



## FAUQUIER COUNTY WATER AND SANITATION AUTHORITY

### REQUEST FOR PROPOSAL

RFP Number: 23-P-99-0254

Title: Financial Audit Services

Issuance Date: Friday, March 10, 2023

Deadline for Questions: Friday, March 17, 2023, @ 2:00PM EDT

Deadline for Submitting Proposals: Monday, March 27, 2023, @ 2:00PM EDT

Proposals to Be Delivered to: Fauquier County Water & Sanitation Authority  
Attn: Procurement Department  
7172 Kennedy Road  
Warrenton, VA 20187-3907

Procurement Contact: Tiffany Montacute  
Procurement Technician  
Phone : (540) 349-2092 x 101  
Email : [procurement@fcwsa.org](mailto:procurement@fcwsa.org)

Questions are to be submitted in writing and will be accepted from any and all Auditors. The Procurement Department is the sole point of contact for this solicitation. Unauthorized contact with other Fauquier County Water and Sanitation Authority staff regarding the RFP may result in the disqualification of the Auditor. Inquiries pertaining to the Request for Proposal must give the RFP number, title, and acceptance date. Material questions will be answered in writing with an Addendum provided, however, that all questions are received not later than the date and time specified above. It is the responsibility of all Auditors to ensure that they have received all Addenda, which can be downloaded from [www.fcwsa.org](http://www.fcwsa.org). All questions regarding this RFP shall be directed to the Procurement Contact. If you need any reasonable accommodation for any type of disability to participate in this procurement, please notify the Procurement Contact immediately.

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## **I. INTRODUCTION & BACKGROUND**

### **1. INTRODUCTION TO FAUQUIER COUNTY WATER AND SANITATION AUTHORITY**

The Fauquier County Water and Sanitation Authority (herein the "Authority") is an independent political subdivision of the Commonwealth of Virginia empowered by the Virginia Water and Waste Authorities Act, Chapter 51 of Title 15.2, herein the "Act", of the Code of Virginia, 1950 as amended, to provide public water and sewer service in Fauquier County. The Authority was first chartered in 1964 and is governed by a five-member Board. Individual Board Members are appointed by the Fauquier County Board of Supervisors and serve four year terms. The Board appoints the Executive Director, who is responsible for the Authority's daily management.

As a customer based utility, the Authority's mission is to provide quality, reliable water and wastewater services in an environmentally responsible and sustainable manner.

The Authority owns and operates three wastewater treatment systems and fourteen water systems supplied by groundwater wells serving 7,500 customers throughout Fauquier County, Virginia. The Authority operates an additional two water systems under contract.

The Authority's fiscal year is July 1 through June 30.

## **II. PROJECT SCOPE OF SERVICES**

### **2.1 GENERAL**

The purpose of this Request for Proposal (RFP) is to solicit proposals from qualified Auditors to establish a two-year contract, with up to FOUR (4) successive two-year renewal options, for Audit Services. Audit Services shall be performed for fiscal years ending June 30, 2023 through June 30, 2032, assuming that all four renewal options are exercised by the Authority.

### **2.2 SCOPE OF SERVICES**

The services to be required of the successful Auditor are described below:

- A. The Auditor shall perform the annual audit of the Authority for each of the Authority's fiscal years that elapses during the term of the contract. During the first year of any contract awarded under this RFP, the Auditor will perform an annual audit for the fiscal year ending June 30, 2023, with preliminary fieldwork no later than June 2023 and final fieldwork to be completed no later than early September 2023. The Auditor will follow the same schedule for future fiscal years during the term, with draft reports to be submitted to the Authority by October 15 of each year. Presentations to the Authority Board's Audit Committee and Authority Board, and final reports (15 printed and bound and one electronic copy) must be completed by October 31 of each year.
- B. The Auditor shall conduct its audit and render its report in accordance with generally accepted government auditing standards as defined by Government Auditing Standards issued by the Comptroller General of the United States and Specification for Audit of Authorities, Boards and Commissions issued by the Auditor of Public Accounts, Commonwealth of Virginia. The auditor shall prepare the Annual Comprehensive Financial Report (ACFR) from the audited records of the Authority with the Auditors' opinion thereon. The Auditor shall express an opinion on the fair presentation of the Authority basic financial statements as presented in the ACFR in conformity with generally accepted accounting principles (GAAP).
- C. The Auditor shall prepare and issue the report on internal controls over financial reporting and on compliance and other matters based on an audit of financial statements performed in accordance with Government Auditing Standards. The auditor shall also make recommendations to strengthen internal control should such be necessary.
- D. The Auditor shall prepare and issue a management letter to the Authority Board containing recommendations to improve or correct any related operating procedures noted during the performance of the audits. Additionally, in this report, the auditor shall offer suggestions for improving administrative methods, management operations, and cost reductions when considered appropriate and documentable within the scope of the audits.
- E. The Auditor shall keep the Authority fully informed as to new GASB pronouncements and requirements. If the Authority encounters any difficulties in implementing and complying with the specific reporting requirements mandated by GASB, the Authority may require the auditor's assistance to enable it to comply with those reporting requirements. Such additional work will be billed at the negotiated rates contained in the executed agreement.

