



Pension Reserves Investment Management Board

October 17th, 2022

Dear Potential Provider:

The Massachusetts Pension Reserves Investment Management (“PRIM”) Board is requesting proposals from firms interested in providing **Information Technology Support Services** to the Trustees, staff and advisory committee members of PRIM.

The Procurement Officer for the Information Technology Support Services Request for Proposals (RFP) is David Griswold. For responses to be considered by PRIM, each prospective provider must respond to the RFP by submitting an electronic copy of its response, including attachments, via e-mail to rfpresponses@mapension.com. The response must be received by **3:00 p.m., EDT, Monday, November 21, 2022**.

Further instructions for response submission are included in the RFP. Questions concerning the RFP must be submitted to rfpresponses@mapension.com by **3:00 p.m. EDT, Monday, November 7, 2022**.

We appreciate the time and effort required to respond to this RFP. Each respondent submitting to PRIM can be assured that the same time and effort will be expended in evaluating the responses that are submitted for consideration. We look forward to your response.

Sincerely,

Michael G. Trotsky, CFA
Executive Director

Deborah B. Goldberg, Treasurer and Receiver General, Chair
Michael G. Trotsky, CFA, Executive Director and Chief Investment Officer

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REQUEST FOR PROPOSALS (RFP)

Information Technology Support Services

October 17, 2022

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I. INTRODUCTION/PURPOSE

The Massachusetts Pension Reserves Investment Management Board ("PRIM") is soliciting Responses from firms interested in providing Information Technology Support Services. More detailed descriptions of these services are set forth in Section III of this RFP under the heading "SCOPE OF SERVICES."

II. BACKGROUND INFORMATION

A. Legal Structure of PRIM

PRIM was created in 1983 by the Commonwealth of Massachusetts through legislation (Chapter 661 of the Acts of 1983, as amended by Chapter 315 of the Acts of 1996) to provide general supervision of the investments and management of the Pension Reserves Investment Trust (PRIT) Fund. The PRIT Fund was created by the same legislation and is the investment portfolio for the assets of the State Employees' and State Teachers' Retirement Systems, as well as local retirement systems that choose to invest in the PRIT Fund.

PRIM is governed by a nine-member board of trustees (the "Board"). The trustees include: (1) the Governor, *ex officio*, or his designee; (2) the State Treasurer, *ex officio*, or her designee, who shall serve as Chair of the PRIM Board; (3) a private citizen, experienced in the field of financial management, appointed by the State Treasurer; (4) an employee or retiree, who is a member of the State Teachers' Retirement System, elected by the members of such system, for a term of three years; (5) an employee or retiree, who is a member of the State Employees' Retirement System, elected by the members of such system for a term of three years; (6) the elected member of the State Retirement Board; (7) one of the elected members of the Teachers' Retirement Board chosen by the members of the Teachers' Retirement Board; (8) a person who is not an employee or official of the Commonwealth appointed by the Governor; and (9) a representative of a public safety union appointed by the Governor. Appointed members serve for a term of four years.

The mission of the PRIT Fund is to ensure that current and future pension benefit obligations are adequately funded in a cost-effective manner. PRIM therefore seeks to maximize the total return on investments within acceptable levels of risk for a public pension fund. Under current law (as amended by Section 45 of Chapter 68 of the Acts of 2011), by the year 2040, the PRIT Fund will have grown, through annual payments in accordance with a legislatively approved funding schedule and through total investment return of the PRIT Fund, to an amount sufficient to meet the then existing pension obligations of the Commonwealth. The Commonwealth has adopted a schedule of state pension appropriations that assumes a long-term actuarial rate of return for the PRIT Fund of 7.0%.

The nine-member board of trustees, as trustees for each retirement system that invests in the PRIT Fund, has the authority: to employ an Executive Director, outside investment managers, custodians, legal counsel, consultants and others as it deems necessary; to formulate policies and procedures; and to take such other actions as necessary and appropriate to manage the assets of the PRIT Fund.

PRIM is the legal custodian of the PRIT Fund and has fiduciary responsibility for the assets transferred to the PRIT Fund by state and local retirement systems. PRIM selects the PRIT Fund's investment managers and advisors, reviews and evaluates total PRIT Fund and individual investment manager performance, and performs various other activities in the

daily management of the PRIT Fund. As of June 30th, 2022, the PRIT Fund had net assets totaling approximately \$92billion.

