



COOK CCLBA LAND BANK AUTHORITY

**Request for Proposal
(RFP) for Professional Auditing Services
RFP-2025FinancialAudit**

Proposals are due no later than 10:00 AM CST on Friday, January 31st, 2025

There will be a Pre-Submission Meeting on Friday, January 17th, 2025 at 10:00 AM CST

Pre-Submission Meeting Web Link:

[Join the meeting now](#)

Questions regarding the RFP should be submitted through the email below by 10am CST, Tuesday January 21st, 2025

rfp-rfq@cookcountylandbank.org

Contact Information for Buyer:

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**Jessica Caffrey
Executive Director, Cook County Land Bank Authority**

RFP for Professional Auditing Services

- 1. INTRODUCTION.....5
 - 1.1 Overview / Objectives.....5
 - 1.2 Purpose5
 - 1.3 Cook CCLBA and Cook CCLBA Land Bank Authority Background.....5
- 2. SCOPE.....6
 - 2.1 Scope of Services6
 - 2.2 Finding Reporting.....6
 - 2.3 Inquiries8
 - 2.4 Audit Schedules.....8
 - 2.5 Detailed Audit Plan8
 - 2.5 Fieldwork.....8
 - 2.7 Progress Reports.....8
 - 2.8 Management Letter.....8
 - 2.9 Additional Audit Requirements.....8
 - 2.10 Subcontracting or teaming.....8
 - 2.11 Key Personnel9
 - 2.12 Travel and Expenses.....9
- 3. SCHEDULE9
- 4. INSTRUCTIONS TO PROPOSERS.....9
 - 4.1 Instructions.....9
 - 4.2 Availability of Documents.....9
 - 4.3 Pre-Submission Meeting.10
 - 4.4 Clarifications10
 - 4.5 Submitting the Proposal Package10
 - 4.6 Uniformity.....10
 - 4.7 Proposal Material.....11
 - 4.8 Addenda.....11

4.9 Proposer’s Responsibility for Services Proposed.....	11
4.10 Errors and Omissions In the RFP.....	11
5. RFP Interpretation.....	12
6. Confidentiality and Response Cost and Ownership.....	12
7. Use of Subcontractors.....	12
8. MBE/WBE Participation Goals.....	12
9. Proposer’s Disclosure and Conflict of Interest.....	12
10. Cook CCLBA RFP Format.....	12
11. Pricing.....	13
12. Period of Firm Proposal.....	13
13. Awards.....	13
14. Cook CCLBA Rights.....	13
15. Alteration\Modification of FRP Content.....	13
16. Evaluation and Selection Process.....	14
16.1. Responsiveness Review.....	14
16.2 Acceptance of Proposals.....	14
16.3 Evaluation Process.....	14
16.4 Proposer Presentations.....	14
16.5 Right to Inspect.....	14
16.6 Best and Final Offer.....	14
16.7 Selection Process.....	15
17. Evaluation Criteria.....	15
17.1 Responsiveness of Proposal.....	15
17.2 Technical Proposal.....	15
17.3 Price Proposal.....	15
18. Submission of Proposal.....	16
18.1 Instructions.....	16
18.1.2 Time for Submission.....	16
18.1.3 Format.....	16

18.1.4 Complete Proposals.....	16
18.1.5 Packaging and Labeling.....	16
18.1.6 Timely Delivery of Proposals.....	16
18.1.7 Late Proposals.....	16
18.1.8 Schedule of Revisions to RFP Schedule.....	17
18.2 Submission Requirements.....	17
18.2.1 Cover Letter – File #1.....	17
18.2.2 Executive Summary – File #1.....	17
18.2.3 Qualifications of the Proposer – File #1.....	17
18.2.4 Propose Plan of Action, Timeline, Implementation and Solution – File #1.....	18
18.2.5 Key Personnel – File #1.....	19
18.2.6 Subcontracting or Teaming – File #1.....	19
18.2.7 MBE/WBE Participation – File #1.....	19
18.2.8 Financial Status – File #1.....	20
18.2.9 Legal Actions – File #1.....	20
18.2.10 Conflict of Interest – File #1.....	20
18.2.11 Cook CCLBA Professional Services Agreement (“PSA”) – File #1.....	20
18.2.12 Other – File #1.....	20
18.2.13 Addenda Acknowledgement Form – File #1.....	21
18.2.14 Certification for Consulting or Auditing Services – File #1.....	21
18.2.15 Economic Disclosure Statement – File #2.....	21
18.2.16 Pricing Proposal Form – File #2.....	21

1 INTRODUCTION

1.1 Overview / Objectives

The Cook County Land Bank Authority (CCLBA) is seeking proposals from qualified certified public accounting firms to audit its financial activity for the fiscal year ending November 30, 2024.