- F. The Auditor shall prepare the required forms, perform the agreed-upon procedures specified in the Uniform Financial Reporting Manual, and submit the forms to the Auditor of Public Accounts by October 31 following the end of the fiscal year.
- G. The Auditor shall provide special assistance to the Authority for the Authority to continue to meet the requirements of the Government Finance Officers' Association of the United States and Canada (GFOA) "Certificate of Achievement for Excellence in Financial Reporting". This special assistance may include but is not limited to: Review the Authority disposition of the comments generated from the GFOA review of the prior year's ACFR; and, review the ACFR for compliance with GFOA's requirements for the Certificate of Achievement.
- H. The Auditor shall report on the accuracy of the census data reported to the Virginia Retirement System (VRS) by the Authority in accordance with the criteria set forth by the VRS and the Board of Trustees' plan provisions as mandated in § 51.1-136 of the Code of Virginia.
- I. The Auditor shall prepare a Certificate of No Default letter as required by debt covenants.
- J. The Auditor will be required to provide technical assistance to the Authority related to applicable accounting and auditing standards as necessary.

## **2.2 REPORTING TO THE AUDIT COMMITTEE**

The Auditor shall ensure that the Audit Committee is informed of each of the following:

- a. The Auditor's responsibility under Generally Accepted Auditing Standards (GAAS).
- b. Significant changes in accounting principles, including recent and forthcoming pronouncements of GASB.
- c. Management judgments and accountings estimates, if questionable.
- d. Significant audit adjustments.
- e. Disagreements with management.
- f. Difficulties encountered in performing the audit.

## **2.3 MEETINGS AND REPORT PREPARATION**

- A. **Meetings:** The selected Auditor shall attend meetings with the Authority Board's Audit Committee before the preliminary work and at the end of the fieldwork. The purpose of these meetings is to keep the governing body fully informed on the scope and progress of the audit.
- B. **Required Reports:** The Auditor will be responsible for preparing the final copies of the financial reports. In addition, the Auditor will be responsible for the clerical preparation of the ACFR table of contents, letter of transmittal and all notes to the financial statements. A PDF copy of all of the reports will be provided to the Authority by the Auditor. The Auditor is responsible for providing printed copies of the Management Report and the Report on the Census of Data. Printing of fifteen (15) copies of the ACFR shall be the responsibility of the Auditor.

## **2.4 ASSISTANCE TO BE PROVIDED TO THE AUDITOR**

The Authority's Finance Department is the central oversight and coordinating department for all services performed under this contract. Applicable staff from the Finance Department will provide the support necessary for the completion of a successful audit. The support will include the following:

- A. Coordinating the scheduling of meetings with various Board members and executive staff, when needed.
- B. Providing all prepared-by-client schedules, confirmation letters, other letters, computer-generated reports, comparative financial statement analyses, and the like requested by the Auditor.
- C. The Finance Department will provide all information relating to the Authority that is reasonably required for the Auditor to perform their duties, to the extent such information is available to or reasonably obtainable by the Authority.
- D. The Finance Department will also provide suitable workspace in the administration building for the Auditors.

## **2.5 TERM OF CONTRACT AND CONTRACT RENEWAL**

- A. **Term:** The initial term of the contract will be for two years, covering the audit years ending June 30, 2023 (fiscal year is July 1 through June 30) and June 30, 2024 (such period referred to herein as the “Initial Term”).
- B. **Renewal:** The Authority, in its discretion may elect to renew the contract on a biannual basis for up to four additional, successive periods of two years each, beginning on July 1, 2024 and ending no later than June 30, 2032 (each, a “Renewal Term” and, together with the Initial Term, collectively referred to as the “Term”). The Auditor will be permitted to submit requests for cost adjustments no more than once for each Renewal Term, with substantiation for requested cost adjustments based upon the Consumer Price Index for the area. . The Authority will exercise its right of renewal, if at all, by issuance of written notice to the Auditor on or before the date that is 180 days prior to the expiration of the then-current contract period. The Auditor’s fees and charges applicable with respect to any Renewal Period will be determined in accordance with contract.

### III. INSTRUCTIONS TO AUDITORS

#### 3.1 ADDITIONAL INFORMATION

All questions relating to this solicitation shall be submitted in writing to the Procurement Department via email to [procurement@fcwsa.org](mailto:procurement@fcwsa.org). For a question to be considered, the subject line of the email should state the following: RFP 23-P-99-0254 Questions. Questions should be succinct and must include the submitter's name, title, company name, company address, and telephone number. Prior to the award of a contract resulting from this solicitation, Auditors and prospective Auditors are prohibited from contacting any Authority staff other than those assigned to the Procurement Department.

Any requests for clarifications or additional information regarding this RFP shall be directed to the Procurement Contact.

The tentative schedule for evaluation of proposals and award of an Agreement is as follows:

RFP Issuance	Friday, March 10, 2023
Question Deadline	Friday, March 17, 2023, @ 2:00PM EDT
Proposals Due	Monday, March 27, 2023, @ 2:00PM EDT
Interviews & Presentations (Teams Meeting)	Monday, April 10, 2023
Negotiations	Monday, April 17, 2023
Board Approval & Contract Award	Tuesday, April 25, 2023

Any significant changes to the solicitation as a result of the questions submitted by the date posted above will be issued by Addendum and posted on the Authority website at: [www.fcwsa.org](http://www.fcwsa.org). It is the Auditor's responsibility to review and incorporate all Addenda as part of the proposal submission.

#### 3.2 TRADE SECRETS OR PROPRIETARY INFORMATION

Trade secrets or proprietary information that is submitted by an Auditor in connection with a procurement transaction may be exempted from public disclosure under the Virginia Freedom of Information Act ("VFOIA"). However, the Auditor must invoke the protection of § 2.2-4342(F) of the Virginia Public Procurement Act prior to or upon submission of the data or other materials, and must identify clearly and in writing, in the space provided on the Proposal Form, the data or other materials sought to be protected and state the reasons why protection is necessary. It is the Auditor's sole responsibility to defend such exemptions if challenged in a court of competent jurisdiction.

#### 3.3 DEBARMENT STATUS

The Auditor shall indicate, in the space provided on the Proposal Form, whether or not it, or any of its principals, is/are currently debarred from submitting proposals to the Authority or any other state or political subdivision, and whether or not it is an agent of any person or entity that is currently debarred from submitting proposals to the Authority or any other state or political subdivision. An affirmative response may be considered grounds for rejection of the proposal.

### **3.4 CONFLICT OF INTEREST STATEMENT**

The Auditor must provide a statement regarding potential conflict of interest. The certification shall be in the form provided in this solicitation, signed by an authorized agent and principal of the Auditor.

### **3.5 QUALIFICATION OF AUDITORS**

Each Auditor may be required, before the award of any contract, to show to the complete satisfaction of the Procurement Department that it has the necessary facilities, ability, licenses, and financial resources to comply with the contract and furnish the services specified herein in a satisfactory manner. Each Auditor may also be required to provide history and references which will enable the Authority to be satisfied as to the Auditor's qualifications. Failure to qualify according to the foregoing requirements will justify rejection by the Authority of a proposal and its respective Auditor.

### **3.6 AUDITOR INVESTIGATIONS**

Before submitting a proposal, each Auditor shall make all investigations and examinations necessary to ascertain all conditions and requirements affecting the full performance of the contract and to verify any representations made by the Authority that the Auditor will rely upon. No pleas of ignorance of such conditions and requirements resulting from failure to make such investigations and examinations will relieve the successful Auditor from its obligation to comply in every detail with all provisions and requirements of the contract documents or will be accepted as a basis for any claim whatsoever for any monetary consideration on the part of the successful Auditor.

### **3.7 COMPETITIVE NEGOTIATION FOR PROFESSIONAL SERVICES**

This solicitation is let under the Virginia Public Procurement Act (VPPA) procedure set forth in § 2.2-4302.2(A)(4), "Competitive Negotiation for Professional Services, as such the opening of proposals will not be public.

### **3.8 AUTHORITY TO TRANSACT BUSINESS**

Any Auditor organized as a stock or non-stock corporation, limited liability company, business trust, or limited partnership or registered as a registered limited liability partnership shall be authorized to transact business in the Commonwealth of Virginia as a domestic or foreign business entity if so required by Title 13.1 or Title 50 of the Code of Virginia, or as otherwise required by law. The proper and full legal name of the firm or entity and the identification number issued to the Auditor by the Virginia State Corporation Commission must be written in the space provided on the Proposal Form. Any Auditor that is not required to be authorized to transact business in the Commonwealth shall include in its proposal a statement describing why the Auditor is not required to be so authorized. The Authority may require a firm to provide documentation prior to award which: 1) clearly identifies the complete name and legal form of the firm or entity (i.e. corporation, limited partnership, etc.), and 2) establishes that the firm or entity is authorized by the State Corporation Commission to transact business in Virginia. Failure of a prospective and/or successful Auditor to provide such documentation shall be grounds for rejection of the proposal or cancellation of the award. For further information refer to the Commonwealth of Virginia State Corporation Commission website at: **[www.scc.virginia.gov](http://www.scc.virginia.gov)**.



### **3.9 INSURANCE**

Auditors must review the insurance requirements provided in the insurance checklist (Attachment B) carefully with its insurance agent or broker prior to submitting a proposal to ensure they can provide the specific coverage requirements and limits applicable to this solicitation. If the Auditor is not able to meet the insurance requirements of the solicitation, alternate insurance coverage satisfactory to the Authority may be proposed by the Auditor by March 17, 2023 at 2:00 PM. If the Authority denies the request for alternate coverage, the coverage required by the Insurance Checklist must be provided. If the Authority permits alternate coverage, an addendum to the Insurance Checklist will be issued prior to the time and date set for receipt of proposals.

### **3.10 INTEREST IN MORE THAN ONE PROPOSAL, AND COLLUSION**

More than one proposal received in response to this solicitation from an individual, firm, partnership, corporation, affiliate, or association under the same or different names will be rejected. Reasonable grounds for believing that an Auditor is interested in more than one (1) proposal for a solicitation both as an Auditor and as a subcontractor for another Auditor, will result in rejection of all proposals in which the Auditor is interested. However, a firm acting only as a subcontractor may be included as a subcontractor for two (2) or more Auditors submitting a proposal for the work. Any or all proposals may be rejected if reasonable grounds exist for believing that collusion exists among any Auditors. Auditors rejected under the above provisions shall be disqualified if they respond to a re-solicitation for the same work.

