



<p style="text-align: center;">Request for Qualifications 21RFQ001 Annual Financial Audit</p>
--

Date	Event
September 29, 2020	Advertise/Issue Date
October 6, 2020	
October 7, 2020	



Checklist and Submission Guidelines

This checklist is provided to help you conform to all form/document requirements stipulated in this solicitation and attached herein.

(This is not a required form, it is not necessary to return this checklist with your proposal.)

Understanding the Request for Qualifications

Completed

- † Read entire RFQ document, appendices and attachments
- † Review AISD Policy and Provisions on our website: [Policy and Provisions](#)
- † Submit questions properly before deadline
- † Review addenda, Q&A and other additional attachments
- † Review Statement of Qualification Format section of RFQ

I. INTRODUCTION

The Austin Independent School District (herein after referred to as “AISD” or the “district”) is seeking Statements of Qualifications from firms qualified and experienced in providing an annual audit for fiscal year 2021.

Each Respondent, by submitting its statement of qualification, agrees that the proposal is subject to the Austin ISD Policies and Provisions and agrees to comply with those conditions. Acceptance of a proposal will occur only when a contract is executed. Any contract will incorporate the Austin ISD Policies and Provisions and Standard Terms and Conditions and no commitment exists until a contract is executed by both parties.

II. HISTORICALLY UNDERUTILIZED BUSINESS (HUB) PROGRAM REQUIREMENTS

The HUB Program promotes and strongly encourages the involvement and participation of Historically Underutilized Businesses in District-wide procurements. According to AISD policies CH (LOCAL) and CV (LOCAL), the HUB Program guidelines are not applicable for this type procurement.

III. PROPOSAL FORMAT

address, telephone number, and point of contact (including email address). A list of at least three (3) references from current customers must be provided.

(1) the financial statements present fairly the financial position, results of operations, and cash flows or changes in financial positions in accordance with generally accepted accounting principles, and

(2) whether Austin Independent School District has complied with laws and regulations for those transactions and events that may have a material effect on the financial statements.

The financial related audit will also include determining whether:

(1) financial reports and related items are fairly presented,

(2) financial information is presented in accordance with established or stated criteria, and

(3) the school district has adhered to specific financial compliance requirements.

As a part of the audit of the general purpose financial statements, the annual audit will also include obtaining an understanding of the school district's internal

control system and (b) to determine whether the financial statements are prepared in accordance with generally accepted accounting principles (GAAP) and whether the financial statements are free from material misstatements.

2. Due to limited staff, the District can provide partially completed financial statements and supporting schedules for auditor review at the close of the fiscal year. Attachment B includes a listing of audit schedules that the District has prepared

3. The District intends to sell bonds from time to time, which may require the audited financial statements and Auditors opinion to be printed in total or as a part of the section of or addendum to the Official Statement for bond issues. In addition, certification may be required for Interest and Sinking Fund Reserve Balances as of a point in time other than year-end.

4. It is requested that the interested accounting firm include a detailed description of each step in the audit approach that will be taken in the audit engagement including estimated hours for each.

5. The firm upon being awarded this engagement will be expected to review the detailed audit work plan and schedule with the Executive Director of Finance prior to commencing the audit assignment each year.

6. Financial statements developed by the Auditor must be in a form that complies with the requirements of the Texas Education Agency.

7. All working papers and reports must be retained, at the auditor's expense, for a minimum of five (5) years, unless the firm is notified in writing by the District of the need to extend the retention period. The auditor will be required to make working papers available, upon request, to auditors from the Texas Education Agency, The General Accounting Office, or other applicable governmental agencies. The working papers are not otherwise considered to be records open to the general public.

C. Independent Auditor

The respondent must demonstrate the capability to perform the annual audit in accordance with generally accepted government auditing standards and state board of education auditing rules. Public accounting firms that have performed annual audits for similar entities are encouraged to file a proposal.

D. Dispute Resolution

Disputes concerning the terms of contracted services that cannot be resolved will be brought before an independent mediation center, whose decision will be binding upon both parties.

VII. SCOPE OF SERVICE AND PERFORMANCE REQUIREMENTS

Term

The agreement(s) resulting from this solicitation will be in effect for an initial term of one (1) year from the date of award by the Board of Trustees, or such date established by the agreement. The parties by mutual consent may renew the agreement for up to four (4) additional one (1) year periods. In addition, the district reserves the right to extend the contract for an additional time beyond the final expiration date if necessary to ensure no lapse in service.

The following describes the service and performance requirements that the selected Contractor will be required to perform. Failure to address or to fully describe capabilities to accomplish all elements of this section will result in a loss of evaluation points.

A. Technical Component

To describe clearly the public accounting firm's understanding of the work to be done, the respondent will:

1. Provide a definition of the term "generally accepted government auditing standards" with clear distinctions between these standards and generally accepted auditing standards for nongovernmental engagements;
2. Explain the respondent's approaches to performing an annual audit, including the methodology, nature, and extent of audit procedures to be performed. Include a statement of availability to be flexible on timing.
3. Describe how the approach to performing the audit would be affected if this were a multiyear contract; and
4. Make a statement concerning the independence of the respondent, including direct and indirect financial interest, and the relationship of the proposed audit team to employees of the district and any of the board members.

B. Management Component

The respondent will furnish satisfactory evidence of capability to provide in a professional and timely manner the services stated in the Request for Qualifications. To meet this requirement:

1. Provide the name of the external quality control review organization of which the respondent is a member and the respondent's length of membership. Also, state the review organization's planned frequency of peer reviews;



Policy and Provisions

Policy

Procurement of goods and services shall be made by the method that provides the best value



Factors



Commission (TEC) that includes a list of each interested party for the contract of which the contracting business entity is aware; and a written, unsworn declaration subscribed by the authorized agent of the contracting business entity as true under penalty of perjury that is in substantially the form set out in * R Y H U Q P H Q W & R G H H2252.908(5); 11 FAC & R G H 46.5(a)

(Q F R X U Dy-™f€ ç™hy !"ë†ô y.6-h XđU D•€ ðypt òy.,•€ € P H R



responsibilities under the new contract agreement. Upon adoption of the contract by the adopting CTPA member district, the original term of the contract and any renewal or extension options allowed under the original contract shall then transfer to the adopted contract, and such renewals options may be executed by the adopting member district at its sole discretion and independently of the originating member

GLVWULFW¶V GHFLVLRQ WR H[HFXWH VXFK UHQHZDO RSWLRQV RQ W

NOTIFICATION OF CRIMINAL HISTORY OF CONTRACTOR

=====



VI. CERTIFICATION OF ACCESS TO RECORDS 2 C.F.R. § 200.336

Vendor agrees that the District Inspector General or any of their duly authorized representatives shall have access to any books, documents, audits, of interview and discussion relating to such documents.

_____ Initials of Authorized Representative of Vendor

VII. CERTIFICATION OF APPLICABILITY TO SUBCONTRACTORS

Vendor agrees that all contracts it awards to any subcontractors pursuant to the Contract with Austin ISD shall be bound by the foregoing terms and conditions.

_____ Initials of Authorized Representative of Vendor

THE FOLLOWING SECTION TO BE COMPLETED BY AUSTIN ISD PROCUREMENT SERVICES DEPARTMENT ONLY:

Contract / Solicitation Number (if applicable): _____

Contract / Solicitation Title (if applicable): _____

General

Physical and Mailing Addresses

\$GGUHVV WR 0DLO 32↑V _____

Contact Information

(PDLO \$GGUHVV WR VHQG 32↑V WR _____

)D[1XPEHU WR VHQG 32↑V WR _____

Miscellaneous
