

SUBMIT HARDCOPY DOCUMENTS TO:



**City of Arcadia
Office of the City Clerk
23 North Polk Avenue
Arcadia, Florida 34266**

City of ARCADIA, Florida

NOTICE OF AVAILABILITY

Solicitation Type: Request For Proposal

RELEASE DATE: OCTOBER 26, 2016

City of Arcadia is requesting submittal packages from qualified proposers.

SOLICITATION #RFP2017-02

PROPOSAL NAME: City of Arcadia Financial Auditing Services

SCOPE: The City of Arcadia is seeking formal Proposals from qualified firms and/or individuals to provide FINANCIAL AUDITING SERVICES as indicated within the context of this Solicitation.

PUBLIC NOTICE OF AVAILABILITY:

- www.arcadia-fl.gov
- www.demandstar.com
- Purchasing Department, 23 N Polk Avenue, Arcadia, FL 34266
- Posted Margaret Way Building
- Posted: October 26, 2016
- Arcadian News Paper
- Published: November 3, 2016

PRE-BID/PROPOSAL CONFERENCE:

There will be no Pre-Proposal Conference for this Solicitation.

DUE DATE AND TIME FOR SUBMITTING A SUBMITTAL PACKAGE IS: WEDNESDAY, NOVEMBER 30, 2016 AT 2:00 P. M. or as may be amended by the subsequent issuance of addenda.

INQUIRIES AND CLARIFICATIONS REQUESTS DEADLINE: WEDNESDAY, NOVEMBER 23, 2016 AT 2:00 P.M. All questions to the terms and conditions of the scope of work of this proposal shall be submitted in writing via mail, fax, or e-mail to the authorized City contact.

AUTHORIZED CITY CONTACT:

Tami Hunt
City of Arcadia Purchasing Department
23 North Polk Avenue
Arcadia, Florida 34266
Phone: 863-494-4114 Fax: 863-494-4623
Email: thunt@arcadia-fl.gov

Submittal packages in response to this Solicitation must be submitted in the following method: Sealed in an envelope and delivered to:

Penny Delaney, City Clerk
City of Arcadia
23 North Polk Avenue
Arcadia, Florida 34266

Refer to the Submittal Package Information & Instructions section, in this document, for additional detailed instructions for submitting a response.

Submittal Packages received in response to this solicitation and received by the established due date and time specified will be publically opened and read aloud in the Council Chambers, Margaret Way Building, 23 North Polk Avenue, Arcadia, Florida on **Wednesday, November 30, 2016 at 2:00 p.m., or soon thereafter.** The opening and reading shall be in the presence of the Purchasing Agent and witness. Proposers and the general public are not required but invited to attend.

BIDDER/PROPOSER REGISTRATION

FAX: (863)494-4623

Please register as a vendor using this form. Only registered vendors will be contacted with notices of changes or addenda to this bid package. Complete and return this form by fax or mail to the Purchasing office at the address listed above.

Company Name: _____ Contact person: _____
Mailing address: _____ City: _____ State: _____ Zip code: _____
Phone: _____ Fax: _____ Email: _____

All first time vendors must submit a W-9 Form with their response.

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Solicitation # **RFP2017-02**

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SECTION 1
INTRODUCTION/GENERAL CONDITIONS
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02

1. PURPOSE:

- A. INTENT OF RFP:** It is the intent of the City of Arcadia, Florida, to select an experienced and qualified Auditing Firm (Auditor) to provide professional FINANCIAL AUDITING SERVICES for the City, as required by Florida Statute 11.45, for the fiscal years ending September 30, 2016; 2017; and 2018. The contract will have the option to renew for two (2) additional one (1) year periods, contingent on the satisfactory negotiation of terms between both the City and Firm.
- B. Time and Due Date:** The City of Arcadia will accept initial proposals from qualified firms consisting of individuals, corporations, partnerships, and other legal entities authorized to conduct business in the State of Florida no later than Wednesday, November 30, 2016 At 2:00 p.m.
- C. Background:** The City of Arcadia is a municipal corporation of the State of Florida located in DeSoto County and is the only incorporated City in the County. The City is comprised of 4 square miles with an estimated population of 7,600.

The City operates under an elected Council administrative/legislative form of government. Council Members are elected to a four (4) year staggered term with no term limit.

The City of Arcadia provides a range of municipal services. The public safety operation includes police, as well as code enforcement and zoning. Public recreation sites consisting of parks, ball fields, tennis courts and an 18 Hole Golf Course makeup the city's recreational services. The City also has a municipal airport. Public Works provides essential street and highway maintenance, signalization, landscape maintenance, storm water utilities and solid waste collection. The Utilities Department provides and maintains water services, sewer services and reclaimed water.

- 2. TERM OF CONTRACT/CONTRACT AWARDS:** The City anticipates entering into one (1) contract with the firm who submits the proposal judged to be responsive, responsible and most advantageous to the City. The proposer understands that this RFP does not constitute an agreement or a contract with the proposer. A proposal is not binding until proposals are reviewed and accepted by the Arcadia City Council and both parties execute a contract. This contract will become effective immediately upon approval by the City Council and will remain in effect through the completion of work for fiscal year ended September 30, 2018 unless otherwise cancelled or terminated pursuant to the terms of the contract.

It is anticipated a term contract will be awarded for the initial provision of three (3) annual audits for fiscal years 2016, 2017 and 2018 upon approval and execution by the City; with the opportunity for the provision of two (2) additional annual audits for fiscal years 2019 and 2020 when in the best interest of the City. Total contract length, including all renewals should not exceed annual audits for five (5) fiscal years. The decision to renew or extend the contract shall be at the discretion of the City.

- 3. MINIMUM REQUIREMENTS:** In order to be considered, the firm must meet all of the following criteria:
- A. The audit firm is independent of the City and licensed to practice in the state of Florida. The Proposer shall provide an affirmative statement that it is independent of the City of Arcadia

as defined by generally accepted auditing standards and the U.S. General Accounting Office Government Auditing Standards. The Proposer shall provide an affirmative statement indicating the firm and all assigned key professional staff are properly registered and licensed to practice in the State of Florida and qualified to perform governmental audits. Please include same under Tab "1".

- B. The firm's audit professional personnel have received adequate continuing professional education within the preceding three (3) years.
- C. The firm must submit a copy of its most recent external quality control review report with their proposal response. Please include same under Tab "3".
- D. The firm will adhere to the instructions in this RFP on preparing and submitting their proposal response.

The proposer shall provide proof of the above minimum qualification by furnishing copies of letters, certificates, etcetera (as applicable); which clearly document said qualifications. Failure to provide said documentation with your proposal shall be grounds for deeming your proposal unresponsive and removing it from further consideration. This is a non-negotiable item.

