

**CITY OF SAN JOSE
REQUEST FOR QUALIFICATIONS (RFQ)
INVESTIGATOR – SAN JOSE ELECTIONS COMMISSION**

The City of San Jose is seeking to contract with an investigator experienced in conducting law enforcement, ethics or employment-related investigations to serve as an independent and neutral Investigator for the City of San Jose Elections Commission (Elections Commission or Commission).

GOAL AND OBJECTIVE

The City's goal and objective is to obtain complete, thorough and expeditious investigations of complaints filed with the Elections Commission. The investigations must include in-depth and sound analysis of the facts, evidence and issues relating to complaints alleging violations of the "Ethics Provisions" contained in Title 12 of the San Jose Municipal Code, including the Municipal Campaign and Officeholder Contributions Ordinance (Chapter 12.06 of the San Jose Municipal Code).

The Investigator must have experience in investigative practices and procedures including skills in obtaining information and facts through interview and observation. The Investigator will review and investigate complaints and prepare a written report to either the Elections Commission or the Commission's Evaluator when asked to assist with investigations of complaints which are conducted by the Commission's Evaluator. The investigation process, including the report of the Investigator, will be required to be done on an expedited basis. Additionally, at the request of the Commission, the Investigator will monitor compliance with the requirements of Title 12 of the Municipal Code and conduct audits.

The Investigator must be neutral and impartial and must not have or appear to have any bias or favoritism toward any person or entity involved in any way with any complaint or investigation.

The Elections Commission will select the Investigator who will be hired by Agreement. The Commission will present the Agreement with the selected candidate to the City Council for approval on a public agenda. The Agreement with the Investigator will have a two-year term and will be subject to termination at the pleasure of the Elections Commission. The Agreement will be terminated if any circumstances arise which, in the judgment of the Commission, would compromise the appearance of neutrality.

Investigations by the Investigator are governed by Regulations and Procedures adopted by Resolution No. 75260 of the City Council of the City of San Jose, a copy of which is attached to this RFQ as Attachment C.

GENERAL BACKGROUND INFORMATION

The San Jose Elections Commission is established by ordinance of the City Council to monitor compliance with all City of San Jose campaign and ethics ordinances contained in Title 12 of the San Jose Municipal Code. Title 12 includes the following ordinances:

Chapter 12.02	General Provisions
Chapter 12.04	San Jose Elections Commission
Chapter 12.05	Elections
Chapter 12.06	Municipal Campaign and Officeholder Contributions
Chapter 12.08	Prohibition of Gifts
Chapter 12.10	Revolving Door Restrictions
Chapter 12.12	San Jose Municipal Lobbying
Chapter 12.14	Concurrent Employment of City Council Members or City or Agency Employees
Chapter 12.15	Prospective Employment
Chapter 12.16	Disclosure of Fundraising Solicitations
Chapter 12.18	Removal from Office
Chapter 12.19	Income and Time Disclosure
Chapter 12.20	Nepotism and Consensual Personal Relationships

The Elections Commission also investigates complaints alleging violations of the City's Municipal Campaign and Officeholder Contributions and San Jose Municipal Lobbying ordinances contained in Chapters 12.06 and 12.12 of the San Jose Municipal Code, respectively. Additionally, the Commission can make recommendations to the City Council with regard to campaign and ethics regulations and policies.

The Elections Commission has five members who are appointed by no less than two-thirds vote of the City Council. Generally, members of the Commission serve up to two four-year terms for a maximum of eight years.

The City Attorney's Office provides legal advice to the Commission related to non-complaint matters or general interpretations of the Municipal Code or relevant state or federal law, but does not participate in investigations of complaints which are filed with the Commission. The Chair of the Commission or the Investigator may consult with the City Attorney at any time about procedure or an interpretation of the Municipal Code, in general, and not as it applies to facts that are the subject of a pending complaint.

INFORMATION REQUESTED

A. Statement of Qualification Requirements

The Statement of Qualifications submitted in response to this RFQ must be no more than **10 pages** (excluding attachments and appendices) using a typeface font of no less than **12 points**. The Statement must address each of the questions and requests for

information below. The attachment of a firm or individual's resume in lieu of responding to one or more of the information requests set forth below will be deemed **non-responsive**.

Each Statement of Qualifications will be reviewed to determine if all required documentation and information was included with the submittal and if the Proposer has met the qualifications.

If a Proposer fails to provide the required documentation and information, the Statement of Qualifications will be deemed non-responsive.

Proposers are requested to provide:

- A complete statement detailing the Proposer's educational, employment and professional background.
- Information regarding the Proposer's familiarity and experience with City, State and federal campaign, election, conflicts of interest and ethics laws.
- Information regarding the Proposer's experience in conducting investigations and experience and skills in gathering and evaluating facts. If available, Proposers should submit samples of written reports of investigations which demonstrate the experience and skills required for the position of Investigator.
- A Proposer should submit an overall approach for delivering the services to the Elections Commission as requested by the Commission in this RFQ. Information on the ability of the Proposer to meet the timelines and deadlines in the Commission's Regulations and Procedures should also be submitted.
- Proposers must identify any potential conflicts of interest that the individual and/or organization might have in providing services to the Commission and the City.
- Proposers must disclose any current or past working or contractual relationships with current or former elected officials of the City of San Jose.
- Proposers should be prepared to discuss the ability of the Proposer to meet expedited deadlines if an interview is scheduled with the Elections Commission.

B. Reference Statement

Proposers must identify at least two (2) professional references including any firms, organizations or entities which have used or are familiar with Proposer's services in the past five years.

C. Description of Fees/Rates

Proposers are required to provide a schedule of fees or rates on an hourly basis to provide the services requested in this RFQ. Additionally, Proposers should also include information as to whether or not a retainer is required during the term of the Agreement and should specify the dollar amount of any such retainer.

CONDITIONS OF RESPONDING TO RFQ

A. Verification of Statements

The submission of statements and information within a proposal shall be considered to constitute the Proposer's approval and consent for the Commission or the City to check, verify and certify all such information and statements. Additional information may be required by the Commission

B. Terms and Conditions

1. The Elections Commission will not pay any costs incurred in the submission of a response. Each Proposer should be aware that the California Public Records Act (Gov. Code §§ 6250 et seq.) considers most documents provided to the Commission to be public records subject to public disclosure. The City is obligated to comply with the Act and cannot assure candidates that information provided to the Commission is confidential.
2. The Commission reserves the right to reject any items or groups of items submitted in response to this RFQ.
3. The Commission reserves the right to waive any minor informality or irregularity in any response.
4. The Commission reserves the right to negotiate any and all terms of an agreement with one or more Proposers, including scope of services and compensation, whether or not these terms are consistent with those prescribed in the RFQ.
5. The Commission, may, for any reason, decide not to award an Agreement as the result of this RFQ or decide to accept that Proposal which will, in the Elections Commission's opinion, be most advantageous to the Commission.
6. It is the City's policy that the selected individual or firm must not discriminate, in any way, against any person on the basis of race, sex, color, age, religion, sexual orientation, actual or perceived gender identity,

disability, ethnicity, or national origin, in connection with or related to the performance of City of San Jose contracts and agreements.

SELECTION PROCESS AND EVALUATION CRITERIA

A. Selection Process

Set forth below are the criteria that the Elections Commission will use to evaluate responses to this RFQ. The Commission or a subcommittee of the Commission will evaluate the Statements of Qualifications of the Proposers. The Commission reserves the right to interview prospective individuals or organizations prior to making its selection. The Commission also reserves the right to rely on information from sources other than the information provided by the Proposers.

The Commission's preference is to select one individual or firm to serve as its Investigator. The City, however, may determine to engage a different individual or firm to provide these services from the pool of individuals or firms established through this RFQ process. In order to be included in the pool, an individual or firm must receive a minimum score of **70 points**.

