



# PUBLIC BUILDING COMMISSION OF CHICAGO

## REQUEST FOR PROPOSAL (RFQ/P) FOR AUDIT SERVICES (PS3045)

ISSUED: October 11, 2019

Responses must be submitted in sealed envelope(s) or package(s). The outside of each must clearly indicate the name of your firm and the name of the Submission.

Submit 1 signed, single-sided, bound ORIGINAL (marked as such)

Submit 2 double-sided, unbound paper copies

Submit 5 electronic copies on USB Flash Drives\*

Submit 1 single-sided, bound copy of Financial Statements

\*Electronic copies on Flash Drives must be in a single, searchable pdf document. No Compact Discs.

TO

Public Building Commission of Chicago

Richard J. Daley Center, Room 200

50 W. Washington Street

Chicago, Illinois 60602

[www.pbcchicago.com](http://www.pbcchicago.com)

Mayor Lori E. Lightfoot  
Chairman

Carina E. Sánchez  
Executive Director

FIRM INFORMATION	
FIRM NAME:	
CONTACT NAME:	
CONTACT TELEPHONE:	
CONTACT EMAIL:	
ADDRESS:	
(Note: Include this page with your submission.)	

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## SECTION I KEY INFORMATION

The Public Building Commission of Chicago (Commission or PBC) has issued a Request for Proposals (RFQ/P) for qualified firms seeking to be selected to provide Audit Services to the Commission. It is the intent of the Commission to award a contract to one (1) firm to provide Audit Services for a term of three (3) years with the option to extend for up to three (3), additional one (1) year periods.

Firms seeking to provide these Services to the Commission ("Respondents") are required to submit evidence of successful previous experience, financial capability, possess all requisite License/Certifications, and otherwise meet all qualifications requirements as outlined herein.

1. **RESPONDENT CONTACT WITH THE PBC:** The PBC has selected the Contract Officer identified below as the *sole point of contact*. From the date of issuance until selection of the successful Respondent(s), Respondent's communication with the PBC concerning this Procurement must be exclusively with:

James Borkman, Contract Officer  
Public Building Commission of Chicago  
50 West Washington, Room 200  
Chicago, Illinois 60602  
[james.borkman@cityofchicago.org](mailto:james.borkman@cityofchicago.org)

2. **SUBMISSION DEADLINE AND PROCUREMENT TIMETABLE:** The following dates are set forth for informational and planning purposes; however, the PBC reserves the right to change the dates.

- Issue RFQ/P ..... October 11, 2019
- Pre-Submission Conference ..... October 23, 2019 at 11:00am
- Questions Deadline ..... October 24, 2109 at 4:00pm Central Time
- Submission Deadline ..... October 30, 2019 at 11:00am Central Time
- Oral Presentations (if necessary)..... November 13-21, 2019
- Successful Respondent Appointment (tentative)..... December PBC Board Meeting

3. **RFQ/P AVAILABILITY:** Hard copies of the RFQ/P are available at the Richard J. Daley Center, 50 West Washington Street, Room 200, Chicago, IL 60602, at the Reception Desk. Office hours are from 8:00 AM to 5:00 PM, Monday through Friday. You may also download a copy at: [www.pbcchicago.com](http://www.pbcchicago.com).

Any addenda that are issued will be posted only to the above listed website link. Respondent must acknowledge any addenda issued and posted to the PBC website [www.pbcchicago.com](http://www.pbcchicago.com), in the Cover Letter. The Commission is not responsible for a Respondent's failure to obtain or download any addenda issued for this RFQ/P.

4. **QUESTIONS:** Please direct all questions (and requests for American Disabilities Act accommodations), in writing to the Contract Officer. Questions may be answered at the discretion of the PBC. If answered, they will be answered via an Addenda posted to the PBC's website at [www.pbcchicago.com](http://www.pbcchicago.com).

5. **NUMBER OF COPIES:**

Submit 1 signed, single-sided, bound ORIGINAL (marked as such)

Submit 2 double-sided, unbound paper copy

Submit 5 electronic copies on USB Flash Drives\*

Submit 1 single-sided, bound copy of Financial Statements

\*Electronic copies on Flash Drives must be in a single, searchable pdf document. No Compact Discs.

