



**REQUEST FOR PROPOSAL**  
**Audit Services – Avance-San Antonio, Inc.**

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## **I. Project Information**

### **A. General**

Avance-San Antonio, Inc. herein after referred to as Avance-San Antonio is a social services nonprofit organization which has been determined to be exempt from Federal Income Tax under Section 501(c)(3) of the Internal Revenue Code. It is governed by a volunteer Board of Directors. Administrative offices and all records are located at 118 N. Medina, San Antonio, Texas 78207.

Avance-San Antonio utilizes an integrated computer accounting system, Microsoft Great Plains Business Solutions developed by Microsoft Corporation. It maintains one operations checking account and one money market account. Additionally, it maintains one payroll and two depository accounts. Avance-San Antonio administers approximately 20 Federal, State, Foundation and municipal income streams and maintains an annual budget of approximately \$11,000,000. See Appendix 1.

### **B. Objective**

This Request for Proposal (RFP) is to contract for the following:

1. A certified audit of Avance-San Antonio books and records
2. A federal-awards report on the internal control over the financial reporting and on compliance and other matters based on Government Auditing Standards.
3. Preparation of the Avance-San Antonio's portion of Form 990 for the current year ending June 30.

Each of these services will be submitted as separate proposals with separate cost proposals as described in Section IV. B. The contract will include a one-time option for two additional years based on performance.

### **C. Scope of Services**

The purpose of this RFP is to obtain 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 "Offeror" to perform a financial statement and compliance audit of Avance-San Antonio. The following Scope of Services details the services to be provided.

1. A certified audit of Avance-San Antonio books and records, presenting comparative figures for the current and previous year, to include the following elements:
  - A statement of financial position as of June 30 for each year presented.
  - A statement of activities for the years ending June 30
  - A statement of functional expenses for the years ending June 30
  - A statement of cash flows for the years ending June 30
  - The necessary footnotes
  - A schedule of supplemental data as provided by Avance-San Antonio
2. A federal-awards report on the internal control over the financial reporting and on compliance

and other matters based on Government Auditing Standards. As required by OMB Circular A-133.

3. Preparation of the Avance-San Antonio's portion of Form 990 for the current year ending June 30. This return will be developed as though it were going to be filed, and will be made available to the general public through Guidestar and to specific funders who request it. Therefore, the requirement is for an internal version with all the donor information that is required and a public one where the donor information (names and amounts) are not disclosed.
4. The Offeror will complete the Offeror's portion of the Standard Form SF-SAC, "Data Collection Form for Reporting on Audits of States, Local Governments, and Non-Profit Organizations.
5. Offeror will deliver one copy of the draft audit report to Avance-San Antonio Executive Director by August 15, 2011.
6. The Offeror shall deliver 25 final audit reports to the Avance-San Antonio no later than the 2<sup>nd</sup> of September of each year of the contract.
7. The Offeror may submit Reports earlier than the above schedule. However, if the Offeror fails to make delivery of the audit reports within the time schedule specified herein, or if the Offeror delivers audit reports which do not conform to all of the provisions of this contract, Avance-San Antonio may, by written notice of default to the Offeror, terminate the whole or any part of the contract. If reports are submitted late, late fees will be assessed at a rate equivalent to 1% of the total fee on a daily basis until the required reports are received.
8. Availability of Work papers
  - Upon request, the Offeror will provide copies of 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 three 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 Avance-San Antonio.

#### **D. Additional Requirements and Provisions**

1. Only licensed Certified Public Accounting firms, 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, who are in good standing with these authorities are invited to respond this RFP.
2. All costs incurred in the preparation of the proposal responding to this RFP will be the responsibility of the Offeror and will not be reimbursed by Avance-San Antonio.
3. Avance-San Antonio receives grant funds from numerous sources to include Federal, State and local governments as well as charitable and private organizations and individuals. Therefore, it is essential for the successful offeror to be familiar with these types of funding.
4. Avance-San Antonio reserves the right to reject any and all proposals received in response to this RFP. A contract for the selected proposal will be based upon the most competitive proposal based on the factors described in this RFP.
5. In order to ensure compliance with General Accounting Office's (GAO) *Government*

*Audit Standards* and other appropriate audit guides, Avance-San Antonio and its funding sources will review all audit reports prepared under this contract.

