REQUEST FOR PROPOSAL (RFP)

For the Acquisition of

CONSTITUENT RELATIONSHIP MANAGEMENT (CRM) SOLUTION

RFP 12-03

Release Date: September 13, 2011

Due Date: October 25, 2011 at 5:00pm PST

CITY OF CARLSBAD
1635 Faraday Avenue
Carlsbad, CA 92008

Project Manager
Dave Curtis
Deputy Library Director
Dave.Curtis@carlsbadca.gov
760.602.2010

◆ GENERAL INFORMATION ◆

City of Carlsbad, California

For Purchase and Implementation of Constituent Relationship Management (CRM) Solution

RESPONSE IS DUE PRIOR TO:

October 25, 2011 @ 5:00pm PST
Late proposals will not be accepted

Please send submissions to: Dave Curtis, Deputy Library Director, City of Carlsbad, 1775 Dove Lane, Carlsbad, CA 92011 Attn: CRM RFP 12-03.

FOR ADDITIONAL INFORMATION CONCERNING THIS REQUEST PLEASE CONTACT:

Dave Curtis
Project Manager
760-602-2010
Dave.Curtis@carlsbadca.gov

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Section 1 – Goal

The City of Carlsbad is looking to implement a centralized non-emergency call center which can be achieved through the following approaches:

1. Procuring CRM Software and staffing a call center with City of Carlsbad employees in a city owned building, or

2. Outsourcing to a professional services firm that would provide CRM software and staffing, possibly in a City of Carlsbad facility.

Project Objectives

Through the CRM project, Carlsbad is striving to achieve specific goals, including:

➤ Continuous improvement of responsiveness to the public through monitoring and measuring performance – develop closed-loop processes that cross departmental lines and provide the data to show how efficiently services are provided

➤ Centralization of city services – eliminate multiple city phone numbers in the telephone book by providing a single point of contact for the public

➤ Support Carlsbad's objective of enhanced responsiveness and accountability. Successful implementation will provide the public with a higher quality of service delivery and accountability, while helping Carlsbad achieve efficiencies through transparent operations

The city is seeking the following benefits from the CRM solution:

Constituent Benefits
➤ Provide a single phone number to the general public for all the information and government services channels
➤ Provide multiple means of connecting with the city (phone, web self-service, Smartphone access)
➤ Eliminate the need for the public to understand government organization to connect with appropriate department
➤ Minimize call referrals and transfers
➤ Provide service request tracking and accountability

Municipal Benefits
➤ Provide data and information essential for both executives and departmental personnel to make improved budgetary and resource allocation decisions
➤ Create a mechanism for departmental integration
➤ Graphically, through use of GIS capabilities, map trends and patterns which show areas of significant service requests by type
➤ Improved process efficiencies and citywide budget savings
➤ Provide management reports and tools including:
  o The number, nature, and status of all service requests in a defined area
  o The department(s) responsible for fulfilling requests
  o Time to complete service requests
➤ Have the visibility and capability to access constituent services information across all governmental organizations
➤ Track individual requests for service that are of interest to staff or council for personal follow-up, as desired

The city wishes to accomplish this goal through one of two ways. The city welcomes responses from software vendors that can implement a solution that will be operated by internal city staff. In addition, the city is interested in learning about alternative service delivery models for deploying their CRM/Call center solution. Therefore, the city also welcomes submissions from service-oriented firms such as systems integrators (SI) or outsourcing firms that provide call center services. It would be appropriate for software vendors to partner with SI/outsourcing firms.

Section 2 - Notice to Vendors

The City of Carlsbad invites interested vendors to submit a proposal for the sale and implementation of a Constituent Relationship Management (CRM) solution.

Only proposals prepared in compliance with the instructions and document formats specified by this Request for Proposal (RFP) will be considered compliant. To ensure that misrepresentation does not occur, please seek clarification from the Project Manager identified in this document of any requirements that are not understood.

The City of Carlsbad reserves the right to reject any or all proposals or parts thereof. The City also reserves the right to waive any irregularities, inconsistencies, or take what other action is appropriate as determined by the city to be in the best interest of the city.

Proposals must be prepared simply and economically, providing a straightforward, concise description of capabilities to satisfy the requirements of this RFP. Emphasis should be on completeness and clarity of content with sufficient detail to allow for accurate evaluation and comparative analysis.

The selected vendor will be expected to sign a professional services agreement with the city. A sample of the professional services agreement is attached as Attachment 1 for your review. These terms and conditions will form the basis of key sections of the required agreement between the city and the successful vendor. Terms and conditions of the agreement will be modified only by mutual consent of the city and the contractor. Any requests to use an alternative contract/agreement form, such as a proprietary licensing or maintenance agreement, must be presented at the time of proposal. Any agreement shall be governed by and construed in accordance with the Carlsbad City Charter, and the laws of San Diego County and the State of California.

Section 3 - Background

Carlsbad Background

The City of Carlsbad, California, is located 35 miles north of the City of San Diego on the southern California coast. The city serves an area of 42 square miles with a population of over 100,000. It is anticipated that build-out will occur within 20 years with an ultimate population of approximately 120,000. We can be found on the web at: **www.carlsbadca.gov**. The city incorporated in 1952, and has a Council/Manager form of government. The City Council consists of a Mayor and four Council Members. The city's fiscal year begins on July 1 and ends on June 30. The combined operating budget for the city is in excess of $112 million with a capital budget of approximately $49 million. The City of Carlsbad has approximately 600 full-time employees and 225 part-time employees. It is organized into 21 departments and agencies

spread over 30 locations. The city is a full service city, with the standard functions of public works, community development, parks, recreation and library departments. It also includes water, waste water and reclaimed water services, as well as police and fire services.

Business Case Findings

The City of Carlsbad has embarked on an initiative to develop a CRM road map. Exploration of this technology was sparked by Carlsbad's desire to further improve its current high level of customer service and provide services to the public in a more efficient and effective manner over the long term.

Currently, the City of Carlsbad uses a decentralized service delivery model. Departments are contacted directly at different numbers available in the blue pages or on the city's website. In an effort to improve the current system, the CRM Road Map project focused on developing the foundation for a unified, efficient and responsive customer service system that will provide multiple, effective connections between government and its constituents, both external and internal, with the goal that every transaction and contact follows the shortest path to a satisfactory resolution.