### **3.11 CONTRACT AWARD IS IN THE BEST INTEREST**

The Authority reserves the right to accept or reject proposals, to waive any informalities or irregularities therein and to contract as the best interests of the Authority may require in order to obtain the goods and/or services that best meet the needs of the Authority, as described in this RFP. Selection of a proposal does not mean that all aspects of the proposal are acceptable to the Authority. The Authority reserves the right to negotiate the modification of terms and conditions with the Auditor offering the best value to the Authority in conjunction with the evaluation criteria contained herein prior to the execution of a contract, to ensure a satisfactory contract.

## **IV. PROPOSAL REQUIREMENTS**

### **4.1 GENERAL**

Proposals must be submitted in hard copy and must be fully executed. **FAILURE TO SUBMIT A PROPOSAL WITH A FULLY COMPLETED PROPOSAL FORM PROVIDED IN THIS SOLICITATION MAY BE CAUSE FOR REJECTION OF THE PROPOSAL.** The Proposal Form must be signed by a person authorized to legally bind the Auditor.

Auditors must include an original longhand signature in at least one of the proposals submitted and shall clearly mark on the face of that proposal the word “ORIGINAL”. The additional copies required herein may include photocopies of the original Proposal Form.

Modification of or additions to any portion or terms of the solicitation may be cause for rejection of the proposal; however, the Authority reserves the right to decide, on a case-by-case basis, in its sole discretion, whether or not to reject such a proposal as nonresponsive.

Proposals not submitted in the number of copies requested are subject to immediate rejection. Proposals submitted by facsimile or electronically will NOT be accepted.

Proposals and all documents related to this solicitation submitted to the Authority by an Auditor or a prospective Auditor shall, upon receipt by the Authority, become the property of the Authority.

The Auditor’s proposal shall address the required information identified under the Proposal Submittal Elements section below, in the order listed. The proposal shall be limited to twenty-five (25) pages single-sided on 8½” x 11” paper, not including a single-page cover letter, tab separators, Table of Contents, resumes, or forms required by the Authority. Type size should be no less than 10-point font. Full resumes may be included in the Appendix and should be limited to one single-sided page each, except for key members of the proposed audit team, which may be up to 2 single-sided pages in length. All pages of the proposal shall be numbered consecutively.

### **4.2 PROPOSAL FORM SUBMISSION**

The required Proposal Form is provided with this solicitation. One (1) proposal with a Proposal Form containing an original longhand signature and three (3) additional copies, each including a photocopy of the original signed Proposal Form (four (4) copies total) , shall be submitted by hand or mail in a sealed envelope no later than the time and date deadline specified in this solicitation to:

Fauquier County Water & Sanitation Authority  
Attn: Tiffany Montacute  
Procurement Department  
7172 Kennedy Road,  
Warrenton, VA, 20187

Timely submission of the proposal is solely the responsibility of the Auditor. Proposals received after the specified date and time will be rejected. The exterior of the envelope or package shall be clearly marked to include the following information:

Auditor Name: \_\_\_\_\_  
RFP No. 23-P-99-0254 (Financial Audit Services)  
Proposal Due Date and Time: Monday, March 27, 2023 @ 2:00PM EDT

The time and date of receipt shall be indicated on the envelope or package by the Authority.

#### **4.3 INCOMPLETE DOCUMENTS**

Each Auditor is responsible for having determined the accuracy and/or completeness of the solicitation documents upon which it relied in making its proposal and has an affirmative obligation to notify the Authority's Procurement Officer immediately upon discovery of an apparent or suspected inaccuracy, error in, or omission of any pages, drawings, sections, or addenda whose omission from the documents was apparent from a reference or page numbering or other indication in the solicitation documents.

If a potential Auditor downloaded an electronic version of the solicitation documents, that potential Auditor is responsible for determining the accuracy and/or completeness of the electronic documents.

If the successful Auditor proceeds with any activity that may be affected by an inaccuracy, error in, or omission in the solicitation documents of which it is aware but has not notified the Authority's Procurement Officer, the Auditor hereby agrees to perform any work described in such missing or incomplete documents at the Auditor's sole expense and at no additional cost to the Authority.

#### **4.4 PROPOSAL FORMAT**

Proposals submitted in response to this solicitation shall meet standards of professional writing established for the type of report or written material provided, shall be thoroughly researched for accuracy of content, shall be grammatically correct and not contain spelling errors and shall be submitted in a format outlined herein. Whenever possible, proposals submitted in response to this solicitation shall comply with the following guidelines:

- Hard copies of all proposals must have covers or binders;
- All copies shall be double-sided;
- Unnecessary attachments or documents not specifically asked for should not be submitted; and
- Numbered tabs and dividers are required for each of the sections listed and in the order below:
  - PROPOSAL FORM
  - EXECUTIVE SUMMARY
  - FIRM QUALIFICATIONS AND EXPERIENCE
  - CONTROLS
  - IMPLEMENTATION / CONVERSION
  - SAMPLE CONTRACT
  - PERSONNEL
  - REFERENCES

## **4.5 PROPOSAL SUBMITTAL ELEMENTS**

### **4.5.1 PROPOSAL FORM**

The Proposal Form (Attachment A) must be fully completed and submitted in the first tab or the proposal could be deemed non-responsive. First tab should also include Attachments B, C, D, and E.

