



MEMORANDUM

July 17, 2017

To: Proposers

From: Jeanne Geiger, Deputy Director

Subject: Request for Proposals

The Alamo Area Metropolitan Planning Organization (MPO) is seeking proposals from qualified firms to perform an audit of expenditures of funds provided by the United States Department of Transportation (USDOT) for each of the five (5) fiscal years: 2016-2017, 2017-2018, 2018-2019, 2019-2020 and 2020-2021. Each year the audit will be performed in accordance with Generally Accepted Auditing Standards (GAAS) as set forth by the American Institute of Certified Public Accountants, the standards for financial audits set forth in the U.S. General Accounting Office's Government Auditing Standards, the requirements of *Title 2 U.S. Code of Federal Regulations (CFR) Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2CFR200)* and amendments.

Anyone wishing to submit a proposal must do so by 12:00 noon (CT) Wednesday, August 23, 2017 at the MPO office. Our physical address is:

825 South St. Mary's Street
San Antonio, Texas 78205

Please submit any questions you may have in writing to the attention of Jeanne Geiger by e-mail to geiger@alamoareampo.org or by fax to (210)-227-9321 not later than 5:00 p.m. (CT), Monday, August 7, 2017. Responses will be posted on the MPO's website at www.alamoareampo.org not later than 5:00 p.m. (CT), Friday, August 11, 2017.

It will be the proposers' responsibility to check the MPO's website for any updated information on this project.

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Request for Proposals

Entity: Alamo Area Metropolitan Planning Organization

Subject: Audit of Expenditures – Fiscal Years 2016-2017, 2017-2018, 2018-2019, 2019-2020, and 2020-2021

Scope of Work: See specifics under Scope of Work

Request for Proposal Issued: Monday, July 17, 2017

Proposers are responsible for periodically visiting the Alamo Area Metropolitan Planning Organization's (MPO) website at www.alamoareampo.org for any updated information on this project.

Deadline for Questions: 5:00 p.m. (CT), Monday, August 7, 2017
Questions will only be accepted in writing by e-mail to geiger@alamoareampo.org or by fax to the attention of Jeanne Geiger at (210) 227-9321. Responses will be posted on the MPO's website at www.alamoareampo.org no later than 5:00 p.m. (CT) Friday, August 11, 2017

Proposal Due: 12:00 noon (CT), Wednesday, August 23, 2017

Number of Copies: Total of ten (10), nine (9) bound and one (1) unbound

Submit To: Jeanne Geiger
Mailing and Deputy Director
Physical Address Alamo Area MPO
825 S. St. Mary's Street
San Antonio, TX 78205

Purpose:

The Alamo Area Metropolitan Planning Organization (MPO) is seeking proposals from qualified firms to perform an audit of expenditures of funds provided by the United States Department of Transportation (USDOT) for each of the five (5) fiscal years: 2016-2017, 2017-2018, 2018-2019, 2019-2020 and 2020-2021.

Each year the audit will be performed in accordance with Generally Accepted Auditing Standards (GAAS) as set forth by the American Institute of Certified Public Accountants, the standards for financial audits set forth in the U.S. General Accounting Office's Government Auditing Standards, the requirements of *Title 2 U.S. Code of Federal Regulations (CFR) Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2CFR200)* and amendments.

Proposal Content

Proposals should be limited to seven (7) pages, excluding resumes and firm experience, and should contain at least the following documentation:

1. Cover Letter - This should include a brief summary of the key points of the proposal and the approach to accomplishing the audit. The name, address, and telephone number of the firm, as well as a contact person, and that person's e-mail address should also be included.
2. Qualifications - This should include a description of your qualifications to perform the audit as described in the Scope of Work. This section should include your understanding of the guidelines and requirements for auditing governmental agencies and the work required under this RFP.
3. Key Personnel - One paragraph summaries of qualifications and experience should be submitted for all key personnel assigned to the project. The assignment of personnel must specifically contain the percent of time by personnel for each task included in the Scope of Work. The successful responder to this RFP must understand that they are expected to provide qualified personnel to accomplish each portion of the work in this project.
4. Management Plan - The management plan must contain a schedule of work that reflects the time required to perform each annual audit.
5. Related Work - Work closely related to that described in the Scope of Work that has been performed by the Proposer or specific personnel assigned to this project should be briefly outlined in the proposal. Provide a list of the local offices for current and prior (within the past two (2) years) governmental financial audit clients indicating the type(s) of service performed and the year(s) of engagement.

