

**THE NAVAJO NATION  
NAVAJO NATION GAMING REGULATORY OFFICE**

**REQUEST FOR PROPOSALS  
FOR  
BACKGROUND INVESTIGATION SCREENING SERVICES**

**NAVAJO NATION BID NO. 22-08-2875KS**

**Proposal Due Date: SEPTEMBER 09, 2022 BY 5:00PM MDT**

**RFP Information and Requirements**

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## **I. INTRODUCTION**

The Navajo Nation Gaming Regulatory Office (NNGRO), pursuant to the Navajo Nation Business Preference Act, 5 NNC § 205, et seq., and the Navajo Nation Procurement Code, 12 NNC § 301-371, as amended by CAU-68-01, is requesting for proposals from qualified firms to perform and conduct Background Investigation Screening Services for the NNGRO for gaming licensing purposes.

## **II. BACKGROUND**

The NNGRO is an office under the Office of President and Vice-President within the Executive Branch of the Navajo Nation Government. The purpose of the NNGRO is to be responsible for regulating all Gaming Activities within the Navajo Nation per the Navajo Gaming Ordinance, IGRA and State Compacts (5 N.N.C §2011 (A)). The NNGRO is responsible for ensuring the integrity of the Navajo Nation's gaming industry through background and suitability investigations of gaming operators (primary management officials), gaming employees (key employees), gaming support employees (non-key employees) and business entities (vendors). The NNGRO regulates and enforces all Tribal, State and Federal Gaming Laws of the Navajo Nation's gaming activities. The NNGRO licensing department currently licenses, tracks and monitors over 1,500 gaming licensees annually.

## **III. SCOPE OF WORK**

The selected firm will be required to provide the following:

1. An accelerated turnaround time (24-72 hours) of background screening results
2. Convenient 24/7 access to a user friendly, web-based online service that is reliable, trustworthy and secure
3. Industry experienced and knowledgeable staff.
4. Consultation on the use of services.
5. Training and customer support
6. Background screening services for individuals which shall include, at a minimum:
  - a. Social Security Number Verification and Validation – trace or name  
Address Verification
  - b. Multi-Jurisdictional Criminal History Searches
  - c. County Criminal History Court House Searches
  - d. County Civil History Court House Searches
  - e. Federal Criminal History Searches
  - f. Federal Civil History Searches
  - g. Nationwide Criminal Database Search

- h. Sex Offender Registry Searches
  - i. Credit Reports
  - j. Professional License/Certification Verification
  - k. Gaming License verification
  - l. Driver's License Verification/Motor Vehicle Records
  - m. Education Verification
  - n. Employment Verification
  - o. International Background Screening Services
7. Background screening services for business entities which shall include, at a minimum:
- a. Employer Identification Number (EIN) Verification and Validation – trace or name Address Verification
  - b. County Civil History Court House Searches
  - c. Dun & Bradstreet Report
  - d. Business Credit Reports
  - e. Business Bankruptcies, Liens, and Judgments Searches
  - f. Business License Verification
  - g. International Background Screening Services
8. Paperless solution that is fully integrated, bringing backgrounds, licensing, stored applicant/employee information all in one location.
9. Shared network database of licensing information between multiple tribal gaming jurisdictions for vendors, vendor principals/employees, and employees.
10. Be able to provide background screening services as Packages, as well as single services. Required packages should include the following:
- a. Package A (PMO/Key - New Hire)
    - i. Social Security Number Validation
    - ii. Social Security Number Verification
    - iii. County Seat Felony and Misdemeanor (10 year) – 10 Year Residence History
    - iv. Federal Criminal (10 year) – 10 Year Residence History
    - v. Credit Report
    - vi. County Civil – Upper (10 year) – 10 Year Residence History
    - vii. County Civil – Lower (10 year) – 10 Year Residence History
    - viii. Motor Vehicle Record
    - ix. Nationwide Criminal Database
    - x. Employment Verification – 5 Year History
    - xi. Personal Reference – 3 Character Reference Interviews
    - xii. Education – Post-Secondary Degree