Effective June 18, 2004, the City adopted Ordinance 27136, which established a Local and Small Business Preference Policy for the procurement of supplies, materials, equipment, general services and consulting services. In order for you or your firm to be eligible for local and/or small business preference, you must complete Attachment A, Request for Contracting Preference for Local and Small Business. If you fail to complete this form, you or your firm will be denied consideration for local/small business preference. The requested information cannot be submitted after the deadline.

B. Evaluation Criteria

The City will evaluate responses to this RFQ based on the following factors:

1. Experience (65 points)
 - a. Quality and depth of experience with City, State and federal campaign, election, conflicts of interest and ethics laws.
 - b. Information regarding the Proposer's experience in conducting investigations and experience and skills in gathering and evaluating facts. If available, Proposers should submit samples of written reports which demonstrate the experience and skills required for the position of Investigator.
 - c. Proposer should submit an overall written approach for delivering the services to the Elections Commission as requested by the Commission in this RFQ. Information on the ability of the Proposer

to meet the timelines and deadlines in the Commission's Regulations and Procedures should also be submitted.

- d. Proposers should be prepared to discuss the ability of the Proposer to meet expedited investigation requirements if an interview is scheduled with the Elections Commission.
- 2. Fee Structure (20 points)
 - 3. Local or Small Business Enterprise (10 points)
 - a. Qualified Local Business Enterprise (5 points)
 - b. Qualified Small Business Enterprise (5 points)
 - 4. Responsiveness of Statement of Qualifications (5 points)

Overall organization and quality of Statement of Qualifications, including cohesiveness, conciseness, clarity of response and attention to detail.

PROPOSAL SUBMITTAL INFORMATION AND DEADLINE

Responses to the RFQ and Statements of Qualifications from Proposers must be submitted to:

San Jose Elections Commission
c/o Lee Price, City Clerk
City of San Jose
200 East Santa Clara Street
San Jose, CA 95113
Attn: RFQ Review

One (1) signed original and 5 copies of the responses to the RFQ shall be submitted in sealed envelopes to the above address and responses must be received no later than 5:00 p.m., _____. Responses to the RFQ may be emailed to the City Clerk addressed to: city.clerk@sanjoseca.gov

Responses received after the indicated time will not be considered for award of the proposed contract.

ATTACHMENT A

City of San Jose			
Request for Contracting Preference for Local and Small Businesses			
<p>Chapter 4.06 of the San Jose Municipal Code provides for a preference for Local and Small Businesses in the procurement of contracts for supplies, materials and equipment and for general and professional consulting services. The amount of the preference depends on whether the vendor qualifies as a Local Business Enterprise* or Small Business Enterprise** and whether price has been chosen as the determinative factor in the selection of the vendor.</p> <p>In order to be a Local Business Enterprise (LBE) you must have a current San Jose Business Tax Certificate Number and have an office in Santa Clara County with at least one employee. If you qualify as an LBE you can also qualify as a Small Business Enterprise (SBE) if the total number of employees (<i>regardless of where they are located</i>) of your firm is 35 or fewer.</p> <p>There are two ways in which the preference can be applied. In procurements where price is the determinative factor (<i>i.e. there are not a variety of other factors being considered in the selection process</i>) the preference is in the form of a credit applied to the dollar value of the bid or quote. For example, a non-local vendor submits a quote of \$200 per item and a LBE submits a quote of \$204 per item. The LBE receives a 2.5% credit on the quote, which equals approximately \$5 and thus the LBE will win the award because the quote is evaluated as if it had been submitted as \$199.</p> <p>In procurements such as RFP there are usually a variety of factors evaluated to determine which proposal best meets the City's needs. In procurements such as these where price is not the determinative factor, an LBE or SBE will be given an additional 5% to 10% points in the scoring of their proposal.</p>			
The following determinations have been made with respect to this procurement: (for official use only)			
Type of Procurement	<input type="checkbox"/> Bid	<input type="checkbox"/> Request for Quote	<input checked="" type="checkbox"/> Request for Proposal
Type of Preference	<input type="checkbox"/> Price is Determinative		<input checked="" type="checkbox"/> Price is Not Determinative
Amount of Preference	LBE preference = 2.5% of Cost SBE preference = 2.5% of Cost	LBE preference = 5% of Points SBE preference = 5% of Points	
In order to be considered for any preference you must fill out the following statement(s) under penalty of perjury.			
Business Name			
Business Address			
Telephone No.			

