

**REQUEST FOR STATEMENT OF QUALIFICATIONS (S.O.Q.)
CITY OF CARSON CITY EXTERNAL AUDIT FUNCTION**

THIS IS NOT AN ORDER

**ADVERTISED SOQ 1112-148
CITY OF CARSON CITY EXTERNAL AUDIT FUNCTION**

RELEASE DATE: January 13, 2012

Carson City (**CITY**) invites qualified firms of Certified Public Accountants to submit Statement of Qualifications (S.O.Q.) to audit Carson City's financial statements for the fiscal years ending June 30, 2012, June 30, 2013 and June 30, 2014.

STATEMENT OF QUALIFICATIONS shall be submitted to **CARSON CITY FINANCE DEPARTMENT**, 201 N. Carson Street, Suite 3, Carson City, Nevada 89701, by no later than **11:00 a.m. on February 3, 2012.**

RECOMMENDATION FOR AWARD will be made by the Finance Department in coordination with the Audit Committee based on the evaluation results of the City Review and Selection Committee/Audit Committee. The City Review and Selection Committee/Audit Committee may narrow the field to three or four consultants for possible oral interviews. Interviews will allow for a 20 minute presentation, 20 minutes questions and answers and a 15 minute set-up and tear down. Once the committee has made a recommendation and a contract is negotiated, the results will be posted on www.carson.org and all respondents will be notified by fax of the Recommendation for Award to the successful respondent.

FINAL SELECTION will be made by Carson City Board of Supervisors, and is tentatively scheduled for Thursday, March 1, 2012. Recommendation will be made by the Audit Committee, with final approval being awarded by the Board of Supervisors at a regularly scheduled meeting. Should it become necessary to reschedule the date set for award, notice will be provided to those finalists selected. In all instances, a decision rendered by Carson City shall be deemed final.

1. INTRODUCTION (General Information)

1.1 Carson City (City) is requesting Statement of Qualifications (S.O.Q.) from qualified firms of certified public accounts to audit Carson City's financial statements for the fiscal years ending June 30, 2012, June 30, 2013 and June 30, 2014.

1.2 A City Review and Selection Committee/Audit Committee will evaluate the S.O.Q. submittals.

1.3 During evaluation, the City Review and Selection Committee/Audit Committee reserves the right, where it may serve the City's best interest, to request additional information or clarification from the Consulting Firm, or to allow corrections of errors or omissions. Oral interviews may be conducted by the City Review and Selection Committee/Audit Committee for the Consultants who submit an S.O.Q. and were short listed.

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- 1.4 Submission of an S.O.Q. indicates acceptance by the Consulting Firm of the conditions contained in this Statement of Qualification, unless clearly and specifically noted in the S.O.Q. submitted and confirmed in the resultant contract between Carson City and the Firm selected.
- 1.5 The use of the term "firm" refers to Consultant Firms with certified personnel, doing business in the United States and duly registered in the state of Nevada with business license paid to Carson City after selection of the firm. With this type of project, the City may accept one or more firms teaming up for joint venture with a Nevada-based firm to prepare the required services, but the City will recognize such a consortium as a single entity only with one juridical personality.
- 1.6 There is no expressed or implied intent or obligation for Carson City to reimburse responding firms for any expenses incurred in preparing S.O.Q. submittals as well as travel expenses during interviews in response to this Statement of Qualifications.
- 1.7 Carson City shall reserve the right to terminate any agreement resultant from this solicitation and subsequent action for cause but not limited to inadequacy of performance.

2. CARSON CITY CONTACT PERSON:

- 2.1 Until the receipt and opening of S.O.Q. submittals, the consultants' principal contact with Carson City will be as listed below. All questions are to be submitted in writing and potential consultant will receive copies of all questions and answers except for the questions that are considered proprietary. Questions that are considered proprietary by Finance will only be answered to the consultant who asked the question. Questions will only be received through 12:00 p.m. on January 31, 2012.

Kim Belt
Carson Finance Department – Purchasing and Contracts
201 N. Carson Street, Suite 3
Carson City, NV 89701
775-283-7137
e-mail: KBelt@carson.org
FAX: 775-887-2107

- 2.2 All contacts regarding the S.O.Q. should be with the above-named individual only. Consultants contacting other City staff or City officials may be disqualified for doing so.

3. SCOPE OF SERVICES:

- 3.1 **CONSULTANT** will audit the basic financial statements of Carson City for the fiscal years ending June 30, 2012, June 30, 2013 and June 30, 2014 in

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accordance with *Government Auditing Standards*, will also perform a Single Audit of the **CITY** in Accordance with OMB Circular A-133, and will issue the appropriate auditor's reports thereon.

CONSULTANT will print up to twenty (20) bound copies of the audited financial statements.

CONSULTANT will provide one (1) unbound copy of the audited financial statements.

CITY shall prepare the draft financial statements in an Excel spreadsheet format for the basic and fund financial statements.

CONSULTANT shall perform all functions relative to the footnotes and auditors's reports

CITY shall prepare schedules and reconciliations of accounts and shall pull any source documentation for testing as requested by **CONSULTANT**.

CITY shall prepare the schedule of expenditures of federal awards for **CONSULTANT'S** review.

Should **CITY** need assistance from **CONSULTANT** in preparing that schedule, an additional fee would need to be negotiated.

CONSULTANT should anticipate a maximum of two (2) major programs requiring testing for Single Audit purposes.

If more than two programs are required to be tested in connection with the Single Audit portion of the engagement, the CITY will discuss an appropriate modification to the fee.

CITY has received the Certificate of Achievement for Excellence in Financial Reporting for the last twenty one (21) years and **CONSULTANT** will provide a certificate review.

CONSULTANT shall complete and submit the audit report including required financial statements to the **CITY** on or before November 30, of each year of contract.

3.2 **CONSULTANT** will apply the agreed-upon procedures listed below to the Municipal Solid Waste Landfill (MSWL) operating record of Carson City, Nevada for the fiscal years ended June 30, 2012, June 30, 2013 and June 30, 2014.

- **CONSULTANT** will confirm that the City's bond rating satisfies the conditions of subsection 1(a) of Section 2 of NAC Chapter 444; therefore, testing of the financial ratios in subsection 1(b) of Section 2 of NAC Chapter 444 is not required.

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- **CONSULTANT** will report that they audited financial statements of Carson City, Nevada for the years ended June 30, 2012, June 30, 2013, and June 30, 2014, and that the financial statements were prepared in conformity with accounting principles generally accepted in the United States of America. **CONSULTANT** will further report that they issued an unqualified opinion on the financial statements.
- Based on information contained in the financial statements of Carson City, Nevada for the years ended June 30, 2012 and 2011, June 30, 2013 and 2012, and June 30, 2014 and 2013, **CONSULTANT** will determine if the City has operated at a deficit equal to five percent or more of total annual revenue in either of the past two fiscal years for the respective period being reported on.
- **CONSULTANT** will perform calculations using the audited financial statements of Carson City, Nevada as of and for the years ended June 30, 2012, June 30, 2013 and June 30, 2014 to assist management in evaluating if the City's total revenue was adequate to assure the total estimated costs of closure and post closure.

CITY shall guarantee access to and make all provisions for the **CONSULTANT** to enter public buildings as required for the **CONSULTANT** to perform its services under this Contract.

CONSULTANT shall make a one (1) hour presentation with appropriate graphic materials to the Carson City Board of Supervisors during a regularly scheduled meeting in December, 2012, 2013 and 2014.

Prompt written notice shall be provided to the **CONSULTANT** whenever the **CITY** observes or otherwise becomes aware of any defect in the services provided.

4 S.O.Q. REQUIREMENTS

4.1 GUIDELINES FOR SUBMITTING STATEMENT OF QUALIFICATIONS:

- All questions regarding the Statement of Qualifications will be submitted in writing by mail, e-mail, or fax to Kim Belt, Purchasing and Contracts Manager 201 North Carson Street Suite 3, Carson City, NV 89701 775-283-7137/ FAX 775-887-2107 kbelt@carson.org
- The **CONSULTANT**'s Statement of Qualifications will be in a single sided, 8 1/2 x 11 in. format and limited to 10 pages. The Statement of Qualifications will include the following information :
 - a. Introductory cover letter
 - b. Experience relevant to the type of work requested by Carson City.
 - c. Key **CONSULTANT** individual or firm team resumes from the organization chart including any sub consultants.
 - d. Certifications of team members.
 - e. References that can be contacted by staff to confirm information presented on the S.O.Q.

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- List of current rates and charges to perform the three year engagement and meet the objectives.
- Estimated manpower and expense matrix for the above Scope of Work. (not included in the 10 page limitation)
- The consultant shall submit one (1) original and five (5) copies of the Statement of Qualifications to: Kim Belt, Purchasing and Contracts Manager 201 North Carson Street Suite 3, Carson City, NV 89701 775-283-7137/ FAX 775-887-2107 kbelt@carson.org.

5 EVALUATION OF S.O.Q.:

5.1 S.O.Q. submittals will be evaluated by the City Review & Selection Committee/Audit Committee.

5.2 The Committee may call for **oral interviews**. The City reserves the right to retain all S.O.Q. submittals and use any idea in an S.O.Q. regardless of whether or not said S.O.Q. is selected.

5.3 **The following categories will be evaluated in the selection process:**

- * Qualifications of Firm to provide service
- * Professional training certifications of individuals
- * Consultant Approach
- * Expense Matrix

6 RIGHT TO REJECT S.O.Q.:

6.1 Submission of S.O.Q. indicates acceptance by the Consulting Firm of the conditions contained in this S.O.Q. unless clearly and specifically noted in the S.O.Q. submitted and confirmed in the subsequent contract between Carson City and the Consulting Firm selected.

6.2 Carson City reserves the right to reject any or all S.O.Q. and to award to the **CONSULTANT** the City deems most qualified and whose award of the contract will accrue to the best interests of the City.

6.3 **Late S.O.Q. Submittals will not be accepted.** Prospective **CONSULTANTS** are held responsible that their S.O.Q. Submittals arrive at the Carson City Finance Department - Purchasing & Contracts on or before the designated time and date.

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7 WITHDRAWAL OF S.O.Q.:

7.1 Requests to withdraw S.O.Q. submittals received after the time and date set for opening and acknowledging S.O.Q. submittals will not be considered.

8 CONTRACT TERMINATION:

8.1 Carson City reserves the right to terminate the contract if the Consultant does not perform as required by the terms of the contract. Reasons for termination may include, but are not limited, to the following:

8.1.1 Failure to provide sufficient personnel as identified in the S.O.Q.

8.1.2 Failure to provide the principal Team as submitted.

8.1.3 Substitution of the Team or other identified personnel without prior approval of Carson City.

9 INSURANCE

9.1 General Liability:

9.1.1 The successful **CONSULTANT** shall be required to furnish and maintain throughout the term of the proposed Agreement, such general liability and property damage insurance as shall protect him/her and any sub-consultants, agents, and employees performing work covered by the proposed Agreement from claims for, but not limited to, bodily injury, sickness, disease, death, or property damage arising or resulting from the consultants performance, or by any sub-consultant, person, firm, or employee directly or indirectly employed by him/her. The successful **CONSULTANT** shall furnish the City a certificate of said insurance, with limits no less than One Million Dollars (\$1,000,000) combined single limit per occurrence for bodily injury, personal injury as well as property damage and with the City added as a co-insured.

9.2 Worker's Compensation:

9.2.1 The successful **CONSULTANT** shall purchase and maintain throughout the term of the contract such Industrial Insurance (SIIS) as will protect him from claims which may arise out of or result from the

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Consultant's execution of the work on this project, whether such execution be by the Consultant or by any sub-consultant, or by anyone directly or indirectly employed by any of the consultants, or by anyone for whose acts any of them may be liable.

10 OBJECTION BY UNSUCCESSFUL CONSULTANT:

10.1 Any unsuccessful Consultant may file an objection to the City regarding the selection of the City Review & Selection Committee/Audit Committee by following the procedure outlined in Paragraph 11.2 below. Information on the results of the Committee's evaluation may be obtained on www.carson.org.

10.2 Any objection shall be written and submitted to the Finance Department before the recommendation shall be scheduled to be heard by the Board of Supervisors. The objection will be placed on the next available Board of Supervisors meeting agenda.

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