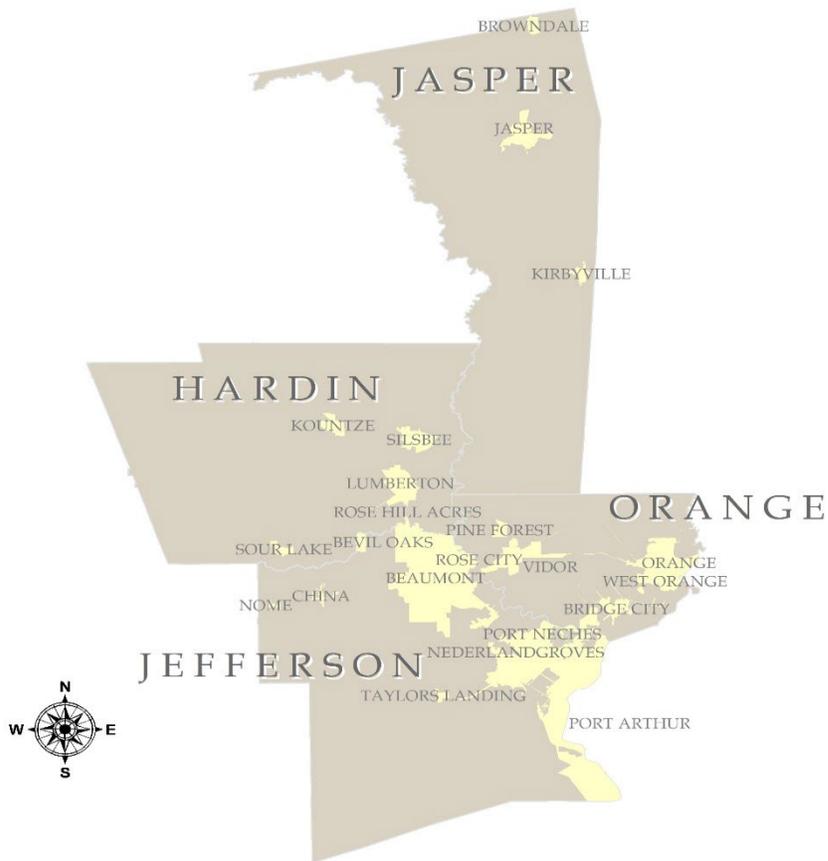


# REQUEST FOR PROPOSAL

## AUDITING SERVICES



**South East Texas Regional Planning Commission  
2210 Eastex Freeway  
Beaumont, Texas 77703**

**(409) 899-8444  
(409) 347-0138 FAX**

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## Introduction

The South East Texas Regional Planning Commission (SETRPC), as required by its by-laws, is seeking proposals from qualified Certified Public Accountants to serve as its auditor for the period October 1, 2021 – September 30, 2022.

## General Information

### Submission Requirements

- All Proposals must be submitted in a sealed envelope marked “RFP-Auditing Services” to:  
Controller  
South East Texas Regional Planning Commission  
2210 Eastex Freeway  
Beaumont, Texas 77703.
- Issue date of this RFP is Friday May 13, 2022.
- Proposals must be received by 5:00 p.m. Friday June 10, 2022. Proposals received after this time will not be opened or considered by SETRPC.
- One (1) original and three (3) copies of the proposal must be submitted.
- An electronic copy of the proposal should be sent to [jking@setrpc.org](mailto:jking@setrpc.org)

This Request for Proposal does not commit SETRPC to enter into any formal or informal agreements for services or to incur any costs related to preparation of a response.

SETRPC reserves the right to accept or reject any and/or all proposals. SETRPC reserves the right to waive any irregularities and/or informalities in any proposal and to request additional information as necessary. It is the intent of SETRPC to accept such proposal that is deemed to be in the best interest of SETRPC.

### Additional Information

Any questions or requests for additional information shall be made to Jeff King, Controller, at (409) 899-8444 ext. 6044.

A copy of SETRPC's FY 2021 audit report is available for review at [www.setrpc.org](http://www.setrpc.org).

## Organizational Profile

The South East Texas Regional Planning Commission was formed in June 1970, as a voluntary association of local governments pursuant to Texas law, Local Government Code, Chapter 391, Regional Planning Commissions (V.A.C.S. Article 1011m). As one of 24 planning councils in Texas, the South East Texas Regional Planning Commission works with its member governments to solve area wide problems by promoting intergovernmental cooperation and coordination by means of conducting comprehensive regional planning and by providing a forum for the discussion and study of area issues. SETRPC's mission is to compliment local government without infringing on local home rule, with the goal of making our local jurisdictions better able to respond to the needs of their citizens. The Region's population was represented on our Executive Committee by virtue of all four of the counties that make up Planning Region 15 (Hardin, Jasper, Jefferson and Orange) being members of the South East Texas Regional Planning Commission. Representatives of local school districts, water districts, ports, navigation districts and river authorities also serve on the Executive Committee. The governing body of the South East Texas Regional Planning Commission is the SETRPC Executive Committee. All individuals serving on the Executive Committee are elected officials from the various counties, cities and special districts that make up the Commission's membership. Likewise, the SETRPC officers consist of elected officials from each county, city or special district.

By focusing their efforts toward collective goals outlined in the SETRPC Mission Statement, Purpose and Core Values, the Executive Committee, officers and SETRPC staff ensure that the region is pursuing resources, which will provide a greater quality of life for all residents.

SETRPC's federally and State assisted area wide responsibilities include transportation planning and implementation, environmental protection, nutrition and social services for the elderly, criminal justice, economic development, community services and community development. SETRPC is also charged with area wide administration of the Foster Grandparent and RSVP Programs, AARP Experience Corps program, planning and implementation of the region wide Enhanced 9-1-1 Emergency Network System, Homeland Security and coordination and facilitation of emergency management planning activities. SETRPC also administers a program of air quality monitoring funded by private industry.

## Information Requested from the Proposer

As a minimum requirement, the proposer is to include the following as part of the proposal:

- Statement of qualifications of proposer's firm and individuals to be assigned to the engagement.
- Statement of understanding of work to be performed and brief outline of the scope of services offered.
- Specific information attesting proposer's capacity to perform auditing services in accordance with Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)* and the State of Texas Grant Management Standards and experience in governmental auditing.
- Statement of all-inclusive maximum fee to be level for five years.

The proposer is encouraged to include any additional information that is necessary to provide SETRPC with a full understanding of the proposer's qualifications.

## Time Consideration

The auditor is to organize the engagement so that, at a maximum, the final report can be released and disseminated within 180 days of the close of the fiscal year.

The auditor is to present and discuss the audit report at a public meeting of the SETRPC Executive Committee generally held the third Wednesday of each month.

## Terms and Conditions

The initial engagement is to be awarded for a period of one year with four annual renewals. A separate engagement letter will be required for each fiscal period audited.

SETRPC reserves the right to accept or reject any (or all) proposals received. SETRPC is under no legal requirement to execute a contract and intends the material herein to be a general description of the services desired.

# Statement of Auditing Services

## Services Required

- The successful proposer will audit the financial statements of the governmental activities, the business-type activities, each major fund, and the aggregate remaining fund information, which collectively comprise the SETRPC's basic financial statements, as of and for the year ended September 30, 2022.
- The proposer will be required to review and apply limited procedures to SETRPC's management's discussion and analysis, budgetary comparison information and other supplementary information required by accounting principles generally accepted in the United States of America.
- The proposer will also apply necessary procedures to provide an opinion in relation to the basic financial statements for:
  - Schedule of expenditures of federal awards.
  - Supplemental schedules of various grant activities.
- The objective of the audit should be to express an opinion about whether SETRPC's basic financial statements are fairly presented, in all material respects, in conformity with U.S. generally accepted accounting principles and to report on the fairness of the additional information referred to in the first paragraph when considered in relation to the financial statements taken as a whole. The objective should also include reporting on –
  - Internal control related to the financial statements and compliance with provisions of applicable laws, regulations, and the provisions of contracts or grant agreements, noncompliance with which could have a material effect on the financial statements in accordance with *Government Auditing Standards*.
  - Internal control related to major programs and an opinion (or disclaimer of opinion) on compliance with laws, regulations, and the provisions of contracts or grant agreements that could have a direct and material effect on each major program in accordance with Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* and the State of Texas Grant Management Standards.
- The reports on internal control and compliance should each include a statement that the report is intended for the information and use of the executive committee, management, specific legislative or regulatory bodies, federal awarding agencies, and if applicable, pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

- The audit should be conducted in accordance with generally accepted auditing standards; the standards for financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States; Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* and the State of Texas Grant Management Standards and will include tests of the accounting records, a determination of major programs in accordance regulations mentioned above, and other procedures you consider necessary to enable you to express such an opinion and to render the required reports. If your opinion on the financial statements or the Single Audit compliance opinion is other than unmodified, you will be required to fully discuss the reasons with us in advance.
- Additional services may be requested as needed. These services may include, but are not limited to, monitoring of subcontractors and desk reviews of subcontractors financial statements.
- Completion of the Government Finance Officers Association check list for the Certificate of Achievement for Excellence in Financial Reporting award program and recommendations.

## Evaluation of Proposals

Proposals will be evaluated to determine which proposer best meets the needs of SETRPC. The final determination shall be made by the SETRPC Executive Committee. Evaluation considerations will include the following:

- Prior experience of the firm and staff in auditing state and federal funds and programs in accordance with Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)* and the State of Texas Grants Management Standards and experience in governmental auditing requirements.
- Firm understanding of the work to be performed.
- Reasonable fee for services. Although a significant factor, the fee is not the deciding factor unless all other considerations are relatively equal.