

Audit Services Request for Proposals

DOCUMENT NUMBER: WDA AUDIT-RFP-2

Issued by: WISCONSIN WORKFORCE DEVELOPMENT BOARDS
AND ASSOCIATED WIA PROVIDERS
AIMS Fiscal Group
February 2008

TIMELINE: See Attachment F

For further information regarding this
RFP contact Marcia Pratt. 715-682-9141 ext 104
Or mpratt@nwcep.org

Posting of RFP on

GENERAL INFORMATION

1.1 Purpose and General Information

The purpose of this document is to provide interested parties with information to enable them to prepare and submit a proposal for audits of entities that operate employment and training programs funded by the Wisconsin Department of Workforce Development and other funding sources.

The Wisconsin Workforce Development Boards (WDBs) and their associated other WIA (Workforce Investment Act) providers intend to use the results of this process to establish a list of qualified vendors for audit services. A review team from the Workforce Development Boards will evaluate the technical qualifications of respondents. Any qualified contractor on the list may be chosen to provide the specifically outlined audit services for any of the separate entities identified in this Request for Proposal (RFP). See Attachment D.

Only basic fee structure pricing data will be required with this proposal response. The auditees will select, negotiate and contract for a cost for audit services.

1.2 Scope of Services

Contract Performance.

The scope of the engagement is to perform Financial and Compliance (F&C) audits of the grantees and/or their respective subcontractors listed on Attachment D for program year 2007 (July 1, 2007 - June 30, 2008) and for two subsequent years to include program years 2008 and 2009. The non-profit entities have been subject to A-133 audits in prior years.

Audit services will be based on OMB Circular A-133 (Audits of States, Local Governments and Other Nonprofit Organizations; 6/24/1997 edition including revisions published in the *Federal Register* 06/27/03), A-133 Compliance Supplement, March 2004 and Compliance Supplement March 2006; Government Auditing Standards – The Yellow Book, (Revised January 2007), generally accepted auditing standards, State Single Audit Guidelines issued by the Wisconsin Department of Administration (SSAG) or Provider Agency Audit Guidelines (PAAG), which ever is appropriate, and the objectives and requirements stated below.

The objectives of the audit are to determine whether:

1. The administrative entity is appropriately administering funds.
2. The systems contain adequate internal controls, including adequate safeguards for the protection of funds received and other assets.
3. Reports are prepared accurately and timely, and fairly present the operation and financial position of the entity.
4. The systems, processes, plans and contracts are in compliance with Federal Legislation and other federal regulations, and instructions from state and federal funding agencies.
5. The participants served by the program(s) are eligible.
6. The grantee participants are all entered into required eligibility reporting systems.

Copies of prior audits and reviews can be made available to the Contractor before the field work begins. The Contractor is required to complete the audit and the reports in accordance with the WDA determined delivery schedule.

The Contractor may schedule a briefing session with participating Workforce Development Board staff prior to beginning the field work.

1.3 Procuring Agencies

This Request for Proposal (RFP) is issued by the participating **Workforce Development Boards (Attachment D)** and they are the sole point of contact for any questions during the selection process. The contact person responsible for the RFP is Marcia Pratt, Finance Director, Northwest Wisconsin CEP, Inc. 422 3rd Street West, Suite 200, Ashland, WI 54806, 715-682-9141 ext 104, mpratt@nwcep.org

1.4 Definitions

The following definitions are used through the RFP.

Agency – Any participating Workforce Development Board.

Proposer/vendor - a firm submitting a proposal in response to this RFP.

State - State of Wisconsin.

Contractor – proposer or proposers awarded the contract.

WDBs – Workforce Development Boards to be audited

WIA – Workforce Investment Act

1.5 Clarification and/or revisions to the specifications and requirements

Any questions concerning this RFP must be submitted in writing on or before the date listed in Attachment F, Calendar of Events to:

Marcia Pratt
Finance Director
Northwest Wisconsin CEP, Inc.
422 3rd Street West, Suite 200
P.O. Box 606
Ashland, WI 54806

Phone: (715) 682-9141 ext 104

Fax: (715) 682-9181

Questions can also be submitted by e-mail to mpratt@nwcep.org

Vendors are expected to identify questions, exceptions, or additions they have concerning the RFP document at this point in the RFP process. If a vendor observes any significant ambiguity, error, conflict, discrepancy, omission, or other deficiency in this RFP, the vendor should immediately notify the above named individual of such error and request modification or clarification of the RFP document. In the event that it becomes necessary to provide additional clarifying data or information, or to revise any part of this RFP, revisions/amendments and/or supplements will be provided to all recipients of this initial RFP.