- b. Package B (Gaming Support – New Hire)
  - i. Social Security Number Validation
  - ii. Social Security Number Verification
  - iii. County Seat Felony and Misdemeanor (10 year) – 10 Year Residence History
  - iv. Federal Criminal (10 year) – 10 Year Residence History
  - v. Motor Vehicle Record
  - vi. Nationwide Criminal Database
  - vii. Employment Verification – 3 Year History
  - viii. Personal Reference – 3 Character Reference Interviews
- c. Package C (PMO-Key Renewal)
  - i. Social Security Number Validation
  - ii. Social Security Number Verification
  - iii. County Seat Felony and Misdemeanor (10 year) – 10 Year Residence History
  - iv. Federal Criminal (10 year) – 10 Year Residence History
  - v. County Civil – Upper (10 year) – 10 Year Residence History
  - vi. County Civil – Lower (10 year) – 10 Year Residence History
  - vii. Motor Vehicle Record
  - viii. Nationwide Criminal Database
  - ix. Credit Report
- d. Package D (Gaming Support Renewal)
  - i. Social Security Number Validation
  - ii. Social Security Number Verification
  - iii. County Seat Felony and Misdemeanor (10 year) – 10 Year Residence History
  - iv. Federal Criminal (10 year) – 10 Year Residence History
  - v. Motor Vehicle Record
  - vi. Nationwide Criminal Database
- e. Package E (Vendor)
  - i. Dunn and Bradstreet Report
  - ii. Business Credit Report
  - iii. Employer Identification Number (EIN) Verification and Validation – trace or name Address Verification
  - iv. County Civil History Court House Searches
  - v. Business Bankruptcies, Liens, Judgments Searches
  - vi. Business License Verification
- f. Package F (Vendor Principal)

- i. Social Security Number Validation
- ii. Social Security Number Verification
- iii. County Seat Felony and Misdemeanor (10 year) – 10 Year Residence History
- iv. Federal Criminal (10 year) – 10 Year Residence History
- v. Credit Report
- vi. County Civil – Upper (10 year) – 10 Year Residence History
- vii. County Civil – Lower (10 year) – 10 Year Residence History
- viii. Motor Vehicle Record
- ix. Nationwide Criminal Database
- x. Employment Verification – 10 Year History
- xi. Education – Post-Secondary Degree

#### **IV. TERM OF CONTRACT**

Contracts awarded in response to this RFP will be for approximately three (3) years beginning October 01, 2022 to September 30, 2025.

#### **V. PROPOSAL FORMAT**

All proposals must be typewritten on standard 8 ½" x 11" paper and placed within a binder with tabs delineating each section. Larger paper is permissible for charts, maps, spreadsheet, etc. Respondents shall provide five (5) identical copies of their proposals.

Any proposal that does not adhere to the requirements may be deemed non-responsive and rejected, see Section X. for more information regarding disqualification of proposals.

##### **A. Proposal Organization**

The proposal must be organized and indexed in the following format and must contain, at a minimum, all listed items in the sequence indicated:

- A. Letter of Interest
  - B. Statement of Qualifications
  - C. Proposed Contract Approach
  - D. Cost Proposal
  - E. Appendix
- 
- a. Letter of Interest

Each proposal must be accompanied by a letter of interest. The letter of interest MUST:

1. Identify the name, title, primary telephone number and email address of the person responding to the RFP,
2. Identify the name, title, telephone numbers and email addresses of person authorized to negotiate and enter in a contract on behalf of the entity;
3. Identify the names, titles, telephone numbers and email addresses of persons to be contacted for clarification;
4. Explicitly indicate acceptance of the conditions governing this RFP; and
5. Be signed by the person responsible for the submission of the proposal.

b. Statement of Qualifications

1. The Respondent must detail the firm's experience in providing background screening services to Tribes.
2. The Respondent must submit the firm's resume and identify the partner and managers who will be responsible for the NNGRO account. Include biographies for each.
3. Submit at least two (2) references for the firm. Each reference must include the name, address, and telephone number of a contact person who can describe, in some detail, the quality, quantity, and substance of services provided.

c. Proposed Contract Approach

1. Respondents must describe in detail how they would accomplish the objectives described in the scope of work, including if any subcontractors will be used to fulfill any of the services and what methods will be used to ensure quality control.
2. Describe the nature of your database, any limitations on its use and any legal compliance issues.
3. Describe your firm's methodology to ensure the turnaround time of reports and identify possible delays and/or challenges that may occur which could delay reports and your approach to remedy the delay. Indicate if you will have a performance guarantee.
4. Describe the accuracy of your firm's reporting results and any quality control procedures used to ensure the accuracy.
5. Describe the communication process that will be used by the firm to provide updates and/or discuss any issues during any of the services with the NNGRO.
6. Describe your firm's use of software and online systems, indicate if third party

software will be utilized and explain how NNGRO will send orders to your firm, how NNGRO will be notified of results and how results will be obtained.

