



REQUEST FOR PROPOSAL

ISSUE DATE: July 21, 2016

RFP # 2016-001

TITLE: Annual Financial Audit Services

Electronic Proposals will be received until **August 15, 2016 at 3:00 PM** for furnishing the products and/or services described herein. (Original deadline of July 25, 2016 extended to August 15, 2016.)

All inquiries for information regarding Proposal Submission requirements or Procurement Procedures shall be directed to the Town Treasurer. The Town shall not be responsible for verbal clarification of information provided by any party. Auditors may not rely on any oral information provided. The Town will provide written responses to questions as the only form of clarification.

Abigail Breeding, Town Treasurer

Phone: (703) 491-1918 Ext. 4

E-Mail: abreeding@occoquanva.gov

PROPOSALS SHALL BE EMAILED WITH "PROPOSAL #2016-001" CONTAINED IN THE SUBJECT LINE & DELIVERED TO:

Via Email:

Abigail Breeding, Town Treasurer
abreeding@occoquanva.gov

The Town of Occoquan does not discriminate against faith-based organizations in accordance with the Code of Virginia, § 2.2-4343.1 or against any Auditor because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by law relating to discrimination in employment.

In compliance with this Request for Proposal and all the conditions imposed herein, the undersigned offers and agrees to furnish the products and/or services In accordance with the signed Proposal or as mutually agreed upon by subsequent negotiation.

Name and Address of Firm:

Signature In Ink

Print/Type

1.0 **PURPOSE:** The Town of Occoquan (hereinafter the “Town”) hereby solicits proposals from qualified certified public accountants and accounting professionals (hereinafter the “Auditor”) in order to conduct an independent audit of the accounts, books and records of the Town for each of the fiscal year(s) ending June 30, 2016 through June 30, 2019. The successful Auditor(s) shall furnish all labor, materials, equipment and supervision necessary for providing audit services.

2.0 **COMPETITION INTENDED:** It is Town’s intent that this Request for Proposal (RFP) permit competition. It shall be the Auditor’s responsibility to advise the Town Treasurer, in writing, if any language, requirement, scope of work, specification, etc., or any combination thereof, inadvertently restricts or limits the requirements stated in this RFP to a single source. Such notification must be received by the Town Treasurer by 12:00 PM on August 5, 2016.

3.0 **BACKGROUND:** The Town is centrally located between Richmond and Washington D.C. along the Occoquan River near Interstate 95. The Town has need of auditing services to conduct an independent audit of the accounts, books and records in accordance with generally accepted auditing standards; the standards for financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States; the provisions of the OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations; and the Specifications for Audits of Counties, Cities and Towns.

4.0 **PERIOD OF PERFORMANCE/DELIVERABLES:** Any contract(s) resulting from this solicitation shall be for the period of one year with three (3) additional one-year renewal options. Auditors submitting proposals for less than the contract period specified will not be accepted. Any contract price adjustments shall be negotiated between the Town and the awarded vendor, and finalized in writing, prior to any renewal period.

5.0 **SCOPE OF SERVICES:** The Auditor’s programs and work papers shall be available for routine review by the Town Treasurer upon request. The Auditor shall retain work papers related to the Town audit for three years after final issuance of audit reports, and make such work papers available to its successor in the event of contract termination without additional charge to the Town or successor auditor. The Town shall have all rights, title, and interest in or to all specified or unspecified interim and final products, work plans, project reports and/or presentations, data, documentation, computer programs and/or applications, and documentation developed or generated during the completion of this project, including without limitation, unlimited rights to use, duplicate, modify, or disclose any part thereof, in any manner and for any purpose, and the right to permit or prohibit any other person, including the Auditor, from doing so.

5.1 **Confidentiality:** The Town possesses certain confidential systems and data. The Auditor agrees to protect the confidentiality of such documents and data. Furthermore, the Auditor shall indemnify and hold the Town harmless for any damages, direct or consequential that may arise from the Auditor’s breach of confidentiality.

5.2 **Financial Statements:** The Auditor shall audit all funds of the Town in accordance with generally accepted auditing standards; the standards for financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States; the provisions of the OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations; and the Specifications for Audits of Counties, Cities and Towns. The audit shall result in the rendering of the Auditor’s opinion on the financial statements prepared by the Town, including general purpose financial statements. The Auditor's opinion shall be unqualified, unless the Auditor immediately notifies the Town the reasons for qualifying the opinion, disclaiming an opinion, or rendering an adverse opinion.

5.3 **Internal Controls and Compliance:** In connection with the audit of the financial statements, the Auditor shall consider, test, and report on internal controls and compliance in accordance with Generally Accepted Auditing Standards (GAAS), Government Auditing Standards, OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations, and the Specifications for Audits of Counties, Cities and Towns.

