Request for Qualifications and Proposal (RFQ/RFP) for

School Facility Program Bond Fund Audit Services

Proposal Due Date
Friday, March 08, 2019

At 3:00 p.m..

Location
San Marcos Unified School District Facilities Office
255 Pico Avenue, Suite 250, San Marcos, CA 92069
Table of Contents

NOTICE TO PROPOSERS ................................................................................................................................................. 3

RFQ/RFP  School Facility Program Bond Fund Audit Services  SCHEDULE ................................................................. 4

1. DISTRICT OVERVIEW ....................................................................................................................................................... 5

2. INSTRUCTIONS, INFORMATION AND GENERAL CONDITIONS ....................................................................................... 6

   PURPOSE OF RFQ/RFP ......................................................................................................................................................... 6

   DEFINITION OF TERMS ......................................................................................................................................................... 6

   REQUEST FOR CLARIFICATIONS ......................................................................................................................................... 6

   PROPOSAL SUBMISSION ....................................................................................................................................................... 6

   RIGHT TO REJECT ................................................................................................................................................................. 7

   WITHDRAWAL OF PROPOSALS .......................................................................................................................................... 7

   IRREVOCALE OFFER ............................................................................................................................................................. 7

   COST OF PREPARING PROPOSALS .................................................................................................................................. 8

   INTERVIEWS ........................................................................................................................................................................... 8

   NEGOTIATION .......................................................................................................................................................................... 8

   AWARD OF CONTRACT ............................................................................................................................................................ 8

   QUALITY OF PERSONNEL ASSIGNED TO THE WORK ....................................................................................................... 8

   PROPOSER CONDUCT .......................................................................................................................................................... 8

3. EVALUATION OF PROPOSALS ......................................................................................................................................... 89

   SELECTION PROCESS ........................................................................................................................................................... 9

   CONTENT AND ORDER OF RFQ/RRP RESPONSE .................................................................................................................. 9

4. SCOPE OF SERVICES ............................................................................................................................................................ 9

   PROPOSAL FORM A – LETTER OF INTEREST AND APPROACH ......................................................................................... 12

   PROPOSAL FORM B – DEDICATED PERSONNEL AND STAFFING RESOURCES .......................................................... 13

   PROPOSAL FORM C - RELATED EXPERIENCE AND METHODOLOGY .................................................................. 14

   PROPOSAL FORM D - FEE AND RATE PROPOSAL .............................................................................................................. 15

   PROPOSAL FORM E - REFERENCES ................................................................................................................................. 16

   PROPOSAL FORM F - ADDENDA ACKNOWLEDGEMENT ............................................................................................... 17

   APPENDIX A - Sample Agreement .................................................................................................................................. 18
Notice to PROPOSERS

Request for Qualification/Proposal (RFQ/RFP)

District: SAN MARCOS UNIFIED SCHOOL DISTRICT (SMUSD)

Project: RFQ/RFP
       School Facility Program Bond Fund Audit Services
       SAN MARCOS UNIFIED SCHOOL DISTRICT

RFQ/RFP Deadline: Friday, March 08, 2019
                   3:00 p.m..

Mailing Address & Place of RFQ/RFP Receipt:
SAN MARCOS UNIFIED SCHOOL DISTRICT
DISTRICT OFFICE
FACILITIES DEPARTMENT
255 PICO AVENUE
SAN MARCOS, CA  92069
Attn: DIANE DEBRUYN
ACCOUNTING TECHNICIAN, FACILITIES PLANNING & DEVELOPMENT

NOTICE IS HEREBY GIVEN that the San Marcos Unified School District, of San Diego County, California, acting by and through its Governing Board, hereinafter referred to as "District," will receive up to, but not later than, the above-stated time, responses to the Request for Qualifications and Proposals for the above Project.