### **4.5.2 EXECUTIVE SUMMARY**

The Auditor's proposal shall contain an executive summary that summarizes why their firm is the most qualified for this scope of work, an understanding of the services to be provided, anticipated challenges, innovative approaches, and opportunities for increased returns.

### **4.5.3 FIRM QUALIFICATIONS AND EXPERIENCE**

#### **A. Auditor Qualifications and Experience**

1. Regarding your firm, provide the following:
  - a. Organization and size of the firm, and whether it is local, regional, national, or international.
  - b. Size of the firm's governmental audit staff both locally and nationally, if applicable.
  - c. Location of the office from which the work on this engagement is to be performed.
  - d. Number and titles of the professional staff to be employed on this engagement on a full-time basis and those on a part-time basis.
  - e. An affirmative statement that the firm and all assigned key professional staff are properly licensed to practice as certified public accountants in the Commonwealth of Virginia.
  - f. An affirmative statement that the firm is independent of the Authority as defined by U.S. generally accepted auditing standards and the Government Auditing Standards issued by the Comptroller General of the United States.
2. Regarding external reviews of your firm, provide:
  - a. Results of the most recent peer review.
  - b. Results of any Federal or State reviews of your firm's audits during the past five (5) years.
  - c. Circumstances and status of any disciplinary action taken or pending against the firm during the past five years (including but not limited to Federal, State and/or other regulatory bodies or professional organizations).

#### **B. Specific Audit Approach**

The proposal should set forth the work plan to perform the services required in Section 2.2, indicating an understanding of the work, how the audit work is to be performed, and the

timing of the audit work.

**C. Similar Engagements with Other Authorities**

For the firm's office that will be assigned responsibility for the audit, list the most significant engagements (maximum of ten) performed in the last five years that are similar to the engagement described in this request for proposals. Indicate the scope of work, date, engagement partners, total hours, and the name and telephone number of the principal client contact.

**4.5.4 CONTROLS**

1. Discuss the firm's security environment related to cybersecurity, both for access controls and information protection/data security.
2. List the types and amounts of insurance carried. Provide copies of insurance certificates.
3. Does the firm maintain cyber liability insurance? If so, list the types and amounts/limits carried.

**4.5.5 IMPLEMENTATION / CONVERSION**

1. Provide a conversion plan, including schedule, for transitioning to your organization.
2. Who will be responsible for coordinating the transition?

**4.5.6 SAMPLE CONTRACT**

1. A copy of all contractual documents your firm requires to be executed must be included in this proposal. All such documents must be governed by and consistent with the laws of the Commonwealth of Virginia. It is a requirement of this solicitation that in order to be awarded a contract, the selected Auditor must execute all required contract documents as may be modified by the Authority to conform to Virginia law and Fauquier County Water and Sanitation Authority policy.
2. Any exceptions to the terms and conditions contained herein must be submitted in the firm's proposal. Failure to do so may result in rejection of your proposal.
3. By submitting an offer in response to this solicitation, the Auditor acknowledges that the laws of the Commonwealth of Virginia control all contractual documents.
4. By submitting an offer in response to this solicitation, Auditor agrees to cooperate promptly and in good faith with the Authority to review and negotiate any exceptions to either party's contract terms or conditions before the proposed award is submitted to the Fauquier County Water and Sanitation Authority's Board of Directors for approval. Failure to do so will result in rejection of your proposal.

**4.5.7 PERSONNEL**

1. Identify the principal supervisory and management staff, including

engagement partners, managers, other supervisors and specialists, who would be assigned to this engagement and whether each such person is licensed to practice as a certified public accountant in Virginia.

Information must also include:

- a. Contact information including address, phone number and email address;
  - b. Proposed role with regard to the Authority's account;
  - c. Number of years of experience in this field;
  - d. Number of years with your firm; and
  - e. Number of accounts for which the person is responsible.
2. Provide information on the government auditing experience of each person, including information on relevant continuing professional education for the past five (5) years and membership in professional organizations relevant to the performance of audit.
  3. Provide a resume or curriculum vitae ("CV") for each person to be assigned to this engagement. The resume / CV should include years of experience, education, and professional training. The firm should also indicate how the quality and continuity of staff over the term of the agreement will be assured.
  4. Describe your firm's policy on changing the primary contact person on an account at your firm's discretion.

#### **4.5.8 REFERENCES**

Using Attachment F, provide at least five (5) references where you have provided Audit Services (References of Virginia public bodies, if possible), including client name, contact person, address, phone number, and the length of time your firm has worked for the entity. The Authority reserves the right to require additional references from the Auditor, or to obtain additional references from other sources not provided by the Auditor.