Each proposal shall stipulate that it is predicated upon the terms and conditions of this RFP and any supplements or revisions thereof.

1.6 Reasonable accommodations

The WDA will provide reasonable accommodations, including the provision of informational material in an alternative form at, for qualified individuals with disabilities upon request. If you think you need accommodations at a proposal opening/vendor conference, contact Marcia Pratt at (715) 682-9141 ext 104 (voice) or mpratt@nwcep.org (e-mail)

1.7 Calendar of events

The calendar of events is listed in Attachment F.

1.8 Contract term and funding

The vendor list shall be effective on the date indicated in Attachment F and shall run for three years program years. The notice to award will run for one year with, by mutual agreement of the agency and contractor, to renew for 2 additional 1 year periods. (three years total)

2.0 PREPARING AND SUBMITTING A PROPOSAL

2.1 General instructions

The evaluation and selection of a contractor and the contract will be based on the information submitted in the vendor's proposal plus references and any required on-site visits or oral presentations. Failure to respond to each of the requirements in the RFP may be the basis for rejecting a response.

Elaborate proposals (e.g. expensive artwork) beyond that sufficient to present a complete and effective proposal, are not necessary or desired.

2.2 Incurring costs

The WDBs are not liable for any cost incurred by proposers in replying to this RFP

2.3 Submitting the proposal

If mailed, Contractors can submit an original and four copies of all materials required for acceptance of their proposal by the date and time indicated in Attachment F of this RFP to:

Northwest Wisconsin CEP, Inc.
Marcia Pratt, Finance director
422 3rd Street West, Suite 200
P.O. Box 616
Ashland, WI 54806

Proposals must be received in the above office by the specified time stated above. All proposals will be date-stamped. Proposals not received by the date indicated above will not be considered for this RFP. All proposals must be packaged, sealed and show the following information on the outside of the package:

- Proposer's name and address:
- Request for proposal title: Audit Services RFP

If e-mailed: Contractors can submit a proposal via e-mail. Please send a .PFD file of the proposal to mpratt@nwcep.org by the date and time indicated in Attachment F. In the subject line please put “**Audit Services RFP**”

2.4 Proposal organization and format

Proposals should be typed and submitted on 8.5 by 11 inch paper. Proposals should be organized and presented in the order. Each section (A - F) should be clearly marked. The RFP sections which should be submitted or responded to are listed in section 3.3.

- 2.4.1 REQUEST FOR PROPOSAL FORM/COVER LETTER - TAB #1 Include here any cover letter included with the proposal, and the Designation of Confidential and Proprietary Information, (Attachment C). Proposals submitted in response to this RFP must be signed by the person in the contractor's organization who is responsible for the decision as to the services being offered in the Proposal or by a person who has been authorized in writing to act as agent for the person responsible for the decision as to the services being offered.

By submitting a signed proposal, the contractor's signatories certify that in connection with this procurement:

(1) the contractor's organization or an agent of the contractor's organization will arrive at the prices offered in relation to its proposal without consultation, communication, or agreement with any other respondent or with any competitor for the purpose of restricting competition,

(2) the prices, beyond basic fee schedules, to be quoted in relation to the proposal will not have been knowingly disclosed by the contractor's organization or by any agent of the contractor's organization and will not be knowingly disclosed by same, directly or indirectly, to any other respondent or to any competitor, and

(3) No attempt has or will be made by the contractor's organization or by any agent of the contractor's organization to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.

- 2.4.2 CONTRACTOR DATA SHEET/REFERENCE DATA SHEET - TAB #2 Include here the Contractor Data Sheet (Attachment A), and the Reference Data Sheet (Attachment B) that have been included in this RFP. Contractors should submit additional Reference Data Sheet forms if necessary. Include Basic fee structure in TAB #2.