The successful Proposer acting as an individual, partnership, corporation or other legal entity, shall be in good standing, licensed to perform services in the State of Illinois and licensed for all applicable areas of work or service requiring licensing. The successful Proposer shall agree to keep all reports, information, or data prepared or assembled by it confidential and will not make such documents available to any individual or organization, except the CCLBA or its agent(s) without prior written approval from the CCLBA.

1.2 Purpose

The purpose of this RFP is to identify qualified proposers of certified public accountants that meet the requirements to provide auditing services for the Cook County Land Bank Authority.

The CCLBA intends to enter into a three (3) year agreement with two (2) one (1)-year renewal options with the successful Proposer.

1.3 Cook County Government and Cook County Land Bank Authority Background

Cook County Government is a home rule county pursuant to Article VII, Section 6 of the Illinois State Constitution and is governed by a 17-member Board of Commissioners that is elected from single-member districts. The Commissioners and a County Board President are elected to four-year terms by the citizens of the CCLBA.

Cook County represents one of the major metropolitan areas in the state and nation, and contains 132 municipalities, (including the City of Chicago, also including the City of Elmhurst which lies partially in Cook County but has no taxable value in Cook), 30 townships, 237 special districts, and 160 school districts. The population of the CCLBA was estimated at 5,180,493 as of July 1, 2018 making it the second most populous CCLBA in the United States.

CCLBA was established in 2013 by Cook County, Illinois – Code of Ordinances, Part II Land Development Ordinances, Chapter 103, Land Bank Authority, Sections 103-1 through 103-71 to use available resources to facilitate the return of vacant, abandoned and tax-delinquent properties to productive use thereby combating community deterioration, creating economic growth, and stabilizing the housing and job market.

The Cook County Land Bank Authority (CCLBA) will acquire, hold properties in the name of Cook County, and transfer interest in real property throughout Cook County to promote redevelopment and reuse of vacant, abandoned, foreclosed, or tax delinquent properties; support targeted efforts to stabilize

neighborhoods; and stimulate residential, commercial, and industrial development consistent with the goals established by local government partners and other community stakeholders.

The CCLBA is accountable to the Cook County Land Bank Authority's Board of Directors which is comprised of a 16-members.

The CCLBA's fiscal year to be audited begins on December 1st, 2023, and it ends on November 30th, 2024.

2 SCOPE

2.1 Scope of Services

The audit firm will perform an audit of the Cook County Land Bank Authority (CCLBA) in accordance with generally accepted auditing standards as set forth by the American Institute of Certified Public Accountants (AICPA). Additionally, auditors will communicate to CCLBA in writing concerning any significant deficiencies or material weaknesses in internal control relevant to the audit of the financial activity or statements that we have identified during the audit. Also, auditors will communicate the following to the CCLBA Board of Directors.

(a) any fraud involving CCLBA staff that causes a material misstatement of the financial statements that becomes known during the audit, and

(b) any instances of noncompliance with laws and regulations or abuse that becomes known of during the audit (unless they are clearly inconsequential).

The auditor will also provide an itemized schedule of compensation, a schedule of meetings, and a detailed timeline or duration of the audit. The audit will include a Management Discussion and Analysis as well as a transmittal letter.

2.2 Findings Reporting

The Auditor shall communicate in a letter to management any significant deficiency, material weakness, or other control deficiency found during the audit.

- A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis.
- A material weakness is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented or detected and corrected on a timely basis.
- A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Significant deficiencies that are also material weaknesses shall be identified as such in the report. In addition, the following conditions shall be reported:

Irregularities and illegal acts. Auditors shall be required to make an immediate, written report of all irregularities and illegal acts or indications of illegal acts of which they become aware to the Executive Director of CCLBA

Reporting to the Audit Committee (The auditors communication with those charged with governance). Auditors shall assure themselves that the CCLBA's Audit Committee is informed of certain matters required by professional standards to be communicated to them in their oversight responsibility for the CCLBA's financial reporting process, including each of the following:

1. The auditor's responsibility with regard to the financial statement audit under generally accepted auditing standards.
2. Overview of the planned scope and timing of the financial statement audit.
3. Accounting policies and practices.
4. Basis of Accounting.
5. Management judgments and accounting estimates.
6. Audit adjustments and uncorrected misstatements.
7. Auditor's judgment about the quality of the CCLBA's accounting principles.
8. Other information in documents containing audited financial statements.
9. Disagreements with management.
10. Consultation with other accountants.
11. Significant issues discussed with management.
12. Significant difficulties encountered in performing the audit.
13. Letter communicating significant deficiency and material weakness in internal control over financial reporting.
14. Significant written communications between management and the auditor.