Type of Business	<input type="checkbox"/> Corporation	<input type="checkbox"/> LLC	<input type="checkbox"/> LLP
	<input type="checkbox"/> General Partnership	<input type="checkbox"/> Sole proprietorship	<input type="checkbox"/> Other (explain)
<p>*LOCAL BUSINESS ENTERPRISE (LBE) PREFERENCE In order to qualify as an LBE you must provide the following information:</p>			
<p>Current San Jose Business Tax Certificate Number</p>			
<p>Address of Principal Business Office or Regional, Branch or Satellite Office with at least one employee located in Santa Clara County:</p>			
<p>**SMALL BUSINESS ENTERPRISE (SBE) PREFERENCE In order to qualify as an SBE you must qualify as an LBE and have 35 or fewer employees. This number is for your entire business -- NOT just local employees, or employees working in the office address given above.</p>			
<p>Please state the number of employees that your Business has:</p>		<input type="text"/>	
<p>Based upon the forgoing information I am requesting that the Business named above be given the following preferences (<i>please check</i>): <input type="checkbox"/> Local Business Enterprise <input type="checkbox"/> Small Business Enterprise</p> <p>I declare under penalty of perjury that the information supplied by me in this form is true and correct.</p>			
<p>Executed at: _____</p>		<p>_____, California</p>	
<p>Date: _____</p>			
<p>Signature _____</p>			
<p>Print name _____</p>			

ATTACHMENT B

INSURANCE

INVESTIGATOR, at INVESTIGATOR's sole cost and expense, must procure and maintain for the duration of this AGREEMENT insurance against claims for injuries to persons or damages to property which may arise from, or in connection with, the performance of the services hereunder by INVESTIGATOR, its agents, representatives, employees or subcontractors.

A. Automobile Policy.

INVESTIGATOR agrees to keep in good standing a valid California driver's license at all times during the term of this AGREEMENT. INVESTIGATOR must also obtain, and keep in force during the term hereof, a policy of motor vehicle public liability insurance which affords not less than the following amounts of coverage: bodily injury liability \$100,000 each person, \$300,000 each occurrence; property damage liability, \$50,000 each occurrence.

B. Workers' Compensation and Employers' Liability Policy.

1. This policy must be written in accordance with the laws of the State of California and providing coverage for any and all employees of INVESTIGATOR:
2. This policy must provide coverage for Workers' Compensation (Coverage A).
3. This policy must also provide coverage for \$1,000,000 Employers' Liability (Coverage B).

C. Endorsements.

The following endorsement is required to be made a part of the above required policy:

1. "Thirty (30) days prior written notice of cancellation must be given to the City of San Jose in the event of cancellation and/or reduction in coverage of any nature."

D. Proof of Coverage.

A copy of the required Endorsement must be attached to the Certificate of Insurance which must be provided by the INVESTIGATOR's insurance company as evidence of

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the stipulated coverages. This Proof of Insurance must then be mailed to:

CITY OF SAN JOSE
Department of Finance
Debt & Risk Management Division
200 East Santa Clara Street
San Jose, CA 95113

E. Exception.

If, however, the INVESTIGATOR does not have any employees and does not wish to cover himself/herself for Workers' Compensation, the INVESTIGATOR shall sign the following statement as well as the contract itself to effect a fully initiated contract:

I, as the herein designated INVESTIGATOR, do not have, nor intend to have for the full term of this AGREEMENT, any employees. Furthermore, I do not wish to obtain or be covered under any Workers' Compensation insurance coverage and, therefore, am signing this statement in lieu of providing the above required Workers' Compensation Coverage.

Signature of INVESTIGATOR

Date

(Please print or type name of company/investigator)