

Broward Healthy Start Coalition



External Auditing Services

Request for Proposal

#19-FM-01

Broward Healthy Start Coalition, Inc.
EXTERNAL AUDITING SERVICES
REQUEST FOR PROPOSAL

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Broward Healthy Start Coalition, Inc.

Request for Proposal #19-FM-01

For

EXTERNAL AUDITING SERVICES

Fiscal Year 2018/19

SECTION I – INTRODUCTION

Broward Healthy Start Coalition, Inc. (BHSC/Coalition) invites qualified independent auditing firms having sufficient governmental accounting and auditing experience to submit proposals to provide External Auditing Services beginning with fiscal year end June 30, 2019. Written proposals using the format described herein must be received by **12:00 p.m. noon on Friday, May 3, 2019**, at Broward Healthy Start Coalition, 6301 NW 5th Way, Suite 1400, Fort Lauderdale, FL 33309 in order to be considered.

SECTION II – AGENCY OVERVIEW & BACKGROUND

Broward Healthy Start Coalition, Inc. is a non-profit organization dedicated to improving the health of pregnant women and babies in Broward County. As one of 32 Coalitions across the state, we partner with local public and private medical professionals, hospitals, managed care plans, schools and charities to identify and resolve local health problems that affect pregnant women and their families. The Coalitions were established in Florida Statute in 1991. BHSC is funded primarily by the Florida Department of Health and the MomCare Network who serves as an Administrative Services Organization for the receipt of Medicaid funds. BHSC is governed by a 16-member volunteer Board of Directors.

The mission of the Broward Healthy Start Coalition, Inc. is to promote the health and well-being of women, infants and families to achieve a successful pregnancy and a healthy start in life.

BHSC's previous auditor, Templeton and Company, has been auditing BHSC's financial statements for the past 6 fiscal years. Internal accounting policy requires a mandatory reevaluation of the CPA firm completing the annual audit at the end of the five-year cycle. The current auditors are not precluded from submitting a proposal. The work papers of previous audits which are property of the previous auditor may be viewed by successful proposer.

BHSC currently has an operating budget of \$6.2 million of which approximately \$4.2 million is from federal grants; thus requiring a Single Audit. There are approximately 22 total BHSC employees. All accounting functions are performed in-house by the Director of Finance utilizing the Blackbaud Financial Edge system.

BHSC's Executive Finance Committee (the "Committee") is comprised of four Officers that report back to the full Coalition. The Committee is responsible for the ongoing review of financial statements and the Audit. The Committee will review the scope of services, discuss the results of the audit, discuss the findings presented in the management letter issued by the firm and the responses of BHSC management thereto and other matters as determined by the Committee. Presentation of the items mentioned above will also be presented to the full Coalition at a regularly scheduled Coalition meeting.

SECTION III – BIDDING INSTRUCTIONS

A. Sealed Proposals

Each proposer shall submit only one proposal per Bid Solicitation. A proposal shall consist of one manually signed original and six (6) photocopies for a total of 7 completed proposals. Proposals must be submitted in a sealed envelope or package bearing the title "BROWARD HEALTHY START COALITION EXTERNAL AUDITING SERVICES" along with the name and address of the

organization submitting the proposal. Applicants must submit a complete electronic copy of the proposal on a USB drive that includes any applicable attachments. All electronic documents must be in their original format (i.e., Microsoft Word, Excel). Proposals should include a contact name, telephone number and an email address for correspondence and **shall be submitted no later than 12:00 p.m. Noon on Friday, May 3, 2019**, to Michele Burka, Director of Finance, Broward Healthy Start Coalition, 6301 NW 5th Way, Suite 1400, Fort Lauderdale, FL 33309. It is the responsibility of the firm to ensure that the proposal arrives on time at the address noted above. **Late proposals will be returned unopened.**

B. Proposal Timetable

- ◆ Dates Advertised/Available
April 3, 2019 – May 2, 2019
- ◆ Pre-Bid Proposal Conference
April 10, 2019 at 3:00 p.m.
Broward Healthy Start Coalition
6301 NW 5th Way, Suite 5000
Ft. Lauderdale, FL 33309
- ◆ Deadline for Receipt of Written Questions
April 12, 2019 Close of Business
- ◆ Answers to Questions Posted at www.browardhsc.org
April 16, 2019 Close of Business
- ◆ Deadline for Receipt of Proposals (No Exceptions)
May 3, 2019 by 12:00 p.m. Noon
Broward Healthy Start Coalition
6301 NW 5th Way, Suite 1400
Ft. Lauderdale, FL 33309
- ◆ Evaluation and Interviews
May 20-22, 2019
- ◆ Coalition Meeting – Approve and Award Contract
June 27, 2019, 9:30 a.m.
- ◆ Contract begins
July 1, 2019

All dates set forth above are subject to change by BHSC with notice provided.

C. Pre-Bid Proposals Conference

A Pre-Bid Proposals Conference will be held at BHSC, 6301 NW 5th Way, Suite 5000, Fort Lauderdale, FL 33309, on **Wednesday, April 10, 2019 at 3:00 p.m.** All prospective proposers are encouraged to attend in order to have the opportunity to review this bid solicitation and ask questions.

