



Utah Coalition Against Sexual Assault

Request for Proposals

For Bookkeeping Services

For the period

October 2017- December 2018

Inquiries and proposals should be directed to:

Name: Turner C. Bitton

Title: Executive Director

Entity: Utah Coalition Against Sexual Assault

Address: 284 West 400 North Suite Salt Lake City, Utah 84103

Phone: 801-746-0404 Ext. 1

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## General Information

### A. Purpose

This Request for Proposal (RFP) is to contract for an bookkeeper for the remainder of the 2017 calendar year through the end of the 2018 calendar year. The proposal includes options for two additional years.

### B. Who May Respond

Any business or person with the qualifications to provide Accounting Services and Financial Management Assistance may respond to this RFP, however, licensed Certified Public Accountants will be given preference. It is the intent of Utah Coalition Against Sexual Assault (UCASA) to hire locally or with an agency that has an office in Salt Lake City, Utah or a nearby locale.

### C. Bidder's Conference

There will be no Bidder's Conference.

### D. Instructions on Proposal Submission

1. Closing Submission Date: Proposals must be submitted no later than 5 p.m. on August 31, 2017.
2. Inquiries: Inquiries concerning this RFP should be directed to Turner C. Bitton at (801) 746-0404 Ext. 1.
3. Conditions of Proposal: All costs incurred in the preparation of a proposal responding to this RFP will be the responsibility of the Offeror and will not be reimbursed by UCASA.
4. Instructions to Prospective Contractors:

Your proposal should be addressed as follows:

Name: Turner C. Bitton  
Title: Executive Director  
Entity: Utah Coalition Against Sexual Assault  
Address: 284 West 400 North  
Salt Lake City, UT 84103

It is the responsibility of the Offeror to ensure that the proposal is received by Utah Coalition Against Sexual Assault by the date and time specified above.

Late proposals will not be considered.

5. Right to Reject: Utah Coalition Against Sexual Assault reserves the right to reject any and all proposals received in response to this RFP. A contract for the accepted proposal will be based upon the factors described in this RFP.

7. Notification of Award:

- It is expected that a decision selecting the successful audit firm will be made within 2 weeks of the closing date for the receipt of proposals.
- Upon conclusion of final negotiations with the successful Accounting firm, all Offerors submitting proposals in response to this Request for Proposal will be informed, in writing, of the name of the successful audit firm.
- It is expected that the contract shall be a negotiated contract for the duration of the proposal with the option for renewal after the successful completion of the contract.

### **E. Description of Entity and Services to be Performed**

Utah Coalition Against Sexual Assault is a nonprofit organization which serves 29 counties in Utah. Utah Coalition Against Sexual Assault is a private, nonprofit corporation and has been determined to be exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code. It is governed by a 17-member volunteer Board of Directors. Administrative offices and all records are located at 284 West 400 North Salt Lake City, UT 84103. UCASA is Utah's federally recognized sexual violence coalition that serves programs, agencies, and organizations that serve sexual violence survivors. Please refer to the UCASA website at [www.ucasa.org](http://www.ucasa.org) for additional information regarding the structure and philosophies of the work UCASA performs.

The services to be provided include financial statement preparation for the audit, one set of books maintained on an automated system (currently QuickBooks Online), subsidiary records such as payroll are automated, approximate number of checks written on primary bank account during the year are 500, and approximately six (6) grant sources.

### **F. Options**

At the discretion of Utah Coalition Against Sexual Assault, this Accounting and Financial Services contract can be extended for two additional one-year periods. The cost for the option periods will be agreed upon by Utah Coalition Against Sexual Assault and the Offeror. It is anticipated that the cost for the optional years will be based upon the same approximate hours of Accounting and Financial Services as the contract for the initial year.

## Specification Schedule

### **A. Scope of Accounting and Financial Services**

The purpose of this RFP is to obtain the services of a firm or individual, whose principal officers are qualified accountants, however, preference will be given to independent certified public accountants, certified or licensed by a regulatory authority of a state or other political subdivision of the United States, hereinafter referred to as the "Offeror" to perform accounting and financial services to Utah Coalition Against Sexual Assault. The Offeror will be asked to participate in the preparation of materials used in the Utah Coalition Against Sexual Assault Financial and Compliance Audit

Government Audit Standards, states on page 2-1:

Financial statement audits determine (1) whether the financial statements of an audited entity present fairly the financial position, results of operations, and cash flows or changes in financial position in accordance with generally accepted accounting principles, and (2) whether the entity has complied with laws and regulations for those transactions and events that may have a material effect on the financial statements.

