



Procurement Management Department
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Posted Date: March 9, 2020

Solicitation No.: RFP200070BAG

Solicitation Name: Financial Auditor

Subject: Addendum Number 1

The following represents clarification, additions, deletions, and/or modifications to the above referenced bid. This addendum shall hereafter be regarded as part of the solicitation. Items not referenced herein remain unchanged, including the response date. Words, phrases or sentences with a strikethrough represent deletions to the original solicitation. Underlined words and bolded, phrases or sentences represent additions to the original solicitation.

1. REVISIONS:

a. Pages 16 through 38 of the original package have been deleted in their entirety and shall be considered replaced with Addendum 1 pages 16-42 attached to this addendum.

2. ATTACHMENTS:

- a. Pages 16-42
- b. **CliftonLarsenAllen, LLP Contract 6933**
- c. **Tuscan & Company, P.A Contract 6932**

3. CLARIFICATIONS:

a. DELETION: Page 9, Section 25.1 of the Terms and Conditions

~~25.1 The selection shall be by a Selection Committee consisting of staff representatives from the appropriate County Departments as approved by the Procurement Management Director or designee.~~

4. QUESTIONS/ANSWERS

1.	<p>GENERAL SCOPE OF WORK</p> <p>1.1. Lee County Board of County Commissioners, further referred to as the “County”, seeks to contract with a certified public accounting firm, further referred to as the “Vendor”, to provide financial auditing services for the County and its associated Constitutional Offices as defined by the Lee County Charter (Sheriff, Tax Collector, Property Appraiser Clerk of the Circuit Court, and Supervisor of Elections). Such services for the County shall extend to the County special districts, redevelopment agencies created by the County, as well as County tourist development councils and County tourism promotion agencies.</p> <p>The scope of work above includes the Sheriff, Tax Collector, Property Appraiser, Clerk of the Circuit Court, and Supervisor of Elections however the Independent Auditor on Page 14 of the Fiscal Year 2018 Comprehensive Annual Financial Report indicated that they did not audit the financial statements of the Lee County Property Appraiser, the Lee County Sheriff, the Lee County Supervisor of Elections and the Lee County Tax Collector. Has the scope of work changed from fiscal year 2018? Who audited the Sheriff, Tax Collector, Property Appraiser, Clerk of the Circuit Court, and Supervisor of Elections?</p>
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Answer	Some reports are available under the Lee Clerk of Courts website https://www.leeclerk.org/departments/finance/financial-reports. Please review updated Scope of Work on pages attached herein.
2.	What were the fees paid for the fiscal year 2018 audit for the scope of work as defined on page 17 of the RFP dated February 21, 2020, 1. General Scope of Work, 1.1? What is the contracted fee for the fiscal year 2019 audit for the same scope of work?
Answer	Executed contracts for prior fiscal years are attached and made part of this addendum.
3.	<p>From the RFP page 9:</p> <p>25. RFP – EVALUATION/ SELECTION COMMITTEE</p> <p>25.1. The selection shall be by a Selection Committee consisting of staff representatives from the appropriate County Departments as approved by the Procurement Management Director or designee.</p> <p>It appears the Evaluation Committee will be made up of “staff representatives” approved by the Procurement Management Director or designee. Florida Statute was amended last year related to auditor selection. Section 218.391, Florida Statutes (2019). In part that amendment reads:</p> <p>(2) The governing body of a county, municipality, special district, district school board, charter school, or charter technical career center shall establish an auditor selection committee.</p> <p>(a) The auditor selection committee for a county must consist of each of the county officers elected pursuant to the county charter or s. 1(d), Art. VIII of the State Constitution, or their respective designees and one member of the board of county commissioners or its designee.</p> <p>(c) An employee, a chief executive officer, or a chief financial officer of the county, municipality, special district, district school board, charter school, or charter technical career center may not serve as a member of an auditor selection committee established under this subsection; however, an employee, a chief executive officer, or a chief financial officer of the county, municipality, special district, district school board, charter school, or charter technical career center may serve in an advisory capacity.</p> <p>Are employees serving on the auditor selection committee? Are employees voting members of the auditor selection committee or just serving in an advisory capacity? Has the governing body established the auditor selection committee?</p>
Answer	Please see revised special conditions. Yes, an auditor selection committee following Florida Statute 218.391 has been established.
4.	Please provide a copy of the current CliftonLarsonAllen LLP auditing contract.
Answer	The contract has been provided as an attachment to this addendum.
5.	Please complete the table below with respect to applications used for the County and each Constitutional Officer. Please add additional systems:
Answer	Please refer to Page 19-20 Supplemental information for software and system information.

6.	List of Items, Schedule of Requirements, Scope of Work, Terms of Reference, Bill of Materials required.
Answer	All information is enclosed in our solicitation package and associated addendum for this project.
7.	Soft Copy of the Tender Document through email.
Answer	All documents are available for download on the www.leegov.com/procurement website under the project.
8.	Names of countries that will be eligible to participate in this tender.
Answer	There is no restriction to vendor company origin.
9.	Information about the Tendering Procedure and Guidelines
Answer	All information is enclosed in our solicitation package and associated addendum for this project.
10.	Estimated Budget for this Purchase
Answer	Please see Terms and Conditions article 14.3.
11.	Any Extension of Bidding Deadline?
Answer	No extension is anticipated for this project.
12.	Any Addendum or Pre Bid meeting Minutes?
Answer	No pre-bid is scheduled at this time. Any addendum that is issued will be posted to the www.leegov.com/procurement website.
13.	The 10 page limit. I assume that includes: Cover letter, firm info and scope of work/audit plan and tab 5, pricing page. I understand the bio's and forms don't count.
Answer	Please see updated Submittal Requirements & Evaluation Criteria included with this addendum per Work Group. Cover letter, forms, and resumes do not count towards the page limit.
14.	Question related to references below in yellow – are you looking for total hours or the beginning date of field work to the date of issue of the CAFR?
Answer	Please see updated Submittal Requirements & Evaluation Criteria included with this addendum per Work Group.
15.	Is the current auditor allowed to bid?
Answer	Yes, proposals are open to past or current incumbents.
16.	<p>What is driving the request for proposal?</p> <p>Company Relevant Experience & Reference</p> <p>- Provide details of a maximum of three (3) clients, government preferred, similar in scope and size to that being requested through this solicitation that your firm has completed recently. Details for each project example provided should include:</p> <ul style="list-style-type: none"> o Client Name o Project Address o Client Name o Client Contact Information • Point of contact Name, Phone, and Email o Brief description of work provided. o Initial costs of work o Final costs of work

	<ul style="list-style-type: none"> o Number of change orders o Total completion time (From Notice to Proceed to Final Invoice payment)
Answer	Please refer to pages 17-20 for all detailed specifications and supplemental information that outlines the scope of work for this project.
17.	What were the audit fees paid for the audits of September 30, 2017, 2018, and 2019?
Answer	Please see attached past contracts held for these services.
18.	Are there any known changes in grant funding levels during September 30, 2020?
Answer	No current changes are known or expected.
19.	Are the current auditors permitted to respond to this request for proposal?
Answer	Yes, proposals are open to past or current incumbents.
20.	What is the time period in which interim and final fieldwork is generally performed? Is this still the most convenient time for you?
Answer	July is the preferred timeframe.
21.	How many auditors are generally onsite during fieldwork?
Answer	Vendor shall provide for sufficient staff to complete the scope of work. The amount of auditors on-site for fieldwork can vary from one to six depending on scope of services being provided.
22.	What were the audit fees for each of the last three fiscal years?
Answer	Please see attached past contracts held for these services.
23.	Are the current auditors allowed to respond to the RFP?
Answer	Yes, proposals are open to past or current incumbents.
24.	How long has the current auditor been performing this audit?
Answer	The current auditors were contract in 2014 under CN140300.
25.	In fiscal year 2019, were there any additional services provided by the current auditors? If so, what were they and what were the fees?
Answer	No known additional services were requested.
26.	Are there any material current events that will affect the ENTITY during the 9/30/20 fiscal year (lawsuits, debt issuances, changing software, new programs, loss/gain of major funding source...)?
Answer	No current changes are known or expected.
27.	Who will be the members of the audit selection committee?
Answer	The audit selection committee was selected following FL Statue 218.391.
28.	Do you accept e-signed forms?
Answer	Original forms are requested and original hardcopy package shall be submitted to the Procurement.
29.	The Notarization verbiage is outdated based on the Changes effective 1/1/2020. Do we put new verbiage on separate sheet for the forms requiring notarization?
Answer	Please see updated forms attached herein.