Current State Assessment

During the on-site interviews several goals for deploying a CRM solution were identified, including:

- Centralization of customer service within the city
- Desire for continuous improvement in responsiveness to the public
- Development of a citywide performance management program
- Creation of Service Level Agreements (SLAs)

The business case confirmed that while there is an emphasis and focus on providing high levels of customer service throughout the city, there are several opportunities for improvement. These issues have resulted in limited departmental accountability to the public and an inefficient approach to servicing requests. Some of the team's key findings include:

- Inconsistent departmental approaches to customer service
- Lack of documented processes and procedures for addressing service requests
- Limited integration of back-office systems (e.g., one software program working with other software programs)
- Technologies used to track calls differs by department
- Lack of SLAs to monitor department fulfillment of requests
- Employees have challenges adapting to new technology
- Call intake and fulfillment processes differ by department
- There is no automated process for "closing the loop" to inform the caller that work is completed
- "Cold" transfer of calls frequently occurs. In addition, callers frequently do not receive the name or number of the person they are being transferred to

These issues create inconsistent levels of customer service and challenges in coordinating both intra- and inter-departmental service requests, potentially resulting in a poor experience.

Initial Phase Teams

Six departments/teams were identified for the initial deployment. These included:
1. Solid Waste
2. Transportation
3. City Manager
4. Housing & Neighborhood Service (HNS)
5. Parks & Recreation (P&R)
6. Stormwater

Call Volume Analysis

The following are the monthly inbound estimated call volumes for the initial teams

Department/Team	Monthly Calls
Solid Waste	808
City Manager	501
Parks & Recreation	2,179
Transportation	1,003
HNS	1,827
Stormwater	45
Total	**6,363**

Current Computing Environment

There are approximately 870 networked HP PC clients connected to HP servers citywide. The desktop PC's are Pentium's, each with local drives running Windows XP with Internet Explorer browser, Microsoft Exchange and Microsoft Office application suite. The network topology is 10/100/1000MB Ethernet to the desktop with a 1000MB server backbone.

Microsoft Windows/Active Directory is the primary network OS for file, print and authentication services with Microsoft and UNIX servers used for application services. The Microsoft directory and NIS are synchronized using Novell's Identity Manager to enable single password utilization and user creation via the City's HRIS system.

Several HP servers are designated as application servers running Windows 2003/2008 OS and MS SQL 2005 databases for general city applications, including ESRI's GIS, Accela's Permits Plus, FileNet's Document Management System, and Hansen's work orders. In addition, there are HP9000 servers running HP/UX, Informix database system, Sungard financials, and Harris utility billing applications. All of the above mentioned servers reside at the Faraday data center.

The City has an integrated enterprise backup and restore tape library system made by StorServer, Inc. It utilizes Tivoli backup software, an internal server and a QualStar tape library

and online storage area network (SAN). All servers citywide are backed up to this device. It is also used to backup servers attached to the City's Compellent Technologies SAN.

The City's wide area network (WAN) consists of over 20 sites connected via point-to-point T1's, or private OPT-E-MAN Ethernet from AT&T. TCP/IP is the primary protocol. Wireless access is available at several city sites providing secured local network access and open Internet access.

Several of the City's specialized applications are provided off site via the Internet from online vendors such as the Library's SIRSI card catalog systems and BPOS collaboration suite provided by Microsoft.

Alternate Data Center / DR Site

The City has an alternate data center for disaster recovery and testing purposes. Those systems and data with shortest return-to-operation timeframe are replicated at the alternate site. This includes UNIX/Informix systems for financials and utility billing, a Windows SQL system for the document management and other systems as determined. There is a 50Mbit connection (OPT-E-MAN) between the Faraday data center and the DR site that is used for site-to-site data replication and Internet failover.

Internet Access and Security

Primary Internet access is provided through AT&T at two primary sites. One site located at the primary data center and the second at the disaster recovery site. Each location has a 50 or 20Mbit OPT-E-MAN Ethernet connection. Internet access is protected using multiple parallel firewalls configured to provide specialized services.

More specifics to the computing environment relative to this project are as follows:

- Network Infrastructure
  - TCP/IP
  - Ethernet 10/100/1000Mb
  - Cisco PIX/ASA firewalls
  - Cisco routers for wide area communication
  - Cisco 10/100/1000Mb switches to desktop
  - Gigabit switches at some large sites for server connections
  - Adtran wide area communication equipment handles point-to-point T1 connections
  - 50Mbit connection between the primary and alternate data center
  - Ten sites connected via AT&T OPT-E-MAN Ethernet 10Mb – 50Mb

- Network Servers
  - HP Intel Servers (qty < 100)
    - Multiple sets of failover ESX VMware servers providing over 50 VM servers
    - Microsoft 2003 and 2008 servers with Active Directory
    - Novell's Identity Manager for AD and UNIX NIS user and directory synchronization
    - Microsoft domain controller and file and print at several sites
    - Faraday data center is central hub for most remote sites file and print access

  - HP UNIX Servers (qty 2)
    - HP UX 11

- 1 production, 1 test/DR
- 1.3 TB raw data
- 900 GB in use

- Databases
  - Informix 9.4 on HP UX
  - MS SQL 2005 on Windows 2003

- Collaboration
  - Outlook, SharePoint, Live Meeting and IM are delivered via Microsoft's hosted BPOS

- Desktop PC's (4 year replacement cycle)
  - HP Small Form Factor Computer
  - 800+ Windows XP OS
  - Standard application include:
    - MS Office 2010
    - Symantec anti-virus
    - ZenWorks

- Data Storage Summary at the Faraday Data Center
  - 30 Terabytes of raw disk
  - 12 Terabytes of configured disk space
  - 11 Terabytes utilized
  - 30% year-over-year growth
  - No formal archiving process

- Percent of Storage by Platform
  - Microsoft = 80%
  - HP/UX = 20%

- Enterprise Backup and Restore
  - StorServer tape library with Tivoli Storage Manager software
  - Two LTO-4 tape drives
  - 40 tape slots each tape will hold 800 GB
  - Total tape capacity is unlimited
  - Online backup SAN storage 16.9 TB

  - IT Staff
    - 4 application specialists
    - 4 network specialists
    - 3 desktop support
    - 3 GIS specialists
    - 1 Database Administrator
    - 1 Webmaster
    - 1 voice support specialist
    - ½ for administrative support
    - 4 IT/GIS managers

Section 4 - Legal and Contractual Guidelines

By virtue of submitting a proposal, interested parties are acknowledging:

- This RFP is a request to purchase or otherwise acquire rights to use software and professional services required to implement/train new users on the software. As such, proposals without an implementation mechanism will not be considered. The City reserves the right to reject the successful firm's selection of subcontractors.

