



## **REQUEST FOR STATEMENT OF QUALIFICATIONS (RFSQ)**

### **THE STATE REGULATORY REGISTRY CONTACT CENTER SERVICES**

The State Regulatory Registry LLC (SRR<sup>1</sup>) is requesting Statements of Qualification from those Vendors interested in providing Contact Center services to SRR. SRR currently has an agreement for these services, which is currently set to expire in January 2, 2014. The overall intent is to determine the best value provider for SRR Contact Center services for a multi-year period and to negotiate a new contractual agreement with this provider. The contractual agreement will include an appropriate transition process that provides for minimal risk and disruption to SRR business operations.

SRR's goal is to seek a prime Vendor that is capable of delivering and integrating a broad scope of Contact Center services of the highest quality in large, complex environments.

SRR is using the information that it receives in response to this RFSQ to assist in the preparation of a Request for Proposals ("RFP") encompassing the full scope of Contact Center services.

### **PROCESS**

SRR will utilize a two-step process to acquire these services. Step One consists of SRR pre-qualifying Vendors using a Request for Statement of Qualification (RFSQ). Step Two consists of issuing an RFP to those Vendors who pre-qualify in Step One.

SRR has selected the Statement of Qualifications (SOQ) process as the optimum method of selecting Vendors to compete in the RFP process. Use of this process will ensure that SRR receives proposals only from qualified Vendors.

**Note that failure to qualify as a prime Vendor under the RFSQ does not disqualify any Vendor from offering its services as a subcontractor to a qualified prime Vendor to provide contact center or telecommunications services to SRR on this project. Vendors who do not qualify as prime Vendors are encouraged to seek such relationships with qualified prime Vendors.**

Under Step One those Vendors who's SOQ has been determined to be qualified in SRR's sole discretion will receive written notification from SRR of qualification. The qualification will be based on those Vendors who are best positioned to support the SRR's Contact Center services. Vendors whose SOQ fails to pass the evaluation criteria will receive written notification

<sup>1</sup> A SUBSIDIARY OF THE CONFERENCE OF STATE BANK SUPERVISORS (CSBS), THE STATE REGULATORY REGISTRY LLC (SRR) IS A NON-PROFIT ENTITY THAT OPERATES THE NATIONWIDE MORTGAGE LICENSING SYSTEM AND REGISTRY (NMLS) ON BEHALF OF STATE FINANCIAL SERVICES REGULATORY AGENCIES. SRR IS GOVERNED BY AN EIGHT-MEMBER BOARD OF MANAGERS COMPRISED OF STATE BANKING AND FINANCIAL REGULATORS AND A REPRESENTATIVE OF THE AMERICAN ASSOCIATION OF RESIDENTIAL MORTGAGE REGULATORS (AARMR). THE SRR BOARD OF MANAGERS IS RESPONSIBLE FOR ALL DEVELOPMENT, OPERATIONS, AND POLICY MATTERS CONCERNING NMLS.

identifying evaluation criteria that their SOQ did not meet and are not eligible to participate under Step Two, Request for Proposals.

## **DUE DATE**

Statements of Qualifications ONLY must be received by SRR, Purchasing and Contracting Department, RFSQ: SRR Contact Center Services prior to 3:00 p.m. EST, February 27, 2013, in order to be considered for evaluation. **Late submissions of Statements of Qualification will NOT be considered.**

## **QUESTIONS**

Questions and requests for clarification related to definition or interpretation of this RFSQ must be requested **in writing via email** prior to the date the responses are due. Questions and requests for clarification must be received in sufficient time to allow an Addendum to the RFSQ to be issued. Therefore, questions received after **3:00 P.M., Friday February 20, 2013** will not be answered.

Questions must be submitted in writing via email to the Department of Purchasing and Contracting at:

State Regulatory Registry LLC  
Department of Purchasing and Contracting  
Email: RFSQ\_CCS@CSBS.org

SRR looks forward to your participation in this process.

Thank you.

Department of Purchasing and Contracting

Enclosure

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**Contact Center Services Vendors**  
**(RFSQ: SRR Contact Center Services)**

## **1. INTRODUCTION**

SRR seeks to explore the vendor marketplace for qualified Vendors to provide Contact Center services to SRR. The overall intent is to determine the best value provider for SRR Contact Center services for an extended period following the expiration of the current agreement, and to negotiate a new contractual agreement with this provider. The contractual agreement will include an appropriate transition process (to be completed prior to September 30, 2013) that provides for minimal risk and disruption to SRR technical and business operations.

To that end, SRR is preparing a Request for Proposals (“RFP”) for Contact Center services which are expected to include Contact Center services to support SRR’s application system inquiries.