A complete Request for Qualifications and Proposals may be viewed at the SMUSD Facilities Department at the above address, telephone (760) 290-2648 or by email at diane.debruyn@smusd.org. The documents are also available online at SMUSD.ORG at https://smusd.org/departments/facilities_planning_and_development/projects_out_to_bid

Any and all Requests for Clarifications (RFC) must be sent via email to Diane deBruyn at diane.debruyn@smusd.org. Consultants shall reference RFQ/RFP “School Facility Program Bond Fund Audit Services” in the email subject line. The final day for questions shall be 2/27/19, no later than 3:00 P.M.
## RFQ/RFP  School Facility Program Bond Fund Audit Services

### SCHEDULE

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<td>2/13/2019</td>
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<td>Advertisement Dates</td>
<td>2/13/2019</td>
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<td></td>
<td>2/20/2019</td>
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<tr>
<td>Publication</td>
<td>Union Tribune</td>
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<tr>
<td>Requests for Clarification (RFC)</td>
<td>2/27/2019</td>
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<tr>
<td></td>
<td>3:00 p.m.</td>
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<tr>
<td>District Responds to RFC’s</td>
<td>72 hours before due date</td>
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<tr>
<td>Due Date</td>
<td>3/8/2019</td>
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<tr>
<td></td>
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<tr>
<td>Interview/Presentations (if needed)</td>
<td>TBD</td>
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<tr>
<td>Anticipated Governing Board Approval</td>
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1. **DISTRICT OVERVIEW**

The San Marcos Unified District serves approximately 21,000 students in Kindergarten through 12th grade at 19 campuses. The District encompasses 49 square miles in northern San Diego County and serves the cities of San Marcos, Escondido, Carlsbad, Vista, and areas within the County of San Diego.

On November 2, 2010 the voters of the District approved Measure K, authorizing $287 million in general obligation bonds in which proceeds may be used for the “construction, reconstruction, rehabilitation or replacement of school facilities”. All projects were funded in whole or part from proceeds from the sale of Measure K bonds. In addition, the District has funding from the State School Facility Program, Developer fees, and other local, state, and federal funding sources.
2. INSTRUCTIONS, INFORMATION, AND GENERAL CONDITIONS

PURPOSE OF RFQ/RFP

San Marcos Unified School District (SMUSD) is seeking to retain qualified firms to provide School Facility Program Bond Fund Audit Services. The District plans to select firms with specific experience with public school districts. The entirety of this RFQ/RFP sets forth the District’s requirements in detail. All responses should be submitted in accordance with the terms and conditions contained in the foregoing document.

DEFINITION OF TERMS

- The designation of “District” refers to the San Marcos Unified School District, a political subdivision of the State of California.
- The term “Proposers” refers to Firms that elect to submit proposals for School Facility Program Bond Fund Audit Services.
- The terms "Contract" and "Agreement" shall be used interchangeably within this document.
- Throughout this document, the term “District” shall be used to designate the rights and responsibilities of the San Marcos Unified School District.
- The term “Proposer” shall be used to designate the rights and responsibilities of the successful firm responding to this RFQ/RFP.

REQUEST FOR CLARIFICATIONS

All questions or RFC’s regarding this RFQ/RFP should be sent, via e-mail to Diane deBruyn at diane.debruyn@smusd.org. Questions will only be accepted until 2/27/2019 no later than 3:00 P.M. The e-mail subject line should read: “Your Company name/Questions regarding “RFQ/RFP SCHOOL FACILITY PROGRAM BOND FUND AUDIT SERVICES.” No direct responses will be sent to the company/firm asking the question. Questions will be answered in the form of an addendum. All addendums to this RFQ/RFP will be posted on the District’s web site seventy-two (72) hours prior to the due date.

PROPOSAL SUBMISSION

One (1) electronic copy and two (2) copies of proposal shall be submitted to the attention of Diane deBruyn, Accounting Technician. Emphasis should be on brevity and clarity of contents. Proposals shall not exceed 20 pages in length. Proposal Sections: A, B, C, D, E, & F and Appendices A. Proposals submitted in response are to be labeled Section A, B etc. and be in the following order:

1. Letter of Interest and Approach - Provide a cover letter per the requirements of PROPOSAL SECTION A.
2. Personnel and Staffing Resources - Provide answers to the questions in PROPOSAL SECTION B.
3. Related Experience and Methodology PROPOSAL SECTION C.
4. Fee and Rate Proposal – PROPOSAL SECTION D.
5. **References** – PROPOSAL SECTION F.

6. **Addenda Acknowledgement** – PROPOSAL SECTION G

7. **Appendices**
   
   A. Sample Agreement

Oral, telephone, email or facsimile (fax machine) proposals will not be accepted.

