

CITY OF SANTA FE

"REQUEST FOR PROPOSALS"

**2008 Park Bond
Agreed Upon Procedures**

RFP #15/01/P

PROPOSAL DUE:

August 22, 2014

2:00 P.M.

**PURCHASING OFFICE
CITY OF SANTA FE
2651 SIRINGO ROAD
BUILDING "H" SANTA FE,
NEW MEXICO 87505**

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1. Instructions Relating to Local Preference Certification Form
2. Local Preference Certification Form
3. Resident Veterans Preference Form
4. Sample Contract
5. Minimum Wage Ordinance

REQUEST FOR PROPOSALS

PROPOSAL NUMBER '15/01/P

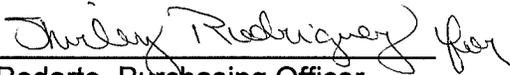
Proposals will be received by the City of Santa Fe and shall be delivered to the City of Santa Fe Purchasing Office, 2651 Siringo Road Building "H" Santa Fe, New Mexico 87505 **until 2:00 P.M. local prevailing time, August 22, 2014.** Any proposal received after this deadline will not be considered. This proposal is for the purpose of procuring professional services for the following:

2008 Park Bond Agreed Upon Procedures

The proponent's attention is directed to the fact that all applicable Federal Laws, State Laws, Municipal Ordinances, and the rules and regulations of all authorities having jurisdiction over said item shall apply to the proposal throughout, and they will be deemed to be included in the proposal document the same as though herein written out in full.

The City of Santa Fe is an Equal Opportunity Employer and all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation or national origin. The successful proponent will be required to conform to the Equal Opportunity Employment regulations.

Proposals may be held for sixty (60) days subject to action by the City. The City reserves the right to reject any of all proposals in part or in whole. Proposal packets are available by contacting: Shirley Rodriguez, City of Santa Fe, Purchasing Office, 2651 Siringo Road, Building "H" Santa Fe, New Mexico, 87505, (505) 955-5711.



Robert Rodarte, Purchasing Officer

Received by the Santa Fe New Mexican Newspaper on: 07/18/14
To be published on: 07/23/14

Received by the Albuquerque Journal Newspaper on: 07/18/14
To be published on: 07/23/14

PROPOSAL SCHEDULE

RFP # '15/01/P

- | | | |
|----|--------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | Advertisement | July 23, 2014 |
| 2. | Issuance of RFP'S: | July 23, 2014 |
| 3. | Receipt of proposals: | August 22, 2014 at 2:00 p.m. local prevailing time. Purchasing Office 2651 Siringo Road Bldg., "H" Santa Fe, New Mexico 87505 (505) 955-5711 |
| 4. | Evaluation of proposals: | August 28, 2014 |
| 5. | Interviews: | September 3, 2014 |
| 6. | Recommendation of award to Finance Committee: | September 15, 2014 |
| 7. | Recommendation of award to City Council: | September 23, 2014 |

DATES OF CONSIDERATION BY FINANCE COMMITTEE AND CITY COUNCIL ARE TENTATIVE AND SUBJECT TO CHANGE WITHOUT NOTICE.

INFORMATION FOR PROPONENTS

1. RECEIPT OF PROPOSALS

The City of Santa Fe (herein called "City"), invites firms to submit one original and four copies of the proposal. Proposals will be received by the Purchasing Office, until 2:00 p.m. local prevailing time, August 22, 2014.

The packets shall be submitted and addressed to the Purchasing Office, at 2651 Siringo Road Bldg. "H" Santa Fe, New Mexico 87505. No late proposals will be accepted whether hand delivered, mailed or special delivery. Do not rely on "overnight delivery" without including some lead-time. "Overnight delivery" will be determined to be non-responsive if delivered late, no matter whose fault it was. It is recommended that extra days be included in the anticipated delivery date to ensure delivery is timely. The Purchasing Office is closed 12:00 p.m. to 1:00 p.m. The outside of the envelope should clearly indicate the following information:

Proposal number: '15/01/P
Title of the proposal: 2008 Park Bond Agreed Upon Procedures
Name and address of the proponent:

Any proposal received after the time and date specified shall not be considered. No proposing firm may withdraw a proposal within 60 days after the actual date of the opening thereof.

2. PREPARATION OF PROPOSAL

Vendors shall comply with all instructions and provide all the information requested. Failure to do so may disqualify your proposal. All information shall be given in ink or typewritten. Any corrections shall be initialed in ink by the person signing the proposal.

This request for proposal may be canceled or any and all proposals may be rejected in whole or in part, whenever the City of Santa Fe determines it is in the best interest of the city.

3. ADDENDA AND INTERPRETATIONS

No oral interpretation of the meaning of any section of the proposal documents will be binding. Oral communications are permitted in order to make an assessment of the need for an addendum. Any questions concerning the proposal must be addressed prior to the date set for receipt of proposal.

Every request for such interpretation should be in writing addressed to, Purchasing Officer, 2651 Siringo Road Bldg. "H" Santa Fe, New Mexico, 87505 and to be given

consideration must be received at least (5) days prior to the date set for the receiving of proposals.

Any and all such interpretations and any supplemental instruction will be in the form of written addenda to the RFP, which if issued, will be delivered to all prospective firms not later than three days prior to the date fixed for the receipt of the proposals. Failure of any proposing firm to receive any such addenda or interpretations shall not relieve such firm from any obligation under their proposal as submitted. All addenda so issued shall become part of the contract documents.

The City reserves the right to not comply with these time frames if a critical addendum is required or if the proposal deadline needs to be extended due to a critical reason in the best interest of the City of Santa Fe.

4. LAWS AND REGULATIONS

The proposing firm's attention is directed to the fact that all applicable Federal Laws, State Laws, Municipal Ordinances, and the rules and regulations of all authorities having jurisdiction over said item shall apply to the contract throughout. They will be deemed to be included in the contract the same as though herein written out in full.

5. METHOD OF AWARD

The proposal is to be awarded based on qualified proposals as per the enclosed rating system and at the discretion and consideration of the governing body of the City of Santa Fe. The selection committee may interview the top three rated proponents; however, contracts may be awarded without such interviews. At its discretion the city reserves the right to alter the membership or size of the selection committee. The City reserves the right to change the number of firms interviewed.