- 4. **DEVELOPMENT COSTS:** The City shall not be liable for any expense incurred in connection with preparation of a response to this Request for Proposal. Proposers should prepare a straightforward and concise description of the proposer's ability to meet the requirements of the RFP.
- 5. **CONE OF SILENCE:** Once the formal solicitation has been issued, communication from a prospective proposer is prohibited, whether direct or indirect, regarding the subject matter or the specifications by any means whatsoever (whether oral or written), with any City employee, elected official, selection committee member, or representative of the City of Arcadia, from the issuance of the specifications until the Council makes the award. Communications initiated by a bidder may be grounds for disqualifying the offending bidder from consideration for award of the bid or any future bid. The only exceptions to the foregoing rule are as follows: (1) an invitation to give an oral presentation to the selection committee is received; (2) any questions relative to interpretation of specifications or the formal solicitation process shall be addressed to the authorized City Contact as stated below in "Inquiries."
- 6. **INQUIRIES:** The City will not respond to oral inquiries. Proposers may submit written, e-mailed or faxed, inquiries regarding this RFP to the authorized City Contact:

Tami Hunt
City of Arcadia Purchasing Department
23 North Polk Avenue
Arcadia, Florida 34266
Fax: 863-494-4623; Email: thunt@arcadia-fl.gov

The City will respond to written, emailed or faxed, inquiries received at least seven (7) days prior to the RFP due date.

The City will record its responses to inquiries and any supplemental instructions in the form of written addenda. It shall be the responsibility of the proposer, prior to submitting their proposal, to contact the City to determine if addenda were issued, then acknowledging and incorporating them into their proposal.

7. **PROPOSAL SUBMISSION AND WITHDRAWAL:** The City will receive proposals at the following address and clearly marked on the outside:

RFP 2017-02 FINANCIAL AUDITING SERVICES:

**City of Arcadia
Penny Delaney, City Clerk
23 North Polk Avenue
Arcadia, Florida 34266**

Proposals received after the established deadline will not be opened. Proposers may withdraw their proposals by notifying the City in writing at any time prior to the due date. Proposals not so withdrawn shall, upon opening, constitute an irrevocable offer for a period of one hundred and eighty (180) calendar days to provide the City the services set forth in these specifications until one or more of the proposals have been accepted by the City Council. Upon opening, proposals become "public records" and shall be subject to public disclosure in accordance with Chapter 119, Florida Statutes.

8. **PROPOSAL RESTRICTIONS:** In order to control the cost of preparation, submittal will be restricted to the requirements as described in Section 3 – Submittal Instructions contained within this RFP.
9. **DRUG FREE WORKPLACE:** The City of Arcadia is a Drug Free Workplace. It is required that the attached Drug Free Workplace Form be signed and returned to this office with the proposal.
10. **PUBLIC ENTITY CRIMES STATEMENT:** In accordance with Florida Statutes Sec. 287.133(2)(a), "A person or affiliate who has been placed on the convicted vendor list following a conviction for a public entity crime may not submit a bid on a contract to provide any goods/services to a public entity, may not submit a bid on a contract with a public entity for construction or repair of a public building or public work, may not submit bids on leases of real property to a public entity, may not be awarded or perform work as a contractor, supplier, subcontractor, or consultant under a contract with any public entity, and may not transact business with any public entity in excess of the threshold amount provided in Section 287.017, for Category Two, for a period of 36 months from the date of being placed on the convicted vendor list." It is required that the attached Public Entity Form be signed and returned to this office with the proposal.
11. **CANCELLATION:** The City shall have the right to unilaterally cancel, terminate or suspend any contract approved by City Council, as provided herein, in whole or in part, by providing the firm thirty (30) days written notice by certified mail.
12. **FISCAL NON-FUNDING CLAUSE:** In the event sufficient funds are not budgeted for a new fiscal period, the City shall notify the successful proposer of such occurrence and the contract shall terminate on the last day of the current fiscal year without penalty or expense to the City.
13. **RESERVED RIGHTS:** The City reserves the right to accept or reject any/or all submissions, to accept all or any part of the submission, to waive irregularities and technicalities, and to request resubmission, if it is deemed in the best interest of the City. The City, in its sole discretion, may expand the scope of work to include additional requirements. The City reserves the right to investigate, as it deems necessary, to determine the ability of any firm to perform the work or services requested. The firms upon request shall provide information the City deems necessary in order to make a determination.

14. EQUAL EMPLOYMENT OPPORTUNITY CLAUSE: City of Arcadia, Florida, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252) and the Regulations of the Department of Commerce (15 CFR, Part 8) issued pursuant to such Act, hereby notifies all proposers that it will ensure that in any contract entered into pursuant to this advertisement, minority business enterprises will be afforded full opportunity to submit proposals in response to this advertisement and will not be discriminated against on the ground of race, color or national origin in consideration for an award.

15. INSURANCE REQUIREMENTS: The successful firm shall be required to supply, at their cost, the following minimum insurance coverage:

A. Workers Compensation: Coverage to apply for all employees for Statutory Limits in compliance with the applicable state and federal laws. The policy must include Employers' Liability with a limit of \$500,000 each accident; \$500,000 each employee; and \$500,000 policy limit for disease.

B. Professional Liability Insurance: with minimum \$1,000,000 per occurrence for this project with a \$2,000,000 policy term general aggregate. Coverage shall be extended beyond the policy year term either by a supplemental extended reporting period (ERP) with as great of duration as available, with no less coverage and reinstated aggregate limits, or by requiring that any new policy provide a retroactive date no later than the inception date of claims made.

C. Comprehensive Commercial General Liability Insurance: Occurrence from required. Aggregate must apply separately to this contract/job. Minimum \$500,000 each occurrence; \$1,000,000 general aggregate; \$1,000,000 products and completed ops, and \$100,000 fire damage.

D. Automobile Insurance: To include all vehicles owned, leased, hired and non-owned vehicles with limits of not less than \$1,000,000 per each accident and for property damage and bodily injury, with contractual liability coverage for all work performed under this agreement.

E. City of Arcadia is to be named additional insured on Comprehensive Commercial General Liability Policy and the Business Auto Policy. Certification of same shall be required along with a standalone Hold Harmless Agreement. All certificates of insurance and the City's Hold Harmless Agreement must be on file with and approved by the City before commencement of any work activities under this agreement.

F. Any and all deductibles to the above referenced policies are to be the responsibility of the successful firm.

G. Hold Harmless: The City shall be held harmless against all claims for bodily injury, sickness, disease, death or personal injury or damage to property, or loss of use resulting from or arising out of performance of this agreement or contract, unless such claims are a result of the City's sole negligence. The City shall also be held harmless against all claims for financial loss with respect to the provision of or failure to provide professional or other services resulting in professional, malpractice, or errors or omissions liability arising out of performance of this agreement or contract, unless such claims are a result of the City's sole negligence. A City standalone Hold Harmless Agreement is required and shall be submitted along with all certificates of insurance.

PROPOSAL DUE DATE & TIME: WEDNESDAY, NOVEMBER 30, 2016 AT 2:00 P. M. Proposals received after the specified time and date will not be accepted. The City will not be responsible for mail delays, late or incorrect deliveries. The time/date stamp located in the Office of the City Clerk will be the official authority for determining late Proposals.