Proposers are encouraged to forward all questions in writing to mburka@browardhsc.org prior to the meeting; however, additional questions may be asked at the Proposal Conference. Please reference the RFP page number/section to which the question refers. Submitting your questions in writing will assist in the preparation of an addendum and will eliminate any confusion in understanding your questions.

D. Responses to Questions

All questions and responses will become public records and will be posted at www.browardhsc.org by close of business on Tuesday, April 16, 2019. The cutoff date for receipt of questions is 5:00 p.m. Friday, April 12, 2019. Beyond that date, questions will not be answered.

E. Public Information

All submitted proposals, and information included therein or attached thereto shall become public record upon their delivery to BHSC in accordance with Chapter 119, Florida Statutes. The only contact person with respect to any or all aspects of this RFP is Michele Burka, Director of Finance, 754-206-2540, mburka@browardhsc.org

F. Right to Reject Proposals and Waive Non-Material Irregularities

BHSC reserves the right to accept or reject any or all proposals, waive any non-material irregularities and technicalities and may, at its sole discretion, request a clarification or other information to evaluate any or all proposals. BHSC reserves the right, before awarding the contract, to require proposer(s) to submit evidence of qualifications or any other information BHSC may deem necessary.

G. Unauthorized Modifications

Any unauthorized modifications by proposer of RFP specifications, forms or terms may render the proposal invalid.

H. Prohibition on Lobbying

Applicants are hereby advised that, pursuant to BHSC By-Laws:

BHSC shall not award funding to an organization, person, or entity which as consented to or acquiesced in the employment of a person whose principal responsibilities are to lobby a member of the Coalition on behalf of the organization, person or entity which seeks funding from BHSC. Subject to the foregoing, an officer, director, official, principal or bona fide employee of an organization, person or entity seeking funding may engage in lobbying without payment of any compensation or reimbursement of expenses for such lobbying, whether directly or indirectly.

No monies granted by the Coalition shall be used by a provider agency to hire a lobbyist or to supplant any funds which would allow for the funding of a lobbyist.

Any proposer or lobbyist, paid or unpaid, for a proposer is prohibited from having any private communication concerning any procurement process or any response to a procurement process with any Coalition Member or the CEO after the issuance of a funding opportunity and until completion of contract award. A proposal from any organization will be disqualified when the proposer or a lobbyist, paid or unpaid, for the proposer violates this condition of the procurement process.

I. Conflict of Interest

All proposers must disclose in their Letter of Certification the name of any officer, director, or agent who is also an employee of BHSC. All proposers must disclose the name of any BHSC employee who owns, directly or indirectly, any interest in the proposers' business or any of its branches.

SECTION IV – SCOPE OF SERVICES

A. Term of Engagement

BHSC wishes to receive proposals for selection of an independent certified public accounting firm to provide external auditing services for a period of up to five (5) years, beginning with an audit of the Coalition's financial statements for fiscal year ending June 30, 2019 and ending after the completion and submission of the audit report for the fiscal year ending September 30, 2021. These periods will be broken down into a three-year contract with two one-year renewal options for a maximum of five years (see schedule below). There may be a rotation of auditors at the end of the five-year period for one cycle.

	Year 1 July 1, 2019 to June 30, 2020
	Year 2 July 1, 2020 to June 30, 2021
	Year 3 July 1, 2021 to June 30, 2022
Option Year 1	Year 4 July 1, 2022 to June 30, 2023
Option Year 2	Year 5 July 1, 2023 to June 30, 2024

B. Annual Examinations

The proposer selected as a result of this RFP shall provide independent auditing services to BHSC, to examine the financial statements of the BHSC, beginning with the financial statements for fiscal year ending June 30, 2019. The Office of the Auditor General of the State of Florida may also conduct an audit of BHSC.

The annual examinations by the proposer shall include, but not be limited to, the following:

1. Financial Audit – The examination will include a financial and compliance audit made in accordance with generally accepted auditing standards, *Government Auditing Standards, and the Rules of Auditor General Chapter 10.550 (Local Government Entity Audit)*. The primary purpose of this audit is to express an opinion on the financial statements of BHSC. The examination and procedures related hereto contemplate the review of the financial statements prepared by BHSC. The audit procedures used should be sufficient to enable the proposer to express an opinion on the fairness with which the financial statements present the financial position of BHSC and the results of its operations and the cash flows of its proprietary fund types, if applicable, in accordance with generally accepted accounting principles. In addition, such procedures should be adequate to determine whether the operations of BHSC were properly conducted in accordance with legal and regulatory requirements, including Florida Statutes, Federal laws and Coalition policies and procedures.
2. Review of Internal Controls – An evaluation is to be made of the system of internal controls, including the control environment, accounting systems and specific control procedures, to assess the extent to which the controls can be relied upon to ensure accurate information, to ensure compliance with the law and regulations, and to provide for efficient and effective operations. In order to assess the control risk, the proposer is to perform tests of controls and properly document its assessment. Reportable conditions shall be communicated in writing in accordance with generally accepted auditing standards.
3. Data Processing Review – The proposer will perform a review of internal controls used in the computer environment to ensure (a) the proper development and implementation of applications, (b) the integrity of program and data files, (c) the completeness and accuracy of the accounting records, and (d) the integrity of computer operations.