6. COMPLIANCE WITH CITY'S MINIMUM WAGE RATE ORDINANCE (LIVING WAGE ORDINANCE)

A copy of the City of Santa Fe Ordinance No. 2003-8, passed by the Santa Fe City Council on February 26, 2003 is attached. The proponent or bidder will be required to submit the proposal or bid such that it complies with the ordinance to the extent applicable. The recommended Contractor will be required to comply with the ordinance to the extent applicable, as well as any subsequent changes to the Ordinance throughout the term of this contract.

7. RESIDENT, LOCAL OR VETERANS PREFERENCE

INTENT AND POLICY

The city recognizes that the intent of the state resident preference statute is to give New Mexico businesses and contractors an advantage over those businesses,

policy is to give a preference to those persons and companies who contribute to the economy of the State of New Mexico by maintaining businesses and other facilities within the state and giving employment to residents of the state (1969 OP. Att'y Gen. No. 69-42). The city also has adopted a policy to include a local preference to those persons and companies who contribute to the economy of the County of Santa Fe by maintaining businesses and other facilities within the county and giving employment to residents of the county.

With acknowledgment of this intent and policy, the preference will only be applied when bids are received from in-state and county businesses, manufacturers and contractors that are within 5% of low bids received from out-of-state businesses, manufacturers and contractors (13-1-21 (A) -1-21 (F) and 13-4-2 (C) NMSA 1978).

To be considered a resident for application of the preference, the in-state bidder must have included a valid state purchasing certification number with the submitted bid.

Thus it is recommended that in-state bidders obtain a state purchasing certification number and use it on all bids, in order to have the preference applied to their advantage, in the event an out-of-state bid is submitted. In submitting a bid, it should never be assumed that an out-of-state bid will not be submitted.

For information on obtaining a state purchasing certification number, the potential bidder should contact the State of New Mexico Taxation and Revenue Department.

All resident preferences shall be verified through the State Purchasing Office. Applications for resident preference not confirmed by the state Purchasing Office will be rejected. The certification must be under the bidder's business name submitting the bid.

NON-APPLICATION-COMPETING IN-STATE BIDDERS

If the lowest responsive bid and the next responsive bids within 5% of the lowest bid, are all from the state of New Mexico, then the resident preference will not be applied and the state purchasing certification number will not be considered. To be considered an in-state bidder in this situation, the bidders must meet the definition criteria of Chapter 13-1-21 (A)(1) and Chapter 13-4-2 (A) NMSA 1978. After examining the information included in the bid submitted, the city Purchasing Director may seek additional information of proof to verify that the business is a valid New Mexico business. If it is determined by the city Purchasing Director that the information is not factual and the low responsive bid is actually an out-of-state bidder and not a New Mexico business, then the procedures in the previous section may be applied.

If the bidder has met the above criteria, the low responsive "resident" bid shall be multiplied by .95. If that amount is then lower than the low responsive bid of a "non-

resident" bidder, the award will be based taking into consideration the resident preference of 5%.

APPLICATION FOR LOCAL PREFERENCE

For the purposes of this section, the terms resident business and resident manufacturer shall be defined as set out in Section 13-1-21 NMSA 1978; the term local as applied to a business or manufacturer shall mean:

Principal Office and location must be stated: To qualify for the local preference, the principal place of business of the enterprise must be physically located within the Santa Fe County Geographic Boundaries. The business location inserted on the Form must be a physical location, street address or such. DO NOT use a post office box or other postal address. Principal place of business must have been established no less than six months preceding application for certification.

The PREFERENCE FACTOR for resident and local preferences applied to bids shall be .95 for resident and .90 for local. The preference for proposals shall be 1.10 for local.

New Mexico Resident Veteran Business Preference: New Mexico law, Section 13-1-22 NMSA 1978, provides a preference in the award of a public works contract for a "resident veteran business". Certification by the NM Department of Taxation and Revenue for the resident veteran business requires the Offeror to provide evidence of annual revenue and other evidence of veteran status.

An Offeror who wants the veteran business preference to be applied to its proposal is required to submit with its proposal the certification from the NM Department of Taxation and Revenue and the sworn affidavit attached hereto as Appendix E.

If an Offeror submits with its proposal a copy of a valid and current veteran resident business certificate, 7%, 8%, or 10% of the total weight of all the evaluation factors used in the evaluation of proposal may be awarded.

The local preference or resident business preference is not cumulative with the resident veteran business preference.

Proposals for Goods and Services. When proposals for the purchase of goods or services pursuant to Section 23 are received, the evaluation score of the proposal receiving the highest score of all proposals from those proponents in the first category listed above shall be multiplied by the Preference Factor. If the resulting score of that proposal receiving the preference is higher than or equal to the highest score of all proposals received, the contract shall be recommended to that proponent receiving the preference. If no proposal are received from proponents in

the first category, or if the proposal receiving the preference does not qualify for an award after multiplication by the Preference Factor, the same procedure shall be

followed with respect to the next category of proposals listed to determine if a proponent qualifies for award.

Qualifications for Local Preference. The Central Purchasing Office shall have available a form to be completed by all bidders/proponents who desire to apply for the local preference as a local business. The completed form with the information certified by the offeror must be submitted by the bidders/proponents with their bid or proposal to qualify for this preference.

Limitation. No offeror shall receive more than a 10% for local preference pursuant to this section on any one offer submitted. A bidder may not claim cumulative preferences.

Application. This section shall not apply to any purchase of goods or services when the expenditure of federal and/or state funds designated for a specific purchase is involved and the award requirements of the funding prohibit resident and/or local preference(s). This shall be determined in writing by the department with the grant requirements attached to the Purchasing Office before the bid or request for proposals is issued.

Exception. The City Council at their discretion can approve waiving the Local Preference requirements for specific projects or on a case by case basis if it is the City's best interest to do so.

8. PROTESTS AND RESOLUTIONS PROCEDURES

Any proponent, offeror, or contractor who is aggrieved in connection with a procurement may protest to the Purchasing Officer. The protest must be in writing and submitted within fifteen (15) days and requirements regarding protest and resolution of protests are available from the Purchasing Office upon request.

SPECIAL CONDITIONS

1. GENERAL

When the City's Purchasing Officer issues a purchase order document in response to the vendor's bid, a binding contract is created.