Hard copies should be packaged in a sealed envelope bearing the name of the Proposer and RFQ/RFP clearly marked. All proposals must be received on or before the due date and time of **Friday, March 08, 2019 at 3:00 p.m.**. Any proposal received after the scheduled closing time for receipt of proposal will be returned to the proposer unopened or rejected. All sealed proposals must be delivered to:

**SAN MARCOS UNIFIED SCHOOL DISTRICT**

Attention: Diane deBruyn

Accounting Technician

255 Pico Avenue, Suite 250

San Marcos, CA  92069

**RIGHT TO REJECT**

This Request for Qualifications & Proposals does not constitute a commitment by the District to award a contract. The District reserves the right to waive any informalities and to reject any or all proposals and/or to cancel the Request for Qualifications & Proposals. The District expressly reserves the right to postpone the proposal opening date for its own convenience. The award shall be made on the proposal(s) that serve(s) the best interest of the District and will not be evaluated solely on a monetary basis; however, proposers are encouraged to submit their best prices in their proposals. Award will be based on proposer’s qualification and best fit as deemed by the District. No contract award shall exist until executed and approved by the District’s Governing Board.

**WITHDRAWAL OF PROPOSALS**

Any Proposer may withdraw their proposal by written request via e-mail to at any time prior to the deadline set for receipt of proposals. The subject line of the e-mail should include and read: “Your Company Name/Withdrawal of RFQ/RFP. No proposal may be withdrawn or modified after that deadline. Withdrawn proposals may be resubmitted up to the time designated for the receipt of proposals provided that they are then fully in conformance with the general terms and conditions of the RFQ/RFP.

**IRREVOCABLE OFFER**

Proposals shall be considered irrevocable offers for a period of ninety (90) days from the date of receipt and may not be withdrawn during this period without consent of the District.
COST OF PREPARING PROPOSALS

Any and all costs associated with the preparation of responses to this RFQ/RFP, including site visits, oral presentations and any other costs shall be entirely the responsibility of the Proposer and shall not be reimbursable in any manner by the District.

INTERVIEWS

The District may wish to interview firms at the District offices. Oral presentations will be evaluated and may be subjected to the selection criteria. The District requires that the designated representatives identified in the proposals as being the ones who will be assigned to the District, be present and prepared to respond to District inquiries. The decision to hold interviews and the scope or any limitations thereof shall be at the discretion of the District.

NEGOTIATION

District reserves the right to negotiate the final pricing before award of business.

AWARD OF CONTRACT

It is anticipated that a contract will be awarded by the Governing Board of Education at a regularly scheduled meeting on 4/16/2019. The award will be made to the responsible firm judged to offer the most advantages for the District. At the time of the formal award, the apparent successful firm must have agreed to contract terms representing the understandings between the parties as to terms and conditions which will govern the relationship of District and Proposer and the obligation of each party for performance of the Agreement. Sample agreement is attached as Appendix A.

QUALITY OF PERSONNEL ASSIGNED TO THE WORK

The Proposer shall not employ on this account any unfit person or anyone not skilled in the work assigned to him/her and shall devote only its best qualified personnel to work under this contract. Should the District deem anyone employed under any contract which may arise as a result of this RFQ/RFP to be incompetent or unfit for his/her duties and so inform the Proposer, the Proposer shall immediately remove such person from this work and he/she shall not again, without prior written permission of the District, be assigned to work under this contract.

PROPOSER CONDUCT

During the RFQ/RFP window (from release of this RFQ/RFP to final award), proposer is not permitted to contact any SMUSD employees or members of the Governing Board unless at the request of SMUSD’s designated contact person (Diane deBruyn, Accounting Technician) or to fulfill pre-existing contractual obligations. No gratuities of any kind will be accepted, including meals, gifts, or trips or otherwise. Violation of these conditions will constitute immediate disqualification.
3. EVALUATION OF PROPOSALS

The proposals shall be primarily evaluated based upon qualifications of the firm, complying with the RFP/RFQ requirements, personnel, demonstrated knowledge and experience with school districts, and estimated fees.

SELECTION PROCESS

All proposals will be examined for merit and ranked by a screening committee according to quality and responsiveness. The top proposals will be placed on a short list of finalists and may be called for interviews.

Team members giving the presentation shall consist of those who will actually direct, execute, and complete the project. Contracts will be forwarded to the Governing Board of Education for approval and authorization to proceed.

CONTENT AND ORDER OF RFQ/RFP RESPONSE

Firm’s proposal should be concise and contain the following sections in order as shown. RFQ/RFP responses submitted in formats other than that prescribed below may, at the sole discretion of the District, be rejected. All Sections identified below must be included for the RFQ/RFP response to be considered complete and must be divided into tabbed sections.

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
</tr>
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<tbody>
<tr>
<td>A</td>
<td>Letter of Interest and Approach</td>
</tr>
<tr>
<td>B</td>
<td>Dedicated Personnel and Staffing Resources</td>
</tr>
<tr>
<td>C</td>
<td>Related Experience and Methodology</td>
</tr>
<tr>
<td>D</td>
<td>Fee and Rate Proposal</td>
</tr>
<tr>
<td>E</td>
<td>References</td>
</tr>
<tr>
<td>F</td>
<td>Addenda Acknowledgement</td>
</tr>
</tbody>
</table>

4. SCOPE OF SERVICES

A. Auditor Judgement

The Scope of Services requested by the District must be in adherence to performance audit requirements in Education Code Section 41024 for a local educational agency that receives any funds (commencing April 1, 2017) pursuant to the Leroy F. Greene School Facilities Act of 1998 (Chapter 12.5 (commencing with Section 17070.10) of Part 10 of Division 1 of Title 1). The procedures in this Scope of Services are not a complete manual of procedures, auditors must exercise professional judgement.

Note: Projects that were added to the Unfunded List between May and October 2012 (True Unfunded List) and received State Allocation Board approval for placement on the
Unfunded List (Lack of AB 55 Loans) on June 5, 2017 are not subject to a Grant Agreement however, they are still subject to the performance audit required in Education Code section 41024.

B. Auditing Standards
Audits shall be conducted in accordance with the following standards:

1. Standards generally accepted in the United States of America.
2. Governmental Auditing Standards, also known as the Yellow Book, which contains standards for audits of governmental organizations, programs, activities, and functions. The Yellow Book is published by the United States Governmental Accountability Office.

C. Report Components for Performance Audits
The report of each performance audit performed pursuant to this Appendix shall contain:

1. The objectives, scope, and methodology of the audit.
2. The audit results. Including findings, conclusion, and recommendations, as appropriate.
3. A statement about the auditor's compliance with Government Auditing Standards.
4. A summary of the views of responsible officials.
5. If applicable, the nature of any confidential or sensitive information omitted.

D. Project Auditing
The following table outlines the Districts SFP Projects including application number, state apportionment, SFP Project expenditures, and substantial completion progress.

<table>
<thead>
<tr>
<th>Project</th>
<th>Application No.</th>
<th>State Apportionment</th>
<th>SFP Project Expenditures</th>
<th>Substantial Completion</th>
</tr>
</thead>
<tbody>
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<td>San Elijo Elementary</td>
<td>50/73791-00-013</td>
<td>$3,457,114</td>
<td>$3,457,114</td>
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<tr>
<td>San Marcos High School</td>
<td>50/73791-00-014</td>
<td>$30,518,867</td>
<td>$30,518,867</td>
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<td>San Marcos High School</td>
<td>57/73791-00-005</td>
<td>$2,986,827</td>
<td>$2,986,827</td>
<td>99%</td>
</tr>
</tbody>
</table>
E. **Audit Documents**

Discuss and identify the necessity of the following audits and recommend the necessary documents and provide a summary.

- Letter(s) from the Office of Public School Construction (OPSC) detailing what was verified at Substantial Progress and any issues and/or findings identified with the project.
- Final Escrow Statement (If Applicable)
- Appraisal (If Applicable)
- Grant Agreement(s)
- Application for Funding (Form SAB 50-04)
- Project Transaction Detail and Summary
- State Allocation Board (SAB) approval item(s)
- Final Form SAB 50-06 Expenditure Report and Detailed Listing of Project Expenditures (DLOPE)
- Schedule of Determination of Savings (If Applicable)
- Schedule of Reduction to Costs Incurred - Unspent Funds (If Applicable)
- Schedule of School Facility Program (SFP) - Use of Savings (If Applicable)
- Schedule of School Facility Program (SFP) - Determination of Unspent Funds - Career Technical Education/Charter
**PROPOSAL SECTION A**

**LETTER OF INTEREST AND APPROACH**

*Letter of Interest and Approach*

The RFQ/RFP response should be introduced with a Letter of Interest that presents a statement of interest, firm’s approach, and philosophy for implementing these services, and a brief description of the consultant/firm including qualifications for providing the requested services. Please include the following information:

1. The name, title or position, and telephone number of the individual signing the cover letter and statement signatory is authorized to bind the firm.
   a. The name, title or position, and telephone number of the primary contact and/or account administrator, if different from the individual signing the cover letter.
2. A statement to the effect that the proposal is a firm and irrevocable offer, good for ninety (90) days.
3. A statement expressing the Proposer’s availability of staff and other required resources for performing all services and providing all deliverables as described in the RFQ/RFP.
4. Describe what is unique about the consultant/firm as it relates to this RFQ/RFP.
5. The consultant will work closely with the District to ensure accurate, timely, and sufficient information necessary to complete the project. Accordingly, please respond to the following questions:
   a. Describe your California k-12 experience with Bond Audit Services and OPSC/SFP Audit Services.
   b. Describe specific techniques to be employed. Outline the anticipated work plan and schedule. Describe how your team will work with the District to manage and keep the project on schedule in order to present the final product.
Submit resumes for each team member including sub-consultants proposed to provide service to SMUSD including specific qualifications and recent related experience providing similar services. List the proposed staff’s current and anticipated availability during the contract period. Please note: section B is excluded from the 20 page limit. Include the following data and any other relevant information for the District to evaluate:

1. Provide total number of professional staff currently employed by the firm.
2. Please provide resumes that include all levels of personnel on the project focused on key project personnel.
3. Identify all employees who will be principally responsible for working with the District. Indicate the role and responsibility of each person/s, and how many years of experience with a focus on school district qualifications relative to the proposed role. If the Proposer is chosen as a finalist, the proposed individual/s must attend the interview and in-person presentation.
4. Indicate whether or not individual is currently a direct employee of the firm. If a direct employee, indicate how many years with the firm.
5. Provide brief biographies, education, training, professional certifications, and work experience history of individual/s that will be working directly with the District, highlighting the skills identified with their tasks.
6. Link each named person with the specific tasks, responsibilities, and deliverables.
7. If more than one person is named as a candidate for a specific role, include above information for all listed persons. A chart/table is acceptable and encouraged.
1. Provide a summary of the Firm’s experience in relation to the services contemplated in this RFQ/RFP.

2. Describe how the firm will provide services and fulfill the requirements and expectations of the District.

3. Provide a summary of your Firm’s experience working with California k-12 school districts and the general experience of the staff assigned to this project.

4. Name and state the number of public entity clients served within the past 5 years.

5. Do you provide monthly status reports? If so, describe the type of information the status report contains.

6. Indicate the firm’s proximity to the District and availability to accomplish the work.

7. Submit complete examples of similar School Facility Program Bond Fund Audit Services or similar projects. Please keep to seven (7) projects or less.

8. Based on the RFQ/RFP scope, clearly specify any work that would be necessary to complete the required audit services.
The proposed fee schedule shall include fully burdened hourly rates for each title/individual proposed for the work. It is the proposer’s responsibility to understand the complexity of the District as well as the complexity of the proposed work and to submit a not-to-exceed fee.
Each Proposer must be able to present both **current and past** evidence of satisfactory experience in providing services requested. List school districts (limit of five (5)) that you or your firm has contracted with in the last five (5) years. Include the name of the district, contact person, email address and phone number of individuals who can evaluate work that has been completed by the consultant(s)/firm/team member(s).

### REFERENCES

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PROPOSAL SECTION F
Addenda Acknowledgement

**Addenda**: Changes or corrections to the proposal document will be issued via a numbered addendum format at least seventy-two (72) hours prior to submittal date. Record below the number(s) and date(s) of addenda received, if applicable.

<table>
<thead>
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APPENDIX A
Sample Agreement for
School Facility Program Bond Fund Audit Services