Template C – Scope of Work – 60 points

Corporate Background and Custody Capabilities

1. Provide a brief history of your organization to include how long the firm has provided Institutional Global Custody services.
2. Describe the structure of your global custody account administration to include a complete description of the account team that would be assigned to the City & County, client account executives, and the administrative units that support this product.
3. How are trade fails handled?
4. Describe the firm’s process for resolving client issues.
5. Describe your reconciliation process for securities held as well as your process ensuring the trade details match the information communicated through the trade input process.

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| --- | --- | --- |
|  | YES | NO |
| Does your firm have a dedicated custody group devoted specifically to the government space?  |  |  |
| Are trades, maturities and income collection done on a theoretical settlement basis? |  |  |
| Does your firm assume responsibility for follow up on uncollected items? |  |  |
| Do you have a custody platform dashboard that is used for client trade input along with real time transaction monitoring and reporting? |  |  |
| Does your system provide daily pricing and is that information exportable? |  |  |
| Does your firm offer security lending? |  |  |
| Does your firm offer an institutional sweep option to ensure cash does not stay idle? |  |  |
| Does your custody platform allow account transactions to be downloaded into a file form that can be uploaded into an investment accounting system? |  |  |
| Does your custody platform have a robust reporting system that allows users to create ad hoc reports? |  |  |
| Do you offer mobile and remote access to your custody platform? |  |  |

Transition, Implementation, and Training

1. Describe the Methodology for Transition of Custody Services:
* Define clear roles and responsibilities among the client, vendor, and third-party partners.
* Establish a detailed timeline with key milestones and deliverables.
* Assign a dedicated transition manager to oversee implementation and troubleshoot issues.
1. Describe the Training of Custody Services:
* Develop a comprehensive training schedule tailored to user roles and system functionalities.
* Offer in-person and virtual training sessions to ensure accessibility.
* Provide ongoing training resources such as user manuals, FAQs, and helpline support.
1. Describe the Data Migration and Backloading for Transition of Custody Services:
* Describe the approach and plan to facilitate data mapping and alignment with new systems.
* Conduct a full audit of historical data to ensure accuracy and completeness.
* Implement secure transfer protocols to safeguard sensitive information during migration.
1. Describe the Contingency measures for Transition of Custody Services:
* Create fallback plans to address potential delays or errors during transition.
* Maintain overlapping services with existing custodians to ensure uninterrupted operations.
* Regularly update stakeholders on transition progress and any adjustments to timelines
1. Describe the Post-Implementation Review of Custody Services:
* Conduct a thorough evaluation of system performance and service delivery.
* Address user feedback to optimize system functionality and user experience.
* Schedule regular review meetings to monitor ongoing compliance and service quality

Please limit responses to no more than 10 pages.