

Request for Proposals RFP
Crater Regional Workforce Development Board (CRWDB)
Auditing Services

This Request for Proposals (RFP) is to contract for financial audit as required by law as a non-federal governmental entity who receives above the \$750,000 award threshold. This will include an audit of the CRWDB's financial records from July 1, 2020 through June 30, 2021. The CRWDB is a joint government entity that receives federal, state, and local dollars to provide workforce development services in the counties of Dinwiddie, Prince George, Surry and Sussex and the cities of Colonial Heights, Emporia, Greenville, Hopewell, and Petersburg also known as Local Workforce Development Area 5 (LWDA 5).

This document constitutes the official Request for Proposals (RFP) format and all terms and conditions shall become, through incorporation by reference, a part of any contract or contracts entered in furtherance hereof.

Proposal submissions may be submitted either electronically or by physical mail. All proposals must be received electronically or in-person at the CRWDB office **no later than 12:00 PM (noon) EST on 05/27/2022**. The address to the CRWDB office is:

Crater Regional Workforce Development Board

Attn: Tabitha Taylor, Executive Director

22 W Washington Street

Petersburg, VA 23803

Electronic Submissions can be submitted to Tabitha Taylor at ttaylor@vcwcraterregion.com

Incomplete proposals or any proposals received after 12:00 PM (noon) EST on 05/27/2022 WILL NOT BE CONSIDERED and will be returned **WITHOUT EXCEPTION**.

Only licensed Certified Public Accountants (CPAs) may respond to this RFP. All costs incurred in the preparation of a proposal responding to this RFP will be the responsibility of the proposer and will not be reimbursed by the CRWDB. The CRWDB reserves the right to reject any and all proposals received in response to this RFP. A contract for the accepted proposal will be based upon the factors described in this RFP.

Efforts will be made to utilize small or minority-owned businesses. A small business is defined by the Small Business Administration (13 CFR §121.201.8721) by having average annual receipts of less than six million dollars.

General Information

The purpose of this RFP is to secure the services of a public accounting firm, whose principal officers are independent certified public accountants, certified or licensed by a regulatory authority of a state or other political subdivision of the United States, hereinafter referred to as the "proposer" to perform financial and compliance audits of the CRWDB.

At the discretion of the CRWDB, this the contract can be extended for two (2) additional one (1) year periods. The cost for the option periods will be agreed upon by the CRWDB and the proposer. It is anticipated that the cost for the optional years will be based upon the same approximate cost per thousand dollars of audited expenditures as the contract for the initial year. Initial year audit must be completed and final submission received prior to September 15, 2022.

Government Auditing Standards

Standards for Audit of Governmental Organizations, Programs, Activities, and Functions (2018 Revision), states on pages 9 – 11:

- Financial audits are primarily concerned with providing reasonable assurance about whether financial statements are presented fairly in all respects in conformity with generally accepted accounting principles.
- Performance audits provide information to improve program operations and facilitate decision-making by parties with responsibility to oversee or initiate corrective action and improve public accountability.
- The audit should be conducted in accordance with Government Auditing Standards - Standards for Audit of Governmental Organizations, Programs, Activities, and Functions (2018 Revision) (Yellow Book) and Office of Management and Budget Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (OMG Supercircular)

Per auditing requirements, the proposer must be willing to commit to providing a final report of audited financial statements, including an audited SEFA, to the Chief Local Elected Officials (CLEO) Consortium, the Crater Regional Workforce Development Board, and the Grant Recipient for Local Workforce Development Area III (Prince George) within an agreed upon date period. However, if the proposer fails to make delivery of the audit reports within the time schedule specified herein, or if the proposer delivers audit reports which do not conform to all of the provisions of this contract, the CRWDB may, by written notice of default to the proposer, terminate the whole or any part of this contract. Under certain extenuating circumstances the contracting agent may extend this schedule upon written request of the proposer with sufficient justification.

Specific information concerning proposer's qualifications, experience, and related accomplishments must be provided. **However, elaborate brochures or other marketing materials beyond that sufficient to present an accurate description should not be included.**

Once proposals have been submitted and received by the CRWDB, unless specifically requested by the CRWDB or Chief Local Elected Officials (CLEOs), **no proposer is allowed to provide additional information or to make contact with any individual Board member or CLEO member or designee regarding the RFP** by phone, e-mail, mail, or in person to solicit support for their proposal or to attempt to discredit the proposal submitted by any other proposer. Any proposer violating this provision will not be considered under this RFP. Additional data or information may be submitted only if requested by the CRWDB. Address all inquiries concerning this RFP, program elements, or other issues to CRWDB staff.

