the concept of “market-oriented reforms” is viewed as including more efficient and effective delivery of municipal services to the citizenry, as well as enhanced efficiency, responsiveness, transparency and accountability of the public-sector apparatus of the municipality.

#### D. PROJECT SPONSOR’S CAPABILITY AND COMMITMENT

The strong commitment of IBB CIO to the goal of consolidating the municipality’s

currently disparate ICT resources is not in doubt. The DM Contractor had a number of meetings with the IBB Chief Information Officer, Mr. Hakkı Tok, who repeatedly affirmed that the Consolidation Project represented at top priority for IBB CIO. Furthermore, the DM Contractor was informed that the project has been approved by the municipality, and land has been allocated for construction of the Consolidated Building and the Technology Center.

As previously noted, IBB CIO has a staff of some 300 professionals, the majority of whom are well-qualified, degreed engineers. It appears certain that IBB CIO has the requisite capability to operate and maintain the consolidated technology facility and associated telecommunications infrastructure once the Consolidation Project has been completed. Where IBB CIO requires outside assistance – and this is the area which the proposed Technical Assistance addresses – is with the planning of the consolidation process. IBB CIO has not previously attempted a consolidation process of this magnitude; furthermore, detailed and systematic planning is essential to ensuring a successful outcome. In the first place, the sequence of implementation of the consolidation process involves a number of important trade-offs. For example, as a general rule it is desirable to relocate the largest operations first, in order to make productive use of the consolidated facility as promptly as possible. At the same time, however, the largest operations may also be the most complex and prone to unforeseen problems, so that they may not be optimal from a “learning-curve” perspective. Second, it should be borne in mind that the delivery of critical municipal services must be maintained while the consolidation process – particularly the physical relocation of equipment and personnel to the new premises – is taking place. Again, this issue will require careful planning, including the weighing of various options and alternatives and assessment of upside advantages and downside risks. In the DM Contractor’s judgment, the prospects for a successful outcome of the consolidation process will be significantly enhanced if IBB CIO can draw upon the expertise and experience of a U.S.-based firm that is suitably qualified to provide the proposed Technical Assistance.

The only caveat which the DM Contractor would note is that, although IBB CIO evidently commands a great deal of respect as the primary source of ICT expertise for the municipality, it does not have the power to compel other municipal institutions to cooperate with the consolidation process or to participate in shared-facilities arrangements; essentially, it must rely on persuasion and demonstration of the expected benefits, and lead by example. Furthermore, even if IBB CIO did have such power, any initiative that involves a large number of disparate and previously non-cooperating public-sector entities is almost certain to encounter institutional difficulties, some of which may be difficult or impossible to foresee or assess. However, the DM Contractor believes that IBB CIO’s leverage could be significantly enhanced in this respect if it was able to quantify the savings that would accrue to the municipality from the consolidation process; at present, IBB CIO does not have a “baseline” of current costs across all the potentially affected municipal agencies. Accordingly, the DM Contractor has included an activity in the proposed Terms of Reference (part of Task 7; see Annex I) which aims to provide IBB CIO with a methodology for developing a baseline estimate of current costs.

## **ANNEX 3**



**U.S. TRADE AND DEVELOPMENT AGENCY  
Arlington, VA 22209-2131**

**NATIONALITY, SOURCE, AND ORIGIN REQUIREMENTS**

The purpose of USTDA's nationality, source, and origin requirements is to assure the maximum practicable participation of American contractors, technology, equipment and materials in the prefeasibility, feasibility, and implementation stages of a project.

**USTDA STANDARD RULE (GRANT AGREEMENT STANDARD LANGUAGE):**

Except as USTDA may otherwise agree, each of the following provisions shall apply to the delivery of goods and services funded by USTDA under this Grant Agreement: (a) for professional services, the Contractor must be either a U.S. firm or U.S. individual; (b) the Contractor may use U.S. subcontractors without limitation, but the use of subcontractors from host country may not exceed twenty percent (20%) of the USTDA Grant amount and may only be used for specific services from the Terms of Reference identified in the subcontract; (c) employees of U.S. Contractor or U.S. subcontractor firms responsible for professional services shall be U.S. citizens or non-U.S. citizens lawfully admitted for permanent residence in the U.S.; (d) goods purchased for implementation of the Study and associated delivery services (e.g., international transportation and insurance) must have their nationality, source and origin in the United States; and (e) goods and services incidental to Study support (e.g., local lodging, food, and transportation) in host country are not subject to the above restrictions. USTDA will make available further details concerning these standards of eligibility upon request.

**NATIONALITY:**

1) Rule

Except as USTDA may otherwise agree, the Contractor for USTDA funded activities must be either a U.S. firm or a U.S. individual. Prime contractors may utilize U.S.

subcontractors without limitation, but the use of host country subcontractors is limited to 20% of the USTDA grant amount.

## 2) Application

Accordingly, only a U.S. firm or U.S. individual may submit proposals on USTDA funded activities. Although those proposals may include subcontracting arrangements with host country firms or individuals for up to 20% of the USTDA grant amount, they may not include subcontracts with third country entities. U.S. firms submitting proposals must ensure that the professional services funded by the USTDA grant, to the extent not subcontracted to host country entities, are supplied by employees of the firm or employees of U.S. subcontractor firms who are U.S. individuals.

Interested U.S. firms and consultants who submit proposals must meet USTDA nationality requirements as of the due date for the submission of proposals and, if selected, must continue to meet such requirements throughout the duration of the USTDA-financed activity. These nationality provisions apply to whatever portion of the Terms of Reference is funded with the USTDA grant.

## 3) Definitions

A "U.S. individual" is (a) a U.S. citizen, or (b) a non-U.S. citizen lawfully admitted for permanent residence in the U.S. (a green card holder).

A "U.S. firm" is a privately owned firm which is incorporated in the U.S., with its principal place of business in the U.S., and which is either (a) more than 50% owned by U.S. individuals, or (b) has been incorporated in the U.S. for more than three (3) years prior to the issuance date of the request for proposals; has performed similar services in the U.S. for that three (3) year period; employs U.S. citizens in more than half of its permanent full-time positions in the U.S.; and has the existing capability in the U.S. to perform the work in question.

A partnership, organized in the U.S. with its principal place of business in the U.S., may also qualify as a "U.S. firm" as would a joint venture organized or incorporated in the United States consisting entirely of U.S. firms and/or U.S. individuals.

A nonprofit organization, such as an educational institution, foundation, or association may also qualify as a "U.S. firm" if it is incorporated in the United States and managed by a governing body, a majority of whose members are U.S. individuals.

## **SOURCE AND ORIGIN:**

### 1) Rule

In addition to the nationality requirement stated above, any goods (e.g., equipment and materials) and services related to their shipment (e.g., international transportation and insurance) funded under the USTDA Grant Agreement must have their source and origin in the United States, unless USTDA otherwise agrees. However, necessary purchases of goods and project support services which are unavailable from a U.S. source (e.g., local food, housing and transportation) are eligible without specific USTDA approval.

### 2) Application

Accordingly, the prime contractor must be able to demonstrate that all goods and services purchased in the host country to carry out the Terms of Reference for a USTDA Grant Agreement that were not of U.S. source and origin were unavailable in the United States.

### 3) Definitions

“Source” means the country from which shipment is made.

"Origin" means the place of production, through manufacturing, assembly or otherwise.

*Questions regarding these nationality, source and origin requirements may be addressed to the USTDA Office of General Counsel.*

## **ANNEX 4**

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## GRANT AGREEMENT

This Grant Agreement is entered into between the Government of the United States of America, acting through the U.S. Trade and Development Agency ("USTDA") and the Istanbul Metropolitan Municipality ("Grantee"). USTDA agrees to provide the Grantee under the terms of this Agreement US\$595,743 ("USTDA Grant") to fund the cost of goods and services required for Technical Assistance (TA) on the proposed Consolidated Technology Center ("Project") in Turkey ("Host Country").

### 1. USTDA Funding

The funding to be provided under this Grant Agreement shall be used to fund the costs of a contract between the Grantee and the U.S. firm selected by the Grantee ("Contractor") under which the Contractor will perform the TA ("Contract"). Payment to the Contractor will be made directly by USTDA on behalf of the Grantee with the USTDA Grant funds provided under this Grant Agreement.

### 2. Terms of Reference

The Terms of Reference for the TA ("Terms of Reference") are attached as Annex I and are hereby made a part of this Grant Agreement. The TA will examine the technical, financial, environmental, and other critical aspects of the proposed Project. The Terms of Reference for the TA shall also be included in the Contract.

### 3. Standards of Conduct

USTDA and the Grantee recognize the existence of standards of conduct for public officials, and commercial entities, in their respective countries. The parties to this Grant Agreement and the Contractor shall observe these standards, which include not accepting payment of money or anything of value, directly or indirectly, from any person for the purpose of illegally or improperly inducing anyone to take any action favorable to any party in connection with the TA.

### 4. Grantee Responsibilities

The Grantee shall undertake its best efforts to provide reasonable support for the Contractor, such as local transportation, office space, and secretarial support.

*[Handwritten signatures and initials]*

## 5. USTDA as Financier

### (A) USTDA Approval of Competitive Selection Procedures

Selection of the U.S. Contractor shall be carried out by the Grantee according to its established procedures for the competitive selection of contractors with advance notice of the procurement published online through *Federal Business Opportunities* ([www.fedbizopps.gov](http://www.fedbizopps.gov)). Upon request, the Grantee will submit these contracting procedures and related documents to USTDA for information and/or approval.

### (B) USTDA Approval of Contractor Selection

The Grantee shall notify USTDA at the address of record set forth in Article 17 below upon selection of the Contractor to perform the TA. Upon approval of this selection by USTDA, the Grantee and the Contractor shall then enter into a contract for performance of the TA. The Grantee shall notify in writing the U.S. firms that submitted unsuccessful proposals to perform the TA that they were not selected.

### (C) USTDA Approval of Contract Between Grantee and Contractor

The Grantee and the Contractor shall enter into a contract for performance of the TA. This contract, and any amendments thereto, including assignments and changes in the Terms of Reference, must be approved by USTDA in writing. To expedite this approval, the Grantee (or the Contractor on the Grantee's behalf) shall transmit to USTDA, at the address set forth in Article 17 below, a photocopy of an English language version of the signed contract or a final negotiated draft version of the contract.

### (D) USTDA Not a Party to the Contract

It is understood by the parties that USTDA has reserved certain rights such as, but not limited to, the right to approve the terms of the contract and any amendments thereto, including assignments, the selection of all contractors, the Terms of Reference, the Final Report, and any and all documents related to any contract funded under the Grant Agreement. The parties hereto further understand and agree that USTDA, in reserving any or all of the foregoing approval rights, has acted solely as a financing entity to assure the proper use of United States Government funds, and that any decision by USTDA to exercise or refrain from exercising these approval rights shall be made as a financier in the course of funding the TA and shall not be construed as making USTDA a party to the contract. The parties hereto understand and agree that USTDA may, from time to time, exercise the foregoing approval rights, or discuss matters related to these rights and the Project with the parties to the contract or any subcontract, jointly or separately, without thereby incurring any responsibility or liability to such parties. Any approval or failure to approve by USTDA shall not bar the Grantee or USTDA from asserting any right they might have against the

    
Annex I-2

Contractor, or relieve the Contractor of any liability which the Contractor might otherwise have to the Grantee or USTDA.

**(E) Grant Agreement Controlling**

Regardless of USTDA approval, the rights and obligations of any party to the contract or subcontract thereunder must be consistent with this Grant Agreement. In the event of any inconsistency between the Grant Agreement and any contract or subcontract funded by the Grant Agreement, the Grant Agreement shall be controlling.

**6. Disbursement Procedures**

**(A) USTDA Approval of Contract Required**

USTDA will make disbursements of Grant funds directly to the Contractor only after USTDA approves the Grantee's contract with the Contractor.

**(B) Contractor Invoice Requirements**

The Grantee should request disbursement of funds by USTDA to the Contractor for performance of the TA by submitting invoices in accordance with the procedures set forth in the USTDA Mandatory Clauses in Annex II.

**7. Effective Date**

The effective date of this Grant Agreement ("Effective Date") shall be the date of signature by both parties or, if the parties sign on different dates, the date of the last signature.

**8. Technical Assistance Schedule**

**(A) Technical Assistance Completion Date**

The completion date for the TA, which is December 10, 2012, is the date by which the parties estimate that the TA will have been completed.

**(B) Time Limitation on Disbursement of USTDA Grant Funds**

Except as USTDA may otherwise agree, (a) no USTDA funds may be disbursed under this Grant Agreement for goods and services which are provided prior to the Effective Date of the Grant Agreement; and (b) all funds made available under the Grant Agreement must be disbursed within four (4) years from the Effective Date of the Grant Agreement.

Handwritten signatures in blue ink, including a large signature on the left and a smaller one on the right.

## **9. USTDA Mandatory Clauses**

All contracts funded under this Grant Agreement shall include the USTDA mandatory clauses set forth in Annex II to this Grant Agreement. All subcontracts funded or partially funded with USTDA Grant funds shall include the USTDA mandatory clauses, except for clauses B(1), G, H, I, and J.

## **10. Use of U.S. Carriers**

### **(A) Air**

Transportation by air of persons or property funded under the Grant Agreement shall be on U.S. flag carriers in accordance with the Fly America Act, 49 U.S.C. 40118, to the extent service by such carriers is available, as provided under applicable U.S. Government regulations.

### **(B) Marine**

Transportation by sea of property funded under the Grant Agreement shall be on U.S. carriers in accordance with U.S. cargo preference law.

## **11. Nationality, Source and Origin**

Except as USTDA may otherwise agree, the following provisions shall govern the delivery of goods and services funded by USTDA under the Grant Agreement: (a) for professional services, the Contractor must be either a U.S. firm or U.S. individual; (b) the Contractor may use U.S. subcontractors without limitation, but the use of subcontractors from Host Country may not exceed twenty percent (20%) of the USTDA Grant amount and may only be used for specific services from the Terms of Reference identified in the subcontract; (c) employees of U.S. Contractor or U.S. subcontractor firms responsible for professional services shall be U.S. citizens or non-U.S. citizens lawfully admitted for permanent residence in the U.S.; (d) goods purchased for performance of the TA and associated delivery services (e.g., international transportation and insurance) must have their nationality, source and origin in the United States; and (e) goods and services incidental to TA support (e.g., local lodging, food, and transportation) in Host Country are not subject to the above restrictions. USTDA will make available further details concerning these provisions upon request.

## **12. Taxes**

USTDA funds provided under the Grant Agreement shall not be used to pay any taxes, tariffs, duties, fees or other levies imposed under laws in effect in Host Country. Neither the Grantee nor the Contractor will seek reimbursement from USTDA for such taxes, tariffs, duties, fees or other levies.



### **13. Cooperation Between Parties and Follow-Up**

The parties will cooperate to assure that the purposes of the Grant Agreement are accomplished. For five (5) years following receipt by USTDA of the Final Report (as defined in Clause I of Annex II), the Grantee agrees to respond to any reasonable inquiries from USTDA about the status or results of the Project, and upon receipt by the Grantee of the Final Report, will designate (by both title and organization) a point of contact for any such inquiries.

### **14. Implementation Letters**

To assist the Grantee in the implementation of the TA, USTDA may, from time to time, issue implementation letters that will provide additional information about matters covered by the Grant Agreement. The parties may also use jointly agreed upon implementation letters to confirm and record their mutual understanding of matters covered by the Grant Agreement.

### **15. Recordkeeping and Audit**

The Grantee agrees to maintain books, records, and other documents relating to the TA and the Grant Agreement adequate to demonstrate implementation of its responsibilities under the Grant Agreement, including the selection of contractors, receipt and approval of contract deliverables, and approval or disapproval of contractor invoices for payment by USTDA. Such books, records, and other documents shall be separately maintained for three (3) years after the date of the final disbursement by USTDA. The Grantee shall afford USTDA or its authorized representatives the opportunity at reasonable times to review books, records, and other documents relating to the TA and the Grant Agreement.

### **16. Representation of Parties**

For all purposes relevant to the Grant Agreement, the Government of the United States of America will be represented by the U. S. Ambassador to Host Country or USTDA and Grantee will be represented by the Head of of Information Technology for the Istanbul Metropolitan Municipality (*Title*). The parties hereto may, by written notice, designate additional representatives for all purposes under the Grant Agreement.

### **17. Addresses of Record for Parties**

Any notice, request, document, or other communication submitted by either party to the other under the Grant Agreement shall be in writing or through a wire or electronic medium which produces a tangible record of the transmission, such as a telegram, cable or facsimile, and will be deemed duly given or sent when delivered to such party at the following:

 Three handwritten signatures in blue ink are present at the bottom right of the page. The first signature is a stylized 'U.S.' or similar, the second is a horizontal line with a flourish, and the third is the letters 'SK'.

To: Istanbul Buyuksehir Belediye Baskanligi  
Kasim Sokak.  
Merter, Gungoren, Istanbul  
Phone: [90] (212) 449-4000  
Fax: [90] (212) 449-4526  
Email: hakki.tok@ibb.gov.tr

To: U.S. Trade and Development Agency  
1000 Wilson Boulevard, Suite 1600  
Arlington, Virginia 22209-3901  
USA

Phone: (703) 875-4357  
Fax: (703) 875-4009

All such communications shall be in English, unless the parties otherwise agree in writing. In addition, the Grantee shall provide the Commercial Section of the U.S. Embassy in Host Country with a copy of each communication sent to USTDA.

Any communication relating to this Grant Agreement shall include the following fiscal data:

Appropriation No.: 11 12/13 1001  
Activity No.: 2012-21009A  
Reservation No.: 2012077  
Grant No.: GH201221077

### **18. Termination Clause**

Either party may terminate the Grant Agreement by giving the other party thirty (30) days advance written notice. The termination of the Grant Agreement will end any obligations of the parties to provide financial or other resources for the TA, except for payments which they are committed to make pursuant to noncancellable commitments entered into with third parties prior to the written notice of termination.



**19. Non-waiver of Rights and Remedies**

No delay in exercising any right or remedy accruing to either party in connection with the Grant Agreement shall be construed as a waiver of such right or remedy.

**20. U.S. Technology and Equipment**

By funding this TA, USTDA seeks to promote the project objectives of the Host Country through the use of U.S. technology, goods, and services. In recognition of this purpose, the Grantee agrees that it will allow U.S. suppliers to compete in the procurement of technology, goods and services needed for Project implementation.

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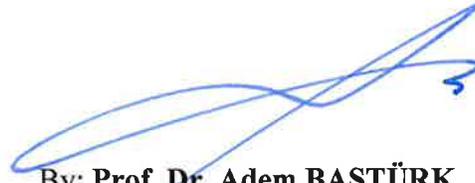
**IN WITNESS WHEREOF, the Government of the United States of America and the Istanbul Metropolitan Municipality, each acting through its duly authorized representative, have caused this Agreement to be signed in the English language in their names and delivered as of the day and year written below. In the event that this Grant Agreement is signed in more than one language, the English language version shall govern.**

**For the Government of the  
United States of America**

**For the  
Istanbul Metropolitan Municipality**



By: **Scott F. KILNER**  
Consul General of USA in Istanbul



By: **Prof. Dr. Adem BAŞTÜRK**  
Secretary General

Date: April 02, 2012

Date: April 02, 2012

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## Annex II

### USTDA Mandatory Contract Clauses

#### A. USTDA Mandatory Clauses Controlling

The parties to this contract acknowledge that this contract is funded in whole or in part by the U.S. Trade and Development Agency ("USTDA") under the Grant Agreement between the Government of the United States of America acting through USTDA and the Istanbul Metropolitan Municipality ("Client"), dated \_\_\_\_\_ ("Grant Agreement"). The Client has selected \_\_\_\_\_ ("Contractor") to perform the technical assistance (TA) for the Consolidated Technology Center project ("Project") in Turkey ("Host Country"). Notwithstanding any other provisions of this contract, the following USTDA mandatory contract clauses shall govern. All subcontracts entered into by Contractor funded or partially funded with USTDA Grant funds shall include these USTDA mandatory contract clauses, except for clauses B(1), G, H, I, and J. In addition, in the event of any inconsistency between the Grant Agreement and any contract or subcontract thereunder, the Grant Agreement shall be controlling.

#### B. USTDA as Financier

##### (1) USTDA Approval of Contract

All contracts funded under the Grant Agreement, and any amendments thereto, including assignments and changes in the Terms of Reference, must be approved by USTDA in writing in order to be effective with respect to the expenditure of USTDA Grant funds. USTDA will not authorize the disbursement of USTDA Grant funds until the contract has been formally approved by USTDA or until the contract conforms to modifications required by USTDA during the contract review process.

##### (2) USTDA Not a Party to the Contract

It is understood by the parties that USTDA has reserved certain rights such as, but not limited to, the right to approve the terms of this contract and amendments thereto, including assignments, the selection of all contractors, the Terms of Reference, the Final Report, and any and all documents related to any contract funded under the Grant Agreement. The parties hereto further understand and agree that USTDA, in reserving any or all of the foregoing approval rights, has acted solely as a financing entity to assure the proper use of United States Government funds, and that any decision by USTDA to exercise or refrain from exercising these approval rights shall be made as a financier in the course of financing the TA and shall not be construed as making USTDA a party to the contract. The parties hereto understand and agree that USTDA may, from time to time, exercise the foregoing approval rights, or discuss matters related to these rights and the Project with the parties to the contract or any subcontract, jointly or separately, without thereby incurring any responsibility or liability to such parties. Any approval or failure to approve by USTDA shall not bar

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the Client or USTDA from asserting any right they might have against the Contractor, or relieve the Contractor of any liability which the Contractor might otherwise have to the Client or USTDA.

### **C. Nationality, Source and Origin**

Except as USTDA may otherwise agree, the following provisions shall govern the delivery of goods and services funded by USTDA under the Grant Agreement: (a) for professional services, the Contractor must be either a U.S. firm or U.S. individual; (b) the Contractor may use U.S. subcontractors without limitation, but the use of subcontractors from Host Country may not exceed twenty percent (20%) of the USTDA Grant amount and may only be used for specific services from the Terms of Reference identified in the subcontract; (c) employees of U.S. Contractor or U.S. subcontractor firms responsible for professional services shall be U.S. citizens or non-U.S. citizens lawfully admitted for permanent residence in the U.S.; (d) goods purchased for performance of the TA and associated delivery services (e.g., international transportation and insurance) must have their nationality, source and origin in the United States; and (e) goods and services incidental to TA support (e.g., local lodging, food, and transportation) in Host Country are not subject to the above restrictions. USTDA will make available further details concerning these provisions upon request.

### **D. Recordkeeping and Audit**

The Contractor and subcontractors funded under the Grant Agreement shall maintain, in accordance with generally accepted accounting procedures, books, records, and other documents, sufficient to reflect properly all transactions under or in connection with the contract. These books, records, and other documents shall clearly identify and track the use and expenditure of USTDA funds, separately from other funding sources. Such books, records, and documents shall be maintained during the contract term and for a period of three (3) years after final disbursement by USTDA. The Contractor and subcontractors shall afford USTDA, or its authorized representatives, the opportunity at reasonable times for inspection and audit of such books, records, and other documentation.

### **E. U.S. Carriers**

#### **(1) Air**

Transportation by air of persons or property funded under the Grant Agreement shall be on U.S. flag carriers in accordance with the Fly America Act, 49 U.S.C. 40118, to the extent service by such carriers is available, as provided under applicable U.S. Government regulations.

#### **(2) Marine**

Handwritten signatures in blue ink, including a large signature on the left, a smaller one in the middle, and the initials 'SK' on the right.

Transportation by sea of property funded under the Grant Agreement shall be on U.S. carriers in accordance with U.S. cargo preference law.

#### **F. Workman's Compensation Insurance**

The Contractor shall provide adequate Workman's Compensation Insurance coverage for work performed under this Contract.

#### **G. Reporting Requirements**

The Contractor shall advise USTDA by letter as to the status of the Project on March 1st annually for a period of two (2) years after completion of the TA. In addition, if at any time the Contractor receives follow-on work from the Client, the Contractor shall so notify USTDA and designate the Contractor's contact point including name, telephone, and fax number. Since this information may be made publicly available by USTDA, any information which is confidential shall be designated as such by the Contractor and provided separately to USTDA. USTDA will maintain the confidentiality of such information in accordance with applicable law.

#### **H. Disbursement Procedures**

##### **(1) USTDA Approval of Contract**

Disbursement of Grant funds will be made only after USTDA approval of this contract. To make this review in a timely fashion, USTDA must receive from either the Client or the Contractor a photocopy of an English language version of a signed contract or a final negotiated draft version to the attention of the General Counsel's office at USTDA's address listed in Clause M below.