The proposer shall communicate periodically to staff and the Finance Committee if reportable conditions in data process review are identified during the engagement. As part of the Management Letter, the proposer shall report the following information it deems appropriate:

- Specific comments in the above areas for BHSC’s major computer systems
 - Overall conditions of internal control in computer environment
 - Significant weakness in internal control in data processing
4. Management Letter – A management letter will be issued, if applicable, that will contain significant audit findings that, among other matters, may include the following material items noted during the performance of the audit:
 - a. Whether errors or irregularities reported in the preceding audit report have been corrected;

- b. Whether recommendations made in the preceding audit report have been implemented;
- c. If applicable, whether any errors or irregularities reported by or any recommendations made by the State of Florida Office of the Auditor General concerning the preceding fiscal year have been corrected or implemented.
- d. Violation of the laws, rules and regulations discovered within the scope of the audit;
- e. Illegal expenditures discovered within the scope of the audit;
- f. Improper or inadequate accounting procedures;
- g. Failure to properly record financial transactions;
- h. Other inaccuracies, irregularities, shortages or defalcations, if any, discovered by the firm; and
- i. Recommendations to improve management, accounting procedures and internal controls and to increase efficiency.

The successful proposer shall be required to make an immediate written report to the Finance Committee of all significant irregularities and any illegal acts as they become known.

C. Single Audit

BHSC receives federal funding that requires a Single Audit to be performed. The proposer will perform a Single Audit in accordance with generally accepted auditing standards, Government Auditing Standards issued by the Comptroller General of the United States, the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance); and the Rules of the Auditor General of the State of Florida in order to report on the Schedule of Expenditures of Federal Awards, on the compliance of BHSC with laws and regulations and on internal controls, as required by the Single Audit Act. Information related to the single audit, including the schedule of Expenditures of Federal Awards, findings and questioned costs, and auditor's report on the internal control structure and compliance with applicable laws and regulations will be included in a separate report, when completed.

D. Audit Requirements

1. Commencement of the Audit - BHSC will have all records for the audit; all appropriate management personnel, as well as the Finance Committee available to meet with the audit team of the successful proposer upon acceptance of the proposal and execution of a professional services contract between the Coalition and the proposer.
2. Statements and Schedules to be Prepared by BHSC Staff - BHSC Finance Staff will prepare a final trial balance draft, financial statements, and statistical data. Also, BHSC will prepare all schedules/work papers that the Auditor requests.
3. Schedule of the Fiscal Year Audit - Each of the following shall be completed no later than the date indicated:
 - a. Audit Plan - Within one month of the execution of the professional services contract, a detailed plan will be provided covering interim and year-end audit procedures for the fiscal year ending June 30, 2019. In each succeeding fiscal year for which audit services will be provided, a detailed plan will be provided prior to the end of the fiscal year.
 - b. Fieldwork - For the fiscal year ending June 30, 2019 and thereafter, fieldwork should commence to ensure that the reporting deadlines outlined below can be met.

- c. Progress Conferences - Progress conferences will be held with the Finance Committee and/or the Director of Finance as needed during the course of the engagement. Such conferences will be held at any time that it appears that: scheduled completion dates may be in jeopardy; the audit detects apparent violations of law or apparent instances of misfeasance, malfeasance or nonfeasance by an employee; information is discovered that indicates that defalcations may reasonably be anticipated; or material weaknesses in internal controls are detected.
- d. Reporting Deadlines - The audit report and any related reporting in its final form including the management letter, if applicable, shall be completed each year as close to the end-of-December or mid-January, depending on when information is received from the State of Florida. The report will be presented to the Coalition at its January meeting for timely submission to Federal Audit Clearing House for review.
- e. Provide periodic reports to BHSC assessing the impact of any significant regulatory (Accounting Standards) changes and accounting or reporting developments proposed by the Financial Accounting Standards Board/Governmental Accounting Standards Board or any other significant financial/accounting matters that may affect the organization.

E. Additional Services

If, during the contractual period, additional services are needed, the proposer may, at the option of BHSC, be engaged to perform these services. Such services, if offered by the proposer, should be independent of financial audit whereas amounts and services are not material to financial statement. The proposer shall, upon receipt of a written request from the Coalition Chair or CEO, perform requested services.

All additional work will be documented by engagement memorandums to be approved by the Coalition Chair or CEO. The proposer will be compensated in accordance with the schedule of fees established as a result of the RFP. The fee for additional services shall be separately negotiated at the time of the engagement for a not-to-exceed amount calculated in accordance with the rates proposed in accordance with matrix on page 15 of this proposal.

F. Invoicing for Work

The proposer shall prepare an estimate of total hours required to complete the engagement. Progress will be determined by comparing the hours incurred to date to the estimated total hours for the engagement.

Invoices will be presented as work is completed – not to exceed once per month. A listing of hours incurred will accompany the invoice in support of this calculation. The final payment will be paid upon resolution of any open issues or delivery of any remaining items.