7. Describe the firm's understanding of the laws that govern background screening for gaming Tribes and how your firm will ensure compliance with all applicable laws.
8. Indicate and describe your firm's privacy and data security policy. Provide details of your firm's security and data protection practices, including any third-party certifications.
9. Provide your firm's business hours and indicate if after business hour customer services will be provided.
10. Describe how your firm will provide instructions and/or training to the NNGRO on the use of your services. Provide details on any continuing education that will be provided to NNGRO in regards to system updates, upgrades or changes.
11. Provide any other information you feel is necessary for the NNGRO to consider in regards to your services that will be provided in response to this RFP.

d. Cost Proposal

1. Provide a price list for each screening service Package and identify any limitations, e.g., the number of searches within each component of the Package (three (3) county criminal record searches, SSN search, credit report, motor vehicle report, etc.).
2. Provide a price list for each single service.
3. Identify any other costs or expenses that may be incurred and billed to the NNGRO, e.g., add-on searches if the maximum allowable searches are exceeded. (Please note, the NNGRO cannot pay for services not identified by the firm through this RFP).

e. Appendix

Provide the following forms: \*forms can be downloaded at <https://www.nnooc.org> under the Purchasing Section Tab and Forms Tab.

1. A signed Navajo Nation Debarment and Suspension Form\*
2. A signed and notarized Navajo Nation Non-Collusion Affidavit
3. A signed W-9 Form\*
4. Proof of Insurance Liability
5. If applicable, copy of Navajo Nation Business Regulatory Certification

**VI. DISCLOSURES**

- A. The purpose of this Request for Proposal (RFP) is to obtain proposals from qualified respondent(s) to perform the stated Scope of Work.
- B. Any cost incurred by the respondent in preparing, transmitting, presenting, or modifying the proposal or material for this RFP shall be the responsibility of the respondent.
- C. The award will be made in compliance with Navajo Nation preference laws and applicable federal laws; including but not limited to the Navajo Business Preference Act and the Navajo Preference in Employment Act.
- D. The successful respondent(s) may be required and/or recommended to register with the Navajo Nation Business Regulatory Office and the Navajo Nation Tax Commission.
- E. A respondent may submit an amended proposal before the deadline for receipt of proposals. Such amended proposals must be complete replacements for a previously submitted proposal and must be clearly identified in the transmittal letter
- F. A respondent may withdraw their proposal at any time prior to the deadline for receipt of proposals. The respondent must submit a written withdrawal request addressed to the NNGRO.
- G. Any inquiries regarding this procurement should be submitted in writing to the contact person for official response. Only written responses to questions will be official.
- H. All proposals received will be kept confidential until a contract is awarded. At that time, all proposals and documents pertaining to the proposals may be open to the public, except for the material which is proprietary or confidential.
- I. The Navajo Nation reserves the right to negotiate with the successful respondent any additional provisions to those contained in this RFP.
  - A. The Navajo Nation reserves the right to accept one or more proposals or reject any or all proposals received in response to this RFP.
  - B. The Nation also reserves the right to terminate this RFP, and reissue a subsequent solicitation, and/or remedy technical errors in the RFP process.
  - C. If awarded, respondent agrees that the work products produced from a fully executed contract shall be the property of the Navajo Nation.
  - D. This RFP does not commit the Navajo Nation to enter into a Contract, award any services related to this RFP, nor does it obligate the Navajo Nation to pay any costs incurred in preparation or submission of a proposal or in anticipation of a contract.
  - E. The Navajo Nation Gaming Regulatory Office will award the contract based on qualifications, experience, availability, and proposal cost
  - F. The Professional Services Contract, if awarded, will be awarded to the Respondent(s) whose Proposal(s) are deemed most advantageous to the Nation, as