##### **(2) Payment Schedule Requirements**

A payment schedule for disbursement of Grant funds to the Contractor shall be included in this Contract. Such payment schedule must conform to the following USTDA requirements: (1) up to twenty percent (20%) of the total USTDA Grant amount may be used as a mobilization payment; (2) all other payments, with the exception of the final payment, shall be based upon contract performance milestones; and (3) the final payment may be no less than fifteen percent (15%) of the total USTDA Grant amount, payable upon receipt by USTDA of an approved Final Report in accordance with the specifications and quantities set forth in Clause I below. Invoicing procedures for all payments are described below.

##### **(3) Contractor Invoice Requirements**

USTDA will make all disbursements of USTDA Grant funds directly to the Contractor. The Contractor must provide USTDA with an ACH Vendor Enrollment Form (available from USTDA) with the first invoice. The Client shall request disbursement of funds by

   
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USTDA to the Contractor for performance of the contract by submitting the following to USTDA:

**(a) Contractor's Invoice**

The Contractor's invoice shall include reference to an item listed in the Contract payment schedule, the requested payment amount, and an appropriate certification by the Contractor, as follows:

(i) For a mobilization payment (if any):

"As a condition for this mobilization payment, the Contractor certifies that it will perform all work in accordance with the terms of its Contract with the Client. To the extent that the Contractor does not comply with the terms and conditions of the Contract, including the USTDA mandatory provisions contained therein, it will, upon USTDA's request, make an appropriate refund to USTDA. "

(ii) For contract performance milestone payments:

"The Contractor has performed the work described in this invoice in accordance with the terms of its contract with the Client and is entitled to payment thereunder. To the extent the Contractor has not complied with the terms and conditions of the Contract, including the USTDA mandatory provisions contained therein, it will, upon USTDA's request, make an appropriate refund to USTDA."

(iii) For final payment:

"The Contractor has performed the work described in this invoice in accordance with the terms of its contract with the Client and is entitled to payment thereunder. Specifically, the Contractor has submitted the Final Report to the Client, as required by the Contract, and received the Client's approval of the Final Report. To the extent the Contractor has not complied with the terms and conditions of the Contract, including the USTDA mandatory provisions contained therein, it will, upon USTDA's request, make an appropriate refund to USTDA."

**(b) Client's Approval of the Contractor's Invoice**

(i) The invoice for a mobilization payment must be approved in writing by the Client.

(ii) For contract performance milestone payments, the following certification by the Client must be provided on the invoice or separately:

"The services for which disbursement is requested by the Contractor have been performed satisfactorily, in accordance with applicable Contract provisions and the terms and conditions of the USTDA Grant Agreement."



(iii) For final payment, the following certification by the Client must be provided on the invoice or separately:

"The services for which disbursement is requested by the Contractor have been performed satisfactorily, in accordance with applicable Contract provisions and terms and conditions of the USTDA Grant Agreement. The Final Report submitted by the Contractor has been reviewed and approved by the Client. "

**(c) USTDA Address for Disbursement Requests**

Requests for disbursement shall be submitted by courier or mail to the attention of the Finance Department at USTDA's address listed in Clause M below.

**(4) Termination**

In the event that the Contract is terminated prior to completion, the Contractor will be eligible, subject to USTDA approval, for reasonable and documented costs which have been incurred in performing the Terms of Reference prior to termination, as well as reasonable wind down expenses. Reimbursement for such costs shall not exceed the total amount of undisbursed Grant funds. Likewise, in the event of such termination, USTDA is entitled to receive from the Contractor all USTDA Grant funds previously disbursed to the Contractor (including but not limited to mobilization payments) which exceed the reasonable and documented costs incurred in performing the Terms of Reference prior to termination.

**I. USTDA Final Report**

**(1) Definition**

"Final Report" shall mean the Final Report described in the attached Annex I Terms of Reference or, if no such "Final Report" is described therein, "Final Report" shall mean a substantive and comprehensive report of work performed in accordance with the attached Annex I Terms of Reference, including any documents delivered to the Client.

**(2) Final Report Submission Requirements**

The Contractor shall provide the following to USTDA:

(a) One (1) complete version of the Final Report for USTDA's records. This version shall have been approved by the Client in writing and must be in the English language. It is the responsibility of the Contractor to ensure that confidential information, if any, contained in this version be clearly marked. USTDA will maintain the confidentiality of such information in accordance with applicable law.

and

(b) One (1) copy of the Final Report suitable for public distribution ("Public Version"). The Public Version shall have been approved by the Client in writing and must be in the English language. As this version will be available for public distribution, it must not contain any confidential information. If the report in (a) above contains no confidential information, it may be used as the Public Version. In any event, the Public Version must be informative and contain sufficient Project detail to be useful to prospective equipment and service providers.

and

(c) Two (2) CD-ROMs, each containing a complete copy of the Public Version of the Final Report. The electronic files on the CD-ROMs shall be submitted in a commonly accessible read-only format. As these CD-ROMs will be available for public distribution, they must not contain any confidential information. It is the responsibility of the Contractor to ensure that no confidential information is contained on the CD-ROMs.

The Contractor shall also provide one (1) copy of the Public Version of the Final Report to the Foreign Commercial Service Officer or the Economic Section of the U.S. Embassy in Host Country for informational purposes.

### **(3) Final Report Presentation**

All Final Reports submitted to USTDA must be paginated and include the following:

(a) The front cover of every Final Report shall contain the name of the Client, the name of the Contractor who prepared the report, a report title, USTDA's logo, USTDA's mailing and delivery addresses. If the complete version of the Final Report contains confidential information, the Contractor shall be responsible for labeling the front cover of that version of the Final Report with the term "Confidential Version." The Contractor shall be responsible for labeling the front cover of the Public Version of the Final Report with the term "Public Version." The front cover of every Final Report shall also contain the following disclaimer:

"This report was funded by the U.S. Trade and Development Agency (USTDA), an agency of the U. S. Government. The opinions, findings, conclusions or recommendations expressed in this document are those of the author(s) and do not necessarily represent the official position or policies of USTDA. USTDA makes no representation about, nor does it accept responsibility for, the accuracy or completeness of the information contained in this report."

(b) The inside front cover of every Final Report shall contain USTDA's logo, USTDA's mailing and delivery addresses, and USTDA's mission statement.

    
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Camera-ready copy of USTDA Final Report specifications will be available from USTDA upon request.

(c) The Contractor shall affix to the front of the CD-ROM a label identifying the Host Country, USTDA Activity Number, the name of the Client, the name of the Contractor who prepared the report, a report title, and the following language:

“The Contractor certifies that this CD-ROM contains the Public Version of the Final Report and that all contents are suitable for public distribution.”

(d) The Contractor and any subcontractors that perform work pursuant to the Grant Agreement must be clearly identified in the Final Report. Business name, point of contact, address, telephone and fax numbers shall be included for Contractor and each subcontractor.

(e) The Final Report, while aiming at optimum specifications and characteristics for the Project, shall identify the availability of prospective U.S. sources of supply. Business name, point of contact, address, telephone and fax numbers shall be included for each commercial source.

(f) The Final Report shall be accompanied by a letter or other notation by the Client which states that the Client approves the Final Report. A certification by the Client to this effect provided on or with the invoice for final payment will meet this requirement.

## **J. Modifications**

All changes, modifications, assignments or amendments to this contract, including the appendices, shall be made only by written agreement by the parties hereto, subject to written USTDA approval.

## **K. Technical Assistance Schedule**

### **(1) Technical Assistance Completion Date**

The completion date for the TA, which is December 10, 2012, is the date by which the parties estimate that the TA will have been completed.



**(2) Time Limitation on Disbursement of USTDA Grant Funds**

Except as USTDA may otherwise agree, (a) no USTDA funds may be disbursed under this contract for goods and services which are provided prior to the Effective Date of the Grant Agreement; and (b) all funds made available under the Grant Agreement must be disbursed within four (4) years from the Effective Date of the Grant Agreement.

**L. Business Practices**

The Contractor agrees not to pay, promise to pay, or authorize the payment of any money or anything of value, directly or indirectly, to any person (whether a governmental official or private individual) for the purpose of illegally or improperly inducing anyone to take any action favorable to any party in connection with the TA. The Client agrees not to receive any such payment. The Contractor and the Client agree that each will require that any agent or representative hired to represent them in connection with the TA will comply with this paragraph and all laws which apply to activities and obligations of each party under this Contract, including but not limited to those laws and obligations dealing with improper payments as described above.

**M. USTDA Address and Fiscal Data**

Any communication with USTDA regarding this Contract shall be sent to the following address and include the fiscal data listed below:

U.S. Trade and Development Agency  
1000 Wilson Boulevard, Suite 1600  
Arlington, Virginia 22209-3901  
USA

Phone: (703) 875-4357  
Fax: (703) 875-4009

Fiscal Data:

Appropriation No.: 11 12/13 1001  
Activity No.: 2012-21009A  
Reservation No.: 2012077  
Grant No.: GH201221077

**N. Definitions**

All capitalized terms not otherwise defined herein shall have the meaning set forth in the Grant Agreement.

    
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**O. Taxes**

USTDA funds provided under the Grant Agreement shall not be used to pay any taxes, tariffs, duties, fees or other levies imposed under laws in effect in Host Country. Neither the Client nor the Contractor will seek reimbursement from USTDA for such taxes, tariffs, duties, fees or other levies.

*(2/28/08 version)*

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## ANNEX 5

## ANNEX I TERMS OF REFERENCE

### TECHNICAL ASSISTANCE FOR PLANNING THE IMPLEMENTATION OF A CONSOLIDATED TECHNOLOGY CENTER

#### INTRODUCTION

This Technical Assistance (TA) to the Istanbul Metropolitan Municipality (IBB) (“Grantee”) is for planning the consolidation of a large number of currently disparate Data Centers, Command and Control Centers and Call Centers (collectively, “Operations Centers”), operated by various municipal institutions, into a single facility (“Project”). This facility, currently in the planning stage, is known as the Technology Center (Teknoloji Merkezi in Turkish). The Technology Center will be collocated with a much larger building to accommodate the administrative and support staff of the municipality.

It is anticipated that the Project will be implemented in three phases:

- **Phase 1:** Physical consolidation, or the physical relocation of systems and equipment from the Operations Centers to the Technology Center
- **Phase 2:** Virtualization, with a particular emphasis on server virtualization
- **Phase 3:** Implementation of a cloud-computing environment (this phase is outside the scope of this TA)

The main focus of the Project is the planning and implementation of the state-of-the-art consolidated Technology Center, which is intended to combine the functions of a Data Center and an Operations Center. A secondary focus of the Project is the planning and implementation of a “carrier-grade” networking environment to support the Technology Center.

The current situation is characterized by a proliferation of Operations Centers operated by various municipal authorities for services in transportation, traffic, fire, sanitation, water, and gas. The migration of the current Operations Centers into a single consolidated Technology Center is expected to result in a more effective and efficient delivery of services to residents and businesses of the municipality, while at the same time yielding substantial cost savings.

The Grantee will give the Contractor a full listing of the Operations Centers subject to consolidation upon signature of the contract for this TA.

#### ENUMERATION OF TASKS

**Task 1: Preliminary Information Request (PIR) to the Grantee**



Not less than one (1) month prior to the Contractor's initial working mission to Istanbul, the Contractor shall develop and forward to the Grantee a Preliminary Information Request (PIR). The purpose of the PIR is to provide the Contractor with an advance picture of the current situation and to enable a more focused and efficient use of time during the first and subsequent in-country missions.

The PIR shall focus on the anticipated participating institutions in the Technology Center and shall seek to obtain the following information for each institution: name of institution and of any participating subsidiary or affiliate organizations; number of employees; number of dedicated ICT personnel; and number, type and size of ICT facilities targeted for consolidation, with particular attention to numbers, types and configurations of servers.

Without necessarily being definitive, the following list is representative of the type of information that the Contractor shall request and the Grantee and its affiliated institutions shall provide:

- Server Operating System(s)
- Year installed
- Application(s) hosted / major functions, particularly "mission-critical" ones
- Scope of use (e.g., department, headquarters building, institution-wide)
- Required availability (e.g., 8 x 5, 10 x 5, 24 x 7)
- Number of users (broken down by application or task to the extent possible)
- Transaction volumes (if known)
- Networking/connectivity requirements and networking technology employed
- Average CPU utilization
- Existing customization (if any)
- Existing virtualization (if any)
- Responsibility for operation, maintenance, support, availability, updating, backup

The Grantee shall provide reasonable assistance to the Contractor in obtaining the above information prior to the Contractor's initial working mission. At the same time, it is understood that the breadth, depth, timeliness, etc., of the information obtained from the institutions concerned will not necessarily be uniform. The Grantee shall furnish the information to the Contractor not less than ten (10) days prior to the Contractor's initial working mission to Istanbul.

#### **Task 2: Survey of Current Situation**

Task 2 comprises three sub-tasks, as follows.

***Sub-Task 2a: Review of Project objectives and PIR baseline data.*** The Contractor shall conduct an initial working mission to Istanbul to meet with officials from the Grantee to review and discuss the Project's objectives, the logistics and practicalities of the execution of the TA.



The Contractor shall become familiar with the organization, functions, responsibilities, capabilities and current profile of activities of the Grantee, with particular reference to the Project.

The Contractor and Grantee shall review and update the list of Operations Centers subject to consolidation (see Appendices 1–3). The Grantee shall identify any Operations Centers (in particular, smaller call centers) that will not be involved in the consolidation process.

The Contractor and Grantee shall review and agree upon any data (still outstanding from the PIR, or additional to that data) that needs to be made available in order to ensure the satisfactory progress of the TA, and shall specify how such data shall be collected. The roles of the Grantee and Contractor shall also be defined within this process. The Contractor and Grantee shall develop a mutually agreeable schedule for the collection of any such data.

**Sub-Task 2b: Information gathering.** The Contractor shall conduct structured interviews, either in person or by phone, with qualified representatives of the Operations Centers subject to consolidation. It is anticipated that such representatives will primarily be senior ICT professionals at these Centers and/or the institutions with which they are affiliated. The interviewees may include, in consultation with the Grantee and by mutual agreement, representatives from other public-sector organizations, including the Grantee itself, or private-sector companies that are able to provide additional relevant input and perspective. The objective of the interviews is to gather baseline data regarding ICT infrastructure and facilities targeted for inclusion in the Project. A second objective is to gather information on current and foreseeable future applications, current and projected transaction volumes, backup and disaster recovery requirements, workflow processes, service delivery and interfaces to the general public, requirements for interfacing with other public-sector institutions, and existing ICT staffing. The Contractor shall note and describe in more details any problems or shortcomings in these areas that are likely to impact the Project.

The Contractor and Grantee shall agree on the list of interviewees and alternate interviewees, should they be necessary. The Contractor and Grantee shall agree on the general outline and areas of emphasis of the interview schedule. The number of such interviews shall not exceed twenty (20). The Grantee shall make reasonable efforts to assist the Contractor in gaining access to prospective interviewees.

**Sub-Task 2c: Site visits.** The Contractor shall conduct visits to a representative set of Operations Centers to obtain a first-hand view of their operation and to supplement the information obtained in Sub-Task 2b. The Contractor shall visit at least six (6) Data Centers, eight (8) Command and Control Centers, and five (5) Call Centers. This subtask may be combined with Sub-Task 2b as appropriate and practicable. The Grantee shall make reasonable efforts to assist the Contractor in arranging site visits.

**Interim Deliverable 1:** The Contractor shall prepare an **Inception Report**, presenting the findings of Tasks 1 and 2, and describing the interviews and meetings conducted, sites

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visited, progress in collecting data, and problems encountered or foreseen. Any impacts on the projected work schedule or deployment of Contractor personnel shall also be described in the Inception Report. Any pertinent initial observations or findings shall also be included.

### **Task 3: Needs Assessment**

Task 3 comprises two sub-tasks, as follows.

***Sub-Task 3a: Data Operations Needs Assessment.*** Based on the baseline information gathered and findings to date, the Contractor shall carry out a high-level needs assessment, with reference to the Operations Centers subject to consolidation. The primary focus of the Data Operations Needs Assessment shall be 1) what major systems, equipment and/or facilities to consolidate; and 2) what major systems, equipment and/or facilities not to consolidate, and the corresponding rationale (e.g., equipment has reached or is nearing the end of useful lifetime; relocation would be cost-prohibitive). It is understood that the Needs Assessment need not involve an exhaustive inclusion of the entire set of Operations Centers, but should be sufficiently comprehensive that the results will provide a well-grounded foundation for Task 4 of this TOR.

***Sub-Task 3b: Connectivity Needs Assessment.*** It is anticipated that consolidation of the Operations Centers will eliminate some current needs for connectivity but will also create new ones. Drawing on the baseline information gathered and findings to date, the Contractor shall conduct a high-level Connectivity Needs Assessment, with reference to the Operations Centers examined in Sub-Task 3a. Where new requirements for connectivity are identified, and to the extent practicable, the Connectivity Needs Assessment shall determine the type of connectivity required and, working together with the Grantee, whether such connectivity can be supplied from the Grantee's internal resources (principally fiber-optic facilities) or will require either the construction of new facilities or procurement of third-party bandwidth.

Requirements for connectivity between the Technology Center and planned or projected backup/disaster recovery facilities are outside of the scope of the TA.

***Interim Deliverable 2:*** The Contractor shall prepare a **Report** covering the Data Operations and Connectivity Needs Assessments as described in this Task 3. The Contractor shall submit five (5) copies of a draft version of this Report to the Grantee. The Grantee shall be given reasonable time to review the Draft Report and to propose modifications or amendments (if any) for incorporation into the final version of the Report. In the event that substantive modifications or amendments are proposed, the Contractor shall prepare and submit to the Grantee five (5) revised copies of the Report, duly incorporating the proposed modifications or amendments.

### **Task 4: High-Level Design, Architecture and Functional Specifications**

Task 4 comprises two sub-tasks, as follows.

***Sub-Task 4a: High-Level Design and Functional Specifications for Technology Center.*** One requirement for the Technology Center is that it must be of a size and capacity sufficient to accommodate all systems, equipment and other needs for working space once consolidation (both physical and virtual) is completed, and to make provision for foreseeable future expansion. The Contractor shall provide high-level design and functional specifications for the proposed Technology Center that meet rigorous operational requirements and industry-standard design principles. At minimum, the Contractor shall include the following in its analysis:

- Construction standards (including earthquake-proofing in conformity with applicable Turkish requirements)
- Controlled access and physical and software-based security systems (multilayered as appropriate, from building-wide to rack level)
- Uninterruptible Power Supply (UPS), including redundancy/fault tolerance, backup generators and battery systems as necessary, with adequate capacity to accommodate the full load of protected equipment
- Dedicated cooling systems, including high-density systems as appropriate, and humidity and dust/particulate control
- Fire suppression systems
- Robust and redundant internal and external connectivity arrangements
- Suitable equipment housing facilities, rack designs, cabling arrangements, etc.
- Ability to guarantee specified performance and service targets (e.g., availability)
- Provision for adequate management/administrative/operational systems and tools
- Ability to accommodate future expansion and growth

The Technology Center will host what the Grantee determines to be highly mission-critical computer systems and servers, and it is anticipated that Tier 4 Data Center requirements will apply to these systems and equipment. However, there may be other systems and equipment where such stringent standards are not necessary and would entail unnecessary expense, in which case the Technology Center might combine multiple tiers. The Contractor shall develop and provide recommendations regarding the appropriate tiering configuration.

The Contractor shall also identify and describe necessary or recommended support services (which may include, but are not necessarily limited to, centralized Network Operations Center, centralized Help Desk, and unified accounting/billing arrangements).

***Sub-Task 4b: High-Level Design and Functional Specifications for Network.*** The Contractor shall develop a high-level design and functional specifications for a “carriergrade” municipal network infrastructure to support the operation of the Technology Center that will be compatible with the proposed virtualized environment. It is anticipated that the network will be based on an Internet Protocol / MultiProtocol Label Switching (IP/MPLS) platform that will enable, among other things, the implementation of secure Virtual Private Networks (VPNs) and assurance of Quality of Service / Class of Service (QoS/CoS) metrics and guarantees. To the extent feasible, the high-level design should allow for expansion/scaling in response to evolving ICT requirements.



At a minimum, the high-level design shall include the following components:

- **Backbone** (e.g., fully redundant throughout its coverage area, fiber-optic-based core infrastructure, IP/MPLS platform, capable of supporting high-speed voice/data transport and switching, QoS and layer-2 and layer-3 Virtual Private Networks (VPNs))
- **Basic services** (e.g., flexible data service bandwidth and provisioning, Internet access, security/firewalling, ability to configure secure VPNs over the Internet)
- **Support services** (e.g., centralized Network Operations Center, centralized Help Desk, unified accounting/billing)
- **Service levels** (e.g., availability/reliability/quality/provisioning/fault response targets, Service Level Agreements, penalties for noncompliance)

**Interim Deliverable 3:** The Contractor shall prepare a **Report** containing the high-level design and specifications for both the Technology Center and the network components of the Project, as described in this Task 3. The Contractor shall submit five (5) copies of a draft version of this Report to the Grantee. The Grantee shall be given reasonable time to review the Draft Report and to propose modifications or amendments (if any) for incorporation into the final version of the Report. In the event that substantive modifications or amendments are proposed, the Contractor shall prepare and submit to the Grantee five (5) revised copies of the Report, duly incorporating the proposed modifications or amendments.

#### **Task 5: Consolidation Blueprint and Roadmap**

Based on the findings of the previous tasks, and applying best practices for the consolidation of similar facilities, the Contractor shall develop a general Blueprint and Roadmap for the consolidation process. The objective of this task is the manner in which the consolidation should be implemented. The Contractor shall describe the sequence of the consolidation process, bearing in mind both the need to populate the Technology Center as fully, effectively and efficiently as possible, while at the same time allowing for the fact that some consolidation processes may be more complex or risky than others. The specific logistics of physical removal, transport and re-installation of equipment, and associated issues of ensuring operational continuity and minimization of downtime, are outside the scope of the TA. The Contractor shall document any instances where existing equipment not to be consolidated could be redeployed or recycled.

The Blueprint and Roadmap shall separately address the various types of Operations Centers to be consolidated. In the case of Call Centers, the Contractor shall additionally examine the following two issues: 1) whether it would be desirable and/or more economical to equip the Technology Center with a single new unified Call Center platform, rather than migrating the existing disparate Call Center platforms; 2) assuming the answer to be affirmative, what Customer Relationship Management (CRM) functionality should be added to create a state-of-the-art Call Center facility, and what hardware, software and related elements should be procured to achieve this functionality.

As part of the Blueprint and Roadmap, the Contractor shall examine and make general recommendations regarding backup/disaster recovery/business continuity requirements

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for the Technology Center. Detailed analysis of the specific issues related to the design, implementation and operation of a backup/disaster recovery center is outside the scope of the TA.

**Task 6: Virtualization Blueprint and Roadmap**

The Contractor shall develop a general Blueprint and Roadmap for the virtualization process, under the assumption that the consolidation process in the Technology Center has been implemented in accordance with the results of Task 5. The primary focus of this task is server virtualization, which will involve some consideration of operating systems, applications and storage. Detailed analysis of issues such as changes to operating systems or redesign of storage architecture is outside the scope of the TA.

The Contractor shall examine and make recommendations on the following issues: 1) what should be virtualized, in terms of suitability and compatibility, and 2) to what extent should virtualization be performed, bearing in mind limitations that may be imposed by infrastructure, mission-criticality, security and other factors. The Contractor's recommendations shall not extend to the level of mapping specific Guest Operating Systems to specific hosts.

The Contractor shall also develop general recommendations for the management of the virtualized environment, including, but not limited to, recommendations regarding management tools and backup software.

**Interim Deliverable 4:** The Contractor shall prepare a **Report** describing the work performed in Tasks 5 and 6 of this TOR. The Contractor shall submit five (5) copies of a draft version of this Report to the Grantee. The Grantee shall be given reasonable time to review the Draft Report and to propose modifications or amendments, if any, for incorporation into the final version of the Report. In the event that substantive modifications or amendments are proposed, the Contractor shall prepare and submit to the Grantee five (5) revised copies of the Report, duly incorporating the proposed modifications or amendments.

**Task 7: Economic and Financial Analysis of the Project**

The Contractor shall prepare an economic/financial analysis of the Project. The principal objective of the economic/financial analysis is to estimate, to the extent practicable and for the Grantee's planning and budgetary purposes, the cost of implementation of the proposed Technology Center.