## **V. EVALUATION PROCESS**

### **5.1 Evaluation Committee:**

The Authority will establish an Evaluation committee to review, evaluate and rank each proposal. The committee will be composed of the Purchasing Contact identified on the cover page, the Director of Finance, and other individuals designated by the Authority.

### **5.2 Evaluation Criteria:**

The Authority is soliciting proposals from Auditors having experience and qualifications in the area identified in this solicitation. Each proposal must contain evidence of the Auditor's experience and abilities in the specified area and other disciplines directly related to the proposed work. To the extent not required to be included in proposals submitted hereunder, additional information that may be requested by the Authority may include the submission of profiles and resumes of the staff to be assigned to the project, references, illustrative examples of similar work performed, and other information that will clearly demonstrate the Auditor's expertise in the area of the services sought by this solicitation. Auditors are encouraged to elaborate on their qualifications and performance data or staff expertise, as well as provide alternative concepts.

An Evaluation Committee will review and evaluate all written proposals and identify firms that may be invited to submit more detailed proposals, conduct oral presentations, discuss non-binding estimates of cost, and/or provide product or service demonstrations. The evaluation of written proposals will be based on the professional competence, experience, and qualifications of Auditors to perform the services described in Section 2.2. The Evaluation Committee will rely upon the information provided in the written proposals submitted in order to select finalists. Subsequent stages of the process to select firms for negotiations may include, but are not limited to, review of more detailed proposals, oral presentations, or demonstrations. If such subsequent stages are conducted, they will be evaluated based on the same evaluation criteria used to evaluate written proposals, as relevant to the areas being evaluated. The Authority may consider site visits for those firms selected to participate in contract negotiations. In its discretion, the Authority may initiate and conduct negotiations with one or more Auditors or award a contract to an Auditor without further contact with any other Auditors.

**ATTACHMENT A  
PROPOSAL SUBMISSION FORM  
RFP Number: 23-P-99-0254**

Auditor: \_\_\_\_\_ FEIN: \_\_\_\_\_

Principal Name(s)	Mailing Address
_____	_____
_____	_____

The following shall be returned with your proposal. Failure to do so may be cause for rejection of proposal as non-responsive. It is the responsibility of the Auditor to include all required information as noted within this RFP and ensure that it has received all Addenda issued hereunder, if any. Refer to Section 4 for specific proposal preparation and submission instructions.

1. This Form (Attachment A Proposal Submission Form);
2. Attachment B – Insurance Requirement Checklist
3. Attachment C – Public Disclosure of Trade Secrets and/or Proprietary Information
4. Attachment D – Identification, Ownership Disclosure, Certifications
5. Attachment E – State Corporation Commission Form
6. Proposal Following RFP Section 4.5
7. Attachment F (References)
8. Appendices
9. Addenda, if applicable

Proposals are to be submitted to the Authority in a sealed envelope or container that is clearly and properly identified in accordance with Section 4.2 and be directed to the attention of the Procurement Department at the address provided.

**Each firm shall submit one (1) original and three (3) copies**

Delivery of Proposals

Proposals may either be mailed, delivered, or shipped to 7172 Kennedy Road, Warrenton, VA 20187. They may NOT be received in electronic mail or facsimile. Proposals must be received by the Procurement Department **BEFORE Monday, March 27, 2023, at 2:00 PM EDT(local prevailing time, as determined by the clock located in the Authority's lobby).**

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

Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_

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

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



**ATTACHMENT B**  
**INSURANCE REQUIREMENT CHECKLIST**  
**RFP Number: 23-P-99-0254**

Insurance Checklist

CERTIFICATE OF INSURANCE MUST SHOW ALL COVERAGE AND ENDORSEMENTS INDICATED BY “X”:

COVERAGES REQUIRED			LIMITS (FIGURES DENOTE MINIMUMS)
X	1	WORKERS' COMPENSATION	STATUTORY LIMITS OF VIRGINIA
X	2	EMPLOYER'S LIABILITY	\$100,000 ACCIDENT, \$100,000 DISEASE, \$500,000 DISEASE POLICY LIMIT
X	3	COMMERCIAL GENERAL LIABILITY(CGL)	\$1,000,000 CSL BI/PD EACH OCCURRENCE, \$2 MILLION ANNUAL AGGREGATE
	4	PREMISES/OPERATIONS	\$500,000 CSL BI/PD EACH OCCURRENCE MILLION ANNUAL AGGREGATE
X	5	AUTOMOBILE LIABILITY	\$1 MILLION BI/PD EACH ACCIDENT, UNINSURED MOTORIST
	6	OWNED/HIRED/NON-OWNED VEHICLES	\$1 MILLION BI/PD EACH ACCIDENT, UNINSURED MOTORIST
	7	INDEPENDENT CONTRACTORS	\$500,000 CSL BI/PD EACH OCCURRENCE, \$1 MILLION ANNUAL AGGREGATE
	8	PRODUCTS LIABILITY	\$500,000 CSL BI/PD EACH OCCURRENCE, \$1 MILLION ANNUAL AGGREGATE
	9	COMPLETED OPERATIONS	\$500,000 CSL BI/PD EACH OCCURRENCE, \$1 MILLION ANNUAL AGGREGATE
	10	CONTRACTUAL LIABILITY (MUST BE SHOWN ON CERTIFICATE)	\$500,000 CSL BI/PD EACH OCCURRENCE
	11	PERSONAL AND ADVERTISING INJURY LIABILITY	\$1 MILLION EA. OFFENSE, \$1 MILLION ANNUAL AGGREGATE
	12	UMBRELLA LIABILITY	\$1 MILLION BODILY INJURY, PROPERTY DAMAGE AND PERSONAL INJURY
	13	PER PROJECT AGGREGATE	\$1 MILLION PER OCCURRENCE/CLAIM
	14	PROFESSIONAL LIABILITY	
	A	ARCHITECTS AND ENGINEERS	\$1 MILLION PER OCCURRENCE/CLAIM
	B	ASBESTOS REMOVAL LIABILITY	\$2 MILLION PER OCCURRENCE/CLAIM
	C	MEDICAL MALPRACTICE	\$1 MILLION PER OCCURRENCE/CLAIM
	D	MEDICAL PROFESSIONAL LIABILITY	\$1 MILLION PER OCCURRENCE/CLAIM
X	15	MISCELLANEOUS E&O	\$1 MILLION PER OCCURRENCE/CLAIM
	16	MOTOR CARRIER ACT END. (MCS-90)	\$1 MILLION BI/PD EACH ACCIDENT, UNINSURED MOTORIST
	17	MOTOR CARGO INSURANCE	
	18	GARAGE LIABILITY	\$1 MILLION BODILY INJURY, PROPERTY DAMAGE PER OCCURRENCE
	19	GARAGE KEEPERS LIABILITY	\$500,000 COMPREHENSIVE, \$500,000 COLLISION
	20	INLAND MARINE-BAILLIE'S INSURANCE	\$
	21	MOVING AND RIGGING FLOATER	ENDORSEMENT TO CGL
	22	DISHONESTY BOND	\$
	23	BUILDER'S RISK	PROVIDE COVERAGE IN THE FULL AMOUNT OF CONTRACT
	24	XCU COVERAGE	ENDORSEMENT TO CGL
	25	USL&H	FEDERAL STATUTORY LIMITS
	26	CARRIER RATING SHALL BE BEST'S RATING OF A-VII OR BETTER OR ITS EQUIVALENT	
X	27	NOTICE OF CANCELLATION, NONRENEWAL OR MATERIAL CHANGE IN COVERAGE SHALL BE PROVIDED TO FAIRFAX WATER AT LEAST 30 DAYS PRIOR TO ACTION	
X	28	THE FAUQUIER COUNTY WATER AND SANITATION AUTHORITY SHALL BE AN ADDITIONAL INSURED ON ALL POLICIES EXCEPT WORKERS COMPENSATION AND AUTOMOBILE LIABILITY	
X	29	CERTIFICATE OF INSURANCE SHALL SHOW SOLICITATION NUMBER AND TITLE	

AUDITOR'S STATEMENT:

I have reviewed the above checklist and, if awarded the Contract, will comply with contract insurance requirements.

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

Date: \_\_\_\_\_

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

Phone: \_\_\_\_\_

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

Fax: \_\_\_\_\_

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

**ATTACHMENT C**  
**PUBLIC DISCLOSURE OF**  
**TRADE SECRETS AND/OR PROPRIETARY INFORMATION**  
**RFP Number: 23-P-99-0254**

Under § 2.2-4342(F) of the Virginia Public Procurement Act, an Auditor may elect to designate portions of its proposal as trade secrets or proprietary information and thereby obtain protection from mandatory public disclosure laws to which the Authority is subject. In order to invoke this protection, an Auditor must complete the chart below by identifying with specificity each item of information for which protection is sought and providing an explanation as to why protection from public disclosure is necessary. In order to be effective, an Auditor must identify any trade secrets or proprietary information set forth herein at or prior to submission of its proposal.

Section	Page No.	Description	Justification

Note: If this Attachment is left blank, the Applicant's Qualification Statement will be deemed not to contain any trade secrets or proprietary information and will result in your firm's proposal being subject to public inspection. Requests for protection after the deadline for submission of proposals will not be eligible for consideration.

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

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

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

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

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

**ATTACHMENT D**  
**IDENTIFICATION, OWNERSHIP DISCLOSURE, CERTIFICATIONS**  
**RFP Number: 23-P-99-0254**

Auditor: \_\_\_\_\_ FEIN: \_\_\_\_\_

Organized Under the Laws of State of \_\_\_\_\_ DUNS: \_\_\_\_\_

Years in Business Providing This Type of Service \_\_\_\_\_ Years \_\_\_\_\_ Months

Persons Having Ownership of 3% or More in the Company (Attach More Sheets if Necessary):

Name

Address


**CERTIFICATIONS**

I (we) hereby certify that if an Agreement is awarded to our firm, partnership, or corporation, that no employee of the Authority, or members of his/her immediate family, including spouse, parents or children has received or been promised, directly or indirectly, any financial benefit, by way of fee, commission, finder's fee, political contribution or any similar form of remuneration on account of the act of awarding and/or executing the Agreement.