G. Other

1. Primary Point of Contact – The proposer shall identify a specific individual as a primary point of contact and be responsible for the work product of the proposer. The individual identified shall be available within 24 hours notice by telephone to attend meetings, respond to telephone calls, and respond to specific inquiries.
2. Replacement of Personnel - All replacement personnel to be assigned to the project are subject to written approval by BHSC. Replacement personnel must have credentials equivalent, at least, to the individuals whom they replace. Resumes of replacement personnel are to be submitted to BHSC for review. BHSC reserves the right to interview replacement personnel. The successful proposer will be responsible for the briefing of replacement personnel as to the status of the audit work at no expense to BHSC.

3. Working Papers - In all cases, the proposer will retain all working papers for a period of five (5) years and will provide BHSC and/or its assignees access, free of charge, to any or all work papers for a period of five (5) years.
4. Work Area - BHSC will provide successful proposer reasonable and adequate workspace, which will include access to a phone line, photo copier, scanner and fax machine.
5. Support Personnel - Support personnel will be made available by BHSC to provide assistance, such as identifying required records, gathering needed documentation and supporting information and such other tasks that will serve to expedite the audit, with the understanding that support personnel must be given consideration to effectively perform the day-to-day requirements of their positions.
6. Continuing Education – The proposer will update the Director of Finance of any impact of any significant regulatory (Accounting Standards) that may affect the organization and its timely and correct reporting.

SECTION V – SELECTION CRITERIA & EVALUATION

A. Selection Criteria

Minimum Eligibility Requirements: In order to be considered for evaluation, proposer:

- a. Shall be licensed to practice public accounting within the State of Florida;
- b. Shall be a member of the American Institute of Certified Public Accountants and the Florida Institute of Certified Public Accountants; and
- c. Shall have performed continuous CPA services in the government and/or nonprofit sector for a minimum of three (3) years.

Information to be Included in the Submitted Proposal: In order to maintain comparability and enhance the review process, it is requested that responses be completed and organized in the manner specified in Section VII – Instructions for External Auditing Services RFP. Proposers may obtain electronic copies of the RFP and exhibits at www.Browardhsc.org. Include all information in your proposal. It is required that one (1) original proposal and six (6) copies for a total of seven (7) proposals to be submitted. Applicants must submit a complete electronic copy of the proposal on a USB drive that includes any applicable attachments. All electronic documents must be in their original format (i.e., Microsoft Word, Excel).

B. Evaluation Process

The Auditor Evaluation Committee may consist of the Finance Committee and outside experts. The Committee may request a presentation by any or all proposers to clarify proposed plans and details as part of the review and evaluation process. These interviews are tentatively scheduled for the week of May 20-22, 2019. Participation is mandatory for all selected proposers.

The proposals received will be reviewed in accordance with the evaluation criteria listed below. The information will be presented to the Board of Directors with the data organized from highest to lowest rating. The Board of Directors will make the final decision. When the Board of Directors has selected the successful proposer, contract negotiations will begin. If contract agreement cannot be reached with the selected proposer, negotiations with that firm shall be formally terminated, and BHSC shall negotiate with their next selection until agreement is reached. At any time during the negotiations, BHSC may choose to modify the choice of a selected proposer if the Coalition determines that such a change is in the best interest of BHSC. BHSC reserves the right to reject any or all proposals submitted. The evaluation criteria will include the following categories:

Evaluation Criteria

	Description of Service	Points
	Profile and Qualifications of Firm <ul style="list-style-type: none"> • Licensed in State of Florida (preference for Broward County firms) • Quality Control Review • Past government and or non-profit experience of firm • Past financial software experience 	0-30
	Approach to the Audit <ul style="list-style-type: none"> • Sampling Techniques identified • Staff Planning • Internal Control Review 	0-25
	Profile and Qualifications of Individuals Assigned <ul style="list-style-type: none"> • Continuing Education • Past government and or non-profit experience of firm • Past financial software experience 	0-25
	Cost of Services	0-20
	Maximum Points	100

C. Length of Contract Period

The term of the contract shall be for three years from date of award. Two additional one-year periods may be awarded if cost and services are satisfactorily performed. A final not-to-exceed amount will be determined each year for the auditing services. The option to renew every year shall be at the sole discretion of the Coalition dependent upon but not limited to the Finance Committee’s recommendation. If needed, the final contract may be extended 90 days beyond the expiration date. The awardee will be notified when the recommendation has been acted upon by the Coalition.

D. Cancellation of Award/Termination

In the event any of the provisions of this proposal are violated by the Proposer, the CEO, or designee will give written notice to the Auditing Firm stating the deficiencies and unless the deficiencies are corrected within ten (10) days, recommendation will be made to the Board of Directors for immediate cancellation. Upon cancellation hereunder, BHSC may pursue any and all legal remedies as provided herein and by law.

BHSC reserves the right to terminate any contract resulting from this RFP, at any time and for any reason, upon giving 45 days prior written notice to the other party. If said contract should be terminated without cause as provided herein, BHSC will be relieved of all obligations under said contract. BHSC will only be required to pay to the Auditing Firm that amount of the contract actually performed to the date of termination. Access to any and all accounting and auditing information will be provided to BHSC after the termination of the contract.

The Auditing Firm will have the option to terminate the contract without cause upon written notice to the CEO. Such written notice must be received at least 60 days prior to the effective date of termination. Cancellation of contract by provider may result in removal from bidders/proposers list for a period of three years.

