



The Southwest Ohio Region  
WORKFORCE INVESTMENT BOARD

**REQUEST FOR QUALIFICATIONS AND QUOTATIONS (RFQ) FOR ANNUAL  
INDEPENDENT AUDIT  
AND FEDERAL/STATE TAX AND OTHER RELATED SERVICES**

**Date Issued: July 1, 2016**

**Deadline: September 1, 2016, 3:00 p.m.**

**Bidders Conference: July 22, 2016, 10 a.m. at SWORWIB Offices**

The Southwest Ohio Region Workforce Investment Board invites you to submit a written proposal to provide Annual Independent Audit and Federal/State Tax and Other Related Services (State Charitable Solicitations, D&B Posting, etc.)

### **Background**

The Southwest Ohio Region Workforce Investment Board (SWORWIB) is a fifteen year old 501(c)3 non-profit entity in the state of Ohio under contract with Hamilton County and the City of Cincinnati to provide business leadership and oversight of the use of Workforce Innovation Opportunity Act (WIOA) dollars for the development, maintenance and improvement of the public workforce development system. The SWORWIB board is comprised of 57 members with 54% business representatives and the remaining public, nonprofit community and other partners. The SWORWIB is funded with federal (WIOA) dollars that are funneled through the State of Ohio to counties and municipalities that then subcontract through the Local Workforce Investment Area (LWIA) which, in this case, is Ohio Area #13, serving the City of Cincinnati and Hamilton County. The SWORWIB is the provider of WIOA programs in this LWIA. We have a One Stop Employment Center known as the OhioMeansJobs Center located at 1916 Central Parkway. The OhioMeansJobs Center facility is three full floors, 45,000 square-feet with an adjacent two-story parking structure. The SWORWIB has a lease with Hamilton County as part of a state based Memorandum of Understanding for multi-agency participation in facility costs which the SWORWIB negotiates and manages.

The SWORWIB is also funded with private and foundation resources. The SWORWIB operates on a fiscal year of July 1- June 30. The SWORWIB budget ranges between \$250,000-\$600,000 annually with additional special project funding and funds used to cover the operating and maintenance costs of the core facility at 1916 Central Parkway. On average, the SWORWIB issues 75 checks routinely for such services not including payroll related payments. Payroll and benefits are handled through an agreement with the Cincinnati USA Regional Chamber which serves as paymaster handling all aspects of these services with the exception of leave reconciliation. Human Resource services are provided by the Chamber agreement as part of the paymaster services. SWORWIB staff has access to a variety of benefits through this paymaster agreement including qualified health insurance and retirement plans which the SWORWIB manages through an ERISA partnership agreement with Fifth Third Bank.

The Cincinnati USA Regional Chamber of Commerce provided free office space to the SWORWIB from 2001-2014. As a result of their building merger with various economic development entities in 2014, the SWORWIB moved its offices to Scarlet Oaks Campus, 100 Scarlet Oaks Drive, Building 100, Room 102, Sharonville, Ohio 45241 while also retaining an office at the OhioMeansJobs Center in the West End/Over-the-Rhine area of Central Parkway. The SWORWIB has a lease with Hamilton County for 1916 that has been renewed to December 2020 and negotiates the MOU and manages the facility operations and repairs. The SWORWIB operates on a fiscal year of July 1-June 30 to mirror the federal program year of WIOA allocations. Consequently, the SWORWIB has a limited inventory to be maintained. All inventory purchases are charged in full to the county for reimbursement in the purchase year.

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Please quote on the following services and mail or deliver your hard copy response by 3:00 pm, September 1, 2016 to:

**Sherry Kelley Marshall, President/CEO  
SWORWIB  
100 Scarlet Oaks Drive, Room 102  
Cincinnati, Ohio, 45241  
513-612-3643**

Bid responses that are received after the deadline on the bid opening date will not be considered. All costs related to responding to this RFQ are not recoverable from the SWORWIB. Following the award of the contract and if mutually agreed to by both parties, this contract will be termed for a two year period and may then be extended for (3) additional one-year periods. The price will remain unchanged for the first two years of this contract. Pricing for the remaining 3<sup>rd</sup>, 4<sup>th</sup>, and 5<sup>th</sup> years should be submitted at time of this bid. In no instance shall the pricing of the extended years exceed 5% of the original quote.