BIDDER/PROPOSER IS ADVISED, YOU ARE REQUIRED TO ACKNOWLEDGE RECEIPT OF THIS ADDENDUM WHEN SUBMITTING A BID/PROPOSAL. FAILURE TO COMPLY WITH THIS REQUIREMENT MAY RESULT IN THE BIDDER/PROPOSER BEING CONSIDERED NON-RESPONSIVE.

ALL OTHER TERMS AND CONDITIONS OF THE SOLICITATION DOCUMENTS ARE AND SHALL REMAIN THE SAME.

Brooke Green

Brooke Green
Procurement Analyst Direct Line: 239-533-8848
Lee County Procurement Management

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SPECIAL CONDITIONS

These are conditions that are in relation to this solicitation only and have not been included in the County's standard Terms and Conditions or the Scope of Work.

1. PROJECT TERM

1.1. The Vendor shall be responsible for furnishing and delivering to the Lee County requesting Department(s) the commodity or services on an "as needed basis" for a three-year (3) period. There may be an option to extend this contract as specified in the Scope of Work or specifications upon the approval of both the County and the successful bidder at the time of extension or renewal for three (3), additional one (1) year periods.

2. MASTER CONTRACT NOTICE

2.1. This is a "Master"/"Annual" contract, which is not for any specific project. Work to be performed under this contract will be authorized, scheduled, funded, and accounted for by the issuance of County Purchase Order (PO), by the requesting department. The requesting County department reserves the right to provide additional project clarification details with the issuance of and within or attached to each PO. Such items shall be minor in nature such as providing for service completion dates, delivery locations, delivery and working hours, number of units, etc...

3. DUAL CONTRACT NOTICE

3.1. It is the County's intent to allow for up to two contract/Vendor awards under this solicitation. Work may be divided as follows:

3.1.1. Work Group 1 – Board Of County Commissioners (BOCC), Clerk Of Courts, And Lee County Port Authority Audits- Details may be found within Detailed Specifications 2.4.1

3.1.2. Work Group 2 – Other Constitutional Offices (Sheriff, Tax Collector, Supervisor Of Elections, And Property Appraiser) Audits – Details may be found within Detailed Specifications 2.4.2

3.2. Vendor's shall submit a package for each Work Group they desire to hold a contract for. Each Work Group has a separate Submittal Requirements & Evaluation Criteria as well as Bid Schedule that shall be completed individually. Vendor must also provide for original forms within each package they submit. Vendor shall clearly indicate on exterior of package what Work Group the package pertains to. Separate seal envelopes are desired.

4. SELECTION CRITERIA

4.1. The selection Committee for this solicitation shall follow the regulations of [Florida Statute 218.391](#).

End of Special Conditions

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DETAILED SPECIFICATIONS

1. GENERAL SCOPE OF WORK

1.1. Lee County Board of County Commissioners, further referred to as the “County”, seeks to contract with a certified public accounting firm, further referred to as the “Vendor”, to provide financial auditing services for the County and its associated Constitutional Offices as defined by the Lee County Charter (Sheriff, Tax Collector, Property Appraiser Clerk of the Circuit Court, and Supervisor of Elections). Such services for the County shall extend to the County special districts, redevelopment agencies created by the County, as well as County tourist development councils and County tourism promotion agencies.

2. DETAILED DESCRIPTION OF SCOPE OF SERVICES

2.1. The Vendor, a certified public accounting firm, shall provide, via certified public accountant, both duly licensed pursuant to Florida Statute Chapter 473, financial audit services to include, but not be limited to: an examination of financial statements and documents in order to express an opinion on the fairness with which they are presented in conformity with generally accepted accounting principles and an examination to determine whether operations are properly conducted in accordance with legal and regulatory requirements.

2.2. Audit services provided by Vendor shall be conducted in accordance with auditing standards generally accepted in the United States and government audition standards.

2.3. Where applicable services must meet and encompass the additional activities necessary to establish compliance with the Single Audit Act Amendments of 1996, 31 U.S.C ss. 7501-7507, and other applicable federal law.

2.4. The Vendor shall ensure the following audit services and deliverables are meet per each branch of the County agency:

2.4.1 WORK GROUP 1: BOARD OF COUNTY COMMISSIONERS (BOCC), CLERK OF COURTS, AND LEE COUNTY PORT AUTHORITY AUDITS:

2.4.1.1 Independent Auditors’ Report on the basic financial statements of the COUNTY as a whole. This includes the governmental activities, business-type activities, aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the COUNTY.

2.4.1.2 Independent Auditors Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance With Government Auditing Standards.

2.4.1.3 Independent Auditor’s Management Letter as defined in Section 10.554(1)(i), Rules of the Auditor General and as required by Sections 218.39(4), 215.97(9)(f), and 215.97(10)(d), Florida Statutes, and Section 10.557(3)(f), Rules of the Auditor General for the COUNTY as a whole and for each county agency for which a separate audit was conducted. The draft of the management letter shall be discussed with key staff members before its issuance in final form.

2.4.1.4 Independent Auditors’ Report for the basic financial statements of the Lee County Port Authority.

2.4.1.5 Independent Accountants’ Report on Applying Agreed Upon Procedures to evaluate the COUNTY’s compliance with the financial test option included in the State of Florida Solid Waste Facility Financial Test as required by Rule 62-701.630(6), Florida Administration Code.

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- 2.4.1.6 Review of the Statement of County Funded Court-Related Functions, as required by Sections 29.008 and 29.0085, Florida Statutes.
- 2.4.1.8 Report of Independent Auditor on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance With Government Auditing Standards.
- 2.4.1.9 Report of Independent Auditors on Compliance with Requirements That Could Have a Direct and Material Effect on Each Major Program and on Internal Control Over Compliance in Accordance with OMB Circular A-133 and Chapter 10.550, Rules of the Florida Auditor General.
- 2.4.1.10 Schedule of Findings, Questioned Costs- Federal Awards Programs, and State Financial Assistance Projects.
- 2.4.1.11 Summary Schedule of Prior Audit Findings and Corrective Action Plan- Federal Awards Programs and State Financial Assistance projects.
- 2.4.1.12 Report of Independent Auditor on Compliance with Requirements That Could Have a Direct and Material Effect on the Passenger Facility Charge Program and Internal Control over Compliance in Accordance with the Passenger Facility Program Audit Guide.
- 2.4.1.13 Schedule of Findings and Questioned Costs- Passenger Facility Charge Program.
- 2.4.1.14 Summary of Prior Audit Findings and Corrective Action Plan- Passenger Facility Charge Program.
- 2.4.1.15 The financial statements for the Clerk of Court are prepared by the Clerk's General Accounting Office, Finance & Records Department.
- 2.4.2 **WORK GROUP 2: OTHER CONSTITUTIONAL OFFICES (SHERIFF, TAX COLLECTOR, SUPERVISOR OF ELECTIONS, AND PROPERTY APPRAISER) AUDITS:**
 - 2.4.2.1 Independent Auditors' Report of the financial statements for each constitutional office.
 - 2.4.2.2 Independent Auditors' Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Special-Purpose Financial Statements Performed in Accordance with Government Auditing Standards for each constitutional office.
 - 2.4.2.3 Independent Auditor's Management Letter as defined in Section 10.554(1)(i), Rules of the Auditor General and as required by Sections 218.39(4), 215.97(9)(f), and 215.97(10)(d), Florida Statutes, and Section 10.557(3)(f), Rules of the Auditor General for each constitutional office. The draft of the management letter is to be discussed with key staff members before its issuance in final form.
 - 2.4.2.4 Production of financial statements and accompanying footnotes for the Sheriff, Tax Collector, Supervisor of Elections, and Property Appraiser.

End of Detailed Specifications

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SUPPLEMENTAL INFORMATION APPLIES TO BOTH WORK GROUP 1 & 2, WHERE APPLICABLE.

1. COUNTY BACKGROUND & DUTIES

1.1. BACKGROUND:

1.1.1. The County is a political subdivision of the State of Florida; it is governed by an elected Board of County Commissioners. In addition to the members of the Board, there are five (5) elected Constitutional Offices: Sheriff, Tax Collector, Property Appraiser Clerk of the Circuit Court, and Supervisor of Elections. The Constitutional offices maintain separate accounting records and budgets.