- Carlsbad reserves the right to reconsider any proposal submitted at any stage of the procurement. It also reserves the right to meet with select proposers at any time to gather additional information. Furthermore, Carlsbad reserves the right to delete or add functionality (i.e., modules and components) until the final contract signing.

- All third-party solutions proposed as part of this package are subject to the same guidelines of this RFP, unless otherwise stated.

- Pricing must be submitted on a "not-to-exceed" basis. If there is a "residual" amount at the end of the project (the difference between total implementation contract amount and actual total costs), Carlsbad will retain the difference. In contrast, if the cost ceiling is exceeded, the vendor is to finish the work at no additional compensation unless Carlsbad does not meet specific assumptions outlined in the proposal. Carlsbad reserves the right to ask proposers to resubmit proposal pricing. All firms submitting proposals are encouraged to submit the most competitive proposal possible as the failure to do so may lead to elimination prior to software demonstrations.

- This RFP, its general provisions, and the terms and conditions identified in *Attachment 1* shall be incorporated in any agreement resulting from this solicitation. This is only a sample contract, and the actual contractual terms may differ.

- Carlsbad reserves the right to reject any or all proposals and to waive technicalities and informalities when such waiver is determined by Carlsbad to be in their best interest.

- When responding to this RFP, please follow all instructions carefully. Please submit proposal contents according to the outline specified and submit all hard copy and /or electronic documents according to the instructions. Failure to follow these instructions may be considered an unresponsive proposal and may result in immediate elimination from further consideration.

Retention of Proposals

All proposals submitted become the property of the City of Carlsbad and therefore will be in the public domain upon completion of the RFP and vendor selection process. The City of Carlsbad will maintain one copy of each response submitted for a period of two years.

Inquiries

The vendor submitting the questions/requests will be responsible for its prompt delivery. Any change in the RFP will be made only by written addendum, duly issued by Carlsbad and posted (http://www.carlsbadca.gov). It is the proposer's responsibility to ensure that they frequent the city's website to guarantee that they receive all required RFP content. Any questions submitted after October 10, 2011 at 5:00pm PST will not be answered.

Selection Consultant

Carlsbad has retained the services of Stern Consulting for this project. The consultant's role is to provide information and analytical services to support the procurement process. The decision to select software and services suppliers is solely that of Carlsbad. Stern Consulting is not a member of the evaluation committee.

Assignment

The vendor may not reassign any award made as the result of this RFP without prior written consent from Carlsbad, whose sole discretion may not be challenged or disputed.

Pre-Proposal Bidder's Conference

A non-mandatory pre-proposal conference shall be held on Tuesday October 4, 2011 from 1:30pm-3:00pm PST at 1635 Faraday Avenue in Carlsbad. Attendees may also attend the conference remotely by calling into the following number: **(877) 594-8353** with Meeting ID: **99099356** then **#**. The purpose of this pre-proposal conference is to provide an overview of the RFP and answer questions concerning the RFP. Questions should be submitted in writing by September 26, 2011 prior to 5:00pm PST via email to the attention of Dave Curtis at Dave.Curtis@carlsbadca.gov.

Timeline for Proposal Selection

Date	Action
September 13, 2011	Distribute CRM RFP to vendors
September 26, 2011 5:00pm PST	RFP pre-bidder's conference questions due
October 4, 2011 1:30am PST	Conduct bidder's conference
October 10, 2011 5:00pm PST	Last date to submit vendor questions
October 25, 2011 5:00pm PST	RFP responses due
November 17, 2011	Notify vendors that have been elevated to present to Carlsbad
December 16, 2011	Vendors on-site presentations to Carlsbad staff completed

| January 13, 2012 | Notify top two vendors of elevation to negotiations phase |
| February 3, 2012 | Select winning vendor and initiate negotiations |

Please note: The City of Carlsbad reserves the right to change the dates as needed.

Contact Prohibition Clause

During the entire course of this procurement, all vendor contact with Carlsbad should be exclusively with Dave Curtis, the city's CRM project manager. Vendors are prohibited from speaking to any other Carlsbad employees, elected officials, or with personnel from Stern Consulting. Vendors will have the opportunity to email questions to Mr. Curtis prior to the bidder's conference and will be able to ask questions at the conference. If a vendor attempts to initiate contact with an employee or consultant other than Mr. Curtis that may constitute grounds for disqualification from this procurement.

Scope Changes, Additions and Deletions

All changes in proposal documents shall be through written addendum. Verbal information obtained otherwise will NOT be considered in the award process.

Proprietary Information

Any restrictions on the use of data contained within a Proposal must be clearly stated in the proposal itself. Proprietary information submitted in response to this RFP will be handled in accordance with applicable City Procurement Regulations and the California Public Records Act. If you have proprietary information, products or services, please identify them in your proposal.

Response Materials Ownership

All materials submitted regarding this RFP become the property of the city. Responses may be reviewed by any person after final selection has been made. The city has the right to use any or all system ideas presented in reply to this request, subject to the limitations outlined in proprietary information above. Disqualification of a proposer does not eliminate this right.

Incurring Costs

The City is not liable for any cost incurred by proposers prior to issuance of an agreement, contract or purchase order.

Costs

All costs, including travel and expenses, incurred in the preparation of this proposal shall be borne solely by the proposing firm.

Site Visits

As part of the evaluation process, the City of Carlsbad may request visits to current or previous customers with similar applications. Customer sites must be within the United States, preferably in Southern California.

Contract Award

The award of the contract to the successful vendor will be in accordance with, but not limited to, the results of the City's evaluation. Final approval of selected vendor and award of purchase lies with the City of Carlsbad City Manager and/or City Council.