**REQUISITIONED SERVICES INCLUDED IN THIS REQUEST FOR QUOTATION:**

The service being requisitioned in this Request for Qualifications and Quotations is a standard contract for services related to the auditing and tax and other related service needs of the Southwest Ohio Region Workforce Investment Board. The Southwest Ohio Region Workforce Investment Board requires contracted services for the following:

- Examination in accordance with generally accepted auditing standards (GAAS) and generally accepted accounting principles (GAAP), with the objective of issuing an opinion in accordance with the 12/26/2014 OMB Uniform Guidance and any update.
- Preparation of appropriate review and summary materials.
- Preparation of a report on compliance and internal control over financial reporting based on the audited financial statements performed in accordance with government auditing standards.
- Completion of the federal information return, Form 990 for relevant fiscal year.
- Completion of the annual filing for the State of Ohio Charitable Trust in alignment with the IRS 990 submission.
- A133 audit requirements for years where the SWORWIB meets the threshold. **Please bid separately for A133 costs in the event the threshold is met.**
- Presentation of the draft annual audit to the December Executive Committee, comprised of officers, and has the audit committee responsibility.

**Proposal Format:**

The proposal format has been prepared to facilitate the submissions. Proposers are required to include the signed Quotation and Certification Forms on page 2.

The following Proposal Content Outline should be used to include all of the following:

- Signed Bid Form (page 2)
- Signed Certification Form (page 2)
- Qualifications of personnel who will undertake the work identified in this quotation response. A short biography and resume will suffice.
- Description of non-profit experience with firm demonstration of a history of successful service similar to this proposed engagement for services.
- The successful proposal must demonstrate sufficient capacity and depth of personnel to provide these services on a timely and consistent basis.
- Plan of action for undertaking the work identified.
- At least two local non-profit references.
- Please provide an itemized fee schedule for the first two years and each subsequent year up to three years to simplify proposal analysis.

The quotation proposal must address all portions of the above outline and may be amended prior to the negotiated contract with a selected provider. SWORWIB reserves the right to request clarification or correction to proposals, to reject any and all proposals, or to cancel the RFP in its entirety at its sole discretion. SWORWIB does not obligate

itself to accept the lowest bid or any other proposal. Proposals which do not meet the general instructions will be considered "non-responsive" and will be rejected. Submissions will be reviewed by the SWORWIB Executive Committee. Only the selected proposal will be contacted.

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Firm Name: \_\_\_\_\_

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

Quotation Amount: Year 1 & 2 \_\_\_\_\_ Date \_\_\_\_\_

Quotation Amount: Year 3 \_\_\_\_\_ Year 4 \_\_\_\_\_ Year 5 \_\_\_\_\_

**Certification of Vendor**

*Please fill out and return with your quotation (REQUIRED).*

**CERTIFICATION OF BID QUOTATION AND/OR VENDOR**

I certify this bid/quotation is not made in connection with any other bidder submitting a bid for the same commodity(s) and this bid is in all other respects fair and without collusion, fraud or conflict of interest.

I additionally certify, by affixing by signature below and submission of this bid/quotation, or proposal, that neither I nor my principals are presently disbarred, suspended, proposed for disbarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal or State department or agency.

I hereby certify and verify that the establishment/facility/individual business person making this bid/quotation does not discriminate on the basis of sex, race, color, religion, ancestry, national origin or disability.

Concerning the certifications above, if you are unable to certify to any of the statements in this certification an explanation must be attached to your bid/quotation, proposal or vendor application.

Name: \_\_\_\_\_  
Authorized Signature (required) \_\_\_\_\_ Date \_\_\_\_\_

Printed Name/ Title \_\_\_\_\_