In addition to preparing for the Financial and Compliance Audit, the Offeror will provide services that include payroll reports for quarter and year-end activities, technical assistance to the Executive Director, assist in resolving any fiscal issues that arise for process and development to the financial system, as well as assist in the development of a cost allocation plan.

### **B. Description of Programs/Contracts/Grants**

UCASA receives funding from federal sources that include the Center for Disease Control (CDC), and the US Dept. of Justice – OVW (DOJ support to state coalitions) as well as foundation grants, and contributions from individuals.

### **C. Performance**

The UCASA's financial records should be prepared quarterly with the Executive Director for presentation to the Board of Directors, and annually for the Audit.

The Offeror is required to prepare financial reports for the audit in accordance with the Government Audit Standards, and in accordance with the requirements of the grantors.

The Offeror should assist the Executive Director with preparing reports to be used by the UCASA Board Treasurer for reporting purposes to the UCASA Board.

### **D. Delivery Schedule**

Offeror is to assist the Executive Director with the compilation of the financials for submission to UCASA's Board of Directors. The financial reports are due to the

Executive Director last day of the quarter or the first Monday of the following quarter, whichever is a business day.

The Offeror shall assist the Executive Director in providing the Treasurer the requested financial reports to UCASA's Board of Directors as notified by the Executive Director, typically, there are 3 meetings per year that financial reports are requested. The Offeror will be provided with a calendar of scheduled meetings. Financial Reports will be provided for the period that covers the time frame between the last meeting and most recent quarter closed.

Reports may be submitted earlier than the above schedule. However, if the Offeror fails to make delivery of the financial reports within the time schedule specified herein, or if the Offeror delivers financial reports, which do not conform to all of the provisions of this contract, UCASA may, by written notice of default to the Offeror, terminate the whole or any part of this contract. Under certain extenuating circumstances the contracting agent may extend this schedule upon written request of the Offeror with sufficient justification.

#### **E. Price**

The Offeror's proposed price shall be submitted separately. The Offeror shall indicate the estimated number of hours by staff level, hourly rates, and total cost by staff level as well as flat rate cost for a specific service. Any out-of-pocket expenses shall also be indicated. The pricing information should be in a separate sealed envelope.

#### **F. Payment**

Payment will be made within thirty (30) days of receipt of invoice with detailed service breakdown. Should UCASA reject a report, UCASA's authorized representative will notify the Offeror in writing of such rejection giving the reason(s). The right to reject a report shall extend throughout the term of this contract and for ninety (90) days after the Offeror submits the final invoice for payment.

Upon delivery of the services of the financial reports to UCASA and their acceptance and approval, the Offeror may submit a bill for the balance due.

#### **G. Audit Review**

All financial reports prepared for the audit under this contract will be reviewed by UCASA and its funding sources to ensure compliance with General Accounting Office's (GAO) Government Audit Standards and other appropriate audit guides.

#### **H. Exit Conference for Audit**

An exit conference with UCASA's representatives and the Auditor's representatives will be held at the conclusion of the field work, the Offeror may be asked to participate. Observations and recommendations will be summarized in writing and discussed with UCASA. This will include internal control and program compliance observations and recommendations of which the Offeror will have input.

## **I. Workpapers**

- Upon request, the Offeror will provide a copy of the work papers pertaining to any financial reports or questioned costs determined in the audit. The workpapers must be concise and provide the basis for the questioned costs as well as an analysis of the problem.
- The workpapers will be retained for at least three years from the end of the grant period as required by the grantor.
- The work papers will be available for examination by authorized representatives of the cognizant federal or state granting agency, the General Accounting Office, and UCASA. It is UCASA's preference to have a copy of all work papers on site at the UCASA office.

