

REQUEST FOR PROPOSALS

For Consultant Services on Indirect Cost (“IDC”) Matters
and Preparation and Negotiation of IDC Rate Proposals for the Navajo Nation

PROPOSAL DUE DATE:

March 25 2020 @ 4:30 PM
Daylight Savings Time (DST)

CONTACT PERSON:

Cordell Shortey, Contracting Officer;
Cshortey@omb.navajo-nsn.gov or
Germaine Jones, Deputy Contracting Officer
Gjones@omb.navaoi-nsn.gov

The Navajo Nation
Office of Management and Budget (OMB)
(928) 871- 6470

DELIVER TO:

The Navajo Nation OMB
Navajo Nation Museum and Library
Highway 264 & Post Office Loop Road
Window Rock, AZ 86515

OR

MAIL TO:

The Navajo Nation OMB
P.O. Box 646
Window Rock, AZ 86515

INSTRUCTIONS:

Package the Proposal in a sealed envelope clearly marked as follows, “**DO NOT OPEN! – RFP on IDC Consultant. Attention: Cordell Shortey, Contracting Officer.**”

The Navajo Nation reserves the right to reject any Proposals, which, in its sole discretion, it deems to be non-responsive to this RFP.

Section I. Summary of RFP & Schedule:

- A. **Summary of RFP:** The Navajo Nation (“NN”) is soliciting written Proposals from financial management and consulting firms to provide consultant services to the NN related to Indirect Costs (“IDC”), including: preparation of Indirect Cost Rate Proposals (“ICRP”) for Fiscal Years (“FY”) 2021, 2022, 2023 and 2024 for submission to the federal cognizant agency, Interior Business Center of the Department of the Interior (“IBC”); consultation on cost allocation plans; consultation on audit matters relating to IDC; and performance of other services related to IDC. The ICRPs shall be prepared in accordance with 2 CFR Chapter I, Chapter II, Part 200, Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (“Uniform Guidance”). This RFP provides information, instructions, and requirements on preparation of the NN’s ICRPs.
- B. **Schedule of Activities / Timeline on RFP and Contract Award:**
1. RFP issued/published on: March 18 & 21, 2020
 2. Due Date for Proposals: March 25, 2020 at 4:30 p.m.
 3. Proposal Opening: April 7, 2020 at 9 a.m.
 4. Evaluation of Proposals: April 8-10, 2020
 5. Anticipated Date for Interview/s: April 14, 2020
 6. Anticipated Date for Award of Contract: April 17, 2020

Section II. Scope of Work:

- A. The Consultant shall prepare ICRPs for Fiscal Years 2021, 2022, 2022, and 2024 in accordance with the timeline below. The Consultant shall submit the ICRPs to the NN OMB for review and acceptance. The NN OMB will submit the ICRPs to its federal cognizant agency, the IBC.

| Fiscal Year | Submit Draft ICRP to NN | Submit Proposed ICRP to IBC |
|-------------|-------------------------|-----------------------------|
| 2021 | May 22, 2020 | June 12, 2020 |
| 2022 | February 15, 2021 | March 31, 2021 |
| A 2023 | February 15, 2022 | March 31, 2022 |
| 2024 | February 15, 2023 | March 31, 2023 |

- B. In development of each ICRP, the Consultant shall review the NN’s audited financial statements from three years prior. To develop the FY 2021 ICRP, Consultant shall utilize the NN’s FY 2018 audited financial statements. The FY 2022 ICRP shall be based on FY 2019 audited financials. The FY 2023 ICRP shall be based on FY 2020 audited financials. The FY 2024 ICRP shall be based on FY 2021 audited financials. The Consultant shall perform cost analysis and compile cost schedules based on such to support each ICRP.
- C. The Consultant shall work with the NN OMB and Office of the Controller (“OOC”) to obtain audited financial statements and other pertinent financial data.

