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| **City of Seattle**  **Department of Information Technology**  **Request for Proposals #DIT 140114**  **Consultant Services for Organizational Assessment** |

**1.0 Estimated Schedule.** The following is the estimated schedule of events. The City of Seattle (“City”) reserves the right to modify this schedule at its discretion. Notification of changes will be posted on the City’s website at <http://www.seattle.gov/doit/vendor.htm>

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| RFP Release | Thursday, July 31, 2014 |
| Deadline for Proposer Questions | Friday, August 8, 2014 |
| Deadline for City Answers | Monday, August 11, 2014 |
| Written Proposals Due to the City | Friday, August 15, 2014  5:00 p.m.  Email written proposals by .pdf to [ann.kelson@seattle.gov](mailto:ann.kelson@seattle.gov) . |
| Announcement of Finalist Proposers | Wednesday, August 20, 2014 |
| Reference Information Due from Finalists | Thursday, August 21, 2014 |
| Reference Checks conducted by City | August 22 - 27, 2013 |
| Interviews of Finalist Proposers | Tuesday, August 26, 2014 |
| Announcement of Successful Proposer | Thursday, August 28, 2014 |
| Anticipated Negotiation Schedule | September 2&3, 2013 |
| Contract Execution | Thursday, September 4, 2013 |
| Commence Services | Monday, September 8, 2014 |

**2.0 City Contact.**

Ann Kelson, IT Contracting Manager

[ann.kelson@seattle.gov](mailto:ann.kelson@seattle.gov)  
 206-684-0539  
  
Unless authorized by the IT Contracting Manager, no other City official or employee may speak for the City regarding this solicitation until the award decisions are complete. Any Proposer seeking information, clarification or interpretations from any other City official or City employee uses such information at the Proposer’s own risk. The City is not bound by such information. Following the Proposal submittal deadline, Proposers shall continue to direct communications only to the IT Contracting Manager.

**3.0 Purpose.** The purpose of this RFP is to enter into a firm fixed price agreement with a Consultant to conduct an Organizational Assessment of the Department of Information Technology (“DoIT”). The Consultant shall 1) conduct a comprehensive current state assessment of DoIT’s organization, 2) conduct a gap analysis, 3) recommend a future state organization, and 4) develop a plan to implement the changes.

**4.0 Period of Performance and Estimated Budget.** It is estimated that services will commence on September 8, 2014 and be completed by November 14, 2014. The estimated budget for this project is $250,000.

**5.0** **Background.** The City of Seattle is currently implementing a multi-phase, multi-year city-wide project to consolidate the City’s data centers. The Project is called “Next Generation Data Center Project” (NGDC). It is expected to be complete by December 2015. The Project includes a detailed design of IT business processes, including governance, service level and service level management, and cost models. DoIT, one of the City’s 32 departments and offices, is leading the NGDC effort. At the conclusion of the NGDC effort, DoIT is expected to deliver IT services in an accountable, transparent, cost effective manner that earns customer trust and satisfaction.   
  
To ensure DoIT, as an IT service provider, can successfully meet customer expectations, it was determined that an organizational assessment of the department should be performed. The assessment should determine the framework necessary for the department to maximize efficiencies and effectiveness in its services. The framework should enhance the department’s ability to provide reliable operations of technology with consistent and predictable service. The assessment will include all DoIT services.  
  
See <http://www.seattle.gov/information-technology/about-us> for a description about DoIT.   
  
See RFP Attachment A for DoIT’s Vision Statement

See RFP Attachment B for DoIT’s Service Catalog Index

**6.0 Objective.** The objective of the Organizational Assessment is to assess the current capabilities of DoIT and to identify an Action Plan to transform the department to a modern IT service-centric organization.

**7.0 Statement of Work.** The Consultant awarded a contract as a result of this RFP shall perform the following services and provide associated deliverables.

**Task 1:** Current State Assessment: The Consultant shall facilitate up to ten interviews with key City leaders and DoIT’s management team to inventory and document the ‘as-is’ state of DoIT’s organization and functions. The Consultant shall document the as-is state including an objective evaluation of how well the existing organization is enabling current and changing functions.   
  
The documentation shall include high-level content of current business process model(s), current interaction model within DoIT and across the City, current outcome measurements, current governance model, and summary of findings.   
  
Task 1 will be considered complete when the City has accepted the documentation.

**Task 2:** Gap Analysis to Best Business Practices: The Consultant shall identify a gap analysis comparing the current state to best practice in the industry for a modern service-centric IT organization including a governance model. The Consultant shall deliver the gap analysis and recommendations to DoIT’s management team.

Task 2 will be considered complete when the City has accepted the document.

**Task 3:** Desired Future State:The Consultant shall facilitate up to three workshops or as-needed interviews with DolT’s management team to frame and document a desired future state that illustrates a DoIT organization consistent with a modern IT service-centric organizational model.

The documentation shall include detailed content of future state business process model(s), future state interaction model within DoIT and across the City, future outcome measurements, future governance model, and summary of findings.   
  
Task 3 will be considered complete when the City has accepted the documentation.

**Task 4:** Action Plan: The Consultant shall deliver a detailed Action Plan that includes specific actions for DoIT to take to achieve the desired future state. The Consultant shall provide at least two briefings to the key City leaders and DoIT’s management team.

The Action Plan shall outline the implementation including but not limited to the organizational model recommendations, communications plans for change, organizational charts and high level functions.

Task 4 will be considered complete when the City has accepted the document.

**8.0** **Project Approach**

8.1 The Successful Proposer shall:

8.1.1 Complete the Services within the time frames described in RFP Section 4. Because of dependencies on other City initiatives, there will be no time extensions.

8.1.2 Provide a project plan within the first week of services. The Consultant will be responsible for managing the Project.

8.1.3 Be responsible for scheduling meetings.

8.1.4 Designate a key person to the role of Project Manager. The Consultant’s Project Manager designated to this key role will remain assigned to the role throughout the term of the Agreement.

8.1.5 Be compensated on a firm fixed price basis.

8.1.6 Assign an Account Representative who will serve as liaison between the City and the Consultant and who will be responsible for ensuring satisfactory performance.

8.2 Project Assumptions: The City’s assumptions for this project are listed below. Note that these assumptions may change upon further analysis and/or upon the advice of the Consultant.

8.2.1 A City Project Manager will be assigned to this project on a limited part-time basis. Other City resources will be limited.

8.2.1 The City will review submitted deliverables, provide requests for modifications and provide written acceptance as expeditiously as possible in order for the Consultant to meet time frames.

8.2.2 The City will furnish non-dedicated workstation space and access to other equipment and facilities the City determines are necessary for the Consultant to perform work on-site.

8.2.3 The City will provide information as is reasonably available to it in support of the services.

**9.0 Minimum Qualifications.** A Proposer must meet or exceed the following minimum qualifications and will be asked to demonstrate these in its proposal. In the event the Proposer does not clearly demonstrate that it meets the minimum qualifications, the proposal may be rejected.

The Proposer has held engagements for organizational assessment and recommendation for at least three public sector clients in the previous five years.

**10.0 Contract Modifications.** The City has attached its contract terms with this solicitation. Questions about the City’s contract should be made prior to the end of the question period.

The City cannot modify provisions mandated by Federal, State or City law. These include, but are not limited to: Social Equity Requirements, Equal Benefits, Federal Debarment, Audit, Confidentiality, and City Debarment. Exceptions to those provisions will be summarily disregarded. The City cannot agree to any form of mutual indemnification.

Although the City may open discussions with the apparent successful Proposer to align the proposal or contract to best meet City needs, this does not ensure consideration or negotiation of modifications proposed by the Proposer.

**11.0 Solicitation Instructions, Procedures and Requirements.**

11.1 Registration into City Registration System. The City requests that all firms interested in doing business with the City register on the City’s Registration System at <http://www.seattle.gov/html/business/contracting.htm> .

11.2 Questions. Proposers may submit written questions to the IT Contracting Manager until the deadline stated in Section 1.0. The City prefers questions submitted be through e-mail. Failure to request clarification of any inadequacy, omission, or conflict will not relieve the Consultant of responsibilities under in any subsequent contract. It is the responsibility of the interested Proposer to assure it receives responses to Questions if any are issued.

