

**TRI-COUNTY REGIONAL PLANNING COMMISSION**

**Request for Proposals  
Audit Services**

**For the Period  
July 1, 2011 – June 30, 2012**

**Inquiries and Proposals should be directed to:**

**Linda Abts, Office Manager  
Tri-County Regional Planning Commission  
211 Fulton Street, Suite 207  
Peoria Illinois 61602  
309-673-9330**

I. General Information

A. Purpose

This Request for Proposal (RFP) is to contract for a financial and compliance audit for the year ending June 30, 2012. The proposal includes two one-year options for Tri-County Regional Planning Commission to extend the contract on the terms described herein.

B. Who May Respond

Only licensed Certified Public Accountants may respond to this RFP.

C. Instructions on Proposal Submission

1. Proposals must be received no later than 4:30 p.m. on April 23, 2012.
2. Inquiries concerning this RFP should be directed to Linda Abts at (309) 673-9330.
3. All costs incurred in the preparation of a proposal responding to this RFP will be the responsibility of the Offeror and will not be reimbursed by Tri-County Regional Planning Commission.
4. Proposals should be addressed as follows:

Linda Abts, Office Manager  
Tri-County Regional Planning Commission  
211 Fulton Street, Suite 207  
Peoria Illinois 61602

It is important the Offeror's proposal be submitted in a sealed envelope clearly marked in the lower left-hand corner with the following information:

Request for Proposal  
4:30 p.m. April 23, 2012  
SEALED PROPOSAL  
For Audit Services

Failure to do so may result in premature disclosure of your proposal. Further, it is the responsibility of the Offeror to insure that the proposal is received by the Commission by the time and date specified above. Late proposals will not be considered.

5. Right to Reject

The Commission reserves the right to reject any and all proposals received by reason of this request, or to negotiate separately in any manner necessary to serve the best interest of the Commission. A contract for the accepted proposal will be based upon the factors described in this RFP.

#### 6. Notification of Award

It is expected that a decision selecting the successful audit firm will be made within one (1) week of the closing date for the receipt of proposals. Upon the conclusion of the final negotiations with the successful audit firm, all Offerors submitting proposals in response to this RFP will be informed, in writing, of the name of the successful audit firm.

It is expected that the contract shall be a one-year fixed price contract with the options for two additional one-year periods.

#### D. Description of Entity, Programs, and Records to be Audited

Tri-County Regional Planning Commission is a non-profit organization administering primarily Illinois Department of Transportation and Peoria/Pekin Urbanized Area Transportation Study (PPUATS) funds serving three counties in Central Illinois. It is governed by a volunteer Board of Directors.

Records to be audited include, but are not limited to, client files and financial and administrative records. Upon request, records to be audited will be made available for review by the Offeror prior to proposal submission.

Grants to be covered in the scope of the audit include funding provided by the State of Illinois through the programs of Federal Highway Administration planning (PL), Federal Transit Administration Section 5303 (FTA 5303), and Federal Transit Administration Section 5307 (FTA 5307). Further, local matching funds for these grants are provided by the Local PPUATS agencies. Other miscellaneous and immaterial revenues are also received by the Commission, such as USDA Forest Management Program, HUD Sustainability Program, and ARRA EECBG Program. Total revenues for the Commission for FY June 30, 2011, did not exceed \$2,022,929.

Separate bank accounts are not maintained for each grant fund; instead, the funds maintain their cash balances in a common checking account, with accounting records being maintained to allocate disbursement to the appropriate fund. Approximately 500 checks per year are written on this account. Further, payroll and related payroll tax return filings are processed using the outside contract Automatic Data Processing (ADP). An automated accounting system is maintained using software by QuickBooks Pro, and reports and ledgers are prepared using this accounting system.

#### E. Options

At the discretion of Tri-County Regional Planning Commission, this audit contract can be extended for two additional one-year periods. The cost for the option will be agreed upon by the Commission and the Offeror. It is anticipated that the cost for the optional years will be based upon the same approximate cost per thousand dollars of audited expenditures as the contract for the initial period.

#### F. Delivery Schedule

Field work relating to this RFP can begin after September 15, 2012.

The audit report pursuant to the RFP must be submitted to the Commission in accordance with the following schedule:

Draft Report:	100% submitted by November 15, 2012
Final Report:	100% submitted by December 6, 2012

The audit schedule for the two optional one-year periods will be determined at a later date by the Commission.