- D. The Consultant shall utilize the most practical allocation method for ICRPs to benefit the NN.
- E. The Consultant shall analyze the NN's current methodology in determining IDC rate by assessing cost paid per fund source and/or contract by programs to delineate direct and indirect cost expenses paid.
- F. The Consultant shall recommend how to change and improve the process and/or methodology to include central local government and regional area agencies providing support cost in the preparation of all the ICRPs and cost allocation plans.
- G. The Consultant shall determine the NN offices/programs that are central support service providers so these can be considered for allocation of IDC funds recovered.
- H. The Consultant shall determine methodology for use in allocation strategy and process so programs are considered for rational allocation of IDC funds.
- I. The Consultant shall submit drafts of the ICRPs and all working documents used to develop the ICRPs in electronic form to the NN OMB/Contracts and Grants Section ("CGS").
- J. The Consultant shall communicate with NN OMB regarding all inquiries on the ICRP by the federal cognizant agency, the IBC. Consultant shall consult with and obtain clearance from NN OMB prior to responding to inquiries from the IBC.
- K. The Consultant shall assist the NN OMB with the negotiation process to ensure approval of the ICRPs.
- L. The Consultant shall provide NN OMB with all written documents and electronic files of the ICRPs that are submitted to the IBC.
- M. The Consultant shall defend the NN for three (3) years after each ICRP is approved by the IBC.
- N. The Consultant shall assist the NN in responding to audit issues and questions by the federal funding agencies related to IDC.
- O. The Consultant shall advise and assist the NN OMB with other matters related to IDC and cost allocation as needed.

Section III. General Information:

- A. **Background Information:** The NN is a Native American nation located in the Southwestern United States. The NN Reservation extends into the states of Utah, Arizona, and New Mexico. It has a land area of over 27,000 square miles, which is larger than 10 of the 50 states in the U.S., and is roughly the size of West Virginia. The population of the NN is approximately 300,000. The NN has a three-branch system of government, including the Executive, Legislative, and Judicial Branches. The Consultant

will work with the Office of Management and Budget (“OMB”) in coordination with the Office of the Controller (“OOC”).

The NN maintains its financial and accounting records on J.D. Edwards Enterprise One PeopleSoft Version 9.2.0 Financial Management Information System (“FMIS”) and uses Enterprise Resource Planning (“ERP”) financial software and technology. The Consultant shall prepare the ICRPs based upon audited financial records obtained from the “Budgetary Basis Expenditures,” which are presented on a project-to-date basis. Consequently, adjustments will be required to arrive at the appropriate period and net expenditures.

The NN operates on a FY cycle from October 1 to September 30. The financial and accounting records on the NN’s General Fund and External Grants (e.g. federal, state and county awards) are maintained on fiscal date pattern, which begins October 1 and ends September 30. The Audit Report on FY 2018 was issued and filed on June 30, 2019 with Federal Audit Clearinghouse. The FY 2019 audit is in progress.

- B. **Inquiries:** Please direct all inquiries regarding this RFP to Cordell Shortey, Contracting Officer, or Germaine Jones, Deputy Contracting Officer, by phone at (928) 871-6470 or by email at cshortey@omb.navajo-nsn.gov or gjones@omb.navajo-nsn.gov.
- C. **Proposal Due Date:** An original and four copies of the Proposal must be physically received by the NN Office of Management and Budget (“OMB”), at the address on cover page, by no later than 4:30 p.m. (DST), on March 25 2020. Firms that mail their Proposals should allow sufficient time for mail delivery to ensure receipt by the due date/time. No Proposals will be accepted after the due date. OMB shall not accept Proposals submitted by facsimile or email.
- D. **Proposal Format:** The Proposal shall be formatted as outlined in Section III below and shall be submitted in a sealed envelope clearly marked “**Do Not Open – RFP on IDC Consultant. Attention: Cordell Shortey, Contracting Officer**”.
- E. **Addendum to this RFP:** The NN reserves the right to issue written addendum to this RFP at any time as circumstances require. Additionally, the NN may adjust the Schedule of Activities without notice.
- F. **Withdrawal of RFP:** The NN reserves the right to withdraw this RFP at any time and is not obligated to award a contract pursuant to this RFP.
- G. **Acceptance of Proposal for Consideration:** Only those Proposals received by OMB on or before the due date/time shall be accepted for consideration. Untimely proposals shall not be considered.
- H. **Rejection of Proposals:** The NN reserves the right to reject any or all proposals and to waive all informalities and minor irregularities in receiving Proposals.
- I. **Proprietary Information:** Any restrictions on the use of data contained within any Proposal must be clearly stated in the Proposal. Each and every page of the proprietary

material must be clearly mark “Proprietary”. Proposals another procurement information shall be handled in accordance with the NN Privacy and Access to Information Act, 2 N.N.C. §§ 81 *et seq.*

- J. **Ownership of Response Material:** All Proposals and materials submitted in response to this RFP shall become the property of the NN and will not returned to the Respondent firm.
- K. **Cost Incurred:** There is no express or implied obligation for the NN to reimburse Respondents for any expenses incurred by the Respondent firm in preparing responses to this RFP. The NN will not reimburse Respondents for these expenses, nor will the NN pay any subsequent costs associated with the provision of any additional information or presentation, including costs incurred to interview with the Evaluation/Selection Team, or to otherwise procure a contract for these services.
- L. **Acceptance of Proposal Content:** The content of the Proposal will become contractual obligations on Respondent if a contract award is made. Failure of the successful Respondent to accept these obligations may result in cancellation of the award and such Respondent may be removed from consideration for future NN solicitations. The NN reserves the right to pursue appropriate legal action in the above set of circumstances.
- M. **Terms and Conditions:** Respondent will be expected to agree to the NN’s standard terms and conditions for Professional Services Contracts.
- N. **Governing Law:** The review of this RFP and Proposals and materials submitted in response to this RFP will be conducted in compliance with applicable NN laws.
- O. **Interviews:** The NN OMB intends to select one or more Respondent firms to interview after evaluation of Proposals. The NN OMB may notify interviewees by phone or email to schedule interviews, and interviews will be conducted by phone.
- P. **Selection:** After completion of interviews, the NN OMB may select one or more firms to award a contract to perform the work set forth in the Scope of Work. OMB will notify the selected firm/s by phone or email.
- Q. Evaluation Procedures and Criteria:**
1. All proposals will be publicly opened at the NN OMB and reviewed and evaluated in accordance with the timeline set forth at Section I. B. above. No inquires will be accepted during the evaluation period.
 2. Upon request by the NN, the Respondent firm shall provide any additional information deemed necessary to conduct a thorough and complete evaluation. Failure of any Respondent to provide any information requested in the RFP or by the selection team may result in disqualification of the Proposal. The Proposal shall contain all components specified in Section IV. Proposal Content; Evaluation Criteria and Rating System.
 3. The sole objective of the selection team will be to identify the Respondent firm that is most qualified to fulfill the Scope of Work set forth herein and that meets

the Qualifications herein. The specifications in this RFP represent the minimum performance criteria necessary for a response.

4. Financial Factors: Proposed costs will be evaluated not only to determine if the estimate is reasonable, realistic, and cost effective, but also to determine the Respondent's understanding of the Scope of Work and ability to organize and perform the contract. Pricing factors will not be numerically weighed and scored, but will be considered as part of the overall response.
5. Proposals will be evaluated on a 100 point scoring system.

R. Contract Award:

1. Selection of Firm. The NN will evaluate proposals to select a responsible and responsive offeror firm whose Proposal is the most advantageous to and best serves the needs of the NN taking into consideration price and other evaluation factors set forth in the RFP. The NN is not obligated to make an award. All awards shall be contingent on the execution of a written contract that is acceptable to the NN and the awardee.
2. Standard Contract. Pursuant to the Navajo Nation Procurement Act and Regulations, the NN will enter into a standard form Professional Services Contract ("PSC") with the awardee as the Consultant. The NN contract shall comply with NN law.
3. A Notice to Proceed will be issued to the Consultant by the NN when the PSC is executed.

Section IV. Proposal Content; Evaluation Criteria and Rating System

The Respondent firm shall prepare Proposal in the following format, with the required components, and shall address the specified criteria. Failure to provide any information requested in this RFP may result in disqualification of the Proposal. All Proposals must be endorsed with the signature of an approving official to be considered responsive.

A. Qualification - (25) Points:

1. Letter of interest that explains why the Respondent firm should be selected based on its ability to perform required deliverables, and to complete the project on time and within the contract amount. Provide evidence that the Respondent firm has the administrative, technical, and financial capability to perform the required services.
2. Provide profile on your firm, organization structure, and number of years in the business. Submit resumes of all personnel who will be involved with project including their qualifications, experience with IDC, and a statement indicating what tasks/role each will fulfill.
3. Provide the Respondent firm's latest financial statements, including the Balance Sheet, Income Statement, and other financial records to demonstrate financial security and stability.

4. Provide an explanation on the degree to which the offeror firm has worked with Uniform Guidance and ICRPs submitted to the IBC.

B. Experience - (25) Points

1. Provide evidence of personnel experience and IDC related services rendered to other governments, particularly tribal governments. Include detailed list of recent cost allocation experience, ICRPs and negotiations, and analysis of cost allocation plans and ICRPs. Please include a portfolio of work similar to the services requested herein.
2. Provide two (2) references from clients on contracts undertaken of similar size and scope outlined in Section II above. At least one (1) reference should be from a client with a contract that was awarded within the past two (2) years. References must include: name of client/company contracted with; the length of contract term; contact person's name, address, and telephone numbers. References should be able to verify the service levels and capability of the firm to provide the services solicited in this RFP.
3. Provide a record of past performance that demonstrates administrative and technical capability to perform the required services and ability to complete the project on time.

C. Project Approach – (20) Points

1. Submit a precise, specific plan that details the work to be conducted. Include a projected schedule by major tasks, personnel to complete task, and timeline when each phase will begin and end. The schedule should clearly delineate each point in time where project deliverables and reports are planned.
2. Availability of the personnel and management to meet in person or by teleconference with representatives of the NN.

D. Project Cost – (20) Points

Provide proposed cost separately by deliverables outlined in Section II. A. above. Provide a breakdown of costs of performing contract services by key cost components to include personnel, equipment, supplies, overhead expenses, and profits, identifying travel expenses or unusual expenses if applicable. A Proposal may be considered unresponsive for failure to provide complete list of expenses to be charged.

E. Other – (10) Points

Provide information beyond the Proposal components specified at Section IV. A. through D. above to explain why the Respondent firm believes it should be selected and awarded the Contract. For example, use of technology, the firm's knowledge of the NN government, experience preparing ICRPs for other tribal governments, etc.

Section V: Questions

1. Has any officer or partner of your firm been an officer or partner of another firm/organization that failed in the last ten (10) years to complete a contract? _____

If yes, state circumstances:

2. Has your firm failed in the last ten (10) years, to complete any work awarded to it or to complete the work on time? _____

If so, note when, where, and why: _____

3. Is anyone in the firm, currently subjected to an administrative sanction issued by any department or agency of the federal government or any state governments?

_____ YES _____ NO

4. Will any part of the described scope of work be sub-contracted out by your firm?

_____ YES _____ NO

If yes, complete:

5. Does any person in your firm intend to enter into any type of agreement with any other concern or person which relates to or affects the on-going administration, management or operations of your firm? These include but are not limited to management, joint venture agreements, and any arrangement or contract involving the provisions of such compensated services as administrative assistance, data processing, management consulting of all types, marketing, purchasing, production, and/or other type of compensated assistance.

_____ YES _____ NO

If yes, attach a copy of any written agreement or an explanation of any oral or intended agreement.

6. Has your firm ever been subjected to a judgment of any court or administrative sanction (Federal, State, or Tribal)?

_____ YES _____ NO

Has any individual within your firm ever been subjected to judgment of any court or administrative sanction (Federal, State, or Tribal)?

_____ YES _____ NO

If the answer is yes to either question, furnish details in a separate attachment.

7. Has any person within your firm ever been involved in a bankruptcy or insolvency proceeding? _____ YES _____ NO

If yes, furnish details in a separate exhibit.

8. a. Indicate the core crew employees in your work force, their job titles, and whether they are Indian or Non-Indian. Core crew is defined as an individual who is a current employee of your firm who is regularly employed by the firm in a supervisory or other key position when work is available. Attach a brief resume of the education, technical training, business, and employment history and business experience for each officer, partner, and/or subcontractor.

b. Over the past three (3) years, what has been the average number of employees in your firm?

9. Attach certification by a tribe or other evidence of enrollment in a federally recognized tribe for each officer, partner, or individual designated as an Indian, who will perform any task described in this RFP.

10. Attach a certified copy of the charter, articles of incorporation, by-laws, partnership agreement, joint venture agreement, and other pertinent organizational documentation.

11. Attach evidence that the enterprise (or an individual in it) is appropriately licensed for the type of work that is to be performed. Include Federal I.D. Number.

NOTE: I. Omission of any information may be caused for this Proposal not receiving timely and complete consideration.

II. Knowing that the Navajo Nation may approve a contract between the offeror firm and the Nation, the person/s signing below certifies that all information in this Proposal / Qualification Statement, including exhibits and attachments, is true and correct.

III. Print or type name below all signatures.

If applicant is Sole Proprietor, Sign Below:

Name

Date

If applicant is a Partnership or Joint Venture, all Partners must sign below:

Name

Date

Name

Date

If applicant is a corporation, affix corporate seal

Corporate Seal

Date

By: _____
President's Signature

Attested by: _____
Corporate Secretary's Signature