2.4.3 CONTRACTOR STATUS - TAB #3

The WDBs reserves the right to reject any proposal from a firm or an individual who is under investigation for improper business practices related to the completion of audit services. Contractor must indicate if they are under investigation or have been prosecuted by any local, state or federal agency or authority.

The contractor must also indicate if in the past five years it has:

1. had its license to practice suspended or revoked by the State (if it has, include a complete explanation of the circumstances with the proposal)

2. received any reprimands for substandard work (explain if appropriate)
3. been liable in a court of law for inadequate or improper audit practices (explain if appropriate).

2.4.4 RESPONSE TO TECHNICAL SPECIFICATION - TAB #4

Provide complete response to Technical Specifications and Proposal Specifications in Section 4.0. See 3.3 (A - E)

2.4.5 ATTACHMENTS - TAB #5

Include the following documents in this section:

Attachment D, Vendor Designation of WDBs to be served

2.5 Multiple proposals

Multiple proposals from a vendor will be permissible, however each proposal must conform fully to the requirements for proposal submission. Each such proposal must be separately submitted and labeled as Proposal #1, Proposal #2, on each page included in the response. Alternate acquisition plans do not constitute multiple proposals.

3.0 PROPOSAL SELECTION AND AWARD PROCESS

3.1 Proposal Opening

Proposals will be accepted and opened at the offices of Northwest Wisconsin CEP, Inc.

3.2 Preliminary evaluation

The proposals will first be reviewed to determine if mandatory requirements are met. Failure to meet mandatory requirements will result in the proposal being rejected. In the event that all vendors do not meet one or more of the mandatory requirements, the Agency reserves the right to continue the evaluation of the proposals and to select the proposal which most closely meets the requirements specified in this RFP.

3.3 Proposal scoring

Accepted proposals will be reviewed by an evaluation committee and scored against the stated criteria. The committee may review references, request oral presentations, and conduct an on-site visit and use the results in scoring the proposals.

Each proposal will be independently evaluated on factors A through E listed below by three qualified individuals. This evaluation will be done solely on technical skills and merits as presented in the proposal, thus no pricing beyond basic fee structures data is being requested. Individual WDBs will be able to negotiate freely with any vendor on the vendor list. The WDB is responsible for negotiating the cost of the audit.

GRADING FACTORS:

Responses should be limited to 3 pages for each section.
Information presented should be current within 3 years.

- A. Contractor's understanding of work to be performed. 30 points
Describe your understanding of work to be performed. Include experience auditing multi-funded grantees, experience with OMB Circulars, special projects/consulting done for non profit agencies, the preparation/programs used for non profit audits, basic fee structure, (including discounts offered to non profit units). Include a list of senior staff, managers and partners assigned to this audit, indicating name, position in firm, years with firm, number of government and non profit audits performed, exclude full resumes.
- B. Prior Experience - government 30 points
Describe prior experience auditing governmental units (city, county, school district, technical college).
Provide a list of grantees and a narrative description of these audits.
- C. Prior Experience - non profit 30 points
Describe prior experience auditing non profit agencies (consortiums, community based units, foundations).
Provide a list of grantees and a narrative description of these audits.
- D. DOL & DHHS Audits 5 Points
Describe prior experience auditing US Department of Labor or US Department of Health and Human Services funds. Provide a list of grantees, programs and a narrative description of these audits.
- E. Peer Reviews 5 Points
Provide copies of any industry peer reviews, quality control reviews, any private or government performed reviews.
-

Total Points: 100 Points

MINIMUM SCORE:

A contractor must obtain a score of 60 Total Points in order to be on WDA's vendor list of qualified contractors. Each contractor will be notified in writing of the results of the evaluation.

MINORITY BUSINESS ENTERPRISE PREFERENCE:

Proposals from certified Minority Business Enterprises may have points weighted by a factor of 1.00 to 1.05 to provide up to a five percent (5%) preference to these businesses. The evaluation committee's scoring will be tabulated and proposals ranked based on the numerical scores received.