This solicitation is subject to the provisions of VA Code Ann. Section 2.2-3100 *et. seq.*, the State and Local Government Conflict of Interests Act. The Auditor [ ] is [ ] is not aware of any information bearing on the existence of any potential conflict of interest thereunder.

I certify that this offer is made without prior understanding, agreement, or connection with any corporation, firm, or person submitting an offer for the same services, materials, supplies, or equipment and is in all respects fair and without collusion or fraud. I understand collusive bidding is a violation of the State and Federal law and can result in fines, prison sentences, and civil damage awards.

I hereby certify that the responses to the above representations, certifications, and other statements are accurate and complete. I agree to abide by all conditions of this RFP and certify that I am authorized to sign on behalf of my firm and to commit the firm to the terms of the RFP.

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

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

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

**ATTACHMENT E**  
**STATE CORPORATION COMMISSION FORM**  
**RFP Number: 23-P-99-0254**

**Virginia State Corporation Commission (SCC) registration information. The Auditor:**

☐ is a corporation or other business with the following SCC identification number: \_\_\_\_\_ -  
**OR-**

☐ is not a corporation, limited liability company, limited partnership, registered limited liability partnership, or business trust –**OR-**

☐ is an out-of-state business entity that does not regularly and continuously maintain as part of its ordinary and customary business any employees, agents, offices, facilities, or inventories in Virginia (not counting any employees or agents in Virginia who merely solicit orders that require acceptance outside Virginia before they become Agreements, and not counting any incidental presence of the Auditor in Virginia that is need in order to assemble, maintain, and repair goods in accordance with the Agreements by which such goods were sold and shipped into Virginia from Auditors out-of-state location) –**OR-**

☐ is an out-of-state business entity that is including with this proposal an opinion of legal counsel which accurately and completely discloses the undersigned Auditor's current contacts with the Commonwealth of Virginia and describes why those contacts do not constitute the transaction of business in Virginia within the meaning of §13.1 or Title 50 of the Code of Virginia or as otherwise provided by law.

Check the following box if you have not completed any of the foregoing options but currently have pending before the SCC an application for authority to transact business in the Commonwealth of Virginia and wish to be considered for a waiver to allow you to submit the SCC identification number after the due date for proposals (The Authority reserves the right to determine in its sole discretion whether to allow such waiver): ☐

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

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

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

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

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

**ATTACHMENT F**  
**REFERENCES**  
**RFP Number: 23-P-99-0254**

Auditor shall be a professionally competent and experienced organization with an established reputation for performing the type of services referenced in this RFP. Auditor shall have performed similar services for a minimum period of five (5) years. Indicate below a listing of at least five (5) recent projects completed by Auditor that can substantiate past work performance and experience in the type of services to be performed hereunder.

1. Firm Name: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
\_\_\_\_\_  
Contact: \_\_\_\_\_ Title: \_\_\_\_\_  
Phone #: \_\_\_\_\_ Fax #: \_\_\_\_\_  
Email Address: \_\_\_\_\_  
Agreement Amount: \$ \_\_\_\_\_ Agreement Dates: \_\_\_\_\_  
Description of Work Performed: \_\_\_\_\_  
\_\_\_\_\_

2. Firm Name: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
\_\_\_\_\_  
Contact: \_\_\_\_\_ Title: \_\_\_\_\_  
Phone #: \_\_\_\_\_ Fax #: \_\_\_\_\_  
Email Address: \_\_\_\_\_  
Agreement Amount: \$ \_\_\_\_\_ Agreement Dates: \_\_\_\_\_  
Description of Work Performed: \_\_\_\_\_  
\_\_\_\_\_

3. Firm Name: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
\_\_\_\_\_  
Contact: \_\_\_\_\_ Title: \_\_\_\_\_  
Phone #: \_\_\_\_\_ Fax #: \_\_\_\_\_  
Email Address: \_\_\_\_\_  
Agreement Amount: \$ \_\_\_\_\_ Agreement Dates: \_\_\_\_\_  
Description of Work Performed: \_\_\_\_\_  
\_\_\_\_\_
4. Firm Name: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
\_\_\_\_\_  
Contact: \_\_\_\_\_ Title: \_\_\_\_\_  
Phone #: \_\_\_\_\_ Fax #: \_\_\_\_\_  
Email Address: \_\_\_\_\_  
Agreement Amount: \$ \_\_\_\_\_ Agreement Dates: \_\_\_\_\_  
Description of Work Performed: \_\_\_\_\_  
\_\_\_\_\_
5. Firm Name: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
\_\_\_\_\_  
Contact: \_\_\_\_\_ Title: \_\_\_\_\_  
Phone #: \_\_\_\_\_ Fax #: \_\_\_\_\_  
Email Address: \_\_\_\_\_  
Agreement Amount: \$ \_\_\_\_\_ Agreement Dates: \_\_\_\_\_  
Description of Work Performed: \_\_\_\_\_  
\_\_\_\_\_

Auditor agrees the Authority may make such investigations as it deems necessary to determine the ability of Auditor to perform the services, and Auditor shall furnish to the Authority all such information and data for this purpose as the Authority may request.

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

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

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

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

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