1.1.2. Current and past financial reports of the County can be located on the Lee County Clerk of Circuit Courts website at: <https://www.leeclerk.org/records/financial-reports>

1.2. The composition of the County's funds is as follows (as of Fiscal Year Ended 2019):

1.2.1. Major Funds:

- 1.2.1.1. General
- 1.2.1.2. Port Authority
- 1.2.1.3. Water & Wastewater
- 1.2.1.4. Transportation Facilities
- 1.2.1.5. Solid Waste

1.2.2. Non-Major Funds:

- 1.2.2.1. Governmental Funds
- 1.2.2.2. Special Revenue- (21)
- 1.2.2.3. Debt Service- (5)
- 1.2.2.4. Capital Projects- (11)
- 1.2.2.5. Permanent- (0)
- 1.2.2.6. Enterprise Funds
- 1.2.2.7. Transit
- 1.2.2.8. Internal Service Funds- (5)
- 1.2.2.9. Fiduciary Funds – (7)

1.3. For the Fiscal Year Ended 2019, the County reported \$(155,785,242 in awards, \$37,286,988 in expenditures) in Federal Assistance, major and non-major grants, \$(103,075,427 in awards, \$29,362,158 in expenditures) State Financial Assistance and \$(332,311,924) of cumulative PFC revenues

1.4. All year end accrual (modified accrual and full accrual) entries are prepared by the Clerk of Court and County.

1.5. The Clerk of Courts prepares the complete financial statements for the Clerk of Courts, Port Authority standalone report, and the County's comprehensive annual financial report (CAFR).

1.6. The Clerk of Courts in conjunction with the County prepares the schedule of expenditures of federal awards as well as the complete single audit report.

1.7. Major federal and state programs in FY-19: (11) major federal CFDA programs consisting of (70) individual grants, (8) state CSFA programs consisting of (41) individual grants. The next external auditor(s) to determine major grants for FY20.

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- 1.8. The Clerk of Courts does not expect or need assistance to implement new GASB standards for the Clerk or County statements; however, we do communicate with the auditors to ensure that it is acceptable and that we are all on the same page. The four other constitutional offices (Sheriff, Tax Collector, Supervisor of Elections, and Property Appraiser) may need assistance if applicable.
- 1.9. The County and Clerk have many software programs that integrate with our financial software via interfaces including programs/software for: payroll; a court case management system/software; recording and official records software; value adjustment board; tax deeds; tourist tax; investment portfolio. The fixed asset management program is a module within our financial software.
- 1.10. There are approximately (38) cash and investment accounts for the County and Clerk.
- 1.11. For the Clerk and County all accounts are reconciled on a monthly basis but are not marked to market (FMV) except at year-end since we do not prepare monthly financial statements.
- 1.12. The external auditors will only be provided with electronic versions of all audit work papers and financial statements, including the CAFR. The external auditors will be given view only access to our financial system and document imaging system and will be responsible for retrieving all necessary invoices and journal entries.
- 1.13. Interim and year-end fieldwork is typically completed as follows: interim work in June and/or July and year-end November-January.
- 1.14. JD Edwards EnterpriseOne (E-1) is the financial software/system for the clerk of courts and the county, which is used to record revenues, pay vendors, record and maintain capital assets, and maintain the general ledger. The payroll is processed through a separate software, pds, which interfaces with E-1. OBIEE and BI reports are utilized for financial reporting.

2. DEADLINES

- 2.1. Deadlines to provide the audited statements of the constitutional offices and the clerk's opinion should be no later than December 7th of each year.
- 2.2. The following deadline dates will be imposed for work performed under this contract:
 - 2.2.1. Deliver the report of independent auditor with accompanying special purpose financial statements for the constitutional officers of the sheriff, tax collector, property appraiser, and supervisor of elections no later than December 5.
 - 2.2.2. Deliver the report of independent auditor for the Clerk of Courts' ("clerk") special-purpose financial statements no later than December 5.
 - 2.2.3. Deliver the report of independent auditor for the County's comprehensive annual financial report no later than February 28.
 - 2.2.4. Deliver the report of independent auditor for the Lee County Port Authority's component unit financial report no later than February 28.
 - 2.2.5. Deliver the statement of County-funded court-related functions and report of independent auditor no later than January 20.
 - 2.2.6. Deliver the independent accountant report on applying agreed upon procedures for the Lee County's Solid Waste facility financial test no later than March 20.

End of Supplemental Information

ADDENDUM 1

WORK GROUP 1: BOARD OF COUNTY COMMISSIONERS (BOCC), CLERK OF COURTS, AND LEE COUNTY PORT AUTHORITY AUDIT: SUBMITTAL REQUIREMENTS & EVALUATION CRITERIA

1. SUBMITTAL REQUIREMENTS & EVALUATION CRITERIA

- 1.1 Interested firms shall include the following information in their submittal responses to this solicitation. The following format and sequence should be followed in order to provide consistency in the firm's responses and to ensure each proposal receives full consideration. Use 8 ½ x 11 sheet pages only with minimum font size of 10 points and with tabs or section dividers to separate sections as defined below. More than one section is permitted on one page unless otherwise indicated below. Undesignated information shall be inserted at the rear of each package. Place page numbers at the bottom of every page, excluding dividers. Proposal documents should not contain links to other web pages; such links will not be reviewed for evaluation purposes.
- 1.2 Submittal package may not exceed **10 pages** printed single-sided; **page restriction excludes required forms found herein and dividers**. **PLEASE INCLUDE PAGE TABS/SECTION DIVIDERS** so that those evaluating your submittal can easily compare each section with others that are submitted. If any of the information provided by the Proposer is found to be, in the sole opinion of the Evaluation Committee and Procurement Management Director, substantially unreliable their proposal may be rejected.
- 1.3 Proposers shall submit one (1) original hard copy (clearly marked as such) and one (1) electronic version(s) on a USB flash drive set(s) containing the proposal submittal in an unlocked PDF format. The County may request specific files be submitted in specialty format (IE: Provide a Project Timeline in Excel format.) Vendor shall accommodate such specialty requests as stated within the submittal requirements describe herein. Should files not be provided in the format or quantity as requested Vendor may be deemed Non-Responsive and therefore ineligible for award. In case of any discrepancies, the original will be considered by the County in evaluating the Proposal, and the electronic version is provided for the County's administrative convenience only. Limit the color and number of images to avoid unmanageable file sizes.

Introduction

- Project RFP Number & Name (**Work Group 1**)
- Firm's Name & Address
- Firm's Contact Person & Information (phone, fax and email address)
- How many years has Proposer been in business under present name?
- Under what other former names has your organization operated?

Cover Page: Introduction does NOT count towards page restriction requested herein.

TAB 1: Qualifications of Company

- Provide a description of your Company; experience, and underlying philosophy in providing the services as described and requested herein. Description should include details such as: abilities, capacity, skill, strengths, number of years, etc...
- Provide copy of firm CPA
- Provide copy of lead individual CPA

TAB 2: Company Relevant Experience & Reference

- Provide details of a maximum of three (3) clients, government preferred, similar in scope and size to that being requested under **Work Group 1** through this solicitation that your firm has completed recently. Details for each project example provided should include:
 - Client Name
 - Project Address

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- Client Name
 - Client Contact Information
 - Point of contact Name, Phone, and Email
 - Brief description of work provided.
 - Initial costs of work
 - Final costs of work
 - Number of change orders
 - Total completion time (From Notice to Proceed to Final Invoice payment)/ Total Hours Billed
- Provide a statement of understanding that your Company recognizes the County reserves the right to evaluate the proposing Company on their past performance and prior dealings with Lee County (i.e., failure to meet specifications, poor workmanship, late delivery, etc.) as part of their experience criteria.

TAB 3: Plan of Approach

- Provide a detailed Plan of Approach that explains how your Company intends to comply with and meet the anticipated deliverables as detailed within this solicitation, **as it pertains to Work Group 1.**
- Plan of Approach should include specific details to how your Firm intends to coordinate and communicate effectively with the various key staff members that are involved in the information gathering, findings, reports, etc associated with this Agreement.
 - Additionally, the Plan of Approach should include details to how your Firm intends to ensure the County meets the state requirements of Florida Statutes and other regulations such as Florida Statutes 218.31, 218.32, 218.33, 218.39, 218.391, 11.45, Senate Bill 7014 that dictate the audit requirements of the County and the services to be provided by your Firm.

TAB 4: Personnel

- Provide a detailed description of the Company's **specific** project management team that will be assigned to the Lee County contract. Identify the roles and responsibilities of the primary team members as they pertain/apply to the Project Approach and include details that demonstrate individual's knowledge and understanding of the types of services to be performed as well as previous experience in similar or related work.
- Firm must identify staff member that will serve as the lead auditor (licensed CPA) that shall be authorized and responsible to act on behalf of the Consultant with respect to directing, coordinating and administering all aspects of the services to be provided and performed.
- Provide a statement acknowledging your Company's understanding that the project management team/key team members assigned to the Lee County contract, as described above, shall not be substituted without the expressed permission of Lee County.
- Provide resumes of proposed **specific** project management team to be assigned to the Lee County contract.
**Resumes are not included within page restrictions, but should be limited to one (1) page per person. **

TAB 5: Price Scoring: (Work Group 1)

- The Proposer with the lowest Project Total (Years 1-6) shall be awarded the maximum score as listed in the scoring criteria section. All other proposals shall be scored according to the following formula: (Lowest Price Proposal/ Proposer's Price Proposal) x Maximum points. Score For example, the maximum score available for price is 25. If the lowest proposed Price Proposal is \$150,000.00 that Proposer will receive the full 25 points. Another Proposer with a Price Proposal

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of \$160,000.00 will receive points calculated as follows: $\$ 150,000.00 / \$160,000.00 = .9375 * 25 = 23.44$ points

- The County reserves the right to negotiate pricing with the Firm/Vendor as a condition of award and at the sole discretion of the County.

TAB 6: Required Forms

- Forms 1- 8

2. SCORING CRITERIA & WEIGHT

CRITERIA	CRITERIA DESCRIPTION	MAX. POINTS AVAILABLE
1	QUALIFICATIONS OF COMPANY (TAB 1)	20
2	COMPANY RELEVANT EXPERIENCE & REFERENCE (TAB 2)	20
3	PLAN OF APPROACH (TAB 3)	30
4	PERSONNEL (TAB 4)	20
5	PRICE SCORING (TAB 5)	10
TOTAL POINTS		100
*Additional details and documents found within submittal package, although not located within tabs as listed above, may be reviewed and considered by evaluation committee when scoring Proposers.		

3. RFP SUBMISSION SCHEDULE

Submission Description	Date(s)	Time
Advertise Request for Proposal (RFP)	Friday, February 21, 2020	N/A
Pre-Proposal Meeting	N/A	N/A
Proposal Question Deadline	8 Calendar days prior to submission deadline	Prior to 5:00 PM
Submission Deadline	Monday, March 23, 2020	Prior to 2:30 PM
First Committee Meeting Short list discussion	Thursday, April 9, 2020	1:00 PM *
Notify Shortlist Selection via e-mail (If Required)	Monday, April 13, 2020	N/A
Final Scoring/Selection Meeting (If Required)	Thursday, April 23, 2020	1:00 PM *
Commission Meeting	Tuesday, June 16, 2020	9:30 AM
Additional notes on Submission Schedule: <ul style="list-style-type: none"> • <i>Submission Schedule is provided as a guideline only and is subject to change at the discretion of Lee County authorized personnel.</i> • <i>Changes in closing date or other parameters may occur and will be posted to the Lee County Procurement website. It shall be the responsibility of Contractor to verify all dates through County website.</i> <p><i>Unless otherwise stated, location of all openings and meetings will take place at 2115 Second Street, 1st Floor, Fort Myers, FL 33901 – 4th Floor Procurement Management.</i></p>		

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WORK GROUP 2: OTHER CONSTITUTIONAL OFFICES (SHERIFF, TAX COLLECTOR, SUPERVISOR OF ELECTIONS, AND PROPERTY APPRAISER) AUDITS SUBMITTAL REQUIREMENTS & EVALUATION CRITERIA

3. SUBMITTAL REQUIREMENTS & EVALUATION CRITERIA

- 1.4 Interested firms shall include the following information in their submittal responses to this solicitation. The following format and sequence should be followed in order to provide consistency in the firm's responses and to ensure each proposal receives full consideration. Use 8 ½ x 11 sheet pages only with minimum font size of 10 points and with tabs or section dividers to separate sections as defined below. More than one section is permitted on one page unless otherwise indicated below. Undesignated information shall be inserted at the rear of each package. Place page numbers at the bottom of every page, excluding dividers. Proposal documents should not contain links to other web pages; such links will not be reviewed for evaluation purposes.
- 1.5 Submittal package may not exceed **10 pages** printed single-sided; **page restriction excludes required forms found herein and dividers**. **PLEASE INCLUDE PAGE TABS/SECTION DIVIDERS** so that those evaluating your submittal can easily compare each section with others that are submitted. If any of the information provided by the Proposer is found to be, in the sole opinion of the Evaluation Committee and Procurement Management Director, substantially unreliable their proposal may be rejected.
- 1.6 Proposers shall submit one (1) original hard copy (clearly marked as such) and one (1) electronic version(s) on a USB flash drive set(s) containing the proposal submittal in an unlocked PDF format. The County may request specific files be submitted in specialty format (IE: Provide a Project Timeline in Excel format.) Vendor shall accommodate such specialty requests as stated within the submittal requirements describe herein. Should files not be provided in the format or quantity as requested Vendor may be deemed Non-Responsive and therefore ineligible for award. In case of any discrepancies, the original will be considered by the County in evaluating the Proposal, and the electronic version is provided for the County's administrative convenience only. Limit the color and number of images to avoid unmanageable file sizes.

Introduction

- Project RFP Number & Name (**Work Group 2**)
- Firm's Name & Address
- Firm's Contact Person & Information (phone, fax and email address)
- How many years has Proposer been in business under present name?
- Under what other former names has your organization operated?

Cover Page: Introduction does NOT count towards page restriction requested herein.

TAB 1: Qualifications of Company

- Provide a description of your Company; experience, and underlying philosophy in providing the services as described and requested herein. Description should include details such as: abilities, capacity, skill, strengths, number of years, etc...
- Provide copy of firm CPA
- Provide copy of lead individual CPA

TAB 2: Company Relevant Experience & Reference

- Provide details of a maximum of three (3) clients, government preferred, similar in scope and size to that being requested under **Work Group 2** through this solicitation that your firm has completed recently. Details for each project example provided should include:
 - Client Name
 - Project Address
 - Client Name

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- Client Contact Information
 - Point of contact Name, Phone, and Email
 - Brief description of work provided.
 - Initial costs of work
 - Final costs of work
 - Number of change orders
 - Total completion time (From Notice to Proceed to Final Invoice payment)/ Total Hours Billed
- Provide a statement of understanding that your Company recognizes the County reserves the right to evaluate the proposing Company on their past performance and prior dealings with Lee County (i.e., failure to meet specifications, poor workmanship, late delivery, etc.) as part of their experience criteria.

TAB 3: Plan of Approach

- Provide a detailed Plan of Approach that explains how your Company intends to comply with and meet the anticipated deliverables as detailed within this solicitation, **as it pertains to Work Group 2.**
- Plan of Approach should include specific details to how your Firm intends to coordinate and communicate effectively with the various key staff members that are involved in the information gathering, findings, reports, etc associated with this Agreement.
 - Please keep in mind this shall be coordinating with four (4) constitutional offices (sheriff, tax collector, supervisor of elections, and property appraiser) to provide Independent Auditors' Report and prepare the financial statements for each constitutional office.
 - Additionally, the Plan of Approach should include details to how your Firm intends to ensure the County meets the state requirements of Florida Statutes and other regulations such as Florida Statutes 218.31, 218.32, 218.33, 218.39, 218.391, 11.45, Senate Bill 7014 that dictate the audit requirements of the County and the services to be provided by your Firm.

TAB 4: Personnel

- Provide a detailed description of the Company's **specific** project management team that will be assigned to the Lee County contract. Identify the roles and responsibilities of the primary team members as they pertain/apply to the Project Approach and include details that demonstrate individual's knowledge and understanding of the types of services to be performed as well as previous experience in similar or related work.
- Firm must identify staff member that will serve as the lead auditor (licensed CPA) that shall be authorized and responsible to act on behalf of the Consultant with respect to directing, coordinating and administering all aspects of the services to be provided and performed.
- Provide a statement acknowledging your Company's understanding that the project management team/key team members assigned to the Lee County contract, as described above, shall not be substituted without the expressed permission of Lee County.
- Provide resumes of proposed **specific** project management team to be assigned to the Lee County contract.
**Resumes are not included within page restrictions, but should be limited to one (1) page per person. **

TAB 5: Price Scoring: (Work Group 2)

- The Proposer with the lowest Project Total (Years 1-6) shall be awarded the maximum score as listed in the scoring criteria section. All other proposals shall be scored according to the following

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formula: (Lowest Price Proposal/ Proposer's Price Proposal) x Maximum points. Score For example, the maximum score available for price is 25. If the lowest proposed Price Proposal is \$150,000.00 that Proposer will receive the full 25 points. Another Proposer with a Price Proposal of \$160,000.00 will receive points calculated as follows: $\$ 150,000.00 / \$160,000.00 = .9375 * 25 = 23.44$ points

- The County reserves the right to negotiate pricing with the Firm/Vendor as a condition of award and at the sole discretion of the County.