11.3 Changes to the RFP and Issuance of Addenda. A change may be made by the City if, in the sole judgment of the City, the change will not compromise the City’s objectives in this acquisition. A change to this RFP will be made by formal written addendum issued by the City’s IT Contracting Manager Addenda will be posted on the City’s website at <http://www.seattle.gov/doit/vendor.htm>. Addenda and shall become part of this RFP and included as part of the Contract.

11.4 Receiving Addenda and/or Question and Answers. It is the obligation and responsibility of the Proposer to learn of addendums, responses, or notices issued by the City. Some third-party services independently post City of Seattle solicitations on their websites. The City does not guarantee that such services have accurately provided all the information published by the City.

All submittals sent to the City may be considered compliant to all Addendums, with or without specific confirmation from the Consultant that the Addendum was received and incorporated. At the sole discretion of the IT Contracting Manager, the submittal may reject the submittal if it does not fully incorporate an Addendum.

11.5 License and Business Tax Requirements. The Consultant must meet all licensing requirements that apply to its business immediately after contract award or the City may reject the Consultant. Firms must license, report and pay revenue taxes for the Washington State business License (UBI#) and Seattle Business License, if they are required by the laws of those jurisdictions. The Consultant should carefully consider those costs prior to submitting their offer, as the City will not separately pay or reimburse those costs to the Consultant.

11.5.1 Seattle Business Licensing and associated taxes.

* If the firm has a “physical nexus” in the city, it must obtain a Seattle Business license and pay all taxes due before the Contract can be signed.
* A “physical nexus” means a physical presence, such as: a building/facility in Seattle, sales trips into Seattle, on-site product deliveries, and/or service work in Seattle (repair, installation, service, maintenance work, on-site consulting, etc).
* All costs for any licenses, permits and Seattle Business License taxes owed shall be borne by the Consultant and not charged separately to the City.
* The apparent successful Consultant must immediately obtain the license and ensure all City taxes are current, unless exempted by City Code due to reasons such as no physical nexus. Failure to do so will cause rejection of the submittal.
* Self-Filing : License and taxes may be paid on-line using a credit card <https://dea.seattle.gov/self/>
* The Revenue and Consumer Affairs (RCA) office can answer questions and provide assistance. The general e-mail is [rca@seattle.gov](mailto:rca@seattle.gov). The main phone is 206-684-8484
* The licensing website is <http://www.seattle.gov/rca/taxes/taxmain.htm>.
* The City of Seattle’s website allows on-line application and payment with a credit card.
* If a business has extraordinary balances due on its account that would cause undue hardship to the business, the business can contact the RCA office to request additional assistance. A cover-sheet providing further explanation, with the application and instructions for a Seattle Business License is provided below.
* Firms holding a City of Seattle Business license may be required to report and pay revenue taxes to the City. Such costs should be carefully considered by the Consultant prior to submitting its Proposal. When allowed by City ordinance, the City will have the right to retain amounts due at the conclusion of a contract by withholding from final invoice payments.

11.5.2 State Business Licensing. Before the contract is signed, the Consultant must have a State of Washington business license (a “Unified Business Identifier” known as a UBI#). If the State of Washington has exempted the firm from State licensing (some foreign companies are exempt and sometimes the State waives licensing because the firm no physical presence in the State), then submit proof of that exemption to the City. All costs for any licenses, permits and associated tax payments due to the State because of licensing shall be borne by the Consultant and not charged separately to the City. Instructions and applications are at <http://www.dol.wa.gov/business/file.html> and the State of Washington Department of Revenue is available at 1-800-647-7706.

11.5.3 Federal Excise Tax. The City is exempt from Federal Excise Tax (Certificate of Registry #9173 0099K exempts the City).

11.6 Proposer Responsibility to Provide Full Response. It is the Proposer’s responsibility to submit a response that does not require interpretation or clarification by the City. The Proposer is to provide all requested materials, forms and information. The Proposer is to ensure the materials submitted properly and accurately reflects the Proposer’s offering. During scoring and evaluation (prior to interviews if any), the City will rely upon the submitted materials and shall not accept materials from the Proposer after the RFP deadline; this does not limit the City right to consider additional information (such as references that are not provided by the Proposer but are known to the City, or past City experience with the consultant), or to seek clarifications as needed.

11.7 Right to Award to next ranked Consultant: If a contract is executed as a result of this solicitation process and is terminated within 90 days, the City, at its option, may return to the solicitation process to award the contract to the next highest ranked responsive Consultant. The City may exercise this option with the next award.

11.8 Negotiations. The City may open discussions with the apparent successful Proposer, to negotiate costs and modifications to the proposal or the contract, to align the proposal or contract to meet City needs within the scope sought by the solicitation.

11.9 Effective Dates of Offer. Solicitation responses are valid until the City completes award. Should any Proposer object to this condition, the Proposer must object prior to the Question deadline listed in Section 1.

11.10 Cost of Preparing Proposals. The City will not be liable for any costs incurred by the Proposer to prepare, submit and present proposals, interviews and/or demonstrations.

11.11 Readability. Proposers are advised that the City’s ability to evaluate proposals depends on the Proposer’s submittal document, including organization, level of detail, comprehensive material and readable.

11.12 Changes or Corrections to Proposal Submittal. Prior to the submittal closing date and time, a Consultant may change its proposal, if initialed and dated by the Consultant. No changes are allowed after the closing date and time.

11.13 Errors in Proposals. Proposers are responsible for errors and omissions in their proposals. No such error or omission shall diminish the Proposer’s obligations to the City.

11.14 Withdrawal of Proposal. A submittal may be withdrawn by written request of the submitter, prior to the closing date and time. After the closing date and time, the submittal may be withdrawn only with permission by the City.

11.15 Rejection of Proposals. The City reserves the right to reject any or all proposals with no penalty. The City also has the right to waive immaterial defects and minor irregularities in any submitted proposal.

11.16 Incorporation of RFP/RFQ and Proposal in Contract. This RFP and the Proposer’s response, including all promises, warranties, commitments, and representations made in the successful proposal as accepted by the City, shall be binding and incorporated by reference in the City’s contract with the Proposer.

11.17 No Guaranteed Utilization. The City does not guarantee utilization of any contract(s) awarded tas a result of this RFP/RFQ process. The solicitation may provide estimates of utilization; such information is for Consultant convenience and not a usage guarantee. The City reserves the right to multiple or partial awards, and/or to order work based on City needs. The City may turn to other appropriate contract sources or supplemental contracts, to obtain these same or similar services. The City may re-solicit for new additions to the Consultant pool. Use of such supplemental contracts does not limit the right of the City to terminate existing contracts for convenience or cause.

11.18 Independent Contractor. The Consultant works as an independent contractor. The City will provide appropriate contract management, but that does not constitute a supervisory relationship to the Consultant. Consultant workers are prohibited from supervising City employees and from direct supervision by a City employee. Prohibited supervision tasks include conducting a City of Seattle Employee Performance Evaluation, preparing and/or approving a City of Seattle timesheet, administering employee discipline, and similar supervisory actions.

Contract workers shall not be given City office space unless expressly provided for in the Contract, and in no case shall such space be provided for over 36 months without specific authorization from the IT Contracting Manager.

Some project work requires the Consultant to be on-site at City offices. This benefits the City to assure access, communications, efficiency, and coordination. Any Consultant on-site remains a Consultant and not a City employee. No Consultant shall be on-site at a City office for over 36 months, without specific authorization from the City. The Consultant shall notify the City if any worker is within 90 days of a 36 month on-site placement.

The City will not charge rent. The Consultant is not asked to itemize this cost. Instead, the Consultant should absorb and incorporate the expectation of such office space within the Consultant plan for the work and costs. City workspace is exclusively for the project and not for any other Consultant purpose. The City will decide if a City computer, software and/or telephone are needed, and the worker can use basic office equipment such as copy machines. If the Consultant worker does not occupy City workspace as expected, this does not change the contract costs.

11.19 Equal Benefits. Seattle Municipal Code Chapter 20.45 (SMC 20.45) requires consideration of whether Proposers provide health and benefits that are the same or equivalent to the domestic partners of employees as to spouses of employees, and of their dependents and family members. The Consultant Questionnaire requested in the Submittal instructions includes materials to designate equal benefits status.