5.4 **Audit Schedule:** The Town records shall be examined so that fieldwork is completed to finalize the Annual Financial Report, including a management letter and auditors reports prior to November 30th of each year. The presentation of the Annual Financial Report to the Occoquan Town Council shall be no later than the last board meeting in January of each year. Attached are two copies of the last two fiscal years Annual Financial Report for the Town of Occoquan. See Exhibit A.

5.5 **Assistance Provided by the Town:** The Town will assemble the required supporting documentation, prepare

the necessary confirmations and correspondence, and provide other accounting data needed by the external auditors. The Town shall provide suitable space for the Auditor to conduct their field review and testing, shall provide or make available any records or other supporting documentation the Auditor may reasonably require to conduct the audit and will otherwise cooperate in the completion of the audit in any way reasonably required by the Auditor. Following the completion of the annual financial report, the Auditor will print and distribute to the Town Treasurer fifteen bound copies of the report and provide an electronic copy of the final report.

5.6 **Correspondence:** The Town will schedule conferences between the Auditor and the Town before the Auditor begins the preliminary work on the auditing services and at the end of completing the auditing services. The purpose of the meeting prior to preliminary work is to discuss the Town engagement letter and the Auditor's audit plans. The purpose of the final meeting is to report on the opinion and reports provided by the auditor, to provide required communications and to conduct any necessary discussions. The Auditor shall schedule conferences with the Town Treasurer and the Town Manager on a regular basis. The purpose of these meetings is for the Auditor and Town to keep each other informed of the progress of the audit. The Auditor shall make an immediate written report to the Town Treasurer of all changes in key Auditor personnel assigned to the Town's Audit.

6.0 PROPOSAL PREPARATION AND SUBMISSION

General Requirements

6.1 In order to be considered for selection, Auditors must submit a complete response to this RFP which specifically addresses those items listed in the Scope of Services or the area(s) of expertise proposed to be provided. **No other distribution of the proposal shall be made by the Auditor.**

6.2 Proposals should be as thorough and detailed as possible so that the Town may properly evaluate the Auditor's capabilities to provide the required services.

6.3 Proposals shall be submitted via e-mail to abreeding@occoquanva.gov. The entire proposal should be contained in a single electronic file where practical. All documentation submitted with the proposal should be contained in that single electronic file.

6.4 Proposals shall be prepared simply and economically, providing a straightforward, concise description of the Auditor's capabilities to satisfy the requirements of the RFP. Emphasis should be on completeness and clarity of content.

6.5 Ownership of all data, materials and documentation originated and prepared for the Town pursuant to this RFP shall belong exclusively to the Town and be subject to inspection in accordance with the Virginia Freedom of Information Act. However, the Auditor may invoke the protection of Section 2.2-4342 of the Virginia Public Procurement Act prior to, or upon submission of, the data or other materials it wishes to be protected and state the reasons why protection is necessary. **(Complete Form on Page 6)**

Submittal Requirements

All information requested must be submitted. Failure to submit all information requested may result in the Town Treasurer requiring prompt submission of missing information and/or giving a lower evaluation of the proposal or may result in the rejection of the proposal.

6.6 The return of the Request for Proposal cover sheet signed and filled out as required by a representative of the Auditor authorized to bind the firm into a contract.

6.7 All addenda acknowledgements, if any, signed and filled out as required. Any addenda to this solicitation can be easily accessed on the Town of Occoquan website – www.occoquanva.gov.

Auditors are responsible for checking the website frequently. Failure to acknowledge all addenda may result in the rejection of your proposal submission.

6.8 Provide a Cover Letter/Executive Summary providing a brief company description and history.

6.9 Description of Services to Be Provided and Project Approach: Describe the firm’s understanding of the Scope of Services or the area(s) of expertise proposed to be provided and how the firm proposes to manage anticipated contract(s), depth and variety of staff disciplines available, and familiarity with Federal, State and Local codes, laws and regulations governing the work.

6.10 Qualifications of the Firm and Project Team: Describe the qualifications and experience of the firm. If subcontractors and special consultants will be used, they should be identified and their qualifications included in the proposal response.

6.11 Provide a list of the local office’s municipal government clients for the three preceding fiscal years. Indicate the type(s) of services performed and the number of years served for each. Also, indicate the years in which each client received a GFOA Certificate of Achievement for Excellence in Financial Reporting. Provide the name of a reference and the individual’s telephone number for each client listed for which services were provided in fiscal years 2012 to 2014. Indicate the local office’s experience in providing additional services to local government clients by listing, for the last three years, the name of each government, the type(s) of service performed and the year(s) of engagement.

6.12 List professional staff to be assigned to the contract. Describe the qualifications and experience of the proposed project team members.

6.13 Response Capability: Provide information about the availability of support services (e.g., phone support, meetings) when needed.