TAB 6: Required Forms

- Forms 1- 8

4. SCORING CRITERIA & WEIGHT

CRITERIA	CRITERIA DESCRIPTION	MAX. POINTS AVAILABLE
1	QUALIFICATIONS OF COMPANY (TAB 1)	20
2	COMPANY RELEVANT EXPERIENCE & REFERENCE (TAB 2)	20
3	PLAN OF APPROACH (TAB 3)	30
4	PERSONNEL (TAB 4)	20
5	PRICE SCORING (TAB 5)	10
TOTAL POINTS		100
*Additional details and documents found within submittal package, although not located within tabs as listed above, may be reviewed and considered by evaluation committee when scoring Proposers.		

4. RFP SUBMISSION SCHEDULE

Submission Description	Date(s)	Time
Advertise Request for Proposal (RFP)	Friday, February 21, 2020	N/A
Pre-Proposal Meeting	N/A	N/A
Proposal Question Deadline	8 Calendar days prior to submission deadline	Prior to 5:00 PM
Submission Deadline	Monday, March 23, 2020	Prior to 2:30 PM
First Committee Meeting Short list discussion	Thursday, April 9, 2020	1:00 PM *
Notify Shortlist Selection via e-mail (If Required)	Monday, April 13, 2020	N/A
Final Scoring/Selection Meeting (If Required)	Thursday, April 23, 2020	1:00 PM *
Commission Meeting	Tuesday, June 16, 2020	
Additional notes on Submission Schedule: <ul style="list-style-type: none"> • <i>Submission Schedule is provided as a guideline only and is subject to change at the discretion of Lee County authorized personnel.</i> • <i>Changes in closing date or other parameters may occur and will be posted to the Lee County Procurement website. It shall be the responsibility of Contractor to verify all dates through County website.</i> <i>Unless otherwise stated, location of all openings and meetings will take place at 2115 Second Street, 1st Floor, Fort Myers, FL 33901 – 4th Floor Procurement Management.</i>		

End of Submittal Requirements & Evaluation Criteria Section

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ORIGINALS ARE REQUESTED FOR EACH WORK GROUP PACKAGE SUBMITTED.

FORMS DESCRIPTION & INSTRUCTIONS **REQUEST FOR PROPOSAL (NON-CCNA)**

This table provides a brief list, description, and instructions regarding the standard requested forms that should be submitted with all bids or proposals. This is not intended to be an all-inclusive list of forms required for your submission, but rather a guide to assist in completion of the County's standard forms.

Form # **Title/Description**

1 ***Solicitation Response Form***

All signatures must be by a corporate authorized representative, witnessed, and corporate and/or notary seal (if applicable.) The corporate or mailing address must match the company information as it is listed on the Florida Department of State Division of Corporations. Attach a copy of the web-page(s) from <http://www.sunbiz.org> as certification of this required information. Sample attached for your reference.

Verify that all addenda and tax identification number have been provided.

1a ***Proposal Form***

This form is used to provide itemization of project cost. A more detailed "schedule of values" may be requested by the County

******* ***Business Relationship Disclosure Requirement (if Applicable)***

Sections 112.313(3) and 112.313(7), F.S., prohibit certain business relationships on the part of public officers and employees, their spouses, and their children. If this **disclosure is applicable, the Bidder must request the form** entitled "***INTEREST IN COMPETITIVE BID FOR PUBLIC BUSINESS***" (Required by § 112.313(12)(b), F.S.) to be completed and **returned with the Solicitation Response**. **It is the Bidder's responsibility to request the form and disclose this relationship; failure to do so may result in being declared non-responsive.**

NOTICE: UNDER THE PROVISIONS OF § 112.317, F.S., A FAILURE TO MAKE ANY REQUIRED DISCLOSURE CONSTITUTES GROUNDS FOR, AND MAY BE PUNISHED BY, ONE OR MORE OF THE FOLLOWING: IMPEACHMENT, REMOVAL OR SUSPENSION FROM OFFICE OR EMPLOYMENT, DEMOTION, REDUCTION IN SALARY, REPRIMAND, OR A CIVIL PENALTY NOT TO EXCEED \$10,000.00.

2 ***Affidavit Certification Immigration Laws***

Form is acknowledgement that the proposer is in compliance in regard to Immigration Laws.

3 Provide this form to reference respondents. This form **will be turned in with the proposal** package.

1. **Section 1:** Bidder/Proposer to complete with reference respondent's information prior to providing to them for their response. (This is **not** the Bidder/Proposer's information.)
2. **Section 2:** Enter the name of the Bidder/Proposer; provide the project information in which the reference respondent is to provide a response.
3. The reference respondent should complete "**Section 3.**"
4. **Section 4:** The reference respondent to print and sign name
5. **Three (3) Reference responses** are to be **returned with the proposal package**.
6. Failure to obtain reference surveys may make your company non-responsive.

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ORIGINALS ARE REQUESTED FOR EACH WORK GROUP PACKAGE SUBMITTED.

4 *Negligence or Breach of Contract Disclosure Form*

The form may be used to disclose negligence or breach of contract litigation that your company may be a part of over the past ten years. You may need to duplicate this form to list all history. If the proposer has more than 10 lawsuits, you may narrow them to litigation of the company or subsidiary submitting the solicitation response. Include, at a minimum, litigation for similar projects completed in the State of Florida. Final outcome should include in whose favor the litigation was settled and was a monetary amount awarded. The settlement amount may remain anonymous.

If you have **no litigation**, enter “None” in the first “type of incident” block of the form. Please do not write N/A on this form.

5 *Affidavit Principal Place of Business*

Certifies proposer’s location information.

6 *Sub-Contractor List* (if applicable)

To be completed and returned when sub-contractors are to be utilized and are known at the time of the submission.

7 *Public Entity Crimes Form (Required form)*

Any person or affiliate as defined by statute who has been placed on the convicted vendor list following a conviction for a public entity crime may not submit a bid or a contract to provide any goods or services to the County; may not submit a bid on a contract with the County for the construction or repair of a public building or public work; may not submit bids or leases of real property to the County; may not be awarded or perform works as a contractor, supplier, subcontractor, or consultant under a contract with the County, and may not transact business with the County in excess of \$25,000.00 for a period of 36 months from the date of being placed on the convicted vendor list.

8 *Minimum Qualifications Requirements*

States the minimum qualifications the Bidder/Proposer is required to meet in order to be considered for award or evaluation.

Proposal Label (Required)

Self-explanatory. Please affix to the outside of the sealed submission documents.

***** *Include any licenses or certifications requested*

Local Business Tax Account (as applicable) issued by City and/or County entity. This is necessary for all Florida vendors.

It is the Proposer’s responsibility to insure the Solicitation Response is mailed or delivered in time to be received no later than the specified opening date and time. (If solicitation is not received prior to deadline it cannot be considered or accepted.)

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ORIGINALS ARE REQUESTED FOR EACH WORK GROUP PACKAGE SUBMITTED.

Form 1 – Solicitation Response Form



LEE COUNTY PROCUREMENT MANAGEMENT
SOLICITATION RESPONSE FORM

Date Submitted: Deadline Date: 3/23/2020

SOLICITATION IDENTIFICATION: RFP200070BAG

SOLICITATION NAME: Financial Auditor

COMPANY NAME:

NAME & TITLE: (TYPED OR PRINTED)

BUSINESS ADDRESS: (PHYSICAL CORPORATE OR MAILING ADDRESS:

[] SAME AS PHYSICAL

ADDRESS MUST MATCH SUNBIZ.ORG

E-MAIL ADDRESS:

PHONE NUMBER: FAX NUMBER:

NOTE REQUIREMENT: IT IS THE SOLE RESPONSIBILITY OF THE VENDOR TO CHECK LEE COUNTY PROCUREMENT MANAGEMENT WEB SITE FOR ANY ADDENDA ISSUED FOR THIS PROJECT. THE COUNTY WILL POST ADDENDA TO THIS WEB PAGE, BUT WILL NOT NOTIFY.

In submitting this proposal, Proposer makes all representations required by the instructions to Proposer and further warrants and represents that: Proposer has examined copies of all the solicitation documents and the following addenda:

No. Dated: No. Dated: No. Dated:
No. Dated: No. Dated: No. Dated:

Tax Payer Identification Number:

(1) Employer Identification Number -OR- (2) Social Security Number:

** Lee County collects your social security number for tax reporting purposes only

Please submit a copy of your registration from the website www.sunbiz.org establishing the Proposer/firm as authorized (including authorized representatives) to conduct business in the State of Florida, as provided by the Florida Department of State, Division of Corporations.

1 Collusion Statement: Lee County, Florida The undersigned, as Proposer, hereby declares that no person or other persons, other than the undersigned, are interested in this solicitation as Principal, and that this solicitation is submitted without collusion with others; and that we have carefully read and examined the specifications or scope of work, and with full knowledge of all conditions under which the services herein is contemplated must be furnished, hereby propose and agree to furnish this service according to the requirements set out in the solicitation documents, specifications or scope of work for said service for the prices as listed on the county provided price sheet or (CCNA) agree to negotiate prices in good faith if a contract is awarded.

2 Scrutinized Companies Certification: Section 287.135, FL § , prohibits agencies from contracting with companies, for goods or services over \$1,000,000, that are on either the Scrutinized Companies with Activities in Sudan List or the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List. Both lists are created pursuant to section 215.473, FL§. As the person authorized to sign on behalf of Respondent, I hereby certify that the company identified above not listed on either the Scrutinized Companies with Activities in Sudan List or the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List. I understand that pursuant to section 287.135, FL§, the submission of a false certification may subject company to civil penalties, attorney’s fees, and/or costs.

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ORIGINALS ARE REQUESTED FOR EACH WORK GROUP PACKAGE SUBMITTED.

Form#1 – Solicitation Form, Page 2

3 Business Relationship Disclosure Requirement: Sections 112.313(3) and 112.313(7), FL§, prohibit certain business relationships on the part of public officers and employees, their spouses, and their children. See Part III, Chapter 112, FL § and/or the brochure entitled "A Guide to the Sunshine Amendment and Code of Ethics for Public Officers, Candidates and Employees" for more details on these prohibitions. However, Section 112.313(12), FL § (1983), provides certain limited exemptions to the above-referenced prohibitions, including one where the business is awarded under a system of sealed, competitive bidding; the public official has exerted no influence on bid negotiations or specifications; and where disclosure is made, prior to or at the time of the submission of the bid, of the official's or his spouse's or child's interest and the nature of the intended business. The Commission on Ethics has promulgated this form for such disclosure, if and when applicable to a public officer or employee.

If this disclosure is applicable request form “INTEREST IN COMPETITIVE BID FOR PUBLIC BUSINESS” (Required by 112.313(12)(b), Florida Statute (1983)) to be completed and returned with solicitation response. It is the proposer’s responsibility to disclose this relationship, failure to do so could result in being declared non-responsive.

Business Relationship Applicable (request form)

Business Relationship NOT Applicable

4 Disadvantaged Business Enterprise (DBE) proposer? If yes, please attach a current certificate. **Yes** **No**

ALL PROPOSALS MUST BE EXECUTED BY AN AUTHORIZED AUTHORITY OF THE PROPOSER. WITNESSED AND SEALED (IF APPLICABLE)

Company Name (Name printed or typed)



Authorized Representative Name (printed or typed)

(Affix Corporate Seal, if applicable)

Authorized Representative’s Title (printed or typed)

Witnessed/Attested by: (Witness/Secretary name and title printed or typed)

Authorized Representative’s Signature

Witness/Secretary Signature

Any blank spaces on the form(s), qualifying notes or exceptions, counter offers, lack of required submittals, or signatures, on County’s Form may result in the submission being declared non-responsive by the County.

Detail by Entity Name

Florida Profit Corporation

Bill's Widget Corporation

Filing Information

Document Number 655555
 FB/EIN Number 511111111
 Date Filed 09/22/1980
 State FL
 Status ACTIVE
 Last Event AMENDED AND RESTATED ARTICLES
 Event Date Filed 07/25/2006
 Event Effective Date NONE

Principal Address

555 N Main Street
 Your Town, USA 99999
 Changed 02/11/2012

Verify either Principal or Mailing address is on Form 1

Mailing Address

555 N Main Street
 MYour Town, USA 99999
 Changed 02/11/2012

Registered Agent Name & Address

My Registered Agent
 111 Registration Road
 Registration, USA 99999
 Name Changed: 12/14/2006
 Address Changed: 12/14/2006

Officer/Director Detail

Name & Address

Title P
 President, First
 555 AVENUE
 Anytown, USA 99999
 Title V
 President, Second
 555 AVENUE
 Anytown, USA 99999

IMPORTANT:

For corporations, ALL documents must be signed by the president of the company or an authorized individual. For any individual other than the president, we will need one of the following to confirm their authority to sign:

1. a corporate resolution by the Board of Directors, or
2. an extract of minutes, or
3. an extract of Vote by the Board of Directors

If the company's articles of incorporation identify additional positions that have the power to bind the corporation, we will accept the articles of incorporation with verification from the president that a certain individual serves in that role (e.g., the president confirms that John Doe is the CEO, and the articles of incorporation provide that the CEO has the power to bind the company).

With respect to an LLC, the authority to bind a limited liability company is controlled by Florida statutes. Managers or managing members have inherent authority to bind an LLC.

If the president of a corporation or a manager/managing member of an LLC delegates their authority, such delegation must be sent to us on company letterhead with the President's or manager's/managing member's original, wet signature.

v01/03/2018

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Form 1a – Bid/Proposal Form



LEE COUNTY
SOUTHWEST FLORIDA

ADDENDUM 1 PROCUREMENT MANAGEMENT DEPARTMENT BID/PROPOSAL FORM WORK GROUP 1

COMPANY NAME: _____

SOLICITATION: RFP200070BAG Financial Auditor

Having carefully examined the Contract Documents, Contractor/Vendor proposes to furnish the following which meeting these specifications.

PRICING

Pricing shall be inclusive of all labor, equipment, supplies, overhead, profit, material, and any other incidental costs required to perform and complete all work as specified in the Contract Documents. All Unit Prices shall be bid at the nearest whole penny.

In the event there is a discrepancy between a subtotal or total amount, the unit prices will prevail and the corrected extension(s) and total(s) shall be considered the price. The County will only accept bids submitted on bid forms provided by the County. Bids submitted on other forms, other than those provided by the County, may be deemed non-responsive and ineligible for award.

**FINANCIAL AUDITOR- WORK GROUP 1
BOARD OF COUNTY COMMISSIONERS (BOCC), CLERK OF COURTS AND LEE COUNTY POR
AUTHORITY AUDITS**

Initial 3 Year Contract Annual Fees

Item	Description	Unit of Measure	Unit Price
1	Year 1 Annual Flat Fee	LS	\$
2	Year 2 Annual Flat Fee	LS	\$
3	Year 3 Annual Flat Fee	LS	\$
SUBTOTAL: Initial 3 Year Contract Annual Fees			\$

Additional One Year Renewal Options

Item	Description	Unit of Measure	Unit Price
4	Optional Year 4 Annual Flat Fee	LS	\$
5	Optional Year 5 Annual Flat Fee	LS	\$
6	Optional Year 6 Annual Flat Fee	LS	\$
SUBTOTAL: Additional One Year Renewal Options			\$

PRICING SUMMARY

PROJECT TOTAL (Years 1 through 6)	\$
--	-----------

PROJECT TOTAL:

(Use Words to Write Total)

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LEE COUNTY
SOUTHWEST FLORIDA

ADDENDUM 1
PROCUREMENT MANAGEMENT DEPARTMENT
BID/PROPOSAL FORM
WORK GROUP 2

COMPANY NAME: _____

SOLICITATION: RFP200070BAG Financial Auditor

Having carefully examined the Contract Documents, Contractor/Vendor proposes to furnish the following which meeting these specifications.

PRICING

Pricing shall be inclusive of all labor, equipment, supplies, overhead, profit, material, and any other incidental costs required to perform and complete all work as specified in the Contract Documents. All Unit Prices shall be bid at the nearest whole penny.

In the event there is a discrepancy between a subtotal or total amount, the unit prices will prevail and the corrected extension(s) and total(s) shall be considered the price. The County will only accept bids submitted on bid forms provided by the County. Bids submitted on other forms, other than those provided by the County, may be deemed non-responsive and ineligible for award.

FINANCIAL AUDITOR- WORK GROUP 2
OTHER CONSTITUTIONAL OFFICES (SHERIFF, TAX COLLECTOR, SUPERVISOR OF ELECTIONS, AND PROPERTY APPRAISER) AUDITS

Initial 3 Year Contract Annual Fees

Item	Description	Unit of Measure	Unit Price
1	Year 1 Annual Flat Fee	LS	\$
2	Year 2 Annual Flat Fee	LS	\$
3	Year 3 Annual Flat Fee	LS	\$
SUBTOTAL: Initial 3 Year Contract Annual Fees			\$

Additional One Year Renewal Options

Item	Description	Unit of Measure	Unit Price
4	Optional Year 4 Annual Flat Fee	LS	\$
5	Optional Year 5 Annual Flat Fee	LS	\$
6	Optional Year 6 Annual Flat Fee	LS	\$
SUBTOTAL: Additional One Year Renewal Options			\$

PRICING SUMMARY

PROJECT TOTAL (Years 1 through 6)	\$
--	-----------

PROJECT TOTAL:

(Use Words to Write Total)

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ORIGINALS ARE REQUESTED FOR EACH WORK GROUP PACKAGE SUBMITTED.