- determined by the selection committee, upon approval by the Navajo Nation.
- G. The selected Respondent(s) must be able to accept the terms and conditions in the Navajo Nation's Professional Services Contract standard agreement.
  - H. The Nation may accept any Proposal in whole or in part. If subsequent negotiations are conducted, they shall not constitute a rejection or alternate RFP on the part of the Nation. However, final selection of an applicant is subject to Navajo Nation approval.
  - I. Contract documents are not binding until approved by the Navajo Nation (2 NNC §164) and signed by the Nation. In the event the parties cannot negotiate and execute a contract within a certain time, the Nation reserves the right to terminate negotiations with the selected Respondent and commence negotiations with another or other Respondent(s).
  - J. Successful respondent(s) must be able to formally invoice the Nation for services rendered.
  - K. Conflict of Interest: Selected respondent(s) will be required to warrant and certify that, its officers, employees and agents are neither officials nor employees of the Navajo Nation.
  - L. Protest of Award: The decision of the Navajo Nation will be final; no appeals or request for appeals will be accepted.

## **VII. SUBMISSION OF PROPOSALS**

All proposals must be received no later than 5:00 p.m. MDT (Mountain Daylight Time) on September 09, 2022. The date and time received will be recorded on each proposal. Proposals received after the deadline will not be considered for review and will be returned.

Five (5) complete proposals must be submitted in a sealed packet (taped and bind) and labeled "NNGRO Background Screening Services RFP BID NO. 22-08-2875KS with a written returned address identifying the Respondent's name, and if applicable, the Respondent's Certification number and Priority Ranking under the Navajo Nation Business Opportunity Act.

### **BY USPS MAIL:**

Navajo Nation Gaming Regulatory Office

ATTN: NNGRO Background Screening Services RFP BID NO. 22-08-2875KS

P.O. Box 2040

Window Rock, AZ 86515

**BY FEDEX / UPS / DHL / Private Carrier:**

Navajo Nation Gaming Regulatory Office

ATTN: NNGRO Background Screening Services RFP BID NO. 22-08-2875KS

47552-G State Highway 264, Hogan Tso Office Complex

Window Rock, AZ 86515

\*Applicants who choose mail delivery should consider sending their proposals with a delivery confirmation option. \*

**BY HAND DELIVERY:**

Navajo Nation Gaming Regulatory Office

47552-G State Highway 264, Hogan Tso Office Complex

Window Rock, AZ 86515

Faxed or e-mailed RFP packets will NOT BE ACCEPTED and WILL NOT be considered for review. The content of any proposal will not be disclosed in accordance with 2 NNC §85(A)(11). No photocopying will be completed on behalf of applicant, at any time.

**VIII. PROPRIETARY INFORMATION**

Restrictions on any information included in the proposals must be clearly stated in the proposal itself. Proprietary information submitted in response to the RFP will be handled in accordance with applicable purchasing procedures. Each and every page of the proprietary material must be labeled or identified with the work “proprietary” or “confidential”. Any information deemed to be confidential by applicant should be clearly noted on the page(s) where confidential information is contained; however, the Nation cannot guarantee that it will not be compelled to disclose all or part of any public record under the Navajo Privacy Act, since information deemed to be confidential by applicant may not be considered confidential under Navajo Nation Law.

**IX. OWNERSHIP OF PROPOSALS**

All documents submitted in response to this RFP shall become the property of the Navajo Nation and will not be returned to the respondent. Responses received will be retained by the Navajo Nation Gaming Regulatory Office and may be reviewed by any person after final selection has been made, subject to the rules of confidentiality and Navajo Nation Law.

**X. DISQUALIFICATION OF PROPOSALS**

Prior to a proposal moving onto the evaluation stage, all proposals will be screened for compliance to the instructions and rules of this RFP. Any proposal failing to follow instructions in this RFP will be disqualified and removed from consideration, this includes: not submitting the required amount of proposals; not following the proposal requirements and/or failing to submit required documents.

**XI. EVALUATION AND CRITERIA**

After the deadline of September 09, 2022 at 5:00pm (MDT), the selection committee will review the proposals received to determine which proposals are the most responsive and address the scope of work in the best interests of the Navajo Nation.