SRR is issuing this Request for Statements of Qualification (the “RFSQ”) in order to identify those Vendors qualified as prime Vendors to submit a proposal in response to the RFP providing the full scope of services to be set forth therein. SRR seeks a prime Vendor, rather than a number of separate Vendors, to facilitate contract management and promote system and service integration. All interested providers are invited to respond to this RFSQ.

## **2. RFSQ PROCESS & PROCEDURE**

- 2.1. SRR will utilize a two-step process to acquire these services. Step One consists of SRR pre-qualifying Vendors using a Request for Statement of Qualification (RFSQ). Step Two consists of issuing an RFP to those Vendors who pre-qualify in Step One.
- 2.2. SRR has selected the Statement of Qualifications (SOQ) process as the optimum method of selecting Vendors to compete in the RFP process. Use of this process will ensure that SRR receives proposals only from qualified Vendors.
- 2.3. Statements of Qualifications must be received by SRR, Purchasing and Contracting Department via e-mail prior to 3:00 P.M. EST, **February 27<sup>nd</sup>, 2013**, in order to be considered for evaluation.
- 2.4. **Note that failure to qualify as a prime Vendor under the RFSQ does not disqualify any Vendor from offering its services as a subcontractor to a qualified prime Vendor to provide contact center or telecommunications services to SRR on this project. Vendors who do not qualify as prime Vendors are encouraged to seek such relationships with qualified prime Vendors.**
- 2.5. Under Step One those Vendors who’s SOQ has been determined to be qualified in SRR’s sole discretion will receive written notification from SRR of qualification. The qualification will be based on those Vendors who are best positioned to support the SRR’s Contact Center services. Vendors whose SOQ fails to pass the evaluation criteria

will receive written notification identifying evaluation criteria that their SOQ did not meet and are not eligible to participate under Step Two, Request for Proposals.

### 3. ANTICIPATED SCHEDULE OF EVENTS

The deadlines regarding the preparation of Statement of Qualification and related events are as follows:

DATE	EVENT
February 13, 2013	<p><u>Issuance of RFSQ</u> - This RFSQ is posted and available for download on SRR's web site at:  <a href="http://mortgage.nationwidelicencingsystem.org/news/Pages/RFP.aspx">http://mortgage.nationwidelicencingsystem.org/news/Pages/RFP.aspx</a></p>
February 20, 2013	<p><u>Acknowledgment of Intent to Respond</u> - On or before this date acknowledge receipt of this RFSQ and intent to respond, for the sole purpose of facilitating further communications, to SRR's Department of Purchasing and Contracting :</p> <p><b>SRR</b>  Purchasing and Contracting Department  RFSQ: SRR Contact Center Services  Email: RFSQ_CCS@CSBS.org</p> <p><b>Acknowledgements must include the name, address, telephone number, and e-mail address of the Vendor's primary and secondary contact persons. Acknowledgement must be an e-mail.</b></p>
February 20, 2013	<p><u>Requests for Clarification</u> – Any requests for clarification regarding this RFSQ must be in writing (e-mail is acceptable) and delivered to SRR's Contracting Officer on or before this date.</p>

DATE	EVENT
February 25, 2013	<p><u>Response to Written Questions</u> - SRR's responses to any written requests for clarification, and any modifications, of this RFSQ will be issued by SRR on or before this date as a written addendum to this RFSQ posted and available for download on SRR's web site at:</p> <p><a href="http://mortgage.nationwidelicencingsystem.org/news/Pages/RFP.aspx">http://mortgage.nationwidelicencingsystem.org/news/Pages/RFP.aspx</a></p> <p><b>Prospective providers shall not communicate with SRR with respect to this RFSQ other than in e-mail, delivered to SRR's Purchasing and Contracting Department. Oral communications by SRR to providers shall not be considered binding on SRR, nor shall any written materials provided by any person other than SRR's Purchasing and Contracting Department.</b></p>
February 27, 2013 3:00 pm EST	<p><u>Statement of Qualifications Due</u> – In order to be considered for evaluation, a complete electronic version of all components of the Statement of Qualification must be submitted via e-mail in Microsoft Word format or PDF to the Purchasing and Contracting Department before 3:00 pm EST on this date. Statements of Qualifications, or any part thereof, received after that deadline will NOT be considered and will be returned unopened. Statements of Qualifications <b>received by fax will NOT be considered.</b></p>
March 7, 2013	<p><u>Evaluation and Notification</u> – After SRR's receipt and evaluation of the Statement of Qualifications as provided herein, on or about this date, SRR will notify those Vendors submitting a Statement of Qualification whether they have qualified to submit a proposal in response to the RFP</p>
March 8, 2013	<p><u>Issuance of RFP</u> - SRR anticipates that the RFP will be made available to qualified Vendors on or about this date. Additional information will be provided when available.</p>

#### **4. SUBMITTALS AND QUALIFICATION**

Vendors will submit a complete electronic version of all components of the Statement of Qualification via e-mail in Microsoft Word format or PDF to the Purchasing and Contracting Department before **3:00 pm EST on February 27, 2013**. The Statement of Qualifications shall be in the format specified herein, including all supporting documentation requested.

#### **5. VERBAL DISCUSSIONS/AGREEMENTS**

No prior, current, or post award verbal conversation or agreement(s) with any officer, agent, or employee of SRR shall affect or modify any terms or obligations of this RFSQ, or any contract resulting from this procurement.

Respondents are cautioned against discussing SRR's requirements, preparation of Statements of Qualification, proposals in response to the RFP, or technical questions with any SRR personnel. Contact with any SRR employee or official, except SRR's Contracting Officer, concerning this RFSQ, the RFP, or the outsourcing initiative may result in disqualification.

#### **6. VENDOR INQUIRIES**

Any conversations or communications concerning this Request for Statement of Qualifications with any SRR employee or official (other than the Purchasing and Contracting Department involved in this process) prior to contract award are prohibited and shall be grounds for disqualification. However, Vendors currently engaged by SRR and providing services to SRR on an on-going basis may continue communications with SRR employees, officials or other personnel regarding the day-to-day services, and not regarding this RFSQ. SRR's policy restricting communications pertaining to this RFSQ is not intended to interfere with SRR's on-going normal communications with its current Vendors.

#### **7. DUTY TO INQUIRE**

Should a Vendor find discrepancies or omissions in the qualification form or the RFSQ, or should there be any doubt as to meaning, the Vendor shall at once notify the Contracting Officer in writing. Should it be found by SRR that the point in question is not clearly and fully set forth, a written Addendum will be sent to all persons receiving the RFSQ. SRR will not be responsible for any oral instructions nor for any written materials provided by any person other than the Contracting Officer or his/her designee.

#### **8. DISCLAIMER**

This RFSQ does not commit SRR to establish a list of qualified vendors, to pay costs incurred in the preparation of a response, or to procure or contract for any services. SRR reserves the right to withdraw this RFSQ at any time without prior notice. Further, SRR makes no representations that any contract will be awarded to any Vendor responding to this RFSQ. SRR reserves the right to accept or reject any or all Statements of Qualifications and Proposals as a result of this RFSQ, or to seek clarification with any qualified source or to cancel in part or in its entirety this RFSQ if it is in the best interest of SRR. SRR reserves the

right at any time to remove or alter any requirement or component of the RFSQ if SRR believes it is in its best interests to do so for any reason. SRR expressly reserves the right to waive any irregularities, and, at its sole option, may request clarification and/or additional information from one or more potential Vendors without obligating itself to request such additional information from all potential Vendors.

SRR shall not be liable for any expenses incurred by any Vendor or by the selected Vendors in the preparation and submission of the response to the RFSQ. SRR shall be held harmless and free from any and all liability, claims, or expenses whatsoever incurred by, or on behalf of, any person or organization responding to this RFSQ. As used herein “expenses” include, without limitation, any costs or expenses incurred by Vendors for:

- Preparing/submitting the Statement of Qualifications
- Discussions with SRR on any matter related to this RFSQ

## **9. PROPRIETARY INFORMATION – STATEMENT OF QUALIFICATIONS**

All Statements of Qualification become the property of SRR.

## **10. ANTICIPATED SCHEDULE OF EVENTS**

The dates, times, and sequence of events related to this RFSQ shall ultimately be determined by SRR. The schedule shown in Section 3 is subject to change, in the sole discretion of SRR, although SRR will attempt to follow it and, if it must be altered, will attempt to provide reasonable notice of the changes.

## **11. MEDIA RELEASES**

Respondents shall not issue any media release pertaining to this RFSQ, the RFP, or SRR’s outsourcing initiative.

## **12. EVALUATION OF STATEMENTS OF QUALIFICATION**

12.1. SRR will evaluate each Statement of Qualifications.

12.2. SRR will not deem a respondent qualified (i.e., an “acceptable” Statement of Qualification) to submit a proposal in response to the RFP unless the respondent: (i) answers each of the questions set forth in section B; (ii) provides information sufficient to evidence such responses; and (iii) otherwise complies with the terms of this RFSQ.

12.3. SRR reserves the right to request clarifications and hold discussions requesting additional information or clarifications from a respondent if necessary; any clarifications or additional information shall be submitted by the respondent as a modification to the Statement of Qualification.



12.4. Each Statement of Qualification will be evaluated based on the information submitted therein plus any other additional information developed by SRR. SRR further reserves the right to require personal interviews with representatives of any respondent. The interviews, if required, will be for the purpose of assisting SRR in determining whether or not the respondent meets the qualification criteria outlined herein.