3.4 Right to reject proposals and negotiate contract terms

The participating WDBs reserves the right to reject any and all proposals. If contract negotiations cannot be concluded successfully by a WDB with a qualified contractor, the WB may negotiate a contract with any other contractor they deem qualified through a separate RFP process.

3.5 Award and final offers

It is the intent of the combined WDBs to establish a vendor list of qualified contractors. A qualified contractor is defined as any contractor which scores at least the minimum required 60 points. The decision to contract with a specific vendor will be at the discretion of the individual Workforce Development Boards.

3.6 Notification of intent to award

All vendors who respond to this RFP will be notified in writing of the intent to include them on the vendors list of qualified contractors or not.

After notification of the intent to award is made, and under the supervision of WDB staff, copies of proposals will be available for public inspection, by appointment only, from 8:00 a.m. to 4:00 p.m. at Northwest Wisconsin CEP, Inc. 422 3rd Street West, Suite 200, Ashland, WI 54806. Contact: Marcia Pratt, Finance Director, until April 30, 2008.

3.7 Appeals process

This procurement process is not governed by Wisconsin State Statute Chapter 16. Thus a formal appeal process is not applicable. All decisions of the WDB evaluations team will be final.

3.8 Disclosure of Proposal Information

All information concerning the proposals and the evaluation process will become part of the public record at the time that the notice(s) of award is issued.

Any restrictions on the use of the data contained in a contractor's response to this RFP must be clearly stated and Form DOA-3027, Designation of Confidential and Proprietary Information must be completed. Proprietary information submitted in response to this RFP will be handled in accordance with the Wisconsin Public Records Law.

3.9 Potential Conflict of Interest

A Potential Conflict of Interest Statement will be supplied to WDB at time of contract signing. Vendor will certify that there is no relationship existing between the Provider and Purchaser that interferes with fair competition or is a conflict of interest, and no relationship exists between the Provider and another person or organization that constitutes a conflict of interest with respect to the contract being signed. If there is a conflict of interest, the Provider must notify the Purchaser's Contract Manager. The Purchaser's Contract manager can waive this provision in writing if the activities of the Provider will not be adverse to the interests of the Purchaser.

4.0 GENERAL PROPOSAL REQUIREMENTS: MANDATORY

Contractor's services must meet all specifications listed below.

4.1 Notifications.

The contractor agrees to notify the Chief Local Elected Official, the Workforce Development Board (WDB) Chairperson, and the Administrative Entity of the Workforce Development Area (WDA), at least two weeks in advance of the time audit field work is scheduled to begin, and of the approximate duration of the audit. Coordination of the audit schedule to accommodate grantee staff should be done where necessary and practical.

The contractor agrees to notify all direct state and federal funding sources of funds being audited and coordinate any special needs.

The contractor agrees to notify the Chief Local Elected Official, and the Administrative Entity of the Workforce Development Area of the scheduled time of the exit conference, with as much lead time as possible, so that staff can plan to participate in the exit conference.

4.2 Draft Report.

The contractor agrees to send no later than thirty (30) days after the exit conference, a Draft Audit Report to the appropriate Chief Local Elected Official, the WDB Chairperson, and the Administrative Entity audited. The auditee has a thirty (30) day period to respond to the Draft Audit Report. The Contractor will finalize the audit including the responses and issue the final Audit Report in accordance with the specification in this RFP.

4.3 Audit Field.

The contractor understands that the total dollar amounts on the attached Schedule of Grantees Designated for Audit represents an estimate of total funds allocated for Program Year 2004 (7/1/04-6/30/05) and may not equal actual expenditures; that the total allocated amount would also include any amounts subsequently subcontracted by the grantee and that the contractor is not required to perform a separate audit of the grantee's subcontractors.

4.4 Standard Terms & Conditions

The contractor agrees to abide by the Standard Terms and Conditions attached to this RFP. (Attachment E)

4.5 Professional Standards

The contractor agrees to provide the services set forth in this RFP in accordance with the best professional standards.