Please submit one (1) original hardcopy and two (2) flash drives with one single PDF file of the entire proposal package on each flash drive. Proposal package is to be enclosed in a sealed envelope, clearly marked on the outside: "RFP #2017-02 – FINANCIAL AUDITING SERVICES" with the due date and the respondent's name, addressed and delivered to the City Clerk at:

**City Clerk
City Of Arcadia, Florida
23 North Polk Avenue
Arcadia, Florida 34266**

The full Request for Proposal may be obtained from the City of Arcadia's website, www.arcadia-fl.gov or on Demand Star at www.demandstar.com.

Proposals submitted by facsimile (fax) or electronically via e-mail will NOT be accepted. Submittal of a Proposal in response to this Request for Proposal constitutes an offer by the Proposer. Proposals, which do not comply with these requirements, may be rejected at the option of the City.

The Proposer will be required to furnish documentation with his proposal showing that he is in compliance with any and all licensing requirements of the State within 10 days following the Notice of Award.

The Proposed time schedule as related to this solicitation is as follows:

EVENT	DATE/TIME (EST)
Release of Request for Proposal	October 26, 2016
Deadline for Questions/Inquiries	November 23, 2016
RFP DUE DATE/Time (Deadline)	November 30, 2016
Tentative 1 st Audit Committee Meeting	
Tentative 2 nd Audit Committee Meeting	
Tentative Recommendation to City Council	
Tentative Announcement of Award	

Before a Contract will be awarded for the work contemplated herein, the City will conduct such investigation as is necessary to determine the performance record and ability of the selected Proposer to perform the size and type of work specified under this Contract. Upon request, the Proposer shall submit such information as deemed necessary by the City to evaluate the Proposer's qualifications.

All questions to the terms and conditions of the scope of work of this proposal shall be submitted in writing via mail, fax, or e-mail to the authorized City contact.

AUTHORIZED CITY CONTACT:

Tami Hunt
City of Arcadia Purchasing Department
23 North Polk Avenue
Arcadia, Florida 34266
Fax: 863-494-4623; Email: thunt@arcadia-fl.gov

**SECTION 2
SCOPE/SPECIFICATIONS
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02**

SCOPE OF WORK/SPECIFICATIONS

INTRODUCTION: The entity to be audited under this RFP is the City of Arcadia, Florida including all departments/divisions of the City. The funds to be audited are those included or includable in the City's Annual Financial Report. Proposals should include the cost for the City audit as well as any additional cost associated should a single audit be required.

Financial information: The City's accounting system is fully automated. The City's integrated financial system is MUNIS, which main accounting module incorporates general ledger, cash receipts, accounts payable and receivables, payroll, and human resources, utility billing, and business taxes.

The City of Arcadia reported in fiscal year ended September 30, 2015 on a combined total of nine (9) funds, four (4) of which had budgets. Funds included were:

<u>Fund Type</u>	<u>Number of Funds</u>
General Fund	1
Non-major Funds.....	3
Enterprise Funds.....	3
Pension Trust Funds	2

There are no joint ventures. For fiscal year ended September 30, 2015, a single audit was required. The City of Arcadia does anticipate a single audit for fiscal year ended September 30, 2016. The City prepares its budgets on a modified accrual basis. The City of Arcadia participates in the following two defined benefit, single employer, pension plans:

1. City of Arcadia Police Officers' and Firefighters' Pension Plan City of Arcadia
2. General Employees Pension Plan

SCOPE OF SERVICES:

The City of Arcadia desires the auditor to express an opinion on the fair presentation of its basic financial statements in conformity with accounting principles generally accepted in the United States of America. Included as part of the annual audit:

- The auditor shall compile, prepare and complete all required Basic Financial Statements. The report is to be consistent with GAAP, including all applicable GASB pronouncements.
- The audit report must include an examination of all funds and account groups of the City.
- An opinion is to be expressed on the combined and individual funds as well as on fund types.
- The preparation of a Management Letter with appropriate suggestions for improvement of accounting procedures and internal controls for the City's considerations.
- Preparation of all Notes to Financial Statements.

The auditor shall also be responsible for performing certain limited procedures involving required supplementary information required by the Governmental Accounting Standards Board as mandated by generally accepted auditing standards.

The partner in charge of the audit and the audit manager or other CPA assigned to the audit agrees to meet with and communicate with the Finance Director, City Administrator, and/or City Council as deemed necessary. Upon completion of the audit, the partner in charge will present the annual audit report to the City Council at a scheduled Council Meeting. These meetings are to be included in the proposed audit fee.

The auditor may perform additional audit services if requested by the City based upon the hourly rates provided in the proposal.

AUDITING STANDARDS:

The audit shall be performed in accordance with:

- All applicable Florida Statutes,
- Regulations of the Florida Department of Banking and Finance;
- Applicable Rules of the Auditor General, State of Florida, reference in Chapter 61H1-20.0093, Florida Administrative Code;
- *Audits of State and Local Government Units*, issued by the American Institute of Certified Public Accountants;
- *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, Office of Management and Budget (OMB); and any other applicable circular issued by OMB;
- Single Audit Act of 1984, Public Law 98-502 and amendments of 1996, Public Law 104-156;
- State of Florida Single Audit Act;
- Generally accepted auditing standards as set forth by the American Institute of Certified Public Accountants (GAAS);
- The standards set forth for financial audits under Government Auditing Standards; issued by the Comptroller General of the United States;
- Governmental Accounting Standards Board (GASB);
- Any other applicable federal, state, local regulations or professional guidance not specifically listed above as well as any additional requirements, which may be adopted by these organizations in the future.

The accounting personnel of the City will prepare and provide copies of working trial balances used to prepare the financial statements. As previously stated the Auditor may be required to provide assistance in the drafting and groupings for various financial statements, schedules and required supplementary information and the drafting of the footnote disclosures as necessary. The City's accounting personnel will be available during the audit to assist the Auditor by providing information, documentation, and explanations.

Office space will be provided in close proximity to the financial records. Telephones will be made available as well as the use of a copier and fax machine during the engagement. The Auditor will be required to provide its own equipment and other office materials.

REPORTS TO BE ISSUED:

Following the completion of the audit, the auditor shall issue:

- A Report of Independent Auditors on the basic financial statements of the City, in conformity with generally accepted accounting principles.
- Independent Auditor's Report on Compliance and on Internal Control over Financial Reporting based on an Audit of Basic Financial Statements performed in accordance with *Government Auditing Standards*.
- If required by the Single Audit Act, Schedules of Federal and State Financial Assistance.