6.14 Additional Data: This section should include any additional information the Auditor believes to be essential to a thorough evaluation of its proposal.

6.15 References: The Auditor shall include a minimum of three (3) references where similar work was performed. Include the dates when work was provided, the business name, address, and name and telephone number of the contract administrator. The Town shall have the option of checking discovered references in addition to references provided by the Auditor. The Town must be able to contact references without notification to the Auditor.

6.16 Cost Estimates: **Cost estimates must be included in the proposal submittal.** Auditor’s selected for an interview will be requested by the Town to submit cost estimates.

7.0 **TIME FRAME/SCHEDULE OF EVENTS**

Solicitation Issue Date:	July 21, 2016
Questions Due:	August 5, 2016 – 12:00 PM
Proposals Due:	August 15, 2016 – 3:00 PM
Interviews/Oral Presentations	August 17, 2016
Anticipated Contract Award:	September 6, 2016

8.0 **EVALUATION AND AWARD CRITERIA: Evaluation Criteria:** Proposals will be evaluated by a Town committee using the following criteria as related to the Scope of Services:

Evaluation Criteria	Assigned Weight
1. Cost	50%
2. Experience/Qualifications/Ability to Perform	30%
3. Past performance, scheduling performance, and general overall responsiveness	15%
4. References	5%

The Auditors who appear most capable of providing the services requested that can best satisfy Town’s needs, based on the scoring rubric described above (1) through (3), will be selected as finalists for further evaluation. There is no specified number of finalists that may be selected. Upon the completion of interviews/oral presentations by selected finalists, the evaluation committee will score proposals on the previously assigned scores for criteria (1) – (3) and an initial scoring of (4).

9.0 **Award of Contract** (Procurement of professional services): the Town shall engage in individual discussions with one or more Auditors deemed fully qualified, responsible and suitable on the basis of the evaluation criteria. Repetitive informal interviews shall be permissible. At the discussion stage, the Town may discuss nonbinding estimates of total project costs, including, but not limited to, life-cycle costing, and where appropriate, nonbinding estimates of price for services. At the conclusion of discussion, on the basis of evaluation factors stated above and all information developed in the selection process to this point, the Town shall select in the order of preference two or more Auditors whose professional qualifications and proposed services are deemed most meritorious. Negotiations shall then be conducted, beginning with the Auditor ranked first. If a contract satisfactory and advantageous to the public body can be negotiated at a price considered fair and reasonable, the award shall be made to that Auditor. Otherwise, negotiations with the Auditor ranked first shall be formally terminated and negotiations conducted with the Auditor ranked second, and so on until such a contract can be negotiated at a fair and reasonable price. Should the Town determine in writing and in its sole discretion that only one Auditor is fully qualified, or that one Auditor is clearly more highly qualified than the others under consideration, a contract may be negotiated and awarded to that Auditor. The Town may award contracts to more than one Auditor. The award document will be a contract incorporating by reference all the requirements, terms and conditions of this solicitation and the Contractor’s proposal as negotiated.

The Town may cancel the RFP, reject proposals or any portion thereof at any time prior to an award, and is not required to furnish a statement of the reason why a particular proposal was not deemed to be the most advantageous. (Section 2.2-4359D, Code of Virginia).

TRADE SECRETS/PROPRIETARY INFORMATION IDENTIFICATION
IF NO PROTECTION IS NEEDED STATE "N/A" ON THE TABLE BELOW AND SIGN.

Trade secrets or proprietary information submitted by any Bidder/Auditor in connection with a procurement transaction shall not be subject to public disclosure under the Virginia Freedom of Information Act, however, the Bidder/Auditor must invoke the protection of §2.2-4342(F) of the Code of Virginia, in writing, prior to or upon submission of the data or other materials, and must clearly and specifically identify the data or other materials to be protected, and state the reasons why protection is necessary. The proprietary or trade secret material submitted must be identified by the Bidder/Auditor on the table below. If the Bidder/Auditor fails to identify any protected information on the table below, the Bidder/Auditor by return of this form, hereby releases The Town of Occoquan and all of its employees from any and all claims, damages, demands or liabilities associated with The Town of Occoquan's release of such information, and agrees to indemnify it for all costs, expenses and attorney's fees incurred by The Town of Occoquan as a result of any claims made by Bidder/Auditor regarding the release of such information. By submitting its bid or proposal, Bidder/Auditor understands and agrees that any language seeking protection from public disclosure, any specific documents or information, unless identified on the table below, are null and void and of no legal or binding effect on The Town of Occoquan. **The classification of line item prices, and/or total bid prices as proprietary or trade secrets is not acceptable. If, after being given reasonable time, the Bidder/Auditor refuses to withdraw such a classification designation, the bid/proposal will be rejected.**

Section/Title	Page Number(s)	Reason(s) for Withholding From Disclosure

Company Name: _____

Signature: _____