The Contractor shall take into consideration the following principal cost elements:

- Estimated costs for equipping of the Technology Center, exclusive of construction costs.
- Estimated costs for required networking systems and equipment (in particular, implementation of an IP/MPLS platform).

- Estimated costs for major new systems to be installed in the Technology Center, rather than migrated, if any. These costs may include Call Center and Customer Relationship Management platforms, depending on the findings of Task 5 of this TOR.
- Estimated costs, which may be benchmarked, for migration to virtualization, under reasonable assumptions about the eventual virtualization configuration.

Estimation of costs for the ongoing operation of the Technology Center is outside the scope of the TA.

The Grantee reports that it does not presently have either the relevant data or a suitable methodology for baselining the current cost of operating the various Operations Centers. Accordingly, the Grantee is not currently in a position to estimate the likely cost savings that will accrue from the Project through a comparison of the current and future environments. The Contractor shall develop and furnish the Grantee with an appropriate methodology and procedures which the Grantee can utilize for collecting relevant cost data from its Operations Centers, for the purpose of estimating, for planning and budgetary purposes, the likely savings in both hard costs (such as the cost of IT hardware and software and networking infrastructure) and soft costs (the costs associated with overheads such as IT management and data center operation) that will accrue over a medium- to long-term time horizon, such as five to seven years.

**Interim Deliverable 5:** The Contractor shall prepare a **Report** presenting the findings of the economic/financial analysis as described in this Task 7, suitably documenting the assumptions that are made in arriving at the cost estimates. The Report shall also include the methodology and procedures for collecting relevant cost data from the Operations Centers, as described in this Task 7. The Contractor shall submit five (5) copies of a draft version of this Report to the Grantee. The Grantee shall be given reasonable time to review the Draft Report and to propose modifications or amendments, if any, for incorporation into the final version of the Report. In the event that substantive modifications or amendments are proposed, the Contractor shall prepare and submit to the Grantee five (5) revised copies of the Report, duly incorporating the proposed modifications or amendments.

#### **Task 8: Enumeration of Potential U.S. Suppliers**

The Contractor shall develop an enumeration of qualified U.S. suppliers of equipment, systems and solutions for the Project. These may include, but are not necessarily limited to:

- Data Center / Operations Center equipment and systems
- Data Center / Operations Center implementation, provisioning and support services
- Call Center and Customer Relationship Management systems, hardware and software
- Virtualization solutions
- Networking infrastructure (MPLS core and edge equipment, routers, multiplexers, cross-connects, switches, access devices)



**Interim Deliverable 6:** The Contractor shall prepare a **Report** covering all the work performed in this Task 8. The Contractor shall submit five (5) copies of a draft version of this Report to the Grantee. The Grantee shall be given reasonable time to review the Draft Report and to propose modifications or amendments, if any, for incorporation into the final version of the Report. In the event that substantive modifications or amendments are proposed, the Contractor shall prepare and submit to the Grantee five (5) revised copies of the Report, duly incorporating the proposed modifications or amendments.

**Task 9: Preliminary Environmental Impact Assessment**

The Contractor shall perform a preliminary review of the anticipated impact of the Project on the environment, with particular reference to compliance with any applicable Turkish or multilateral lending-agency requirements. In the event that the review identifies any potential negative impacts, the Contractor shall discuss the extent to which these can be mitigated, and shall develop plans for a full environmental impact assessment if and when the Project moves forward to the implementation stage. In particular, the Contractor shall identify any steps that the Grantee or other interested parties will need to undertake subsequent to the completion of the Contractor's activities and prior to project implementation.

**Task 10: Analysis of Key Host Country Development Impacts**

In order to provide the Project's decision-makers and interested parties with a broader view of the project's potential effects on the host country, the Contractor shall conduct an analysis of key development impacts of the Project, with particular reference to the following aspects:

- **Infrastructure:** Improvements to and/or increased investment in infrastructure, both direct and indirect.
- **Human Capacity Building:** Skills development and/or additional employment that will be generated within the Grantee's environment and elsewhere.
- **Technology Transfer and Productivity Improvement:** Identification of new recommended technologies deployed in conjunction with the project, and specific technology or knowledge transfer that is expected to occur.
- **Market-Oriented Reform:** Identification of any market-oriented reforms that will be achieved as a result of the Project, which could include improved competition; better market entry to new investment; and more equitable consumer pricing policies.

The analysis shall focus on likely developmental impacts if the Project is implemented according to the Contractor's recommendations. While specific attention shall be paid to the immediate impact of the Project, the analysis shall include any additional developmental benefits that may result from the Project's implementation, including spin-off and demonstration effects.

**Interim Deliverable 7:** The Contractor shall prepare a **Report** containing the Preliminary Environmental Impact Assessment and Development Impact Analysis as described in Tasks 9 and 10 of this TOR.



**Task 11: Final Report**

The Contractor shall prepare and deliver to the Grantee and USTDA a substantive and comprehensive final report of all the work performed under these Terms of Reference ("Final Report"). The Final Report shall be organized according to the above tasks, and shall include all deliverables and documents that have been provided to the Grantee. The Final Report shall be prepared in accordance with Clause I of Annex II of the Grant Agreement.

The Final Report shall be prepared in both English and Turkish language versions. The Contractor is responsible for ensuring appropriate quality, accuracy and consistency of all translations into Turkish.

**Notes:**

- (1) The Contractor is responsible for compliance with U.S. export licensing requirements, if applicable, in the performance of the Terms of Reference.
- (2) The Contractor and the Grantee shall be careful to ensure that the public version of the Final Report contains no security or confidential information.
- (3) The Grantee and USTDA shall have an irrevocable, worldwide, royalty-free, nonexclusive right to use and distribute the Final Report and all work product that is developed under these Terms of Reference.
- (4) The Interim Deliverables described above may be submitted in either English or Turkish, at the Contractor's discretion. If submitted in English, however, they shall be accompanied by a Turkish-language Executive Summary.



## **ANNEX 6**



## USTDA-Funded Feasibility Study, Technical Assistance, or Training Grant

### U.S. Firm Information Form

This form is designed to enable the U.S. Trade and Development Agency ("USTDA") to obtain information about entities and individuals proposed for participation in USTDA-funded activities. Information in this form is used to conduct screening of entities and individuals to ensure compliance with legislative and executive branch prohibitions on providing support or resources to, or engaging in transactions with, certain individuals or entities with which USTDA must comply.

USTDA Activity Number *[To be completed by USTDA]*

Activity Type <i>[To be completed by USTDA]</i>	Feasibility Study	Technical Assistance	Other (specify)
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Activity Title *[To be completed by USTDA]*

Full Legal Name of U.S. Firm

Business Address (street address only)

Telephone	Fax	Website
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Year Established (include any predecessor company(s) and year(s) established, if appropriate).  
Please attach additional pages as necessary.

Please provide a list of directors and principal officers as detailed in Attachment A. Attached?  Yes

Type of Ownership	Publicly Traded Company
	Private Company
	Other (please specify)

If Private Company or Other (if applicable), provide a list of shareholders and the percentage of their ownership. In addition, for each shareholder that owns 15% or more shares in U.S. Firm, please complete Attachment B.

Is the U.S. Firm a wholly-owned or partially owned subsidiary?	Yes
	No

If so, please provide the name of the U.S. Firm's parent company(s). In addition, for any parent identified, please complete Attachment B.