## **J. Confidentiality**

The Offeror agrees to keep the information related to all contracts in strict confidence. Other than the reports submitted to UCASA, the Offeror agrees not to publish, reproduce or otherwise divulge such information in whole or in part, in any manner or form or authorize or permit other to do so, taking such reasonable measures as are necessary to restrict access to the information, while in the Offeror's possession, to these employees on the Offeror's staff who must have the information on a "need-to-know" basis.

The Offeror agrees to immediately notify, in writing, UCASA's authorized representative in the event the Offeror determines or has reason to suspect a breach of this requirement.

## **Technical Qualifications**

The Offeror, in its proposal, shall, as a minimum, include the following:

### **A. Prior Non-Profit Accounting and Auditing Experience**

The Offeror should describe its prior non-profit accounting and auditing experience including the names, addresses, contact persons, and telephone numbers of prior organizations contracted. Experience should include the following categories:

1. Prior experience providing financial, accounting services, and auditing a social service agency.
2. Prior experience providing financial, accounting services, and auditing similar programs funded by the State of Utah.
3. Prior experience providing financial, accounting services, and auditing programs financed by the Federal Government.
4. Prior experience providing financial, accounting services, and auditing similar county or local government activities.
5. Prior experience providing financial, accounting services, and auditing nonprofit organizations.
6. Prior experience designing and/or installing accounting systems in non-profit agencies.



## **B. Organization, Size, and Structure**

The Offeror shall describe its organization, size, and structure..

## **C. Staff Qualifications**

The Offeror shall describe the qualifications of staff to be assigned to the services being performed. Descriptions should include:

1. Team makeup, if applicable
2. Overall supervision to be exercised
3. Prior experience of the individual team members: Only include resumes of staff to be assigned to the services provided. Education, position in firm, years and types of experience, continuing professional education, state(s) in which licensed as a CPA, etc. will be considered.

## **D. Understanding of Work to be Performed**

The Offeror shall describe its understanding of work to be performed, including financial and accounting services, audit procedures, estimated hours, and other pertinent information.

## **E. Certifications**

The Offeror must sign and include as an attachment to its proposal the Certifications enclosed with this RFP. The publications listed in the Certifications will not be provided to potential Offerors by UCASA, because UCASA desires to contract only with an Offeror who is already familiar with these publications.

# Proposal Evaluation

## A. Submission of Proposals

All proposals shall be submitted in electronic (PDF) format. Upon signing of the contract, copies of the proposal shall be included in the contract.

## B. Nonresponsive Proposals

Proposals may be judged nonresponsive and removed from further consideration if any of the following occur:

1. The proposal is not received timely in accordance with the terms of this RFP.
2. The proposal does not follow the specified format.
3. The proposal does not include the Certifications.
4. The proposal is not adequate to form a judgment by the reviewers that the proposed undertaking would comply with the Government Audit Standards of the U.S. Comptroller General.

## C. Evaluation

Evaluation of each proposal will be scored on the following five factors:

- |   |             |
|---|-------------|
| 1. Prior experience providing financial, accounting services, and auditing, and/or designing and installing accounting systems. | Point Range |
| a. Prior experience providing financial, accounting services, and auditing a social service agency.                             | 0 – 5       |
| b. Prior experience providing financial, accounting services, and auditing similar programs funded by the state of Utah.        | 0 – 5       |
| c. Prior experience providing financial, accounting services, and auditing programs financed by the Federal Government.         | 0 – 5       |
| d. Prior experience providing financial, accounting services, and auditing similar county or local government activities.       | 0 – 5       |
| e. Prior experience providing financial, accounting services, and auditing nonprofit organizations.                             | 0 – 5       |
| f. Prior experience designing and/or installing accounting systems in non-profit agencies                                       | 0 – 5       |

Please note that UCASA will contact prior contracted organizations to verify the experience provided by the Offeror.

2. Organization, size, and structure of Offeror's firm. (Considering size in relation to financial and accounting services to be performed.)

- |                              |       |
|------------------------------|-------|
| a. Adequate size of the firm | 0 – 4 |
| b. Minority/small business   | 0 – 3 |
| c. Location of firm          | 0 – 3 |

3. Qualifications of staff to be assigned to the audits to be performed. This will be determined from resumes submitted. Education, position in firm, years and types of experience, continuing professional education, and state(s) in which licensed as a CPA, etc. will be considered.

- |   |        |
|---|--------|
| a. Team makeup, if applicable                         | 0 – 10 |
| b. Overall supervision to be exercised                | 0 – 5  |
| c. Prior experience of the individual or team members | 0 – 10 |

4. Offeror's understanding of work to be performed.

- |   |        |
|---|--------|
| a. Adequate coverage                        | 0 – 10 |
| b. Realistic time estimates of each service | 0 – 5  |

5. Price 0 – 20

Maximum Points 100

#### **D. Review Process**

UCASA may, at its discretion, request presentations by or meetings with any or all Offerors, to clarify or negotiate modifications to the Offerors' proposals.

However, UCASA reserves the right to make an award without further discussion of the proposals submitted. Therefore, proposals should be submitted initially on the most favorable terms, from both technical and price standpoints, which the Offeror can propose.

UCASA contemplates award of the contract to the responsible Offeror with the highest total points.

## Certifications

On behalf of the Offeror:

1. The individual signing certifies that he/she is authorized to contract on behalf of the Offeror.
2. The individual signing certifies that the Offeror is not involved in any agreement to pay money or other consideration for the execution of this agreement, other than to an employee of the Offeror.
3. The individual signing certifies that the prices in this proposal have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition.
4. The individual signing certifies that the prices quoted in this proposal have not been knowingly disclosed by the Offeror prior to an award to any other Offeror or potential Offeror.
5. The individual signing certifies that there has been no attempt by the Offeror to discourage any potential Offeror from submitting a proposal.
6. The individual signing certifies that the Offeror is a properly licensed certified public accountant, or a public accountant licensed on or before (date of licensing), if applicable.
7. The individual signing certifies that the Offeror meets the independence standards of the Government Auditing Standards, if applicable.
8. The individual signing certifies that he/she is aware of and will comply with the GAO Continuing Education Requirement of 80 hours of continuing education every two years; and that 24 hours of the 80 hours education will be in subjects directly related to the government environment and to government auditing for individuals, if applicable.
9. The individual signing certifies that he/she has read and understands the following publications relative to the proposed services in relation to preparing for audits:
  - Government Auditing Standards (Yellow Book)
  - OMB Circular A-133, Audits of Institutions of Higher Education and Other Nonprofit Institutions
  - OMB Circular A-133 - Compliance Supplement
  - OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations
  - OMB Circular A-122, Cost Principles for Nonprofit Organizations

- A Guide for Nonprofit Organizations: Cost Principles and Procedures for Establishing Indirect Cost and Other Rates for Grants and Contract with the Department of Health and Human Services
- Audits of Voluntary Health and Welfare Organizations (AICPA Audit Guide)
- Audits of Certain Nonprofit Organizations (AICPA Audit Guide) (NOTE: If the entity is a unit of government, replace 4-8 above with the following:)
- OMB Circular A-102, Uniform Administrative Requirements for Grants-In-Aid to State and Local Governments including the Common Rule (Note: A-102 should be listed if funding source contracts require compliance with A-102/Common Rule.)
- OMB Circular A-87, Cost Principles for State and Local Governments (Note: A-87 should be listed if funding source contracts require compliance with A-87.)
- Audits of State and Local Units of Government (AICPA Audit Guide) (Note: The RFP should also list any regulations, publications, or audit guides that are relevant to specific programs to be audited. For example, if a Department of Energy weatherization program is to be audited, the Offeror should be familiar with 10 CFR Part 600, DOE's administrative requirements, and 10 CFR Part 400, DOE's weatherization program requirements.)

10. The individual signing certifies that he/she has read and understands all of the information in this Request for Proposal, including the information on the programs/grants/contracts in relation to the services performed.

11. The individual signing certifies that the Offeror, and any individuals to be assigned to the services performed, does not have a record of substandard work and has not been debarred or suspended from doing work with any federal, state or local government. (If the Offeror or any individual to be assigned to the serviced to be performed has been found in violation of any state or AICPA professional standards, this information must be disclosed.)

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
 (Offeror's Firm Name)

\_\_\_\_\_  
 (Signature of Offeror's Representative)

\_\_\_\_\_  
 (Printed Name and Title of Individual Signing)