Section 5 - RFP Evaluation Criteria

A committee will evaluate proposals submitted. During the evaluation process, the committee and the City of Carlsbad reserve the right to request additional information or clarification from firms responding to this RFP.

Selection criteria will be used to evaluate the vendor responses to the RFP. The evaluation factors to be considered by Carlsbad include, but are not limited to the following (Please note: There is no particular order of importance, weighting, or other priority is assigned to these factors or reflected by their order in the table below).

Evaluation Criteria
Completeness & quality of the response as outlined in the RFP • The vendor's response should adequately address all the requirements of the RFP including formatting, inclusion of attachments, number of copies, and software requirements. In addition, the vendors' financial stability is included in this criterion.
Solution capabilities and ability to meet the requirements outlined in this RFP. • The response should demonstrate how the solution will adequately meet the defined needs of Carlsbad
Feasibility, timeliness, and quality of software implementation schedule • The vendor should demonstrate that the proposed schedule is realistic. The vendor should also address the resources and time commitment required and position type by Carlsbad personnel to complete the project within the proposed timeframe. In addition, the response should also demonstrate that the services – such as software implementation, training, support, etc. – can be adequately addressed.
Demonstrated experience and ability to implement an integrated CRM solution • The vendor should highlight its experience implementing a CRM solution over the past five years. If the vendor is bidding with a partner, please highlight previous successful deployments. The experience described should exclusively focus on municipal/government agencies, with emphasis on the specific requirements desired by Carlsbad. • The vendor's references should adequately substantiate the vendor's ability to deliver what it has proposed. • The vendor's proposed project team will be considered in this factor as well as their commitment to research & development.
Smartphone Integration • Vendor has successfully deployed a Smartphone (e.g., iPhone, Android, or Blackberry) application that process service requests and is seamlessly integrated with their CRM system. Third party integrations would also satisfy this criterion.
Price • Proposed cost, including all fees and expenses associated with the solution, including implementation, training, hosting and on-going maintenance and support.

Section 6 - Proposal Submission Requirements

Revisions to the RFP

Carlsbad reserves the right to revise the RFP prior to the date that proposals are due. Carlsbad reserves the right to extend the date by which the proposals are due. This RFP does not commit Carlsbad to award a contract, to defray any costs incurred in the preparation of a proposal pursuant to this RFP, or to procure or contract for work. All proposals submitted in response to this RFP become the property of Carlsbad and public records, and as such, may be subject to public review.

Carlsbad reserves the right to cancel, in part or in its entirety, this RFP. If Carlsbad cancels or revises this RFP, all proposers will be notified via eBid. In addition, Carlsbad reserves the right to request additional information and/or clarifications from any or all proposers to this RFP.

If it becomes evident that this RFP must be amended, the City of Carlsbad will issue a formal written amendment to all vendors who received the RFP.

Exceptions to the RFP

All requested information in this RFP must be supplied. Proposers may take exception to certain requirements in this RFP. All exceptions shall be clearly identified in this section and a written explanation shall include the scope of the exception, the ramifications of the exception for Carlsbad, and the description of the advantages or disadvantages to Carlsbad as a result of the exception. Carlsbad, at its sole discretion, may reject any exceptions or specifications within the proposal.

Proposal Compliance

Failure to comply with the requirements of this RFP may result in disqualification. Proposals received subsequent to the time and date specified above will not be considered. Please note the following are part of the submittal process:

- Signature on the proposal by the proposer constitutes acceptance by the proposer of terms, conditions, and requirements set forth herein.

- Proposals not conforming to the instructions provided herein will be subject to disqualification at the sole option of Carlsbad.

- Carlsbad reserves the right to retain all proposals submitted and to use any ideas in a proposal regardless of whether that proposal is selected.

- By submitting a proposal the proposer is providing a guarantee to Carlsbad that, if chosen, it will be able to provide the proposed products and services during the period of time discussed in the RFP.

Proposals must be received prior to the date and time specified in this RFP. Firms mailing their proposals shall allow for normal mail time to ensure receipt of their proposals. Proposals or unsolicited amendments to proposals received by the city after the acceptance date will not be considered.

Partnering

- A firm that is acting as prime contractor may only submit one response as a prime. If a firm is listed as a prime, they will not be allowed to partner with another firm as a subcontractor.
- A firm may be listed as a subcontractor on more than one response.
- The response must clearly indicate the name of the prime contractor and all proposed subcontractors.
- The city reserves the right to reject the successful firm's selection of subcontractors.
- Software firms could partner professional services/system integrator firms.

Submission of Proposals

Question	Response
Whom to submit	Dave Curtis
Where to submit	1775 Dove Lane Carlsbad, CA 92011
Copy type	Nine (9) Bound Hard Copies Two (2) Digital Copies CD or USB
Separate Proposals	Separate price and technical responses should be submitted. Each proposal should be submitted in a sealed package. The face of the package shall indicate the RFP number and the title of the proposal.

Section 7 - Scope and General Expectations

Proposals must include all the subsections listed below and must be indexed and numbered in the order outlined below. List your responses and/or any reference to attachments as indexed and numbered below. To assist in the evaluation of the responses, please utilize the section titles listed below. Additional relevant information may be inserted into the Supporting Documentation sub section.

Sub-Section	Name	Description
1	Transmittal Letter	Provide a brief summary of the vendor's response, signed by an employee who can contractually bind the vendor. This should not exceed two pages.
2	Vendor Information	Brief company overview utilizing the form provided in the RFP.
3	Financial Statements	Provide a copy of the two most recent annual audited financial statements, including separate statements for proposed partners/subcontractors.
4	Client References	Provide detail on vendor's references, including a separate listing for each partner/subcontractor included in the response. Each reference should not exceed one page.
5	Scope of Services	Includes detailed response to the CRM requirements and a proposed implementation and support plan, including an overview of the project team members.
6	Supporting Documentation	Please include any relevant supporting documentation up to a maximum of 10 pages.

1.0 Transmittal Letter

An overall introduction to the proposal is required, including a statement of the vendor's understanding of the needs of Carlsbad in an executive summary format. The letter must be signed by an individual authorized to bind the vendor, and shall contain a statement that the proposals are binding for a period of 120 days. It should include the name, title, address, and telephone number of individuals with authority to negotiate and contractually bind the company. The letter may also briefly set forth any particular information the vendor wishes to bring to the City's attention, and if any information contained in the response should be considered proprietary.

2.0 Vendor Information

Complete a copy of the vendor information section for each different vendor in this proposal (including all subcontractors).

Item	Response
Vendor Name	
Proposed Role (i.e., Prime, Subcontractor)	
Legal Status of Business (partnership, Corporation, etc.)	
Is your firm in negotiations that could impact its current status (e.g., is planning to be sold)	
Local Address (if applicable)	
Corporate Headquarters Address	
Website Address	
Number of Employees	
Number of Locations	
Length of Time in Business	
Length of time serving municipal/government organizations	
Number of years providing CRM solutions	
Number of similar projects currently being performed by the vendor	
Relevant industry awards received in the last three years	
Dun & Bradstreet Number	
Contact Representative	

Name	Title	Telephone and Email

The vendor should also include details of any pending litigation or liquidating damages that have occurred within the past five years for any firms on the project team. In addition, please describe if your firm is involved in any legal or company acquisition proceedings that may affect your ability to continue under the current firm name for the duration of the project.

The prime vendor should also include a description of the CRM relevant products and services that are on your firm's road map to be delivered in the next 12-24 months.

3.0 Financial Statements

For each firm involved on the team, please provide financial statements for the last two fiscal years in a separate sealed envelope marked "confidential". If the firm is a publicly traded firm, please include this data from the firm's annual report and related SEC filings. If a firm is privately held, please provide at a minimum the following information for the previous two fiscal years. Please indicate if the data is audited by an external CPA firm.

- Annual revenues
- Number of new projects started within the previous 12 months
- Number of completed projects within the previous five years
- Number of employees
- Average revenue per project

The financial data presented should demonstrate that the vendor is not at substantial risk of failing to deliver what they intend to deliver over the short, mid, and/or long-term due to their financial situation.

4.0 Client References

Please provide a minimum of 3 (three), and a maximum of 5 (five), references for each company included in your response. If you have previously partnered with a firm, that reference will be counted for each of the firms involved. Only include those references that most closely represent the type of software installation or services being proposed herein. References that are similar in size, scope, and complexity to Carlsbad are preferred. The reference sites need to offer City of Carlsbad an opportunity to visit their location for reference validation purposes should the vendor get elevated in the proposal process.

Please include the following information for each reference:

- Organization
- Contact Name
- Address
- Phone
- E-mail
- Implementation Date
- Description of the CRM Implementation
- Partners Utilized

5.0 Scope of Services

At a high level, the vendor will be required to provide the following set of deliverables for the CRM project, and these items should be addressed in the RFP response.
- Recommended hardware, software, and architecture to support a CRM solution
- A detailed, phased implementation and deployment plan
- Development of future state business process/workflow designs
- Detailed design of software configuration
- A strategy to provide a complete range of system testing to verify performance
- System test scripts and error logs
- System acceptance testing
- A detailed training plan and training materials
- A complete set of documentation including:
    - Project management materials
    - Status reports
    - Issues log
    - Risk mitigation assessment

- A detailed set of policies and procedures
- Software licensing plan, including costs and licensing options

5.1 Initial Phase

The initial phase is focused on operationalizing a CRM strategy by building the city's knowledge base, providing the ability to generate service requests, generating reports, and delivering a consistent, uniform multi-channel approach (including web self-service and Smartphone access).

5.2 Call Intake Function

Carlsbad anticipates a centralized call intake center. The city will not be procuring the 311 phone number. It will utilize an existing city phone number and re-trunk phone lines from the pilot departments into the call center. The call center will be equipped and staffed prior to the implementing the CRM software.

5.3 Project Management

Carlsbad requires that the prime contractor take responsibility for providing extensive project management for the implementation of the CRM solution. The prime contractor is expected to guarantee the successful, timely completion of those aspects of the project over which it has control. Carlsbad intends to take responsibility for meeting its obligations as defined in an agreed upon Statement of Work (SOW) which will be finalized during the contract negotiations process.

Vendors must provide a project plan for achieving the objectives of the project including an explanation of the role of all partners, the role of Carlsbad staff (including time commitment), and an overall project timeline. A description of a recommended team structure (including an organizational team chart), listing key personnel functions, staffing profiles and responsibilities to cover the software and implementation, training, and support should also be included. The detailed plan must thoroughly discuss how the vendor will successfully implement the CRM requirements. Please include a copy of a plan utilizing *Microsoft Project*.

Key components to include in the project plan shall include estimated timeframe, overview of deliverables, assumptions, and assumed vendor and city responsibilities.

Carlsbad will provide a full-time CRM project manager (PM). Reporting to the PM will be the following city team members:

Title	Role
Functional Leads	➢ Future state process re-design ➢ Service level development ➢ Reporting requirements ➢ Knowledge base development
Change Management Leads	➢ Working with the change management champions ➢ Supporting training: development and deployment

Communications Lead	➢ Internal and external education and outreach services
IT Lead	➢ Ensuring that the city's voice and data infrastructure can support the CRM implementation

Included in the implementation plan should be a listing of the Carlsbad personnel that will be required to support the implementation and how much of their time, on an FTE (Full Time Equivalent) basis. Please use the following table to detail the requested information.

Title of City Personnel	Brief Description of Project Responsibilities	Percentage of Time Dedicated to the Project

For each vendor team member included on the project team, please include biographies, utilizing a consistent format. At a minimum, the biographies should contain the following information:

- Name
- Company Name
- Title
- Years in current role
- Project title and role
- Previous public sector CRM experience
- Years of public sector CRM experience
- Previous experience with Carlsbad
- Educational background
- Relevant certifications

Please note that the city reserves the right to approve or reject any changes to the vendor's project personnel after the contract is awarded. The city also reserves the right to require personnel changes, with reasonable notice to the vendor, following contract award if the city determines that such changes are in the best interests of the project.

5.4 Vendor Project Manager Responsibilities

The vendor shall provide a qualified PM who will be responsible for overseeing all aspects of the services to be provided to implement the CRM solution, and who serves as the vendor's primary contact for management and administration of the project. The PM shall not be replaced by the vendor without prior written approval by the city and it may request the designation of other required staff by the vendor. The primary duties of the PM include, but are not limited to:

- Create and provide a project plan and a master project schedule with identified milestones. Key components include:
    - Hardware and software installation
    - Process and workflow analysis
    - System design and configuration
    - Required modifications and customizations

- o Required system integrations
    - Tasks
    - Roles and Responsibilities
    - Data Formats
    - Descriptions of Interfaces
  - o Testing planning and execution
  - o Training development and delivery
  - o System acceptance
- Facilitate communication among project team members
- Make commitments and decisions on behalf of the vendor team
- Implement changes to the project plan
- Manage project progress, including issues and potential schedule changes
- Attend and participate in progress review meetings
- Provide bi-weekly status reports

5.5 Software Licenses

For the pilot phase teams, Carlsbad is interested in securing twenty (20) concurrent software licenses for the CRM application.

5.6 Proposed Application Software and Computing Environment

Written responses to the following questions must be provided in succinct narrative form (no more than three paragraphs per item):

- Please describe the level of modular integration that exists between proposed modules of the base software. Are modules fully integrated?

- Please describe the level of integration that exists between proposed third party products and the base software. For example, do the third-party applications share security definitions and similar menu structures?

- Please describe workflow tools included in the software.

- Please describe reporting tools that are proposed. Be sure to describe ad-hoc reporting capabilities.

- Please describe any integration to Microsoft Office Products (upload/download from/to Excel, integration with Microsoft Outlook, etc.).

- Please describe how the application is delivered: on-premise, hosted or Software as a Service.

5.7 Responses to Requirements

This project requires that a commercial off-the-shelf (COTS) product that is currently implemented in other jurisdictions be utilized. In addition, this software should not require special customization of code other than built-in configuration options.

Responses to the requirements listed in *Attachment 2* must be provided in this section of the proposal. Proposers should use the format provided and add explanatory details as necessary in a separate spreadsheet using the requirement number as a reference. The following answer key must be used when responding to the requirements.

Response to Functional Requirements			
F	Provided Fully Functional out of the box or with configuration (no custom development)	CR	Custom Report Development Required
CU	Customization/Software Enhancement (Any custom development that will cost extra)	TP	Third-party Software Required to Fully Provide Requirement (Third-party Software Must be Proposed)
SR	Provided with Standard Report or Reporting Tool	N	Not Included in this Proposal

<u>Additional Instructions</u>

1. Requirements represent functionality that is currently needed as well as functionality that is expected or is likely to be required in the future**.** Carlsbad will evaluate the proposal as a whole including price/value comparisons when evaluating proposals.

2. All responses which are marked F, CU, CR, SR, or TP must be included in the scope and cost proposal. Furthermore, the module necessary to perform that functionality must be included in the scope and cost of this proposal.

3. For requirement responses of "CU", proposers must provide estimated costs and projected time to complete the customization.

4. For requirement responses, other than "N," proposers must indicate the module or product that is required to meet the requirement.

5. If a module is required for only a few functional requirements and it is not cost-efficient to include in the proposal, the proposer should mark the requirement as "N" and indicate accordingly in the comment field that this module is available but not being included in the proposal.

6. If functionality is not available, but expected to be available in future versions of the software, the expected release date can be noted in the comments column.

7. Proposers must use one code only per requirement. All requirement responses must be submitted in the format presented in the attached spreadsheet. The requirements responses submitted will become attached to the software license and implementation services contract. Proposers are expected to warrant all positive responses (every response except ("N")).

5.8 Software/System Documentation

The successful vendor will ensure that detailed system and user documentation is provided to city staff responsible for the operation and support of the system. The successful vendor shall provide two complete sets of technical manuals and user manuals to Carlsbad for administrator and end-user training. Additionally, the vendor shall provide one electronic copy (Microsoft Word) of the technical and user manual to Carlsbad. The city, at their expense, will have the right to make additional copies of the documents as needed. The successful vendor will also provide the city with complete system implementation documentation concerning installation, configuration, testing, interfaces, data conversion, and integration of the system.

The vendor shall provide, in a timely manner, system documents that describe all software in sufficient technical and functional detail, so that this information can be used by city personnel to maintain the system and solve identified problems. Any revisions to this document must be appropriately notated and jointly approved by the city and the vendor's Project Manager.

5.9 Systems Integrations and Interface Development

Should the city choose to pursue additional system integrations and/or data conversions the successful vendor will be responsible for identifying, designing, coding, and implementing all system interface, data conversion, and integration solutions necessary for a successful project implementation. The proposal must provide a discussion regarding the successful vendor's approach to data conversion and interface development and for testing of both, as it relates to this project. The discussion should address the method of conversion, to include strategies for testing, verification, validation, contingencies, and security.

It is critically important to have a solution that is based on industry standards and best practices. This solution will ensure that future integrations may be created, preventing the software from becoming obsolete or unusable. Solutions should include using an industry standard database. Vendors should provide any experience with data conversion and integration with:

> ➢ Hansen 8 Work Management System: Hansen 8 is used by many divisions in the city, including water, wastewater, storm drain, streets maintenance, parks and tree maintenance, traffic signals and street lighting. The city is currently using Hansen 8.2.2. Citizen requests for these groups are currently tracked in Hansen Service Requests, and are integrated with work orders. The vendor's response should describe any experience with providing an interface to the Hansen 8 Service Request module using Hansen Web Services. Specifically, the vendor should include examples of real-time interfaces with Hansen where information is passed to a Service Request and updated in the CRM system when changes are made to the Service Request. Please provide details on the type of information that is passed to and from Service Requests.

> ➢ PermitsPlus
> Vendor: Accela Inc.
> Version: 5.3.6
> SQL 2005
> Possible interfaces: Code Enforcement, Storm Water

> ➤ Utility Billing System
> Vendor: Harris Computer System
> Version: 5.2.19
> Informix 9.4
> Possible interfaces: Utility billing service requests

> ➤ The GIS is central to the daily operations of Carlsbad and this integration must be incorporated into the vendor's proposal. The vendor's response should describe the ability to work with data structures supported by the city's geodatabase, including internal and externally-linked tables, feature classes, domains, geometric networks, relationship classes, subtypes, etc. Further, the vendor should list any experience integrating with an ESRI ArcGIS-based system (at the most current version), running a versioned SDE database with MS SQL, and ArcGIS Server running Silverlight applications and Rolta/Orion OnPoint web mapping software.