Payments for these services will be made when the CRWDB has determined that the total work effort has been satisfactorily completed. Should the CRWDB reject a report, the CRWDB's authorized representatives will notify the proposer in writing of such rejection giving the reason(s). The right to reject a report shall extend throughout the term of this contract and for ninety (90) days after the proposer submits the final invoice for payment.

Upon delivery of the final report to the CRWDB and the CLEO Consortium and their acceptance and approval, the proposer may submit bills for the balances due on the contract for the audits.

Upon request, the proposer will provide a copy of the work papers pertaining to any questioned costs determined in the audit. The work papers must be concise and provide the basis for the questioned costs as well as an analysis of the problem. The work papers will be retained for at least five years from the end of the audit period. The work papers will be available for examination by authorized representatives of the cognizant federal or state audit agency, the General Accounting Office, and the CRWDB.

The proposer agrees to keep the information related to all contracts in strict confidence. Other than the reports submitted to the CRWDB, the proposer agrees not to publish, reproduce, or otherwise divulge such information in whole or in part, in any manner or form or authorize or permit others to do so, taking such reasonable measures as are necessary to restrict access to the information, while in the proposer's possession, to these employees on the proposer's staff who must have the information on a "need-to-know" basis. The proposer agrees to immediately notify, in writing, the CRWDB's authorized representative in the event the proposer determines or has reason to suspect a breach of this requirement.

Funding

The CRWDB receives a variety of funding from federal, state, and local sources. Further information will be provided upon award of this RFP.

Proposal Submission Information

Deadline: Proposals must be received at the address listed in the RFP no later than 12:00 PM (noon) EST on 05/27/2022. Any proposal received after this deadline will **NOT** be considered and will be returned to the proposer.

One copy of the proposal must be delivered either electronically to Tabitha Taylor at ttaylor@vcwcraterregion.com or physically to the CRWDB offices. All pages of the proposal should be numbered and on 8 ½ "x 11" plain white paper and must use size 11 font with 1" margins. Proposals must be organized by the following sections.

Section 1: Cover Sheet

Section 2: Proposer Qualifications

Section 3: Organization Description

Section 4: Staff Qualification

Section 5: Understanding of Work to be Performed & Proposed Cost

Section 6: Required Forms

Section 7: Additional Information

Section 8: References and Recommendations

Information not organized in this manner risks elimination from consideration if the evaluators are unable to find where the RFP requirements are specifically addressed. Below is a detailed description of the content to be included in each of the proposal sections.

Section 1: Cover Sheet

In this section, please place a completed and signed cover sheet found in ***Attachment A – Cover Sheet***. The cover sheet must be signed by an individual that is authorized to sign on behalf of the proposing organization.

Section 2: Proposer Qualifications

In this section, the proposer must describe its prior auditing experience including the names, addresses, contact persons and telephone numbers of prior organizations audited. Experience should include the following categories:

1. Prior experience auditing Workforce Development Boards
2. Prior experience auditing similar programs funded by the Commonwealth of Virginia
3. Prior experience auditing programs financed by the Federal Government
4. Demonstrated ability in completing audits accurately and promptly.

Section 3: Organization Description

In this section, the proposer must include a description of the organizational size and structure, indicating if it is a small or minority-owned business. The proposer should include a copy of the most recent peer review, if one has been completed.

Section 4: Staff Qualification

In this section, the proposer must describe the qualifications of staff to be assigned to the project, including:

1. Audit team makeup
2. Overall supervision to be exercised
3. Prior experience of the individual audit team members.

Section 5: Understanding of Work to be Performed & Proposed Cost

The proposer must describe its understanding of work to be performed, including audit procedures, estimated hours, the deadline for producing a final report to applicable groups, and other pertinent information. This should also include a proposed cost to the CRWDB for services provided under this RFP by the proposer. The proposed cost should indicate the estimated number of hours by staff level, hourly rates, and any out-of-pocket expenses should also be indicated.

Section 6: Required Forms

Proposing organizations must sign and complete the required certification form found in ***Attachment B – Certifications***.

Section 7: Additional Information

Please include the following pieces of additional information:

1. If your organization is a corporation, a Certificate of Incorporation must be submitted with the proposal. If the certificate is over 30 years old, then the proposer must also submit a copy of the latest annual report for the State Corporation Commission. For all other non-governmental organizations, it is necessary for the proposer to submit a signed, notarized affidavit which specifies how the business is organized (partnership or proprietary). If not a partnership or proprietorship, then the organization must be explained. For governmental organizations, no certification of legal status is required.
2. A copy of the company’s Equal Employment Opportunity notification.

