



# Northwest Arctic Borough

P.O. Box 1110 Kotzebue, Alaska 99752  
(907) 442-2500 Fax (907) 442-2930  
[www.nwabor.org](http://www.nwabor.org)

## **REQUEST FOR PROPOSALS** **RFP NO. 20-05 Auditing Services**

### **SECTION I – ANNOUNCEMENT**

The Northwest Arctic Borough is requesting proposals for the award of a contract for auditing services to conduct the Borough's annual audit of financial statements. This Request for Proposals (RFP) details the overall scope of services desired, identifies specific qualifications, and desired skills. Responses to this RFP will be used to select and negotiate with a qualified contractor to provide the services described in this RFP. The Borough Assembly will approve the award of this contract based on the evaluation criteria identified in Section III of this RFP.

This RFP does not commit the Borough to enter into a contract, nor does it obligate the Borough to pay for any costs incurred in the preparation and submission of responses to this RFP. The Borough reserves the right at its sole discretion: to make selections, to reject any or all submissions, to issue subsequent RFPs, to remedy technical errors in the RFP process, and to enter into a contract for all or some of the services described in this RFP.

Proposals must be received by the Northwest Arctic Borough Clerk by 9:00 a.m., local time on Wednesday, April 1, 2020. Proposals should be delivered to the Borough as described in "Proposal Submission" in Section II of the RFP. Proposals will be opened publicly at 11:00 a.m. on Thursday April 2, 2020, or as soon thereafter as practicable. **Proposals received after the deadline will not be considered. FACSIMILE PROPOSALS WILL NOT BE ACCEPTED.**

RFP documents may be obtained from the office of the Borough Clerk by mail, email, at [www.nwabor.org](http://www.nwabor.org), or in person at the Borough offices in Kotzebue, Alaska or by calling the Stella Atoruk, Borough Clerk at (907) 442-2500. Questions about this RFP may be directed to Angie Sturm, Treasurer, at [asturm@nwabor.org](mailto:asturm@nwabor.org) or (907) 412-2103.

### **NORTHWEST ARCTIC BOROUGH**

Lucy S. Nelson., Mayor

Date

## SECTION II - INSTRUCTIONS TO PROPOSERS

### PROPOSAL PREPARATION

Proposal Format: Proposals must be typewritten or prepared in ink and must be attached to the form provided in Section IV of the Request for Proposals. Proposals must also include a completed “Local Bidder Certificate” found at Section IV of the RFP. No oral, telegraphic, telephone or facsimile proposals will be accepted.

Conformance to Proposal Requirements: Proposals must conform to the requirements of the RFP. All necessary attachments (residency statement, references, descriptive literature, etc.) must be submitted with the proposal. Proposal rates must be stated as indicated in the proposal. Failure to comply with all requirements of the RFP may result in proposal rejection.

Exceptions: Any deviation from proposal specifications, terms and conditions may result in proposal rejection.

Time of Completion: Contractor shall be able to complete the proposed services by December 31, 2020, unless extended by mutual agreement.

Signature on Proposal: An authorized representative of the proposer must sign proposals in ink. Signature on a proposal certifies that the proposal is made without collusion with any person, firm or corporation making a proposal for the same goods and/or services and is in all respects fair and without collusion or fraud. Signature on a proposal also certifies that the proposer has read and fully understands all proposal specifications, terms and conditions.

Proposal Modification: Modifications or erasures made before submitting a proposal must be initialed in ink by the person signing the proposal. Proposals, once submitted, may be modified in writing before the time and date set for proposal closing. Any modifications shall be prepared on the proposer’s letterhead, signed by an authorized representative, and state that the new document supersedes or modifies the prior proposal. Modifications must be submitted in a sealed envelope clearly marked "Proposal Modification" and identifying the proposal number and closing date. Proposers may not modify proposals after proposal closing time.

Proposal Withdrawals: Proposals may be withdrawn in writing on proposer’s letterhead signed by an authorized representative and received by the Borough Clerk prior to proposal closing time. Proposals may also be withdrawn in person before proposal closing time upon presentation of appropriate identification.

Protest of Proposal Specifications: A proposer who believes proposal specifications are unnecessarily restrictive or limit competition may submit a protest, in writing, to the Mayor. To be considered, protests must be received at least five (5) days before the

proposal closing date. Envelopes containing protests should be marked as follows:  
“RFP No. 20-05, Closing Date: 4/1/2020.”