5.10 Test and Production Environments

The successful vendor shall provide a detailed testing strategy as part of their response to the RFP to include thorough testing of all transactions and processes used by the city. The test strategy shall include, but not be limited to, unit testing of individual detailed processes and transactions, parallel testing, if appropriate, and system testing of all processes, interfaces, and conversions. The test strategy should also include methods for verifying the accuracy of information relative to transaction processing, interfaces, data conversion, reports, account history, notes, and ad-hoc reporting.

The components of the plan that should be included in the vendor response are:

Test Environment – All functional, technical, and performance requirements must be demonstrated in a test environment with a complete database. This environment will consist of implementing the entire system and data elements for the city.

Production Environment – This environment will repeat the successful demonstration of all functional, technical, and performance requirements, with a complete mirrored database. This environment will consist of implementing the entire system and data elements for the city.

5.11 Training Requirements

Training services are another critical service that must be provided by the successful vendor. The vendor shall provide the city with a comprehensive training program to assist with the facilitation and development of end-user training for the implementation of their proposed CRM solution. Initially, training shall be provided on-site, in a leader-led, classroom format. The vendor shall include in their response a training design document that defines the approach, delivery, and timing of the CRM solution.

Carlsbad is very interested in the delivery of training services that are an efficient use of employee time, but effective in the transfer of practical knowledge about the use of the new CRM solution. As a general approach, the vendor shall propose an approach that includes

significant opportunity for knowledge transfer throughout implementation, and enhanced system acceptance by the use and development of "power users" for each pilot team.

Key factors in an effective training program are expected to include:

- The principal classroom instructors provided by the successful vendor have had previous formal classroom instructor training and relevant experience with the software and hardware.

- Instructors demonstrate a thorough knowledge of the material covered in the courses and familiarity with the training manuals, system documentation tools, and training aids used in the courses.

- Carlsbad has the right to video record for its own internal use only all training sessions. These materials are valuable in refresher training and follow up training. All training aids, materials, and recordings prepared to accomplish this service become the property of Carlsbad.

- Power User training will cover the entire system with in-depth sessions for each functional area. Training will be provided for a System Administrator and back up who will be responsible for all system functions.

- End user training will be focused on functional positions and workflow processes. All personnel comprising a specific functional position in a department will be trained on the system's use specific to their needs.

- Training should be provided in the use of all report and query functions for users who will be creating and modifying reports.

To recap the training plan shall support the following user groups:

1. System Administrators
2. End-Users (Call center personnel)
3. End-Users (Departmental users)
4. End-Users (Management)

Train-the-Trainer training should prepare city personnel to lead, facilitate, and deliver the leader-led components of the training. This course will provide city personnel with all the required tools, templates, etc. to deliver the training to their colleagues.

5.12 System Acceptance

There will be an acceptance test after the complete project implementation. These tests will confirm system operations and ensure that the system meets all of the functional requirements as outlined in this RFP and any subsequent agreements. The test, depending on the type of functionality being tested, will run for up to 30 days after the vendor has determined that the system is operational. A second 30-day period is reserved for fixing discrepancies.

System performance shall be at an acceptable speed as dictated by industry standards and state of the art technologies.

Discrepancies that are fixed will be retested. The acceptance test must be completed within 60 days from the start of the test. If by fault of the vendor, the testing, fixing and retesting is not completed and accepted within 60 days, the system may be deemed unacceptable and the vendor may be disqualified from the project. The vendor will not be held responsible for delay caused by the city. In either case, such delay must be documented and agreed to by both parties.

5.13 SaaS Solution

If the vendor is proposing a SaaS solution please complete *Attachment 3.*

5.14 Warranty

The vendor shall warranty the entire solution/system for a period of one year from the date the system is fully accepted by Carlsbad. All warranty-related activities should be performed on-site unless the vendor is provided written permission by Carlsbad.

5.15 Software Maintenance

The vendor's software maintenance and support plan should include the following components:

- Procedures to resolve critical system problem
- Emergency and 7x24 support options available
- Estimated service level agreements to repair standard system problems
- Policy regarding future enhancements and upgrades
- Availability of tiered support options to handle potential escalations
- A description of extended agreements if they are available
- Hourly cost per on-site technicians that may be required

Technical and maintenance support shall be provided through an annual maintenance agreement between the successful vendor and Carlsbad. The successful vendor must include a sample of their annual maintenance agreement in the proposal and provide guaranteed annual pricing for three (3) years. The vendor shall indicate the information technology staff required to support the system.

The maintenance agreement will not commence until the application has been placed in production and accepted by the city in writing. The maintenance agreement must provide ongoing system support and maintenance, including upgrades, bug fixes and patches, and other technical support necessary for city staff to operate the solution. The successful vendor must provide information on the frequency of software updates and new software releases (i.e. bug fixes and major revision levels) for the system and the anticipated life cycle of the software being proposed.

5.16 Standards for City Acceptance of Deliverables

The following standards will be utilized to govern the acceptance of deliverables:

- Vendor should define all deliverables and scheduled completion dates.

- All deliverables shall be subject to city review and approval prior to acceptance and payment.
- The city will have ten business days to review each deliverable document.
- The city is responsible for reviewing and approving each deliverable with an agreed upon turnaround time as included in the project plan. If the city requires revisions, the vendor will receive written notification of the changes and have five (5) business days to implement the changes.
- Vendor shall not change a deliverable that has been accepted by the city without written approval of the city.
- Each deliverable should conform to the RFP, the vendor's proposal, and/or any subsequent agreements.
- A process for identifying and correcting errors shall be included in the response.
- No payments will be made for deliverables not fully accepted by the city.
- The city and vendor will develop a formal deliverable sign-off approach which will govern the payment schedule.