2.3 Inquiries

Proposer will be required to respond to the reasonable inquiries of successor auditors and allow successor auditors to review working papers relating to matters of continuing accounting significance.

2.4 Audit Schedules

Proposer will be required to schedule for the 2024 Fiscal Year Audit (A similar time schedule will be developed for audits of future fiscal years if the CCLBA exercises its option for additional audits).

2.5 Detailed Audit Plan

The Auditor shall provide CCLBA both a detailed audit plan and a list of all schedules to be prepared by the CCLBA no later than two weeks after award date.

2.6 Fieldwork

The Auditor shall complete all fieldwork two months in advance of completion of the audit on or before April 21, 2025 for CCLBA.

2.7 Progress Reports

The auditor shall provide weekly reports on the progress of the audit. The Auditor shall provide all draft Financial Statements and Supplemental Information to the Cook County Land Bank Office and final Financial Statements and Supplemental Information no later than June 2nd, 2025 . This is a general goal and can be adjusted as necessary with reasonable justification.

2.8 Management Letter

The auditor shall provide for discussion a preliminary management letter indicating findings and recommendations to the CCLBA May 19th, 2025. The final management letter shall be issued by June 2nd, 2025. In addition, 25copies of the final management letter including an electronic version in Adobe PDF format should be delivered to the Cook County Land Bank, 69 W. Washington Street, Suite 3100, Chicago, Illinois 60602.

2.9 Additional Audit Requirements

From time to time, local, state or federal regulatory agencies may require CCLBA to conduct additional audits and/or procedures. The successful Proposer will be required to perform these services and any additional services deemed necessary by the CCLBA to comply with these requirements.

2.10 Subcontracting or teaming

The Proposer may be comprised of one or more firms to assure the overall success of the project. The firm shall identify each team member and specify their role. The Executive Director reserves the right to accept or reject any of the team members if in the Executive Director's sole opinion replacement of the team member, based on skills and knowledge, is in the best interest of the CCLBA.

2.11 Key Personnel

The proposer must identify the key personnel that will be committed to the project. The Executive Director reserves the right to reject any key personnel proposed if it is determined in the CCLBA's best interest. All key personnel must be committed to the project without competing priorities. The evaluation of proposals includes the qualifications of the personnel proposed; therefore, proposers will name key personnel as part of their proposal. Key Personnel must not be replaced during the project without the approval of the Executive Director of CCLBA.

2.12 Travel and Expenses

The Proposer shall state its willingness to obtain the CCLBA's written approval prior to billing the CCLBA for travel and expenses, as well as its willingness to adhere to the County's travel policy. See Appendix XI Cook County Transportation Expense Reimbursement and Travel Regulations Policy included in this RFP.

3. SCHEDULE

The CCLBA anticipates the following Schedule:

RFP posted to the CCLBA website	December 27th, 2024
Pre-Submission Meeting	January 17th, 2025
RFQ Submission Deadline	January 31th, 2025
Award Date	February 21th, 2025

4. INSTRUCTIONS TO PROPOSERS

4.1 Instructions

This RFP provides potential proposers with sufficient information to enable them to prepare and submit proposals. This RFP also contains the instructions governing the submittal of a proposal and the materials to be included therein, including the CCLBA requirements, which must be met to be eligible for consideration. All proposals must be complete as to the information requested in this RFP in order to be considered responsive and eligible for award. Proposers providing insufficient details will be deemed nonresponsive. The CCLBA is not obligated, either to purchase the full services or the products proposed by the proposer, nor to enter into an agreement with any one proposer.

4.2 Availability of Documents

The CCLBA will publish their competitive bid, RFP, and other procurement notices, as well as award information, at: www.cookcountylandbank.org

Interested proposers should note that, unless otherwise stated in the bid or RFP documents, there is no charge or fee to obtain a copy of the bid documents and respond to documents posted for competitive solicitations. Proposers intending to respond to any posted solicitation are encouraged to visit the web site above to ensure that they have received a complete and current set of documents. Some

procurement notices may provide a downloadable version of the pertinent documents and any amendments to them, that will be available to proposers after they have completed a simple registration process. Any proposers receiving a copy of procurement documents from a bid referral service and/or other third party are solely responsible for ensuring that they have received all necessary procurement documentation, including amendments and schedules. The CCLBA is not responsible for ensuring that all or any procurement documentation is received by any proposer that is not appropriately registered with the CCLBA.

4.3 Pre-Submission Meeting

The CCLBA will hold a Pre-Submission Meeting on the date and time indicated above. Representatives of the CCLBA will be available to answer any questions regarding the services requested or proposal procedures.

Prospective Proposers attending the Pre-Proposal Conference will sign in using the link below. This sign in link will be open 30 minutes prior to the start of the Pre-Proposal Conference and will remain open during the Conference.

Date: Friday, January 17th, 2025 at 10:00 AM CST

Pre-Submission Web Link:

[Join the meeting now](#)

4.4 Clarifications

Questions regarding this RFP will be submitted in writing to the email below:

rfp-rfq@cookcountylandbank.org

All questions must be submitted no later than 10:00 AM CST on Tuesday, January 21st, 2024.

4.5 Submitting the Proposal Package

The Proposal and the Pricing Proposal shall be submitted to CCLBA electronically as per the instructions in the submission requirements (section 18.2) for Submitting an Electronic Bid/Proposal/Qualification. CCLBA will not accept hard copy proposals. The Proposer remains responsible for ensuring that its Proposal is received at the time, date and manner specified. The CCLBA assumes no responsibility for any Proposal not so received. Late Proposals will not be accepted under no circumstances.

4.6 Uniformity

To provide uniformity and to facilitate comparison of Proposals, all information submitted must clearly refer to the page number, section or other identifying reference in this RFP. All information submitted must be noted in the same sequence as its appearance in this RFP. The CCLBA reserves the right to waive minor variances or irregularities.

4.7 Proposal Material

The Proposal material submitted in response to the RFP becomes the property of the CCLBA upon receipt and will be part of any contract document for the goods or services which are the subject of this RFP.

4.8 Addenda

Should any proposer have questions concerning conditions and specifications, or find discrepancies in or omissions in the specifications, or be in doubt as to their meaning, they should notify Daniel Taylor, Manager of Finance and Business Operations no later than 10am CST, January 21st, 2024 to obtain clarification prior to submitting a Proposal. Such inquires must reference the proposal due date and the CCLBA RFP.

Any clarification addenda issued to Proposer prior to the Proposal due date shall be made available to all proposers. Since all addenda become a part of the Proposal, the Addenda Acknowledgement Form (found in Appendix V) must be signed by an authorized Proposer representative and returned with the Proposal on or before the Proposal opening date. Failure to sign and return any and all addenda acknowledgements may be grounds for rejection of the Proposal. Interpretations that change the terms, conditions, or specifications will be made in the form of an addendum to the solicitation by the CCLBA. If issued, the CCLBA will post the addenda on the CCLBA website:

WWW.COOKCOUNTYLANDBANK.ORG

In the event there are any conflicts between the general terms and conditions and any special terms and conditions, the special terms and conditions shall take precedence.

4.9 Proposer's Responsibility for Services Proposed

The Proposer must thoroughly examine and will be held to have thoroughly examined and read the entire RFP. Failure of Proposers to fully acquaint themselves with existing conditions or the amount of work involved will not be a basis for requesting extra compensation after the award of a Contract.

4.10 Errors and Omissions In the RFP

The Proposer is expected to comply with the intent of this RFP taken as a whole and shall not avail itself of any error or omission to the detriment of the services or the CCLBA. Should the Proposer suspect any error, omission, or discrepancy in the specifications or instructions, the Proposer shall immediately notify the CCLBA in writing, and the CCLBA will issue written corrections or clarifications. The Proposer is responsible for the contents of its Proposals and for satisfying the requirements set forth in the RFP.

Proposer will not be allowed to benefit from errors in the RFP that could have been reasonably discovered by the Proposer in the process of putting its proposal together.

5. RFP Interpretation

Interpretation of the wording of this document shall be the responsibility of the CCLBA and that interpretation shall be final.

6. Confidentiality and Response Cost and Ownership

From the date of issuance of the RFP until contract award, the Proposer must not make available or discuss its Proposal, or any part thereof, with any employee or agent of the CCLBA. The Proposer is hereby advised that any part of its Proposal or any other material marked as confidential, proprietary, or trade secret, can only be protected to the extent permitted by Illinois Statutes.

7. Use of Subcontractors

The Proposer's response must include a description of which portion(s) of the work will be subcontracted out, the names and addresses of potential subcontractors and the expected amount of money each will receive under the Contract. The CCLBA reserves the right to accept or reject any subcontractor if in the CCLBA's sole opinion it is in the best interest of the CCLBA.