Section 8: References and Recommendations

Please provide the following:

1. Letter of recommendation from a Commonwealth of Virginia Workforce Development Board. If the proposing organization has never worked with or audited a Workforce Development Board within the Commonwealth of Virginia, a letter of recommendation from a Workforce Development Board in another state will suffice.
2. Any additional letters of recommendation or references.

Proposal Review Information

Prospective proposers are advised that selection for a contract award will be made after a careful evaluation of the proposals by the Board committee. Below is a timeline of the procurement process that will be used for this Request for Proposals. Note that dates may be subject to change, therefore all official meeting notices will be posted at www.vcwcraterregion.com

Timeline of Review

<u>04/26/2022</u>	RFP is released, and legal public notification is completed
<u>05/27/2022</u>	Proposal Deadline by noon (12 PM)
<u>5/27-06/15/2022</u>	– Evaluation Period
<u>06/16/2022</u>	Notice of Intent to Award Issued

This timeline is subject to change and is only estimated.

Evaluation Criteria

We have instituted procedures for assessing the technical merit of proposals to provide for an objective review of applications and to assist you in understanding the standards against which your proposal will be judged. The evaluation criteria are based on the information required in the proposal, as described in the RFP. Reviewers will rate each section based on how fully and convincingly the proposal responds. For each evaluation criteria, the Finance Committee will score proposals and proposers will be ranked in order starting with those that have the highest total score.

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Proposer Qualifications	20
Organization Description	10
Staff Qualifications	20
Understanding of Work to be Performed & Fee	15
Required Forms	5
Additional Information	10
References & Recommendations	15
TOTAL	100

Attachment A – Cover Sheet

Request for Proposals Cover Sheet Crater Regional Workforce Development Board

Audit Services

Name of Lead: _____

Agency/Organization: _____

Street Address: _____

City, State, Zip: _____

Contact Person: _____

Phone: _____

Email: _____

By my signature below, I attest that I have read the Request for Proposals (RFP) for the service named above, and that to the best of my knowledge and belief, all information in this application is true and correct, that the proposer understands and accepts all requirements and procedures stated therein, that the document has been duly authorized by the governing body of the proposer, and that the proposer will comply with all program guidelines and regulations if funding is awarded.

Authorized Signatory Signature _____

Printed Name _____

Title _____

Date _____

For Office Use Only

Date Received _____

Time Received _____

Staff Signature _____

Attachment B – Certifications

On behalf of the proposer:

- A. The individual signing certifies that he/she is authorized to contract on behalf of the proposer.
- B. The individual signing certifies that the proposer is not involved in an agreement to pay money or other consideration for the execution of this agreement, other than to an employee of the proposer.
- C. The individual signing certifies that the prices in this proposal have been arrived at independently without consultation, communication, or agreement, for the purpose of restriction competition.
- D. The individual signing certifies that the prices quoted in this proposal have not been knowingly disclosed by the proposer prior to an award to another proposer or potential proposer.
- E. The individuals signing certifies that there has been no attempt by the proposer to discourage any potential proposer from submitting a proposal.
- F. The individual signing certifies that the proposer is a properly licensed certified public accountant, or a public accountant licensed on or before July 1, 2022.
- G. The individual signing certifies that the proposer meets the independent standards of the Government Auditing Standards – Standards for Audit of Governmental Organizations, Programs, Activities, and Functions (2018 Revision).
- H. The individual signing certifies that he/she is aware of and will comply with the GAO Continuing Education requirement of 80 hours of continuing professional education ever two years; and that 24 hours of the 80 hours education will be in subjects directly related to the government environment and government auditing.
- I. The individual signing certifies that he/she is aware of and will comply with the GAO requirement of an external quality control (peer) review at least once every three (3) years.
- J. The individual signing certifies that he/she has read and understands the following publications relative to the proposed audits: a. Government Auditing Standards – Standards for Audit of Governmental Organizations, Programs, Activities, and Functions (2018 Revision) (Yellow Book) b.

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
(OMB Supercircular) c. 2 CFR 200 “Audits of States, Local Governments, and Non-Profit Organizations”

K. The individual signing certifies that he/she has read and understands all of the information in this RFP, including the information on the programs/grants/contracts to be audited.

L. The individual signing certifies that the proposer and any individuals to be assigned to the audits do not have a record of substandard audit work. (If the proposer or any individual to be assigned to the audits has been found in violation of any state and AICPA professional standards, this information must be disclosed.)

Signature _____

Printed Name _____

Organization _____

Date _____