6. **SUBMISSION DIRECTIONS:** Submissions must be tendered to the Commission in a sealed envelope, package, or container that clearly indicates the title of the RFQ/P and the Contract Officer's information prior to the Submission Deadline. Responses must be submitted to:

James Borkman, Contract Officer  
Public Building Commission of Chicago  
50 West Washington, Room 200  
Chicago, Illinois 60602

7. **CONFIDENTIALITY:** Respondent may designate those portions of the Proposal, which contain trade secrets or other information the Respondent deems as proprietary or privileged (including financial information) as confidential. If a Respondent includes data that is not to be disclosed to the public for any purpose or used by the PBC except for evaluation purposes, the Respondent must clearly demarcate the bottom of each page containing confidential information as "CONFIDENTIAL."
8. **FALSE STATEMENTS:** Any false statement(s) made by the Respondent(s) will void the response and eliminate the Respondent(s) from further consideration.
9. **RIGHT TO CANCEL:** The PBC reserves the right to cancel this procurement process whenever the best interest of the PBC is served. The PBC shall not be liable for costs incurred by Respondent(s) associated with this procurement process.
10. **MBE/WBE CERTIFICATION:** The PBC only issues credit for Minority Business Enterprise (MBE) and Women Business Enterprise (WBE) firms certified by the City of Chicago and Cook County. However, if a firm is MBE or WBE certified by another agency, please include such information as applicable.
11. **TERM:** The Tern Agreement will be for a three (3) year term period with the option to extend for up to three (3), additional one (1) year periods.

## SECTION II DEFINITIONS

### A. DEFINITIONS

Throughout this Request for Proposals (RFQ/P) these terms have the following meanings:

- a. **PBC or Commission** means the Public Building Commission of Chicago.
- b. **Agreement** means the contract for Audit Review Services that is to be entered into between the PBC and the selected Respondent(s) pursuant to this RFQ/P.
- c. **Authorized Commission Representative** means one or more persons designated in writing by the PBC's Executive Director for the purposes of assisting the Commission in managing the Project. As specifically directed by the PBC, the Authorized Commission Representative will act on behalf of the PBC.
- d. **Respondent** means the firm(s), individual(s), corporation(s), partnership(s) and joint venture(s) that submit responses pursuant to this RFQ/P.
- e. **Selected Respondent(s)** means the individual(s), partnership(s), corporation(s) or joint venture(s) that the PBC selects for award of a contract pursuant to the RFQ/P.
- f. **Services** means any/all tasks for Audit Services for which the PBC engages the Selected Respondent.
- g. **Sub-Consultant (or Sub-Contractor)** means individual(s), partnership(s), corporation(s), contractor(s); sub-contractor(s); or joint venture(s) that the Selected Respondent engages to provide specialized services required by the Agreement.
- h. **Submittal or Submission** means all materials provided in response to this RFQ/P.

### B. INTERPRETATIONS

Any headings in this RFQ/P are for convenience of reference only and do not define, limit, control or affect the meaning of the RFQ/P's provisions. In this RFQ/P, unless the context otherwise requires, the terms "hereby," "herein," "hereof," "hereto," "hereunder" and any similar terms used in this RFQ/P, refer to this RFQ/P. All section references, unless otherwise expressly indicated, are to sections of this RFQ/P. Words of any gender shall be deemed and construed to include correlative words of the other gender. Words indicating the singular number shall include the plural number and vice versa, unless the context shall otherwise indicate. All references to any exhibit or document shall be deemed to include all supplements and/or amendments to any such exhibits or documents entered into in accordance with the terms and conditions of this RFQ/P and such documents. All references to any person or entity shall be deemed to include any person or entity succeeding to the rights, duties, and obligations of such persons or entities in accordance with the terms and conditions of this RFQ/P.

