





**Notice to Firms: Request for Qualification/Proposal (RFQ&P) No. 4313-2021**

**District:** SOUTH ORANGE COUNTY COMMUNITY COLLEGE DISTRICT  
**Project:** RFQ&P 4313-2021  
Independent Audit Services  
South Orange County Community College District  
**RFQ&P Deadline:** Friday, February 04, 2022  
12:00 PM  
**Email Address for  
Receipt of Proposals:** [purchasing-dept@socccd.edu](mailto:purchasing-dept@socccd.edu)

NOTICE IS HEREBY GIVEN that the South Orange County Community College District, of Orange 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.

There will be a mandatory pre-proposal meeting conducted via Zoom on Friday, December 10, 2021 at 10:00am. All RFQ&P Proposers shall confirm their attendance by email to: [purchasing-dept@socccd.edu](mailto:purchasing-dept@socccd.edu) by Thursday, December 9, 2021 at 5:00pm. The subject line should read: "RFQ&P 4313-2021 Pre-Proposal Meeting Confirmation." Physical presence is not required. A call-in number will be provided prior to the meeting day to those who confirm attendance. Any proposer that does not attend the entire conference and/or does not arrive on-time may be deemed non-responsive.

A complete Request for Qualifications and Proposals may be viewed online at [www.socccd.edu](http://www.socccd.edu) at the Bids link.

Any and all questions must be sent via email to [purchasing-dept@socccd.edu](mailto:purchasing-dept@socccd.edu). Firms shall reference RFQ&P # 4313-2021 in the email subject line. The final day for questions shall be Monday, December 6, 2021, no later than 5:00pm.

The District reserves the right to reject any or all submittals or to waive any irregularities and/or informalities in any proposals.

No proposer may withdraw any proposal for a period of one hundred and eighty (180) calendar days after the submission deadline.

Priya Jerome

Executive Director, Procurement, Central Services & Risk Management

PUBLISH: OC REGISTER 11/08/21 & 11/15/21

## RFQ&P No. 4313-2021 Independent Audit Services

### SCHEDULE

Date of Issue / Document Available	11/8/2021
Advertisement Dates	11/08/21 11/15/21
Publication	OC Register
Requests for Information (RFI)	12/6/2021
Mandatory Pre-Proposal Meeting	12/10/2021 10:00 AM
District Responds to RFI's	12/17/2021 End of Day
<b>Proposal Due Date:</b>	<b>Friday, February 04, 2022</b> <b>12:00 PM</b>
Interview/Presentations (if needed)	February 22, 2022 Zoom conference call information will be sent to shortlisted firms.
Contract Negotiations (if needed)	February 23 - March 2, 2022 All negotiations will take place via Zoom conference calls.
Anticipated Governing Board Approval	March 28, 2022

## **1. DISTRICT OVERVIEW**

South Orange County Community District encompasses 382 square miles in South Orange County serving over 909,000 residents in 26 communities. We know that higher education is directly linked to quality of life and economic vitality. We have helped generations of families achieve their educational and career goals since 1967.

This multi-college district is comprised of Saddleback College in the City of Mission Viejo (1967) and Irvine Valley College in the City of Irvine (1985), with a satellite location in the City of Tustin known as the Advanced Technology Education Park (2007).

The District is governed by a seven-member elected Board of Trustees and the District's chief executive officer is the Chancellor.

District Services provides centralized administrative services to our two colleges including: Chancellor and Trustee Services, Business Services, Technology and Learning Services, and Human Resources. These departments provide accounting, benefits, facilities planning, fiscal services, human resources, information technology, institutional research and planning, payroll, public affairs, procurement, contracting, risk management, and warehouse/mailroom services to our district.

The District continually assesses the effectiveness of its services through district-wide surveys, shared governance committees and task forces that are established to accomplish specific projects. Strategic planning is an essential tool for guiding our direction and assuring compliance with accreditation standards.

## 2. INSTRUCTIONS, INFORMATION AND GENERAL CONDITIONS

### PURPOSE OF RFQ&P

South Orange County Community College District (SOCCCD) is seeking to retain qualified firms to provide Independent Audit Services. The entirety of this RFQ&P 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 South Orange County Community College District, a political subdivision of the State of California.
- The term "**Proposers**" refers to Firms that elect to submit proposals for Independent 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 South Orange County Community College District.
- The term "**District-wide**" represents District Services (DS), Irvine Valley College (IVC), Saddleback Community College (SC), and the Advanced Technology Education Park (ATEP).
- The term "**Proposer**" shall be used to designate the rights and responsibilities of the successful firm responding to this RFQ&P.

### PROPOSAL QUESTIONS

All questions regarding this RFQ&P should be sent, via e-mail to Priya Jerome at [purchasing-dept@socccd.edu](mailto:purchasing-dept@socccd.edu).

Questions will only be accepted until 12/6/2021 no later than 5:00 PM. The e-mail subject line should read: "Your company name/Questions regarding RFQ&P No. 4313-2021." No direct responses will be sent to the company/firm asking the question. Questions will be answered in the form of an **Addendum** and sent to all potential respondents on/about 5:00PM on 12/17/2021. All addendums to this RFQ&P will be posted on the District's web site.

### PROPOSAL SUBMISSION

It shall be the responsibility of the Proposer to ensure that Proposals are received via email submission as follows:

#### Email Submission:

Proposals are to be submitted, via e-mail, to the Purchasing Department no later than **12:00 PM** on Friday, February 04, 2022. Submit Proposal to: [purchasing-dept@socccd.edu](mailto:purchasing-dept@socccd.edu) The Proposal must be emailed to the address above as an attachment in Word or PDF format and not exceed file size of 10MB. Proposals with documents exceeding 10MB in size should be saved to a smaller file size or split up and sent as separate emails. Subject line of e-mail containing submitted

proposal should include and read “name of your company/submittal for RFQ&P No. 4313-2021 (“Email 1 of XX” if more than one).”