PRIM is governed by Massachusetts General Laws, Chapter 32 and oversees the PRIT Fund under the terms of its Operating Trust dated July 15, 1988 and amended on September 22, 1998 (a copy of which is available at www.mapension.com). The members of the Board, in conjunction with the Executive Director, who serves at the pleasure of the Board, determine policies and make decisions concerning the administrative and investment operations of the PRIT Fund.

PRIM has established advisory committees (Investment, Administration & Audit, Real Estate & Timber, ESG and Compensation) to provide a broad range of input to the Board. These committees are generally composed of several Board members and several non-Board members having investment and/or business and/or other relevant expertise. Significant policies and investments are ultimately approved by the Board.

B. Massachusetts General Laws (MGL Chapter 32)

PRIM is governed by Massachusetts General Laws (“MGL”), Chapter 32, Sections 22 and 23 (web link <https://malegislature.gov/laws/generallaws/parti/titleiv/chapter32>) and oversees the PRIT Fund under the terms of PRIM’s Operating Trust dated July 15, 1988 and amended on September 22, 1998 (attached as **Exhibit A**). The members of the Board, in conjunction with the Executive Director, who serves at the pleasure of the Board, determine significant policies and decisions concerning the administrative and investment operations of PRIM and the PRIT Fund.

C. Massachusetts Conflict of Interest Law (MGL Chapter 268A)

The Massachusetts Conflict of Interest Law (web link: <https://malegislature.gov/Laws/GeneralLaws/PartIV/TitleI/Chapter268a>) applies to PRIM and can have application to persons performing services to PRIM by contract.

D. Massachusetts Open Meeting Law (Chapter 30A, Sections 18-25)

The Massachusetts Open Meeting Law (MGL Chapter 30A, Sections 18-25, web link: <http://www.mass.gov/ago/government-resources/open-meeting-law/>) is designed to ensure transparency in public policy deliberations. The Open Meeting Law requires, with some exceptions, that meetings of public bodies such as PRIM be open to the public.

E. PRIM’s Advisors

Outside advisors and managers (<https://www.mapension.com/investments/#prit-fund-service>) are engaged for their expertise and retained to assist PRIM in the areas of general portfolio strategy and investments and related services. BNY Mellon is the PRIT Fund's custodian and is responsible for providing record-keeping and analytic performance valuations for the PRIT Fund.

III. SCOPE OF SERVICES

The purpose of this Request for Proposals (RFP) is to solicit Proposals from qualified Information Technology support firms. PRIM is seeking a qualified firm(s) to support PRIM’s information technology environment, network, and computer systems. The term of the contract resulting from this RFP will be 3-5 years and all specifications should be reflective of this time period.

Services include providing tier 2 and 3 helpdesk support, application support and development, ongoing maintenance to the current environment, network design, making recommendations for the enhancement of existing systems, colocation and cloud support, assessing and assisting in the implementation of upgrades/changes to the current systems and regular and emergency maintenance and support for approximately 70 users.

Both on-site and remote access support capabilities are expected to satisfy both scheduled visits and on-call emergency support requirements. Additionally, on an as-needed basis user training may be requested for new technologies and possibly refresher training on existing technologies. A sample of technologies in use at PRIM is below.

Current Information Technology Environment (Key Systems)

End User Workstations (70 Full Time Employees)
• Dell and Lenovo Laptops, Desktops and Monitors
• Android and Apple Handheld Devices and tablets
• Symantec / Bitlocker Endpoint Encryption
• Trend Micro Endpoint Protection
• Windows 10 and 11
• Microsoft Office 2016 and newer
• Adobe Acrobat Standard and Professional
• FactSet and Dynamo CRM Outlook Plug-In
• Sage 50 Peachtree Accounting Software
• Remote Access (VPN)
Enterprise Infrastructure – Multi Site Environment
• Fortinet Firewalls, IPS, Cisco Wireless Controller and Access Points
• Dell POE Switches
• Dell Servers
• KEMP Load Balancer
• Dell KACE System and Inventory Management
• Active Directory Domain
• VMware VxRail
• VMware VSphere
• Office 365, Teams, OneDrive, Azure AD
• Active Directory Federated Services
• OneSpan Digipass
• Windows Server 2012 and newer
• Windows Server Services (WSUS)
• Mobile Device Management (IBM MaaS360)
• WinDSX Card Access System

• PRTG Monitoring
• Symantec Backup Exec
• Datto Siris
• ADFS SSO
Core Applications and Licensing
• Microsoft SQL
• SharePoint 2013 and SharePoint Online
• Dynamo CRM
• Microsoft Office 365
• Veritas Enterprise Vault
• Mathworks MatLab
• GitHub Code Management
• Microsoft Visual Studio
Phone System
• Comcast Business Voice Edge
WAN
• Comcast 1GB Ethernet
• Verizon 100MB Fiber

IV. RESPONSE SPECIFICATIONS

A. Deadline for Proposals

Proposals, including all attachments, must be delivered electronically via e-mail to the procurement officer at rfpresponses@mapension.com, by **3:00p.m. EDT, November 21, 2022** (the RFP “Response Deadline”). The e-mail subject header should be in the following format: “PRIM Information Technology Support Services RFP Response – *Name of Responding Firm.*”

The questions and/or requests made in this RFP should be duplicated in their entirety in the respondent’s proposal, with each question and/or request repeated before the answer or response. **Any Response received after the Response Deadline will not be considered.**

All electronic (email) documents submitted must be 40MB or smaller in size. If necessary, the Respondent should separate the RFP submission into multiple emails to ensure the 40 MB size requirement is not exceeded. The Respondent is responsible for ensuring that a complete electronic RFP Response is received prior to the Response Deadline.

Copies of this RFP can be obtained electronically on the PRIM website at www.mapension.com.

B. Required Enclosures and Attachments

In addition to the responses to the questions in Section VIII of this RFP, the following information must be included in your response:

1. Cover Letter

The response must be accompanied by a cover letter, which will be considered an important part of the response, and which shall be signed by at least one individual

authorized to bind the respondent contractually. This cover letter must include: (a) the respondent's name and address; (b) name, phone number, and email address of the person proposed to be the principal client contact; (c) the title or position which the signer of the cover letter holds in the firm; and (d) a statement to the effect that the response is a firm and irrevocable offer of the respondent.

2. Responses to Minimum Qualifications (Section VI)

The respondent must describe in sufficient detail how the firm meets the Minimum Qualifications.

3. Responses to Questions (Section VIII)

The respondent must provide complete response to the questions contained within this RFP.

4. Representations and Warranties

The Representations and Warranties contained in Section XI hereof, signed by an authorized officer of the respondent, must be included as an attachment to the cover letter referenced in (1) above.

5. Disclosure Statement

Attached to this RFP as Exhibit B is a PRIM Disclosure Statement. Each firm submitting a response must complete the PRIM Disclosure Statement and submit it as an attachment to the cover letter referenced in (1) above. **YOU MUST COMPLETE THE PRIM DISCLOSURE STATEMENT OR YOUR SUBMISSION MAY NOT BE CONSIDERED.**

6. Fee Proposal

The fee proposal of the proposing firm must be submitted on the form contained in Section X hereof (the Fee Proposal).

C. Public Record and Website Posting

In accordance with Chapter 66, Section 10 and Chapter 4, Section 7(26) of the Massachusetts General Laws, upon the expiration of the Response Deadline, Responses to this RFP could be deemed to be public records, and as such could be subject to requests for public disclosure. Additionally, in accordance with Chapter 66, Section 19(b)(v) of the Massachusetts General Laws, the RFP Response that is submitted by the Respondent(s) selected to provide services to PRIM will be posted on PRIM's website (www.mapension.com).

D. Withdrawal/Irrevocability of Responses

Respondents may withdraw and resubmit Responses prior to the Response Deadline. No withdrawals or re-submissions will be allowed after the Response Deadline.

E. Waiver/Cure of Minor Informalities, Errors and Omissions

PRIM reserves the right to waive or permit cure of minor informalities, errors or omissions prior to the selection of finalists, and to conduct discussions with any qualified proposers and to take any other measures with respect to this RFP in any manner necessary to serve the best interest of PRIM and its beneficiaries.

