



City of Round Rock, Texas
Purchasing Division
221 East Main Street
Round Rock, Texas 78664-5299
www.roundrocktexas.gov

RFP No. 17-007

REQUEST FOR PROPOSAL

FOR

AUDIT SERVICES

Date: FEBRUARY 2017

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City of Round Rock

SECTION I GENERAL

The City of Round Rock, herein after “City”, seeks an agreement with a qualified Individual, Firm, or Corporation, hereafter referred to as “Respondent”, to audit its financial statements for the fiscal year ending September 30, 2017, and for each of the five (5) subsequent fiscal years. These audits are to be performed in accordance with generally accepted auditing standards set forth by the Comptroller General of the United States *Government Auditing Standards*, the provisions of the federal Single Audit Act of 1984 (as amended in 1996) and U.S. Office of Management and Budget (OMB) Uniform Guidance, *Audits of States, Local Governments, and Non-Profit Organizations*.

The City is soliciting offers under the guidelines provided with authority through Texas Local Government Code Chapter 252. All proposals must meet the requirements outlined in this RFP to be considered for evaluation by the City.

1. **BACKGROUND / HISTORY:** The City is a home-rule city operating under a Council-Manager form of government. The City serves an area of approximately 28 square miles with a population over 100,000. The City’s fiscal year begins on October 1 and ends on September 30.
 - 1.1. The services provided by the City under general governmental functions include police and fire protection, street maintenance, public improvements, planning and zoning, parks operation and maintenance, library services, and administrative services necessary to serve the citizens of Round Rock. In addition, water, wastewater, drainage and golf services are operated under an Enterprise Fund concept, with user charges set to ensure adequate coverage of operating expenses and payments on outstanding debt.
 - 1.2. The City has a total biweekly payroll of approximately \$2,100,000 covering 1,000 employees.
 - 1.3. The City is organized into fourteen (14) departments. The accounting and financial reporting functions of the City are centralized.
 - 1.4. Detailed information of the City, including the Charter, current and prior Comprehensive Annual Financial Reports, Annual Budget, maps and background information can be found on-line on the City’s website, www.roundrocktexas.gov, and at the City’s Library located at 216 East Main, Round Rock, Texas 78664.

2. **FUND STRUCTURE:** The City uses the following fund types and account groups in its financial reporting:

<u>Fund Type</u>	<u>Number of Individual Funds</u>
General Fund	1
Special revenue funds	9
Debt service funds	4
Capital projects funds	9
Enterprise funds-Utility	14
Enterprise funds-Golf	3
Internal service funds	2

NOTE: Several of the above funds are combined for reporting purposes.

3. **BUDGETARY BASIS OF ACCOUNTING:** The City prepares its governmental fund type budgets on a basis consistent with generally accepted accounting principles.
4. **FEDERAL AND STATE FINANCIAL ASSISTANCE AWARDS:** During the fiscal year to be audited, the City received the following Federal and State Financial Assistance Awards:

- 4.1. U.S. Department of Transportation
- 4.2. U.S. Department of Homeland Security
- 4.3. U.S. Department of Treasury
- 4.4. U.S. Department of Justice
- 4.5. U.S. Department of Housing & Urban Development
- 4.6. Texas State Library & Archives Commission

5. **PENSION PLANS:** The City provides pension benefits for all of its full time employees through a non-traditional, joint contributory, hybrid benefit plan in the state-wide Texas Municipal Retirement System (TMRS), an agent multiple-employer public employee retirement system.

6. **BLENDED COMPONENT UNIT:** A seven-member board appointed by the City Council governs the Round Rock Transportation and Economic Development Corporation (Corporation), an entity legally separate from the City. The City Council maintains budgetary control of the Corporation. For financial reporting purposes the Corporation is presented as a part of the City's operations. The revenues of the corporation and its administrative expenditures are accounted for in a special revenue fund; debt service is accounted for in the separate corporation debt service fund, while the capital improvements are accounted for in a capital projects fund.

This component unit is to be audited as part of the audit of the City of Round Rock's financial statements.

7. **MAGNITUDE OF FINANCE OPERATIONS:** The Finance Division is headed by the Chief Financial Officer and consists of fifty-seven (57) employees. The principal functions performed and the numbers of employees assigned to each are as follows:

<u>Function</u>	<u>Number of Employees</u>
Accounts Payable	5
Construction Improvement Projects	3
Purchasing	6
Payroll	3
Asset Management/Grants	1
Budget	3
Utility Accountant	1
Contract Management	1
Treasury/Banking	1
Municipal Court	13
Utility Billing	17
Accounting Manager	2
Deputy Chief Financial Officer	1
Chief Financial Officer	1

8. **COMPUTER SYSTEMS:** The City utilizes the following systems for transactions:
- 8.1. Tyler Technology's Incode for the Utility Billing and Municipal Court Departments. In FY 2018, Utility Billing will migrate to Tyler Technology's Munis.
 - 8.2. Tyler Technology's Munis for Financial, Human Resources and Payroll Departments.

9. **WORKING PAPER RETENTION AND ACCESS TO WORKING PAPERS:** All working papers and reports shall be retained, at the successful Respondent's expense, for a minimum of five (5) years, from completion of the audit, unless the firm is notified, in writing by the City, to extend the retention

period. The successful Respondent shall make working papers accessible, upon request, to the following parties or their designees:

- 9.1. City of Round Rock
- 9.2. State or Federal Grant Agencies
- 9.3. U.S. Government Accountability Office
- 9.4. Parties designated by the federal or state governments or by the City as part of an audit quality review process
- 9.5. Auditors of entities of which the City is a sub recipient of grant funds.
- 9.6. In addition, the Respondent shall respond to inquiries of successor auditors and allow successor auditors to review working papers related to matters of continuing accounting significance.

10. **CLARIFICATION:** For questions or clarifications of specifications, you may contact:

Mike Schurwon, CTPM, CPPB
Purchasing Department
City of Round Rock
Telephone: 512-218-6682
mschurwon@roundrocktexas.gov

The individual listed above may be contacted by telephone or e-mail for clarification of the specifications only. No authority is intended or implied that specifications may be amended or alterations accepted prior to solicitation opening without written approval of the City of Round Rock through the Purchasing Department.

SECTION II STATEMENT OF WORK

1. **INTRODUCTION:** This Request for proposals (RFP) describes information for the Respondent to provide services which shall include, but are not limited to the requirements contained herein. Services set forth that contain the words “must” or “shall” are mandatory and shall be provided as specified with no alteration, modification or exception unless an alteration, modification or exception would enhance the services provided to the City. Any and all alterations, modifications or exceptions to any requirement shall be clearly noted by the Respondent. Services set forth that contain the words “may” or “can”, allow Respondents to offer alternatives to the manner in which the services are described in the RFP.