Is the U.S. Firm proposing to subcontract some of the proposed work to another firm?	Yes
	No

If yes, U.S. Firm shall complete Attachment C for each subcontractor. Attached?	Yes
	Not applicable

#### Project Manager

Name	Surname	
	Given Name	
Address		
Telephone		
Fax		
Email		

#### Negotiation Prerequisites

Discuss any current or anticipated commitments which may impact the ability of the U.S. Firm or its subcontractors to complete the Activity as proposed and reflect such impact within the project schedule.	
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Identify any specific information which is needed from the Grantee before commencing negotiations.	
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*U.S. Firm may attach additional sheets, as necessary.*

**U.S. Firm's Representations**

U.S. Firm shall certify to the following (or provide any explanation as to why any representation cannot be made):

1. U.S. Firm is a [check one]  Corporation  LLC  Partnership  Sole Proprietor  Other:   
 duly organized, validly existing and in good standing under the laws of the State of:   
 The U.S. Firm has all the requisite corporate power and authority to conduct its business as presently conducted, to submit this proposal, and if selected, to execute and deliver a contract to the Grantee for the performance of the USTDA Activity. The U.S. Firm is not debarred, suspended, or to the best of its knowledge or belief, proposed for debarment or ineligible for the award of contracts by any federal or state governmental agency or authority.
2. The U.S. Firm has included herewith, a copy of its Articles of Incorporation (or equivalent charter or document issued by a designated authority in accordance with applicable laws that provides information and authentication regarding the legal status of an entity) and a Certificate of Good Standing (or equivalent document) issued within 1 month of the date of signature below by the State of:   
 The U.S. Firm commits to notify USTDA and the Grantee if it becomes aware of any change in its status in the state in which it is incorporated. USTDA retains the right to request an updated certificate of good standing.
3. Neither the U.S. Firm nor any of its principal officers have, within the ten-year period preceding the submission of this proposal, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state or local government contract or subcontract; violation of federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violating federal or state criminal tax laws, or receiving stolen property.
4. Neither the U.S. Firm, nor any of its principal officers, is presently indicted for, or otherwise criminally or civilly charged with, commission of any of the offenses enumerated in paragraph 3 above.
5. There are no federal or state tax liens pending against the assets, property or business of the U.S. Firm. The U.S. Firm, has not, within the three-year period preceding the submission of this proposal, been notified of any delinquent federal or state taxes in an amount that exceeds US\$3,000 for which the liability remains unsatisfied. Taxes are considered delinquent if (a) the tax liability has been fully determined, with no pending administrative or judicial appeals; and (b) a taxpayer has failed to pay the tax liability when full payment is due and required.
6. The U.S. Firm has not commenced a voluntary case or other proceeding seeking liquidation, reorganization or other relief with respect to itself of its debts under any bankruptcy, insolvency or other similar law. The U.S. Firm has not had filed against it an involuntary petition under any bankruptcy, insolvency or similar law.
7. The U.S. Firm certifies that it complies with USTDA Nationality, Source, and Origin Requirements and shall continue to comply with such requirements throughout the duration of the USTDA-funded activity. The U.S. Firm commits to notify USTDA and the Grantee if it becomes aware of any change which might affect U.S. Firm's ability to meet the USTDA Nationality, Source, and Origin Requirements.

*The U.S. Firm shall notify USTDA if any of the representations are no longer true and correct.*

U.S. Firm certifies that the information provided in this form is true and correct. U.S. Firm understands and agrees that the U.S. Government may rely on the accuracy of this information in processing a request to participate in a USTDA-funded activity. If at any time USTDA has reason to believe that any person or entity has willfully and knowingly provided incorrect information or made false statements, USTDA may take action under applicable law. The undersigned represents and warrants that he/she has the requisite power and authority to sign on behalf of the U.S. Firm.

Name	<input type="text"/>	Signature	<input type="text"/>
Title	<input type="text"/>		
Organization	<input type="text"/>	Date	<input type="text"/>





**ATTACHMENT B**

**USTDA-Funded Feasibility Study, Technical Assistance, or Training Grant**

**U.S. Firm Information Form – Shareholder(s) and Parent Company(s)**

If applicable, U.S. Firm provided a list of shareholders and the percentage of their ownership. This form shall be completed for each shareholder that owns 15% or more shares in U.S. Firm, as well as any parent corporation of the U.S. Firm ("Shareholder"). In addition, this form shall be completed for each shareholder identified in Attachment B that owns 15% or more shares in any Shareholder, as well as any parent identified in Attachment B.

USTDA Activity Number [To be completed by USTDA]	
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Activity Title [To be completed by USTDA]	
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Full Legal Name of U.S. Firm	
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Full Legal Name of Shareholder	
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Business Address of Shareholder (street address only)	
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Telephone number		Fax Number	
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Year Established (include any predecessor company(s) and year(s) established, if appropriate). Please attach additional pages as necessary.	
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Country of Shareholder's Principal Place of Business	
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Please provide a list of directors and principal officers as detailed in Attachment A. Attached?	Yes
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Type of Ownership	Publicly Traded Company
	Private Company
	Other

If applicable, provide a list of shareholders and the percentage of their ownership. In addition, for each shareholder that owns 15% or more shares in Shareholder, please complete Attachment B.	
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Is the Shareholder a wholly-owned or partially owned subsidiary?	Yes
	No

If so, please provide the name of the Shareholder's parent(s). In addition, for any parent identified, please complete Attachment B.	
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*Shareholder may attach additional sheets, as necessary.*



**ATTACHMENT C**

**USTDA-Funded Feasibility Study, Technical Assistance, or Training Grant**

**Subcontractor Information Form**

This form is designed to enable the U.S. Trade and Development Agency ("USTDA") to obtain information about entities and individuals proposed for participation in USTDA-funded activities. Information in this form is used to conduct screening of entities and individuals to ensure compliance with legislative and executive branch prohibitions on providing support or resources to, or engaging in transactions with, certain individuals or entities with which USTDA must comply.

USTDA Activity Number [To be completed by USTDA]	
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Activity Title [To be completed by USTDA]	
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Full Legal Name of Prime Contractor U.S. Firm ("U.S. Firm")	
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Full Legal Name of Subcontractor	
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Business Address of Subcontractor (street address only)	
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Telephone Number	
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Fax Number	
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Year Established (include any predecessor company(s) and year(s) established, if appropriate). Please attach additional pages as necessary.	
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**Subcontractor Point of Contact**

Name	Surname	
	Given Name	

Address	
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Telephone	
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Fax	
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Email	
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**Subcontractor's Representations**

Subcontractor shall provide the following (or any explanation as to why any representation cannot be made), made as of the date of the proposal:

1. Subcontractor is a <i>[check one]</i>	<input type="checkbox"/> Corporation	<input type="checkbox"/> LLC	<input type="checkbox"/> Partnership	<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Other
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duly organized, validly existing and in good standing under the laws of: \_\_\_\_\_ .

The subcontractor has all the requisite corporate power and authority to conduct its business as presently conducted, to participate in this proposal, and if the U.S. Firm is selected, to execute and deliver a subcontract to the U.S. Firm for the performance of the USTDA Activity and to perform the USTDA Activity. The subcontractor is not debarred, suspended, or to the best of its knowledge or belief, proposed for debarment or ineligible for the award of contracts by any federal or state governmental agency or authority.

2. Neither the subcontractor nor any of its principal officers have, within the ten-year period preceding the submission of the Offeror's proposal, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state or local government contract or subcontract; violation of federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violating federal or state criminal tax laws, or receiving stolen property.

3. Neither the subcontractor, nor any of its principal officers, is presently indicted for, or otherwise criminally or civilly charged with, commission of any of the offenses enumerated in paragraph 2 above.

4. There are no federal or state tax liens pending against the assets, property or business of the subcontractor. The subcontractor, has not, within the three-year period preceding this RFP, been notified of any delinquent federal or state taxes in an amount that exceeds \$3,000 for which the liability remains unsatisfied. Taxes are considered delinquent if (a) the tax liability has been fully determined, with no pending administrative or judicial appeals; and (b) a taxpayer has failed to pay the tax liability when full payment is due and required.

5. The subcontractor has not commenced a voluntary case or other proceeding seeking liquidation, reorganization or other relief with respect to itself or its debts under any bankruptcy, insolvency or other similar law. The subcontractor has not had filed against it an involuntary petition under any bankruptcy, insolvency or similar law.

6. The Subcontractor certifies that it complies with the USTDA Nationality, Source, and Origin Requirements and shall continue to comply with such requirements throughout the duration of the USTDA-funded activity. The Subcontractor commits to notify USTDA, the Contractor, and the Grantee if it becomes aware of any change which might affect U.S. Firm's ability to meet the USTDA Nationality, Source, and Origin Requirements.

*The selected Subcontractor shall notify the U.S. Firm, Grantee and USTDA if any of the representations included in its proposal are no longer true and correct.*

Subcontractor certifies that the information provided in this form is true and correct. Subcontractor understands and agrees that the U.S. Government may rely on the accuracy of this information in processing a request to participate in a USTDA-funded activity. If at any time USTDA has reason to believe that any person or entity has willfully and knowingly provided incorrect information or made false statements, USTDA may take action under applicable law. The undersigned represents and warrants that he/she has the requisite power and authority to sign on behalf of the Subcontractor.

Name		Signature	
Title			
Organization		Date	