12.5. Upon final determination that a Statement of Qualification is unacceptable, the respondent will be notified of that fact. The notice will indicate, in general terms, the basis for not meeting SRR's qualification requirements.

12.6. Due to the short time frame, all information provided must be verifiable by telephone. SRR may, but is not obligated to, use only those, telephone numbers and names of contacts provided in the Statement of Qualification.

## SECTION B – STATEMENTS OF QUALIFICATIONS

### (RFSQ: SRR Contact Center Services)

#### 1. CONTENT AND FORMAT FOR STATEMENT OF QUALIFICATION

Vendors must respond to each of the questions asked, and the information requested, in the sequence in which asked or requested, responding completely and in as much detail as needed. All questions shall be answered and all requested information shall be provided. Respondents to this RFSQ shall repeat each question or request and insert the response directly after the question or request. Statement of Qualifications should be concise but comprehensive and shall not include promotional material. All Statements of Qualification must adhere to the format required.

Please print the Statement of Qualification Cover Letter attached hereto on company letterhead, attach it to the first page of the Statement of Qualification, and have it signed by an authorized representative.

#### 2. STATEMENTS OF QUALIFICATION SPECIFIC QUESTIONS

With respect to the Statement of Qualification, answers to the following questions will form the basis for SRR's determination as to whether an organization is acceptable. For purposes of the following questions, the phrase "Contact Center Services" means, collectively: Contact Center Services, facilities, and systems that are required to provide Client customers a positive customer service experience. For purposes of the following questions, the term "Services" means, collectively, Contact Center Services.

2.1 Has your organization, acting as the prime Vendor, entered into **at least three** Services contracts in the past year where the average annual contract value over the term of the contract exceeded \$4,000,000 (annually) and for which both of the following are true?

- (a) The contract was for the provision of Contact Centers for at least 3 years
- (b) Contact Center Services were the majority of the services provided under the contract (measured in average annual gross revenue over the term of the contract).

Answer this question either "Yes" or "No." If the answer is "Yes," provide the following information supporting that response: (i) customer's name (or a description of customer's business); (ii) average annual contract value; (iii) types of Services provided and, to the extent necessary to support the response to item 2.1(b) above, corresponding annual gross revenues therefrom; (iv) duration of the engagement; and (v) types of Services provided by subcontractors and the names of such subcontractors (may provide up to three sets of customer's information supporting the response).

2.2 Does your organization have **at least four** US Contact Centers (in at least two different States)?

Answer this question either “Yes” or “No.” If the answer is “Yes,” provide the following information supporting that response: (i) number of Contact Centers in the US; (ii) which States are the Contact Centers located.

2.3 Has your organization had gross annual revenue in excess of \$200 million in each of its last three (3) fiscal years?

Answer this question either “Yes” or “No.” If answering “Yes,” identify the organization’s affiliates that have been included for purposes of this calculation. SRR reserves the right to request detailed financial statements, annual reports, or 10 K report if required.

2.4 Will your organization, if it chooses to submit a proposal in response to the RFP, offer to act as the prime Vendor under the subsequent contract with SRR?

Answer this question either “Yes” or “No” and explain your answer. In addition, if your answer is “Yes,” describe your total organization, including any parent companies, subsidiaries, affiliates, and other related entities. For each entity, specify the entity’s total revenue, number of employees, products and services.

2.5 Can you certify to the best of your knowledge that your organization or any of its officers:

2.5.1 Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency; and

2.5.2 Have not within a three (3) year period preceding this agreement been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and

2.5.3 Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local); and

2.5.4 Have not within a three (3) year period preceding this agreement had any transactions terminated for cause or default?

Answer this question either “Yes” or “No.”

## Statement of Qualification Cover Letter

1. **Re-Type On Company Letterhead**
2. **E-mail to Department of Purchasing and Contracting**

February 27, 2013

State Regulatory Registry LLC

Purchasing and Contracting Department

RFSQ: SRR Contact Center Services

Re: Request for Statements of Qualification

Ladies and Gentlemen:

The attached information is provided in response to SRR's Request for Statements of Qualification dated February 27, 2013 ("RFSQ"). \_\_\_\_\_ (enter Vendors name) agrees to all of the conditions set forth in the RFSQ. The information contained in this Statement of Qualifications ("Statement of Qualification") or any part thereof; including other documents delivered or to be delivered to the State Regulatory Registry LLC ("SRR"), is true, accurate, and complete. This Statement of Qualification includes all information necessary to ensure that the statements therein do not in whole or in part mislead SRR as to any material fact.

**[ORGANIZATION'S NAME]**

By: \_\_\_\_\_

Its: \_\_\_\_\_