4.6 Professional Assurances

The contractor agrees to provide assurance that at the time of contract award and during the duration of the contract, that it:

1. meets the appropriate state licensing requirements,
2. meets the applicable independence standard,
3. Complies with applicable requirements for peer review and continuing professional education.

4.7 Subcontracting or Assignment of Agreement.

The contractor agrees to not subcontract or assign all or any part of the work under this RFP without prior written approval from the WDB.

4.8 Employment Conflict

The contractor agrees to not employ the services of any person or persons now employed by the State or WDB, including any department, commission or board thereof, without the written consent of the employer of such person or persons and of WDB.

4.9 Audit Team Composition.

The contractor agrees that the audit staff listed in the RFP shall be bound to actually perform the audit. Changes in audit team composition at the Supervisor or Auditor-in-Charge level or above must be approved by WDB.

4.10 Legal Relations.

The contractor agrees to the following provisions:

1. The contractor will at all times comply with and observe all federal and state laws, local laws, ordinances, and regulations which are in effect during the period of this Agreement and which in any manner affect the work or its conduct.
2. The contractor will indemnify and save harmless the WDBs and all of its officers, agents and employees from all suits, actions or claims of any character brought for or on account of any injuries or damages received by any persons or property resulting from the operations of the contractor, or of any of its contractors, in prosecuting work under this RFP.
3. That at the time the contract is entered into with the WDB, the vendor will certify that no relationship exists between the Provider and the Purchaser that interferes with fair competition or is a conflict of interest, and that no relationship exists between the Provider and another person or organization that constitutes a conflict of interest with respect to this contract. That if there is a conflict of interest the Provider will notify in writing the Purchasers Contract Manager. The Purchasers Contract Manager can waive this provision in writing, if the activities of the Provider will not be adverse to the interests of the Purchaser.

4.11 Additional Work.

The contractor agrees that work beyond the normal scope of an A-133 audit and as outlined in this RFP may be negotiated.

4.12 Assistance Offered.

The contractor agrees that the WDB may assist by obtaining and preparing invoices, checks and other records and other work as is usual and customary.

5.0 Technical Proposal Requirements

5.1 Termination of Agreement.

A WDB may terminate a contract at any time at its sole discretion by delivering 30 days written notice to the contractor. Upon termination, WDBs liability will be limited to the pro rata cost of the services performed as of the date of termination plus expenses incurred with the prior written approval of WDB. In the event that the contractor terminates the contract, for any reason whatsoever, it will refund to WDB within 48 hours of said termination, all payments made by WDB to the contractor for work not completed or not accepted by WDB. Such termination will require written notice to that effect to be delivered by the contractor to WDB not less than 30 days prior to said termination.

5.2 Ownership of Material.

All material produced under this RFP shall remain the property of the AIMS Fiscal group and will be held at Northwest Wisconsin CEP, Inc.

5.3 Right to Publish.

The contractor will be allowed to write and have such writing published provided the contractor has written approval from WDB before publishing writings on subjects associated with the work under this RFP.

5.4 Examination of Records.

The contractor agrees that WDB, State Awarding Agencies, Federal Awarding Agencies, or their representatives will have access to and the right to examine, audit, excerpt and transcribe any directly pertinent books, documents, papers and records of the contractor, involving transactions relating to this RFP. Neither the WDB nor examiners shall be charged a fee for access and examination of audit records. Such material will be retained for three years by the-contractor following completion of services rendered under this RFP.

5.5 Continuance of Contract.

Continuance of a contract beyond the limits of funds available shall be contingent upon appropriation of the necessary funds, and the termination of this contract by lack of appropriations shall be without penalty.

5.6 Unauditable Records.

If, after appropriate notification by the contractor, and the initial visit to the Administrative Entities' location, the contractor finds:

1. the Administrative Entities' representative was not available;
2. records and appropriate documentation were not maintained at the location indicated in the Agreement, or in a reasonable proximity, and consequently unavailable for audit;
3. records to be in such condition that it was not possible to conduct an audit (only a total absence of records will result in an unauditible condition);

Then the contractor will promptly report such conditions to the WDB Authorized Representative in writing. In the case of the Administrative Entities' records being considered unauditable, the contractor shall submit a letter report delineating the reason for such determination, a recommendation as to action required to place records in condition for audit, name(s) of auditor(s) making the visit to the auditee's location, and the date of such visit. This report shall be submitted to the WDB Authorized Representative within five (5) working days of such determination.

5.7 Additional Provisions. The following additional provisions are part of this contract:

1. The contractor will retain audit work papers for three years after date of the audit report and will send work papers via Registered or Certified mail to WDB for review upon request.
2. The contractor agrees to participate in on-site reviews by WDB or State Awarding Agency during the audit, if any.
3. The contractor agrees not to divulge any information resulting from the audit to outside sources, except as provided for under the Wisconsin Open Records Law.
4. To be acceptable for payment, audit work must meet U.S. General Accounting Office Guidelines for Government Auditing Standards, and the audit report must be accepted by the WDB. The contractor agrees to perform additional work to make the audit report corrections at no additional cost for any reports containing an error or substandard work directly attributable to the Contractor's performance.
5. The contractor shall notify WDB Authorized Representative in writing within five (5) working days if any significant findings are uncovered.

5.8. Final Audit Reports.

The contractor shall deliver all final audit reports for Program Year 07 on or before December 31, 2008. We encourage that reports be submitted earlier than the above schedule. However, if the contractor fails to make delivery of the audit reports within the time schedule specified herein, or if the contractor delivers audit reports which do not conform to all the provisions of this RFP, the WDB may, by written notice of default to the contractor, terminate the whole or any part of this contract.

5.9 Restrictions against Disclosure.

The contractor agrees to keep the information related to all audits in strict confidence. Other than the reports submitted to the WDB, the contractor agrees not to publish, reproduce or otherwise divulge such information in whole or in part, in any manner or form or authorize or permit others to do so, taking such reasonable measures as are necessary to restrict access to the information, while in its possession, to those employees on his staff and the contractor's or Administrative Entities' staff who must have the information on a "need-to-know" basis, and it agrees to immediately notify, in writing the WDB Authorized Representative in the event he/she determines or has reason to suspect a breach of this requirement.

5.10 Extraneous Activities.

It is understood that the contractor's personnel will not be required to engage in any criminal investigative activities and, to the degree that the contractor's personnel are required to give advice, testimony or engage in any other activity not within the strict purview of rendering, confirming or justifying an audit report, arrangements shall be made beyond the scope of this RFP to reimburse the contractor for the professional time consumed and other related costs.

5.11 Agreement Modifications.

This RFP may be modified in whole or in part by the WDB at any time upon not less than 10 working days written notice to the contractor. In the event of such modification by the WDB, the contractor has 10 working days in which to accept or reject the modifications. In the event of rejection of modifications, either party may exercise its rights to terminate the contractor.

6.0 COST & PAYMENT TERMS

6.1. Cost

Specific terms and conditions of payment will be negotiated separately by each WDB, and will be included in the contract. Terms and prices for future optional years will be negotiated at the time of contract renewal.

6.2 Invoices

WDB payment of the invoices shall not be construed as evidence of the acceptance of the audit reports. Should WDB reject the report, WDB Authorized Representative will notify the contractor in writing of such rejection within 30 days of receipt of the report giving the reason(s) therefore. The right to reject a report shall extend throughout the term of this contract.

END OF REQUEST FOR PROPOSAL DOCUMENT

ATTACHMENT A

CONTRACTOR DATA SHEET

This form must be completed and submitted with each response to this solicitation document. This form is intended to provide the Review Team with information on the contractor's name and address, and the specific persons who were responsible for preparation of the contractor's response. Each contractor must also designate a specific contact person who will be responsible for responding to the WBDs if any clarification of the contractor's response should become necessary.

Contractor Name: _____

Contractor Address: _____

Contractor Website: _____

Contractor Response Prepared By: _____

Contractor Contact Person: _____

Contractor Contact Phone Number: _____

Contractor Contact Fax Number: _____

Contractor Contact FEIN Number: _____

The Contractor certifies that they are a regular dealer in the services called for in this Request For Proposal, and that the firm is licensed in the State of Wisconsin to perform audit services. Under Wisconsin Statutes, a 5% preference may be granted to a certified Minority Business.

BIDDER PREFERENCE: Please indicate below if claiming a bidder preference:

- [] Minority Bidder Preference (Wis. Stats., s. 16.75(3m) - Must be certified by the Wisconsin Department of Commerce (DOC). If you have questions concerning the certification process, contact DOC, 201 West Washington Avenue, Madison, Wisconsin 53702, (608) 267-9550.

Completed by / Date

Signature

Date

ATTACHMENT B

REFERENCE DATA SHEET

FOR CONTRACTOR: _____

Provide company name, address, contact person, telephone number, and appropriate information on the audit service(s) provided for the latest 3 year period, with requirements similar to those included in this solicitation document. If contractor is proposing any arrangement involving a third party then the named references should also be involved in a similar arrangement.

Company Name: _____
Address: _____
Contact Person: _____
Title: _____
Phone No.: _____
Program(s): _____

Company Name: _____
Address: _____
Contact Person: _____
Title: _____
Phone No.: _____
Program(s): _____

Company Name: _____
Address: _____
Contact Person: _____
Title: _____
Phone No.: _____
Program(s): _____

Company Name: _____
Address: _____
Contact Person: _____
Title: _____
Phone No.: _____
Program(s): _____

Completed by: _____

Date: _____

ATTACHMENT C

STATE OF WISCONSIN DOA-3027
N(R01/98)

DESIGNATION OF CONFIDENTIAL AND PROPRIETARY INFORMATION

Attach C

The attached material submitted in response to Bid/Proposal # _____ includes proprietary and confidential information which qualifies as a trade secret, as provided in s. **19.36(5), Wis. Stats.**, or is otherwise material that can be kept confidential under the Wisconsin Open Records Law. As such, we ask that certain pages, as indicated below, of this bid/proposal response be treated as confidential material and not be released without our written approval.

Prices always become public information when bids/proposals are opened, and therefore cannot be kept confidential.

Other information cannot be kept confidential unless it is a trade secret. Trade secret is defined in **s. 134.90(1)(c), Wis. Stats.** as follows: "Trade secret" means information, including a formula, pattern, compilation, program, device, method, technique or process to which all of the following apply:

1. The information derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use.
2. The information is the subject of efforts to maintain its secrecy that are reasonable under the circumstances.

We request that the following pages not be released

Section	Page #	Topic

IN THE EVENT THE DESIGNATION OF CONFIDENTIALITY OF THIS INFORMATION IS CHALLENGED, THE UNDERSIGNED HEREBY AGREES TO PROVIDE LEGAL COUNSEL OR OTHER NECESSARY ASSISTANCE TO DEFEND THE DESIGNATION OF CONFIDENTIALITY AND AGREES TO HOLD THE STATE HARMLESS FOR ANY COSTS OR DAMAGES ARISING OUT OF THE STATE'S AGREEING TO WITHHOLD THE MATERIALS.

Failure to include this form in the bid/proposal response may mean that all information provided as part of the bid/proposal response will be open to examination and copying. The state considers other markings of confidential in the bid/proposal document to be insufficient. The undersigned agrees to hold the state harmless for any damages arising out of the release of any materials unless they are specifically identified above.

Company Name _____

Authorized Representative _____
Signature

Authorized Representative _____
Type or Print

Date _____

ATTACHMENT D

SUMMARY OF PARTICIPATING WORKFORCE DEVELOPMENT BOARDS
VENDOR DESIGNATION OF WDBs TO BE SERVED

Vendor: _____

In Column A, indicate " X " next to WDB if vendor is willing to provide audit services in this RFP.

<u>A #</u>	<u>WDB Name</u>	<u>Location</u>	<u>Based on PY 05 Funds</u>
___1	Milwaukee County	Milwaukee	\$ 11,500,000
___2	Waukesha-Ozaukee-Washington	Pewaukee	\$ 4,101,000
___3	Fox Valley	Neenah	\$ 4,125,000
___4	Bay Area	Green Bay	\$ 4,300,000
___5	North Central WI	Wisconsin Rapids	\$ 3,113,000
___6	Northwest W I CEP	Ashland	\$ 3,400,000
___7	West Central WI	Menomonie	\$ 5,000,000
___8	Western WI	La Crosse	\$ 5,421,000
___9	Southwest W I	Dodgeville	\$ 3,466,000

The majority of activities are federally funded.

ATTACHMENT E: EVALUATION GRADING SHEET AND GUIDELINES

CPA firm name: _____

WDA staff: Use the following factors to assist in scoring the proposals. Enter the points onto a separate Evaluation Score sheet for each individual proposal. GRADING FACTORS:
Responses should be limited to 3 pages for each section and be current within 3 years.

- A. Contractor's understanding of work to be performed. Include: 30 points _____
- 1) Experience auditing multi-funded grantees.
 - 2) Experience with OMB Circulars.
 - 3) special projects/consulting done for non profit agencies.
 - 4) the preparation/programs used for non profit audits.
 - 5) **basic** fee structure/including discounts offered for government/non profits.
 - 6) Include a list of senior staff, managers and partners assigned to this audit, indicating name, position in firm, years with firm, number of government and non profit audits performed, exclude full resumes.

Criteria: Generally, award 0 - 5 point for each of the 6 items. Award points for complexity, strong projects & programs, experience; low fees.

- B. Prior Experience – government** 30 points _____
- Describe prior experience auditing governmental units (city, county, school district, technical college). Provide a list of grantees and a narrative description of these audits.

Criteria: Award points for complexity, volume & mixture of auditees.

- C. Prior Experience - non profit ** 30 points _____
- Describe prior experience auditing non profit agencies (community based units, consortiums, foundations).
Provide a list of grantees and a narrative description of these audits.

Criteria: Award points for complexity, volume & mixture of auditees.

- D. DOL & DHHS Audits 5 Points _____
- Describe prior experience auditing US Department of Labor and US Department of Health and Human Services funds. Provide a list of grantees, programs and a narrative description of these audits.

Criteria: Award points for volume & mixture of DOL/DHHS programs.

- F. Peer Reviews 5 Points _____
- Provide copies of any industry peer reviews, quality control -reviews, any private or government performed reviews.

Criteria: Award 5 points for a major review. 3 points for other reviews.

Total Points: 100 Points Total for this vendor _____

**Note: 20 points may be transferred between B & C to compensate CPA firms performing only either B or C type audits.

MINIMUM SCORE: A contractor must obtain a score of 60 Total Points in order to be on the vendor list of qualified contractors. Do not exceed the point total in each subsection (except B or C if transferring points).

GRADER _____

WISCONSIN WORKFORCE DEVELOPMENT BOARDS

AUDIT RFP – FEBRUARY 2008

ATTACHMENT F

Calendar of Events

Listed below are specific dates and times of actions related to this Request for Proposal (RFP). The actions with specific dates must be completed as indicated unless otherwise changed by the WDBs. In the event that the WDBs find it necessary to change any of the specific dates and times in the calendar of events listed below, it will do so by issuing a supplement to this RFP which will be posted on the NWCEP.org website.

<u>DATE</u>	<u>TIME</u>	<u>EVENT</u>
2/15/2008		Date of issue of the RFP: posted on WWW.NWCEP.org And on WWW.WWDA.org websites.
2/29/2008	3:00 PM	Questions due from contractors. E-mail questions to: mpratt@nwcep.org
3/7/2008		Questions and responses posted on websites
3/21/2008	3:00 PM	Proposals due from contractors/Proposal opening. Proposal can be submitted electronically to: mpratt@nwcep.org in .pdf format, or can be mailed with 4 copies to: Marcia Pratt Finance Director Northwest Wisconsin CEP, Inc 422 3 rd Street West, Suite 200 Ashland, WI 54806
3/28/2008		AIMS review team receives RFPs for review
4/25/2008		AIMS review team selects vendors from RFP Vendors are sent notification of selection.
4/30/2008		Qualified audit firms list is posted on websites Vendor list effective date: valid for three years Including Program year 2007 (7-1-07 thru 6-30-07) Program year 2008 (7-1-08 thru 6-30-09) Program year 2009 (7-1-09 thru 6-30-10)