11.20 Women and Minority Subcontracting. The Mayor’s Executive Order and City ordinance require the maximum practicable opportunity for successful participation of minority and women-owned subcontractors. All Proposers must agree to Seattle Municipal Code Chapter 20.42 and seek meaningful subcontracting opportunities with WMBE firms.

11.21 Insurance Requirements. Insurance requirements are provided as an attachment to the contract. The apparent successful Proposer must provide proof of insurance to the City before Contract execution.

The Proposer is encouraged to contact its Broker immediately to begin preparation of the required insurance documents in the event the Consultant is selected as a finalist.

11.22 Background Checks. The City may require background/criminal checks of the Proposer’s employees and subcontractors assigned to performing the services. The City will collect the pertinent information directly from the individual. The entity conducting the background check will be selected by the City.

11.23 Proprietary and Confidential Material.

11.23.1 Requesting Disclosure of Public Records The City asks interested parties to not request public disclosure of proposal records until a contract is executed. This measure should shelter the solicitation process, particularly during the evaluation and selection process or if a cancellation occurs or re-solicitation. With this preference stated, the City will continue to respond to all requests for disclosure of public records as required by State Law.

11.23.2 Marking and Disclosing Material. Under Washington State Law (reference RCW Chapter 42.56, the Public Records Act) all materials received or created by the City of Seattle are public records. These records include but are not limited to proposal submittals, agreement documents, contract work product, or other material.

Washington’s Public Records Act requires that public records must be promptly disclosed by the City upon request unless a judge rules that RCW or another Washington State statute exempts records from disclosure. Exemptions are narrow and explicit and are in Washington State Law (Reference RCW 42.56 and RCW 19.108).

Proposers must be familiar with the Washington State Public Records Act and the limits of record disclosure exemptions. For more information, visit the Washington State Legislature’s website at <http://www1.leg.wa.gov/LawsAndAgencyRules>).

If the Proposer believes any records it is submitting to the City as part of its submittal or contract work product are exempt from disclosure, it can request that the City not release the records until the City notifies it about the pending disclosure. To make that request, the appropriate portion of the Consultant Questionnaire (Non-Disclosure Request Section) must be completed and identify each record and the exemption(s) that may apply. If Proposer is awarded a City contract, the same exemption designation will carry forward to the contract records.

The City will not withhold materials from disclosure because the Proposer marks them with a document header or footer, page stamp, or a generic statement that a document is non-disclosable, exempt, confidential, proprietary, or protected. Identify no entire page as exempt unless each sentence is within the exemption scope; instead, identify paragraphs or sentences that meet the specific exemption criteria you cite on in the Consultant Questionnaire. Only the specific records or portions of records properly listed on the Consultant Questionnaire will be protected and withheld for notice. All other records will be considered fully disclosable upon request.

If the City receives a public disclosure request for any records properly and listed on the Consultant Questionnaire, the City will notify the Consultant in writing of the request and postpone disclosure, providing sufficient time for the Consultant to pursue an injunction and ruling from a judge. While it is not a legal obligation, the City, as a courtesy, allows up to ten business days to file a court injunction to prevent the City from releasing the records (reference RCW 42.56.540). If the Consultant fails to obtain a Court order within the ten days, the City may release the documents.

By submitting for this solicitation, the Consultant acknowledges the obligation to identify such records within the Consultant Questionnaire, and that the City has no obligation or liability to the proposer if the records are disclosed.

11.24 Ethics Code. The Proposer should familiarize itself with the City Ethics code: <http://www.seattle.gov/ethics/etpub/et_home.htm>. Specific questions should be addressed to the staff of the Seattle Ethics and Elections Commission at 206-684-8500.

**12.0 Proposal Submittal**

12.1 Email Submittal: Email the following documents in .pdf format to [ann.kelson@seattle.gov](mailto:ann.kelson@seattle.gov) no later than the date listed in Section RFQ Section 1.0.

12.2 Format and Organization: The Proposer shall complete and submit following documents in its proposal The City provided documents are Attachments to the RFP and are incorporated by reference.