Form 2 – Affidavit Certification of Immigration Laws



AFFIDAVIT CERTIFICATION IMMIGRATION LAWS

SOLICITATION NO.: **RFP200070BAG**

SOLICITATION NAME: **Financial Auditor**

LEE COUNTY WILL NOT INTENTIONALLY AWARD COUNTY CONTRACTS TO ANY CONTRACTOR WHO KNOWINGLY EMPLOYS UNAUTHORIZED ALIEN WORKERS, CONSTITUTING A VIOLATION OF THE EMPLOYMENT PROVISIONS CONTAINED IN 8 U.S.C. SECTION 1324 a(e) {SECTION 274A(e) OF THE IMMIGRATION AND NATIONALITY ACT (“INA”).

LEE COUNTY MAY CONSIDER THE EMPLOYMENT BY ANY CONTRACTOR OF UNAUTHORIZED ALIENS A VIOLATION OF SECTION 274A(e) OF THE INA. **SUCH VIOLATION BY THE RECIPIENT OF THE EMPLOYMENT PROVISIONS CONTAINED IN SECTION 274A(e) OF THE INA SHALL BE GROUNDS FOR UNILATERAL CANCELLATION OF THE CONTRACT BY LEE COUNTY.**

PROPOSER ATTESTS THAT THEY ARE FULLY COMPLIANT WITH ALL APPLICABLE IMMIGRATION LAWS (SPECIFICALLY TO THE 1986 IMMIGRATION ACT AND SUBSEQUENT AMENDMENTS).

Company Name: _____

Signature Title Date

STATE OF _____
COUNTY OF _____

The foregoing instrument was signed and acknowledged before me, by means of physical presence or online notarization, this _____ day of _____ 20____, by _____ who has produced
(Print or Type Name)

_____ as identification.
(Type of Identification and Number)

Notary Public Signature

Printed Name of Notary Public

Notary Commission Number/Expiration

The signee of this Affidavit guarantee, as evidenced by the sworn affidavit required herein, the truth and accuracy of this affidavit to interrogatories hereinafter made. **LEE COUNTY RESERVES THE RIGHT TO REQUEST SUPPORTING DOCUMENTATION, AS EVIDENCE OF SERVICES PROVIDED, AT ANY TIME.**

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*** REQUESTED FOR EACH WORK GROUP PACKAGE SUBMITTED***

Form 3 Reference Survey

*Lee County Procurement Management
Reference Survey*

Reference surveys submitted can be a maximum of twelve (12) months old. If using a previous reference, Proposers must clearly identify the project name and number the reference is being submitted for.

Project Name & Number: _____

Section 1 Reference Respondent Information	Please return completed form to:
FROM: _____ COMPANY: _____ PHONE #: _____ FAX #: _____ EMAIL: _____	Bidder/Proposer: _____ Due Date: _____ Total # Pages: 1 Phone #: _____ Fax #: _____ Bidder/Proposer E-Mail: _____

Section 2	Enter Bidder/Proposer Information , if applicable Similar Performed Project (Bidder/Proposer to enter details of a project performed for above reference respondent)		
Proposer Name:			
Reference Project Name:	Project Address:	Project Cost:	
Summarize Scope:			

You as an individual or your company has been given as a reference on the project identified above. Please provide your responses in section 3 below.

Section 3			Indicate: "Yes" or "No"
	1. Did this company have the proper resources and personnel by which to get the job done?		
	2. Were any problems encountered with the company's work performance?		
	3. Were any change orders or contract amendments issued, other than owner initiated?		
	4. Was the job completed on time?		
	5. Was the job completed within budget?		
	6. On a scale of one to ten, ten being best, how would you rate the overall work performance, considering professionalism; final product; personnel; resources. Rate from 1 to 10. (10 being highest)		
	7. If the opportunity were to present itself, would you rehire this company?		
	8. Please provide any additional comments pertinent to this company and the work performed for you:		

Section 4 Please submit non-Lee County employees as references

Reference Name (Print Name) _____

Reference Signature _____

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ORIGINALS ARE REQUESTED FOR EACH WORK GROUP PACKAGE SUBMITTED.

Form 4 - Negligence or Breach of Contract Disclosure Form

REVISED 02/22/2017



**ALLEGED NEGLIGENCE OR BREACH OF CONTRACT
DISCLOSURE FORM**

Please fill in the form below. Provide each incident in regard to alleged negligence or breach of contract that has occurred over the past 10 years. Please compete in chronological order with the most recent incident on starting on page 1. Please do not modify this form (expansion of spacing allowed) or submit your own variation.

Company Name: _____

Type of Incident <i>Alleged Negligence or Breach of Contract</i>	Incident Date And Date Filed	Plaintiff <i>(Who took action against your company)</i>	Case Number	Court <i>County/State</i>	Project	Claim Reason <i>(initial circumstances)</i>	Final Outcome <i>(who prevailed)</i>

Make as many copies of this sheet as necessary in order to **provide a 10-year history** of the requested information. If there is no action pending or action taken in the last 10 years, complete the **company name and write "NONE" in the first "Type of Incident" box** of this page and return with your proposal package. This form should also include the primary partners listed in your proposal. Do not include litigation with your company as the plaintiff. Final outcome should include who prevailed and what method of settlement was made. If a monetary settlement was made the amount may remain anonymous.

Page Number: _____ Of _____ Total pages

Update the page number to reflect the current page and the total number of pages. Example: Page 3, of 5 total submitted pages of this form.

Proposals may be declared "non-responsive" due to omissions of "Negligence or Breach of Contract" on this disclosure form. Additionally, proposals may be declared "not responsible" due to past or pending lawsuits that are relevant to the subject procurement such that they call into question the ability of the proposer to assure good faith performance. This determination may be made by the Procurement Management Director, after consulting with the County Attorney.

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ORIGINALS ARE REQUESTED FOR EACH WORK GROUP PACKAGE SUBMITTED.

Form 5 - Affidavit Principal Place of Business



AFFIDAVIT PRINCIPAL PLACE OF BUSINESS

Instructions: Please complete all information that is applicable to your firm

Company Name: _____

Printed name of authorized signer _____

Title _____

⇒ _____
Authorized Signature

_____ Date

The signee of this Affidavit guarantee, as evidenced by the sworn affidavit required herein, the truth and accuracy of this affidavit to interrogatories hereinafter made. **LEE COUNTY RESERVES THE RIGHT TO REQUEST SUPPORTING DOCUMENTATION, AS EVIDENCE OF SERVICES PROVIDED, AT ANY TIME.**

Notary:
State of _____
County of _____

The foregoing instrument was signed and acknowledged before me this _____ day of _____

20_____, _____ who has produced

_____ as identification (or personally known)
Type of ID and number

⇒ _____
Notary Public Signature

_____ Notary Commission Number and expiration

1. Principal place of business is located within the boundaries of: _____ Lee County
_____ Collier County
_____ Non-Local

Local Business Tax License # _____

2. Address of Principal Place of Business: _____

3. Number of years at this location _____ years

4. Have you provided goods or services to Lee County on a regular basis within the past 3 consecutive years
_____ Yes* _____ No *If yes, attach contractual history for past 3 consecutive years

5. Number of available employees for this contract _____

6. Does your company have a Drug Free Workplace Policy _____ Yes _____ No

ADDENDUM 1

ORIGINALS ARE REQUESTED FOR EACH WORK GROUP PACKAGE SUBMITTED.

Form 6-Sub-contractor List



SUB-CONTRACTOR LIST

Sub-contractor Name	Area Of Work	Point Of Contact Or Project Supervisor	Phone Number and Email	Qualified DBE Yes/No	Amount or Percentage of Total

Please include sub-contractors name, area of work (i.e. mechanical, electrical, etc.) and a **valid** phone number and email. Also include the dollar value or percentage that the sub-contractor will be performing. If sub-contractors qualify as Disadvantaged Business Enterprise (**DBE**) contractors, please attach a current certificate.

ADDENDUM 1

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ORIGINALS ARE REQUESTED FOR EACH WORK GROUP PACKAGE SUBMITTED.

Form 7: Public Entity Crime Form

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This form must be signed and sworn to in the presence of a notary public or other officer authorized to administer oaths.

1. This sworn statement is submitted to _____
(Print name of the public entity)

by _____
(Print individual's name and title)

for _____
(Print name of entity submitting sworn statement)

whose business address is _____

(If applicable) its Federal Employer Identification Number (FEIN) is _____

(If the entity has no FEIN, include the Social Security Number of the individual signing this sworn statement: On the attached sheet.) Required as per IRS Form W-9.

2. I understand that a "public entity crime" as defined in Paragraph 287.133(1) (g), Florida Statutes, means a violation of any state or federal law by a person with respect to and directly related to the transaction of business with any public entity or with an agency or political subdivision of any other state or with the United States, including but not limited to, and bid or contract for goods or services to be provided to any public entity or agency or political subdivision or any other state or of the United States, and involving antitrust, fraud, theft, bribery, collusion, racketeering, conspiracy, or material misrepresentation.

3. I understand that "convicted" or "conviction" as defined in Paragraph 287.133(1) (b), Florida Statutes, means a finding of guilt or a conviction of a public entity crime, with or without an adjudication of guilt, in any federal or state trial court of record relating to charges brought by indictment or information after July 1, 1989, as a result of a jury verdict, nonjury trial, or entry of a plea of guilty or nolo contendere.

4. I understand that "affiliate" as defined in Paragraph 287.133(1)(a), Florida Statutes, means:

1. A predecessor or successor of a person convicted of a public entity crime:
or:
2. An entity under the control of any natural person who is active in the management of the entity and who has been convicted of a public entity crime. The term "affiliate" includes those offices, directors, executives, partners, shareholders, employees, members and agents who are active in the management of the affiliate. The ownership by one person of shares constituting a controlling interest in another person, or a pooling of equipment or income among persons when not fair market value under an arm's length agreement, shall be a facie case that one person controls another person. A person who knowingly enters into a joint venture with a person who has been convicted of a public entity crime in Florida during the preceding 36 months shall be considered an affiliate.

5. I understand that a "person" as defined in Paragraph 287.133(1) (c), Florida Statutes, means any natural person or entity organized under the laws of any state or of the United States with the legal power to enter a binding contract and which bids or applies to bid on contracts for the provision of goods or services let by a public entity, or which otherwise transacts or applies to transact business with a public entity. The term "person" includes those officers, directors, executives, partners, shareholders, employees, members, and agents who are active in management of the entity.

6. Based on information and belief, the statement which I have marked below is true in relation to the entity submitting those sworn statement. (Please indicate which statement applies.)

_____ Neither the entity submitted this sworn statement, nor any officers, directors, executives, partners, shareholders, employees, members, and agents who are active in management of an entity nor affiliate of the entity have been charged with and convicted of a public entity crime subsequent to July 1, 1989.

ADDENDUM 1

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ORIGINALS ARE REQUESTED FOR EACH WORK GROUP PACKAGE SUBMITTED.

Public Entity Crime Form

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_____ The entity submitting this sworn statement, or one or more of the officers, directors, executives, partners, shareholders, employees, member, or agents who are active in management of the entity, or an affiliate of the entity have been charged with and convicted of a public entity crime subsequent to July 1, 1989.

_____ The entity submitting this sworn statement, or one or more of its officers, directors, executives, partners, shareholders, employees, member, or agents who are active in management of the entity, or an affiliate of the entity has been charged with and convicted of a public entity crime subsequent to July 1, 1989. However, there has been subsequent proceeding before a Hearing Officer of the State of Florida, Division of Administrative Hearing and the Final Order entered by the Hearing Officer determined that it was not in the public interest to place the entity submitting this sworn statement on the convicted vendor list. (Attach a copy of the final order)

I UNDERSTAND THAT THE SUBMISSION OF THIS FORM TO THE CONTRACTING OFFICER FOR THE PUBLIC ENTITY IDENTIFIED IN PARAGRAPH 1 (ONE) ABOVE IS FOR THAT PUBLIC ENTITY ONLY AND, THAT THIS FORM IS VALID THROUGH DECEMBER 31 OF THE CALENDAR YEAR IN WHICH IS FILED. I ALSO UNDERSTAND THAT I AM REQUIRED TO INFORM THE PUBLIC ENTITY PRIOR TO ENTERING INTO A CONTRACT IN EXCESS OF THE THRESHOLD AMOUNT PROVIDED IN SECTION 287.017, FLORIDA STATUTES, FOR CATEGORY TWO OR ANY CHANGE IN THE INFORMATION CONTAINED IN THIS FORM.

(Signature)

(Date)

STATE OF _____

COUNTY OF _____

PERSONALLY APPEARED BEFORE ME, by means of physical presence or online notarization, the undersigned authority, _____ who, after first being sworn by me, affixed his/her signature in the space provided above on
(Name of individual signing)

this _____ day of _____, 2____.

(NOTARY PUBLIC)

My Commission Expires: _____

ADDENDUM 1

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ORIGINALS ARE REQUESTED FOR EACH WORK GROUP PACKAGE SUBMITTED.

Form 8: Minimum Qualifications Requirements



MINIMUM QUALIFICATION REQUIREMENTS

FOR

B200070BAG, Financial Auditor

Bidder(s)/Proposer(s) must meet the minimum qualification requirements as specified in the following form to qualify for consideration of award. This form must be completed and returned with the proposal submittal along with any supporting documentation where requested and/or indicated herein.

The County reserves the right, in their sole judgment, to determine to its satisfaction whether the Bidder(s)/Proposer(s) has met the minimum qualification requirements as specified herein. The determination shall be based upon the examination of the Minimum Qualification Requirements form and associated supportive documentation (if any requested).

An affirmative determination shall be a prerequisite for award of the contract to the Bidder(s)/Proposer(s). A negative determination shall result in disqualification of the proposal, in which event the County shall exclude the proposal from the evaluation or consideration process and therefore deeming the Bidder(s)/Proposer(s) ineligible for award.

- 1. **CRITERIA 1:** The Firm must be a licensed CPA firm with the State of Florida through the Department of Business and Professional Regulations.

Is your Firm a licensed CPA firm within the State of Florida through the Department of Business and Professional Regulations. Did you submit documentation to support this license?

_____ **YES** _____ **NO**

- 2. **CRITERIA 2:** The Firm must have a Lead Auditor Licensed CPA employed with the Firm and directly assigned to work on this Project that is licensed with the State of Florida through the Department of Business and Professional Regulations.

Does your firm have a Lead Auditor Licensed CPA directly assigned to this Project that is licensed with the State of Florida. Did you submit documentation to support this license?

_____ **YES** _____ **NO**

If YES, provide details as requested below:

- o Criteria 1: Proof of Licensed CPA Firm in the State of Florida
- o Criteria 2: Proof of Licensed CPA in the State of Florida, assigned to this project.

❖ Failure to provide evidence may deem your firm as non-responsive.

Authorized Bidder/Proposer Signature

Date:

Authorized Bidder/Proposer Name (Print or Type)

ADDENDUM 1

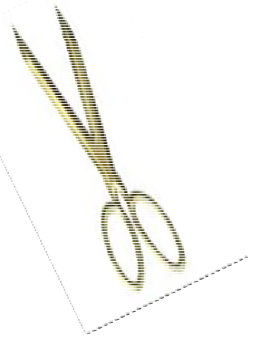
VER 12-12-19

Sealed Proposal Label

ENSURE EXTERIOR OF PACKAGE INDICATES WORK GROUP.

Cut along the outer border and affix this label to your sealed solicitation envelope to identify it as a “Sealed Submission/Proposal”.

PROPOSAL DOCUMENTS • DO NOT OPEN	
SOLICITATION No.:	RFP200070BAG
SOLICITATION TITLE:	Financial Auditor
DATE DUE:	Monday, March 23, 2020
TIME DUE:	Prior to: 2:30 PM
SUBMITTED BY:	 <small>(Name of Company)</small>
INDICATE WORK GROUP 1 or 2.	
e-mail address	Telephone
DELIVER TO:	Lee County Procurement Management 2115 Second Street, 1st Floor Fort Myers FL 33901
<i>Note: proposals received after the time and date above will not be accepted.</i>	



***Notice: the Date Due/Submission Deadline Date/Opening Date as stated on this label and other forms contained herein may have been updated via issuance of Addenda against this project. It is the sole responsibility of the Contractor/Vendor to monitor the County project webpage for any updates to the Date Due/Submission Deadline Date/Opening Date via Addenda. This label nor other original forms may not be updated. Contractor/Vendor may strike through and update Date Due/Submission Deadline Date/Opening Date at their discretion to match any updates to this date that have been published via Addenda.**

Submission received after the time and date of the Date Due/Submission Deadline Date/Opening Date will not be accepted at the sole discretion of the County.

PLEASE PRINT CLEARLY