

# Request For Proposals

## FY2022/23 – FY2024/25 AUDIT SERVICES



**SAN GABRIEL VALLEY REGIONAL OCCUPATIONAL  
PROGRAM**

**REQUEST FOR PROPOSALS FOR  
AUDIT SERVICES**

**RFP No. 22/23-001**

Submission Due by 5:00 PM on February 10, 2023

To:

Ivan Tani – Chief Business Official

[rfpbids@sgvrop.org](mailto:rfpbids@sgvrop.org)

**NOTICE TO AUDIT FIRMS CALLING FOR BIDS (ADVERTISEMENT)  
AUDIT SERVICES**



SAN GABRIEL VALLEY REGIONAL OCCUPATIONAL PROGRAM  
1134 S. BARRANCA AVE.  
GLENDDORA, CA 91740  
(626) 472-5121  
[www.sgvrop.org](http://www.sgvrop.org)

BUSINESS SERVICES DEPARTMENT  
RFP NO. 22/23-001  
DUE DATE: FEBRUARY 10, 2023  
AT 5:00 P.M.

**NOTICE IS HEREBY GIVEN** that the **San Gabriel Valley Regional Occupational Program** (hereinafter called DISTRICT) 1134 S Barranca Ave, Glendora, County of Los Angeles, State of California, 91740 acting by and through its Governing Board, will receive sealed proposals for the award of **Auditing Services, RFP No. 22/23-001**.

All proposals shall be made on form(s) furnished by the DISTRICT. Proposals must be received in the office of the Chief Business Official **by 5:00 p.m. on February 10, 2023**. Proposals must conform with and be responsive to the contract documents, copies of which are on file and may be obtained from the office of the Chief Business Official.

The San Gabriel Valley Regional Occupational Program and its board of trustees reserve the right to accept or reject any or all proposals in whole or in part, to be the sole judges of the merits and qualifications of items offered, to waive any informality in the proposal and to not necessarily accept the lowest proposal offered. The delivery date, specifications and quality of the items will be considered when making the selection.

Ivan Tani  
Chief Business Official  
Publish: January 23, 2023 & February 6, 2023  
**RFP Open Date/Time: January 23, 2023. 8:00 a.m.**  
**RFP Due Date/Time: February 10, 2023. 5:00 p.m.**

## 1. GENERAL INSTRUCTIONS

### A. Submittal of Proposals

Proposals should be reviewed for accuracy before submission to the district since proposals may not be adjusted after submission to the district. The district will not be responsible for errors or omissions in any proposals. The district reserves the right to reject all proposals, or to waive any irregularities, or informalities in the proposals.

Written proposals must be received in the District's Office located at 1134 S. Barranca Ave., Glendora, CA 91740 by no later than **5:00 p.m. on February 10, 2023**. Proposal packages must be clearly marked, "RFP NO. 22/23-001 Business Services, Attn: Ivan Tani."

Electronic proposals must be received via email [rfpbids@sgvrop.org](mailto:rfpbids@sgvrop.org) no later than **5:00 p.m. on February 10, 2023**. Proposal packages must be clearly marked in the Subject line, "RFP NO. 22/23-001 Business Services, Attn: Ivan Tani."

For the Proposer's response to be accepted, Attachment 1 and 2 must be submitted in their entirety. **Failure to provide signatures on required forms may result in rejection of proposal.**

### B. Signatures

All proposals must include a signature of an authorized officer of the accounting firm submitting the proposal. The name and title of the person shall be included following the signature.

### C. Disqualified Proposals

Any proposal received after **5:00 p.m. on February 10, 2023**, will be refused and returned to the firm unopened.

### D. Withdrawal of Proposals

A firm may withdraw its proposal, either personally or by written request, at any time before the proposal due date and time.

### E. Copies of Proposal

Each accounting firm submitting a written proposal must include the original, plus four (4) copies of the original. A total of five (5) packages shall be submitted.

### F. Contacts

To control information disseminated regarding this request, firms interested in submitting proposals are directed **not** to make personal contact with members of the district and district administration except for the individual listed below:

Ivan Tani  
Chief Business Official  
1134 S. Barranca Ave.  
Glendora, CA 91740  
626-364-2280

G. Audit Scope and Standards

The audit shall be performed in accordance with requirements of Education Code Section 41020, 41020.2, 41020.3 and 41020.8 and shall include all funds of the district, and any other funds and accounts under the control or jurisdiction of the district. The intent of the code is to encourage sound fiscal management practices among schools for the most efficient and effective use of public funds for education in California by strengthening fiscal accountability at the District, County, and State levels.

In addition, the audits of Local Educational Agencies (LEA's) shall be performed in accordance with general accepted auditing standards, as promulgated by the AICPA, generally accepted government auditing standards for financial and compliance audits, the U.S. General Accounting Office (GAO) in Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and the standards issued by the Office of the State Controller in Standards and Procedures for Audits of California K-12 Local Educational Agencies. When applicable, the audits must also be made in accordance with the requirements established by Circular A-133, Audits of State and Local Governments, issued by the U.S. Office of Management and Budget (OMB).

SCOPE OF WORK:

- A. The required annual district financial audit and data collection (SF- SAC) form
- B. Title IV Single Audit filing and compliances (if applicable)
- C. Assistance with GASB 34 conversion entries
- D. Presentation at Board of Education and committee meetings as requested
- E. The auditor's report on the study and evaluation of internal control systems together with findings and recommendations. (Separate price quotation)

H. Evaluation / Scoring Criteria

The district may consider the following factors in rating respondents:

- a. Price
- b. Responsiveness to request for proposal
- c. General information form responses
- d. Related experience
- e. Staff qualifications
- f. Company profile
- g. References

I. Tentative Schedule of Events:

RFP issuance and advertisement	01/23/2023 & 02/06/2023
Request for information via email	01/30/2023 – 02/03/2022
RFP open date	01/23/2023 8:00 AM
RFP due date	02/10/2023 5:00 PM
Proposal evaluations and scoring	02/13/2023 – 02/24/2023
Contract negotiations with viable audit firm	02/27/2023 – 03/03/2023
Contracts request to board	03/14/2023
Contract execution / award (upon approval)	03/20/2023 – 03/24/2023

**ATTACHMENT 1****PROPOSAL FORM***This form must be included in proposal package*

This proposal form must be duly executed and submitted with any proposal to SGVROP.

The Offeror hereby agrees that its proposal is subject to all **RFP No. 22/23-001 AUDITING SERVICES** provisions, terms and conditions, attachments, exhibits, amendments, and other applicable materials which are attached or incorporated by reference. Proposer hereby agrees to promptly enter into an agreement in substantial accordance with such RFP provisions, terms, and conditions.

The Offeror hereby agrees that its attached proposal of which this is part, is a firm irrevocable offer and valid for acceptance by SGVROP for the period through and including June 30, 2023. The Offeror hereby agrees that if its proposal is accepted by SGVROP that it shall provide the audit services in accordance with the RFP, as it may be amended. The term of this contract shall be for a period of three (3) years, with by mutual consent, the ability to renew in 1-year increments, for up to no more than five (5) years.

Audit Services Fee \$ \_\_\_\_\_  
(Not to exceed) for Fiscal Year 2022-2023 ending June 30, 2023

Audit Services Fee \$ \_\_\_\_\_  
(Not to exceed) for Fiscal Year 2023-2024 ending June 30, 2024

Audit Services Fee \$ \_\_\_\_\_  
(Not to exceed) for Fiscal Year 2024-2025 ending June 30, 2025

Title IV Single Audit Fee \$ \_\_\_\_\_ (if applicable)  
(Not to exceed) for Fiscal Year 2022-2023 ending June 30, 2023

Title IV Single Audit Fee \$ \_\_\_\_\_ (if applicable)  
(Not to exceed) for Fiscal Year 2023-2024 ending June 30, 2024

Title IV Single Audit Fee \$ \_\_\_\_\_ (if applicable)  
(Not to exceed) for Fiscal Year 2024-2025 ending June 30, 2025

Auditor's report on evaluation of internal control system fee \$ \_\_\_\_\_  
(Not to exceed) for Fiscal Year 2022-2023 ending June 30, 2023

Auditor's report on evaluation of internal control system fee \$ \_\_\_\_\_  
(Not to exceed) for Fiscal Year 2023-2024 ending June 30, 2024

Auditor's report on evaluation of internal control system fee \$ \_\_\_\_\_  
(Not to exceed) for Fiscal Year 2024-2025 ending June 30, 2025

Name of Person Duly Authorized to Execute this Proposal/Offer:

Duly Authorized Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Date of this Proposal/Offer: \_\_\_\_\_

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

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

Offeror Telephone: \_\_\_\_\_

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

**ATTACHMENT 2**

**GENERAL INFORMATION**

*This form must be included in proposal package*

The Offeror shall furnish all the following information accurately and completely. Failure to comply with this requirement may cause a proposal rejection. Additional sheets may be attached if necessary. “You” or “your” as used herein refers to the Offeror’s firm and/or any of its owners, officers, directors, shareholders, parties, or principals.

If the same information is provided elsewhere in your proposal and qualification materials, then please clearly identify such in the following questions.

Please be advised that the district may request verbal or written clarifications or additional information or an interview or presentation at any time.

(1) Firm name, address and contact information.

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(2) Telephone: \_\_\_\_\_ Facsimile: \_\_\_\_\_

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

(3) Type of firm: (check one) Individual \_\_\_\_\_ Partnership \_\_\_\_\_ Corporation \_\_\_\_\_ State \_\_\_\_\_

(4) Names and titles of all principals/officers of the firm:

NAME	TITLE	PHONE NUMBER

Name of individual(s) who will be responsible for the SGVROP account.

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(5) Please list any applicable certifications and licenses and the associated numbers:

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(6) Have you or any of your principals ever conducted similar services under a different name or certification or different license number?

a. If yes, give firm name, address and certification or license number.

- (i) Name: \_\_\_\_\_  
(ii) Address: \_\_\_\_\_  
(iii) License No. (if any) \_\_\_\_\_

(7) How many years has your firm been in business under its present business name? \_\_\_\_\_

(8) How many years of experience does your firm have providing similar services? \_\_\_\_\_

(9) How many public agencies has your firm provided similar services for? \_\_\_\_\_

(10) How many ROP agencies has your firm provided similar services for? \_\_\_\_\_

(11) Please list the public agencies including School Districts, ROP, JPA and the like, that your firm has provided similar services for.

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(12) Please attach a short history of the firm including whether it is local, national, or international as well as approximate number of employees. Also provide the number of firm offices and locations.

(13) Please attach a copy of your firm's most recent financial statement or other financial instruments that would establish your firm's ability to complete its obligations under any agreement resulting from the request for proposal.

(14) Please attach or list below why your firm should be selected by the district to provide the solicited services.

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(15) Have you or any of your principals been in litigation or arbitration of any kind on a question or questions relating to similar services involving a school or community college district during the prior five (5) years? Yes \_\_\_\_\_ No \_\_\_\_\_

a. If yes, provide the name of the public agency and briefly detail the dispute.

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- (16) Have you ever had a services agreement terminated for convenience or default in the prior five (5) years? Yes \_\_\_\_\_ No \_\_\_\_\_  
 a. If yes, provide details and name of the other party.

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- (17) Is your firm, owners, and/or any principal or manager involved in or is your firm aware of any pending litigation regarding professional misconduct, bad faith, discrimination, or sexual harassment? Yes \_\_\_\_\_ No \_\_\_\_\_  
 a. If yes, provide details.

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- (18) Is your firm, owners, and/or any principal or manager involved in or is your firm aware of any pending disciplinary action and/or investigation conducted by any local, state, or federal agency? Yes \_\_\_\_\_ No \_\_\_\_\_  
 a. If yes, provide details.

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- (19) Does your firm maintain errors and omissions coverage?

If so, please provide a current copy of the declaration page showing the maximum liability or policy value.

- (20) Will your firm comply with all districts, local, state, and federal legal requirements, regulations, and laws? Yes \_\_\_\_\_ No \_\_\_\_\_

- (21) Please provide any other information that may assist the district in ascertaining your qualifications, capability, and customer service under any resultant agreement.

- (22) Have you ever had any direct or indirect business, financial or other connection with any official, employee or consultant of the district? Identify any conflict or interest in (a):

- a. Please elaborate and discuss any potential, apparent or actual conflict of interest.

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(23) Each firm must include the following references:

- a. List at least three (3) clients for whom you have provided similar services. Show the names, addresses, and telephone numbers of the persons who can be contacted. Information obtained through the references will be evaluated by the district.

NAME	ADDRESS	PHONE NUMBER

(24) Each firm must include a copy of a recent audit report that your firm completed for another California school district.

I certify and declare under penalty of perjury under the laws of the State of California that the foregoing information required of Offeror pages one (1) through eight (8) is true and correct.

Executed this \_\_\_\_\_ day of \_\_\_\_\_ State of \_\_\_\_\_

\_\_\_\_\_  
 City County

\_\_\_\_\_  
 Print Name

\_\_\_\_\_  
 Signature

\_\_\_\_\_  
 Title

**NON-COLLUSION AFFIDAVIT**  
*(Public Contract Code Section 7106)*

\_\_\_\_\_, deposes and says that  
 (Authorized Representative)

he/she is \_\_\_\_\_ of \_\_\_\_\_,  
 (Title) (Contractor/Firm Name)

the party providing the foregoing proposal; that the proposal is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation; that the proposal is genuine and not collusive or sham; that the respondent has not directly or indirectly colluded, conspired, connived, or agreed with anyone else to put in a sham proposal; that the respondent has not in any manner, directly or indirectly, sought by agreement, communication, or conference with anyone to fix the proposal price, or to fix any overhead, profit, or cost element of the proposal price, or of that of any other respondent, or to secure any advantage against the public body awarding the contract of anyone interested in the proposed contract; that all statements contained in the proposal are true; and, further, that the respondent has not, directly or indirectly, submitted his or her price or any breakdown thereof, or the contents thereof, or divulged information of date relative thereto, or paid, and will not pay, any fee to any corporation, partnership, company association, organization, proposal depository, or to any member of agent thereof to effectuate a collusive or sham proposal.

Signature: \_\_\_\_\_

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

**ATTACHMENT 3****PROPOSAL EVALUATION SHEET***Informational - For District Use Only*

<b>EVALUATION / SCORING CRITERIA</b>	<b>POINTS</b>
▪ Price / Cost proposal (Attachment 1)	40
▪ Responsiveness to request for proposal <ul style="list-style-type: none"> <li>• Timeline to submit RFP</li> </ul>	5
▪ General information form responses (Attachment 2) <ul style="list-style-type: none"> <li>• Clear, demonstrated understanding of the work to be performed</li> <li>• Appropriateness/adequacy of the responses</li> </ul>	5
▪ Related experiences of the firm (Attachment 2, questions 8 – 11)	15
▪ Qualifications of principals and staff (Attachment 2, questions 4 – 5) <ul style="list-style-type: none"> <li>• Position in the firm and years/types of experiences</li> <li>• Education/continuing ed/training during the last three years</li> </ul>	10
▪ Company profile (Attachment 2, questions 12 – 13, 15 – 19, 21)	15
▪ References (Attachment 2, question 23)	10