- If required by the Single Audit Act, Independent Auditor's Report on Compliance with Requirements Applicable to Each Major Program, Internal Control over Compliance in Accordance with OMGB Circular A-133 and Schedule of Expenditures of Federal Awards.
- If required by the Single Audit Act, Independent Auditor's Report on Examination of Management's Assertion about Compliance with Specified Requirements.
- If required by the Single Audit Act, a report on the Schedule of State Grant and Aid Appropriations.
- If required by the Single Audit Act, Data Collection Form for Reporting on Audits of States, Local Governments, and Non-Profit Organizations.
- As applicable, a schedule of findings and questioned costs.
- A management letter in accordance with the Rules of the Auditor General of the State of Florida.
- The draft of the management letter is to be discussed with key City staff members, with opportunity for City staff explanation, before its issuance in final form.

TIME TABLE:

All reports applicable to this RFP shall be delivered based on a schedule as agreed to by the City and the Auditor.

In the required report(s) on internal controls, the Auditor shall communicate any reportable conditions found during the audit. A reportable condition shall be defined as a significant deficiency in the design or operation of the internal control structure, which could adversely affect the organization's ability to record, process, summarize, and report financial data consistent with the assertions of management in the financial statements.

Reportable conditions that are also material weaknesses shall be identified as such in the report. Non-reportable conditions discovered by the Auditors shall be reported in a separate management letter. The report on compliance shall include all material instances of noncompliance. All nonmaterial instances of noncompliance shall be reported in a separate management letter.

The separate management letter shall include, but not be limited to:

1. A statement as to whether or not corrective actions have been taken to address significant findings and recommendations made in the preceding annual financial audit report.
2. A statement as to whether or not the City complied with Section 218.415, Florida Statutes, regarding the investment of public funds.
3. Any recommendations to improve the City's financial management, accounting procedures, and internal controls.
4. Matters that are not clearly inconsequential, considering both quantitative and qualitative factors, including the following:
 - a. Violations of laws, rules, regulations, and contractual provisions or abuse that have occurred, or were likely to have occurred, and were discovered within the scope of the audit.
 - b. Improper or illegal expenditures discovered within the scope of the audit that may or may not materially affect the financial statements.
 - c. Deficiencies in internal control that are not reportable conditions, including but not limited to:
 - Improper or inadequate accounting procedures (i.e., the omission of required disclosures from the annual financial statements).
 - Failures to properly record financial transactions.

- Other inaccuracies, shortages, defalcations, and instances of fraud discovered by, or that come to the attention of, the Auditor.
5. A statement as to whether or not the City has met one or more of the financial emergency conditions described in Section 218.503(1), Florida Statutes, and identification of the specific condition(s) met.
 6. A statement as to whether or not the financial report filed with the Florida Department of Financial Services pursuant to Section 218.32(l)(a), Florida Statutes, is in agreement with the annual financial audit report for the current audit period and, if not, explanations of any significant differences.
 7. The following information regarding the Auditor's application of financial condition assessment procedures pursuant to Rule 10.556(7):
 - a. A statement that the Auditor applied financial condition assessment procedures pursuant to Rule 10.556(7).
 - b. If deteriorating financial conditions are noted, a statement that the City's financial condition is deteriorating and a description of conditions causing the Auditor to make this conclusion. Findings regarding deteriorating financial condition must be prepared in accordance with Rule 10.557(6).

The report on compliance shall include all instances of noncompliance unless clearly inconsequential.

Fraud and Illegal Acts: The auditors shall be required to issue an immediate written report to Mayor, City Administrator, and Finance Officer of all fraud and illegal acts or indications of illegal acts of which they become aware. The auditor shall submit a signed audit report on the fair presentation of the financial statements in conformity with accounting principles generally accepted in the United States of America no later than June 30, for the previous fiscal year ending September 30, along with the other required reports mandated by Government Auditing Standards, the Single Audit Act and the Auditor General of the State of Florida.

SPECIAL CONDITIONS:

Assistance in Implementing Government Accounting Standards Board Statements: The Auditor shall assist the City in implementing all applicable Government Accounting Standards Board (GASB) accounting and reporting standards, as issued or revised.

The Auditor shall assist the City in preparing the Annual Financial Report. The City shall retain ultimate responsibility for preparation of this document; however, the Auditor shall provide the following assistance:

- Proof reading of entire document.
- Overall review including layout, design, and suggested improvements.
- Preparation and calculation of the Statement of Cash Flows and the conversion of governmental funds to the government-wide Statement of Net Assets and Statement of Activities.

Timeliness is critical in the performance of the audit. The Auditor should coordinate with the Finance Officer and endeavor to accomplish the audit in a phased-in approach throughout the year in order to reduce the year-end workload on both the audit firm and City staff. The City will make necessary records available to the Auditor through the year to assist in this regard. In addition, the City will make end-of-year records available to the Auditor on or before November 30 after the end of the fiscal year under audit.

The schedule of federal awards and state financial assistance and related Auditor's report, as well as the reports on the internal control over financial reporting and compliance, are to be issued as part of the Comprehensive Annual Financial Report.

WORKING, PAPER RETENTION AND /ACCESS TO WORKING PAPERS:

All working papers and reports must be retained at the Auditor's expense for a minimum of three (3) years, unless the firm is notified in writing by the City of the need to extend the retention period. The Auditor will be required to make working papers available, upon request, to the City of Arcadia. In addition, the firm shall respond to the reasonable inquiries of successor auditors and allow successor auditors to review working papers relating to matters of continuing accounting significance.

- City of Arcadia;
- U.S. General Accounting Office (GAO);
- Parties designated by the Federal or State agencies or by the City as part of an audit quality review process;
- Auditors of entities of which the City of Arcadia is a sub-recipient of grant funds;
- In addition, the firm shall respond to the reasonable inquiries of successor auditors and allow successor auditors to review working papers relating to matters of continuing accounting significance.

Interested proposers who wish to review prior years' audit reports and management letters should contact Beth Carsten at PO Box 1000, Arcadia, FL 34265, (863-494-4414). The City will use its best efforts to make prior audit reports and supporting working papers available to proposers to aid their response to this request for proposals.

OTHER AUDIT SERVICES: Periodically the City of Arcadia may require separate audits and/or consulting engagements to be performed. The Auditor will be expected to perform these audits and/or consulting engagements requested by the City outside of the standard audit at a mutually agreed upon hourly rate.

**SECTION 3
SUBMITTAL INSTRUCTIONS
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02**

1. INSTRUCTIONS TO PROPOSERS:

The complete original proposal must be submitted in a sealed package. All proposals shall be marked **CITY OF ARCADIA FINANCIAL AUDITING SERVICES, RFP2017-02**. Proposers shall file all documents necessary to support their proposal and include them with their proposal. Proposers shall be responsible for the actual delivery of proposals during business hours to the address indicated in the cover letter.

A. Proposal to be provided in the format below:

a. **TAB 1: Introduction:**

- **Coversheet:** Statement of interest including e-mail address of person to be notified of award, manually and duly signed by an authorized corporate officer, principal, or partner. Include physical address of primary proposer. (2 page limit)
- **Independence:** The Auditor shall provide an affirmative statement that it is independent of the City as defined by generally accepted auditing standards and the U.S. General Accounting Office's Government Auditing Standards.
- **License to practice in Florida:** An affirmative statement should be included indicating the firm and all assigned key professional staff are properly licensed to practice in Florida.

b. **TAB 2: Section 2, Scope of Services:** Include all the requirements and/or documentation requested in Section 2, Scope of Services.

c. **TAB 3: Expertise and Experience:**

- Completed Qualification Statement (pages 21-24)
- The firm's past experience and performance on comparable government engagements. (A minimum of seven (7) years experience in local government financial audits is required.)
- Outline the firm's background and experience related to the services required in the RFP documents. Indicate the location of the firm that would be handling the City's account and the size of the firm.
- Identify the Principal Supervisory and Management Personnel, including engagement partners, managers, other supervisors and specialists, who would be assigned to the City's audit.
- Describe the experience of the individuals listed above. Include resumes of the proposed staff.
- All assigned **key** professional personnel must be properly registered and/or licensed to practice as a certified public accountant in the State of Florida. Provide copy of such certifications and/or licenses from all assigned personnel. The Applicants must provide information on the government auditing experience of each person as proposed for this project. The information shall include relevant continuing professional education for the past three (3) years and membership in professional organizations relevant to the performance of the Scope of Services.
- Provide a list of the most significant engagements (maximum of five (5) performed in the last five (5) years that are similar to the engagement described in the Request for Proposals).
- Include information related to the current and near future workload, and the ability to meet that workload.

- Submit a copy of the firm’s most recent external quality control review and whether that quality control review included a review of specific government engagements.
 - Provide the results of any Federal or State desk reviews or field reviews of its audits during the past three (3) years.
 - Provide information on the circumstances of any disciplinary action taken or pending against the firm during the past three (3) years with state regulatory entities or any professional organizations.
- d. **TAB 4: Approach:** The proposal should demonstrate the qualifications of the firm and staff to be assigned to the City’s audit. It should also specify an audit approach that will meet the requirements.

This section of the submittal must explain the Scope of Work as understood by the Respondent and detail the approach, activities and work products in relation to the required scope of services. Information must address the following:

- What your company would do first, if selected. The Proposer must provide a preliminary schedule for performing “key” phases of the audit and indicate a completion date for each phase.
 - The proposed segmentation of the engagement. Level of staff and number of hours to be assigned to each proposed segment of the engagement.
 - Sample size (transactions) and the extent to which statistical sampling is to be used in the engagement.
 - Extent of use of Electronic Data Processing software in the engagement.
 - Type and extent of analytical procedures to be used in the engagement.
 - Approach to be taken to gain and document the understanding of the City’s internal control structure.
 - Approach to be taken in determining laws and regulations that will be subject to audit test work.
- a. **TAB 5: Price Proposal:** Complete and submit Section 5 Schedule of Fees Form.
- b. **TAB 6:** All other Forms

B. Method for Submittal of Proposal:

Hard copy response:

- i. Submit **all** required submittal package components as stated above in number 2, Proposed Format, in a sealed envelope.
 1. **Number of Submittal Package Copies:** one (1) original hardcopy and two (2) flash drives with one single PDF file of the entire proposal package on each of the flash drives.
 2. **One original hardcopy with all supporting documentation submitted as follows:** 1) Letter size preferred, Maximum size – legal; 2) 20# paper; 3) single sided; the original shall include **ALL ORIGINALLY SIGNED documents.**
- ii. **SUBMIT HARDCOPY DOCUMENTS TO:**

City of Arcadia
Penny Delaney, City Clerk
23 North Polk Avenue
Arcadia, Florida 34266

Proposers will be notified in writing via email of any changes in the specifications contained in this RFP. Changes will also be posted on the City’s website: www.arcadia-fl.gov and on Demand Star: www.demandstar.com.

SECTION 4
EVALUATION CRITERIA & SELECTION PROCESS
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02

A. EVALUATION METHOD:

The Audit Committee will evaluate all responses received for this RFP by the submittal date set forth or as amended by addenda on the basis of the criteria above. The Audit Committee will evaluate the Proposals according to the criteria set forth in this RFP, rank the Proposals and make a recommendation of award to the City Council. The Audit Committee shall prepare a "shortlist" of highest ranked Proposers based on the written response evaluation.

During the evaluation process the Audit Committee and the CITY reserve the right, where it may serve the CITY's best interest, to request additional information or clarifications from proposer, or to allow corrections of errors or omissions. Serious errors or omissions will be cause for the CITY to reject the proposal.

B. EVALUATION CRITERIA:

Purchasing will present to the Audit Committee the results of the pre-qualification efforts performed and the responses.

The Audit Committee will evaluate pre-qualified Submittal Packages based on, but shall not be limited to, the criteria indicated below. Evaluation shall be based on the Audit Committee's ability to identify and ascertain the Proposer's qualifications applicable to the scope and nature of the services specified in this request. The evaluation criterion indicates the weights, which will be utilized by the Audit Committee in the evaluation of the proposals.

a. QUALIFICATIONS (Weight: 25 Points)

Considerations:

1. Meeting applicable independence criteria
2. License to practice as a CPA in the state of Florida
3. The quality of the firm's professional personnel to be assigned to the engagement and the quality of the firm's management support personnel to be available for the technical consultation. Receipt of adequate continuing professional education by key personnel.
4. History of performing quality audits to GASB standards.
5. Ability to perform additional services and provide technical support throughout the period of the engagement.
6. Quality control report
7. Experience in GASB accounting

b. EXPERIENCE (Weight: 25 Points)

Considerations:

1. Adequacy of proposed staffing plan for various segments of the engagement including supervision and involvement of the experienced personnel.
2. Adequacy of audit work plan and sampling techniques.
3. Experience with specific state and federal grant programs.
4. Experience with information technology systems.
5. Experience with accounting software.
6. GASB auditing experience.

c. APPROACH

(Weight: 25 Points)

Considerations:

1. Approach to documentation and review of the comprehensive framework of internal controls.
2. Adequacy of proposed staffing plan (hours and level) for the various segments of the engagement.
3. Adequacy of sampling techniques.
4. Adequacy of analytical procedures.
5. Time line appropriately scheduled.

d. REFERENCES

(Weight: 25 Points)

C. PRESENTATIONS:

After reviewing submissions, the City Council and or the Audit Committee may request presentations with either the short listed or top ranked Proposer(s) to further clarify the City's requirements, the Proposer's response and/or request more detailed information. Therefore, the Proposer shall have officials of the appropriate management level present and representing the firm, if a presentation is scheduled by the City. All costs associated with the presentation shall be borne by the Proposer.

Presentations may include, but not be limited to, a presentation from the Proposer and questions from the City Council or Audit Committee. City staff will make an effort to provide the presentation topics for discussion to the respective Proposers prior to the presentation. City staff will make an effort to provide at least three (3) days notice to respective Respondents prior to their scheduled presentation date.

D. NEGOTIATIONS:

Once the Audit Committee has ranked the firms and presented their recommendation to the City Council, the Council will then determine the final ranking of the firms, approve this ranking and authorize the Negotiation Team to enter into negotiations. The negotiation team will be a combination of the members of the Audit Committee and City Staff.

It is the City's intent to enter into a three (3) year contract with the highest ranked Consultant(s) with an option to renew the Contract for two additional one (1) year terms for a total maximum contract period of five (5) years. Negotiation of contracts for services shall follow the initial selection process. Should a satisfactory contract not be achievable with the number one ranked proposing firm or individual then that proposal shall be rejected and negotiations shall begin with the number two ranked firm and so on. Procurement and contracting of all services shall conform to state, and federal regulation guidelines. The City reserves the right to enter into contracts with multiple respondents.

Once negotiations have been completed and the contract has been agreed upon by both the Negotiation Team and the firm, the contract will be presented to the City Council for final approval. The City Council shall be the sole judge of the City's best interests, the proposals, and the resulting agreement.

**SECTION 5 - FORMS
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02**

PROPOSERS CHECKLIST

Proposals will not be considered if the following documents and/or attachments are not completely filled out and/or submitted with proposal.

- _____ Completely Executed Proposal Package (original hardcopy and two (2) flash drives)
- _____ Schedule of Fees
- _____ Acknowledgement of Receipt of Addendum (if applicable)
- _____ Qualifications Statement Form
- _____ Hold Harmless Form
- _____ Drug Free Workplace Form
- _____ Certification Regarding Debarment
- _____ Public Entity Crimes Form
- _____ Non-Collusion Agreement
- _____ Conflict of Interest
- _____ Respondent's Certification

**SECTION 5 - FORMS
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02**

SCHEDULE OF FEES

Proposers shall submit (attached to this form) cost or pricing data of sufficient detail to allow the evaluators to determine the reasonableness of the price response, reflecting cost realism, including all information other than cost and pricing data, and explaining how the lump sum figure was derived.

1. Cost or pricing data shall mean all facts, that as of the date of submission of the Response, prudent buyers and sellers would reasonably expect to affect price negotiations significantly. Cost or pricing data are data that are factual, not judgmental, and are verifiable. While they do not indicate the accuracy of the Proposer's judgment about estimated future costs or projections, they do include the data forming the basis for that judgment. Cost or pricing data are more than historical accounting data; they are all the facts that can be reasonably expected to contribute to the soundness of estimates of future costs and to the validity of determinations of costs already incurred. They also include such factors as: vendor quotations; nonrecurring costs; information on changes in production or purchasing volume; data supporting projections of business prospects and objective and related operations cost; unit-cost trends such as those associated with labor efficiency; make-or-buy decisions; estimated resources to attain business goals, and information on management decisions that could have a significant bearing on costs.
2. Cost realism shall mean that the costs in a Proposer's Response are realistic for the Work to be performed, reflect a clear understanding of the requirements, and are consistent with the various elements of the Proposer's Technical Response.
3. Information other than cost and pricing data shall mean any type of information that is non-numeric that is necessary to determine price reasonableness or cost realism.
4. Price, as used in this Solicitation, shall mean cost plus any fee or profit applicable.

SCHEDULE OF FEES

Professional Fees and Expenses:

ITEM	DESCRIPTION	HOURS	HOURLY RATE	TOTAL (Hours x Rate)
i.	Partners		\$	\$
ii.	Managers		\$	\$
iii.	Supervisory Staff		\$	\$
iv.	Staff		\$	\$
TOTAL				\$

ITEM	AUDIT PERIOD ENDING	TOTAL HOURS PROJECTED	TOTAL FEE
i.	September 30, 2016		\$
ii.	September 30, 2017		\$
iii.	September 30, 2018		\$
TOTAL			\$

INCLUDE PRICE OF POTENTIAL 2-YEAR CONTRACT EXTENSION AT THE END OF FIRST CONTRACT TERM:

ITEM	AUDIT PERIOD ENDING	TOTAL HOURS PROJECTED	TOTAL FEE
i.	September 30, 2019		\$
ii.	September 30, 2020		\$
TOTAL			\$

INCLUDE PRICE OF SINGLE AUDITS:

ITEM	SINGLE AUDIT	HOURS	HOURLY RATE	TOTAL (Hours x Rate)
i.			\$	\$
ii.			\$	\$
iii.			\$	\$
iv.			\$	\$
TOTAL				\$

PROPOSER: _____
(Company Name)

(Signature)

(Printed Name and Title)

FAILURE TO COMPLETE AND SIGN THIS FORM MAY DEEM YOUR RESPONSE NON-RESPONSIVE

SECTION 5 - FORMS
ACKNOWLEDGEMENT OF RECEIPT OF ADDENDUM
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02

Were Addendum issued on this Solicitation? Yes _____ No _____

I (We) hereby acknowledge receipt of the following Addendum/Addenda issued in reference to this solicitation by listing the Addendum by number, date and signing the form:

Addendum _____ Date: _____

RESPONDENT:

By: _____
(AUTHORIZED SIGNATURE)

(Printed Name of Signer)

(Title of Signer)

(Date Signed)

**SECTION 5 – FORMS
QUALIFICATIONS STATEMENT
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02**

The undersigned certifies under oath the truth and correctness of all statements and of all answers to questions made hereinafter:

SUBMITTED TO: **PURCHASING DEPARTMENT**
ADDRESS: **23 NORTH POLK AVENUE**
ARCADIA, FLORIDA 34266

CIRCLE ONE

SUBMITTED BY: _____

Corporation

NAME: _____

Partnership

ADDRESS: _____

Individual

PRINCIPAL OFFICE: _____

Joint Venture

Other

1. State the true, exact, correct and complete name of the partnership, corporation, trade or fictitious name under which you do business and the address of the place of business.

The correct name of the Proposer is:

The address of the principal place of business is: _____

2. If the Proposer is a corporation, answer the following:

a. Date of Incorporation: _____

b. State of Incorporation: _____

c. President's name: _____

d. Vice President's name: _____

e. Secretary's name: _____

f. Treasurer: _____

g. Name and address of Resident Agent: _____

3. If Proposer is an individual or a partnership, answer the following:

a. Date of organization: _____

b. Name, address and ownership units of all partners:

c. State whether general or limited partnership:

4. If Proposer is other than an individual, corporation or partnership, describe the organization and give the name and address of principals:

5. If Proposer is operating under a fictitious name, submit evidence of compliance with the Florida Fictitious Name Statute.

6. How many years has your organization been in business under its present business name?

a. Under what other former names has your organization operated?

7. Indicate registration, license numbers or certificate numbers for the businesses or professions which are the subject of the proposal. Please attach certificate of competency and/or state registration.

8. Have you ever failed to complete any work awarded to you? If so, state when, where and why?

9. Within the last five (5) years, has any officer or partner of your organization ever been an officer or partner of another organization when it failed to complete a contract? If so, explain fully.

10. State the names, telephone numbers and last known addresses of three (3) businesses with the most knowledge of work which you have performed, and to which you refer (governmental entities are preferred as references).

COMPANY NAME	CONTACT	ADDRESS	
			Email
			Telephone
			Email
			Telephone
			Email
			Telephone

13. List the pertinent experience of the key individual of your organization (continue on insert sheet, if necessary).

14. State the name of the individual who will have personal supervision of the services:

THE OFFEROR ACKNOWLEDGES AND UNDERSTANDS THAT THE INFORMATION CONTAINED IN RESPONSE TO THIS QUALIFICATIONS STATEMENT SHALL BE RELIED UPON BY OWNER IN AWARDING THE CONTRACT AND SUCH INFORMATION IS WARRANTED BY OFFEROR TO BE TRUE. THE DISCOVERY OF ANY OMISSION OR MISSTATEMENT THAT MATERIALLY AFFECTS THE OFFEROR'S QUALIFICATION TO PERFORM UNDER THE CONTRACT SHALL CAUSE THE OWNER TO REJECT THE PROPOSAL, AND IF AFTER THE AWARD TO CANCEL AND TERMINATE THE AWARD AND/OR CONTRACT.

SIGNATURE

State of Florida
County of _____

On this the _____ day of _____, _____, before me, the undersigned Notary Public of the State of Florida, personally appeared _____ and (Name(s) of individual(s) who appeared before Notary) whose name(s) in/ are Subscribed to the within instrument, and he/she/they acknowledge that he/she/they executed it.

NOTARY PUBLIC, STATE OF FLORIDA

NOTARY PUBLIC
SEAL OF OFFICE:

(Name of Notary Public: Print, stamp, or type as commissioned.)

_____ Personally known to me, or

_____ Produced identification:

_____ DID take the oath, or

_____ DID NOT take the oath.

**SECTION 5 - FORMS
DRUG-FREE WORKPLACE CERTIFICATION**

Please complete Part I or Part II as applicable.

In order to be given preference in the award process for having implemented a drug-free workplace program prior to the bid/proposal submission date, the bidder/proposer is requested to certify that as part of their drug-free workplace program, they have:

1. Published a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the workplace and specified the actions that will be taken against employees for violations of such prohibition.
2. Informed employees about the dangers of drug abuse in the workplace, the businesses policy of maintaining a drug-free workplace, any available drug counseling, rehabilitation, and employee assistance programs, and the penalties that may be imposed upon employees for drug abuse violations.
3. Given each employee engaged in providing the commodities or contractual services that are under bid a copy of the statement specified in subsection (1).
4. In the statement specified in subsection (1), notified the employees that, as a condition of working on the commodities or contractual services that are under bid, the employee will abide by the terms of the statement and will notify the employer of any conviction of, or plea of guilty or nolo contendere to, any violation of chapter 893 or of any controlled substance law of the United States or any state, for a violation occurring in the workplace no later than five (5) days after such conviction.
5. Imposed a sanction on, or required the satisfactory participation in a drug abuse assistance or rehabilitation program if such is available in the employee's community by, any employee who is so convicted.
6. Made a good faith effort to continue to maintain a drug-free workplace through implementation of this section.

Part I - PROGRAM IMPLEMENTED

I certify that I/we have established a drug-free workplace Program meeting the foregoing minimum requirements.

[Printed, typed name]

[Signature]

State of Florida

County of _____

The foregoing instrument was acknowledged before me this _____ day of _____, 20____, by _____, who is personally known to me or who presented _____ as identification, and who (did) (did not) take an oath.

[Signature of Notary Public]

[Printed, typed or stamped name of Notary Public]

[Commission Number of Notary Public]

Part II - PROGRAM NOT IMPLEMENTED

A program meeting the above stated requirements has not been established or has not been fully implemented prior to bid/proposal closing date, and therefore I/we are not eligible for certification as a drug-free workplace.

[Signature]

[Date]

SECTION 5 – FORMS
SWORN STATEMENT PURSUANT TO SECTION 287.133(3)(a),
DEBARMENT CERTIFICATION
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02

CERTIFICATION REGARDING DEBARMENT, SUSPENSION,
AND OTHER RESPONSIBILITY MATTERS
PRIMARY COVERED TRANSACTIONS

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that is and its principles:
- a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by an Federal department or agency;
 - b) Have not within a three-year period preceding this been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or Local) transaction or contract under a public transaction; violation of Federal or State antitrust statues or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of these offenses enumerated in paragraph (1)(b) of this certification; and
 - d) Have not within a three-year period preceding this proposal had one or more public transactions (Federal, State or Local) terminated for cause or default.
1. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
- (3) No subcontract will be issued for this project to any party which is debarred or suspended from eligibility to receive federally funded contracts.

Signature

Title

Contractor/Firm

Address

SECTION 5 – FORMS
FLORIDA STATUTES, ON PUBLIC ENTITY CRIMES
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02

THIS FORM MUST BE SIGNED AND SWORN TO IN THE PRESENCE OF A NOTARY PUBLIC OR OTHER OFFICIAL AUTHORIZED TO ADMINISTER OATHS.

1. This sworn statement is submitted to *City of Arcadia, Florida, a Municipal Corporation, 23 N. Polk Ave., Arcadia, FL 34266* by _____
[print individual's name and title]
for _____ whose business
[print name of entity submitting sworn statement]
address is _____
_____ and (if applicable) it's Federal Identification Number
(FEIN) is _____ (If the entity has no FEIN, include the Social Security
Number of the individual signing this sworn statement _____)
2. I understand that a "public entity crime" as defined in Paragraph 287.133(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 public entity or with an agency or political subdivision of any other state or of the United States, including, but not limited to, any bid or contract for goods or services to be provided to any public entity or any 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.
3. I understand that "convicted" or "conviction" as defined in Paragraph 287.133(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 1, 1989, as a result of a jury verdict, non-jury trial, or entry of a plea of guilty or nolo contendere.
4. I understand that an "affiliate" as defined in Paragraph 287.133(1)(a), **Florida Statutes**, means:
 1. A predecessor or successor of a person convicted of a public entity crime; or
 2. An entity under the control of any natural person who is active in the management of the entity and who has been convicted of a public entity crime. The term "affiliate" includes those officers, directors, executives, partners, shareholders, employees, members, and agents who are active in the management of an affiliate. The ownership by one person of shares constituting a controlling interest in another person, or a pooling of equipment or 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.
5. I understand that a "person" as defined in Paragraph 287.133(1)(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 bid 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.
6. Based on information and belief, the statement which I have marked below is true in relation to the entity submitting this sworn statement. **[Indicate which statement applies.]**

_____ Neither the entity submitting this sworn statement, nor any of its officers, directors, executives, partners, shareholders, employees, members, or agents who are active in the management of the entity, nor any affiliate of the entity has 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 its officers, directors, executives, partners, shareholders, employees, members, or agents who are active in the 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.