E. Default

In the event that the awarded proposer(s) should breach this contract BHSC reserves the right to seek remedies in law and/or in equity. Default will result in removal from the bidders/proposers list for a period of three years.

F. Award of Contract

The Auditing Services Contract is expected to be awarded at the Coalition meeting that will be held at 9:30 A.M., June 27, 2019, in the BHSC Board Room, 6301 NW 5 Way, Suite 5000, Fort Lauderdale, FL 33309. This will be a public meeting pursuant to Florida Sunshine requirements. Proposals will be on file in the office of the Broward Healthy Start Coalition.

G. Appeals Process

1. An applicant may appeal Coalition funding recommendations by utilizing the following guidelines. Appeals are limited to procedural grounds.

- a. Any Proposer who is adversely affected by a procedural determination may file a Notice of Appeal, in writing, within seventy-two (72) hours following the receipt of a Notice of Fatal Flaws. The Notice of Appeal shall be in writing, shall state the facts upon which such appeals shall be based and the issue(s) to be decided. All notices shall be directed to the CEO at BHSC, 6301 NW 5th Way, Suite 1400, Fort Lauderdale, FL 33309.
- b. The CEO shall provide an opportunity to resolve the protest by mutual agreement between the parties within seven (7) working days of receipt of the formal written Notice of Appeal.
- c. If the appeal is not informally resolved, the aggrieved party may file a written request for a formal Appeal Hearing before a Hearing Officer. The Hearing Officer shall be appointed by the Coalition Chair. Coalition's legal representation may be present to advise the Hearing Officer regarding hearing procedures and legal issues.
- d. Within five (5) working days from the date of the Appeal Hearing, the Hearing Officer shall send to the Proposer a final determination consisting of its findings of fact and conclusions as to whether the procedural requirements were complied with by the Coalition. Any determination of the Hearing Officer shall be final.
- e. If, in the sole determination of the Coalition that a dispute may result in a delay or interruption of services to clients, it reserves the right to contract with a contractor of choice on an interim basis to ensure the delivery of service until the appeal is resolved. The disputed dollar amount will be earmarked until the appeal is resolved. All other funds shall be available for distribution.

2. Bond

- a. Any Proposer who files a Notice of Appeal shall post with BHSC, at the time of filing the formal written protest, a bond secured by an acceptable surety company in Florida, payable to BHSC in an amount equal to one percent (1%) of the BHSC's estimate of the dollar value of the proposed contract, or five thousand dollars (\$5,000), whichever is less, which bond shall be conditioned upon the payment of all costs which may be adjudged against the bidder or applicant in the Hearing Officer in which the action is brought.
- b. If, after completion of the hearing process and the BHSC prevails, it shall be entitled to recover all costs and charges associated with attorney's fees. Upon payment of such costs and charges by the person protesting the decision, or intended decision or contract award, the bond shall be returned to the firm.

SECTION VI – TERMS, CONDITIONS AND OTHER REQUIREMENTS

A. Federal and State Tax

BHSC is exempt from federal and state taxes for tangible personal property, sales taxes, and intangible taxes. The Chief Executive Officer will sign an exemption certificate submitted by the successful proposer(s). Proposer(s) doing business with BHSC will not be exempted from paying sales tax to their suppliers for materials to fulfill contractual obligations with the BHSC, nor will any proposer be authorized to use the BHSC's Tax Exemption Number in securing such materials.

B. Legal Requirements

It shall be the responsibility of the provider to be knowledgeable of all federal, state, county and local laws, ordinances, rules and regulations that in any manner affect the items covered herein which may apply. Lack of knowledge by the proposer(s) will in no way be a cause for relief from responsibility.

Proposer(s) doing business with BHSC are prohibited from discriminating against any employee, applicant, or client because of race, creed, color, national origin, gender, sexual orientation, or age with regard to but not limited to the following: employment practices, rates of pay or other compensation methods, and training selection.

C. Agreement

A contract will be negotiated after the award for any work to be performed as a result of this RFP. The RFP, the proposal, and the resulting contract will constitute the complete agreement between proposer and BHSC.

D. Trade Secret and Confidential Materials

If the application includes material which is deemed a trade secret (as defined by Section 812.081, FS) or other confidential material exempt from the provisions of Chapter 119, FS, which the applicant does not wish to become public record, the following statement should be included in the application:

“Trade Secrets as defined by Section 812.081, Florida Statutes, or other confidential materials contained on *applicable* pages of this application shall not be used or disclosed, except for evaluation purposes. However, if a contract is awarded to this offer or as a result in connection with the submission of this program, the Coalition shall have the right to use or disclose the information designated as trade secrets or confidential to the extent provided in the contract. This restriction does not limit the Coalition’s right to use or disclose the information designated as trade secrets or confidential which is obtained from another source.”

Any exemption claimed will be limited to the pertinent data/documents and must be supported by a statutory exemption. Notwithstanding anything to the contrary, nothing contained in the application shall be deemed or interpreted to restrict or prevent the Coalition from complying with the disclosure requirements of Chapter 119, FS, when material is incorrectly identified as a trade secret or confidential information. By submitting an application, the applicant covenants not to sue the Coalition and waives any claim against the Coalition arising under Chapter 119, Florida Statutes or in connection with or as a result of any disclosures by the Coalition in connection herewith.