F. Communications with PRIM

Respondents may withdraw and resubmit Responses prior to the Response Deadline. No withdrawals or re-submissions will be allowed after the Response Deadline.

The Procurement Officer for Information Technology Support Services is:

David Griswold
Director of Information Technology
Pension Reserves Investment Management Board
84 State Street
Boston, Massachusetts 02109
rfpresponses@mapension.com
Telephone: (617) 946-8418

As of October 17, 2022, persons and entities intending to submit a Response should not contact any PRIM staff, members of the Administration and Audit Committee or any other PRIM committees, members of the PRIM Board, or employees of the Massachusetts Treasury, other than the Procurement Officer(s) identified above. An exception to this rule applies to persons and entities currently doing business with PRIM, but any such contact made with persons other than the Procurement Officer must be limited to that business and must not relate to this RFP. In addition, Respondents should not discuss this RFP with any employee of PRIM's custodian, other PRIM managers, consultants, PRIM's legal counsel or other PRIM advisors.

FAILURE TO OBSERVE THIS RULE IS GROUNDS FOR DISQUALIFICATION

G. Questions Regarding this RFP

All questions concerning this RFP must be received by the Procurement Officer(s) by **3:00 p.m. EDT, November 7, 2022** (the "Question Deadline"), in writing, via e-mail, sent to rfpresponses@mapension.com. Questions received before the deadline will be answered and circulated by e-mail to all Respondents who have proposed a question. Respondents that have requested prior to the deadline, in writing, a copy of the questions and the responses will also receive them. Questions, or requests for a copy of the questions and the responses, that are received after the Question Deadline will not be considered.

H. Incurring Costs

PRIM will not be liable for any costs incurred prior to entering a contract with the selected proposer or proposers.

I. Rejection of Responses; Cancellation

PRIM reserves the right in its sole discretion to reject any response, as well as the right to reject all responses submitted in response to this RFP, and to cancel and rescind the procurement at any time, for any reason or for no reason.

V. SELECTION PROCESS AND SELECTION CRITERIA

PRIM will evaluate each response to determine if it was submitted in accordance with the requirements set forth in this RFP, including whether the proposing firm meets the Minimum Qualifications of Section VI.

Proposals will be evaluated by an Evaluation Committee which may include members of the PRIM Board, its advisory committees, and staff (the "Evaluation Committee"). If helpful to PRIM's evaluation, the Evaluation Committee may invite one or more respondents to PRIM for an interview.

The Evaluation Committee will assess the respondent's qualifications based on the following criteria:

1. Experience and stability of the team proposed to be dedicated to PRIM
2. Knowledge of subject matter
3. Qualifications and approach
4. Client References
5. Fee Proposal
6. The Evaluation Committee will then submit its results and make its recommendation to the PRIM Administration and Audit Committee, which will make a recommendation to the PRIM Board. The Administration and Audit Committee may accept the recommendations of the Evaluation Committee, and/or may recommend other or additional respondent(s) to the PRIM Board. The selections(s) will ultimately be made by the PRIM Board.

VI. MINIMUM QUALIFICATIONS

A respondent must meet the following minimum qualifications to be given further consideration. Failure of a firm to meet the minimum qualifications applicable to the services for which it is submitting a proposal will result in the proposal's rejection.

Please describe how your firm meets the Minimum Qualifications as outlined below:

Basic Minimum Qualifications.

1. The firm must have at least 8 full time technical staff members.
2. The firm must have technical staff with at least three (3) years' experience implementing and maintaining a Microsoft Windows 10 operating system end user environment.
3. The firm must have technical staff with at least three (5) years' experience implementing and maintaining Dell or Cisco networking equipment, Fortinet or equivalent firewalls, Dell server hardware and VMware virtualization technology.
4. The firm must have technical staff with at least three (3) years' experience working with virtual environments and cloud technologies.
5. The firm must have technical staff with at least three (3) years' experience implementing and maintaining Office 365 stack.
6. The firm must have technical staff with at least three (3) years' experience implementing and supporting SharePoint 2013 or newer versions.
7. The firm must have technical staff with at least three (3) years' experience implementing and supporting Microsoft SQL Server .
8. The firm must have technical staff with at least two (2) years' experience implementing and supporting a mobile device management solution.
9. The firm must have a location within 50 miles of the city of Boston.