Proposal Submission: Sealed proposals must be received and time-stamped by the Borough Clerk prior to proposal closing time. No proposal received after proposal closing time will be considered. To ensure proper identification and handling, all proposals must be submitted in a sealed envelope and clearly labeled “RFP 20-05 Response.” The Borough Clerk shall not be responsible for the proper identification and handling of any proposal not submitted in an envelope bearing the required proposal label.

Mail to:  
Borough Clerk  
Northwest Arctic Borough  
P. O. Box 1110  
Kotzebue, AK 99752

Proposal Opening: Proposals will be opened at the scheduled opening time in the Northwest Arctic Borough Assembly Chambers (unless otherwise specified), 163 Lagoon Street, Kotzebue, Alaska 99752. Proposers may be present; however, award decisions will not be made at the opening.

Evaluation Criteria: A contract will be awarded by the Borough Assembly based upon the evaluation criteria set forth in the Request for Proposal and on the recommendations received from the Evaluation Committee, consisting of the Borough Mayor, Treasurer, and Controller.

Award: The contract will be awarded to the proposer who, in the discretion of the Borough, offers the best combination of price and performance and meets all requirements of the specifications.

Proposal Rejection: The Borough reserves the right to reject any or all proposals.

Local Bidder Preference: “Local Bidders” are entitled to a 5% bid preference as described in the Northwest Arctic Borough Code (“NABC”) § 6.16.470, but a contract under this RFP will not be awarded on the basis of cost alone.

Payment: Invoices must be submitted along with activity reports and an itemized list of time and materials. Proposals that require payment in less than 30 days after receipt of invoice or delivery of services, whichever is later, may be rejected.

Proposal Results: Ordinarily, only a proposer who receives an award will be notified of proposal results; unsuccessful proposers will not be notified. Proposal files are public records and available for review at the Borough Clerk’s Office between 9:00 a.m. and 11:00 a.m. and 2:00 p.m. and 4:00 p.m. Monday through Friday.

Equal Opportunity: Proposals will receive fair and equitable consideration without regard to race, color, religion, sex, age, national origin, or handicap.

Contact: Direct questions regarding RFP requirements to:

Angie Sturm, Treasurer, in person or by mail at the Borough offices or by phone at (907) 412-2103, or [asturm@nwabor.org](mailto:asturm@nwabor.org).

### **SECTION III – EVALUATION CRITERIA**

The Borough's Evaluation Committee will evaluate the RFPs. The Committee will consider how well the proposal meets the Borough's requirements as described in the RFP. It is important that the responses be clear and complete to ensure that the Committee can adequately understand all aspects of the proposal.

#### **Primary Evaluation Criteria**

- Experience performing government auditing.
- Customer service and support (references, retention).
- General auditing and accounting experience performing similar tasks.
- Adherence to requirements for RFP preparation.
- Rate proposal.

#### **Minimum Criteria (no points)**

1. Certified public accounting firm.
2. At least two years of auditing, accounting, and financial management work experience.
3. Current business license
4. Two references.
5. Professional Liability Insurance \$1,000,000. Workers' Compensation insurance as required by law, and comprehensive general liability insurance (\$300,000 bodily injury and property damage).

#### **Criteria to be Scored and Weight**

1. Responsiveness of the written proposal to the purpose and scope of service (5 points).
2. Education and Training (15 points)
3. Contractor's experience performing similar work (30 points).
4. References (20 points).
5. Cost: Amount of proposed rate structure (30 points).

#### **Award:**

Proposals must demonstrate ability to provide services outlined in the "Scope of Services" and include all "Information Required" as described in Section VI of this RFP. If awarded, the contract will be awarded at the discretion of the Borough Assembly to the proposer who is judged to offer the best combination of price and performance, and to have met all specified qualifications. The Borough fully reserves the right to exercise subjective judgment in ranking proposals.

## SECTION IV - PROPOSAL SUBMISSION FORM

I, the undersigned, submit the following proposal for auditing and related services as further described in this Request for Proposals.

Proposer's Signature: \_\_\_\_\_

Proposer's Printed  
Name: \_\_\_\_\_

Company Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Phone: \_\_\_\_\_

Fax Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

Business License  
Number: \_\_\_\_\_

Federal Tax ID Number  
(EIN): \_\_\_\_\_

DUNS Number: \_\_\_\_\_

## **SECTION V – LOCAL BIDDER CERTIFICATE**

“Local Bidder” Certification:

Yes, I certify that I am a “local bidder.” The Northwest Arctic Borough Code (“NABC”) § 6.16.470 describes the requirements to be considered a “local bidder.” Local bidders are eligible for a 5% preference in price consideration. Price consideration is not the sole criteria for awarding a contract under this RFP.

\_\_\_\_\_

No, I am not a “local bidder” as described in NABC § 6.16.470.

\_\_\_\_\_

## **SECTION VI - DETAILED SPECIFICATIONS**

The scope of services includes the following **minimum** specifications.

### **1.0 Scope of Services:**

The Northwest Arctic Borough is seeking a contractor to conduct an audit of its financial statements, and federal and state awards for the year ending June 30, 2020. This includes:

- The Auditor shall express an opinion on the fair presentation of the annual financial statements and include reasons for qualifying the opinion, disclaiming an opinion, or rendering an adverse opinion. The Independent Auditor shall audit all funds and account groups of NAB in accordance with Generally Accepted Auditing Standards (GAAS), applicable pronouncements of Governmental Accounting Standards Board (GASB) and pronouncements of the Financial Accounting Standards Board (FASB) applicable provisions of the U.S. Office of Management, pertaining to governmental entities and any specific standards required by Grantors of NAB.
- The audit shall result in the preparation of an audited financial report from the audited records of NAB with the Auditor's opinion of those records.
- The required audit reports will also be prepared for the Federal and State single audits.
- NAB intends to prepare the reports themselves and provide to the auditors, but a provision should be included in the proposal for the contingency that NAB requests that the auditor assist in production the financial reports.
- Preparation of the annual 990 return for Sulianich Association, a Borough-supported 501(c)(3) entity.

This list is not exhaustive, and actual duties will differ in the ordinary course of business.

### **2.0 Agreement Period**

The contract will be from July 1, 2020 through June 30, 2021. The Borough may offer the contractor a renewed contract following a performance evaluation.

### **3.0 Payment**

Payment shall be made upon monthly invoices itemizing services rendered and reimbursable expenses. Services should be billed on a prorated-hourly basis. The Borough will pay invoices submitted by the selected contractor on a monthly basis as stipulated in the professional services agreement. Prior to payment, invoices will be reviewed to determine if billing is reflective of actual agreed-upon project services and performance. Upon acceptance of the billing by the Borough Finance Department, the payment will be processed and submitted to the contractor.



#### **4.0 Review and Selection Process**

- 4.1 The Northwest Arctic Borough Evaluation Committee consists of the Borough Mayor, the Treasurer, and the Controller. The Borough reserves the right to modify the membership of the Evaluation Committee.
- 4.2 The Evaluation Committee will rank the proposals against the criteria in Section III of this RFP and submit its recommendation to the Assembly for approval and execution of a professional services agreement. The Assembly will award the contract in its sole discretion and judgment.
- 4.3 The Northwest Arctic Borough may reject any proposal not in compliance with all prescribed public bidding procedures and requirements in this RFP, and may reject any proposals upon a finding that it is in the Borough's interest to do so. The Borough also reserves the right to waive any informality in any proposal and to delete matters from proposals if not prohibited by law.

#### **5.0 Information Required**

Proposers must submit one (1) clearly marked "Original" and three (3) copies of their proposal. The Borough reserves the right to solicit additional information from applicants if the Borough deems such information is necessary during the evaluation process.

Responses to this RFP shall include the following components:

- 5.1 Name or business name, mailing address, telephone number, and email address.
- 5.2 Number of years in business or performing auditing and accounting services.
- 5.3 List of proposed personnel to be involved with this project, their education and/or experience related to the project, and the name of the individual who would be the Borough's primary contact.
- 5.4 Staff availability, considering the current and planned workload in order to perform the required services.
- 5.5 Specialized experience performing similar work.
- 5.6 Past record of performance regarding similar work.
- 5.7 Methodology.

- 5.8 A minimum of two (2) references. List contact name, address, phone number, fax number, and email address for each reference. *The Borough reserves the right to investigate the references and-past performance of any applicant with respect to its successful performance of similar projects, compliance with specifications and contractual obligations, completion of prior projects on time, and other factors related to the work of this project. The Borough is not limited to the references provided by the proposer.*
- 5.9 Include a copy of Alaska business license