Criteria for Evaluation

The proposals will be evaluated based on the following criteria with relative weights in parenthesis:

1. Qualifications and previous related experience of key personnel to be assigned to this project. (30%)
2. Understanding of work requirements and USDOT audit requirements. (30%)
3. Firm's previous related work experience including previous experience auditing USDOT planning funds and/or other federal programs and similar audits performed within the past two years (30%)

4. Estimated time to perform each annual audit and the ability to meet timelines for performing each audit. (10%)

Budget

The source of funding for this project is federal and state funding from the Federal Highway Administration (FHWA), Federal Transit Administration (FTA), and TxDOT. The budget for this five-year contract is \$140,000.

Selection Procedure

The Executive Committee of the Alamo Area MPO's Transportation Policy Board will review proposals based on the evaluation criteria. Their recommendation will be forwarded to the Transportation Policy Board. Firms may be selected for oral presentations and interviews. The MPO intends to award a five-year contract. The MPO Transportation Policy Board will make the contract award; however, the MPO reserves the right to reject any and all proposals.

Duration of Contract

This contract will cover audits for five (5) consecutive fiscal years: 2016-2017, 2017-2018, 2018-2019, 2019-2020 and 2020-2021.

Disadvantaged Business Enterprise Participation

The MPO has a firm commitment to an affirmative action program for disadvantaged business enterprise (DBE) participation in its third party contracting opportunities. The Transportation Policy Board has set a goal of 25% DBE participation. Proposers are encouraged to make every effort possible to meet this goal and to identify DBE firms in their proposals. However, nothing in this provision shall be construed to require the utilization of any DBE firm that is either unqualified or unavailable. The proposer shall submit certificate(s) that verify certification.

Compliance with Federal Regulations

The Proposer's attention is called to the fact that this contract is subject to a financial assistance contract between the MPO and FHWA and FTA of the USDOT and TxDOT. The contract to be let, therefore, is subject to the terms of the contract between the MPO, USDOT and TxDOT. The successful Proposer will be required to comply with, in addition to other provisions of the Request for Proposal, the conditions required by all applicable federal and state regulations, including the following:

1. Equal Employment Opportunity - Successful Proposer will be required to comply with all applicable Equal Employment Opportunity Laws and Regulations.
2. Title VI Assurances - Successful Proposer will be required to comply with all requirements imposed by Title VI of the Civil Rights Act of 1964 (49

U.S.C. Section 2000d), the Regulations of DOT issued thereunder (49 C.F.R. part 21), and assurances by the Alamo Area MPO thereto.

Debarment Certification

The Prime Consultant and any subconsultants must complete and submit with the proposal the "Certification of Lower-Tier Participant" form (attached).

Background

The San Antonio-Bexar County Urban Transportation Study (SABCUTS) Transportation Steering Committee (now known as the Transportation Policy Board) was designated by the Governor of Texas as the MPO for the San Antonio-Bexar County metropolitan area in August 1977. The designation continues and the San Antonio-Bexar County Urban Transportation Study area is defined as encompassing all of Bexar County, Comal County, Guadalupe County and a portion of Kendall County. The Alamo Area MPO receives and manages transportation planning funds from FHWA, FTA, the Environmental Protection Agency (EPA) and TxDOT. In addition, local funds have been provided both in the form of cash and in-kind services by the local agencies involved in transportation planning. The Alamo Area MPO has an annual budget that generally varies between \$2.5 and \$3.5 million.

The purpose of the funds is to provide for a continuing, cooperative and comprehensive transportation planning process as outlined by federal and state regulations. The Alamo Area MPO is responsible for this process and as such, all funds are programmed and approved by the Alamo Area MPO.

Pass through funding for transportation planning is also provided to the following agencies through agency contracts as outlined in the current Unified Planning Work Program (UPWP).

- Alamo Area Council of Governments
- VIA Metropolitan Transit

In addition, the Alamo Area MPO enters into third party contacts with consulting firms for professional services as outlined in the UPWP. The Alamo Area MPO also has an agreement with Bexar County for the provision of fiscal services.

The Alamo Area MPO is also the recipient of pass through funding from the City of San Antonio.

The Alamo Area MPO's financial records may be reviewed during normal business hours at the Alamo Area MPO office by appointment only. The Alamo Area MPO office is open from 8:00 a.m. to 5:00 p.m. Monday through Friday, excluding holidays. Please call in advance to (210) 227-8651 for an appointment.

Scope of Work

Early March of each respective year is the preferred starting date for conducting the FY 2016-2017, FY 2017-2018, FY 2018-2019, FY 2019-2020, and FY 2020-2021 audit. The following Scope of Work identifies the major components of the audit.