2. **PLAN OVERVIEW:** The following plan overview and scope of work for the specified auditing services provides additional information and outlines specific requirements that must be met as part of the respondent’s proposal. All respondents are expected to have the ability to provide the following:

3. **SCOPE OF WORK:** The Respondent shall provide the following auditing services, and in accordance with generally accepted auditing standards as set forth by the American Institute of Certified Public Accountants (AICPA), U.S. GAO *Government Auditing Standards*, the provisions of the federal Single Audit Act of 1984 (as amended in 1996) and U.S. OMB Uniform Guidance, *Audits of States, Local Governments, and Non-Profit Organizations*:
 - 3.1 Express an opinion on the fair presentation of the City’s basic financial statements in conformity with generally accepted accounting principles; auditing of the basic financial statements; performance of certain limited procedures mandated by generally accepted auditing standards; auditing of information contained in the Schedule of Expenditures of Federal Awards and evaluating the effectiveness of the City’s internal controls.
 - 3.2 Perform certain limited procedures involving required supplementary information required by the Governmental Accounting Standards Board as mandated by generally accepted auditing standards.
 - 3.3 Advise the City on meeting the most current post disclosure requirements in its supplementary section of the CAFR;
 - 3.4 Audit information contained in a schedule of federal and state financial assistance – this information must be subjected to the auditing procedures applied in the audit of basic financial statements and in accordance with Governmental Auditing Standards, the Single Audit Act as amended in 1996, US Office of Management and Budget (“OMB”) Uniform Guidance and the State of Texas Uniform Grants Management Standards, Chapter IV, Texas State Single Audit Circular. As needed, an opinion of the fair presentation of this schedule in relation to the basic financial statements taken as a whole must be provided.
 - 3.5 Perform certain limited procedures on management controls on investments and adherence to the City’s established investment policies, as required by Texas state law.
 - 3.6 The Respondent may be requested to provide other types of services. Examples include additional audits or reviews of specific areas such as the City’s utility funds, component units, cost studies and other consulting services. The scope of the City’s annual audit may be broadened and/or special projects assigned with the advance written consent of the City, and fees for such additional services must be determined in writing in advance.

4. **REQUIRED REPORTS:** The primary purpose of the required auditing services shall be to express an opinion on the basic financial statements taken as a whole. The combining and non-combining major fund type statements and supplementary schedules shall be subject to the same auditing procedures as the audit of the basic financial statements.

- 4.1** Following the completion of audit of the fiscal year's financial statements, the successful Respondent shall issue all reports currently required by the state and federal grantors, the American Institute of Certified Public Accountants, GASB, the Government Finance Officers Association ("GFOA") of the United States and Canada, and any other regulatory agencies.
- 4.2** In the required reports on internal audits, the successful Respondent shall communicate any reportable conditions discovered during the audit to the Chief Financial Officer and the City's governing body. A reportable condition shall be defined as a significant deficiency in the design or operation of the internal control structure which could adversely affect the City's ability to record, process, summarize and report financial data consistent with the assertions of management in the financial statements. Reportable conditions that are also material weaknesses shall be identified as such in the report.
- 4.3** Non-reportable conditions discovered by the successful Respondent shall be reported in a separate letter to management, which shall be referenced in the reports on internal controls.
- 4.4** A report shall also be issued on the Schedule of Expenditures of Federal Awards and the internal control structure used in administering those financial awards.
- 4.5** The successful Respondent shall be required to make an immediate written report to the Chief Financial Officer and the governing body detailing any and all irregularities and illegal acts discovered.
- 4.6** Upon written request, the successful Respondent shall provide detailed reports including audited financial statements on the City's component units or the utility, the cost for which must be established in writing in advance.
- 4.7** The successful Respondent shall ensure that the City's Mayor and governing body are informed of each of the following in its report:
 - 4.7.1** Responsibilities of auditors under generally accepted and government auditing standards;
 - 4.7.2** Significant accounting policies;
 - 4.7.3** Management judgments and accounting estimates;
 - 4.7.4** Significant audit adjustments;
 - 4.7.5** Other information in documents containing audited financial statements;
 - 4.7.6** Disagreements with management;
 - 4.7.7** Management consultation with other professional accountants;
 - 4.7.8** Major issues discussed with management prior to retention of the selected firm; and
 - 4.7.9** Difficulties encountered in performing the audit.
 - 4.7.10** The successful Respondent shall provide the City with information relating to regulation changes that affect the City and its operations such as timely notification of changes proposed or initiated by GASB, FASB or GAO.

5. CITY RESPONSIBILITIES: The City will provide the following to the successful Respondent:

5.1 City staff will prepare supporting schedules and all financial statements. An interim prepared by client list is to be provided to the Chief Financial Officer on or before June 15th of each year under contract. This list should include adequate detail and explanation as to the purpose of the working paper or item requested. City staff will be available to the successful Respondent for purposes of pulling invoices, providing access to proper files or for explanation of procedures. Similarly, a final prepared by client list is to be provided to the Chief Financial Officer no later than 4 weeks prior to the start of final fieldwork.

City staff and responsible management will be available during normal working hours throughout the course of the audit to assist the successful Respondent by providing information, documentation, and explanations. Preparation of confirmations shall be the sole responsibility of the successful Respondent but will be typed by City staff.

5.2 The City will provide workspace, desks and chairs.

5.3 The successful Respondent will have access to telephone lines, photocopying facilities and FAX machines.

6. COMPREHENSIVE ANNUAL FINANCIAL REPORT (CAFR): City staff prepares all information included in the City's CAFR, and the successful Respondent shall review this information and approve the CAFR prior to printing. The Schedule of Expenditures of Federal Awards, and related auditor's reports as well as reports on internal control structure and compliance must be included in the CAFR.

7. SPECIAL CONSIDERATIONS: The auditor's report will be submitted along with:

7.1 The Comprehensive Annual Financial Report submitted to the Government Finance Officers Association of the United States and Canada for review in their Certificate of Achievement for Excellence in Financial Reporting program. It is anticipated that the auditor will be required to provide special assistance to the City to meet the requirements of that program.

7.2 One or more official statements in connection with the sale of debt securities the City currently anticipates, along with the basic financial statements, the notes to the financial statements and the required supplementary information. The Auditor shall be required, if requested by the fiscal advisor and/or the underwriter, to issue a "consent and citation of expertise" as the Auditor.

8. SCHEDULE FOR INITIAL FISCAL YEAR AUDIT: The successful Respondent shall submit a schedule of the following audit functions to the Accounting Manager for review:

8.1 Audit planning and scheduling – expected to be performed in May.

8.2 Interim – expected start and completion dates (early July-early August). Historically, auditors have spent 4 weeks or less on site.

8.3 Information to be provided by the City – an interim prepared by client list is to be provided to the Chief Financial Officer on or before June 15th of each year under contract.

8.4 Completion of field work for initial audit – the successful Respondent shall make every effort to complete all required field work no later than **December 1, 2017** to allow the City to draft its Comprehensive Annual Financial Report. Historically, auditors have spent four weeks or less on site. A final prepared by client list is to be provided to the Chief Financial Officer no later than 4 weeks prior to the start of final fieldwork.

- 9. ENTRANCE CONFERENCES, PROGRESS REPORTS AND EXIT CONFERENCES:** The successful Respondent shall schedule an entrance conference, periodic progress reports and an exit conference with the Chief Financial Officer or relevant staff. Fees for these events must be stated in the proposal. In the event additional meetings are required, such meetings must be agreed upon in writing in advance by the City.
- 10. FINAL REPORT DUE DATE:** City staff will prepare draft financial statements, notes and all required supplementary schedules and statistical data for submission to the successful Respondent for review no later than **January 16, 2018** and the successful Respondent shall provide all recommendations, revisions and suggestions for improvements to the Chief Financial Officer within five days of receipt of the draft. The final CAFR and auditor's opinion shall be issued no later than February 2, 2018.
- 11. AGREEMENT TERM:**
- 11.1** The initial term of the resulting agreement shall be six (6) consecutive twelve (12) month periods from the effective date. The agreement may be renewed for five (5) additional periods of time, not to exceed twelve (12) months each, provided both parties agree in writing.
 - 11.2** The City reserves the right to review the Respondents' performance at the end of each twelve (12) month period and cancel all or part of the agreement or continue the agreement through the next period.
 - 11.3** The City will require a Letter of Engagement executed annually prior to the beginning of each succeeding twelve (12) months term.
 - 11.4** If the Respondent fails to perform its duties in a reasonable and competent manner, the City shall give written notice to the Respondent of the deficiencies and the Respondent shall have thirty (30) days to correct such deficiencies. If the Respondent fails to correct the deficiencies within the thirty (30) days, the City may terminate the agreement or letter of engagement by giving the Respondent written notice of termination and the reason for the termination.
 - 11.5** If the agreement or Letter of Engagement is terminated, for any reason, the Respondent shall turn over all records, to include but not be limited to the following: records of services, deliverables, and transactions, to the City within fifteen (15) working days after completion of
 - 11.6** If the Agreement is terminated, for any reason, the Respondent shall turn over all records to the City within fifteen (15) working days after completion of duties contained in the Agreement.
- 12. RESPONDENT QUALIFICATIONS:** The City is seeking proposals from respondents to provide auditing services to audit its financial statements for the fiscal year ending **September 30, 2017**. The City requires that the respondent possess the qualifications and expertise to develop a community-wide advertising and educational campaign. The Respondent Shall:
- 12.1** Be firms, corporations, individuals or partnerships normally engaged in providing auditing services as specified herein.
 - 12.2** Have adequate organization, facilities, equipment and personnel to ensure prompt and efficient service to the City.
 - 12.3** Provide a representative list of services of a scale and complexity similar to the services being considered by the City. The list shall include the location, client, services provided by your firm, term of services and an owner contact name.
 - 12.4** Respondent shall identify key project staff, task leaders and sub-contractors along with their expected services to the City for the scope of work on behalf of the firm. Resumes shall be

included for each of the individuals and sub-contractors referenced which demonstrate their qualifications to satisfy all the critical and service requirement areas. The City reserves the right to approve or disapprove all sub-contractors.

- 12.5** Provide the name, address, telephone number and **E-MAIL** of at least three (3) firms applicable to Municipal and/or Government projects that have utilized similar service for at least (two) 2 years. City of Round Rock references are not applicable. References may be checked prior to award. Any negative responses received may result in disqualification of submittal. **NOTE: REFERENCE FORM (ATTACHMENT A) PROVIDED. E-MAIL ADDRESSES ARE REQUIRED.**

13. MANDATORY REQUIREMENTS: Respondent shall, at a minimum, address the requirements:

- 13.1** Respondent is independent and licensed to practice in Texas.
- 13.2** No conflict of interest with regard to any other work performed by the firm for the City. Respondents shall be neutral and impartial, shall not advocate specific position to the City. Respondents shall identify the extent, nature, and length of these relationships or engagements. Entities having a conflict of interest, as determined by the City, will not be eligible for contract award.
- 13.3** Respondent has performed five or more audits of Texas Municipalities in the past two (2) years.
- 13.4** Prepared five or more CAFRs that have received the GFOA's Certificate of Achievement for Excellence in Financial Reporting.
- 13.5** Demonstrate past experience and performance on comparable local government engagements.
- 13.6** Quality of respondent's professional personnel to be assigned to the engagement and the quality of management and support personnel to be available for technical consultation.
- 13.7** Past experience of Respondent's professional personnel to be assigned to the engagement with the GFOA's Certificate of Achievement for Excellence in Financial Reporting.
- 13.8** Past experience and performance with Single Audits and tests of compliance with laws and regulations.
- 13.9** Perform additional services and provide technical support throughout the year, including new GASB pronouncements.
- 13.10** Adequacy of proposed staffing plan for various segments of the engagement.
- 13.11** Legal Requirements: It shall be the responsibility of the Respondent to be knowledgeable of all Federal, State and Local laws, ordinances, rules and regulations that in any manner affect the services covered herein which may apply.

**SECTION III
PROPOSAL INFORMATION**

1. **SCHEDULE OF EVENTS:** It is the City’s intention to comply with the following solicitation timeline:

EVENT	DATES
Release of RFP	February 13, 2017
Deadline for Submission of Questions	February 24, 2017, 5:00pm, (CST)
City Response to all Questions/Addendums	March 1, 2017, 5:00pm, (CST)
Closing Date for Proposal	March 8, 2017, 3:00pm, (CST)
Anticipated Contract Start Date	May 11, 2017 (On or Before)

NOTE: All questions regarding the solicitation shall be submitted in writing by 5:00 PM on the due date noted in PART III, Paragraph 1. A copy of all the questions submitted and the City’s response to the questions shall be posted on our webpage, <http://www.roundrocktexas.gov>

All questions shall be submitted to the following: mschurwon@roundrocktexas.gov

Please be advised the City reserves the right to modify these dates. Notice of date change will be posted to the City’s website.

2. **SUBMISSION REQUIREMENTS:**

2.1. SOLICITATION SUBMISSION REQUIREMENTS: To achieve a uniform review process and obtain the maximum degree of comparability, the responses shall be organized in the manner specified below. Sealed responses shall be clearly marked on the outside of packaging with the **Company Name, Solicitation Title, RFP Number, Due Date, and “DO NOT OPEN”**. Responses shall be clear and concise and shall include at a minimum: title page, transmittal letter, index or table of contents, dividers for each section and all required attachments. Information in excess of those pages allowed may not be evaluated. One page shall be interpreted as one side of a double-spaced, printed, 8 1/2” X 11” sheet of paper. It is recommended that responses be submitted in ringed binders, metal spirals, or another bound format that best contains all required documentation for submission.

The Respondent shall submit one (1) “Original” signed paper copy clearly labeled and five (5) copies, clearly identified as a “COPY” of its Response.

In addition, the Respondent shall submit one (1) flash drive, each containing a complete copy of respondent’s submission in an acceptable electronic format (PDF, RTF, DOC, XLS). A complete copy of the Response includes all documents required by this Solicitation. The flash drive shall be titled: “SOLICITATION NUMBER - Complete copy of [Name of Respondent]’s submission.”

If supplemental materials are included with the response, each flash drive shall include such supplemental materials. The response and accompanying documentation are the property of the City and will not be returned.

2.2. Title Page (1 page) – Show the solicitation title and number, the name of your firm, address, telephone number(s) name of contact person and date.

2.3. TAB 1 - Letter of Transmittal (1 page) – Identify the services for which solicitation has been prepared.

2.3.1. Briefly state your firms understanding for the services to be performed and make a positive commitment to provide the services as specified.

2.3.2. A statement of affirmation warranting compliance with State of Texas laws with respect to foreign (non-state of Texas) corporations.