6. An exit conference with Avance-San Antonio representatives and the Offeror's representatives will be held at the conclusion of all fieldwork. Observations and recommendations may be summarized in writing and discussed with Avance-San Antonio. It should include internal control and program compliance observations and recommendations.
7. The Offeror agrees to keep the information related to all contracts in strict confidence. Other than the reports submitted to Avance-San Antonio, the Offeror 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 Offeror's possession, to those employees on the Offeror's staff who must have the information on a "need-to-know" basis. The Offeror agrees to immediately notify, in writing Avance-San Antonio's authorized representative in the event the Offeror determines or has reason to suspect a breach of this requirement.

D. Estimated Timeline – The dates listed below are subject to change without notice.

April 7, 2011 ..... RFP Released  
May 10, 2011 by 2:00 PM Central Time ..... Proposals Due  
May 10 -13, 2011 ..... Proposals Evaluated  
May 16 & 17, 2011 ..... Interviews, if necessary  
May 18, 2011 ..... Selected Firm Notified  
May 26, 2011 ..... Avance-San Antonio Board Approval and Award  
May 26, 2011 ..... Non-Selection Notices mailed  
July 18, 2011 ..... Start Field Work

## **II. Selection Process**

A. Selection

A Selection Evaluation Committee will review, evaluate, and rank the proposals according to a numerical scoring system based on the responses to the criteria listed below. The Selection Evaluation Committee may select two or more firms to be interviewed, if necessary, based solely on qualifications. The successful firm may expect notification on or about May 18, 2011.

B. Interviews

In the event that interviews are deemed necessary, the Respondents will provide a brief presentation to the Selection Committee summarizing the firm's qualifications and project approach and answer any questions posed by the Selection Committee members.

C. Evaluation Criteria Summary

Respondents not providing a response to each of the criteria listed in this RFP shall be considered non-responsive and ineligible for consideration.

Evaluation criteria are listed in order of priority:

- Firm Experience (40 pts)
- Team Experience (30 pts)
- Project Approach (10 pts)
- Quality Assurance / Control (20 pts)

### III. Communication

#### A. Restrictions

1. Respondents or their representatives are prohibited from communicating with Avance-San Antonio employees regarding this RFP from the time the RFP is released until the contract is awarded.
2. This includes “thank you” letters, phone calls, emails, and any contact that results in the direct or indirect discussion of the RFP and/or proposal submitted by Respondents.
3. Violation of this provision by the Respondent and/or their agent may lead to disqualification of the Respondent’s proposal from consideration.

#### B. Pre-Submittal Conference

A Pre-Submittal Conference is not scheduled for this RFP.

#### C. SMWB Participation

Avance-San Antonio highly encourages and supports the participation of Small, Minority, and Woman Owned Businesses (SMWB) in this RFP either as prime offerors and/or sub-offerors. While points are not awarded as part of the evaluation process for SMWB participation, it may become a deciding factor only if all other evaluated areas are equal.

#### D. Submittal Clarification

Avance-San Antonio reserves the right to contact any Respondent for clarification after responses are opened and/or to further negotiate with any Respondent if such is deemed desirable by Avance-San Antonio.

### IV. Submitting a Response

#### A. Deadline

Proposals are due no later than 2:00 PM Central Time on May 10, 2011.

#### B. Submission

1. Submission of Proposals – Submit a **Separate and Clearly Identified Response Package** for each requirement/section/portion of the RFP. Submit the proposal in hard copies.
2. One (1) hard copy shall be clearly marked as “**ORIGINAL**” on the document cover and on signature sheet. Seven (7) copies must be submitted as well and addressed to:

Avance-San Antonio, Inc.

Attn: Ruben M. Saenz, Director Human Resources  
118 N. Medina  
San Antonio, Texas 78207

3. Responses submitted via any form of electronic transmission, such as electronic mail, or facsimile, will not be considered.
  4. If the submittal to this RFP is by any means other than personal delivery, then it is the Respondent's sole responsibility to ensure the submittals are delivered to the exact location by the time specified.
  5. If submission is by personal delivery, allow fifteen (15) minutes for entry and parking in the Avance-San Antonio campus.
  6. Responses should be clear, concise, and complete. They should be submitted using an 8 ½" by 11" portrait format. Illustrations, if required, may be submitted on 11" by 17" sheets.
  7. Responses must be **securely** bound by any means **except** by 3-ring binders and paper/binder clips.
  8. By submission of a response, the Respondent acknowledges that it has read and thoroughly understands the Scope of Service, agrees to all terms and conditions stated herein, and acknowledges that it can perform all tasks as required.
- C. Response Format - The response shall be organized as follows, and each section shall be titled accordingly:
1. Project Submittal Identification Form (use with multiple project RFP)  

This form is placed on the outside of each proposal submitted to clearly identify the project for which the proposal is intended. (See Exhibit A)
  2. Submittal Response Checklist  

Complete and include the Submittal Response Checklist within the proposal. Verify that the checklist is signed and that all documents on the checklist have been included with the proposal. (See Exhibit B)
  3. Offeror Questionnaire  

The Offeror Questionnaire captures general information regarding the firm submitting a proposal in response to this RFP. It also includes acknowledgements for the attached exhibits and addendums. The questionnaire is a required submittal and must be completed and included in the proposal. (See Exhibit C)
  4. W-9 Form  

Please submit a completed and signed W-9 Form with your proposal. (Submit as Exhibit D)
  5. Conflict of Interest Questionnaire.  

Offeror shall complete the attached Conflict of Interest Questionnaire. (Submit as Exhibit E)
  4. Firm Experience

Provide a list of at least three (3) current and/or previous projects in the last five (5) years, in which the Respondent has performed services similar to those sought in this solicitation. This list should include:

- Name of client
- Location (city and state)
- Duration of assignment
- Respondent's role in project
- Reference contact to include name and phone number

5. Team Experience

Provide an organizational chart identifying each team member and their role in providing the scope of services and a resume of not more than two (2) pages per person on the capabilities, experience and qualifications of each team member. Resumes should include the team member's name, title, education, brief overview of professional experience, and team member licenses or professional affiliations.

Provide a summary of not more than one (1) page detailing the unique qualifications of each sub-consultant.

6. Project Approach

Provide a detailed work plan explaining how the Respondent would complete this project as described in the Scope of Services. The work plan should provide at a minimum itemized tasks, resource requirements and a proposed timeline. Emphasis should be given to maximize efficiencies in procedures in order for SAWS to meet its goal in a timely manner.

7. Quality Assurance/Control

Provide a written document that describes quality assurance (QA) and quality control (QC) procedures and other technical activities that will be implemented to demonstrate that the results of the work performed to satisfy the scope of service in this RFP.

8. Compensation proposal

The Compensation proposal should be formatted as an Engagement Letter. It should separately detail the fees for all portions of the RFP. The fees will be evaluated on a "Best Value" basis. This means lowest price while a consideration, may not necessarily be the best option in the selection process.

9. Standard Insurance Requirements – Offeror shall submit a copy of a Certificate(s) of Insurance giving evidence of the various lines of Respondent's commercial insurance coverage currently in force. (Submit as Exhibit F)

## **V. Attachments:**

1. Exhibit "A" – Project Submittal Identification Form
2. Exhibit "B" – Submittal Response Checklist - Offeror shall complete the attached Submittal Response Checklist.
3. Exhibit "C" – Offeror Questionnaire – Offeror shall complete the attached Offeror Questionnaire.
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6. Exhibit "F" – Certificates of Insurance



## **Project Submittal Identification Form**

This page must be attached to the front of each proposal submitted for each project.

**Firm Name:**

**Check one:**

\_\_\_\_ Project 1: (project name)

\_\_\_\_ Project 2: (project name)

\_\_\_\_ Project 3: (project name)

\_\_\_\_ Project 4: (project name)



## Submittal Response Checklist

Request for Proposal Title: \_\_\_\_\_

Use the checklist to ensure that the proposal is complete by checking off each item included with your response. Sign and date this form and include this page with each proposal.

- Project Submittal Identification Form (Per Section IV. B. of RFP)*
- Submittal Response Checklist
- Offeror Questionnaire
- Completed and signed W-9 Form
- Conflict of Interest Questionnaire
- Copy of Current Certificate of Liability Insurance.
- Firm Experience
- Team Experience
- Project Approach
- Quality Assurance/Control



## Offeror Questionnaire

**Request For Proposal Title:** \_\_\_\_\_

**Instructions:** Complete the questionnaire by inserting the requested information. Do not modify or delete the questions.

### **General Information**

1. **Offeror Information:** Provide the following Offeror information.

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone No. \_\_\_\_\_ Fax No: \_\_\_\_\_

Social Security Number or Federal Employer Identification Number: \_\_\_\_\_

2. **Contact Information:** Identify your firm's principal point of contact for issues dealing with this RFP.

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone No. \_\_\_\_\_ Fax No: \_\_\_\_\_

Email: \_\_\_\_\_

3. Identify your firm's principal point of contact authorized to commit the Offeror to a contractual agreement.

\_\_\_\_\_  
\_\_\_\_\_

4. Does Offeror anticipate any mergers, transfer of organization ownership, management reorganization, or departure of key personnel within the next twelve (12) months?

Yes  No

5. Is Offeror authorized and/or licensed to do business in Texas?

Yes  No  If "Yes", list authorizations/licenses.

\_\_\_\_\_  
\_\_\_\_\_

6. **Affirmative Action** – Offeror is encouraged to comply with EEO rules and regulations and agrees to make a good faith effort to provide subcontract opportunities (if applicable ) to small, minority and woman owned businesses.

Yes  No  If "No", state reason.

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7. **Debarment/Suspension Information:** Has the Offeror or any of its principals been debarred or suspended from contracting with any public entity?

Yes  No  If "Yes", identify the public entity and the name and current phone number of a representative of the public entity familiar with the debarment or suspension, and state the reason for or circumstances surrounding the debarment or suspension, including but not limited to the period of time for such debarment or suspension.

8. **Bankruptcy Information:** Has the Respondent ever been declared bankrupt or filed for protection from creditors under state or federal proceedings?

Yes  No  If "Yes", state the date, court, jurisdiction, cause number, amount of liabilities and amount of assets.

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9. Provide any other names under which Respondent has operated within the last 10 years.

10. **Litigation Disclosure:** Respond to each of the questions below by checking the appropriate box. Failure to fully and truthfully disclose the information required may result in the disqualification of your proposal from consideration or termination of the contract, once awarded.

- a. Have you or any member of your Firm or Team to be assigned to this project ever been indicted or convicted of a felony or misdemeanor greater than a Class C in the last five (5) years?

Yes  No

- b. Have you or any member of your Firm or Team to be assigned to this project been terminated (for cause or otherwise) from any work being performed for any Federal, State or Local Government, or Private Entity?

Yes  No

- c. Have you or any member of your Firm or Team to be assigned to this project been involved in any claim or litigation with any Federal, State or Local Government, or Private Entity during the last ten (10) years?

Yes  No

If you have answered "Yes" to any of the above questions, please indicate the name(s) of the person(s), the nature, and the status and/or outcome of the information, indictment, conviction,

termination, claim or litigation, as applicable. Any such information should be provided on a separate page, attached to this form and submitted with your proposal.

**11. Compliance Agreement:**

**Nondisclosure. No information obtained by Offeror from Avance-San Antonio shall be disclosed by Offeror to any third party.**

Failure to complete this question or comply with its terms may subject this firm to elimination from the selection process at any time.

Does the Respondent agree to the above?

Yes  No

**12. Addendums:** Each Respondent is required to acknowledge receipt of all addendums.

None  Yes  If "Yes", Identify.

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The information provided above is true and accurate to the best of my knowledge. Furthermore, we understand that failure to complete the Respondent Questionnaire may subject this firm to elimination from the selection process.

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Signature

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Date

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Printed Name

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Title