#### G. Price

The Offeror's proposed price should be clearly submitted, including any out-of-pocket expenses.

#### H. Payment

Payment will be made in the following increments: 50% upon completion and acceptance of a draft report and the balance due upon presentation of a final report approved by the Commission. Should the Commission reject a report, notification will be given the Offeror in writing of such rejection giving the reason(s). The right to reject a report shall extend throughout the term of this contract and for ninety (90) days after the Offeror submits a bill for the balance due on the contract for audit.

#### I. Confidentiality

The Offeror agrees to keep the information related to all contracts in strict confidence.

#### J. Offeror's Technical Qualifications

The Offeror shall describe its qualifications, including prior auditing experience, size and structure of organization, staff qualifications, understanding of work to be performed, and signed copy of the Certifications enclosed with this RFP. The publications listed in the Certifications will not be provided to potential Offerors by the Commission because the Commission desires to contract only with an Offeror who is already familiar with these publications.

## K. Evaluation

Evaluation of each proposal will be based on the following:

1. Prior related auditing experience (30 points)
2. Offeror's structure and size in relation to audit to be performed (10 points)
3. Qualifications of staff to be assigned (25 points)
4. Offeror's understanding of work to be performed (15 points)
5. Price (20 points)

## L. Review Process

The Commission may, at its discretion, request presentations by or meetings with any or all Offerors, to clarify or negotiate modifications to the Offeror's proposals. However, the Commission reserves the right to make an award without further discussion of the proposals submitted. Therefore, proposals should be submitted initially on the most favorable terms, from both technical and price standpoints, which the Offeror can propose.

The Commission contemplates award of the contract to the responsible Offeror with the highest total points.

**CERTIFICATIONS**

On behalf of the Offeror the individual signing certifies that:

- A. He/she is authorized to contract on behalf of the Offeror.
- B. The Offeror is not involved in any agreement to pay money or other consideration for the execution of this agreement, other than to an employee of the Offeror.
- C. The prices in this proposal have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition.
- D. The prices quoted in this proposal have not been knowingly disclosed by the Offeror prior to an award to any other Offeror or potential Offeror.
- E. There has been no attempt by the Offeror to discourage any potential Offeror from submitting a proposal.
- F. The Offeror is a properly licensed certified public accountant, or a public accountant licensed on or before December 31, 1970.
- G. The Offeror meets the independence standards of the Government Auditing Standards (2003 Revision).
- H. He/she is aware of and will comply with the GAO Continuing Education Requirement of 80 hours of continuing education every two years; and that 24 hours of the 80 hours education will be in subjects directly related to the government environment and to government auditing for individuals.
- I. He/she is aware of and will comply with the GAO requirement of an external peer or quality review at least once every three years.
- J. He/she has read and understands the following publications relative to the proposed audit:
  - 1. Government Auditing Standards (1988 Revision)
  - 2. OMB Circular A-133, "Audits of Institutions of Higher Education and other Nonprofit Organizations," as amended in 1996, 1997, and 2003, and as further provided in the OMB Circular A-133 Compliance Supplement."
  - 3. Guidelines for Financial and Compliance Audits of Federally Assisted Programs
  - 4. U.S. Department of Labor Codification of the Common Rule
  - 5. 56 Illinois Administrative Code – Part 2600
  - 6. The Appropriate AICPA Audit Guides
  - 7. OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organization, as amended through September 1999.
  - 8. OMB Circular A-122, Cost Principles for Nonprofit Organization (June 1980)
  - 9. OMB Circular A-133, Audits of State and Local Governments and Non-Profit Organizations
- K. He/she has read and understands all of the information in the Request for Proposal, including the information on the programs to be audited.
- L. The Offeror and any individuals to be assigned to the audits do not have a record of substandard audit work and has not been debarred or suspended from doing work with any federal, state or local government. (If the Offeror or any individual to be assigned to the audits has been found in violation of any state or AICPA professional standards, this information must be disclosed.)
- N. The Offeror will comply with applicable lobbying restrictions as established in the Code of Federal Regulations.

Date:	Offeror's Firm Name:
Signature of Offeror's Representative:	Printed Name and Title of Individual Signing: