

**REQUEST FOR PROPOSALS
FOR
Independent Professional Audit Services**

Cover Page

Please Complete and Return This Form With Your Proposal

Issue Date:

Title: Independent Professional Audit (IPA) Services

Period of Contract:

Initial - From July 1, 2018 – June 30, 2019

(Renewable two additional years thereafter, based upon performance)

Due Date:

March 21, 2019 2:00 PM, CST

Delivery Address:

Plano Housing Authority (P H A)

1740 G. Avenue

Plano, Texas 75074

Attention: Earnest Burke – Executive Director

IN COMPLIANCE WITH THIS REQUEST FOR PROPOSALS AND TO ALL THE CONDITIONS IMPOSED HEREIN, THE UNDERSIGNED OFFERS AND AGREES TO FURNISH THE SERVICES IN ACCORDANCE WITH THE SIGNED PROPOSAL, OR AS MUTUALLY AGREED UPON THROUGH SUBSEQUENT NEGOTIATION, THE UNDERSIGNED FURTHER CERTIFIES THAT HE/SHE IS AUTHORIZED TO SIGN THIS DOCUMENT ON BEHALF OF THE SUBMITTING FIRM.

Name of Firm:

Address:

City, State, Zip:

Telephone Number:

FAX Number:

E-Mail of Contact:

Signature of Person

Submitting Proposal:

Printed or Typed

Name:

Title:

NOTE: Changes to this RFP may be issued in the form of addenda at any time prior to the due date and time for submitting proposals. All persons who request a copy of this RFP will be given a copy of all addenda promptly after all addenda are issued.

I. INFORMATION FURNISHED BY REQUESTER

A. Submission of Proposals

1. Requester of Proposals and Recipient Organization

Plano Housing Authority (PHA)
1740 G. Avenue
Plano, Texas 75074

2. Contract Administrator

Earnest Burke
Executive Director
Housing Authority of Plano, Texas
1740 G. Avenue
Plano, Texas 75074
(972) 423-4928

3. Closing Date and Delivery Address

The proposal should be delivered to the requester at the following address on or before 2:00 P.M. on March 21, 2019.

Plano Housing Authority
1740 G. Avenue
Plano, Texas 75074
Attention: Mr. Earnest Burke

Late proposals will not be considered.

Comments on specification or other provisions in this Request for Proposals may be submitted in writing by fax, mail and e-mail (eburke@planoha.org) to Mr. Earnest Burke, at 1740 G. Avenue Plano, TX 75074., before 12:00 PM, 972 – 516 - 0251, (fax) on March 4, 2019. Addendums and/or clarifications will be e-mailed or faxed to all prospective offerors no later than March 7, 2019.

B. Nature of Services Required

1. Purpose of Request

The purpose of this request is to obtain the services of a qualified source to provide Independent Professional Audit (IPA) Services for Plano Housing Authority (PHA) starting for Fiscal Year beginning July 1, 2018 to June 30, 2019.

2. Term of Contract

One year term, with two one year extensions renewable each year based upon performance.

3. Scope of Services

- a. Financial Audit – The Independent Auditor will examine all funds of the Housing Authority of Plano, Texas (**PHA**) to perform a comprehensive audit of all PHA programs (listed below) for fiscal year ending June 30, 2019 and through fiscal year ending June 30, 2020. The Financial Audit for fiscal year ending June 30, 2019 should be completed and submitted to the P H A Board of Commissioners by February 1, 2019; for FYE June 30, 2020 should be completed and submitted by February 1, 2021; and for FYE June 30, 2021 should be submitted by February 1, 2022.
 - o Low Income Public Housing (23 Units),
 - o Capital Fund Program,
 - o Section 8 (953 Units),
 - o Approximately 80 portable vouchers administered by PHA,
 - o Public Facility Corporation (no activity to date)
- b. The auditor shall submit the annual completed and approved audit data and schedules to the Real Estate Assessment Center, electronically (deadline is March 30 for each year), upon audit completion. A Management Letter shall be submitted to the Governing Body of the PHA of recommendations to strengthen internal controls upon audit completion.
- c. The selected proposer must perform a financial and compliance audit of the Housing Authority and all of its activities in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in the Government Auditing Standards, issued by the Comptroller General of the United States and OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”, and other guidelines as typically required.

The auditor shall determine whether the auditee’s financial statements are fairly presented in all material respects in conformity with generally accepted accounting principles (GAAP). The auditor shall also determine whether the schedule of expenditure of Federal awards is presented fairly in all material respects in relation to the auditee’s financial statements taken as a whole.

The auditor shall perform procedures to obtain an understanding of the auditee’s internal control systems.

The auditor shall determine whether the auditee has complied with laws, regulations, and the provisions of contracts or grant agreements that may have a direct and material impact on each of its major programs.

The auditor shall complete and sign specified sections of the data collection form.

The auditor’s report shall include:

An opinion on financial statements and schedule of expenditure of Federal awards

A report on Internal Control
A report on Compliance
A schedule of findings and questioned costs, if any

The auditor shall retain working papers for a minimum of 3 years after the date of issuance of the auditor's report to the auditee. Audit working papers shall be made available upon request to the cognizant or oversight agency for audit or its designee. Access to working papers includes the right of Federal agencies to obtain copies of working papers, as is reasonable and necessary.

The auditor shall prepare the Audit Engagement Letter in accordance with AICPA standards. This letter is a formal contract between the auditor and the auditee. It confirms the auditor's acceptance of the appointment and documents the agreed-upon scope and terms of the engagement.

The auditor shall perform compliance testing for HUD governed programs in accordance with applicable rules, regulations and procedures.

All proposed work shall include any required assistance and verification to ensure on time submission of the audited Financial Data Schedule to Real Estate Assessment Center (HUD).

Respondents must provide the following information:

An affirmation that the proposer is properly licensed for public practice as a certified public accountant or a public accountant.

An affirmation that the proposer meets the independence requirements of the Standards for Audit of Governmental Organizations, Programs, Activities and Functions, published by the U. S. General Accounting Office.

An affirmation that the Proposer has not been barred from doing business with HUD, HUD related programs, or any other governmental or private agency.

Proof that the Proposer has had a satisfactory peer review.

References from other governmental clients.

Status of any disciplinary action taken against the Proposer, if any.

An affirmation that the Proposer does not have a conflict of interest with any of the Housing Authority's employees or Board of Commissioners.

4. Deliverables

The successful applicant shall be responsible for delivering a Report on Audit of Financial Statements and Supplemental Information for fiscal year 2019 by March 9, 2020, for fiscal year 2020 by March 9, 2021 and for fiscal year 2021 by March 9, 2022.

A. Contractual Arrangement

PHA will enter into a comprehensive written IPA services contract after selection and negotiation with the Contractor. The contract shall include the provisions required by HUD and/or Texas law or regulations. In addition to the terms and conditions outlined in the body of this Request for Proposals.

The successful IPA shall not enter into any subcontracts, retain consultants, or assign, transfer, convey, sublet, or otherwise dispose of the ensuing contract, or any or all of its rights, title, or interest herein, or its power to execute such contract to any person, partnership, company, or corporation without the prior written consent of the Plano Housing Authority.

B. Right to Reject Proposals

PHA reserves the right to reject any and all proposals submitted and to request additional information from all offerors.

II. INFORMATION TO BE FURNISHED BY OFFEROR

Proposals should be organized in the following manner:

A. Title Page

Show the RFP subject, the name of the offeror, address, telephone number, name of the contact person, and the date.

B. Table of Contents

Include a clear identification of the material by section and by page number.

C. Proposal Letter from Offeror

1. Work to be done

Briefly confirm the offeror's understanding of the work to be done, and that offeror has the experience to perform the Scope of Services requested.

2. Authorized Representatives

State the names of the person(s) who will be authorized to make representations for the offeror, their titles, addresses, and telephone numbers.

3. Primary Contact and Assigned Personnel

Give the name of the offeror and firm, address and phone number, and the name and title

of the one individual who would be responsible for this engagement. In addition the offeror is to provide the names of all principals who will be involved with this proposal along with a copy all appropriate licenses to operate within the State of Texas. The successful IPA shall not enter into any subcontracts, retain consultants, or assign, transfer, convey, sublet, or otherwise dispose of the ensuing contract, or any or all of its rights, title, or interest herein, or its power to execute such contract to any person, partnership, company, or corporation without the prior written consent of the Plano Housing Authority.

4. Range of Professional Activities

Describe the range IPA activities performed and/or services provided by the offeror.

5. References

Provide a minimum of three (3) references of other housing authorities of similar size where the offeror has performed similar services. Include the name, address and telephone number of a contact person for each reference as well as a brief description of the services performed.

6. RFP Cover Page

The cover page of this RFP must be completed and submitted with the proposal.

7. Certification

Submit a statement that the offeror is not currently nor has previously been debarred, suspended or otherwise prohibited from practicing IPA services by any federal, state or local government or agency.

8. Cost Proposal

Offeror shall submit fee schedule for initial year and two additional years separately.