- 2.3.3. A statement of affirmation warranting responsibilities shall not be delegated or subcontracted without prior written permission of the City.
 - 2.3.4. A statement why the firm believes itself to be best qualified to perform the engagement and a statement that the response is a firm offer for the period stated.
 - 2.3.5. Provide the name(s) of the person(s) authorized to make representations for your firm, their titles, address, telephone numbers and e-mail address.
 - 2.3.6. The letter of each solicitation shall be signed in permanent ink by a corporate officer or other individual who has the authority to bind the firm. The name and title of the individuals(s) signing the solicitation shall be clearly shown immediately below the signature.
- 2.4. **TAB 2 - Table of Contents (1 page)** – Clearly identify the materials by Tab and Page Number.
- 2.5. **TAB 3 - Previous Performance/Experience** – Provide detailed information on firm and team experience with providing consultant services as described in the Scope of Work.
- 2.5.1. Respondent shall submit a copy of the report on its most recent peer review, with a statement whether that peer review included a review of specific government engagements, and whether in the most recent review, an unmodified opinion was issued.
 - 2.5.2. Respondent shall also provide information on the results of any federal or state desk reviews or field reviews of its audits during the past three (3) years. In addition, Respondent shall provide information on the circumstances and status of any disciplinary action taken or pending against the Respondent during the past three (3) years with state regulatory bodies or professional organizations.
 - 2.5.3. List separately all engagements within the last five years, ranked on the basis of total staff hours, for the City by type of engagement (e.g.. audit, management advisory services, other). Indicate the scope of work, date, engagement partners, total hours, the location of the firm's office from which the engagement was performed, and the name and telephone number of the principal client contact.
 - 2.5.4. For the Respondent's office that will be assigned responsibility for the audit, list the most significant engagements (maximum - 5) performed in the last five years that are similar to the engagement described in this solicitation. These engagements shall be ranked on the basis of total staff hours. Indicate the scope of work, date, engagement partners, total hours, and the name and telephone number of the principal client contact.
 - 2.5.5. Attachment A: Reference Sheet. - Refer to Finance original submission requirements.
- 2.6. **TAB 4 - Available Resources and Respondent Location:** Provide information on size, resources and business history of the firm.
- 2.6.1. Respondent shall state the size of the firm, the size of the Respondent's governmental audit staff, the location of the office from which the work on this engagement is to be performed and the number and nature of the professional staff to be employed in this engagement on a full-time basis and the number and nature of the staff to be so employed on a part-time basis.
 - 2.6.2. If the Respondent is a joint venture or consortium, the qualifications of each firm comprising the joint venture or consortium shall be separately identified and the firm that is to serve as the principal auditor shall be noted, if applicable.

2.7. TAB 5 - Qualifications: Respondent shall identify the project team and provide statement of qualifications for those individuals to include education, professional registrations and areas and years of service in the respective field.

- 2.7.1.** Identify the principal supervisory and management staff, including engagement partners, managers, subcontractors, other supervisors and specialists, who would be assigned to the engagement. Indicate whether each such person is registered or licensed to practice as a certified public accountant in Texas. Provide information on the government auditing experience of each person, including information on relevant continuing professional education for the past three (3) years and membership in professional organizations relevant to the performance of this audit.
- 2.7.2.** Provide as much information as possible regarding the number, qualifications, experience and training, including relevant continuing professional education, and specific experience related to GFOA Certificate of Achievement for Excellence in Financial Reporting, of the specific staff to be assigned to this engagement. Indicate how the quality of staff over the term of the agreement will be assured.
- 2.7.3.** Engagement partners, managers, other supervisory staff and specialists may be changed if those personnel leave the firm, are promoted or are assigned to another office. These personnel may also be changed for other reasons with the express prior written permission of the City. However, in either case, the City retains the right to approve or reject replacements.
- 2.7.4.** Consultants and firm specialists mentioned in response to this solicitation can only be changed with the express prior written permission of the City, which retains the right to approve or reject replacements.
- 2.7.5.** Other audit personnel may be changed at the discretion of the Respondent provided that replacements have substantially the same or better qualifications or experience.

2.8. TAB 6 - Methodology: Respondent shall define the method and approach to be used. The Response shall set forth a work plan, including an explanation of the audit methodology to be followed, to perform the services. In developing the work plan, reference shall be made to such sources of information as City budget and related materials, organizational charts, manuals and programs, and financial and other management information systems. Respondents shall provide the following information on their audit approach:

- 2.8.1.** Proposed segmentation of the engagement
- 2.8.2.** Level of staff and number of hours to be assigned to each proposed segment of the engagement
- 2.8.3.** Sample size and the extent to which statistical sampling is to be used in the engagement
- 2.8.4.** Extent of use of computer audit tools in the engagement
- 2.8.5.** Type and extent of analytical procedures to be used in the engagement
- 2.8.6.** Approach to be taken to gain and document an understanding of the City's internal control structure
- 2.8.7.** Approach to be taken in determining laws and regulations that will be subject to audit test work
- 2.8.8.** Approach to be taken in drawing audit samples for purposes of tests of compliance
- 2.8.9.** Approach and frequency to be taken regarding regular communications with the Chief Financial Officer regarding the engagement status.

- 2.8.10.** Identify and describe any anticipated potential audit problems, the firm's approach to resolving these problems and any special assistance that will be requested from the City.
- 2.9. TAB 7 - Time Schedule:** The Respondent shall submit a detailed schedule for the 2016-2017 Fiscal Year Audit per these specifications:
- 2.9.1.** Interim work start and completion dates. Historically, performed late July and early August of the year. An interim prepared by client list is to be provided to the City no less than two weeks prior to the start of interim field work.
- 2.9.2.** A detailed audit plan and a list of all schedules needed shall be provided to the City by September 30 of the year audited.
- 2.9.3.** The Respondent shall use their best efforts to complete all fieldwork no later than December 31, 2017 and each subsequent year.
- 2.9.4.** Entrance conferences, progress reporting and exit conferences shall be developed for audits of current and future fiscal years, provided, the City exercises its option for additional audits. Successful Respondent shall schedule them with the Chief Financial Officer.
- 2.10. TAB 8 - Attachment C:** Respondent shall include the cost proposal to provide services as described herein. Estimate shall be value engineered and the break-down shall include a not-to-exceed fee schedule for each aspect of the service.
- 2.11. Experience and Proposal:** Pursuant with Section II, Statement of Work outlined in 3. Respondent Qualifications, the proposal shall describe services your organization has provided that demonstrates your organization's capability to carry out the proposed services. Include a narrative overview of the nature of the services provided, scope of activities, and the organization for which the service was provided. Also, provide any experience in providing similar services to public entities. Include resumes for all personnel who shall be responsible for the management and day-to-day operations of the products/services solicited in this RFP. Respondent shall provide the name(s) of top management and key employees and each person's duties, including the background and experience of these employees.
- 2.12. References:** Provide the name, address, telephone number and E-mail address of at least three (3) references from firms of comparable size that have utilized similar service (**Attachment A**). Include description, contact names, position, company name, e-mail address and telephone number for each reference listed. Any negative responses received may be grounds for disqualification of the proposal.
- 2.13. Proposal Submittal Form and Execution of Proposal: (Attachment D)** - This form is to be completed and returned with the proposal. It is to be signed by an authorized agent of your company. Failure to do so may result in disqualification of the Proposal.
- 2.14.** All inquiries shall be submitted in writing by **February 24, 2017, @ 5:00 pm, (CST)** to Mike Schurwon, CPPB, CTPM by e-mail at: mschurwon@roundrocktexas.gov on the due date noted. The City shall NOT be responsible for failure of electronic equipment or operator error.
- 2.15.** All inquiries that result in written addenda to the RFP will be posted to the City's webpage as specified in the Schedule of Events on **March 1, 2017, @ 5:00 p.m. (CST)**, at the following: <http://www.roundrocktexas.gov>

Respondents shall acknowledge and return receipt of all addenda on Addendum Acknowledgement Form (**Attachment E**). If respondent does not have Internet access, copies may be obtained through the point of contact listed above (2.14). It shall be the respondent's responsibility to periodically check the City's webpage for any updated addenda information.