2. ASSIGNMENT

Neither the order, nor any interest therein, nor claim under, shall be assigned or transferred by the vendor, except as expressly authorized in writing by the City Purchasing Officer's Office. No such consent shall relieve the vendor from its obligations and liabilities under this order.

3. VARIATION IN SCOPE OF WORK

No increase in the scope of work of services or equipment after award will be accepted, unless means were provided for within the contract documents. Decreases in the scope of work of services or equipment can be made upon request by the city or if such variation has been caused by documented conditions beyond the vendor's control, and then only to the extent, as specified elsewhere in the contract documents.

4. DISCOUNTS

Any applicable discounts should be included in computing the bid submitted. Every effort will be made to process payments within 30 days of satisfactory receipt of goods or services. The City Purchasing Officer shall be the final determination of satisfactory receipt of goods or services.

5. TAXES

The price shall include all taxes applicable. The city is exempt from gross receipts tax on tangible personal property. A tax exempt certificate will be issued upon written request.

6. INVOICING

(A) The vendor's invoice shall be submitted in duplicate and shall contain the following information: invoice number and date, description of the supplies or services, quantities, unit prices and extended totals. Separate invoices shall be submitted for each and every complete order.

(B) Invoice must be submitted to ACCOUNTS PAYABLE and NOT THE CITY PURCHASING AGENT.

7. METHOD OF PAYMENT

Every effort will be made to process payments within 30 days of receipt of a detailed invoice and proof of delivery and acceptance of the products hereby contracted or as otherwise specified in the compensation portion of the contract documents.

8. **DEFAULT**

The City reserves the right to cancel all or any part of this order without cost to the City if the vendor fails to meet the provisions for this order, and except as otherwise provided herein, to hold the vendor liable for any excess cost occasioned by the city due to the vendor's default. The vendor shall not be liable for any excess cost if failure to perform the order arises out of causes beyond the control and with the fault or negligence of the Vendor and these causes have been made known to the City of Santa Fe in written form within five working days of the vendor becoming aware of a cause which may create any delay; such causes include, but are not limited to, acts of God or the public enemy, acts of the State or of the Federal Government, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, unusually severe weather and defaults of sub-contractors due to any of the above unless the city shall determine that the suppliers or services to be furnished by the sub-contractor are obtainable from other sources in sufficient time to permit the vendor to meet the required delivery schedule. The rights and remedies of the city are not limited to those provided for in this paragraph and are in addition to any other rights provided for by law.

9. **NON-DISCRIMINATION**

By signing this City of Santa Fe bid or proposal, the vendor agrees to comply with the Presidents Executive Order No. 11246 as amended.

10. **NON-COLLUSION**

In signing this bid or proposal, the vendor certifies they have not, either directly or indirectly, entered into action in restraint of full competition in connection with this bid or proposal submittal to the City of Santa Fe.

SCOPE OF SERVICES
'15/01/P
2008 Park Bond Agreed Upon Procedures

1) OBJECTIVES

- a) Did the City fulfil its obligation to the citizens of Santa Fe regarding the original wording put before the voters on March 4, 2008?
 - i. Shall the City of Santa Fe issue up to \$30,300,000 of general obligation bonds to acquire land for, and to improve, public parks, trails and open spaces for recreational purposes?*
- b) Was the 2008 Parks Bond Implementation Plan materially implemented?
 - i. Were changes approved?
- c) A final accounting of what was spent for each project has been requested, including details. Did the City provide a final accounting?
- d) Were relevant City policies and procedures followed? Were expenditures including salaries expense within parameters of policies and procedures?
- e) Were there adequate internal controls in place to ensure monies were spent appropriately? How can internal controls be improved?
- f) Were relevant City, State, and Federal Laws followed, including ADA if specified in project?

2) SCOPE (TO INCLUDE) – As related to the 2008 GO Bonds totaling \$30,300,000

- a) Date Range - March 4, 2008 to June 30, 2014,
- b) 2008 and 2010 GO Bond Covenants and Arbitrage Agreements,
- c) 2008 Parks Bond Implementation Plan,
- d) Any relevant minutes of and packets related to City Council, Finance Committee, Public Works, POSAC or BTAC meetings or any other City meetings that authorized changes to or clarification of the Park Bond Implementation Plan, including, but not limited to:
 - i. Developing and approving the bond, or
 - ii. Discussing issues as related to the Park Bond Implementation Plan,
- e) Any relevant City (including official legal counsel opinions), State (including Attorney Generals Opinions), or Federal laws, including ADA if specified in project.
- f) Any relevant City of Santa Fe Policies and Procedures, including, but not limited to:
 - i. Personnel,
 - ii. Finance,
 - 1. Payroll,
 - 2. Purchasing / Procurement, and
 - 3. Accounting / Finance,
 - iii. Public Works, as applicable, including but not limited to
 - a. Parks, Trails and Watershed,
 - b. Roadways and Trail Engineering, and
 - c. Recreation,
- g) City of Santa Fe records and documents, including but not limited to:
 - i. Payroll,

- ii. Vendor payments,
- iii. Purchasing documents (RFP's, etc.),
- iv. Excel Spreadsheets,
- v. Final Accounting as prepared by Finance,
- vi. Word documents,
- vii. Access or other database data,
- viii. E-1 data, and
- ix. Other electronic or handwritten data.