1. Cover Letter: Submit a Cover Letter on the Proposer’s letterhead, signed by an individual authorized to legally commit the Proposer. The Cover Letter must designate the officer, employee, or agent who will be the Proposer’s contact for all communications regarding its proposal. The following information for this individual shall be provided:  
   \*Name  
   \*Title  
   \*Firm’s Name  
   \*Mailing Address  
   \*Office Telephone Number  
   \*Mobile Telephone Number  
   \*Email Address
2. Legal Name. Submit a certificate, copy of web-page, or other documentation from the Secretary of State in which the firm is incorporated that shows the firm’s legal name. Many firms use a “Doing Business As” name or a nickname in their daily business. However, the City requires the legal name of the firm as it is legally registered. When preparing all forms, use the firm’s legal name.
3. Form 1: Consultant Questionnaire.
4. Form 2: Minimum Qualifications Response Form.
5. Form 3: Written Proposal Form.
6. Form 4: Financial Proposal Form.
7. Contract Modifications, if any proposed.

12.3 Delivery of Proposals: Emailed proposals must be received no later than the date and time listed in Section 1.0.

**13.0 Selection and Award**

13.1 Selection Process

Step 1 Initial Screening: The City will review submittals for initial decisions on responsiveness and responsibility. Those found responsive and responsible based on this initial review shall proceed to Step 2.

Step 2 Written Proposal Evaluation: The Evaluation Team will review responses to the Minimum Qualifications. Those proposals found to meet the minimum qualifications will be evaluated using the criteria specified below. Responses will be evaluated and ranked or scored.

Evaluation Criteria:

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| Response to Written Proposal Questions | 80% |
| Response to Financial Proposal | 20% |

Step 3 Interviews: The City may interview top ranked or scored firms that are most competitive. At the City’s option, the interviews may be in person or on-line. Consultants invited to interview are to bring the assigned Project Manager named by the Consultant in the Proposal and may be invited to bring other key personnel named in the Proposal. The Consultant shall not bring other project team members or individuals who do not work for the Consultant without advance authorization by the IT Contracting Manager.

Step 4 Professional References: The City may contact one or more professional references that have been provided by the Proposer or other sources that may not have been named by the Proposer but can assist the City in determining performance.

Step 5 Selection: The City may select the highest ranked Proposer for award as a result of the interview, if any are conducted.

Step 6 Contract Negotiations. The City may negotiate elements of the proposal to best meet the needs of the City with the apparent successful Proposer. The City may negotiate any aspect of the proposal or the solicitation.

Repeat of Evaluation: If no Consultant is selected at the conclusion of all the steps, the City may return to any step in the process to repeat the evaluation with those proposals active at that step. The City shall then sequentially step through all remaining steps as if conducting a new evaluation process. The City reserves the right to terminate the process if no proposals meet its requirements.

13.2 Award and Contract Execution.

13.2.1 Notice to all Proposers: The IT Contracting Manager will provide timely notice of an Intent to Award to all Consultants responding to the Solicitation.

13.2.2 Protests: The City has rules to govern the rights and obligations of interested parties that desire to submit a complaint or protest to this process. Please see the City website at <http://www.seattle.gov/contracting>. Interested parties have the obligation to know of and understand these rules, and to seek clarification from the City. Note there are time limits on protests, and submitters have final responsibility to learn of results in sufficient time for such protests to be filed in a timely manner.

13.2.3 Instructions to the Apparent Successful Proposer: The Apparent Successful Proposer will receive an Intent to Award Letter after award decisions are made by the City.

After the City has finalized and transmitted the contract to the Consultant for signature, the Consultant must execute the contract and provide all requested documents within ten business days. If the Consultant fails to execute the contract and submit all documents within the ten days, the City may cancel the award and proceed to the next ranked Consultant, or cancel or reissue the solicitation. Cancellation of an award for failure to execute the Contract as attached may disqualify the firm from future solicitations for this same work.

The apparent successful Proposer should anticipate submitting the following information:  
Seattle Business License Number

State of Washington Business License Number (UBI Number)

Certificate of Insurance

IRS W-9 Form

Also in advance of the provision of services, the City may, as appropriate, conduct Background Checks.