_____ The entity submitting this sworn statement, or one or more of its officers, directors, executives, partners, shareholders, employees, members, or agents who are active in the 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. However, there has been a subsequent proceeding before a Hearing Officer of the State of Florida, Division of Administrative Hearings and the Final Order entered by the Hearing Officer determined that it was not in the public interest to place the entity submitting this sworn statement on the convicted vendor list. **[attach a copy of the final order]**

I UNDERSTAND THAT THE SUBMISSION OF THIS FORM TO THE CONTRACTING OFFICER FOR THE PUBLIC ENTITY IDENTIFIED IN PARAGRAPH 1 (ONE) ABOVE IS FOR THAT PUBLIC ENTITY ONLY AND, THAT THIS FORM IS VALID THROUGH DECEMBER 31 OF THE CALENDAR YEAR IN WHICH IT IS FILED. I ALSO UNDERSTAND THAT I AM REQUIRED TO INFORM THE PUBLIC ENTITY PRIOR TO ENTERING INTO A CONTRACT IN EXCESS OF THE THRESHOLD AMOUNT PROVIDED IN SECTION 287.017, FLORIDA STATUTES FOR CATEGORY TWO OF ANY CHANGE IN THE INFORMATION CONTAINED IN THIS FORM.

[signature]

RFP-2017-02

[Reference: Solicitation Number]

Sworn to and subscribed before me this ____ day of _____, 20___. Personally known _____ or Produced _____ as identification.

[Type of identification]

Notary Public - State of _____

My Commission expires: _____

[Signature of Notary]

[Printed, typed or stamped commissioned name of Notary Public]

**SECTION 5 - FORMS
NON-COLLUSION AFFIDAVIT
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02**

By signing this offer, the vendor/consultant certifies that this offer is made independently and free from collusion. Vendor shall disclose below any City of Arcadia officer or employee, or any relative of any such officer or employee who is an officer or director of, or has a material interest in, the vendor's business, who is in a position to influence this procurement.

Any City of Arcadia officer or employee who has any input into the writing of specifications or requirements, solicitation of offers, decision to award, evaluation of offers, or any other activity pertinent to this procurement is presumed, for purposes hereof, to be in a position to influence this procurement.

For purposes hereof, a person has a material interest if they directly or indirectly own more than 5 percent of the total assets or capital stock of any business entity, or if they otherwise stand to personally gain if the contract is awarded to this vendor.

City employees may not contract with the City through any corporation or business entity in which they or their immediate family members hold a controlling financial interest (e.g. ownership of five (5) percent or more).

Immediate family members (spouse, parents and children) are also prohibited from contracting with the City subject to the same general rules. Failure of a vendor to disclose any relationship described herein shall be reason for debarment in accordance with the provisions of the City of Arcadia Purchasing Policy.

NAME	RELATIONSHIPS

In the event the vendor does not indicate any names, the City shall interpret this to mean that the vendor has indicated that no such relationships exist.

AFFIDAVIT
STATE OF FLORIDA, COUNTY OF _____

BEFORE ME, the undersigned authority, personally came and appeared,
_____, who after being duly sworn, deposed and said that he is the
fully authorized _____ of _____
(hereinafter referred to as affiant), and said affiant further said:

(1) That affiant has not and will not employ any person either directly or indirectly, to secure the public contract under which he is to receive payment, other than persons regularly employed by the affiant whose service in connection with the project or in securing the public contract are in the regular course of their duties for the affiant; and

(2) That no part of the contract price was paid or will be paid to any person for soliciting the contract, other than the payment of normal compensation to persons regularly employed by the affiant whose services with the project are in the regular course of their duties for the affiant.

AFFIANT

SWORN TO AND SUBSCRIBED BEFORE ME ON THIS _____ DAY OF _____, _____.
NOTARY PUBLIC

AFFIANT

Company Name: _____

Address: _____

Phone Number: _____

Signature: _____

NON-COLLUSION AFFIDAVIT IN THE STATE OF _____ IN THE
COUNTY OF _____ being first duly sworn, on oath, says that the
bid above submitted is a genuine and not a sham or collusive bid or made in the interest of or on
behalf of any person not therein named, and s/he further says that the said Bidder has not directly or
indirectly induced or solicited any Bidder on the above work or supplies to put in a sham bid, or any
other person or corporation to refrain from bidding, and that said Bidder has not in any manner sought
by collusion to secure her/himself an advantage over any other bidder or bidders. Subscribed and
sworn before me this ____ day of _____, _____ NOTARY PUBLIC in and for the State of

Signature _____

Seal

**SECTION 5 – FORMS
CONFLICT OF INTEREST FORM
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02**

F.S. §112.313 places limitations on public officers (including advisory board members) and employees' ability to contract with the City either directly or indirectly. Therefore, please indicate if the following applies:

PART I.

- I am an employee, public officer or advisory board member of the City
_____ **(List Position Or Board)**
- I am the spouse or child of an employee, public officer or advisory board member of the City
Name: _____
- An employee, public officer or advisory board member of the City, or their spouse or child, is an officer, partner, director, or proprietor of Respondent or has a material interest in Respondent. "Material interest" means direct or indirect ownership of more than 5 percent of the total assets or capital stock of any business entity. For the purposes of [§112.313], indirect ownership does not include ownership by a spouse or minor child.
Name: _____
- Respondent employs or contracts with an employee, public officer or advisory board member of the City
Name: _____
- None of The Above

PART II:

Are you going to request an advisory board member waiver?

- I will request an advisory board member waiver under §112.313(12)
- I will NOT request an advisory board member waiver under §112.313(12)
- N/A

The City shall review any relationships which may be prohibited under the Florida Ethics Code and will disqualify any vendors whose conflicts are not waived or exempt.

BUSINESS NAME: _____

NAME (PER AUTHORIZED TO BIND THE COMPANY): _____

SIGNATURE: _____ **DATE:** _____

**SECTION 5 - FORMS
RESPONDENT'S CERTIFICATION
CITY OF ARCADIA
FINANCIAL AUDITING SERVICES
SOLICITATION #RFP2017-02**

I have carefully examined the Request for Proposal.

I hereby propose to furnish the services specified in the Request for Proposals. I agree that my submittal will remain firm for a period of at least 90 days in order to allow the City adequate time to evaluate the submittals and determine a ranking of the most qualified firms.

I certify that all information contained in this submittal is truthful. I further certify that I am duly authorized to provide this submittal on behalf of the firm as its act and deed and that the firm is ready, willing and able to perform if awarded the Agreement.

I further certify, under oath, that this submittal is made without prior understanding, agreement, connection, discussion, or collusion with any other person, firm or corporation tendering a submittal for the same service; that no officer, employee or agent of the City of Arcadia or any other respondent is interested in said submittal; and that the undersigned executed this Respondent's Certification with full knowledge and understanding of the matters therein contained and was duly authorized to do so.

NAME OF BUSINESS

SIGNATURE

NAME & TITLE, TYPED OR PRINTED

MAILING ADDRESS: _____

CITY: _____

STATE, ZIP CODE: _____

(____) _____
TELEPHONE NUMBER

EMAIL ADDRESS