2) WORK PLAN

- a) Verify that changes to 2008 Parks Bond Implementation Plan i.e. budget allocations and reallocations (including cancelled projects) were approved as required by policies and law,
- b) Verify balances from final accounting provided by the Finance Department to general ledger,
 - i. Select a sample of 25 that includes parks, trails, projects and cancelled projects 15 judgmental, including:
 - 1. Melendez,
 - 2. Monica Roybal,
 - 3. MRC including Marty Sanchez Golf Course,
 - 4. Pueblo Del Sol Trails,
 - 5. Cathedral,
 - 6. Santa Fe River Parkway, and
 - 7. GCCC,
 - ii. 10 random,
 - iii. If indications of fraud are found increase sample size to 40,
- c) Perform the following procedures on the above sample: (report findings/exceptions and make suggestions for improvement)
 - i. Determine if the improvements specified in the 2008 Parks Bond Implementation Plan were completed. If not, document and report, why not,
 - ii. Determine if the criteria as defined in the original bond language was met,
 - iii. If expenditures were made for improvements visually, verify that they were actually done at the park specified, if not, document and report, why not,
 - iv. Verify that salary and benefits were properly tracked and accounted for each project,
 - v. For monies spent on salaries and benefits for City employees verify that:
 - 1. Monies spent were for direct labor on approved projects only, no salaries are paid for on-going operations or maintenance,
 - 2. Employee job responsibilities are in line with work done (for example not paying for an administrative secretary's salary and claiming it was a direct cost),
 - 3. Salary increases for these employees are in line with approved budgetary increases,
 - vi. Verify that monies paid for contract labor followed City policies, and City, State and Federal law, especially as in regards to nepotism or conflicts of interest. As applicable, verify that:

1. That proper purchasing and procurement procedures were followed, as applicable, and
 2. If relatives or persons that result in a conflict of interest were hired, determine how much money they were paid in total and for what parks – include in the report,
- d) Obtain a report of all employees paid with Park Bond monies – select a sample of 25 (increase to 40 if indicators of fraud) and verify that:
- i. Salaries were for direct labor on approved projects only, no salaries were paid for on-going operations, or maintenance,
 - ii. Employee job responsibilities are in line with work done (for example not paying for an administrative secretary’s salary and claiming it was a direct cost,
 - iii. Salary increases for these employees are in line with approved budgetary increases,
- e) Other procedures deemed necessary to achieve engagement objectives at auditor’s discretion.

4) FINAL REPORT

- a) Agreed upon procedures report, in compliance with the NM State Auditor’s Rule, and AICPA standards,
- b) Summary of whether the engagement objectives were met, if not, why not,
- c) Summary of work done and approach taken,
 - (1) Include results of positive nature, too
- d) Detail of any nepotism or conflicts of interest *issues* in regards to employees or contract work, including total amount paid and what parks were impacted, and
- e) Detail of any findings as related to the audit testwork:
 - (1) Report for public use that does not include names, but just job descriptions, dates and amounts, or any other relevant data,
 - (2) Second summary sheet identifying which employees are associated with a particular job title in specified findings to allow management to pursue confidential personnel actions, if needed,
- f) **Recommendations (please include in the report)**
 - (1) Guidance in regards to an audit policy as related to bond issues,
 - (2) Recommendations for improving internal controls regarding allocations and reallocations, departmental policies, tracking of payroll, and other expenses, etc.,
 - (a) Prevention,
 - (b) Monitoring, and
 - (c) Detection Controls,
 - (3) How can the City improve on deliverables including a periodic accounting of what is being spent, and comprehensive final reports,
 - (i) Project or Cost accounting,
 - (ii) Is it possible to utilize the E-1 system to track:
 1. Project costs, including salaries and benefits to employees,
 2. Direct labor associated with installation / implementation,
 3. Create system generated reports for management, Finance Committee, and any other interested parties?

4. If so, does the City have the required module or does it need to be purchased, and
5. What type of training and how much will training cost for employees to use the cost/project accounting system, if available?
6. If the E-1 system cannot provide this functionality, what other viable options are there available, and what are the costs including training associated with this (these) option(s).

SUBMITTAL REQUIREMENTS
'15/01/P
2008 Park Bond Agreed Upon Procedure

1. Letter of transmittal which shall include the following information:
 - a. Name, address and telephone /fax number of business;
 - b. Name of the primary contract;
 - c. Authorized signature and title of proponent;
 - d. Date of proposal; and,
 - e. Statement that the proponent has the ability to provide the services requested and will comply with the contract terms and conditions set forth in this RFP, if awarded the contract.
2. Work plan, as to how the firm will approach conducting the audit, schedule, and personnel organization proposed for this contract. Statement of proposed start date and proposed date of completion and submission of the final report to the city.
3. A cost proposal with hours, hourly rates by category of personnel to be assigned to the contract (principal, staff, clerical, etc.), and any other costs associated with the contract. It is requested that each proponent submit their cost proposal detailing the following costs separately assuming achievement of stated audit objectives:
 - a. Work Plan,
 - b. Guidance in regards to an audit policy as related to bond issues,
 - c. Internal control recommendations,
 - d. Assessment of capabilities of E-1 system for cost/project accounting and/or suggestions for alternatives.
4. Background, qualifications, and experience of the firm, including descriptions of projects of similar scope. Indication of ability of firm to perform this contract in a timely, effective and efficient manner.
5. Qualifications and experience of key personnel to be involved in this contract should be included. CPA certification is required of the in-charge manager of the contract including indication of special skills or strengths of key personnel. Each key personnel must detail all continuing education, as per State Auditor rule.
6. A listing of names, addresses and telephone numbers of persons who may be contacted for reference.
7. Copy of current City of Santa Fe Business Registration Number, if proponent is a City of Santa Fe business.
8. Copy of New Mexico State Taxation and Revenue gross receipts number.
9. Local Preference Form, if applicable.

10. One original and three copies of proposal submitted.

FAILURE to adequately address and submit the above requirements may constitute forfeiture of the proposal, as to the determined by the City Purchasing Director. For ease of evaluation, proposal should be formatted in the order as listed above.

**EVALUATION CRITERIA
&
WEIGHTED VALUES**

EVALUATION COMMITTEE MEMBERS

The Evaluation Committee will base the auditor selection upon the ranking of qualified proposals submitted in response to this RFP. The Evaluation Committee may interview the top three ranked proponents, although award may be made without interviews, at the option of the City. The proponents will be ranked by total proposal/interview points and the results forwarded to the Finance Committee for consideration. The Finance Committee recommendation for award may be considered and decided upon by the City Council.

The evaluation criteria are taken from the New Mexico State Auditor's Rule 2014 §2.2.2.8 (G) Procedures to Obtain Professional Services from an IPA; (5) (a) through (c), as applicable.

Each criteria will be evaluated and rated based on the attached form, with the lower scores indicating an incomplete or poor response and the higher scores indicating a well thought out, workable, and complete response. The total weighted value is 100 with a maximum score of 500 points per evaluator. The City reserves the option to contact further references at the City's discretion, the results of which may be reflected in the evaluation.

EVALUATION COMMITTEE MEMBERS

The evaluation committee members will include the following:

Liza Kerr, Internal Auditor or Representative
Hazelidine Romero, Audit Committee Member or Representative
Marc Tupler, Audit Committee Member or Representative
Robert Rodarte, Purchasing Officer or Representative
Teresita Garcia, Assistant Finance Director or Representative

At its discretion, the City reserves the right to alter the membership and size of the committee.

Scores of the evaluation committee members will be totaled to determine the top rated firms.

If interviews are conducted for the top three rated firms, those scores totaled from the evaluation committee members from the interview evaluations will determine the final top rated firm, unless other tangible extenuating circumstances are documented.

Unless noted elsewhere in this RFP, the same evaluation form will be used to separate the interview scores.

**2008 PARK BOND AGREED UPON PROCEDURES (RFP '15/01/P)
EVALUATION FORM**

Name of Firm: _____

Please 'X' one: PROPOSAL REVIEW_____ INTERVIEW_____

| | Weighted Value | | *Evaluation Points 1 through 5* | Total | Maximum Score |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|--|---------------------------------|-------|---------------|
| The capability of the firm to provide the services requested, including: | | | | | |
| Does the firm have available resources to perform the requested agreed upon procedures; | 10 | | | | 50 |
| Did the firm provide the results of the most recent external quality control review, and is the result favorable; | 5 | | | | 25 |
| Is the proposal well organized and complete? | 10 | | | | 50 |
| Work Requirements and Audit Approach | | | | | |
| Demonstrated knowledge of the City's needs and of the product to be delivered; | 10 | | | | 50 |
| Does the bid or proposal contain a sound technical plan and realistic estimate of time to complete the audit; | 20 | | | | 100 |
| Do they detail plans for using City staff including interactions with various departments that they will have to obtain data from; | 10 | | | | 50 |
| Technical Experience | | | | | |
| Does the firm have directly related experience in regards to the agreed upon procedures; | 10 | | | | 50 |
| Is there demonstrated attendance at continuing professional education seminars or meetings directly related to local government or as applies to agreed upon procedures. | 5 | | | | 25 |
| Cost Proposal and Hourly Breakdown | 20 | | | | 100 |
| TOTAL | 100 | | | | 500 |

* Evaluation Points 1 – Lowest 5 – Highest

Name of Evaluator: _____

Title: _____

Date: _____

INSTRUCTIONS RELATING TO LOCAL PREFERENCE CERTIFICATION FORM

1. **All information must be provided.** A 10% local preference may be available for this procurement. To qualify for this preference, an offeror **must** complete and submit **the local preference certification form with its offer**. If an offer is received without the form attached, completed, notarized, and signed or if the form is received without the required information, the preference will not be applied. **The local preference form or a corrected form will not be accepted after the deadline for receipt of bids or proposals.**
2. **Local Preference precedence over State Preference:** The Local Preference takes precedence over the State Resident Preference and only one such preference will be applied to any one bid or proposal. If it is determined that the local preference applies to one or more offerors in any solicitation, the State Resident Preference will not be applied to any offers.
3. **Principal Office and location must be stated:** To qualify for the local preference, the principal place of business of the enterprise must be physically located within the Santa Fe County Geographic Boundaries. The business location inserted on the Form must be a physical location, street address or such. **DO NOT use a post office box or other postal address. Principal place of business must have been established no less than six months preceding application for certification.**
4. **Subcontractors do not qualify:** Only the business, or if joint venture, one of the parties of the joint venture, which will actually be performing the services or providing the goods solicited by this request and will be responsible under any resulting contract will qualify for this preference. A subcontractor may not qualify on behalf of a prime contractor.
5. **Definition:** The following definition applies to this preference.

A local business is an entity with its Principal office and place of business located in Santa Fe County.

A Principal office is defined as: The main or home office of the business as identified in tax returns, business licenses and other official business documents. A Principal office is the primary location where the business conducts its daily operations, for the general public, if applicable. A temporary location or movable property, or one that is established to oversee a City of Santa Fe project does not qualify as a Principal office.

Additional Documentation: If requested a business will be required to provide, within 3 working days of the request, documentation to substantiate the information provided on the form. Any business which must be registered under state law must be able to show that it is a business entity in good standing if so requested.

RESIDENT VETERANS PREFERENCE CERTIFICATION

_____ (NAME OF CONTRACTOR) hereby certifies the following in regard to application of the resident veterans' preference to this procurement.

Please check one box only:

I declare under penalty of perjury that my business prior year revenue starting January 1 ending December 31 is less than \$1M allowing me the 10% preference discount on this solicitation. I understand that knowingly giving false or misleading information about this fact constitutes a crime.

I declare under penalty of perjury that my business prior year revenue starting January 1 ending December 31 is more than \$1M but less than \$5M allowing me the 8% preference discount on this solicitation. I understand that knowingly giving false or misleading information about this fact constitutes a crime.

I declare under penalty of perjury that my business prior year revenue starting January 1 ending December 31 is more than \$5M allowing me the 7% preference discount on this solicitation. I understand that knowingly giving false or misleading information about this fact constitutes a crime.

I agree to submit a report or reports to the State Purchasing Division of the General Services Department declaring under penalty of perjury that during the last calendar year starting January 1 and ending on December 31, the following to be true and accurate:

In conjunction with this procurement and the requirements of this business application for a Resident Veteran Business Preference/Resident Veteran Contractor Preference under Sections 13-1-21 or 13-1-22 NMSA 1978, which awarded a contract which was on the basis of having such veterans preference, I agree to report to the State Purchasing Division of the General Services Department the awarded amount involved. I will indicate in the report the award amount as a purchase from a public body or as a public works contract from a public body as the case may be.

I understand that knowingly giving false or misleading information on this report constitutes a crime.

I declare under penalty of perjury that this statement is true to the best of my knowledge. I understand that giving false or misleading statements about material fact regarding this matter constitutes a crime.

(Signature of Business Representative)*

(Date)

*Must be an authorized signatory of the Business.

The representation made by checking the above boxes constitutes a material representation by the business. If the statements are proven to be incorrect, this may result in denial of an award or un-award of the procurement.

SIGNED AND SEALED THIS _____ DAY OF _____, 2012.

