



The Southwest Ohio Region
WORKFORCE INVESTMENT BOARD

**REQUEST FOR QUALIFICATIONS AND QUOTATIONS (RFQ)
FOR
ANNUAL INDEPENDENT FISCAL AUDIT SERVICES**

Date Issued: May 23, 2022

Bidders Conference: June 10, 2022 at 10:00AM via Webex (virtual); RSVP required to participate by June 6, 2022 to admin@sworwib.org

Deadline for Bids/Proposals: June 21, 2022 by 3:00PM to admin@sworwib.org

Effective Contract Date: September 1, 2022

Summary

The Southwest Ohio Region Workforce Investment Board invites you to submit a written proposal to provide **Annual Independent Fiscal Audit Services**, including Federal/State Tax Filing, and Other Related Services (State Charitable Solicitations, D&B/SAM posting, etc.). Minority-owned and women-owned businesses encouraged to apply.

Background

The Southwest Ohio Region Workforce Investment Board (SWORWIB) is a 501(c) (3) non-profit organization, working through an intergovernmental agreement with Hamilton County and the City of Cincinnati, to provide business leadership and oversight of the Workforce Innovation Opportunity Act (WIOA) and public workforce development system. That system is known locally as OhioMeansJobs (OMJ).

The SWORWIB board is comprised of approximately 50 members, with at least 51% business representation and the remaining representatives from economic development, education, labor, and elected officials. The SWORWIB is funded with federal WIOA dollars, passed through the State of Ohio, to the Local Workforce Development Area (LWDA), which, in this case, is Ohio Area #13, serving the City of Cincinnati and Hamilton County. The SWORWIB oversees the OMJ system, including a career center located in downtown Cincinnati. The OMJ Career Center facility features 45,000 square-feet of office space, with an adjacent two-story parking structure and back-lot space. The SWORWIB has an active Memorandum of Understanding (MOU) with multiple organizations to cover facility costs at the OMJ Center, which the SWORWIB negotiates and manages. The SWORWIB also has a lease agreement with Hamilton County for the OMJ Center facility through December 2025, and manages the facility operations and repairs.

The organization operates on a July-June state fiscal year cycle. The Hamilton County Job and Family Services functions as the SWORWIB's Fiscal Agent for all WIOA program

funding/allocations. The SWORWIB Board budget (featuring an administrative and operational portion of the WIOA funding) ranges between \$400,000-700,000 annually, with additional special project funding used to cover the operating and maintenance costs of the OMJ facility. As such, the SWORWIB operates via a cost-reimbursement process, where monthly invoicing is submitted to Hamilton County to cover required monthly expenses/operational costs. The SWORWIB has a limited inventory to be maintained. Inventory purchases are charged in full to the county for reimbursement in the purchase year.

On average, the SWORWIB issues 75-100 checks routinely to cover monthly vendor costs, not including payroll-related payments. Human Resources, onboarding, payroll, and benefits are handled through a service agreement with the Cincinnati USA Regional Chamber, which serves as paymaster, handling all aspects of these services, with the exception of leave reconciliation. The 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.

The SWORWIB Headquarters are based at the Great Oaks-Scarlet Oaks Campus, located at 100 Scarlet Oaks Drive, Room 134, Cincinnati, Ohio, 45241. SWORWIB also retains an office at the OhioMeansJobs (OMJ) Center, located at 1916 Central Parkway, Cincinnati, OH.

Requested Services in this RFQ:

The items 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 services beginning September 1, 2022:

- 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 most recent OMB Uniform Guidance and any update; including an onsite audit review during the week of October 3, 2022.
- 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 registration/trust in alignment with the IRS 990 submission.
- Completion of any necessary compliance/transition from Dun & Bradstreet's DUNS to the new UEI that is issued within the System for Award Management (SAM), as applicable/appropriate
- Any other audit requirements for years where the SWORWIB meets the threshold; please bid separately for A133 costs in the event the threshold is met.

- Provision of guidance on any changes, adjustments, additions, or updates in state or federal auditing requirements and/or related laws
- Presentation of the draft Annual Audit Report/Materials and other related documents at the Board's Executive Committee meeting (comprised of Board Officers), occurring the second Thursday of December
- Final Audit Report/Materials will subsequently be made available by *January 31st* in advance of the Board's Annual Meeting, taking place on second Thursday of February

Instructions for Proposal/Bid Submission:

Bids/proposals are due to admin@sworwib.org by 3:00PM on **June 21, 2022**.

Bid responses that are received after the deadline 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 three additional one-year periods, up to a grand total of five years. The price will remain unchanged for the first two years of this contract. Pricing for the remaining 3rd, 4th, and 5th years should be submitted at time of this bid.

Proposal Format:

The following Proposal Content Outline must be utilized/followed when submitting a proposal:

- Description of how your entity will undertake the requested services
- *Completed* Certification of Vendor/Quotation Amounts for years 1-5 (page 4)
- Signed Certification Form (page 4)
- 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
- 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 in extensions, 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 the selected provider. The 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 Team and/or Board Officer. **Only the selected proposal will be contacted.**

Quotation and Certification of Vendor

Please complete and include with your quotation (REQUIRED).

REQUEST FOR QUALIFICATIONS AND QUOTATIONS FOR ANNUAL INDEPENDENT AUDIT AND FEDERAL/STATE TAX RELATED SERVICES

Firm/Company Name: _____

Signature: _____ Title: _____

Quotation Amount: Year 1 & 2: _____ Date: _____

Quotation Amount: Year 3 _____ Year 4 _____ Year 5 _____

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 company/establishment/individual making this bid/quotation does not discriminate on the basis of race, color, religion (creed), gender, gender expression, age, national origin (ancestry), disability, marital status, sexual orientation, or military status, in any of its activities or operations

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

Print Name/Title: _____