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## SECTION III SCOPE OF SERVICES

### A. INTRODUCTION

Created as an independent governmental unit, the Public Building Commission of Chicago (the "PBC" or "Commission") plans, designs, builds, and renovates, public facilities for governmental agencies in the Chicago and Chicagoland area that reflect the highest standards of environmental and economic sustainability. Our clients include, but are not limited to, the City of Chicago, Chicago Public Schools, Chicago Public Library, Chicago Park District, Chicago Fire Department, City of Chicago Department of Fleet and Facility Management, City Colleges of Chicago, Metropolitan Water Reclamation District, and Cook County.

The PBC is currently soliciting qualifications and proposals from firms interested in providing Audit Services ("Services") to the PBC.

The PBC accepts and encourages Joint Venture Partnerships and strongly encourages participation with MBE or WBE firms. Respondents interested in Joint Venture Partnerships must have the appropriate licensure/qualifications, and combined financial and technical capacity required by this solicitation.

A completed Disclosure Affidavit (Exhibit B) must be submitted by firms interested in submitting as joint venture entity. Respondents must submit a copy of the entity's Joint Venture Agreement which clearly identifies the resources, capabilities, and capacity of each joint venture firm available to be allocated to the performance of the Agreement.

### B. INTENT

The intent of this Request for Qualifications and Proposals ("RFQ/P") is to identify and select a qualified Firm to provide Audit Services for the Commission.

The PBC issued its first Comprehensive Annual Financial Report (CAFR) for the Fiscal Year (FY) ended December 31, 2009 (and each subsequent year since). The PBC has submitted its FY 2018 CAFR for Government Finance Officers Association (GFOA) Certificate of Achievement for Excellence in Financial Reporting and is currently under review.

A copy of the PBC's annual CAFR and other financial reports are available on the PBC's website at: <https://www.pbcchicago.com/resources/financial-reports/>.

The successful Respondent will be responsible for ensuring the PBC submits its Annual CAFR for GFOA's Certificate of Achievement for Excellence in Financial Reporting on or before June 30, 2020 and all subsequent CAFR submissions during the contract period.

Qualified firms interested in submitting proposals to provide such services are required to follow the guidelines and instructions contained in this RFQ/P. The PBC, at its sole discretion, may choose to retain none, one, or more firms to perform the Services.

### C. SCOPE OF SERVICES

The PBC is requesting proposals from firms licensed to practice public accountancy in the State of Illinois to examine its financial statements and to render an opinion on the fair presentation of the PBC's financial position and the changes in financial position and cash flows in conformity with accounting principles generally accepted in the United States of America. The PBC's Fiscal Year ends December 31 of each year.

The examination of the PBC's financial statements should be made in accordance with:

1. Auditing standards generally accepted in the United States of America as included in Statements on Auditing Standards, published by the American Institute of Certified Public Accountants.
2. Standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States.
3. Provisions of relevant General Accounting Standards Board Statements (GASB).

The selected auditing firm will be required to prepare the following reports:

- Independent Auditor's Report

- Independent Auditor's Report on Internal Control Over Financial Reporting and on Compliance and Other Matters in Accordance with Government Auditing standards
- All other reports required of the independent auditor examining the financial statements of the PBC in accordance with the standards listed above
- Exit conferences will be held with the PBC Management and Audit Committee.

The successful auditing firm will be expected to provide advisory guidance to PBC staff during their course of audit work for:

- Accounting and other technical matters as needed to keep the PBC in compliance with any changes in governmental accounting and financial reporting standards; and
- In the preparation of the PBC's CAFR so that it exhibits complete transparency and full disclosure in financial reporting and to be eligible to receive the GFOA's Certificate of Achievement for Excellence in Financial Reporting.

The successful auditing firm will be required to:

- Provide a preliminary Management Letter indicating findings and recommendations to the PBC's staff in advance of the finalization of the audit. The final letter should be included with the CAFR submission.
- Conduct initial, progress, status, and exit meetings with the PBC staff during each Fiscal Year's Audit.
  - Initial
    - Discuss prior audit issues and establish audit plan with appropriate timetables for current Fiscal Year.
  - Progress.
    - Summarize results of preliminary review and identify internal controls for implementation. Discuss other matters that may be analyzed or tested.
  - Status
    - Weekly updates during the audit period regarding testing, requests for data, or documents necessary to complete fieldwork.
  - Exit
    - Summarize results of fieldwork and review all significant findings that have been discovered through the audit.
- Provide regular updates/reports to PBC staff during the audit period as necessary/requested by PBC.