NOTARY PUBLIC

My Commission Expires:

REQUEST FOR PROPOSALS
CITY OF SANTA FE
PROFESSIONAL SERVICES AGREEMENT

THIS AGREEMENT is made and entered into by and between the City of Santa Fe (the "City") and _____ (the "Contractor"). The date of this Agreement shall be the date when it is executed by the City and the Contractor, whichever occurs last.

1. SCOPE OF SERVICES

A. The Contractor shall provide the following services:

1) **OBJECTIVES**

a) Did the City fulfil its obligation to the citizens of Santa Fe regarding the original wording put before the voters on March 4, 2008?

i. Shall the City of Santa Fe issue up to \$30,300,000 of general obligation bonds to acquire land for, and to improve, public parks, trails and open spaces for recreational purposes?

b) Was the 2008 Parks Bond Implementation Plan materially implemented?

i. Were changes approved?

c) A final accounting of what was spent for each project has been requested, including details. Did the City provide a final accounting?

d) Were relevant City policies and procedures followed? Were expenditures including salaries expense within parameters of policies and procedures?

e) Were there adequate internal controls in place to ensure monies were spent appropriately? How can internal controls be improved?

f) Were relevant City, State, and Federal Laws followed, including ADA if specified in project?

2) SCOPE (TO INCLUDE) - As related to the 2008 GO Bonds totaling \$30,300,000:

a) Date Range - March 4, 2008 to June 30, 2014,

b) 2008 and 2010 GO Bond Covenants and Arbitrage Agreements,

c) 2008 Parks Bond Implementation Plan,

d) Any relevant minutes of and packets related to City Council, Finance Committee, Public Works, POSAC or BTAC meetings or any other City meetings that authorized changes to or clarification of the Park Bond Implementation Plan, including, but not limited to:

i. Developing and approving the bond, or

ii. Discussing issues as related to the Park Bond Implementation Plan,

e) Any relevant City (including official legal counsel opinions), State (including Attorney Generals Opinions), or Federal laws, including ADA if specified in project.

f) Any relevant City of Santa Fe Policies and Procedures, including, but not limited to:

i. Personnel,

ii. Finance,

1. Payroll,

2. Purchasing / Procurement, and

3. Accounting / Finance,

iii. Public Works, as applicable, including but not limited to:

1. Parks, Trails and Watershed,

2. Roadways and Trail Engineering, and

3. Recreation,

g) City of Santa Fe records and documents, including but not limited to:

i. Payroll,

ii. Vendor payments,

iii. Purchasing documents (RFP's, etc.),

iv. Excel Spreadsheets,

v. Final Accounting as prepared by Finance,

- vi. Word documents,
- vii. Access or other database data,
- viii. E-1 data, and
- ix. Other electronic or handwritten data.

2) WORK PLAN

a) Verify that changes to 2008 Parks Bond Implementation Plan i.e. budget allocations and reallocations (including cancelled projects) were approved as required by policies and law,

b) Verify balances from final accounting provided by the Finance Department to general ledger,

i. Select a sample of 25 that includes parks, trails, projects and cancelled projects 15 judgmental, including:

- 1. Melendez,
- 2. Monica Roybal,
- 3. MRC including Marty Sanchez Golf Course,
- 4. Pueblo Del Sol Trails,
- 5. Cathedral,
- 6. Santa Fe River Parkway, and
- 7. GCCC,

ii. 10 random,

iii. If indications of fraud are found increase sample size to 40,

c) Perform the following procedures on the above sample: (report findings/exceptions and make suggestions for improvement)

- i. Determine if the improvements specified in the 2008 Parks Bond Implementation Plan were completed. If not, document and report, why not,
- ii. Determine if the criteria as defined in the original bond language was met,
- iii. If expenditures were made for improvements visually, verify that they were actually done at the park specified, if not, document and report, why not,
- iv. Verify that salary and benefits were properly tracked and accounted for each project,
- v. For monies spent on salaries and benefits for City employees verify that:
 1. Monies spent were for direct labor on approved projects only, no salaries are paid for on-going operations or maintenance,
 2. Employee job responsibilities are in line with work done (for example not paying for an administrative secretary's salary and claiming it was a direct cost),

3. Salary increases for these employees are in line with approved budgetary increases,

vi. Verify that monies paid for contract labor followed City policies, and City, State and Federal law, especially as in regards to nepotism or conflicts of interest. As applicable, verify that:

1. That proper purchasing and procurement procedures were followed, as applicable, and

2. If relatives or persons that result in a conflict of interest were hired, determine how much money they were paid in total and for what parks - include in the report,

d) Obtain a report of all employees paid with Park Bond monies - select a sample of 25 (increase to 40 if indicators of fraud) and verify that:

i. Salaries were for direct labor on approved projects only, no salaries were paid for on-going operations, or maintenance,

ii. Employee job responsibilities are in line with work done (for example not paying for an administrative secretary's salary and claiming it was a direct cost,

iii. Salary increases for these employees are in line with approved budgetary increases,

e) Other procedures deemed necessary to achieve engagement objectives at auditor's discretion.

3) FINAL REPORT

a) Agreed upon procedures report, in compliance with the NM State Auditor's Rule, and AICPA standards,

b) Summary of whether the engagement objectives were met, if not, why not,

c) Summary of work done and approach taken,

i. Include results of positive nature, too

d) Detail of any nepotism or conflicts of interest **issues** in regards to employees or contract work, including total amount paid and what parks were impacted, and

e) Detail of any findings as related to the audit test work:

i. Report for public use that does not include names, but just job descriptions, dates and amounts, or any other relevant data,

ii. Second summary sheet identifying which employees are associated with a particular job title in specified findings to allow management to pursue confidential personnel actions, if needed,

f) Recommendations (please include in the report)

i. Guidance in regards to an audit policy as related to bond issues,

ii. Recommendations for improving internal controls regarding allocations and reallocations, departmental policies, tracking of payroll, and other expenses, etc.,

1. Prevention,
2. Monitoring, and
3. Detection Controls,

g) How can the City improve on deliverables including a periodic accounting of what is being spent, and comprehensive final reports,

- i. Project or Cost accounting,
- ii. Is it possible to utilize the E-1 system to track:

1. Project costs, including salaries and benefits to employees,

2. Direct labor associated with installation / implementation,

3. Create system generated reports for management, Finance Committee, and any other interested parties?

4. If so, does the City have the required module or does it need to be purchased, and

5. What type of training and how much will training cost for employees to use the cost/project accounting system, if available?

6. If the E-1 system cannot provide this functionality, what other viable options are there available, and what are the costs including training associated with this (these) option(s).

2. STANDARD OF PERFORMANCE; LICENSES

A. The Contractor represents that it possesses the experience and knowledge necessary to perform the services described under this Agreement.

B. The Contractor agrees to obtain and maintain throughout the term of this Agreement, all applicable professional and business licenses required by law, for itself, its employees, agents, representatives and subcontractors.

3. COMPENSATION

A. The City shall pay to the Contractor in full payment for services rendered, a sum not to exceed _____, inclusive of applicable gross receipts taxes. Payment shall be made for services actually rendered at the rates described in Attachment "1" attached hereto.

B. The Contractor shall be responsible for payment of gross receipts taxes levied by the State of New Mexico on the sums paid under this Agreement.

C. Payment shall be made upon receipt and approval by the City of detailed statements containing a report of services completed. Compensation shall be paid only for services actually performed and accepted by the City.

4. APPROPRIATIONS

The terms of this Agreement are contingent upon sufficient appropriations and authorization being made by the City for the performance of this Agreement. If sufficient appropriations and authorization are not made by the City, this Agreement shall terminate upon written notice being given by the City to the Contractor. The City's decision as to whether sufficient appropriations are available shall be accepted by the Contractor and shall be final.

5. TERM AND EFFECTIVE DATE

This Agreement shall be effective when signed by the City and the Contractor, whichever occurs last, and terminate on _____, unless sooner pursuant to Article 6 below.

6. TERMINATION

A. This Agreement may be terminated by the City upon 30 days written notice to the Contractor.

(1) The Contractor shall render a final report of the services performed up to the date of termination and shall turn over to the City original copies of all work product, research or papers prepared under this Agreement.

(2) If compensation is not based upon hourly rates for services rendered, the City shall pay the Contractor for the reasonable value of services satisfactorily performed through the date Contractor receives notice of such termination, and for which compensation has not already been paid.

(3) If compensation is based upon hourly rates and expenses, then Contractor shall be paid for services rendered and expenses incurred through the date Contractor receives notice of such termination.

7. STATUS OF CONTRACTOR; RESPONSIBILITY FOR PAYMENT OF EMPLOYEES AND SUBCONTRACTORS

A. The Contractor and its agents and employees are independent contractors performing professional services for the City and are not employees of the City. The Contractor, and its agents and employees, shall not accrue leave, retirement, insurance, bonding, use of City vehicles, or any other benefits afforded to employees of the City as a result of this Agreement.

B. Contractor shall be solely responsible for payment of wages, salaries and benefits to any and all employees

or subcontractors retained by Contractor in the performance of the services under this Agreement.

C. The Contractor shall comply with City of Santa Fe Minimum Wage, Article 28-1-SFCC 1987, as well as any subsequent changes to such article throughout the term of this contract.

8. CONFIDENTIALITY

Any confidential information provided to or developed by the Contractor in the performance of this Agreement shall be kept confidential and shall not be made available to any individual or organization by the Contractor without the prior written approval of the City.

9. CONFLICT OF INTEREST

The Contractor warrants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required under this Agreement. Contractor further agrees that in the performance of this Agreement no persons having any such interests shall be employed.

10. ASSIGNMENT; SUBCONTRACTING

The Contractor shall not assign or transfer any rights, privileges, obligations or other interest under this Agreement, including any claims for money due, without the prior written consent of the City. The Contractor shall not subcontract any

portion of the services to be performed under this Agreement without the prior written approval of the City.

11. RELEASE

The Contractor, upon acceptance of final payment of the amount due under this Agreement, releases the City, its officers and employees, from all liabilities, claims and obligations whatsoever arising from or under this Agreement. The Contractor agrees not to purport to bind the City to any obligation not assumed herein by the City unless the Contractor has express written authority to do so, and then only within the strict limits of that authority.

12. INSURANCE

A. The Contractor, at its own cost and expense, shall carry and maintain in full force and effect during the term of this Agreement, comprehensive general liability insurance covering bodily injury and property damage liability, in a form and with an insurance company acceptable to the City, with limits of coverage in the maximum amount which the City could be held liable under the New Mexico Tort Claims Act for each person injured and for each accident resulting in damage to property. Such insurance shall provide that the City is named as an additional insured and that the City is notified no less than 30 days in advance of cancellation for any reason. The Contractor shall furnish the City with a copy of a Certificate of

Insurance as a condition prior to performing services under this Agreement.

B. Contractor shall also obtain and maintain Workers' Compensation insurance, required by law, to provide coverage for Contractor's employees throughout the term of this Agreement. Contractor shall provide the City with evidence of its compliance with such requirement.

C. Contractor shall maintain professional liability insurance throughout the term of this Agreement providing a minimum coverage in the amount required under the New Mexico Tort Claims Act. The Contractor shall furnish the City with proof of insurance of Contractor's compliance with the provisions of this section as a condition prior to performing services under this Agreement.

13. INDEMNIFICATION

The Contractor shall indemnify, hold harmless and defend the City from all losses, damages, claims or judgments, including payments of all attorneys' fees and costs on account of any suit, judgment, execution, claim, action or demand whatsoever arising from Contractor's performance under this Agreement as well as the performance of Contractor's employees, agents, representatives and subcontractors.

14. NEW MEXICO TORT CLAIMS ACT

Any liability incurred by the City of Santa Fe in

connection with this Agreement is subject to the immunities and limitations of the New Mexico Tort Claims Act, Section 41-4-1, et. seq. NMSA 1978, as amended. The City and its "public employees" as defined in the New Mexico Tort Claims Act, do not waive sovereign immunity, do not waive any defense and do not waive any limitation of liability pursuant to law. No provision in this Agreement modifies or waives any provision of the New Mexico Tort Claims Act.

15. THIRD PARTY BENEFICIARIES

By entering into this Agreement, the parties do not intend to create any right, title or interest in or for the benefit of any person other than the City and the Contractor. No person shall claim any right, title or interest under this Agreement or seek to enforce this Agreement as a third party beneficiary of this Agreement.