VII. TENTATIVE TIMETABLE

The following is the tentative time schedule for the RFP. All dates are subject to modification by PRIM with notice, and any such modifications will be posted on PRIM's website.

Issuance of RFP:	October 17, 2022
RFP Question Deadline:	November 7 2022, 3:00 p.m. EDT
RFP Response Deadline:	November 21, 2022, 3:00 p.m. EDT
Notification of Finalists (Tentative):	On or before December 5, 2022
Evaluation Committee Interviews* (Tentative):	Week of December 12, 2022

Administration and Audit Committee Meeting (Tentative): February 2, 2023

PRIM Board Meeting (Tentative): February 16, 2023

Projected Commencement Date: June 30, 2023

*Any interviews will be held either at PRIM's offices in Boston, MA or remotely via Zia Zoom or other means.

Any questions should be directed to the Procurement Officer at:
rfpresponses@mapension.com.

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VIII. QUESTIONNAIRE

RESPONDENT: _____

ADDRESS: _____

TELEPHONE #: _____

E-MAIL ADDRESS: _____

CLIENT CONTACT: _____

SIGNED: _____

NAME (print): _____

TITLE: _____

DATE: _____

Please provide complete responses to the following questions:

1. COMPANY BACKGROUND AND GENERAL DESCRIPTION

Please provide a brief history of the firm including:

- The year of organization.
- The location of your firm's headquarters, any branch offices, and primary location where the relationship will be serviced.
- The ownership structure of the firm.
- Identify any affiliated companies, joint ventures and other entities that contribute in some way to your firm's management.
- Describe any material developments in your organization (changes in ownership, staff, business, etc.) over the past three years in detail.
- Are there any structural or financial changes contemplated in the next year (e.g., ownership, merger and acquisitions, products, etc.)? If yes, please explain.
- Is your firm or any principles subject to litigation or other proceedings alleging fraud, bad faith willful misconduct, or harassment?
- Is your organization a Minority Business Enterprise, a Women Business Enterprise or a Veteran Business Enterprise, certified by the Massachusetts Supplier Diversity Office (SDO) or by an agency equivalent to the SDO (and if so please indicate the name of the equivalent agency)?
- Is your organization a Disability-Owned Business Enterprise, an LGBT-Owned Business Enterprise, a Veteran-Owned Business Enterprise, a Service-Disabled Veteran-Owned

Business Enterprise, a Service-Disabled Veteran Disability-Owned Business Enterprise, or Veteran Disability-Owned Business Enterprise appearing in either:

- a) the Directory of Certified Businesses maintained by the Massachusetts Supplier Diversity Office (SDO) and its certifying partner organizations (the U. S. Business Leadership Network, the National Gay and Lesbian Chamber of Commerce, and the U. S. Department of Veterans Affairs); or
 - b) the directory of an equivalent certifying agency (and if so please indicate the name of the equivalent certifying agency)?
- The PRIM Board believes that diversity of thought leads to better decision making. Please describe how your organization works to foster diversity of thought. Please describe how your firm recruits and retains diverse employees, ensures wage-equality within your organization and the diversity of your top management and if applicable, on your board of directors. Please limit your response to no more than 1 page.

B. PEOPLE/ORGANIZATION

1. Please identify all professionals that would be involved in providing services to PRIM.
2. Please provide an organizational chart and biographies for those professionals you are proposing to service the PRIM engagement.
3. Please list any senior professionals that left in the past three years. Please discuss the causes and impact of that turnover.
4. The breakdown of staff on contract versus permanent employees and what percentage are based in the United States
5. How many proposed employees supporting this relationship would hold certifications and/or degrees and list them.

C. CLIENT COVERAGE AND REFERENCES

1. Please indicate the composition of your firm’s client base using the number and percentages of clients. Please explain if your firm’s client base is heavily weighted to any particular type of client.

Client Type	Number	Percentage
Public Pension Funds	_____	_____
Non-profits	_____	_____
Corporations	_____	_____
Other (Specify)	_____	_____
TOTAL	_____	100%

2. Please provide three (3) client references, including a name and contact information of an individual at each who can provide a reference for the respondent, of recipients of the respondent’s board governance and fiduciary education consulting services, with emphasis on public pension plan clients.

D. Information Technology Support Services

1. Would PRIM have a dedicated point of contact? Please provide a detailed description of the support model being proposed with resumes of the individuals who would provide primary support and customer service to PRIM.
2. Please describe your firms approach to information technology support and the scope of services that you would incorporate into an Information Technology Support Services relationship with PRIM. Provide a Service Level Agreement (SLA) schedule, and specifically address the following while providing detailed SLA definitions and processes:

Example SLA Schedule

Severity Level	Time to Respond	
	Business Day (8:00 AM – 6:00 PM)	Non-Business Day or After Hours
1-Critical	1 Hour or Less*	12 Hours
2-Major	8 Hours	Next Business Day
3-Average	24 Hours	N/A
4-Low	N/A	N/A

**The contractor is expected to respond to PRIM immediately when there are 1-Critical severity issues with the production system recognizing that these issues are critical to production operations.*

4. Describe how your firm handles client time and billing.
5. Describe how your firm handles client issue tracking, status notifications, and reporting.
6. Describe the access and interaction PRIM staff would have with your organization’s staff.
7. Describe your firms approach to cyber security and explain how PRIM data and PRIM systems accessed by your employees remains secure and safe.
8. Does your firm provide software support and development services? If so, what languages and platforms. If not, do you have relationships in place to support this requirement?
9. Describe your firms experience providing application support include all components of the system development lifecycle.

10. Describe your firm's philosophy for process and version control and system maintenance (e.g. system enhancement implementation, maintenance windows, notification to users, etc.)
11. Describe your firm's experience providing help desk and end user support for a user head count similar to PRIM.
12. Describe your firm's experience providing network and infrastructure support for an environment similar to PRIM.
13. Describe your firm's experience and methodology providing project management and support for implementations of new technologies and services.
14. Describe your firm's experience working with virtualization, data replication, backup methodologies.
15. Describe your firm's experience implementing and maintaining communications platforms such as a voice over IP phone system as well as meeting / collaboration technologies such as Zoom, Teams, Webex, etc.
16. Does your firm sell and/or service hardware? If so, list the companies for which you are a value added reseller. List the products you sell and/or service
17. Describe your firm's philosophy on leveraging the cloud for data center cost savings and disaster recovery purposes.
18. Describe two examples where you have provided these services to a client. Include the client name and be specific about the nature of the relationship.
19. What is your organization's capacity in terms of bandwidth and resources available to provide the support and services outlined in this request for proposal?
20. Please provide three current references. Indicate contact name, company name and address, phone number, and a brief description of the types of services you provided to them.

IX. FEE PROPOSAL

Please provide your most competitive fee proposal for all services listed in the Scope of Services section of this RFP.

X. REPRESENTATIONS AND WARRANTIES

All respondents are required to submit an executed copy of the following Representations and Warranties as an attachment to the cover letter described in Section IV.B.4. of this RFP:

- A. Respondent warrants that all the information it provides in the response to this RFP is true and correct and does not omit any material facts or responsive information.
- B. Respondent warrants that it will not delegate its responsibilities without prior approval from PRIM.
- C. Respondent warrants that it has not been in bankruptcy and/or receivership.
- D. Respondent warrants that it has completed, obtained, and performed any and all necessary registrations, filings, approvals, authorizations, consents or examinations required by a government or governmental authority for provision of the proposed services.
- E. Respondent warrants that it will adhere to its fee proposal outlined in the Fee Proposal of Section X.
- F. Respondent warrants that it meets all the Minimum Qualification requirements set forth in Section VI of this RFP.

Signature

Print Name

Title



XI. EXHIBITS



EXHIBIT A

PRIM OPERATING TRUST AGREEMENT

<https://www.mapension.com/records-of-interest/>



EXHIBIT B

PRIM DISCLOSURE STATEMENT

**COMMONWEALTH OF MASSACHUSETTS
PENSION RESERVES INVESTMENT MANAGEMENT BOARD**

DISCLOSURE STATEMENT

FIRM: _____
ADDRESS: _____

Firms seeking to provide investment management, consulting, custody, recordkeeping, auditing, and other professional services (the “engagement”) to the Commonwealth of Massachusetts Pension Reserves Investment Management (“PRIM”) Board and/or the Pension Reserves Investment Trust (“PRIT”) Fund must complete a disclosure statement providing complete and accurate responses to the questions below. Firms selected to provide such services to the PRIM Board and/or the PRIT Fund have a continuing obligation to update responses to these questions, in writing, immediately upon any change to such responses. The questions in this Disclosure Statement should be read broadly, and any perceived ambiguity should be resolved in favor of disclosure. Any questions concerning the disclosures required should be directed to the PRIM Board.

1. Provide a general description of your firm’s organizational structure, identify any managing partner(s), members of the management committee, officers and/or directors, and, for any affiliate entities, the managing partners, officers, and directors (all such individuals or entities hereinafter collectively referred to as the “Firm”).

[Insert response here.]

2. Identify any relationship of the firm, its joint ventures, consultants, lobbyists, subcontractors or third-party contractors that relate in any way to the engagement.

[Insert response here.]

3. Aside from the engagement, describe any services provided by the Firm to the PRIM Board and/or the PRIT Fund.

[Insert response here.]

4. Aside from the services described in response to Question 3, above, describe any services and/or donations provided by the Firm to the Office of the State Treasurer and Receiver General or any trust, board, commission or authority of which the State Treasurer and Receiver-General is a member or trustee by virtue of her office. (A list of such entities is attached.)

[Insert response here.]

5. Aside from the services and/or donations described in responses to Questions 3 and 4,

above, describe any services provided by the Firm to any of the political subdivisions of the Commonwealth.

[Insert response here.]

6. Did or will the Firm provide or share, agree to provide or share, or arrange to provide or share any compensation or benefit, direct or indirect, to any individual or entity for assisting the Firm in:
- a) Obtaining the engagement; or,
 - b) Performing the services required by the engagement.

If the answer to Question 6 is “yes,” provide for each the individual or entity

- a) The name and address of such individual or entity;
- b) A description of the assistance provided; and
- c) The compensation or benefit.

[Insert response here.]

7. Does the Firm have any ongoing relationship, arrangement or agreement with any individual or entity with respect to sharing compensation for services to:
- a) The PRIM Board and/or the PRIT Fund;
 - b) Any trust, board, commission, or authority of which the Treasurer is a member or trustee by virtue of her office; or
 - c) The Commonwealth of Massachusetts or its political subdivisions?

If the answer to Question 7 is “yes,” provide for each such individual or entity

- a) The name and address of such individual or entity;
- b) A description of the relationship, arrangement or agreement; and,
- c) The compensation shared.

[Insert response here.]

Signed under the penalties of perjury this _____ day of _____, 2020.

Name: _____
(Print)

Signature: _____

Title: _____



EXHIBIT C

TREASURER'S PRINCIPAL BOARDS, COMMISSIONS AND AUTHORITIES



TREASURER'S PRINCIPAL BOARDS, COMMISSIONS AND AUTHORITIES*

1. Advisory Board to the Comptroller – M.G.L. c. 7A, § 2
2. State Retirement Board – M.G.L. c. 10, § 18
3. State Lottery Commission – M.G.L. c. 10, § 23
4. Board of Bank Incorporation – M.G.L. c. 26, § 5
(Division of Banks and Loan Agencies)
5. Water Pollution Abatement Trust (now known as the Clean Water Trust) – M.G.L. c. 29C, § 2
6. Pension Reserves Investment Management Board – M.G.L. c. 32, § 23(2A)
7. Massachusetts Convention Center Authority – Chapter 190 of the Acts of 1982 §§ 31-48
8. Massachusetts School Building Authority – M.G.L. c. 70B, §§ 1A & 3A; *see also* M.G.L. c. 10, § 35BB
9. Teachers' Retirement Board – M.G.L. c. 15, § 16
10. Alcoholic Beverages Control Commission – M.G.L. c. 10, § 70
11. Health Care Security Trust – M.G.L. c. 29D, § 4
12. Commissioners on Fireman's Relief – M.G.L. c. 10, § 21
13. Economic Empowerment Trust Fund – M.G.L. c. 10, §35QQ

* The above-listed Boards, Commissions or Authorities are any which are a Treasury Department, Division or Affiliated Entity or by statute have a position which may be held by the State Treasurer and Receiver General or her designee.