E. Subcontracting

Successful proposer shall not assign the responsibilities outlined in this RFP to another party or subcontract for any of the work described here within, without prior written approval of the Chief Executive Officer. No such approval by the CEO shall be deemed in any event or in any manner to provide for the incurrence of any obligation by the Coalition in addition to the total dollar amount stated in this Agreement. All such assignments or subcontracts shall be subject to the conditions of this Agreement and to any conditions of approval that the Coalition shall deem necessary.

SECTION VII – INSTRUCTIONS FOR EXTERNAL AUDITING SERVICES RFP

- A. BHSC requires the proposal to be completed in full including an electronic version of the completed proposal. The sections to the form are as follows:

Section 1 - Applicant Information: Cover Sheet

This section is to be completed and signed by an authorized official of the organization. Form will be provided as Attachment to RFP.

Section 2 - Table of Contents

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

Section 3 - Letter of Certification

This section is a letter of certification on Company letterhead to be signed by the auditing firm. The letter should state that the auditing firm can provide the service BHSC requires, that specific attachments have been included, that any required additional documentation will be forwarded within 3 days if selected, and that it is understood all information included in the response shall become public record. See the example of the Letter of Certification on page 18.

Section 4 - General Description of the Scope of Work

- a. Briefly state the understanding of the proposer regarding the work to be done and make a positive commitment to perform the work.
- b. Discussion of how you will meet each of the services desired as described in Section IV - Scope of Services. At a minimum, this section should include an explanation concerning each of the points outlined below.

Section 5 - Approach to the Audit

- a. Clearly describe the approach that the proposer will use in providing the auditing services.
- b. Describe the procedures of the proposer for ensuring and documenting the internal controls environment.
- c. Describe the computer auditing capability of the local office, and the approach that the proposer will use in auditing the computer environment.
- d. Describe the proposed approach to the ensuing timelines so that all reports, as well as the Management Letter, are issued on time.

Section 6 - Profile and Qualifications - Experience and Qualifications of the Firm

- a. Describe the experience of the local office in performing audits of governmental entities, including preparing governmental financial statements in conformance with GASB Pronouncements, Statements and Interpretations; in performing Single Audits; and in providing assistance to clients in preparing the Comprehensive Annual Financial Report for submission to Federal Audit Clearing House for review.
- b. State whether the firm is local, regional or national and the state in which it is licensed to practice. Give the location of the office from which the work is to be done and the number of partners, managers, supervisors, seniors and other professional staff employed at that office.
- c. Provide references from other Florida governmental clients or similar agencies for work similar to that contemplated by this RFP.
- d. Describe the range of services offered by the local office, such as audit, accounting and/or tax services.
- e. Describe any disciplinary action taken against the proposer or any individual associated with the proposer by the State of Florida Board of Accountancy within the last three (3) years.
- f. Briefly describe all lawsuits that are pending/filed against the local office of the proposer over the last three years.

Section 7 - Profile and Qualifications - Experience and Qualifications of Individuals Assigned

- a. The proposer must identify the audit team that will be responsible for providing the required audit services, including the partners, managers, supervisors and staff, as well as staff from other than the local office, if necessary, for this audit. Resumes for each partner, manager and supervisor to be assigned to the audit team should be submitted and include the

following information:

- Formal education
- Continuing professional education relative to governmental or non-profit accounting and auditing
- Experience in government, non-profit or private business
- Experience in public accounting in general
- Experience in auditing governmental units, including the position held (i.e., partner, manager, supervisor, senior or other position in the engagement)
- Experience in auditing computerized systems
- Membership in various national and state governmental accounting boards, committees or associations (past and present)
- Professional recognition, such as Certified Public Accounting licenses, awards, etc.

b. Identify the specific individual who would serve BHSC as a primary point of contact.

Section 8 - Cost of Services

a. **Annual Examination** - The proposer shall prepare a schedule of billing rates for the various levels of staff, together with an estimate of the number of hours it anticipates for completing the annual examination of the financial statements of BHSC. Using these estimates, the proposer shall provide a not-to-exceed amount for the proposed audit services. Any extraordinary charges shall be considered as costs associated with annual examinations for the purpose of proposal evaluation.

Illustrative Guide For Proposing Cost of Services
--

Staff Level	Hourly Billing Rate	Est. Number of Hours	Qualifications	Responsibilities
Junior				
Senior				
Manager				
Partner				
Other (explain)				
Total	N/A	_____	N/A	N/A

<u>Fiscal Year Ending</u>	<u>Est. Number of Hours</u>	<u>Not to Exceed Amount</u>
<i>June 30, 2019</i>	_____	\$ _____
<i>June 30, 2020</i>	_____	\$ _____
<i>June 30, 2021</i>	_____	\$ _____
<i>June 30, 2022</i>	_____	\$ _____
<i>June 30, 2023</i>	_____	\$ _____

- b. All fees and charges should be included in the prices/rates in this Section. However, if the proposer anticipates any extraordinary charges, they must be detailed in the proposal.

Section 9 - Prior Governmental or Non-Profit Auditing Experience

List all recent governmental engagements within the past seven years; i.e. the auditor's general experience and reputation in the local government auditing/accounting field, including recent GASB statement implementations. Please include a minimum of three references and dates of service.