Proposals submitted in response are to be labeled Form A, B, C etc. and be in the following order:

1. **Letter of Interest and Approach** – PROPOSAL FORM A
2. **Personnel and Staffing Resources** – PROPOSAL FORM B
3. **Related Experience and Methodology** – PROPOSAL FORM C
4. **Fee and Rate Proposal** – PROPOSAL FORM D
5. **General Terms and Conditions** – PROPOSAL FORM E
6. **References** –PROPOSAL FORM F
7. **Addenda Acknowledgement** – PROPOSAL FORM G
8. **Appendices**
  - A. Non-Collusion Declaration
  - B. Equal Opportunity Affirmative Action Statement
  - C. Firm’s Certification Regarding Worker’s Compensation
  - D. Firm’s Certification Regarding Certified Public Accountant Requirements
  - E. Sample Agreement
  - F. Submission Checklist

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

## **RIGHT TO REJECT**

This RFQ&P does not constitute a commitment by the District to award a contract. The District reserves the right to waive any irregularities and/or 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.

## **MODIFICATIONS TO PROPOSALS**

The proposal may be modified after its submission by written notice to the District of withdrawal and resubmission before the date and time specified for receipt of proposals. Modification will not be considered if offered in any other manner. No modifications will be allowed after the RFQ&P due date and time has passed.

## **PUBLIC RECORDS**

All materials submitted in response to the RFQ&P are deemed property of the District upon submission to the District. Responses to the RFQ&P and other materials submitted in connection therewith shall be deemed “public records” except for those marked or noted by a Respondent as “trade secrets” (as that term is defined and used in Civil Code §3426.1), “confidential” or “proprietary”. Financial statements are not subject to disclosure under the Public Records Act. The foregoing notwithstanding, the District may reject for non-responsiveness a Response to the RFQ&P which indiscriminately notes that the Response or portions thereof are “Trade Secret”, “Confidential”, or “Proprietary” and exempt from disclosure as a public record. Notwithstanding the designation of materials submitted in response to the RFQ&P as “public records” such materials shall not be subject to disclosure under the Public Records Act until after the District has issued a recommendation for award of the Independent Audit Services Agreement. The District is not liable or responsible for the disclosure of RFQ&P Responses, or portions thereof, deemed to be public records, including those records exempt from disclosure if disclosure is required by law, by an order of a court of competent jurisdiction, or which occurs through inadvertence, mistake, or negligence on the part of the District or its agents or representatives. If the District is required to defend or otherwise respond to any action or proceeding wherein request is made for the disclosure of the contents of any portion of a RFQ&P Response deemed exempt from disclosure hereunder, by submitting a RFQ&P Response, each Respondent agrees to defend, indemnify, and hold harmless the District in any action or proceeding from and against any liability, including without limitation attorneys’ fees arising therefrom. The party submitting materials sought by any other party shall be solely responsible for the cost and defense in any action or proceeding seeking to compel disclosure of such materials; the District’s sole involvement in any such action shall be that of a disinterested stakeholder, retaining the requested materials until otherwise ordered by a court of competent jurisdiction.

## **ORDINANCES, LAWS AND REGULATIONS**

The Proposer shall comply with all ordinances, laws, and regulations pertaining to the operation contemplated hereby, including, but not limited to, the California Workers' Compensation Act, the Federal Equal Employment Opportunities Act, and the Americans with Disabilities Act. The Proposer shall apply for, obtain, and maintain in force all permits and licenses required by the various agencies of Federal, State, and local government having jurisdiction over the Proposer operations. All operations and materials shall be in accordance with all applicable Federal, State, County and City laws, statutes, and requirements.

## **WITHDRAWAL OF PROPOSALS**

Any Proposer may withdraw their proposal by written request via e-mail to [purchasing-dept@socccd.edu](mailto:purchasing-dept@socccd.edu) 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&P No. 4313-2021.” 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&P.



## **IRREVOCABLE OFFER**

Proposals shall be considered irrevocable offers for a period of one hundred and eighty (180) 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&P, 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.

## **COMPLETION OF PROPOSALS**

Proposals shall be completed in all respects as required by the instructions herein. A proposal may be rejected if it is conditional or incomplete, or if it contains alterations of form or other irregularities of any kind. A proposal will be rejected if, in the opinion of the District, the information contained therein was intended to erroneously and fallaciously mislead the District in the evaluation of the proposal. Proposers are required to follow and adhere to the format as prescribed in this RFQ&P.

## **EXAMINATION OF CONTRACT DOCUMENTS**

Proposers shall thoroughly examine the contents of this RFQ&P. The failure or omission of any Proposer to receive or examine any contract document, form, instrument, addendum, or other document shall in no way relieve the firm from obligations with respect to this RFQ&P or to the contract to be awarded. The submission of a proposal shall be taken as prima facie evidence of compliance with this section.

If any ambiguity, conflict, discrepancy, omission, or other errors in the RFQ&P is discovered, then the Proposer shall notify the District of the error in writing and request modification or clarification of the document through the timelines and process identified in the Proposal Questions / Requests for Information (RFI) section of this RFQ&P. All requests for clarifications shall be sent to the attention of the Executive Director of Procurement, Central Services, and Risk Management by email at [purchasing-dept@socccd.edu](mailto:purchasing-dept@socccd.edu).

## **ERROR IN PROPOSAL**

Proposer shall be bound by the terms and conditions of the proposal. However, if material errors are found in a proposal, the District may notify the Proposer that the submitted proposal requires correction of the errors. The District reserves the right to request additional information and/or clarification to allow corrections of errors or omissions.

## **PROPOSER'S CONTINUING OBLIGATION**

Each Proposer is under a continuing obligation, commencing upon submission of its RFQ/P Response, to immediately notify the District, in writing, if it learns that any of the following have occurred: (i) any statement made in any portion of its RFQ/P Response was false, misleading, or omits material facts rendering any statement in its RFQ/P Response to be false or misleading; (ii) circumstances have occurred since the Proposer submitted its RFQ/P Response that, if they had occurred prior to the date that the Proposer submitted its RFQ/P Response, would have required

the disclosure of such circumstances; or (iii) the Proposer has undergone a change in ownership in which ownership of fifty percent (50%) of more of its stock, ownership equity, or assets has changed.

### **NO DISTRICT WARRANTY**

Proposers are solely responsible for confirmation of the suitability of any information provided by the District relating to this RFQ&P, including, estimates of costs, statements of needs or requirements, projections, and budgets. The District does not warrant the accuracy, sufficiency or completeness of such information.

### **INTERVIEWS**

The District intends to interview firms and has scheduled interviews on February 22, 2022 to be conducted via a Zoom conference call. Oral presentations will be evaluated and may be subjected to the selection criteria. The District requires the mandatory presence of 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.

### **AWARD WITHOUT DISCUSSION**

The District reserves the right to make an award without further discussion of the proposals received. Therefore, it is critical that all proposals submitted shall be in the most favorable terms possible, both economically and technically.

### **CONTRACT COMMENCEMENT/TERM**

It is the intent of the District to commence the resulting contract as soon as possible. Performance period for this contract is anticipated to be from March 29, 2022 through February, March 27, 2027. The term shall not exceed five (5) years. After award, contract is subject to cancellation with 30-days written notice by either party.

### **INDEPENDENT CONTRACTOR STATUS**

It is expressly understood that the firm named in any contract entered into by the District is acting as an "independent contractor" and not as an agent or employee of the District.

### **DISTRICT MODIFICATIONS TO PROPOSALS**

Any interpretation, modifications, correction, or change of this RFQ&P will be made by written Addendum and will be issued by the District and shall become part of the RFQ&P. Interpretations, corrections, or changes of this RFQ&P made in any other manner will not be binding, and Proposers shall not rely upon such interpretations, corrections, and changes. All Addenda issued to this RFQ&P will be posted to the District web site at [www.socccd.edu](http://www.socccd.edu) on the bids link. Addenda will also be e-mailed to all that are known to have received a copy of the RFQ&P. **Since failure to acknowledge any Addendum(s) may be cause for rejection, Proposers must return the addendum-completed acknowledgment(s) prior to or with the proposal. See Proposal Form G.**

## **NEGOTIATION**

District reserves the right to negotiate the final pricing and all other terms and conditions before award of contract.

## **AWARD OF CONTRACT**

It is anticipated that a contract will be awarded by the Board of Trustees at a regularly scheduled meeting on March 28, 2022. The award will be made to the responsive and responsible firm judged to offer the most advantages and deemed the best fit for the District. At the time of the formal award, the apparent successful firm shall 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.

## **FINAL CONTRACT**

The following documents are considered part of the final Agreement, in order of precedence:

- A. The final Agreement between the District and the Proposer;
- B. This RFQ&P as originally released, with Appendices and any addenda released prior to proposal opening.
- C. The Proposer's proposal in total, including all addenda and attachments;

All of the above documents are intended to cooperate and be complementary; provided further, however, that in the event of a conflict between the final Agreement and the provisions set forth in the above referenced documents and/or any other attachments or exhibits thereto (referred to as "referenced documents" for the purposes of this section), the Agreement shall control, unless the provisions set forth in any of the above "referenced documents" to this Agreement provide the District with greater benefits or more expansive services in which case such provisions set forth in any "referenced documents" shall compliment the terms of the Agreement. The intention of the documents is to include all labor, materials, equipment and transportation necessary for the proper delivery of all services called for in any contract which may arise as a result of this RFQ&P.

## **NON-COLLUSION DECLARATION**

Declarations are required to be completed by the Proposer declaring that the proposal is in all respects fair and without collusion or fraud. Please see Appendix A.

## **EQUAL OPPORTUNITY AFFIRMATIVE ACTION STATEMENT**

Proposer must accept and sign the Equal Opportunity and Affirmative Action Statement set forth in Appendix B.

## **PROHIBITED INTEREST**

No official of the District who is authorized in such capacity and on behalf of the District to take part in negotiations or to make, accept, or approve this contract, shall have direct or indirect financial interest in the award or any part thereof. Proposer shall receive no compensation hereunder should bidder aid, abet, or knowingly participate in violation of this article or breach or violation of this article, the District shall have the right to terminate the contract either in part

or in whole and any loss or damage sustained by the District in procuring the services on the open market which the Proposer agreed to perform, shall be borne and paid for by the Proposer.

### **QUALITY OF WORK**

The Proposer shall be responsible for the performance of all work as specified herein and shall guarantee that work will meet or exceed the specifications as set forth herein. If it is determined by the District that such services and/or materials do not meet requirements of the District, the Proposer shall be required to correct the same at their own expense.

### **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 them 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&P to be incompetent or unfit to perform their duties and so inform the Proposer, the Proposer shall immediately remove such person from this work and such individual shall not again, without prior written permission of the District, be assigned to work under this contract.

### **PROPOSER CONDUCT**

During the RFQ&P window (from release of this RFQ&P to final award), proposer is not permitted to contact any District employees, members of the evaluation committee, members of the Board of Trustees, or any consultant or professional retained by the District for the purpose of providing the District advice or professional services relating to the RFQ&P unless at the request of the District's designated contact person (Priya Jerome, Executive Director of Procurement, Central Services, & Risk Management) or to fulfill pre-existing contractual obligations. No gratuities of any kind will be accepted, including meals, gifts, or trips. Violation of these conditions may constitute immediate disqualification.

### **ACCESSIBILITY OF INFORMATION TECHNOLOGY**

Proposer hereby warrants that the Work to be provided under this Agreement complies with the accessibility requirements of Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C §794d), and its implementing regulations set forth at Title 36, Code of Federal Regulations, Part 1194. Products covered under this provision include, without limitation, the following: software applications; operating systems; web-based intranet and internet information and applications; telecommunications products; video or multimedia products; self-contained closed products such as copiers; source codes and desktop and portable computers. Proposer agrees to respond promptly and resolve any complaints regarding accessibility of its products or services that are brought to its attention. Proposer further agrees to indemnify and hold harmless the District from and against any claim arising out of Proposer's failure to comply with these requirements. Proposer acknowledges that failure to comply with these requirements shall constitute a breach and be grounds for termination of this agreement or cancellation of the order.

### 3. EVALUATION OF PROPOSALS

The proposals shall be primarily evaluated based upon qualifications of the firm and personnel, innovativeness, demonstrated knowledge, and estimated fees. Experience with California community college clients is desirable, but not absolutely required.

#### 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. The interview process may include members from the District's leadership in addition to select members of the screening committee.

Team members giving the presentation shall consist of those who will actually direct, execute, and complete the project. The firm or firms selected as first choice will be notified and asked to negotiate final terms of the contract. Contracts will be forwarded to the Board of Trustees for approval and authorization to proceed.

#### Content and Order of RFQ&P Response

Firm's proposal should be concise and contain the proposal form and sections as identified below. RFQ&P responses submitted in formats other than those prescribed in this RFQ&P document may be rejected at the sole discretion of the District. All sections identified below must be included for the RFQ&P response to be considered complete and must be divided into tabbed sections.

Proposal Form	Section Title	Points
A	Letter of Interest and Approach	10
B	Personnel and Staffing Resources	20
C	Related Experience and Methodology	40
D	Fee and Rate Proposal	30
	<b>Total</b>	<b>100</b>

	Points
<b>Interviews</b>	100

#### **4. SCOPE OF SERVICES – GENERAL INDEPENDENT AUDIT SERVICES**

Education Code, Section 84040, requires that community college districts provide for an annual audit of the books and accounts of the District and include all funds under the control or jurisdiction of the District. Thus, the scope of work shall be independent audit services of the general purpose financial statements, including all funds and Balance Sheet accounts, of the District.

The audit shall be conducted in accordance with generally accepted auditing standards, Governmental Auditing Standards issued by the Comptroller General of the United States and the provisions of Office of Management and Budget Circular A-133, "Audits of State and Local Governments, and Non-Profit Organizations", which involves obtaining an understanding of the internal control structure, including the control environment, the accounting system, and the control procedures established by management.

The District accounts for its financial transactions in accordance with the policies and procedures of the California Community Colleges Budget and Accounting Manual. Annual audits shall include reporting requirements prescribed by the California Community Colleges Contracted District Audit Manual, and shall conform to generally accepted auditing standards as specified in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance).

The accounts of the District are organized based on funds or account groups, each of which is considered a separate accounting entity. The District maintains thirteen funds, including the General Fund (unrestricted and restricted), Community Education Funds for each college, Child Development Fund for Saddleback College, Capital Outlay Fund, Self-Insurance Fund, Retiree Benefit Fund, OPEB Trust Fund, Pension Stabilization Fund, Student Financial Aid Fund, Associated Student Government Funds for each college, and Student Representation Fee Fund. The operations of each fund are accounted for by providing a separate set of self-balancing accounts, which comprise its assets, liabilities, fund balance, income and expenditures. Bookstore and food service operations are contracted out with the revenue flowing to the General and Associated Student Government Funds for the colleges.

The basis of accounting generally requires the utilization of the modified accrual basis of accounting, wherein expenditures are recorded at the time of payment and income is recorded when received in cash, except for fiscal year-end when all goods and services received and revenue earned are accrued to reflect appropriate expenditures and income of the current year. This information will need to be converted to full accrual at year-end in accordance with GASB 34/35 for financial reporting purposes, and conform to any subsequent changes to reporting requirements as adopted by GASB during the term of the agreement.

Qualified employees are covered under contributory retirement plans maintained by agencies of the State of California State Teachers' Retirement System (STRS) for academic employees and

Public Employees Retirement System (PERS) for classified employees. District contributions to these plans are currently paid or accrued based upon qualified employees' salaries.

The long-term portion of accumulated vacation and sick-leave benefits are not recorded as liabilities on the books of the District; the current portion of the vacation liability is accrued and reflected on the books of the District.

The District belongs to various Joint Power Authorities for workers' compensation insurance, property and liability insurance, and employee benefits. The risk pools are operated separately and are independently accountable for their fiscal matters.

The District maintains for all eligible employees and retirees, a GASB 43 & 45 compliant Irrevocable Trust for the specific purpose of holding funds in various long-term investments for future payment of various previously committed Other Post Employment Benefits (OPEB). The District also maintains a Pension Stabilization Trust established to pre-fund statutory increases to PERS and STRS.

The District is primarily financed by property taxes and enrollment fees; however, apportionments are received from the state for specially-funded projects and categorical programs. The District uses the services of the County of Orange for the assessment and collection of taxes. District taxes are collected at the same time and on the same tax rolls as are county, city, and special district taxes.

The District has a Board of Trustees Audit Sub-Committee comprised of three members of the Board of Trustees. It is the District's expectation for the audit firm to meet with the Audit Sub-Committee in the spring to kick-off the audit and to present a final draft of the District and related auxiliary organization audit reports to the Audit Sub-Committee annually at its October meeting.

## **NATURE OF SERVICES REQUIRED**

1. Audit of the District's basic financial statements, federal and state compliance testing, and review of supplementary information.
  - a. Preparation of the accompanying notes to financial statements.
  - b. Provide assistance in preparing year-end adjustments needed for GASB compliant reporting format.
2. Provide general guidance on GASB Statements and California Community College accounting related issues.
3. Provide general guidance on FASB Statements and any other regulatory body applicable to the Foundations and ATEP Facilities Corporation.
4. Audit of and preparation of the Federal and State tax returns for the Irvine Valley College Foundation

5. Audit of and preparation of the Federal and State tax returns for the Saddleback College Foundation.
6. Review of and preparation of the Federal and State tax returns for the Foundation for South Orange County Community College District.
7. Audit of and preparation of the Federal and State tax returns for the ATEP Facilities Corporation. Currently the ATEP Facilities Corporation has no activity, we anticipate that activity may commence beginning in FY 2023/24
8. Preparation and submission to the Federal Audit Clearinghouse (FAC) Internet Data Entry System (IDES)
9. Attendance at Board of Trustees Audit Sub-Committee semi-annual meetings and Board of Trustees meeting annually to present audit timing and plan, and final audit reports.

#### **ASSISTANCE AVAILABLE TO PROPOSER**

1. The audits for the recent fiscal years were completed by CliftonLarsonAllen (CLA) LLP and are available for review at the District's Business Services Office or on the District's website at: [http://www.socccd.edu/businessservices/bs\\_fiscal\\_audit.html](http://www.socccd.edu/businessservices/bs_fiscal_audit.html). Previous audit work papers are available for inspection upon request.
2. The District's Business Services staff can prepare schedules, reproduce documents, pull documents, etc.
3. The District will provide parking permits and a work area for the auditors and staff, which is located near the records to be audited.
4. Access to the District's ERP system, Workday, will be provided to audit staff to be able to complete work remotely.

#### **EXIT CONFERENCE REQUIREMENTS**

The District will require an audit exit conference with the Vice Chancellor of Business Services, Executive Director of Fiscal Services, Internal Auditor, and other staff as appropriate. The auditing firm will be expected to provide progress reports to the Internal Auditor and Executive Director of Fiscal Services throughout the audit cycle and meet with Vice Chancellor of Business Services and Executive Director of Fiscal Services at least two (2) times during the year to review audit issues and the final audit reports.

Finally, the District will expect the audit firm to provide an entrance presentation prior to the start of each year's audit in March of each year and comprehensive review of the final draft audit report in October of each year to the Board of Trustees Audit Sub-Committee, along with a brief presentation to the full Board of Trustees in November of each year.

#### **REPORT REQUIRED**

One electronic document of each report in Portable Document Format (PDF) is required, as well as up to 50 hard copies of each audit report, as requested by the District.



## **AUDIT SERVICE TIME REQUIREMENTS**

Audit field work can be performed each year between the approximate dates below, or at dates agreed to with the District:

1. Interim work prior to closing accounts: April 1st – June 1st
2. Enrollment Services & Financial Aid: May 1st – June 15th
3. Post-closing work: September 1st – September 30th
4. Preliminary draft reports completion and exit conference no later than October 15 annually to coincide with deadline for October Board of Trustees Audit Sub-Committee review
5. Final report submission each year to coincide with deadlines for November Board of Trustees agenda, typically by November 5
6. Final report presentation to full Board of Trustees will be in November each year

## **5. OPTIONAL SCOPE OF SERVICES – GRAMM-LEACH BLILEY ACT (GLBA) & PCI DSS**

In addition to the Scope of Services for General Independent Audit Services identified above in Section 4 of this RFQ&P, firms shall provide the following:

1. GLBA review of the District information technology infrastructure and controls:
  - a. Assessment of the District and college's information technology controls as it relates to the GLBA in accordance with Federal Regulation 16 C.F.R. Part 314.
2. Attestation of compliance with PCI DSS standards annually for the District:
  - a. Attestation of compliance with PCI DSS standards must be completed annually in accordance with the Statement of Standards for Consulting Services issued by the American Institute of Certified Public Accountants and covers the District's sole processor and seven (7) gateways. The average total number of transactions annually through all gateways puts the District as a level 3 merchant.

**NOTE:** Firms are required to propose the Gramm-Leach Bliley Act (GLBA) & PCI DSS audit services above, however these services are considered optional to the District. The District reserves the right to separately award the Optional Services to a different firm than that chosen to provide the General Independent Audit Services.

**PROPOSAL FORM A**  
**LETTER OF INTEREST AND APPROACH**  
**(1 Page Limit for Letter of Interest)**  
**(1 Page Limit for Cover Letter)**  
**(No Page Limit for Proposer Firm Information)**

**Letter of Interest and Approach**

The RFQ&P 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 audit firm including qualifications for providing the requested services.

1. Describe what is unique about the audit firm as it relates to these services.

**Cover Letter to District in addition to the Proposer's narrative must include all of the information noted below in a letter format.**

The individual who is authorized to bind Audit Services for the Development of a District Independent Audit Services Proposal (hence, "Proposer") contractually must sign the cover letter, must indicate the signatory is so authorized, and must indicate the title or position of the signatory. **An unsigned cover letter shall cause the proposal to be rejected.** The cover letter must contain a statement from the Proposer that acknowledges that all documents submitted pursuant to this request for proposal process will become a matter of public record. The letter must contain the following:

- The Proposer's name, address, e-mail, telephone, and facsimile number.
- The Proposer's Federal Employer Identification Number and Corporate Identification Number, if applicable.
- The name, title, or position, and telephone number of the individual signing the cover letter and statement signatory is authorized to bind the firm.
- 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.
- Provide all the named people who will actually perform the work when the service begins.
- A statement to the effect that the proposal is a firm and irrevocable offer, good for one hundred and eighty (180) days. **Please complete Proposal Form A through G and Appendices A through F as part of your RFQ&P response.**
- A statement expressing the Proposer's willingness to perform the services as described in this RFQ&P.
- A statement indicating that all forms, certificates and compliance requirements included in this RFQ&P are completed and duly submitted in the proposal response.
- A statement that there is no conflict of interest. Use Proposal Form E.
- A statement expressing the Proposer's availability of staff and other required resources for performing all services and providing all deliverables within the specified time frames as described in the RFQ&P.

- A statement attesting that the Proposer is not on the federal list of current companies or individuals that have been declared ineligible to receive Federal contracts due to a violation of Executive Order 11246, as amended; Section 503 of the Rehabilitation Act of 1973, as amended 29 U.S.C. Section 793; and/or the Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended, 38 U.S.C. Section 4212.
- Please indicate if the firm is a small, minority, women, and/or disabled veteran business enterprise by providing a copy of the current certification.

**Proposer Firm Information**

- Type of Firm:  
Corporation: \_\_\_\_\_ Proprietorship: \_\_\_\_\_ Partnership: \_\_\_\_\_  
Joint Venture: \_\_\_\_\_ Other (please describe): \_\_\_\_\_
- Business License Number: \_\_\_\_\_
- Number of years in business under firm name: \_\_\_\_\_
- Has the firm changed its name within the past 3 years?  
YES  NO   
If yes, provide former name(s): \_\_\_\_\_
- Have there been any recent (within the last three years) changes in control/ownership of the firm?  
YES  NO   
If yes, explain. \_\_\_\_\_
- Have officers or principals of the firm ever had their business license suspended or revoked for any reason?  
YES  NO   
If yes, please explain. \_\_\_\_\_
- Does the firm have an acceptable history of working proactively to avoid litigation?  
YES  NO   
If no, please provide specific information on termination for default, litigation settled or judgments entered within the last five (5) years. \_\_\_\_\_

- Within the past five (5) years, have one or more contract(s) to provide services to which the Proposer was a party to have been terminated for default of the Proposer officers or principals of the firm?

YES  NO

If yes, please explain. \_\_\_\_\_

**PROPOSAL FORM B**  
**PERSONNEL AND STAFFING RESOURCES**  
**(1 Page Limit Per Resume)**

Submit resumes for each team member including sub-consultants proposed to provide service to the District including specific qualifications and recent related experience providing similar services. **List the proposed staff's current and anticipated availability during the contract period.** 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. Resumes should include the Executive or person(s) providing oversight of the team, if applicable.
3. Identify person/s 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 community college 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. Link each named person with the specific tasks, responsibilities, and deliverables.
6. If more than one person is named as a candidate for a specific role, include above information for all listed persons.

**PROPOSAL FORM C**  
**RELATED EXPERIENCE AND METHODOLOGY**  
**(8 Page Limit)**

1. Provide a summary of the Firm's experience in relation to the services contemplated in this RFQ&P.
2. Describe in detail 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 Community Colleges and the experience of the staff assigned.
4. Identify any special services typically provided by the firm that are not listed in the Scope of Services. Ensure that pricing for these services are included in Proposal Form E.
5. Indicate the firm's proximity to the District and availability to accomplish the work.
6. List other engagements in which team members were involved. Indicate whether services were completed by firm or by a team member when employed by another firm.
7. Name and state the number of public entity clients served within the past 5 years.

**PROPOSAL FORM D  
 FEE AND RATE PROPOSAL**

All fees and rates shall include fully burdened hourly fees and rates for each title/individual proposed for the work. All fees and rates shall include all labor, materials, overhead and profit (OH&P), and other direct and indirect costs including incidental travel. 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 fees accordingly using the tables below. Fees shall be firm and fixed. Actual contract rates and fees will be subject to negotiation prior to issuance of any agreement.

**1. Hourly Billable Rates for General Independent Audit Services**

Team Member Title	Hourly Billable Rate FY 21/22	Hourly Billable Rate FY 22/23	Hourly Billable Rate FY 23/24	Hourly Billable Rate FY 24/25	Hourly Billable Rate FY 25/26
Partners	\$	\$	\$	\$	\$
Senior Managers	\$	\$	\$	\$	\$
Managers	\$	\$	\$	\$	\$
Supervisors	\$	\$	\$	\$	\$
Senior Auditors	\$	\$	\$	\$	\$
Staff Auditors	\$	\$	\$	\$	\$
Clerical Staff	\$	\$	\$	\$	\$
Consultants	\$	\$	\$	\$	\$
Other	\$	\$	\$	\$	\$

**2. Not to Exceed (NTE) Annual Fees for General Independent Audit Services**

NTE Fee will be on a lump sum basis. Provide the anticipated number of hours required to complete with work and the calculated NTE fee in the table below for General Independent Audit Services. Such NTE fees shall include all costs and expenses of performing audit services including all reports and bound and unbound copies of the final Audit Report for the District and auxiliary organizations, auxiliary tax returns, and copies of the Audit Report to be filed with the appropriate agencies.

Team Member Title	NTE Fee FY 21/22	NTE Fee FY 22/23	NTE Fee FY 23/24	NTE Fee FY 24/25	NTE Fee FY 25/26
District Audit Inc. Data Collection Form Preparation & Submittal	# Hrs	# Hrs	# Hrs	# Hrs	# Hrs
	\$	\$	\$	\$	\$
Foundation for the District (Review)	# Hrs	# Hrs	# Hrs	# Hrs	# Hrs
	\$	\$	\$	\$	\$
IVC Foundation (Audit)	# Hrs	# Hrs	# Hrs	# Hrs	# Hrs
	\$	\$	\$	\$	\$
SC Foundation (Audit)	# Hrs	# Hrs	# Hrs	# Hrs	# Hrs
	\$	\$	\$	\$	\$
ATEP Facilities Corporation (Audit)	# Hrs	# Hrs	# Hrs	# Hrs	# Hrs
	\$	\$	\$	\$	\$
<b>TOTAL NTE ANNUAL FEES - GENERAL INDEPENDENT AUDIT SERVICES</b>	\$	\$	\$	\$	\$



It is understood and agreed that the NTE Annual Fees proposed above are the maximum fees allowed to perform General Independent Audit Services and are subject to a corresponding reduction in the event that the actual cost of the audit services proves to be less.

**3. Hourly Billable Rates for Optional Audit Services – GLBA and PCI DSS**

Team Member Title	Hourly Billable Rate FY 21/22	Hourly Billable Rate FY 22/23	Hourly Billable Rate FY 23/24	Hourly Billable Rate FY 24/25	Hourly Billable Rate FY 25/26
Partners	\$	\$	\$	\$	\$
Senior Managers	\$	\$	\$	\$	\$
Managers	\$	\$	\$	\$	\$
Senior Information Security Analysts	\$	\$	\$	\$	\$
Staff Information Security Analysts	\$	\$	\$	\$	\$
Clerical Staff	\$	\$	\$	\$	\$
Consultants	\$	\$	\$	\$	\$
Other	\$	\$	\$	\$	\$

**4. Not to Exceed (NTE) Annual Fees for Optional Audit Services – GLBA and PCI DSS**

NTE Fee will be on a lump sum basis. Provide the anticipated number of hours required to complete with work and the calculated NTE fee in the table below for GLBA and PCI DSS audit services. Such NTE fees shall include all costs and expenses of performing audit services for GLBA review and attestation of compliance with PCI DSS standards.

Team Member Title	NTE Fee FY 21/22	NTE Fee FY 22/23	NTE Fee FY 23/24	NTE Fee FY 24/25	NTE Fee FY 25/26
GLBA Review	# Hrs	# Hrs	# Hrs	# Hrs	# Hrs
	\$	\$	\$	\$	\$
Attestation of Compliance with PCI DSS Standards	# Hrs	# Hrs	# Hrs	# Hrs	# Hrs
	\$	\$	\$	\$	\$
<b>TOTAL NTE ANNUAL FEES OPTIONAL AUDIT SERVICES GLBA &amp; PCI DSS</b>	\$	\$	\$	\$	\$

It is understood and agreed that the NTE Annual Fees proposed above are the maximum fees allowed to perform Optional Audit Services – GLBA and PCI DSS and are subject to a corresponding reduction in the event that the actual cost of the audit services proves to be less.

## PROPOSAL FORM E GENERAL TERMS AND CONDITIONS

**Offer Held Firm:** The Proposer agrees that it will not withdraw its offer for a period of *one hundred and eighty (180)* calendar days from the opening date.

**Right to Reject and Final Agreement:** The Proposer understands that the District reserves the right to reject any or all proposals and to waive any irregularities and/or informalities in the evaluation of proposals. Contingent to evaluation of proposals received, the District reserves the discretion to alter, modify, change, include or reduce the RFQ&P scope and pursuant to these changes and the successful negotiations with the Proposers, establish the final agreement.

**Bidder Certification:** The Proposer certifies that this bid is made without previous understanding, agreement or connection with any person, firm, or corporation making a bid on the same services, and is in all respects fair and "without collusion or fraud."

**Execution of a Contract:** If awarded a contract, the Proposer agrees to execute a contract in accordance with this Proposal and the District's Instructions for Submittal of Proposals, Information for Proposers, General Conditions, and Service Requirements immediately upon receipt of written notice of acceptance of the Proposal by the District.

**Assumption of Contract:** The Proposer agrees to assume operations under the contract after the Board approval of contract and within ten (10) calendar days following the District's notification to proceed.

**Exceptions to Specifications:** In submitting a proposal, the Proposer affirms acceptance of the complete Conditions, Specifications, and Requirements associated with the District's RFQ&P document, unless otherwise stipulated. Any variances or exceptions which the Proposer wishes to note with respect to any of the Conditions, Specifications, or any District Service Requirements are to be stated herein or in an attachment to the RFQ&P submittal which is to be titled "Exceptions."

**Conflicts of Interest:** All Proposers must disclose the name of any Board of Trustees member, officer, director, or agent who is an employee of the South Orange County Community College District, which includes any District employee. Further all Proposers must disclose the name of any District or District employee, or Board of Trustees member, who has, directly or indirectly, any financial interests in the Proposer's firm or any of its branches. Submit this information on an attachment to the proposal which is titled "Conflict of Interest" and include the person's name, interest or position, and percent of ownership, if applicable.

**Required Submittals:** The Proposer's detailed responses to the District's specifications and evaluation criteria must accompany this Proposal.

**District's Right to Award:** The signer hereby acknowledges that the District reserves the right to make the award to the Proposer which the District judges to have submitted the proposal most favorable to the District, with the District being the sole judge thereof.

**Legally Binding:** It is further certified that the person whose signature appears below is legally empowered to bind the company in whose name the proposal is entered and declares under penalty of perjury under California law that the firm's proposal response to this RFQ&P is true and correct.

**Litigation History:** List all related litigation in the last five (5) years filed by either an owner, owner's consultant, or contractor, against the firm.

SUBMITTED BY:

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

Contact Person: \_\_\_\_\_

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

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

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

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

\_\_\_\_\_  
By: Signature (Manual)

\_\_\_\_\_  
By: Signature (Typed or Printed)

**PROPOSAL FORM F**  
**REFERENCES**

Each Proposer must be able to present both current and past evidence of satisfactory experience in providing services requested. List all four-year higher education and community college districts that you or your firm has contracted with in the last five (5) years. Include the name of the institution or district, contact person, email address and phone number of individuals who can evaluate work that has been completed by the auditor(s)/firm/team member(s) in the past five (5) years. The District has prioritized collegiality and collaboration, and assessing how consultant(s) will function within that culture will be a critical evaluation component.

**REFERENCES**

Name of Entity: \_\_\_\_\_

Contact Person: \_\_\_\_\_

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

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

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

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

Dates of Services: From: \_\_\_\_\_ To: \_\_\_\_\_

Types of Services Provided: \_\_\_\_\_



**APPENDIX A**  
**Non-Collusion Declaration**

**NON-COLLUSION DECLARATION**  
**TO BE EXECUTED BY PROPOSER AND SUBMITTED WITH PROPOSAL**

State of California            )  
  ) ss.  
County of \_\_\_\_\_)

\_\_\_\_\_, being first duly sworn, deposes and says that he or she is \_\_\_\_\_ of \_\_\_\_\_ the party making the foregoing proposal that the proposal is not made in the interest of, or on behalf of, any undisclosed person, Proposer, company, association, organization, or corporation; that the proposal is genuine and not collusive or sham; that the Proposer has not directly or indirectly induced or solicited any other Proposer to put in a false or sham proposal, and has not directly or indirectly colluded, conspired, connived, or agreed with any Proposer or anyone else to put in a sham proposal, or that anyone shall refrain from submitting a proposal; that the Proposer has not in any manner, directly or indirectly, sought by agreement, communication, or conference with anyone to fix the proposal price of the Proposer or any other Proposer, or to fix any overhead, profit, or cost element of the proposal price, or that of any other Proposer, or to secure any advantage against the public body awarding the contract of anyone interested in the proposed contract; that all statements contained in the proposal are true; and, further, that the Proposer has not, directly or indirectly, submitted his or her proposal price or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any corporation, Proposer, company association, organization, or to any member or agent thereof to effectuate a collusive or sham proposal.

I certify (or declare) under penalty of perjury that the foregoing is true and correct.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

**APPENDIX B**  
**Equal Opportunity Affirmative Action Statement**

**SOUTH ORANGE COUNTY COMMUNITY COLLEGE DISTRICT**  
**EQUAL OPPORTUNITY AFFIRMATIVE ACTION STATEMENT**

Proposer hereby certifies that in performing work or providing products for the District, there shall be no discrimination in its hiring or employment practices because of age, sex, race, color, ancestry, national origin, religious creed, physical handicap, medical condition, marital status, or sexual orientation, except as provided for in Section 12940 of the California Government Code. Proposer shall comply with applicable federal and California anti-discrimination laws, including but not limited to the California Fair Employment and Housing Act, beginning with Section 12900 of the California Government Code.

IN WITNESS WHEREOF, the undersigned has executed this Certificate of Non-Discrimination this \_\_\_\_\_ day of \_\_\_\_\_, 2018.

\_\_\_\_\_  
Name of individual, company or corporation

By: \_\_\_\_\_

Title: \_\_\_\_\_

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

\_\_\_\_\_  
City State Zip Code

**APPENDIX C**  
**Firm's Certification Regarding Worker's Compensation**

Labor Code Section 3700 in relevant part provides:

Every employer except the State shall secure the payment of compensation in one or more of the following ways:

- (a) By being insured against liability to pay compensation in one or more insurers duly authorized to write compensation insurance in this State.
- (b) By securing from the Director of Industrial Relations a certificate of consent to self-insure, which may be given upon furnishing proof satisfactory to the Director of Industrial Relations of ability to self-insure and to pay any compensation that may become due to his employees.

I am aware of the provisions of Section 3700 of the Labor Code which require every employer to be insured against liability for Workers' Compensation or to undertake self-insurance in accordance with the provisions of that code, and I will comply with such provisions before commencing the performance of the work of this contract.

\_\_\_\_\_  
Name of individual, company or corporation

By: \_\_\_\_\_

Title: \_\_\_\_\_

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

\_\_\_\_\_  
City State Zip Code

(In accordance with Article 5 (commencing at Section 1860), Chapter 1, Part 7, Division 2 of the Labor Code, the above certificate must be signed and filed with the awarding body prior to performing any work under this contract.)



**APPENDIX D**  
**Firm's Certification Regarding Certified Public Accountant Requirements**

**In addition to the certifications below, Firm shall attach proof of Certified Public Accountant (CPA) License and that said license is in good standing for the key team.**

Firm certifies, acknowledges, and accepts that the Firm/Auditor is a properly licensed certified public accountant in good standing with the American Institute of Certified Public Accountants and the California Society of Certified Public Accountants, which includes an independent peer review for quality control procedures.

Firm certifies, acknowledges, and accepts that the Firm/Auditor meets the independence standards of the GAO Standards for Audits of Governmental Organizations, Programs Activities, and Foundations.

Firm certifies, acknowledges, and accepts that the Firm/Auditor understands that the primary purpose of the examinations specified herein is to express an opinion on the financial statements and that such an examination is subject to the inherent risk that errors or irregularities may not be detected. If conditions are discovered which lead to the belief that material errors, defalcations, or other irregularities may exist or if any other circumstances are encountered that require extended services, the Firm/Auditor will promptly advise the District.

Firm certifies, acknowledges, and accepts that the Firm/Auditor shall, in accordance with auditing standards and other applicable guidelines and regulations, will select the necessary procedures to test compliance and to disclose non-compliance with specified laws, regulations, and contracts.

\_\_\_\_\_  
Name of individual, company or corporation

By: \_\_\_\_\_

Title: \_\_\_\_\_

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

\_\_\_\_\_  
City State Zip Code

**APPENDIX E**  
**Sample Agreement**  
**Independent Audit Services**

The Proposer shall thoroughly review the below Agreement. As part of the proposal submission, indicate in a separate Tab of the RFQ&P Response the Proposer's acceptance of all terms and conditions set forth in the Agreement. If there is any term or condition of the Agreement, which a Proposer requests to be modified, the Proposer must: (i) specifically identify such term or condition; and (ii) set forth the specific text of the modification requested for each such term or condition. Notwithstanding any requested modification to any term or condition of the Agreement, no such modifications are binding on the District or enforceable against the District unless the District affirmatively and specifically accepts any such requested modification. Any Proposer whose RFQ&P Response does not identify requested modifications to terms or conditions of the Agreement will be deemed to have agreed to all terms and conditions set forth therein; if awarded the Agreement, such Proposer must execute the Agreement in the form and content attached hereto subject only to elements of such Proposer's RFQ&P Response accepted by the District.

Proposer agrees to the Agreement's terms and conditions with no exceptions.

YES                       NO

If no, pursuant to the above instructions, submit all exceptions in a separate tab.

<p><b>APPENDIX F</b>  <b>Submission Checklist</b>                  South Orange County Community College District                  Independent Audit Services</p>
---

Item	Included in RFQ&P Response
Proposal Form A: Letter of Interest and Approach	
Proposal Form B: Personnel and Staffing Resources	
Proposal Form C: Related Experience and Methodology	
Proposal Form ED Fee and Rate Proposal	
Proposal Form E: General Terms and Conditions	
Proposal Form F: References	
Proposal Form G: Addenda Acknowledgement	
Appendix A: Non-Collusion Declaration	
Appendix B: Equal Opportunity Affirmative Action Statement	
Appendix C: Firm's Certification Regarding Workers' Compensation	
Appendix D: Firm's Certification Regarding Certified Public Accountant Requirements	
Appendix E: Sample Agreement for Independent Audit Services	Only notate changed/exceptions to the Sample Agreement pursuant to the instructions highlighted and identified in Appendix D.
Appendix F: Submission Checklist	