Task 1. Audit the transportation planning funds expended by the Alamo Area MPO and processed by Bexar County, the fiscal agent for the Alamo Area MPO, during the time periods:

- October 1, 2016 through September 30, 2017;
- October 1, 2017 through September 30, 2018;
- October 1, 2018 through September 30, 2019;
- October 1, 2019 through September 30, 2020 and
- October 1, 2020 through September 30, 2021.

Task 2. Format information from the “Summary Trial Balance” provided by Bexar County and “Schedule of Line Item Expenditures by Agency” prepared by the Alamo Area MPO, into a working trial balance for each of the following audit periods:

- October 1, 2016 through September 30, 2017;
- October 1, 2017 through September 30, 2018;
- October 1, 2018 through September 30, 2019;
- October 1, 2019 through September 30, 2020 and
- October 1, 2020 through September 30, 2021.

The Alamo Area MPO staff will verify and approve the working trial balance.

Task 3. Prepare adjusting journal entries necessary to convert our cash basis records to the accrual basis of accounting for each audit period. The Alamo Area MPO staff will verify and approve adjustments.

Task 4. Perform certain limited procedures involving required supplementary information, including Management’s Discussion and Analysis, required by the Governmental Accounting Standards Board as mandated by generally accepted auditing standards and a briefing on new statutes, pronouncements, or regulations which may have a significant financial impact on the Alamo Area MPO.

Task 5. Study and evaluate the internal control systems used by the Alamo Area MPO in administering the federal financial assistance programs audited under this contract and issue the necessary reports required under Governmental Auditing Standards and OMB Circular A-133.

- Task 6. Review the Alamo Area MPO's subrecipient monitoring policies and procedures and determine whether
- a. subrecipients audits, including management letters, were reviewed for the time periods under audit (See Task 1) by the Alamo Area MPO and evaluate for compliance with the requirements of OMB Circular A-133.
 - b. management decisions on audit findings were issued within six months after receipt of the subrecipient's audit report.
 - c. subrecipients took prompt and appropriate corrective action with respect to audit findings and recommendations pertaining to the Alamo Area MPO financial assistance provided.
 - d. subrecipients audit reports reflect the funds received from the Alamo Area MPO and agree to the expenditures as reflected in the Alamo Area MPO's financial records.
- Task 7. Provide a preliminary draft of all reports to the Alamo Area MPO management prior to Board approval. The Alamo Area MPO will review and approve the release of all draft reports to the Board.
- Task 8. Present the annual audit findings to the Alamo Area MPO Transportation Policy Board no later than the fourth Monday of April of each respective year. A reproducible copy of the draft final audit report will be furnished to the Alamo Area MPO 12 calendar days prior to the fourth Monday in April for each annual audit. Twenty-five (25) copies of the final audit report will be furnished to the Alamo Area MPO for each annual audit within ten (10) working days after Transportation Policy Board approval is granted.

Lower Tier Participant Debarment Certification
(Negotiated Contracts)

_____, being duly
(insert name of certifying official)
sworn or penalty of perjury under the laws of the United States, certifies that
neither _____, nor
(insert name of lower tier participant)

its principals are presently:

- debarred, suspended, proposed for debarment,
- declared ineligible,
- or voluntarily excluded from participation in this transaction by any Federal department or agency.

Where the above identified lower tier participant is unable to certify to any of the above statements in this certification, such prospective participant shall indicate below to whom the exception applies, the initiating agency, and dates of action.

Exceptions will not necessarily result in denial of award, but will be considered in determining contractor responsibility. Providing false information may result in criminal prosecution or administrative sanctions.

EXCEPTIONS:

Signature of Certifying Official

Title

Date of Certification

See Reverse for Information

Certification Information

This certification is to be used by contractors pursuant to 49 CFR 29 when any of the following occur:

- **any transaction between the contractor and a person (other than a procurement contract for goods and services), regardless of type, under a primary covered transaction**
- **any procurement contract for goods or services when the estimated cost is \$25,000 or more**
- **any procurement contract for goods or services between the contractor and a person, regardless of the amount, under which the person will have a critical influence on or substantive control over that covered transaction. Such persons include principal investigators and providers of federally-required audit services.**

***A procurement* transaction is the process of acquiring goods and services.**

***A nonprocurement* transaction is the granting of financial assistance to entities to assist the grantor in meeting objectives that are mutually beneficial to the grantee and grantor.**

A COPY OF THIS CERTIFICATION IS TO BE FURNISHED TO AUTHORIZED REPRESENTATIVES OF THE STATE OR THE U.S. DEPARTMENT OF TRANSPORTATION UPON REQUEST.