9. Attachments: Required Certifications, Assurances as listed:

- **Attachment A** – Certification regarding Debarment and Suspension. HUD Form 2992
- **Attachment B** – Certification for a Drug-Free Workplace. HUD Form 50070
- **Attachment C** – Certification regarding Payments to Influence Federal Transactions. HUD Form 50071
- **Attachment D** – Instructions to Offerors Non-Construction. HUD Form 5369-B
- **Attachment E** – Certifications and Representations of OFFERORS – Non Construction Contract. HUD Form 5369-C
- **Attachment F** – General Contract Conditions Non-Construction. HUD Form 5370-C
- **Attachment G** – Non-Collusive Affidavit
- **Insurance** – Provision of General Liability insurance in the amount of

III. ADDITIONAL INFORMATION TO OFFERORS

1. OFFERORS may submit only one submission for this RFP. It is the responsibility of the OFFEROR to submit that the qualification the OFFEROR feels, best meets the requirements of the RFP.
2. The OFFEROR must meet all of the mandatory specifications and requirements set forth in this RFP. By incorporating said specifications into the OFFEROR'S qualifications, subject to acceptance by the PHA of any amendments hereto as submitted by the OFFEROR, the OFFEROR is agreeing to comply with said specifications. Failure to document sufficiently capability will result in rejection of the OFFEROR'S qualifications.
3. Any questions regarding this RFP must be submitted in writing and should refer to the specific paragraph in question. No questions will be accepted by PHA after this date. All inquiries must be in writing. All replies to questions will be in writing to all parties regardless of inquiry.
4. Any OFFEROR may, at the sole discretion of the PHA, be required to make an oral presentation at the OFFEROR'S expense of its Submission of Qualifications the PHA after the qualification's opening. Such presentations provide an opportunity for the OFFEROR to clarify any part of its submission and to ensure thorough mutual understanding. The PHA will schedule the time and location of such presentation.
5. Any qualifications received after the scheduled opening date and time will be immediately disqualified, rejected and returned unopened to the sending party without any consideration.
6. Each OFFEROR is to submit one (1) original of their RFP response under a seal to the following address:

Plano Housing Authority
1740 G. Avenue
Plano, Texas 75074
Attention: Mr. Earnest Burke

The original should be bound and labeled as: PHA IPA Services

All RFP responses must have a completed and signed Cover Page by a representative of the OFFEROR authorized to commit to the provisions of the RFP. Unfilled or unsigned cover sheets will cause the entire RFP to be rejected as non-responsive.

7. In accordance with Federal Regulations and the PHA Procurement Policy, the PHA will conduct negotiations with the highest scoring OFFEROR submitting qualifications that appear to be eligible for award pursuant to the selection criteria as set forth in the RFP. If the

PHA does not come to agreement with the highest scoring OFFEROR, the PHA will negotiate with the highest scoring OFFEROR(S) until agreement can be reached. In conducting negotiations, there will be no disclosures of any information derived from qualifications by competing OFFERORS.

A committee will rank the responses in numerical order. An award will be made to the responsive and responsible OFFEROR whose qualifications are determined by the PHA Board of Commissioners to be the most advantageous to the PHA, taking into consideration the evaluation process. However, PHA reserves the right to reject any and all RFP's received. In all cases, the PHA will be the sole judge as to whether an OFFEROR's qualifications have or have not satisfactorily met the requirements of the RFP, as governed by the Federal Regulations and PHA Procurement Policy.

8. The successful OFFEROR must comply with the laws of the State of Texas which requires that, by the signing of this agreement, the OFFEROR agrees to subject itself to the jurisdiction and process of the courts of the State of Texas or federal courts as to all matters and disputes arising or to arise under the agreement and the performance thereof.
9. The successful OFFEROR will note and certify that all personnel of the OFFEROR described are able to do the work and shall be considered at all times, the sole employees of the OFFEROR under its sole direction, and not employees or agents of the PHA.

IV. EVALUATION OF PROPOSALS

A. Evaluation Criteria

All proposals received by the deadline set forth in this RFP shall be evaluated by a review committee (the "Review Committee") consisting of members of PHA's staff. Each Cost Proposal will be separately evaluated by the Review Committee. The Review Committee shall examine each proposal for compliance with the requirements of this RFP. In addition, the following criteria shall be applied by the Review Committee when reviewing proposals.

1. Demonstrated experience in all aspects of the Public Housing Agency management and operations. – 35 Points
2. The methodology or approach the IPA will employ to perform the services. 5 Points
3. The IPA understands of statutory and/or regulatory framework governing the Housing Authority. – 10 Points
4. The IPA's proposed estimated cost for the completion of the audit for each of the requested years. – 20 Points
5. Demonstrated experience with the completion of Financial and Operational audits of Public Housing Agencies in accordance with the applicable guidelines (at least 5 references). – 25 Points

6. The offerors provides documentation that it is a certified MBE/WBE. – 5 Points
(Minority Business Enterprise / Women Business Enterprise)

B. Selection

1. The Chairperson of the Review Committee will establish a competitive range for all submitted proposals based on the Review Committee's evaluation of each proposal and the Chairperson's independent review of the Cost Proposal. Offerors whose proposals are deemed to be unacceptable shall receive written notice of such determination.

C. Award of Contract

Following the completion of the interviews and receipt of best and final offers, a contract will be offered to the firm with the most advantageous proposal, considering cost and other factors.