- 2.16.** Upon issuance of this RFP, besides written inquiries as described above, other employees and representatives of the City will not answer questions or otherwise discuss the contents of the RFP with any potential respondent or their representatives. Failure to observe this restriction may result in disqualification of any subsequent response. This restriction does not preclude discussions between affected parties for the purpose of conducting business unrelated to this Request for Proposal.
- 2.17. Delivery of Proposal:** Signed and sealed proposal shall be submitted no later than **March 8, 2017, 3:00 pm, (CST), to the City by one of the following methods:**

U.S. Postal Service	Overnight/Express Mail	Hand Deliver
City of Round Rock 221 East Main Street, City Hall 1 st Floor Receptionist Desk Round Rock, TX 78664-5299 Attention: Mike Schurwon Purchaser	City of Round Rock 221 East Main Street, City Hall 1 st Floor Receptionist Desk Round Rock, TX 78664-5299 Attention: Mike Schurwon Purchaser Hours – 8:00 AM to 5:00 PM Monday - Friday	City of Round Rock City Hall – 1 st Floor Receptionist Desk 221 East Main Street Round Rock, TX 78664-5299 Attention: Mike Schurwon Purchaser Hours – 8:00 AM to 5:00 PM Monday - Friday

2.18. Proposal Closing:

- 2.18.1.** Proposals will be received at the City of Round Rock, City Hall, 221 East Main Street, 1st Floor Receptionist Desk, Round Rock, Texas 78664, until the date and time established for receipt of proposal.
- 2.18.2.** Only the names of the respondents who submitted a proposal will be made public in a manner that does not disclose the contents before an award.
- 2.18.3.** Prices and terms will not be divulged until after award. The City considers all information, documentation, and other related submission materials to be confidential and/or proprietary before an award.
- 2.18.4.** Telephone, facsimile, or e-mailed proposals are not accepted in response to this RFP.
- 2.18.5.** Responses cannot be altered or amended after opening.
- 2.18.6.** No response can be withdrawn after opening without written approval from the City for an acceptable reason.
- 2.18.7.** The City will not be bound by any oral statement or offer made contrary to the written specifications.
- 2.18.8.** All submitted proposal responses becomes the property of the City after the RFP submittal deadline/opening date.
- 2.18.9.** Responses submitted shall constitute an offer for a period of ninety (90) days or until selection is made by the City.
- 3. EVALUATION CRITERIA:** The City has established specific, weighted criteria for selection. This section presents the evaluation criteria, their description, and relative weight assigned to each evaluation criteria (100 points maximum) as follows:

3.1. Technical Qualifications – Consists of Expertise and Experience (50 points) and Audit Approach (35 points) for a total of (85) points as outlined in Section 3.2 and Section 3.3 below:

3.1.1 Expertise and Experience – 50 points total, consisting of:

- 3.1.1.1** Respondent's past experience and performance on comparable government engagements (20 points)
- 3.1.1.2** Quality of Respondent's professional staff proposed to provide required services and the quality of the Respondent's management support staff available for technical consultation (15 points)
- 3.1.1.3** Respondent's past experience with GFOA Certificate of Achievement for Excellence in Financial Reporting Program (5 points)
- 3.1.1.4** Respondent's past experience and performance with Single Audits and tests of compliance with laws and regulations (5 points)
- 3.1.1.5** Ability to perform additional services and provide technical support throughout the year (5 points)

3.1.2 Audit Approach – 35 points total, consisting of:

- 3.1.2.1** Comprehensiveness of audit work plan and adequacy of sampling techniques (20 points)
- 3.1.2.2** Adequacy of study and evaluation of internal accounting and administrative controls (10 points)
- 3.1.2.3** Adequacy of proposed staffing plan for various segments of the engagement and the quality of the Respondent's management support personnel available for technical consultation (5 points)

3.2 Cost - 15 points. The City will evaluate price as an important but not overriding factor.

3.3 Proposal Evaluation Process

Each proposal will be reviewed, evaluated, and scored as part of the formal selection process. Each proposal will be reviewed independently based solely on the merits of the proposal. The proposals will then be scored and, if necessary, a short list of Respondents will be selected for additional evaluation, Respondent presentations, demonstrations, and reference checks. Proposals determined to be outside of the competitive range or not meeting minimum requirements will not be considered further.

- 3.4** The City reserves the right to conduct studies and other investigations as necessary to evaluate any proposal.
- 3.5** The City reserves the right to waive any minor technicality, irregularities or informalities noted in the submission process. Submission of proposal confers no legal rights upon any respondent.
- 3.6** The City reserves the right to request further documentation or information and to discuss a proposal response with any proposer in order to answer questions or to clarify any aspects of the proposal.

- 3.7 The City may request a short list of qualified respondent(s) to submit a Best and Final Offer (BAFO).

4. SELECTION AND AWARD PROCESS:

- 4.1 Proposal shall be scored by an evaluation committee, using the criteria shown in Section III, Proposal Information, 3. Evaluation Criteria. In the event an award does not occur, the process may continue until the City makes an award or terminates the process.
- 4.2 A proposal presented in response to this RFP is subject to negotiation concerning any issues deemed relevant by the City. The City reserves the right to negotiate any issue with any party. Any contact by the Respondent with the City regarding this RFP, other than those submitted in writing will result in disqualification of the Respondent's proposal.
- 4.3 Submission of proposal indicates the Respondent's acceptance of the evaluation process and recognition that the City may make subjective judgments in evaluating the proposal to determine the best value for the City.
- 4.4 An independent signed authorized contract will be sent to the successful proposer. Execution of a City of Round Rock contract is required prior to processing any payments to the awarded respondent.

5. AGREEMENT NEGOTIATIONS: In establishing an agreement as a result of the solicitation process, the City may:

- 5.1 Review all submittals and determine which Respondents are reasonably qualified for award of the agreement.
- 5.2 Determine the Respondent whose submittal is most advantageous to the City considering the evaluation criteria.
- 5.3 Attempt to negotiate with the most responsive Respondent an agreement at fair and reasonable terms, conditions and cost.
- 5.4 If negotiations are successful, enter into an agreement.
- 5.5 If not successful, formally end negotiations with that Respondent. The City may then:
 - 5.5.1 Select the next most highly qualified Respondent and attempt to negotiate an agreement at fair and reasonable terms, conditions and cost with that Respondent.
 - 5.5.2 The City shall continue this process until an agreement is entered into or all negotiations are terminated.
- 5.6 The City also reserves the right to reject any or all submittals, or to accept any submittal deemed most advantageous, or to waive any irregularities or informalities in the submittal received.

6. POST AWARD MEETING:

The City and the Respondent may schedule a post award meeting to discuss, but not be limited to the following:

- 6.1 Provide City contact(s) information for implementation of the Agreement.
- 6.2 Identify specific milestones, goals and strategies to meet objectives.

SECTION IV
GENERAL TERMS AND CONDITIONS
(ITEMS BELOW APPLY TO AND BECOME PART OF THE CONTRACT)

1. **ABANDONMENT OR DEFAULT:** A Respondent who abandons or defaults on work which causes the City to purchase goods or services elsewhere may be charged the difference in cost of goods, services or handling, if any, and may not be considered in the re-advertisement of the goods or services and may not be considered in future solicitations for the same type of work unless the scope of work is significantly changed. If the respondent defaults on the contract, the City reserves the right to cancel the contract without notice and either re-solicit or re-award the contract to the next best responsive and responsible respondent. The defaulting respondent shall not be considered in the re-solicitation and may not be considered in future solicitations for the same type of work, unless the specification or scope of work is significantly changed.
2. **CANCELLATION:** The City reserves the right to cancel the Agreement for default of all or any part of the undelivered portion of the order if the Respondent breaches any of the terms hereof including warranties or becomes insolvent or commits acts of bankruptcy. Such right of cancellation is an addition to and not in lieu of any remedies, which the City may have in law or equity. Upon award, this contract may be cancelled, without penalty, by either party by providing thirty (30) days written notice to the other party. The City shall pay the respondent the contract price prorated for acceptable service performed up to the date specified in the notice of cancellation. Termination under this paragraph shall not relieve the respondent of any obligation or liability that has occurred before cancellation. The respondent shall refund any balance of unused prepaid funds to the City.
3. **CONFIDENTIALITY OF CONTENT:** All documents submitted in response to a solicitation shall be subject to the Texas Public Information Act. Following an award, responses are subject to release as public information unless the response or specific parts of the response can be shown to be exempt from the Texas Public Information Act. Pricing is not considered to be confidential under any circumstances.
 - 3.1. Information in a submittal that is legally protected as a trade secret or otherwise confidential must be clearly indicated with stamped, bold red letters stating "CONFIDENTIAL" on that section of the document. The City will not be responsible for any public disclosure of confidential information if it is not clearly marked as such.
 - 3.2. If a request is made under the Texas Public Information Act to inspect information designated as confidential, the Respondent shall, upon request from the City, furnish sufficient written reasons and information as to why the information should be protected from disclosure. The matter will then be presented to the Attorney General of Texas for final determination.
4. **PROPRIETARY OR CONFIDENTIAL INFORMATION:** Responses may include proprietary or confidential information. The City shall take reasonable precautions in protecting such information provided that it is clearly identified as proprietary or confidential on the page on which it appears.
5. **DAMAGE CLAIMS:** The Respondent shall be responsible for damage to the City's equipment or property, the workplace and its contents by its work, negligence in work, its personnel and equipment. The Respondent shall be responsible and liable for the safety, injury and health of its working personnel while its employees are performing service work. The respondent shall defend, indemnify, and hold harmless the City, all of its officers and employees from and against all claims, actions, suits, demands, proceedings costs, damages, and liabilities, arising out of, connected with, or resulting from any acts or omission of respondent or any agent, employee, sub-Respondent, or supplier of Respondent in the execution or performance of this contract.

6. **INTERLOCAL COOPERATIVE CONTRACTING (PIGGYBACK):** Other governmental entities may be extended the opportunity to purchase off of the City's Agreements, with the consent and agreement of the awarded Respondent(s) and the City. Such consent and agreement shall be conclusively inferred from lack of exception to this clause in a Respondent's submittal. However, all parties indicate their understanding and hereby expressly agree that the City is not an agent of, partner to, or representative of those outside agencies or entities and that the City is not obligated or liable for any action or debts that may arise out of such independently-negotiated "piggyback" procurements.
7. **RIGHT TO AUDIT:**
- 7.1. The Respondent agrees that the representatives of the Office of the State Auditor or other authorized representatives of the City shall have access to, and the rights to audit, examine, or reproduce, and all records of the Respondent related to the performance under this Agreement. The Respondent shall retain all such records for a period of three (3) years after final payment on this Agreement or until all audit and litigation matters that the City has brought to the attention of the Respondent are resolved, whichever is longer. The Respondent agrees to refund to the City any overpayments disclosed by any such audit.
- 7.2. Respondent understands that acceptance of funds under this contract acts as acceptance of the authority of the City to conduct an audit or investigation in connection with those funds. Respondent further agrees to cooperate fully with the above parties in the conduct of the audit or investigation, including providing all records requested. Respondent shall ensure that this clause concerning the authority to audit funds received indirectly by sub-Respondents through the respondent and the requirement to cooperate is included in any subcontract it awards.
8. **TAX EXEMPTION:** The City of Round Rock is exempt from all Federal excise, State, and Local taxes unless otherwise stated in this document. The City claims exemption from all States and/or use taxes under Texas Tax Code §151.309, as amended. Texas Limited Sales Tax Exemptions Certificates will be furnished upon request. Respondents shall not charge for said taxes. If billed, City will not remit payment until invoice is corrected.
9. **RESPONDENT RESPONSIBILITES:**
- 9.1. The respondent shall comply with all federal, state and local laws, statutes, ordinances, rules and regulations, and the orders and decrees of any court or administrative bodies or tribunals in any matter affecting the performance of the contract including, if applicable, workers' compensation laws, minimum and maximum salary and wage statutes and regulations, and licensing laws and regulations. When required, respondent shall furnish the City with satisfactory proof of its compliance.
- 9.2. The Respondent shall fully and timely provide all deliverables described in the Solicitation, Contract/Purchase Order and in the Respondent's response in strict accordance with the terms, covenants, and conditions of the Agreement and all applicable Federal, State, and Local laws, rules and regulations.
10. **AWARD OF CONTRACT:**
- 10.1. A response to a solicitation is an offer to contract with the City based on the terms, conditions and specifications contained in the solicitation. Responses do not become contracts unless it is accepted through an authorized signed approved City Contract.
- 10.2. This contract shall be conducted in accordance with Texas Local Government Code Chapter 252. The contract shall consist of the RFP; any questions and answers and/or addenda as a result of the submitted written questions; the Successful Respondent's response; any City request for a Best and Final Offer; any successful respondent's Best and Final offer; the

Notice of Award; and any subsequent written amendments agreed to by the City and the Respondent (the "Contract Documents").

10.3. Any contract resulting from this solicitation is subject to cancellation, without penalty, either in whole or in part, if the funding is not appropriated by the City of Round Rock. The contract for this procurement shall be governed, construed and interpreted under the laws of the State of Texas.

10.4. This contract is void if sold or assigned to another company without written approval of the City. Written notification of changes to company name, address, telephone number, etc. shall be provided to the City designated Project Leader(s) and Contract Administrator as soon as possible, but not later than thirty (30) days from the date of change.

11. SPECIFICATIONS: The services performed shall be in accordance with the purchase specifications herein. The City shall decide the answers to all questions that may arise as to the interpretation of the specifications and the quality, or acceptability of work performed. The City shall decide the rate of progress of the work and the acceptable fulfillment of the service on the part of the respondent.

12. PATENTS OR COPYRIGHTS: The respondent agrees to protect the City and each participating municipality from claims involving infringement of patent or copyrights.

13. RESPONDENT ASSIGNMENTS: The successful respondent hereby assigns to purchaser, any and all claims for overcharges associated with any contract resulting from this RFP which arise under the antitrust laws of the State of Texas, Texas Business and Commercial Code Ann. Sec. 15.01, et seq. (1967).

14. DISPUTE RESOLUTION: If a dispute or claim arises under an Agreement, the parties agree to resolve the dispute or claim by appropriate internal means. If the parties cannot reach a mutually satisfactory resolution, any such dispute or claim will be sought to be resolved with the help of a mutually selected mediator. If the parties cannot agree on a mediator, City and Respondent shall each select a mediator and the two mediators shall agree upon a third mediator. Any costs and fees, other than attorney fees, associated with the mediation shall be shared equally by the parties.

City and Respondent hereby expressly agree that no claims or disputes between the parties arising out of or relating to the Agreement or a breach thereof shall be decided by any arbitration proceeding, including without limitation, any proceeding under the Federal Arbitration Act (9 USC Section 1-14) or any applicable state arbitration statute.

15. SUBSTITUTIONS: Substitutions are not permitted without the written approval of the City.

16. PUBLIC DISCLOSURE: No public disclosures or news releases pertaining to this RFP shall be made without prior written approval of the City. The respondent shall coordinate and obtain approval for the following activities, which include but are not limited to: orientation sessions, sales calls, customer user seminars, and general mailings to municipalities.

17. PUBLIC INFORMATION ACT: Information, documentation, and other material in connection with this solicitation or any resulting contract may be subject to public disclosure pursuant to Chapter 552 of the Texas Government Code (the "Public Information Act").

18. ANTI-LOBBYING AFFIDAVIT: By executing the response to the RFP, the Respondent agrees to the following terms and conditions of the RFP. From and after the deadline for submission of the initial response, RFP No. 14-019 – SHOP THE ROCK CAMPAIGN, the Respondent, its employees, officials, agents, and sub-Respondents shall not communicate or attempt to communicate about this RFP and the entity's response with City personnel, the evaluation committee members, and the other City officials involved in making recommendations or decisions for award of contracts arising

from this RFP; provided, however, the entity, its employees, officials, agents, and sub-Respondents shall be allowed to participate in the City sponsored evaluation process, in the form authorized.

Further, the Respondent shall not, through indirect means of unpaid associates, volunteers, or other persons, communicate or attempt to communicate about the Respondent's response to any City personnel, the evaluation committee members, or the other City officials involved in making recommendations or decisions for award of contracts arising from this RFP. The Respondent understands and agrees that violation of this requirement may result in rejection of its Proposal as a violation of the terms and conditions of the procurement process.

19. **EX-PARTE COMMUNICATION:** Please note that to insure the fair evaluation of a solicitation, the City prohibits ex parte communication (e.g., unsolicited) initiated by the Respondent to a City representative evaluating or considering the solicitations prior to the time a decision has been made. Communication between Respondent and the City will be initiated by the appropriate City designee in order to obtain information or clarification needed to develop an accurate evaluation of the solicitation. Ex parte communication may be grounds for disqualifying the offending Respondent from consideration for award.

20. **PROMPT PAYMENT POLICY:** Payments will be made in accordance with the Texas Prompt Payment Law, Texas Government Code, Subtitle F, Chapter 2251. The City will pay Vendor within thirty days after the acceptance of the supplies, materials, equipment, or the day on which the performance of services was completed or the day, on which the City receives a correct invoice for the supplies, materials, equipment or services, whichever is later. The Vendor may charge a late fee (fee shall not be greater than that which is permitted by Texas law) for payments not made in accordance with this prompt payment policy; however, this policy does not apply to payments made by the City in the event:
 - 20.1. There is a bona fide dispute between the City and Vendor concerning the supplies, materials, services or equipment delivered or the services performed that causes the payment to be late; or
 - 20.2. The terms of a federal agreement, grant, regulation, or statute prevent the City from making a timely payment with Federal Funds; or
 - 20.3. There is a bona fide dispute between the Vendor and a sub-contractor or between a sub-contractor and its suppliers concerning supplies, material, or equipment delivered or the services performed which caused the payment to be late; or
 - 20.4. The invoice is not mailed to the City in strict accordance with instructions, if any, on the purchase order or letter of engagement or other such contractual letter of engagement.

21. **NON-APPROPRIATION:** The resulting Agreement is a commitment of the City's current revenues only. It is understood and agreed the City shall have the right to terminate the Agreement at the end of any City fiscal year if the governing body of the City does not appropriate funds sufficient to purchase the estimated yearly quantities, as determined by the City's budget for the fiscal year in question. The City may affect such termination by giving Vendor a written notice of termination at the end of its then current fiscal year.

22. **DEFINITIONS, TERMS AND CONDITIONS:** Agreement or Letter of Engagement or on the face of a purchase order. Said Definitions, Terms and Conditions are subject to change without notice. It is the sole responsibility of Respondents to stay apprised of changes. The City's Definitions, Terms and Conditions can be obtained from the City's website <http://www.roundrocktexas.gov>

23. **INSURANCE:** The Respondent shall meet or exceed ALL insurance requirements set forth by the Insurance Requirements as identified on the City's website at <http://www.roundrocktexas.gov>

City of Round Rock
Audit Services
RFP No. 17-007
Class/Items: 918-04 & 946-20
February 2017

23.1. In addition, the Respondent shall obtain and maintain an errors and omissions insurance policy providing a prudent amount of coverage for the willful or negligent acts, or omissions of any officers, employees or agents thereof and shall continue to maintain the insurance policy in full force and effect during the term of an agreement entered into as a result of this solicitation.

24. ADDITIONAL TERMS AND CONDITIONS: In addition to the above General Terms and Conditions listed in Section IV, the City's Definitions, Terms and Conditions shall be enforced and part of the contract and can be obtained from the City's website at: <http://www.roundrocktexas.gov>

City of Round Rock

ATTACHMENT A

REFERENCE SHEET

NOTE: RESPONDENTS SHALL COMPLETE AND RETURN THIS ATTACHMENT WITH THEIR PROPOSAL. FAILURE TO DO SO MAY RESULT IN DISQUALIFICATION OF THE PROPOSAL.

Respondent (Company): _____

Name (Typed / printed): _____

Telephone number: _____

E-mail Address: _____

Provide the name, address, telephone number and E-mail address of at least three (3) references from firms of comparable size that have utilized similar service. Include description, contact names, position, company name, e-mail address and telephone number for each reference listed. Any negative responses received may be grounds for disqualification of the Proposal. City of Round Rock references are not applicable. References may be checked prior to contract award.

Description of Services: _____
Name of Contact: _____
Title of Contact: _____
Company Name: _____
E-Mail Address: _____
Telephone #: _____
Fax #: _____

Description of Services: _____
Name of Contact: _____
Title of Contact: _____
Company Name: _____
E-Mail Address: _____
Telephone #: _____
Fax #: _____

Description of Services: _____
Name of Contact: _____
Title of Contact: _____
Company Name: _____
E-Mail Address: _____
Telephone #: _____
Fax #: _____

City of Round Rock
ATTACHMENT B
ORGANIZATIONAL CHART – 2017



City of Round Rock

ATTACHMENT C

**RESPONDENT ESTIMATED HOURS AND FEES FOR SERVICES
 FISCAL YEAR 2017**

Please Complete and Return This Form with the Solicitation Response

SOLICITATION NO.: 17-007 – Audit Services

RESPONDENT’S NAME: _____ **DATE:** _____

TITLE	ESTIMATED HOURS	HOURLY RATE	TOTAL (Hours X Rate)
PARTNERS	_____	_____	_____
MANAGERS	_____	_____	_____
SUPERVISORY STAFF	_____	_____	_____
STAFF	_____	_____	_____
OTHER (Please Specify)			
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
TOTALS FOR FISCAL YEAR 2017	_____	_____	_____

FAILURE TO PROVIDE THE REQUIRED INFORMATION WITH THE SOLICITATION RESPONSE MAY AUTOMATICALLY DISQUALIFY THE RESPONSE FROM CONSIDERATION FOR AWARD.

City of Round Rock

**ATTACHMENT C
 RESPONDENT ESTIMATED HOURS AND FEES FOR SERVICES
 FISCAL YEAR 2018**

Please Complete and Return This Form with the Solicitation Response

SOLICITATION NO.: 17-007 – Audit Services

RESPONDENT’S NAME: _____ DATE: _____

TITLE	ESTIMATED HOURS	HOURLY RATE	TOTAL (Hours X Rate)
PARTNERS	_____	_____	_____
MANAGERS	_____	_____	_____
SUPERVISORY STAFF	_____	_____	_____
STAFF	_____	_____	_____
OTHER (Please Specify)			
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
TOTALS FOR FISCAL YEAR 2018	_____	_____	_____

FAILURE TO PROVIDE THE REQUIRED INFORMATION WITH THE SOLICITATION RESPONSE MAY AUTOMATICALLY DISQUALIFY THE RESPONSE FROM CONSIDERATION FOR AWARD.

City of Round Rock

ATTACHMENT C

RESPONDENT ESTIMATED HOURS AND FEES FOR SERVICES

FISCAL YEAR 2019

Please Complete and Return This Form with the Solicitation Response

SOLICITATION No.: 17-007 – Audit Services

RESPONDENT’S NAME: _____ **DATE:** _____

TITLE	ESTIMATED HOURS	HOURLY RATE	TOTAL (Hours X Rate)
PARTNERS	_____	_____	_____
MANAGERS	_____	_____	_____
SUPERVISORY STAFF	_____	_____	_____
STAFF	_____	_____	_____
OTHER (Please Specify)			
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
TOTALS FOR FISCAL YEAR 2019	_____	_____	_____

FAILURE TO PROVIDE THE REQUIRED INFORMATION WITH THE SOLICITATION RESPONSE MAY AUTOMATICALLY DISQUALIFY THE RESPONSE FROM CONSIDERATION FOR AWARD.

City of Round Rock

**ATTACHMENT C
 RESPONDENT ESTIMATED HOURS AND FEES FOR SERVICES
 FISCAL YEAR 2020**

Please Complete and Return This Form with the Solicitation Response

SOLICITATION NO.: 17-007 – Audit Services

RESPONDENT’S NAME: _____ DATE: _____

TITLE	ESTIMATED HOURS	HOURLY RATE	TOTAL (Hours X Rate)
PARTNERS	_____	_____	_____
MANAGERS	_____	_____	_____
SUPERVISORY STAFF	_____	_____	_____
STAFF	_____	_____	_____
OTHER (Please Specify)			
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
TOTALS FOR FISCAL YEAR 2020	_____	_____	_____

FAILURE TO PROVIDE THE REQUIRED INFORMATION WITH THE SOLICITATION RESPONSE MAY AUTOMATICALLY DISQUALIFY THE RESPONSE FROM CONSIDERATION FOR AWARD.

City of Round Rock

**ATTACHMENT C
 RESPONDENT ESTIMATED HOURS AND FEES FOR SERVICES
 FISCAL YEAR 2021**

Please Complete and Return This Form with the Solicitation Response

SOLICITATION NO.: 17-007 – Audit Services

RESPONDENT’S NAME: _____ DATE: _____

TITLE	ESTIMATED HOURS	HOURLY RATE	TOTAL (Hours X Rate)
PARTNERS	_____	_____	_____
MANAGERS	_____	_____	_____
SUPERVISORY STAFF	_____	_____	_____
STAFF	_____	_____	_____
OTHER (Please Specify)			
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
TOTALS FOR FISCAL YEAR 2021	_____	_____	_____

FAILURE TO PROVIDE THE REQUIRED INFORMATION WITH THE SOLICITATION RESPONSE MAY AUTOMATICALLY DISQUALIFY THE RESPONSE FROM CONSIDERATION FOR AWARD.

City of Round Rock

**ATTACHMENT C
 RESPONDENT ESTIMATED HOURS AND FEES FOR SERVICES
 FISCAL YEAR 2022**

Please Complete and Return This Form with the Solicitation Response

SOLICITATION NO.: 17-007 – Audit Services

RESPONDENT’S NAME: _____ DATE: _____

TITLE	ESTIMATED HOURS	HOURLY RATE	TOTAL (Hours X Rate)
PARTNERS	_____	_____	_____
MANAGERS	_____	_____	_____
SUPERVISORY STAFF	_____	_____	_____
STAFF	_____	_____	_____
OTHER (Please Specify)			
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
TOTALS FOR FISCAL YEAR 2022	_____	_____	_____

FAILURE TO PROVIDE THE REQUIRED INFORMATION WITH THE SOLICITATION RESPONSE MAY AUTOMATICALLY DISQUALIFY THE RESPONSE FROM CONSIDERATION FOR AWARD.

City of Round Rock

ATTACHMENT D

PROPOSAL SUBMITTAL FORM AND EXECUTION OF PROPOSAL

NOTE: RESPONDENTS SHALL COMPLETE AND RETURN THIS ATTACHMENT WITH THEIR PROPOSAL. FAILURE TO DO SO MAY RESULT IN DISQUALIFICATION OF THE PROPOSAL.

By signature hereon, the Respondent certifies that:

All statements and information prepared and submitted in the response to this RFP are current, complete and accurate.

He/she has not given, offered to give, nor intends to give at anytime hereafter, any economic opportunity, future employment, gift, loan gratuity, special discount, trip, favor, or service to a City employee in connection with the submitted response. Failure to sign the Execution of Proposal or signing it with a false statement shall void the submitted offer or any resulting contracts.

Respondent represents and warrants that the individual signing this Execution of Proposal is authorized to sign this document on behalf of the Respondent and to bind the Respondent under any contract resulting from this request for proposals.

RESPONDENT (COMPANY): _____

SIGNATURE (IN INK): _____

NAME (TYPED/PRINTED) _____

TITLE: _____ **DATE:** _____

STREET: _____

CITY/STATE/ZIP: _____

TELEPHONE AND FACSIMILE NO.: _____

E-MAIL ADDRESS: _____

FEDERAL TAX IDENTIFICATION NUMBER (FIN): _____

By submitting a response to this solicitation, the Respondent agrees that the City's standard Definitions, Terms and Conditions, in effect at the time of release of the solicitation, shall govern unless specifically provided otherwise in a separate agreement or on the face of a purchase order. Said Definitions, Terms and Conditions are subject to change without notice. It is the sole responsibility of respondents to stay apprised of changes. In addition to the above General Terms and Conditions listed in Section IV, the City's Definitions, Terms and Conditions shall be enforced and part of the contract and can be obtained from the City's website at: <http://www.roundrocktexas.gov>

City of Round Rock

ATTACHMENT E

ADDENDUM ACKNOWLEDGMENT FORM

NOTE: IF ADDENDUMS HAVE BEEN ISSUED, RESPONDENTS SHALL COMPLETE AND RETURN THIS ATTACHMENT WITH THEIR PROPOSAL. FAILURE TO DO SO MAY RESULT IN DISQUALIFICATION OF THE PROPOSAL.

ADDENDA ACKNOWLEDGMENT: The undersigned acknowledges the receipt of the following Addenda:

Addendum #: _____ **Dated:** _____

Addendum #: _____ **Dated:** _____

Addendum #: _____ **Dated:** _____

Addendum #: _____ **Dated:** _____

Addendum #: _____ **Dated:** _____

Respondent (Company): _____

Signature (in ink): _____

Name (Typed/printed): _____

Title: _____ **Date:** _____