1. A Selection Committee will review the proposals received in accordance with the general criteria described herein. The selection committee may request oral presentations by respondents. Respondents should be prepared to provide any additional information the selection committee feels necessary for the fair evaluations of proposals.
2. Failure of a respondent to provide any information requested in the RFP may result in disqualification of the proposal. All proposals must be endorsed with the signature of a responsible official having authority to bind the respondent to the execution of the contract.
3. The objective of the selection committee will be to select the respondent who is most responsive to the needs of the Navajo Nation. The specifications in this RFP represent the minimum performance necessary for a response. On the basis of the evaluation criteria established in this RFP, the selection committee will select and recommend the respondent(s) who best meet(s) this objective.
4. Evaluation Criteria: The following criteria will be used by the selection committee in the selection process for the contract award. The proposal factors will be on scale of 1 – 100 with weight relations as stated below:

Proposal Organization	0 – 10 Points
Statement of Qualifications	0 – 25 Points
Proposed Contract Approach	0 – 40 Points

**XII. SCHEDULE OF EVENTS**

Following is a list of projected dates/times (excluding Due Date) with respect to this RFP:

RFP Issue Date	August 22, 2022
Proposals Due	September 09, 2022 at 5:00pm MDT
Proposal Opening	September 12, 2022
Review and Evaluation Period	September 12, 2022 – September 14, 2022
Notification Period	September 15, 2022

**XIII. RFP CONTACT INFORMATION**

For information regarding this RFP, please refer questions to:

Lisa F. Tsosie, Gaming Licensing Manager  
 Navajo Nation Gaming Regulatory Office  
 PHONE: 928-871-6712  
 FAX: 928-871-6713  
 EMAIL: [lftsosie@navajo-nsn.gov](mailto:lftsosie@navajo-nsn.gov)

NAVAJO NATION AFFIDAVIT OF NON-COLLUSION

For \_\_\_\_\_ (service type) for the \_\_\_\_\_ (name) Project, located in the \_\_\_\_\_ (Chapter) of the Navajo Nation, state of \_\_\_\_\_, County of \_\_\_\_\_.

\_\_\_\_\_, (Affiant name), being first duly sworn, hereby deposes and says that:

- 1. He/she is the \_\_\_\_\_ (job title) of \_\_\_\_\_ (Entity Name), the Entity that has submitted/is submitting a Proposal, Statement of Qualification, or Bid to the Navajo Nation for the above-named Project;
2. is authorized to represent this Entity for purposes of the declarations set forth herein, and that all such declarations are made on behalf of said Entity and all of its owners, partners, officers, members, employees, officials, agents, or parties-in-interest;
3. is fully informed with respect to the preparation and contents of the Proposal, Statement of Qualification, or Bid submitted by said Entity for the above-named Project, and with respect to all pertinent circumstances regarding submission of said Proposal, Statement of Qualification, or Bid to the Navajo Nation.
4. Said Proposal, Statement of Qualification, or Bid is genuine and not collusive or sham;
5. Said Entity has not in any way colluded, conspired, connived, or agreed, directly or indirectly, with any other entity, bidder, or person, to:
a. submit a sham Proposal, Statement of Qualification, or Bid to the Navajo Nation in connection with the proposed contract for which said Proposal, Statement of Qualification, or Bid was/is being submitted, or
b. refrain from submitting a Proposal, Statement of Qualification, or Bid to the Navajo Nation in connection with the proposed contract;
6. Said Entity has not in any manner, directly or indirectly, sought by agreement or collusion, or communication or conference, with any other entity, bidder, or person, to:
a. fix any price or fee relating to any Proposal, Statement of Qualification, or Bid of said Entity or of any other entity, bidder, or person, or
b. to fix any price, overhead, profit, reimbursement, or cost element of said Proposal, Statement of Qualification, or Bid, or that of any entity, bidder, or person;
7. Said Entity has not, through any collusion, conspiracy, connivance, or unlawful written or oral agreement, secured any advantage against the Navajo Nation or against any other entity, bidder, or person interested in the proposed contract for the above-named Project;
8. All statements set forth herein, and in said Proposal, Statement of Qualification, or Bid submitted to the Navajo Nation, are true.

NOTARY:

Signature of Affiant
Printed name of Affiant
Title of Affiant
Name of Entity
Address of Entity
Entity Employer Identification Number (EIN)

Subscribed and Sworn before me this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_
Notary Signature \_\_\_\_\_
My Commission expires \_\_\_\_\_