



**Rio Nuevo**  
TUCSON, ARIZONA

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**REQUEST FOR PROPOSALS  
TO PROVIDE  
INDEPENDENT AUDIT SERVICES**

**AS REQUESTED BY**

**RIO NUEVO MULTIPURPOSE FACILITIES DISTRICT**

**REQUEST FOR PROPOSALS FOR PROFESSIONAL AUDITING SERVICES**



## Request for Proposals to Provide Independent Audit Services

### Proposals Requirements and Submission Instructions

#### 1. General Information

1.1. **Nature of Services Sought.** By this Request for Proposals (“RFP”), the Rio Nuevo Multipurpose Facilities District (“District”) is seeking proposals from qualified certified public accounting firms (“Applicant”) to audit the District’s financial statements for the fiscal years ended June 30, 2013 through June 30, 2015 (“Proposal”). These “Audits” are to be performed in accordance with generally accepted auditing standards and the standards set for financial audits contained in Government Auditing Standards, as well as any other current and applicable federal, state, local or programmatic audit requirements.

1.2. **Point of Contact.** All inquiries, requests and Proposals shall be submitted to Michele Bettini (“Point of Contact”) at Rio Nuevo Multipurpose Facilities District, 400 West Congress, Suite 152, Tucson, Arizona 85701 (“Street Address”). The District’s telephone number is (520) 623-7336. The Point of Contact’s e-mail address is [micheleb@rionuevo-tucson.org](mailto:micheleb@rionuevo-tucson.org).

1.3. **Inquiry Deadline.** The deadline for any inquiry or question about the terms of this RFP is April 30, 2013 at 2:00 PM Tucson time (“Inquiry Deadline”). All inquiries shall be submitted *by e-mail only* to the Point of Contact. Any inquiry or communication concerning this RFP directed to any District board member, officer or employee other than the Point of Contact shall disqualify the inquiring Applicant from submitting a Proposal.

1.4. **Proposal Deadline.** The deadline for Proposals submitted in response to this RFP is May 10, 2013 at 2:00 PM Tucson time (“Proposal Deadline”). Any Proposal submitted after the Proposal Deadline will be rejected by the District.

1.5. **Number of Copies.** To be considered, four (4) copies of a Proposal must be received by the Point of Contact on or before the Proposal Deadline. The District reserves the right to reject any or all Proposals submitted. During the evaluation process, the District reserves the right, where it may serve the District’s best interest, to request additional information or clarifications from Applicants, or to allow corrections of errors or omissions. At the discretion of the District, Applicants submitting Proposals may be requested to make oral presentations as part of the evaluation process.



## 1.6. Cost and Use of Proposals.

1.6.1. The District shall not be responsible for any expenses incurred by any Applicant in preparing or submitting a Proposal or otherwise responding to this RFP. Materials submitted in response to this RFP are subject to public inspection under the Arizona Public Information Act, unless exempt. Any language purporting to render the entire Proposal confidential or proprietary will be ineffective and will be disregarded.

1.6.2. The District reserves the right to retain all Proposals submitted and to use any ideas in a Proposal regardless of whether the Proposal was selected. Submission of a Proposal indicates acceptance by the Applicant of the conditions contained in this RFP, unless clearly and specifically noted in the Proposal submitted and confirmed in the contract between the District and the firm selected.

1.7. **Anticipated Selection and Notifications.** It is anticipated the selection the successful Applicant will be completed by the close of business on the 30th day of May 2013. Following the notification of the selected Applicant, it is expected a contract will be executed within approximately three weeks thereafter. A three-year contract is contemplated.

1.8. **Prior Audits.** Interested Applicants who wish to review prior years' audit reports and management letters may do so at the District's web site [www.rionuevo.org](http://www.rionuevo.org).

## 2. Scope of the Work to be Performed & Standards to be Followed

2.1. The Audit will cover the general purpose financial statements of the District and supporting documentation and schedules.

2.2. The successful Applicant will issue a separate Management Letter that includes recommendations, if any, for improvements in internal control that are considered to be significant deficiencies or material weaknesses.

2.3. The District staff will cooperate with and will be available during the Audit to assist the successful Applicant by providing information, analysis, documentation, schedules and explanations. In an effort to contain costs, the District has historically prepared as many Audit worksheets and schedules as is practical to reduce the clerical work to be performed by the successful Applicant.



2.4. All working papers and reports are to be retained at the successful Applicant's expense for a minimum of seven (7) years. The successful Applicant shall make working papers available to the District on request.

3. **Proposal Requirements.** To be considered, four (4) copies of the following material are required to be received by the Point of Contact before the Proposal Deadline:

3.1. **Envelope.** All proposals shall be submitted to the District's Address in a sealed package or envelope, which includes the notation "**Response to Audit RFP.**"

3.2. **Title Page.** The title page shall show the proposal subject, firm's name and contact person and the firm's Arizona CPA License Number and Federal Identification Number.

3.3. **Cover Letter.** The cover letter should set forth the following:

3.3.1. The Applicant's understanding of the work to be performed, the commitment to perform the work in the required time frame, any additions to the scope of work that the firm believes are prudent or necessary and the reason why, and statements as to why the Applicant believes it is best qualified to perform the engagement.

3.3.2. Certify that the person signing the Proposal is authorized to represent the Applicant, to submit the bid, and to sign any resulting contract with the District.

3.3.3. The Proposal is a firm, irrevocable offer for 90 days from the Proposal Deadline.

3.3.4. Indicate whether the Applicant is an Equal Opportunity Employer.

3.4. **Table of Contents.**

3.5. **Terms of the Proposal.** This section should address all the points outlined in this RFP. While additional information data may be included, the information set forth in following sub-paragraphs must be included:

3.5.1. An affirmative statement that the Applicant is independent of the District as defined by generally accepted auditing standards and the United States Government Accountability Office's Government Auditing Standards.



3.5.2. An affirmative statement that the Applicant and all assigned key professional staff are properly licensed to practice as certified public accounts in Arizona.

3.5.3. An affirmative statement that the Applicant will maintain the required minimum insurance requirements: \$1,000,000 for professional liability and commercial general liability (\$2,000,000 annual aggregate) and \$1,000,000 for workers compensation and commercial automobile liability. Prior to any commencement of audit services, the successful Applicant will be required to provide certificates of insurance coverage to the District.

3.5.4. The number of partners, members, associates and employees of the Applicant in general and the number that comprise the Applicants governmental audit staff; the location of the office from which the work described in this RFP would be performed and the number and nature of the professional staff to be assigned if the Applicant is chosen.

3.5.5. The names and qualifications of the principal supervisory and management staff, including engagement partners, managers, other supervisors and specialist that will be assigned to this Audit if the Applicant is chosen. Indicate whether each such person is licensed to practice as a certified public accountant in Arizona. Provide information on the government auditing experience of each person, including information on relevant continuing professional education for the past three (3) years and membership in professional organization relevant to the performance of this Audit.

3.5.6. A copy of the Applicant's most recent peer review report.

3.5.7. For the Applicant's office that will be assigned responsibility for the Audit, the most significant engagements performed in the last three (3) years that are similar to the engagement described in this RFP.

3.5.8. A list of not less than three (3) client references for which services similar to those outlined in this RFP have recently been, or are currently being, provided. For each reference listed provide the name of the organization, dates of service(s), type of service(s) provided and the name, address, e-mail address and telephone number of the appropriate contact.

3.5.9. Identify and describe recent changes in auditing standards and accounting principles and pronouncements, if any, and their impact on the Applicant's approach and/or the presentation, scope and disclosure of the financial report.



3.5.10. Copies of standard client-prepared audit schedules the Applicant anticipates the District staff to provide.

3.5.11. The Total All Inclusive Maximum Price Attachment A must be completed and signed. The price should specify all pricing information relative to performing the Audit engagement as described in this RFP. This price shall include all direct and indirect costs, including out-of-pocket expenses.

#### 4. **Evaluation Methodology.**

4.1. Evaluation Criteria. Each Proposal will be evaluated using the following criteria:

##### 4.1.1. Mandatory Elements

4.1.1.1. The Applicant is independent of the District as defined by generally accepted auditing standards and the United States Government Accountability Office's Government Auditing Standards and is licensed to practice in Arizona.

4.1.1.2. The Applicant has no conflict of interest with the District.

4.1.1.3. The Applicant follows the instructions set forth in this RFP.

##### 4.1.2. Technical Qualification

4.1.2.1. The Applicant's past experience with comparable government engagements.

4.1.2.2. The quality of the Applicant's professional personnel to be assigned to the engagement and the quality of the firm's management support personnel to be available for technical consultation.

4.1.2.3. Thoroughness of approach to conducting the Audit and demonstration of the understanding of the objectives and scope of the Audit

4.1.2.4. Commitment to work completion timeline

4.1.3. The maximum fee to conduct the Audit in each of the years specified.



4.2. Applicants meeting the mandatory criteria above will have their respective Proposals evaluated and scored for both technical qualification and price. Technical qualification will represent 80% of the weight of the evaluation criteria. Price will be assigned a 20% weighting in the overall evaluation.

4.3. Submission of a Proposal confirms acceptance by the Applicant of the conditions contained in this RFP unless clearly and specifically noted in the Proposal submitted and confirmed in the contract between the District and the successful Applicant. The District reserves the right, without prejudice, to reject any or all Proposals.

4.4. Any Applicant wishing to alter its Proposal, must do so by written addendum, which must be received by the District before the Proposal Deadline.



ATTACHMENT A

**Total All Inclusive Maximum Price**

RIO NUEVO MULTIPURPOSE FACILITIES DISTRICT  
AUDITING SERVICES

FEE STRUCTURE

	<u>2013</u>	<u>2014</u>	<u>2015</u>
CAFR, etc.*	\$ _____	\$ _____	\$ _____
Single Audit	\$ _____	\$ _____	\$ _____
Total	\$ _____	\$ _____	\$ _____

\*Annual Financial Report, Management Letter, Audit presentation to the board.

**FIRM SUBMITTING PROPOSAL:**

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Title

\_\_\_\_\_  
Name of Authorized Representative

\_\_\_\_\_  
Date