Section 10 - Disciplinary Actions

The firm shall state whether it has been the subject of any disciplinary action within the last three years, or if any such action is pending by state regulatory bodies or professional organizations. If such conditions exist, information is to be provided as to the circumstances and status of the disciplinary action.

Section 11 - Quality Control Review

The firm is requested to submit a copy of its most recent peer review with a statement whether the review included an examination of specific government engagements.

Section 12 - Certification Affidavit

The Certification Affidavit attests that the organization has made all necessary disclosures and will provide copies of policies within 3 days of being selected. This form needs to be signed and notarized and returned with the proposal.

ATTACHMENT I

**19-FM-01
Request for Proposal
for Auditing Services**

Broward Healthy Start Coalition, Inc.

Section A: Applicant Information: Cover Sheet

1. Firm's Legal Name:	
2. Main Administrative Address:	
3. City & State:	4. Zip Code:
5. Telephone Number:	6. Fax Number:
7. Main Contact Person:	8. Office Telephone Number:
9. Contact Email Address:	10. Contact Fax Number:
11. Additional Contact Person:	12. Additional Contact Telephone Number:
13. Additional Contact Email Address:	14. Additional Contact Fax Number:
15. Licensed to do business in Florida? ___ Yes; ___ No; ___ N/A.	16. Federal Identification Number:

Section B. Certification of Accuracy and Compliance

I do hereby certify that all facts, figures, and representations made in the proposal are true and correct. The filing of this proposal has been authorized by the contracting entity and I have been duly authorized to act as the representative of the organization in connection with this proposal. I also agree to follow all Terms, Conditions, and applicable federal and state statutes.

Lastly, I hereby attest that all work contained within this proposal is the unique and original product of the firm I represent, and has not been plagiarized or duplicated in any way from another agency's work product.

Print Authorized Official's Name

Authorized Official's Title

Authorized Official's Signature in Blue Ink

Date

ATTACHMENT II: Example of Letter of Certification

Michele Burka, Director of Finance
Broward Healthy Start Coalition, Inc.
6301 NW 5th Way, Suite 1400
Fort Lauderdale, FL 33309

Dear Ms. Burka:

We have read the Broward Healthy Starts Request for Proposal and fully understand its intent. We certify that we have adequate personnel, equipment, technology, and facilities to fulfill the requirements thereto. We understand that our ability to meet the criteria and provide the required services shall be judged by members of the Finance Committee, together with outside experts, with final approval from BHSC.

We have attached the following:

- 1. External Auditing Services Proposal
- 2. Signed and Notarized Copy of the Certification Affidavit
- 3. Completed W-9 IRS Form (See Attached Form)

I, the undersigned proposer has not divulged, discussed, or compared this proposal with any other proposers and have not colluded with any other proposer in the preparation of this proposal in order to gain an unfair advantage in the award of this proposal.

It is understood that all information included in, attached to, or required by this RFP shall become public record upon their delivery to BHSC as defined in the Public Records Act, Chapter 119, F.S.

Submitted by:

(AUDITING FIRM)

(AUTHORIZED SIGNATURE)

(DATE)

(TITLE)

(EMAIL)

(TELEPHONE)

ATTACHMENT III

CERTIFICATION AFFIDAVIT

DIRECTIONS: BY ATTESTING TO THIS FORM, THE PROVIDER AGREES TO COMPLY WITH ALL SECTIONS (ONE THROUGH FIVE) ON SWORN AFFIDAVIT. THIS FORM MUST BE SIGNED IN THE PRESENCE OF A NOTARY PUBLIC OR OTHER OFFICER AUTHORIZED TO ADMINISTER OATHS.

1. APPLICATION ACCURACY

I do hereby certify that all facts, figures, and representations made in the proposal are true and correct. The filing of this proposal has been authorized by the contracting entity and I have been duly authorized to act as the representative of the organization in connection with this proposal. I also agree to follow all Terms, Conditions, and applicable federal and state statutes.

2. PROHIBITION ON LOBBYING

Applicants are hereby advised, and agree to comply with the Coalition’s adopted prohibition on lobbying:

The Broward Healthy Start Coalition shall not award funding to an organization, person or entity which has hired a person, whether directly or indirectly, who receives payment or economic consideration for the purpose of lobbying. Additionally, the Coalition shall not award funding to an organization, person, or entity which has consented to or acquiesced in the employment of a person whose principal responsibilities are to lobby a member of the Coalition on behalf of the organization, person, or entity which seeks funding from the Coalition. Subject to the foregoing, an officer, director, official, principal or bona fide employee of an organization, person, or entity seeking funding may engage in lobbying without payment of any compensation or reimbursement of expenses for such lobbying, whether directly or indirectly.

No monies granted by the Coalition shall be used by a Provider agency to hire a lobbyist or to supplant any funds which would allow for the funding of a lobbyist.

Any applicant or lobbyist paid or unpaid, for an Applicant is prohibited from having any private communication concerning any procurement process or any response to a procurement process with any Coalition Member or the CEO after the issuance of a funding opportunity and until completion of contract award. A proposal from any organization will be disqualified when the Applicant of a lobbyist, paid or unpaid, for the Applicant violates this condition of the procurement process.