## **INDEPENDENT AUDITOR'S REPORT REQUIREMENTS**

1. The report should be addressed to the Public Building Commission of Chicago.
2. Reports of examinations of Financial Statements must:
  - a. State the scope of examination and that the audit was performed in accordance with generally accepted auditing standards.
  - b. Include an opinion as to whether the financial statements present fairly, in all material respects, and the respective changes in financial position and cash flows, in conformity with accounting principles generally accepted in the United States of America.
3. Reports of compliance examinations must include a statement that the audit was conducted in accordance with applicable auditing standards. The audit report must state whether the examination disclosed instance of non-compliance with laws and regulations. Findings of non-compliance or ineligible expenses must be presented in enough detail for management to be able to clearly understand them.

The independent auditor will present the Audit Report to the Audit Committee of the PBC each year of the contract.

## **PBC'S RESPONSIBILITIES DURING AUDIT**

1. The PBC will provide and make available on-site office space, internet connectivity, power source, and use of copier/scanner to conduct the audit and related confirmations by mail.
2. The PBC will make available and accessible all documents, records, and systems requested by the independent auditors to conduct their examination.
3. The PBC's finance staff, and all necessary staff, will be available to provide documents and reports for examination, reproduce documents, prepare specific schedules, etc.
4. The PBC's finance staff will be responsible for preparing, organizing, copying, and binding the final CAFR.

## **AUDIT FEES**

The Audit Services Fee Proposal (Schedule A) will provide an annual, not-to-exceed fee listed separately for each year of the term. Do not provide a lump sum fee amount for all years of the contract term.

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## SECTION IV SUBMISSION REQUIREMENTS

### A. SUBMISSION REQUIREMENTS

These instructions describe the format and content of the submission. These directions are designed to facilitate a fair and uniform review process. Failure to adhere to this format will affect evaluation and may result in disqualification of your submission. The PBC expressly reserves the right to reject or accept submissions at the sole discretion of the Commission.

#### 1. Number of Submissions

- Submit 1 signed, single-sided, bound ORIGINAL (marked as such)
- Submit 2 double-sided, unbound paper copy
- Submit 5 electronic copies on USB Flash Drives\*
- Submit 1 single-sided, bound copy of Financial Statements

\*Electronic copies on Flash Drives must be in a single, searchable pdf document. No Compact Discs.

#### 2. Submission Format

##### a. Binding

- i. Submissions should be bound on the long side and prepared on standard 8½" x 11" letter size paper. Expensive papers and bindings are discouraged as no materials will be returned to Respondent.
- ii. **PBC staff may have to unbind bound copies in order to duplicate sections of your submission; therefore, submissions with spiral or permanent binding will not be accepted.**
- iii. Submissions must include the return of the entire solicitation package.

##### b. Labeling

- i. All copies (bound and electronic) should be organized, tabbed, and labeled in accordance with the Submission Checklist described in this RFQ/P.
- ii. The front page of each submission must be marked 'ORIGINAL', if original; and 'COPY', if copy.
- iii. Attachments must be clearly noted in the Submission. When including attachments, please ensure that, at a minimum, the following information is noted in the header or footer of the attachment.

(Example)

ABC Contractor

Narrative Statement to Evaluation Criteria – Past Performance

Page \_\_\_ of \_\_\_

- iv. USB drives shall be clearly labeled with your firm's name. Electronic PDF file copy must be a single, searchable document and must be labeled as follows:

*'SU\_YourFirmsName\_AuditSvcs\_RFQ/Presponse\_YYYYMMDD'*

- v. Please stamp, legibly handwrite, or type your firm's name on the line provided in the bottom of each page of your submission.