7.0 Supporting Documentation

If there is additional information that the vendor would like to provide that was not requested in another section of this RFP, please include it in a separate section of your proposal titled, "Supporting Documentation." This content is limited to ten pages. Any content exceeding ten pages will be ignored.

Section 8 – Costs and Payment

As per the awarded contract, the vendor agrees to provide the City of Carlsbad all product(s) and services at a cost not to exceed the stated cost in the vendor's response to this RFP. The vendor agrees that all expenditures necessary for the purchased product(s) included in the awarded contract, including all costs related to successful implementation of the proposed product(s) and services, are detailed in the Project Cost Form.

All costs must be fixed and in writing and guaranteed for no less than six months. Vendors must address pricing, including but not limited to, the following considerations:

➤ Costs must reflect all discounts, and cost reductions based on multiple licenses/sites or other considerations

➤ The payment schedule will be negotiated with the successful Vendor. The City of Carlsbad intends to use a payment structure that is based on milestones and/or deliverables.

Please use the tables below to capture the pricing information. The vendor may include further descriptions of the project cost items on a separate page(s) and include it with the Project Cost Form. A maximum of two pages will be accepted.

Project Cost Form - Software and Professional Service Fees

Description	Amount
Software License Costs for 20 concurrent users (please identify the deployment approach utilized (traditional enterprise, ASP, or SaaS)	
Professional Service Fees for Software Implementation, Training, Project Management, call center operating costs (if applicable) and related services. Please include all third party services.	
Professional Services for Integration (please specify the integrations required)	
Project Expenses (travel, per diem, etc.)	
Total Implementation Cost	

Project Cost Form - Annual Software Maintenance Fees

Description	Amount
Annual operations and maintenance cost for Pilot teams. If this cost differs over years 1-3, please report the cost for each year separately. Please include all third party services.	
Project Expenses (travel, per diem, etc.)	
Total Maintenance Cost	

The vendor shall provide a proposed schedule for payment for both the software and professional services. The payment schedule is subject to acceptance by Carlsbad.

Section 9 - Attachments

Proposers should include copies of the following documents. Although some of these forms will be "sample", the documents must contain all material terms so that Carlsbad can fairly evaluate the proposer's forms.

- Requirements spreadsheets
- SaaS questionnaire
- Biographies of project team members
- Project team organizational chart
- Vendor references
- Project Cost Form
- Sample software licensing agreement
- Sample maintenance agreement
- Sample implementation services agreement
- Sample standard reports
- Sample documentation (user guides, training materials, etc.)
- Implementation project plan

Section 10 - City Contract Details

Intellectual Property

Work for Hire. Selected vendor/contractor understands and agrees that any and all materials and deliverables that are subject to independent copyright protection that are developed in connection with the performance of any resulting contract (Works) shall constitute a work for hire as that term is defined in the Copyright Act of 1976 (Act), as amended. As a result, all right, title and interest in and to all such Works shall belong exclusively to the city, including without limitation all copyrights and other intellectual property rights therein. If for any reason a Work is not deemed to be a work for hire, Vendors/Contractors shall be required to grant, transfer, and assign, free of charge, exclusively to the city, all title, rights and interest in and to said Work, including all copyrights and other intellectual property rights. The vendor/contractor will further agree to execute and deliver to the city a confirmatory grant and assignment of all rights in and to Works and to execute any other proper document the city deems necessary to ensure the complete and effective transfer of all rights in Works to the city.

In the event that vendor/contractor utilizes a sub-contractor(s) for any portion of the Work that is in whole or in part of the specified deliverable(s) to the city, vendors/contractors shall include a statement in the vendor/contractor-subcontractor agreement (Subcontractor Agreement) that identifies that the deliverable/work product to the city is a work-for hire as defined in the Act and that all intellectual property rights in the deliverable/work product, whether arising in copyright, trademark, service mark or other belongs to and shall vest in the city. Further, the Subcontractor Agreement shall require that the subcontractor grants, transfers, and assigns, free of charge, exclusively to the city, all titles, rights and interests in and to said deliverable/work, including all copyrights and other intellectual property rights.

City Ownership of Independent Works/Deliverables and Related Materials

In accordance with the preceding paragraph, Works developed for the city connection with any resulting contract are the exclusive property of the city. Vendor/contractor agrees to deliver all Works to the city upon completion of the order. Works include but are not limited to editorial drafts, original copy, photographs, proofs, corrected proofs, camera-ready boards and similar editorial materials, designs, mock-ups, layouts, arrangements, "look and feel," and all negatives, flats, engravings, photostats, drawings and other production materials and content. For IT procurements for the development of original software for a specific city application or purpose, Works include but are not limited to executable code, source code, fixes, patches, updates, upgrades, documentation embedded or otherwise, original copy, and other production materials. Vendor/contractor shall be responsible for delivering all Works to the city no later than fifteen (15) working days from the date of any final contract deliverables. In the event the vendor/contractor fails to return all such materials by this deadline and the city desires to use Works again, vendor/contractor shall provide the city with equivalent materials, at its own expense, or reimburse the city, in full, for the cost of developing equivalent materials.

Intellectual Property Warranty and Indemnification

The vendor/contractor represents and warrants that any materials or deliverables, including all Works, provided under any resulting contract are either original, not encumbered and do not infringe upon the copyright, trademark, patent or other intellectual property rights of any third

party, or are in the public domain. If deliverables, materials or Works provided hereunder become the subject of a claim, suit or allegation of copyright, trademark or patent infringement, city shall have the right, in its sole discretion, to require vendor/contractor to produce, at vendor/contractor's own expense, new non-infringing materials, deliverables or Works as a means of remedying any claim of infringement in addition to any other remedy available to the city under law or equity. Vendor/contractor further shall agree to indemnify and hold harmless the city, its officers, employees and agents from and against any and all claims, actions, costs, judgments or damages of any type alleging or threatening that any materials, deliverables, supplies, equipment, services or Works provided under this contract infringe the copyright, trademark, patent or other intellectual property or proprietary rights of any third party (third party claims of infringement). If a third party claim of infringement is threatened or made before vendor/contractor receives payment under any resulting contract, city shall be entitled, upon written notice to vendor/contractor, to withhold some or all of such payment.

Any exceptions to city contract are to be stated in bidder's proposal.