3. CONFLICT OF INTEREST

Applicants are hereby advised, and agree to comply with the Coalition’s adopted conflict of interest regulations:

All Applicants must disclose the name of any officer, director or agency who is also an employee of the Coalition. All Applicants must disclose the name of any Coalition employee who owns, directly or indirectly, any interest in the Applicants’ business or any of its branches. Such disclosure must be submitted as a cover letter included with the Application for Funding, addressed to the Coalition Chair, no later than the proposal deadline.

4. AGENCY CERTIFICATION

I, the undersigned Applicant, hereby attest that the following policies, procedures, regulations, and documentation are in effect and agree to provide copies of the following within three (3) working days of notification of intent to contract or contract award:

- a. Affirmative Action Policy
- b. Certified Minority Business Enterprise (if applicable)
- c. Small Disadvantaged Business Enterprise Policy (if applicable)
- d. Americans with Disabilities Act Policy
- e. Drug Free Workplace Policy

5. PUBLIC ENTITY CRIME AFFIDAVIT

- a. I understand that a “public entity crime as defined in Paragraph 287.1 33(1)(g), Florida Statutes means a violation of any state or federal law by a person with respect to and directly related to the transaction of business with any entity or with an agency or political subdivision of any other state or with the United States, including, but not limited to, any bid or contract for goods or services to be provided to any public entity or an agency or political subdivision of any other state or of the United States and involving antitrust, fraud, theft, bribery, collusion, racketeering, conspiracy, or material misrepresentation.
- b. I understand that “convicted” or “conviction” as defined in Paragraph 287.1 33(1)(b), Florida Statutes means a finding of guilt or a conviction of a public entity crime, with or without an adjudication of guilt, in any federal or state trial court of record relating to charges brought by indictment or information after July, 1989, as a result of a jury verdict, non-jury trial, or entry of a plea of guilty or nolo contendere.
- c. I understand that an “affiliate” as defined in Paragraph 287.1C3(a)(a), Florida Statutes means:
- A predecessor or successor of a person convicted of a public entity crime; or
 - An entity under the control of any natural person who is active in the management of the entity and who has been convicted of public entity crime. The term “affiliate” includes those officers, directors, executives, partners, shareholders, employees, members, and agents who are active in the management of affiliate.
- The ownership by one person of shares constituting a controlling interest in another person, or pooling of equipment of income among persons when not for fair market value under an arm’s length agreement, shall be a prima facie case that one person controls another person. A person who knowingly enters into a joint venture with a person who has been convicted of a public entity crime in Florida during the preceding 36 months shall be considered an affiliate.
- d. I understand that a “person” as defined in Paragraph 287.1330) (e), Florida Statutes means any natural person or entity organized under the laws of any state or of the United States with the legal power to enter into a binding contract and which bids or applies to bids on contracts for the provision of goods or services let by a public entity, or which otherwise transacts or applies to transact business with a public entity. The term “person” includes those officers, directors, executives, partners, shareholders, employees, members, and agents who are active in management of an entity.
- e. Based on information and belief, the statement which I have marked below is true in relation to the entity submitting this sworn statement. (Please indicate which statement applies).
- Neither the entity submitting this sworn statement, nor any officers, directors, executives, partners, shareholders, employees, members, or agents who are active in management of the entity, nor any affiliate of the entity have been charged with and convicted of a public entity crime subsequent to July 1, 1989.
 - The entity submitting this sworn statement, or one or more of the officers, directors, executives, partners, shareholders, employees, members, or agents who are active in management of the entity, or an affiliate of the entity has been charged with and convicted of a public entity crime subsequent to July 1, 1989, AND (Please indicate which additional statement applies.)
 - There has been proceeding concerning the conviction before a hearing officer of the state of Florida, Division of Administrative Hearings. The final order entered by the hearing officer did not place the person or affiliate on the convicted vendor list. (Please attach a copy of the final order).

- The person or affiliate was placed on the convicted vendor list. There has been a subsequent proceeding before a hearing officer of the State of Florida, Division of Administrative Hearings. The final order entered by the hearing officer determined that it was in the public interest to remove the person or affiliate from the convicted vendor list. (Please attach a copy of the final order).
- The person or affiliate has not been placed on the convicted vendor list. (Please describe any action taken by or pending with the Department of General Services).

ORGANIZATION’S NAME AND ADDRESS:

NOTE: AS EVIDENCED BY MY SIGNATURE BELOW, I UNDERSTAND AND WILL COMPLY WITH ALL TERMS AND CONDITIONS STATED HEREIN:

_____ Type Authorized Official’s Name Authorized Official’s Title _____

_____ Authorized Official’s Signature Date _____

FEDERAL EMPLOYER IDENTIFICATION NUMBER _____

FOR NOTARY PUBLIC (OFFICIAL USE ONLY)

STATE OF _____

COUNTY OF _____

PERSONALLY APPEARED BEFORE ME, the undersigned authority,

_____ who, after first being sworn by me, affixed his/her
 _____ (name of individual signing) signature in the space
 provided above on the _____ day of _____, 2019.

_____ NOTARY PUBLIC

My commission expires: