

STATEMENT OF WORK



Consulting Statement of Work: GenAI Policy, Strategy, and Roadmap

Prepared for the City of Aurora

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INTRODUCTION

Following a successful Generative AI (GenAI) workshop conducted with IDC, the City of Aurora (City) wishes to advance its efforts to improve constituent services through leverage of artificial intelligence. Recognizing the transformative potential of GenAI, the City seeks to develop a GenAI policy, strategy, and short-term roadmap. These initiatives will serve as a framework to ensure the responsible, ethical, and effective integration of GenAI technologies into municipal operations, ultimately enhancing service delivery, community engagement, and operational efficiency. This document describes the proposed consulting approach to achieve these objectives.

PROJECTS OVERVIEW

Policy, Strategy, and Roadmap Development Project

The purpose of this project is to deliver a three-phase approach aimed at empowering the City of Aurora in its GenAI journey. The first phase (1) will establish a GenAI policy that aligns with the city's existing technology and responsibility frameworks, while addressing the unique challenges posed by GenAI. The second phase (2) will develop an GenAI strategy that is harmonized with the city's overarching goals and technical strategies, providing clear direction for GenAI initiatives. Finally, the third (3) phase will outline a short-term roadmap, identifying key initiatives essential to the successful implementation of the GenAI strategy.

Policy, Strategy, and Roadmap Refresh Project

Additionally, the City requests a refresh of the policy, strategy, and roadmap at the one-year anniversary of completing the third phase. This refresh will include a scaled-down version of the original project's data gathering and interviews to assess any changes within the City related to the GenAI policy, strategy, and roadmap. IDC will then update each document to reflect these changes, highlighting any significant adjustments, successes, or challenges in the City's progress.

DEVELOPMENT GENAI POLICY, STRATEGY, AND ROADMAP PROJECT

PHASE 1: POLICY DEVELOPMENT

STEP 1: KICK-OFF AND ALIGNMENT

Kick-off Call - 1-hour teleconference

- Schedule and organize the kick-off meeting with key stakeholders.
- Define the objectives, scope, and timeline of the policy development phase.
- Outline the specific data and documentation required for the policy review.
- Assign roles and responsibilities for data collection among the team.

- Discuss the communication plan for ongoing updates and feedback.
- Define how documentation will be shared

STEP 2: DATA COLLECTION AND REVIEW

- Identify and compile a list of existing GenAI-related policies within the City.
- Gather relevant non-AI policies that impact or intersect with GenAI, particularly those related to security, privacy, and transparency.
- Analyze the collected policies to identify gaps, overlaps, and areas needing enhancement.

STEP 3: DILIGENCE INTERVIEWS

- Identify key stakeholders and subject matter experts (SMEs) for interviews to clarify documentation received.
- Develop a list of questions and discussion points to clarify the documentation and policy requirements.
- Conduct interviews to gather additional context, insights, and clarification on existing policies and their application.

STEP 4: DEVELOP DRAFT GENAI POLICY

- IDC internal activity.
- Develop an initial draft of the GenAI policy, incorporating insights from the data collection, review, and interviews.
- Ensure that the policy addresses both current GenAI practices and future needs, aligning with existing frameworks.
- Include sections on ethical GenAI usage, data governance, privacy protection, and transparency.
- Circulate the draft policy among internal stakeholders for preliminary feedback

STEP 5: DRAFT GENAI POLICY REVIEW

1-hour teleconference

- Schedule a review meeting with the stakeholder to present the GenAI policy draft.
- Walk through each section of the policy, explaining key decisions, frameworks, and recommendations.

- Facilitate a discussion to gather the City's feedback and suggestions for further refinement.
- Document any additional changes requested by the City and plan the next steps for finalization.

STEP 6: FINALIZE POLICY

- Implement the final round of revisions based on the City's feedback.
- Prepare the final version of the GenAI policy, including any necessary supporting documentation.
- Confirm the policy's alignment with both existing city frameworks and future GenAI initiatives.

STEP 7: FINAL POLICY REVIEW AND PHASE CLOSE-OUT

1-hour teleconference

- Arrange a final review session with all relevant stakeholders.
- Address any last-minute concerns or questions and ensure consensus on the final policy.
- Phase 1 close out.

PHASE 2: STRATEGY DEVELOPMENT

STEP 1: KICK-OFF AND ALIGNMENT

Kick-off Call - 1-hour teleconference

- Schedule and organize the kick-off meeting with relevant stakeholders and team members.
- Define the scope, objectives, and timeline of the GenAI strategy development phase.
- Identify the specific strategy, organizational, and infrastructure documents needed for review.
- Assign responsibilities for data collection among team members.
- Establish a communication plan to ensure regular updates and feedback loops throughout the project.

STEP 2: DATA COLLECTION AND REVIEW

- Collect and compile City strategy documents, including long-term goals and priorities.
- Gather organizational charts to understand the structure and key decision-makers within the city.

- Review technology strategy documents to assess current and future technological plans and initiatives.
- Examine infrastructure documents to understand the existing and planned digital infrastructure supporting GenAI deployment.
- Analyze the collected documents to identify strategic alignment opportunities and potential gaps.

STEP 3: DILIGENCE INTERVIEWS

- Identify and schedule interviews with key stakeholders and subject matter experts (SMEs) to clarify strategic priorities and documentation.
- Develop a list of interview questions focusing on strategic goals, technology adoption plans, and GenAI readiness.
- Conduct interviews to gather additional context, insights, and clarification on the strategic direction.

STEP 4: DEVELOP DRAFT GENAI STRATEGY AND INTERNAL REVIEW

- IDC internal activity.
- Begin drafting the GenAI strategy, aligning it with the city's overall goals, technology plans, and infrastructure capabilities.
- Include sections on GenAI vision and strategic goals, strategic initiatives.
- Ensure the strategy addresses both immediate and long-term GenAI (3-year) opportunities and challenges.
- Internal review by IDC staff outside the project team.

STEP 5: DRAFT STRATEGY REVIEW

1.5-hour teleconference

- Schedule a review meeting with the City to present the revised GenAI strategy draft.
- Walk through each section of the strategy, explaining key decisions, frameworks, and proposed initiatives.
- Facilitate a discussion to gather the City's feedback and suggestions for further refinement.
- Document any additional changes requested by the City and plan the next steps for finalization.

STEP 6: FINALIZE STRATEGY

- Implement the final round of revisions based on the City's feedback.
- Prepare the final version of the GenAI strategy, including any necessary supporting documentation.
- Confirm the strategy's alignment with both existing city frameworks and future GenAI initiatives.

STEP 7: FINAL STRATEGY REVIEW AND PHASE CLOSE-OUT

1.5-hour teleconference

- Arrange a final review session with all relevant stakeholders.
- Address any last-minute concerns or questions and ensure consensus on the final strategy.
- Phase 2 close-out

PHASE 3: GENAI ROADMAP

STEP 1: DRAFT ROADMAP

- Based on the previous phases, IDC should be able to move straight into this final phase without a kick-off or additional meetings. If IDC feels it is necessary, they may request additional interviews to flesh-out any uncertainties they may have.
- Compile and analyze the information gathered from the GenAI Policy and Strategy phases to inform the roadmap.
- Identify key initiatives, milestones, and deliverables that align with the GenAI strategy.
- Prioritize initiatives based on impact, feasibility, and resource availability.
- Develop a high-level timeline for each initiative.
- Draft a roadmap document that outlines the short-term (up to 2 years) actions required to implement the GenAI strategy effectively.

STEP 2: DRAFT ROADMAP CLIENT REVIEW

1.5-hour teleconference

- Schedule a review meeting with the City to present the draft roadmap.

- Walk through each section of the roadmap, explaining the rationale behind the prioritization and sequencing of initiatives.
- Facilitate a discussion to gather the City's feedback, concerns, and suggestions for modifications.
- Document any revisions or additional inputs provided by the City.
- Plan for adjustments to the roadmap based on the City's feedback.

STEP 3: FINALIZE ROADMAP

- Implement any final revisions based on the City's review and feedback.
- Ensure all details are clear, actionable, and aligned with the GenAI strategy and policy.
- Conduct an internal review to confirm the accuracy, completeness, and feasibility of the roadmap.
- Finalize the roadmap document.
- Prepare a final presentation of the roadmap for formal approval by the City.

STEP 4: FINAL ROADMAP REVIEW AND PROJECT CLOSE-OUT

1.5-hour teleconference

- Organize a final review session with the City and relevant stakeholders to present the completed roadmap.
- Address any final questions, concerns, or adjustments needed before formal approval.
- Provide the City with all final deliverables, including the roadmap, strategy, and policy documents.
- Conduct a project close-out meeting to review the overall project, capture lessons learned, and discuss potential next steps or follow-up projects.

DEVELOPMENT PROJECT KEY DELIVERABLES

- AI Policy – draft and final
- AI Strategy – draft and final
- AI Roadmap – draft and final

Deliverables may be developed in either MS Word or MS PowerPoint and will be delivered in Adobe PDF.

DEVELOPMENT PROJECT TIMELINE AND INVESTMENT

Note: Key determinant in meeting typical timelines is the ability of the City to provide requested documentation, interviews, etc. in accordance with the agreed timeline. Delays in participation or delivery may impact delivery timelines. Delivery timelines do not include potential holidays or vacations of key stakeholders.

- Phase 1: Four Weeks.
- Phase 2: Eight Weeks.
- Phase 3: Six Weeks.

Investment: \$86,570

REFRESH POLICY, STRATEGY, AND ROADMAP PROJECT

The City requests a refresh of the policy, strategy, and roadmap at the one-year anniversary of completing the third phase. This refresh will include a scaled-down version of the original project's data gathering and interviews to assess any changes within the City related to the GenAI policy, strategy, and roadmap. IDC will then update each document to reflect these changes, highlighting any significant adjustments, successes, or challenges in the City's progress.

This refresh will include the same phase. Due to the scaled-down nature of any refresh, this will adjust timeline and investment requirements of the city.

PHASE 1: POLICY REFRESH

STEP 1: KICK-OFF AND ALIGNMENT

STEP 2: DATA COLLECTION AND REVIEW

STEP 3: REFRESH INTERVIEWS

STEP 4: REFRESH GENAI POLICY

STEP 5: REVIEW REFRESHED GENAI POLICY WITH CITY SPONSOR

STEP 6: FINALIZE POLICY

STEP 7: REFRESHED POLICY REVIEW AND PHASE CLOSE-OUT

PHASE 2: STRATEGY REFRESH

STEP 1: KICK-OFF AND ALIGNMENT

STEP 2: DATA COLLECTION AND REVIEW

STEP 3: REFRESH INTERVIEWS

STEP 4: REFRESH GENAI STRATEGY AND INTERNAL REVIEW

STEP 5: REVIEW REFRESHED STRATEGY

STEP 6: FINALIZE STRATEGY REFRESH

STEP 7: REFRESHED STRATEGY REVIEW AND PHASE CLOSE-OUT

PHASE 3: GENAI ROADMAP REFRESH

STEP 1: REFRESH ROADMAP

STEP 2: DRAFT ROADMAP REFRESH CLIENT REVIEW

STEP 3: FINALIZE ROADMAP REFRESH

STEP 4: FINAL REFRESHED ROADMAP REVIEW AND REFRESH PROJECT CLOSE-OUT

REFRESH PROJECT KEY DELIVERABLES

- AI Policy – draft refresh and final refresh
- AI Strategy – draft refresh and final refresh
- AI Roadmap – draft refresh and final refresh

Deliverables may be developed in either MS Word or MS PowerPoint, and will be delivered in Adobe PDF.

REFRESH PROJECT TIMELINE AND INVESTMENT

Note: Key determinant in meeting typical timelines is the ability of the City to provide requested documentation, interviews, etc. in accordance with the agreed timeline. Delays in participation or delivery may impact delivery timelines. Delivery timelines do not include potential holidays or vacations of key stakeholders.

- Phase 1: Three Weeks.
- Phase 2: Six Weeks.
- Phase 3: Four Weeks.

Investment: \$50,000

TOTAL INVESTMENT (DEVELOPMENT PROJECT AND REFRESH PROJECT)

This investment is the combination of the investment for the initial development project and the subsequent refresh project.

Investment: \$136,570

Year 1 Investment for the GenAI Policy, Roadmap and Strategy - \$86,750

Year 2 Refresh of the GenAI Policy, Roadmap and Strategy - \$50,000

OVERALL ASSUMPTIONS

- Any scope changes must be mutually agreed upon by the City sponsor and IDC engagement manager and be documented in writing. Scope changes may impact investment and timeline.
- Overall duration is highly dependent on the City's ability to provide resources, documentation, and participate in a timely fashion.
- City identifies an empowered project manager who has executive sponsorship. The project manager works with IDC to facilitate scheduling of meetings and interviews, helps collect collateral, identifies appropriate staff to attend interviews, briefings, reviews, and clarification sessions.
- City ensures timely staff participation in interviews to meet the project timeframe.
- Work, meetings, and final presentations are performed remotely, unless mutually agreed otherwise.
- If travel is required, based on agreement between the City and IDC, and with advanced approval by the City, this would be expensed at cost to the City.
- City project manager and IDC engagement manager have regularly scheduled meetings to ensure an effectively managed project.
- A best effort will be made to schedule all meetings to end by noon Eastern time to account for some consultants working in the Netherlands.
- Phase 1 kick-off is typically 30 days after signature of the statement of work.

EXPENSES

Unless travel is required, no expenses are anticipated by IDC for this project.

TRAVEL

If the City requests IDC travel, IDC will expense at cost to the City. Travel must be mutually agreed, and any travel must be pre-approved in writing by the city.

VALIDITY OF PROPOSAL

The costs provided in this proposal will be valid for one month from the date of issue of this proposal.

CORE IDC PERSONNEL

Note: Depending on procurement timelines, personnel may be changed due to scheduling conflicts. Additional IDC personnel may be engaged in this project as needed.



Daniel Saroff
Group Vice President, Consulting and Research Services

Daniel Saroff is Group Vice President of Consulting and Research at IDC, where he is a senior practitioner in the end-user consulting practice. This practice provides support to boards, business leaders, and technology executives in their efforts to architect, benchmark, and optimize their organization's information technology. IDC's end-user consulting practice utilizes our extensive international IT data library, robust research base, and tailored consulting solutions to deliver unique business value through IT acceleration, performance management, cost optimization, and contextualized benchmarking capabilities.

Mr. Saroff also leads the CIO/End-User Research Practice at IDC. This practice provides guidance to business and technology executives on how to leverage technology to achieve innovative and disruptive business outcomes. IDC's research enables clients to create grounded business and technology strategies and empowers IT leaders to deliver services and innovation that drive business growth and success.

Mr. Saroff has over twenty years of experience in senior-level positions in both consulting organizations and delivering technology. Prior to joining IDC, he served as the **CIO for a major Massachusetts state agency**, where he led the agency through cloud migrations, digital transformation, technology modernization, enterprise platform reengineering, security in-depth and zero trust, and defense and response to a major cyber-attack. He also held consulting positions at both Forrester and Gartner and was an IT Director at a major aerospace and defense company. Before joining IDC, he owned a private IT management consultancy.

In addition to his work in technology and consulting, Mr. Saroff co-founded and managed a neuroscience research laboratory focused on Alzheimer's Disease and published multiple peer-reviewed research articles.

Mr. Saroff is the Engagement Manager. He is responsible for ensuring quality and completeness of the consulting service, client satisfaction, and delivery.



Diederik Wortmann
Senior Consultant

Mr. Wortmann is an experienced IT management consultant specialized in benchmarking and information management. For IDC, Mr. Wortmann is active in the fields of benchmarking, IT sourcing and consulting.

In addition to the functional business side of IT, Mr. Wortmann has a strong appreciation for technology and the inner workings of IT. By combining the functional and the technical, Mr. Wortmann is able to help IT managers make the right decisions through benchmarks and detailed analyses.

Outside of IDC Metri, Mr. Wortmann fills the function of Data Manager at the International Software Benchmarking Standards Group. The mission of ISBSG is to help organizations improve the planning and management of software projects.

TERMS AND CONDITIONS

Validity of the proposal

This offer remains valid until September 30, 2024

Liability

IDC's liability is restricted to using reasonable measures to ensure that its information and advice are accurate, impartial, and correct. However, IDC does not accept any responsibility for any loss or damages (including consequential or indirect damages) arising from any interpretation or use of information or advice received from IDC.

Project delays

The timelines of the project, as described in this proposal, are dependent on the City providing documentation and information, and availability of individuals in accordance with the project plan.

Applicable law

This agreement will be subject to applicable laws.

Non-Disclosure and Copyright

IDC and the client shall each keep confidential the other's trade secrets and confidential information and shall not disclose them to any third party without the prior written consent of the other. IDC is entitled to use the client's data anonymously for the IDC database. All of IDC's publications and information are copyright and IDC retains all rights to all documentation and works until full payment is received. Copying of any information published by IDC is strictly prohibited.

Responsibility

IDC Research, Inc. (IDC) ensures that the information we receive from the customer is not available to others than those directly involved in the project. IDC is not responsible for the way in which the advice is used or interpreted within the client's organization.

This Statement of Work (“**SOW**”) is entered into as of the Effective Date by the IDG entity (“**IDG Company**”) and the client entity (“**Client**”) identified below subject to the terms and conditions (including special terms) identified below (collectively the “**Terms**”). If the terms of the SOW conflict with the Terms, the terms of the SOW will control, but only as to the subject matter of the SOW. IDG Company reserves the right to rescind this offer if the SOW is not executed within thirty (30) days of the date of this SOW.

Client	City of Aurora, IL 44 E Downers Place, Auora, IL 60507	Client Contact	Michael Pegues peguesm@aurora.il.us
IDG Company	IDC Research, Inc. 140 Kendrick Street, Building B Needham, MA 02494	PO Required?	<input checked="" type="checkbox"/> yes
Bill to Entity and Address	Same as Client	Bill to Contact	Michael Pegues peguesm@aurora.il.us
Ship to Entity and Address	Same as Client	Ship to Contact	Michael Pegues peguesm@aurora.il.us
Effective Date:	October 1, 2024	Payment Terms	Invoices due upon receipt
Initial Term	From the Effective Date until the expiration of the External Use Period or acceptance of all Deliverables, whichever is later.		
Terms and Conditions:	IDC GSA Terms and Conditions as agreed to by both parties		

1. Services and Deliverables

IDG will perform and deliver the following services (the “**Services**”) including deliverables that may be provided as part of the Services (the “**Deliverables**”). Service and Deliverable descriptions are provided in Section 2 below.

Products and Services – Custom Consulting	Subscription Period (Term)	Annual Investment*
<p>Policy, Strategy, and Roadmap Development Project</p> <p>The purpose of this project is to deliver a three-phase approach aimed at empowering the City of Aurora in its GenAI journey. The first phase (1) will establish a GenAI policy that aligns with the city's existing technology and responsibility frameworks, while addressing the unique challenges posed by GenAI. The second phase (2) will develop an GenAI strategy that is harmonized with the city's overarching goals and technical strategies, providing clear direction for GenAI initiatives. Finally, the third (3) phase will outline a short-term roadmap, identifying key initiatives essential to the successful implementation of the GenAI strategy.</p> <p>Policy, Strategy, and Roadmap Refresh Project</p> <p>Additionally, the City requests a refresh of the policy, strategy, and roadmap at the one-year anniversary of completing the third phase. This refresh will include a scaled-down version of the original project's data gathering and interviews to assess any changes within the City related to the GenAI policy, strategy, and roadmap. IDC will then update each document to reflect these changes, highlighting any significant adjustments, successes, or challenges in the City's progress.</p>	<p>October 1, 2024 – February 28, 2025</p> <p>October 1, 2025 – December 31, 2025</p>	<p>Year 1: \$86,750</p> <p>Year 2: \$50,000</p>

2. Miscellaneous Terms

A. **Use.** Unless expressly stated otherwise in the applicable description of the Service in Section 2, all use rights are limited to internal, non-commercial use subject to the restrictions in the Terms. Where External Use is granted, the External Use is limited to the use set forth in the applicable description of the Service. All other External Use (including e.g., in references, press releases, ads, collateral, or white papers) requires prior written approval from IDG Company and may be subject to additional fees.

B. **Client-Owned Deliverables.** Client shall, upon delivery, own all right, title, and interest in the Deliverables designated as Client-Owned in the applicable description of the deliverable above, subject to IDG Company's pre-existing Intellectual Property rights.

C. **Co-Branding.** If mutually agreed in writing, Deliverables may include applicable IDG Company business/brand logos. Use of standalone IDG Company brand logos is not permitted. Client agrees to comply with any logo style and trademark use guidelines provided by IDG Company.

D. **Milestones and Delays.** IDG Company will provide milestones, timelines and requirements as applicable to the Service. In the event Client misses or exceeds deadlines, all deadlines for IDG Company's performance shall be extended by a period of time equal to the length of delay. If due to Client's delays the Service is not completed within six (6) months of the original Service completion date, IDG Company reserves the right to immediately close out the Service upon written notice. In the event of such close-out, Client remains responsible for all Service fees and pre-paid fees will not be refunded.

3. Payment

The terms and pricing in this SOW are exclusive to Client, are IDG Company's Confidential Information, and may not be redistributed. Client will be invoiced as set forth in the schedule below.

Invoicing Schedule: Invoices are Due N30 upon receipt

Year 1

50 % Upon signature of contract	\$43,285
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50 % Upon completion of contract	\$43,285
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Year 2

50 % Upon signature of contract	\$25,000
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50 % Upon completion of contract	\$25,000
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Total	\$136,570
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Accepted and agreed to as of the Effective Date by the parties' authorized representatives.

City of Aurora, IL	[IDG Company]
By:	By:
Name: Michael Pegues	Name: Robert Weber
Title: Chief Information Officer	Title: Group Vice President
Date:	Date:
Email for Notices: peguesm@aurora.il.us	Email for Notices: Legal@idg.com