##### c. Packaging

- i. The outside of each envelope or package must be labeled as follows:

*Request for Proposals for Audit Services – PS3045*

*(Name of Respondent)*

*(Date of Submission Deadline)*

*Package \_\_\_ of \_\_\_*

- ii. The outside of each envelope or package must be addressed and returned to:

*Public Building Commission of Chicago  
Richard J. Daley Center, Room 200  
50 W. Washington Street Chicago, Illinois 60602  
Attention: James Borkman, Contract Officer*

- iii. Enclosed within your envelope or package must be five (5) USB Flash Drives, separately sealed and labeled with your firm's name on the outside of the envelope, package, or container.

## **B. SUBMISSION CHECKLIST**

Respondent's submission must be assembled, organized, and tabbed as described below:

### **1) Cover Letter and Table of Contents (Tab 1)**

#### **a. Cover Letter –LIMITED TO 3 PAGES**

The Cover Letter must be executed by an individual authorized to legally bind the Respondent and who will be considered the contact person for all matters pertaining to the Submission unless the Respondent designates another person in writing. The summary must include your mailing address, e-mail address, and telephone number. Respondent must also acknowledge any addendums issued and posted to the PBC website [www.pbcchicago.com](http://www.pbcchicago.com) in the Cover Letter.

Respondent must include a Cover Letter which includes all of the following information:

- i. A brief description of your firm's company history, experience, and number of years in business.
- ii. A statement demonstrating Respondent's clear understanding of the services as specified in the Scope of Services identified herein.
- iii. A statement regarding the Respondent's understanding and commitment to comply with all Special Conditions Regarding the Utilization of Minority and Women Owned Business Enterprises (Exhibit D).
- iv. Any requests for confidential treatment of information must be included along with the specific statutory basis supporting the request, an explanation of why disclosure of the information is not in the best interest of the public, and the specific basis under Section 7 of the Illinois Freedom of Information Act (5 ILCS 140/7) for the exemption from disclosure of such information. The request must also contain the name, address, and telephone number of the individual authorized to respond to the Commission about the confidential nature of the information.

#### **b. Table of Contents**

The Respondent must include a Table of Contents in its submission. Submissions must be page-numbered sequentially from front to back.

### **2) Evaluation Criteria: Experience and Qualifications of Firm and Key Personnel (Tab 2)**

Provide information as identified in Section VI.B.1.

### **3) Evaluation Criteria: Project Approach (Tab 3)**

Provide information as identified in Section VI.B.2.

### **4) Evaluation Criteria: Past Performance (Tab 4)**

Provide information as identified in Section VI.B.3.

### **5) Evaluation Criteria: References (Tab 4)**

Provide information as identified in Section VI.B.4. Please complete Exhibit G.

### **6) Evaluation Criteria: Pricing (Tab 5)**

Provide information as identified in Section VI.B.5.

### **7) Evaluation Criteria: MBE/WBE Past Participation (Tab 6)**

Provide information as identified in Section VI.B.6. Please complete Exhibit H.

### **8) Evaluation Criteria: Financial Capacity (Separately Sealed Envelope)**

Provide information as identified in Section VI.B.7.

**9) Additional Forms (Tab 7)**

Complete Exhibits A – C and provide evidence of Insurance as required by Exhibit E.

**10) Joint Venture Participation (TAB 8) \*\*Applicable to firms intending on submitting as Joint Venture Partners\*\***

Submit a copy of the entity's joint venture agreement.

**NOTE:** For Joint Venture Partnerships, each Joint Venture Partner will also be required to submit all applicable forms requested in this solicitation, including a City of Chicago or Cook County Certification Letter if there is a MBE or WBE partner.

**C. REJECTION OF SUBMISSIONS**

Submissions that do not comply with the submission requirements of the RFQ/P or that contain omissions, erasures, alterations that are irregular in any way, may be rejected as informal and insufficient. The PBC, however, reserves the right to waive any or all informalities when it considers a waiver to be in its and the public's best interest.

**D. OWNERSHIP OF SUBMISSION**

The PBC owns all submitted materials. Submissions will not be returned to Respondents. During the evaluation and selection period and after the Selected Respondent(s) sign the Agreement(s), all Submittals remain the property of the PBC. The PBC shall not be responsible for expenses incurred in preparing and submitting the submission. Such costs must not be included in the submission.

**E. IMPROPER PRACTICES**

The Respondent must not offer any gratuities, favors, or anything of monetary value to any member of the Board of Commissioners of the PBC, official, or employee of the PBC for the purpose of influencing consideration of the Submittal. The Respondent must not collude in any manner or engage in any practices with any other Respondent(s) or potential Respondent(s) that may restrict or eliminate competition or otherwise restrain trade. Violation of this instruction will cause the Respondents' response to this RFQ/P to be rejected by the PBC. Notwithstanding the foregoing, this prohibition is not intended to preclude joint ventures, licenses or subcontracts.

**F. COMPLIANCE WITH LAWS**

The Selected Respondent(s) must comply with all laws, statutes, ordinances and regulations of any and all governmental body, including the PBC and Federal, state, local and city governments. Respondents' attention is directed to the provisions of Article 33E of the Illinois Criminal Code, 720 ILCS 5/33E-1 et seq. (as amended), but Consultants must comply with any other provisions that apply to or in any manner affect any Services performed under the Agreement.

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## SECTION V SUBMISSION CHECKLIST

Please review your firm's submission to ensure all applicable forms are completed and additional required documentation is attached. Please ensure your firm's electronic and hard copy submissions are also organized as noted below.

<b>TAB 1</b> <i>Introductory Information</i>	
	Cover Letter – Signed by Authorized Representative
	Table of Contents
<b>TAB 2</b> <i>Experience and Qualification of Firm and Key Personnel</i>	
	Experience and Qualifications of Firm
	Key Personnel Resumes
	Organization Chart
	Relevant License(s) and Certification(s)
<b>TAB 3</b> <i>Project Approach</i>	
	Work Plan for PBC Audit
<b>TAB 4</b> <i>Past Performance</i>	
	Past Performance
	References (Exhibit G)
<b>TAB 5</b> <i>Pricing</i>	
	Schedule A – Audit Services Fee Proposal
<b>TAB 6</b> <i>MBE&amp;WBE/Other Criteria</i>	
	MBE/WBE Past Participation (Exhibit H)
<b>TAB 7</b> <i>Exhibits</i>	
	Exhibit A – Legal Actions
	Exhibit B – Disclosure Affidavit
	Exhibit C – Disclosure of Retained Parties
	Exhibit E – Evidence of Ability to Meet Insurance Requirements
<b>TAB 8</b> <i>Joint Venture Participation</i>	
	Joint Venture Participation – Applicable to Firms submitting as a Joint Venture Partnership
<i>Financial Statements are to be submitted in a Separately Sealed Envelope</i>	
	Financial Statements

## SECTION VI EVALUATION CRITERIA

### A. EVALUATION PROCESS

Once responses to this RFQ/P have been received by the Commission, an Evaluation Committee (EC) will review the Respondent's qualifications in accordance with submission requirements and evaluation criteria set forth in this document. The EC will render a recommendation for final determination and request approval from PBC Board of Commissioners to select the most highly qualified Respondent(s) to perform the Audit Services.

The PBC reserves the right to seek clarification of information submitted in response to this RFQ/P and/or request additional information during the evaluation process. Additionally, the PBC may elect to conduct interviews of Respondent(s). The PBC reserves the right to accept or reject any or all qualifications and selections when it is determined, at the sole discretion of the PBC.

### B. EVALUATION CRITERIA

The PBC shall review and evaluate the submissions of each Respondent in accordance with the criteria found below. The PBC will rely upon Respondent to verify that prospective vendor(s) and subcontractor(s) are appropriately licensed, insured and bonded and meet all other requirements specified by the Agreement pursuant to procedures and policies of the Commission. The Commission reserves the right to add, delete or modify any requirements at its discretion.

#### 1. Experience and Qualification of Firm and Key Personnel (Tab 2) – Weight 15% – LIMITED TO 10 PAGES

- a. Technical Competence
  - i. Respondents should demonstrate Respondent has a clear understanding of the services as specified in the Scope of Services located herein. Please include the name and a brief summary of qualifications for the person that will be responsible for signing the audit Opinion.
- b. Organizational Overview: Describe the Respondent's business history and qualifications to deliver the Scope of Services. Include:
  - i. Business location(s) and contact information;
  - ii. Ownership and structure information such as form of business entity (e.g., sole proprietorship, partnership, or corporation) and identity of owners, partners, or major shareholders. See Attachment B for Disclosure Affidavit;
  - iii. Length of time in business;
  - iv. Brief history of firm including size and any specialty areas;
  - v. Any pending agreements to merge or sell your firm; and
  - vi. Key Personnel.

The PBC will review resumes of individuals identified as Key Personnel Roles in the evaluation process; therefore, Respondents must attach resumes of Key Personnel who will be responsible for performing the Services as described in this RFQ/P. Resumes should not be longer than 2 pages, and DO NOT COUNT toward the 10 Page Limit.

- c. Organization Chart  
Provide an organization chart illustrating the structure of the Respondent's proposed team to perform Audit Services for the PBC. This would include proposed senior management, executives, project managers, and other professionals who would be assigned to work on Audit Services. If there is a joint venture team and/or if MBE/WBE firm(s) are included as a sub-consultant/sub-contractor, the organizational chart should clearly identify how the management and personnel would be integrated into the team and utilized.
- d. Licenses and Certifications  
Provide a copy of all applicable Business Licenses and Certifications, including but not limited to:
  - i. State of Illinois business License;
  - ii. City of Chicago business License;
  - iii. CPA/Government Accounting License(s); and
  - iv. Any/All related and/or required Audit License(s).

**2. Project Approach (Tab 3) – Weight 30% – LIMITED TO 15 PAGES**

- a. Submit a work plan to accomplish the scope of services required. The work plan should include time estimates for each significant segment of the work and the staff level position. Where possible, individual staff members should be named and their titles provided. The planned use of specialist should be specified. The plan should also include key differentiators that make your firm's approach comprehensive and thorough.
- b. State purpose and degree of utilization of PBC personnel.
- c. Approach to be followed in determining audit samples of purposes of tests of compliance.
- d. Approach to resolving audit problems, if any, and the assistance that will be provided to the PBC in proactive problem-solving.

**3. Past Performance (Tab 4) – Weight 10% – LIMITED TO 5 PAGES**

Respondents should possess verifiable experience and demonstrate past performance providing services comparable to services requested in this RFQ/P.

Respondents shall identify a minimum of three (3) and a maximum of five (5) Audit Projects performed within the last three years. Audit Projects must be those performed within your licensing capacity and performed locally. Demonstrated experience should, at minimum, include the following:

- a. Past performance as it relates to Respondent's ability to successfully administer, manage, and coordinate all aspects of Audit services for the PBC as described in this RFQ/P while controlling costs, and complying with contract requirements.
- b. Demonstrate experience/familiarity with governmental agencies and the principles of government auditing standards.
- c. Demonstrate ability to perform at a high level during compressed schedules.
- d. Provide a narrative statement detailing a recent problem during an Audit; or an example of poor quality of work; or failure to meet your client's expectations; and the demonstrated measures taken to cure the deficiencies.

Audit Project descriptions shall include at a minimum: the scope of work performed, the location, dollar value, and should list the Respondent's Key Personnel on the Project. For each project listed, the Respondent shall provide the client's name, the contract person and title, address, and phone number, as well as email address.

The Commission may solicit, from current and past clients or any available resources, relevant information concerning the firm's record of past performance.

**4. References (Tab 4) – Weight 5% – COMPLETE EXHIBIT G**

Provide references of the Clients identified in Section VI.B.3. above. Please provide a minimum of 3 references by completing the attached form (Exhibit G). Duplicate form as necessary. References cannot be current PBC employees.

**5. Audit Services Fee Proposal (Tab 5) – Weight 15% – COMPLETE SCHEDULE A**

The PBC will review on the competitiveness and reasonableness of the Respondent's pricing. Please complete Schedule A – Audit Services Fee Proposal.

**6. Minority and Women Owned Business Participation (Tab 6) – Weight 20% – COMPLETE EXHIBIT H**

- a. Respondent must identify and report compliance history for at least three (3) projects from the previous three (3) years. (Exhibit H)
- b. Respondent must describe its commitment to achieve meaningful MBE and WBE participation in their cover letter. The contract specific goal for MBE/WBE participation is a minimum of 30% MBE/WBE. This goal may be met by participation of a MBE firm, WBE firm, or a combination of both.
- c. If Respondent is seeking favorable consideration for including MBE/WBE participation through a joint venture or equity participant, submittal must include a completed Schedule B, and the corresponding Joint Venture Agreement.
- d. Firm should demonstrate their plan to meet or exceed the MBE/WBE requirements.

## 7. Financial Capacity (Separately Sealed Envelope) – Weight 5%

Respondents should demonstrate they have the financial resources necessary to successfully deliver projects and pay sub-consultants/sub-contractors as necessary. Demonstrated experience should, at minimum, include the following:

- a. Furnish an audited financial statement including notes, such as, but not limited to, balance sheets and/or profit and loss statements, for the last three (3) years demonstrating that the Respondent has the financial viability and ability to perform the Services. If a joint venture, submit financial statements for the joint venture name and each joint venture partner. An independent accountant may provide a copy of a complete financial statement. All notes and schedules must be provided. The Respondent shall also submit annual reports and a written disclosure advising of any pending litigation having a material effect on Respondent's ability to provide the Services.
- b. In the event Respondent does not have an audited financial statement, Respondent may submit a review or compilation prepared by an outside accountant with notes. The PBC will consider other financial documents (ie Tax Returns) in lieu of financial statements and/or review/compilation.
- c. The Commission, reserves the right to request additional information from Respondents.

## C. OTHER CRITERIA (Non-Weighted)

The following items are prerequisites the Commission requires of contractors, consultants, vendors, and/or suppliers in the performance of any work requested by the Commission. They are not weighted as Evaluation Criterion; however, submission of these documents is required and will be considered for award of a resultant contract.

### 1. Understanding of Contract Terms and Conditions

- a. Respondent's understanding of the PBC's standard terms and conditions as found in **Exhibit F – Sample Form of Agreement** of this RFQ/P shall be expressly made in the cover letter.

### 2. Compliance with Insurance Requirements

- a. Firms are to provide a copy of an existing Certificate of Insurance, as well as, demonstrate their commitment to comply with the requisite insurance coverage found in **Exhibit E – Insurance Requirements** in their cover letter. The PBC will assess each Respondent's ability to procure and comply with these requirements.

### 3. Overall Responsiveness

- a. The PBC will review the quality, completeness, and comprehensiveness of response to this RFQ/P and its compliance with each of the submittal requirements.

# **SCHEDULE A**

## Audit Services Fee Proposal

(ATTACHED HERETO AND INCORPORATED HEREIN)



**SCHEDULE A**  
**AUDIT SERVICES FEE PROPOSAL**  
**PS3045**

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<i>Proposers must complete this form.</i>		
Fee for 2020	Fee for 20201	Fee for 2022
\$ _____	\$ _____	\$ _____

Fee for 2023	Fee for 2024	Fee for 2025
\$ _____	\$ _____	\$ _____

Proposer's Firm Name: \_\_\_\_\_  
 Contact Name: \_\_\_\_\_  
 Contact Email: \_\_\_\_\_  
 Contact Telephone: \_\_\_\_\_

Authorized Firm Signatory: \_\_\_\_\_

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

# EXHIBIT A LEGAL ACTIONS

(ATTACHED HERETO AND INCORPORATED HEREIN)

# EXHIBIT B

## Disclosure Affidavit

(ATTACHED HERETO AND INCORPORATED HEREIN)

# EXHIBIT C

## Disclosure of Retained Parties

(ATTACHED HERETO AND INCORPORATED HEREIN)

# EXHIBIT E

## Audit Services Insurance Requirements

(ATTACHED HERETO AND INCORPORATED HEREIN)

# EXHIBIT F

## Sample Form of Agreement

(ATTACHED HERETO AND INCORPORATED HEREIN)

# EXHIBIT G

## References Form

(ATTACHED HERETO AND INCORPORATED HEREIN)

# EXHIBIT H

## MBE / WBE Past Participation

(ATTACHED HERETO AND INCORPORATED HEREIN)