



Ozarks Transportation Organization
117 Park Central Square, Ste. 107
Springfield, MO 65806
Phone: (417) 836-5442

REQUEST FOR PROPOSAL: RFP 001-2010, CPA Audit Services
DEADLINE: *Friday, February 5, 2010 at 5:00 PM*, Central Standard Time
DELIVERY LOCATION: 117 Park Central Square, Suite 107, Springfield, MO 65806
PURCHASING AGENT: Debbie Parks, dparks@ozarkstransportation.org
DATE OF ISSUE: January 8, 2010

REQUEST FOR PROPOSAL
FRP 001-2010, CPA Audit Services

No late proposals will be accepted. RFP'S shall be submitted in an envelope with the Request for Proposal number and the Proposer's name and address clearly indicated on the envelope. All submissions must be completed in ink or typewritten and submitted by the time and date above.

Proposers are strongly encouraged to carefully read the entire Request for Proposal.

The undersigned hereby offers to furnish & deliver the services as specified, at the prices & terms stated herein, and in strict accordance with the specifications and general conditions of bidding, all of which are made a part of this offer. This offer is not subject to withdrawal by the Proposer unless upon mutual written agreement by the Proposer and the OTO Executive Director.

Name of Firm: _____

Contact Person: _____ Title: _____

E-Mail: _____ Phone: _____

Business Address: _____

City: _____ State: _____ Zip: _____

Signature: _____ Date: _____

SCOPE OF WORK

- PURPOSE.** Ozarks Transportation Organization (OTO) located in Greene County, Missouri requests submissions from firms interested in being selected to serve as OTO's Independent Auditor in order to conduct a year end audit. OTO expects to select one firm to perform the Fiscal Year July 1, 2009 – June 2010 audit. OTO receives federal, state and local grant funding and other funding from local governmental entities. The firm must be licensed in Missouri, with general not-for-profit/government experience.
- BACKGROUND.** Ozarks Transportation Organization (OTO) Metropolitan Planning Organization (MPO) is the federally designated regional transportation planning organization that serves as a forum for cooperative transportation decision-making by state and local governments, and regional transportation and planning agencies. MPO's are charged with maintaining and conducting a "continuing, cooperative, and comprehensive" regional transportation planning and project programming process for the MPO's study area. The study area is defined as the area projected to become urbanized within the next 20 years.

OTO's Board of Directors includes local elected and appointed officials from Christian and Greene Counties, and the cities of Battlefield, Nixa, Ozark, Republic, Springfield, Strafford and Willard. It also includes technical staffs from the Missouri Department of Transportation, Federal Highway Administration, Federal Transit Administration, and the Federal Aviation Administration and members from public transportation providers and citizen representatives.

OTO formerly SATSO (Springfield Area Transportation Study Organization) has existed since the 1960's with the sole purpose of providing federally mandated regional transportation planning. OTO was housed and part of the City of Springfield until April 2008, when OTO incorporated in the state of Missouri as a non-profit corporation. OTO relocated offices from the City of Springfield in August 2008 and is now a completely separate organization.

OTO is funded by a pass through grant from the Federal Highway Administration via MoDOT and match funding from local government member jurisdictions. OTO is registered with the State of Missouri and has obtained State and Federal Employer Identification numbers and a state letter of tax exemption.

Currently, OTO has an independent company processing payroll and federal and state payroll tax deposits including unemployment. OTO utilizes QuickBooks to track expenses and produce financial reports. OTO believes that proper accounting principles are being utilized.

- REQUIREMENTS.** It is expected that the selected firm will perform the following service that may be assigned that relate to the operation of OTO.
 1. Conduct a year end audit of the financial records, with the possibility of up to a three year engagement.

4. **OTO POLICIES AND PROCEDURES.** The following OTO policies and procedures are applicable to the RFP:

A. This RFP does not commit OTO to select a Contractor or to pay any costs incurred in the preparation or mailing of the submittal.

B. OTO reserves the right to the following:

1. To waive minor deficiencies and informalities;
2. To accept or reject any or all submissions received as a result of the RFP;
3. To obtain information concerning any or all Contractors from any source;
4. To request an oral interview from any or all Contractors.
5. If the selected firm undergoes a change of key personnel, OTO reserves the right to approve any substitute personnel or terminate the services at OTO sole discretion.

C. OTO complies with Federal Contracting Requirements. A list of applicable contract language can be found on the OTO website:

<http://www.ozarkstransportation.org/notices>.

5. **SCHEDULE.** The following is the schedule of events which are anticipated by OTO for the implementation and completion of selecting the Contractor to provide the requested services as outlined in the Scope of Services. OTO may, in its discretion, revise the schedule of events at any time as may be in its best interests:

<u>Event</u>	<u>Date</u>
Post Request for Submissions	January 8, 2010
Final Questions due from Proposers	January 22, 2010
OTO's response to Questions	January 29, 2010
Submissions due	February 5, 2010
Final Selection Made	February 22, 2010

6. **FORMAT OF SUBMISSIONS.** In order for the OTO to adequately compare submissions and evaluate them uniformly and objectively, all submissions shall be submitted in accordance with the format outlined below. The submissions should be prepared simply and economically, providing straight-forward and concise information as requested.

1. **Company Information.** The complete legal name, address, Federal ID number or Social Security number, permanent address and telephone number of the Company including the name of the person to contact for discussion of the submissions.
2. **Company Overview.** Overview of the firm, including the year founded office locations and the number of years in practice. A description of the firm's current staffing, and details as to the experience and educational submissions of the individuals that would act as primarily counsel. **Include the names of the individuals anticipated to be primarily responsible for the services to be provided under this proposal.**

3. **Description of Firm.** A description of the firm's current staffing, and details as to the experience and educational qualifications of the individuals that would be primarily responsible for the project. **Include the names of the individuals anticipated to be primarily responsible for the services to be provided under this proposal.**
4. **Firm Experience.** A description of the experience of the firm and individuals responsible for providing service to OTO for items listed under Requirements (Item number 3) above. The firm should demonstrate experience with Governmental Accounting and Circular A-133 audits.
5. **Outline of Fees Associated with the audit.** This should include both the hourly rate and estimated total audit cost that must be paid by OTO. Please break down the price between conducting an OMB Circular A-133 and a financial statement audit for each of the three years.
6. **Proposed Timeline.** A description of the estimated timeline for completing the OTO audit.
7. **References.** A list of references with phone numbers should accompany the RFP including OMB Circular A-133 audit client references.

7. **SUBMISSIONS DUE DATE.** Sealed submissions with one (1) original and seven (7) complete copies will be received at OTO no later than **5:00 P.M., Friday, February 5, 2010.** Submissions will not be accepted after this time. Submissions shall be addressed as follows:

Ozarks Transportation Organization (OTO)
117 Park Central Square, Suite 107
Springfield, MO 65806

Submissions should be marked:
“REQUEST FOR PROPOSAL: #001-2010”

8. **AMENDMENTS.** If it becomes necessary to revise or amend any part of this Request for Proposal, OTO will furnish the revision by written Amendment to all prospective proposers who received an original Request for Submissions.
9. **SUBMISSIONS EVALUATION PROCESS.** The evaluation of the submissions process will include the following:

Submissions will be evaluated and rated in accordance with the evaluation criteria. A shortlist may be developed listing the highest ranked submissions.

OTO’s Audit Committee may confer with all responsible proposers who have been short listed and may arrange, if necessary, for interviews/presentations by the short listed firms.

OTO reserves the right to conduct pre-award discussions with any or all responsive and responsible Contractors who submit submissions determined to be reasonably acceptable of being selected for award. Contractors shall be accorded fair and equal treatment with

respect to any opportunity for discussion and revision of submissions; and such revisions may be permitted after submission of submissions and prior to award of a contract.

10. **OTO RIGHTS.** OTO reserves the right to reject any and all submissions and to waive minor irregularities. OTO further reserves the right to seek new submissions when such a procedure is reasonable and in the best interests of OTO to do so.
11. **CRITERIA FOR AWARD.** OTO will evaluate submissions. Each submittal will be evaluated for full compliance with the RFP instructions to the Contractor. The objective of the evaluation will be to recommend the firm who is most responsive to the herein described needs of OTO. Submissions which are responsive to this Request for Proposal will be evaluated based on, but not limited to the following criteria:
 - A. Demonstrated experience and expertise of the Contractor and its staff in providing service of a similar nature to public sector clients. **(30 points)**
 - B. Projected amount of time to complete task. **(15 points)**
 - C. The price for performing the audit service. **(50 points)**
 - D. Other pertinent information, which may have a bearing on the Contractor's capabilities to provide the required services. **(5 points)**
12. **QUESTIONS REGARDING SPECIFICATIONS OR SUBMISSIONS PROCESS:**

To ensure fair consideration for all proposers, OTO prohibits communication to or with any department, board, or employee during the submission process, except as provided below. Additionally, OTO prohibits communications initiated by a proposer to OTO official(s) or employee(s) evaluating or considering the submissions prior to the time an award decision is made. Any communication between proposer and OTO will be initiated by the appropriate OTO Official(s) or employee(s) in order to obtain information or clarification needed to develop a proper, accurate evaluation of the submissions. Such communications initiated by a proposer may be grounds for disqualifying the offending proposer from consideration for award of the submissions and/or any future submissions(s).

- A. Any questions relative to interpretation of specifications or the submissions process shall be addressed to the Executive Director in writing, in ample time before the period set for the receipt and opening of submissions. Any interpretation made to prospective proposers will be expressed in the form of an amendment to the RFP which, if issued, will be conveyed in writing to all prospective proposers not later than five (5) days prior to the date set for receipt of submissions.
- B. It will be the responsibility of the proposer to contact OTO prior to submitting a proposal to ascertain if any amendments have been issued, to obtain all such amendments, and to acknowledge amendment with the submissions.



For persons with disabilities needing reasonable accommodations please contact OTO at 417-836-5442; at least 48 hours in advance of the question deadline. If you need relay services please call the following numbers: 711 - Nationwide relay service; 1-800-735-2966 - Missouri TTY service; 1-800-735-0135 - Missouri voice carry-over service.