



## Internal Auditor Services Request for Qualifications

The Wasatch Front Regional Council (WFRC or Council) is soliciting *Statements of Qualifications* in response to this Request for Qualifications from qualified consultants (Auditor) to assist WFRC in performing internal audit functions. Please direct all questions regarding this Request to the WFRC Procurement Agent listed below.

### Project Description

<b>Project</b>	
Project	Internal Auditor Services
Location	Salt Lake City, Utah
<b>Project Manager Contact</b>	
WFRC Project Manager (PM)	Kurt Mower & Loveit Baumgardner
PM Phone No.	(801) 363-4250 ext. 1102
PM Email Address	<a href="mailto:KMower@wfrco.org">KMower@wfrco.org</a> & <a href="mailto:LBaumgardner@wfrco.org">LBaumgardner@wfrco.org</a>
<b>Dates</b>	
Release RFQ to Consultants	Wednesday, April 21, 2021
Questions regarding the RFQ Due	Thursday, April 29, 2021
SOQs Due	Monday, May 17, 2021 at noon. <i>Responses submitted after this deadline will not be accepted.</i>
Interviews, if Needed	Week of, May 24, 2021
<b>Instructions</b>	
Scope, Schedule, Budget	See pages 2-3
Format Instructions, Selection Process and Criteria, Disqualifications	See pages 3-4
Submittal Instructions	<p>Responses to this RFQ must be contained in a single PDF document submitted by email to the <u>WFRC Procurement Agent, Ned Hacker</u> (<a href="mailto:nhacker@wfrco.org">nhacker@wfrco.org</a>) prior to the submission deadline. Acknowledgement of receipt will be sent.</p> <p>Questions and other correspondence regarding this RFQ must be emailed to <u>WFRC Procurement Agent, Ned Hacker</u> (<a href="mailto:nhacker@wfrco.org">nhacker@wfrco.org</a>) no later than noon on Thursday, April 29, 2021. Any clarifications or additional information will be shared online on WFRC's Request for Proposals webpage by Friday, April 30, 2021: <a href="https://wfrco.org/contact/request-for-proposals/">https://wfrco.org/contact/request-for-proposals/</a></p>

## Introduction and Background

The Wasatch Front Regional Council (WFRC) is the Metropolitan Planning Organization (MPO) and Association of Governments (AOG) for the area of Salt Lake, Davis, Weber, Morgan, Tooele and southern Box Elder Counties in Utah.

WFRC is a special purpose unit of regional government, created by interlocal agreement and fulfilling federal law for transportation policy, among other responsibilities. It is governed by a Council of 27 elected and appointed officials from the AOG area and is physically located in Salt Lake City.

As the MPO, the WFRC builds consensus and enhances quality of life by developing and implementing visions and plans for a well-functioning multi-modal transportation system, livable communities, a strong economy, and a healthy environment.

A primary responsibility is for transportation planning and the programming of federal transportation funds. In addition, the WFRC is part of a consortium implementing the Wasatch Choice Regional Vision, assists in the administration of Utah's Small Cities Community Development Block Grant (CDBG) Program, manages the Wasatch Front Economic Development District, and provides a forum for cooperation and collaboration between local elected officials on issues of common interest.

This RFQ contains a Project Description, and the consultant should develop an SOQ that demonstrates their ability to address that outline of work.

## Project Description

The Wasatch Front Regional Council (WFRC) is soliciting *Statements of Qualifications* from qualified consultants to provide internal audit functions for the Council. The internal audit functions will be performed to ensure that the operating procedures including all internal controls are being followed and that all expenditures of Council funds are in accordance with laws, regulations, and Council policy.

At this time the WFRC expects the internal audit work will include at a minimum the tasks below, and be completed in accordance with the following guidance as applicable: Government Auditing Standards (GAS) and the Utah State Auditor Best Practices and other Utah State Auditor Fraud Risk Assessment Guidance. This audit will evaluate the adequacy of the internal financial controls with emphasis on areas vulnerable to fraud and abuse; the adequacy of the Council's current financial policies and procedures; and the adequacy of the Council's financial and auditing organizational structure. The auditor will make use of and build upon the internal control evaluation work done by the Council's independent CPA firm during that firm's annual financial statement audit.

The objectives of this internal audit are:

- Development of a risk assessment of the Council's financial operations, including, but not limited to; review of financial policies, procedures, and practices;
- Periodic testing and evaluation of one or more areas of the Council's internal controls, taking into account risk, control weaknesses, size, and complexity of operations;
- Preparation of reports which analyze significant risk assessment findings, recommend changes for strengthening internal controls and reducing identified risks, and specify time frames for implementation of such recommendations.

Areas that may be addressed include but are not necessarily limited to:

- Review of Payroll
- Review of Bank Reconciliation
- Review Accounts Payable approval process
- Process for Disbursement of funds
- Fixed Asset Sampling
- Perform Testing and Validation functions
  1. Make an independent selection of key controls for testing to assure that controls are appropriate and are effective when applied.
  2. Test the design and operating effectiveness of these internal controls to detect deficiencies.
- Perform audit procedures designed to identify unusual and/or questionable transactions.
- Time to time monitoring of the internal controls of the Council.
  1. Review any recommendations regarding the internal controls with the WFRC Budget/Audit Committee.
  2. Based upon the findings, assist the Council in the design and implementation of recommended procedures to ensure the operating effectiveness of the internal control environment.

The internal auditor will review some aspect of the Council's finances or procedures periodically and discuss any findings or recommendations with the Executive Director and Chief Financial Officer or Comptroller.

## Budget

Budget is negotiable with identification of a final scope of work.

## Terms and Conditions

### Required Completion and Acceptance Criteria

Payment to be made upon presentation of a detailed invoice.

### Applicable Federal and State Regulations

The Consultant shall conform to all applicable state and federal regulations.

### Debarment Certification

Federal regulations require certification by prospective participants (including contractors, subcontractors, and principals) as to current history regarding debarment, eligibility, indictments, convictions, or civil judgments. The selected Consultant will be required to certify in accordance with contract Standard Terms and Conditions.

### Authorization to Begin Work

Notice to proceed will be given by WFRC as soon as the contract is approved, signed by all parties, and returned to WFRC. The selected Consultant can expect an informal Notice to Proceed via email, followed by a copy of the executed contract mailed to the Consultant's address of record at WFRC.

## Required Key Personnel Qualification

The Consultant shall be responsible to ensure all personnel proposed under this RFQ be qualified through training, experience, and appropriate certification for the tasks assigned and shall have a working knowledge of industry standard practices.

## Required Availability of Key Personnel

When Consultants list personnel in the SOQ, key personnel and their roles should be identified. The consultant is agreeing to make the personnel available to complete work on the contract at whatever level the project requires.

## Conditions of Proposal

All costs related to the preparation of the SOQ and any related activities such as interviews and contract negotiations are the sole responsibility of the Consultant. The WFRC assumes no liability for any costs incurred by Consultants throughout the entire selection process.

## Disposition of SOQs

SOQs and their content become the property of WFRC, and are treated as protected documents. The SOQ of the successful Consultant shall be open to public inspection for a period of one year after award of the contract. SOQs of Consultants who are not awarded contracts shall not be open to public inspection and will be destroyed once the contract is executed with another consultant.

If the Consultant selected for award has required in writing the nondisclosure of trade secrets and other proprietary data so identified, the WFRC Project Manager shall examine the request in the SOQ to determine its validity prior to award of the contract. If the parties do not agree as to the disclosure of data in the contract, the WFRC Manager shall inform the Consultant in writing what portion of the SOQ will be disclosed and that, unless the Consultant withdraws the SOQ, it will be disclosed. If the Consultant withdraws their SOQ, the Consultant will not be awarded the contract.

## Ownership of Documents

All files, reports, plans, data, analysis and other materials. prepared or obtained by the Consultant as a result of working on this contract, shall be delivered to and become the property of WFRC.

## Consultant Response Formatting

1. All *Statements of Qualifications* should be no longer than eight (8) pages, exclusive of a cover letter, resumes, and attachments and include the following elements:
2. A description of the qualifications of the consultant, including their experience in similar projects, with a listing of points of contact and phone numbers for previous work.
3. A proposed approach to the work described above. The consultant should modify the approach based on their understanding and the work and their previous experiences in similar efforts. The WFRC is interested in all approaches that can address its needs.

4. Outline significant opportunities/constraints, key issues regarding the project, and basic course of action.
5. A schedule to complete the project.
6. Submit SOQs electronically, in a pdf format. No hard copies are needed.

## Selection Process

The Selection Team will evaluate each submission based on the criteria below. The Selection Team will rank by "consensus" if needed. "Consensus" is defined as the willingness of all Team members to accept a decision reached through its collaborative process.

## Selection Criteria

1. Experience and Qualifications weighted 40%: Describe the qualifications and experience, including relevant project work, of key personnel on your proposed project team. A description of the firm's capabilities not linked to key personnel on your proposed project team will not be considered the same as demonstrated capability of the proposed project team in the submittal's scoring.
2. Project Approach weighted 40%: Describe basic approach to working with the agency in accomplishing the Project Description found in this Request for Qualifications. Outline significant opportunities/constraints, key issues regarding the project, and basic course of action.
3. Project Management weighted 20%: The statement of schedule, major milestones, and approach to management of the project will be reviewed along with the experience and reliability in performing and managing similar work in past projects. The plan for interaction throughout the project with technical and policy officials of the region will also be considered.

## Disqualification

### Late Submission

Any submittal received by the WFRC Procurement Agent after the deadline listed in this Request for Qualification Summary Information.

### Non-electronic Submission

Submit electronically a PDF file containing all of the sections to the WFRC Procurement Agent. Paper submission is not allowed.

***Submittals violating any of the above requirements will be considered non-responsive and will be disqualified by WFRC.***

WFRC reserves the sole right, without incurring any liability, to change any aspect of the proposed procurement described above, including the right to not proceed with the procurement and/or the right to proceed in a different manner or on a different timeline than as described herein.