16. RECORDS AND AUDIT

The Contractor shall maintain, throughout the term of this Agreement and for a period of three years thereafter, detailed records that indicate the date, time and nature of services rendered. These records shall be subject to inspection by the City, The Internal Audit Department, the Department of Finance and Administration, and the State Auditor. The City shall have the right to audit the billing both before and after payment.

Payment under this Agreement shall not foreclose the right of the City to recover excessive or illegal payments.

17. APPLICABLE LAW; CHOICE OF LAW; VENUE

Contractor shall abide by all applicable federal and state laws and regulations, and all ordinances, rules and regulations of the City of Santa Fe. In any action, suit or legal dispute arising from this Agreement, the Contractor agrees that the laws of the State of New Mexico shall govern. The parties agree that any action or suit arising from this Agreement shall be commenced in a federal or state court of competent jurisdiction in New Mexico. Any action or suit commenced in the courts of the State of New Mexico shall be brought in the First Judicial District Court.

18. AMENDMENT

This Agreement shall not be altered, changed or modified except by an amendment in writing executed by the parties hereto.

19. SCOPE OF AGREEMENT

This Agreement incorporates all the agreements, covenants, and understandings between the parties hereto concerning the services to be performed hereunder, and all such agreements, covenants and understandings have been merged into this Agreement. This Agreement expresses the entire Agreement and understanding between the parties with respect to said services. No prior agreement or understanding, verbal or otherwise, of the

parties or their agents shall be valid or enforceable unless embodied in this Agreement.

20. NON-DISCRIMINATION

During the term of this Agreement, Contractor shall not discriminate against any employee or applicant for an employment position to be used in the performance of services by Contractor hereunder, on the basis of ethnicity, race, age, religion, creed, color, national origin, ancestry, sex, gender, sexual orientation, physical or mental disability, medical condition, or citizenship status.

21. SEVERABILITY

In case any one or more of the provisions contained in this Agreement or any application thereof shall be invalid, illegal or unenforceable in any respect, the validity, legality, and enforceability of the remaining provisions contained herein and any other application thereof shall not in any way be affected or impaired thereby.

22. NOTICES

Any notices required to be given under this Agreement shall be in writing and served by personal delivery or by mail, postage prepaid, to the parties at the following addresses:

City of Santa Fe:
Attn: Internal Audit
P.O. Box 909
Santa Fe, NM 87504

Contractor:

IN WITNESS WHEREOF, the parties have executed this Agreement
on the date set forth below.

CITY OF SANTA FE:

CONTRACTOR:

CITY MANAGER/MAYOR

NAME & TITLE

DATE: _____

DATE: _____

CRS #
City of Santa Fe
Business Registration #

ATTEST:

YOLANDA Y. VIGIL
CITY CLERK

APPROVED AS TO FORM:



KELLEY A. BRENNAN, CITY ATTORNEY

APPROVED:

FINANCE DIRECTOR

BUSINESS UNIT/LINE ITEM

Living Wage Ordinance

Ordinance Number §28-1-28-1.12DSFCC 1987

Purpose:

The City of Santa Fe Living Wage Ordinance was adopted to establish minimum hourly wages.

Who it affects:

- All profit and nonprofit businesses required to have a business license or business registration with the City of Santa Fe.

Compliance:

- Affected businesses are required to pay employees an hourly wage of \$10.66 effective March 1, 2014.
- Beginning January 1, 2009, and each year thereafter, the minimum wage shall be adjusted upward by an amount corresponding to the previous year's increase, if any, in the Consumer Price Index for the Western Region for Urban Wage Earners and Clerical Workers.
- For workers who customarily receive more than \$100 per month in tips or commissions, any tips or commissions received and retained by a worker shall be counted as wages and credited toward satisfaction of the minimum wage provided that, for tipped workers, all tips received by such workers are retained by the workers, except that the pooling of tips among workers shall be permitted.
- The value of health care benefits and child care shall be considered as an element of wages.
- Nonprofit organizations whose primary source of funds is from Medicaid waivers are *exempt*.

Prohibitions against retaliation and circumvention:

- It shall be unlawful for any business, employer or employer's agent or representative to take any action against an individual in retaliation for exercising or communicating rights under this ordinance. This includes retaliation against individuals who mistakenly but in good faith allege noncompliance with the ordinance.
- Taking adverse action against an individual within 60 days of the individual's assertion of or communication of information regarding rights raises a reputable presumption of retaliation for assertion of rights.
- It shall be unlawful for any business or employer to intentionally circumvent the requirements of this ordinance by contracting portions of its operations or leasing portions of its property.

Enforcement and Remedies:

- Administrative Enforcement—The city manager, or his/her designee, is authorized, as appropriate and as resources permit, to enforce this ordinance.
- Criminal Penalty—A person violating this ordinance shall be guilty of a misdemeanor and, upon conviction, for each offense may be subject to fines and imprisonment as set forth in Section 1-3 SFCC 1987. A person violating any of the requirements of this ordinance shall be guilty of a separate offense for each day or portion thereof and for each worker or person to whom any such violation occurred.
- Other Remedies—The city, any individual aggrieved by a violation of this ordinance, or any entity the members of which have been aggrieved by a violation of this ordinance, may bring a civil action in a court of competent jurisdiction to restrain, correct, abate or remedy any violation of this ordinance and, upon prevailing, shall be entitled to such legal or equitable relief as may be appropriate to remedy the violation including, without limitation, reinstatement, the payment of any wages due and an additional amount as liquidated damages equal to twice the amount of any wages due, injunctive relief, and reasonable attorney's fees and costs.

Nonexclusive Remedies and Penalties—The remedies provided in this section are not exclusive, and nothing in this ordinance shall preclude any person from seeking any other remedies, penalties, or relief provided by law.

Posting and Publication:

- Any business subject to the provisions of this ordinance shall as a condition to obtaining and holding a City of Santa Fe business license or registration, post and display in a prominent location next to its business license or registration on the business premises a notice, in English and Spanish, that the business is in compliance with the provisions of this ordinance and post the text of this notice. Failure to comply with this section shall be construed a violation of this ordinance and, in addition, shall be considered grounds for suspensions, revocation, or termination of the business license or registration.

For more information, please contact: Constituent Services at 505-955-6949 Email: constituentservices@santafenm.gov