8. MBE/WBE Participation Goals

Consistent with Cook County, Illinois Code of Ordinances (Article IV, Section 34-267 through 272), the CCLBA has established a goal that MBE/WBE firms retained as subcontractors receive a minimum of 35% of the overall estimated expenditures for this procurement. In an effort to continue to promote and expand the participation of certified MBE/WBE firms, the proposer shall make good faith efforts to utilize MBE/WBE certified firms as subcontractors. In its response, a proposer shall state the name(s) of the MBE and WBE subcontractor(s) and the level of participation proposed for each MBE and WBE to be awarded a subcontract, and submit the MBW/WBE Utilization Plan Forms (included in this RFP in Appendix VI).

9. Proposer's Disclosure and Conflict of Interest

The Proposer must complete and return the enclosed "Economic Disclosure Statement & Forms" along with their proposal. In the event that further clarification is required on any of the information provided, the CCLBA reserves the right to make any necessary inquiry with a proposer for such purpose. Such inquiry, if made, may include a deadline by which time any necessary clarifying information must be submitted.

10. CCLBA RFP Format

All proposers will use this solicitation format for submitting their proposal. Variations or exceptions from the specifications and general conditions should be submitted in writing. Such variations or exceptions may be considered in evaluating the offers received. Any exception taken must be noted in the space provided within this solicitation. Failure to comply with this requirement may cause a proposer's proposal to be considered "nonresponsive."

11. Pricing

All price and cost information requested in this solicitation should be provided by the proposer. While price is a factor in the evaluation of responses received, the relevant importance of price may vary based on the nature of the purchase and the related significance of other criteria as may be expressed elsewhere in this solicitation. In evaluating price, the CCLBA may give consideration to all cost of ownership factors relevant to determine the total final cost to the CCLBA. The CCLBA will be the sole determinant of the relevant and appropriate cost factors to be used in evaluating any Base or Alternate offers and/or Options.

12. Period of Firm Proposal

Prices for the proposed service must be kept firm for at least one hundred and twenty (120) days after the time specified for submitting Proposals. Firm Proposals for periods of less than this number of days may be considered non-responsive. The Proposer may specify a longer period of firm price than indicated here. If no period is indicated by the Proposer in the Proposal, the price will be firm until written notice to the contrary is received from the Proposer.

13. Awards

The CCLBA may, at its discretion evaluate all responsive Proposals. The CCLBA reserves the right to make the award on an all or partial basis or split the award to multiple Proposers based on the lowest responsible proposers meeting the specifications, terms and conditions. If a split award impacts the outcome of the project it must be so stated in the proposal.

14. Cook CCLBA Rights

The CCLBA reserves the right to reject any and all offers, to waive any informality in the offers and, unless otherwise specified by the Proposer, to accept any item in the offer. The CCLBA also reserves the right to accept or reject all or part of your Proposal, in any combination that is economically advantageous to the CCLBA.

15. Alteration/Modification of RFP Content

The Proposer certifies that no alterations or modifications have been made to the content of this Bid/RFP or other procurement documents (either text or graphics). Any alternates or exceptions (whether to products, services, terms, conditions, or other procurement document subject matter) are apparent and clearly noted in the offered proposal. Proposer understands that failure to comply with this requirement may result in the proposal being disqualified and, if determined to be a deliberate attempt to misrepresent the proposal, may be considered as basis to suspend or debar the proposer from future CCLBA procurement opportunities.

16. EVALUATION AND SELECTION PROCESS

16.1 Responsiveness Review

CCLBA personnel will review all proposals to ascertain that they are responsive to all RFP requirements.

16.2 Acceptance of Proposals

Executive Director reserves the right to reject any or all Proposals or any part thereof, to waive informalities, and to accept the Proposal deemed most favorable to the CCLBA.

16.3 Evaluation Process

An evaluation committee comprised of the CCLBA personnel will evaluate all responsive proposals in accordance with the evaluation criteria detailed below.

This evaluation process may result in a short-list of proposals. The evaluation committee, at its option, may request that all or short-listed proposers make a presentation, other customer testimonials, submit clarifications, schedule a site visit of their premises (as appropriate), provide a best and final offer, provide additional references, respond to questions, or consider alternative approaches.

16.4 Proposer Presentations

The CCLBA reserves the right to, but is not obligated to, request and require that each Proposer provide a formal presentation of its Proposal at a date and time to be determined. If required by the CCLBA, it is anticipated that such presentation will not exceed four (4) hours. No Proposer will be entitled to present during, or otherwise receive any information regarding, any presentation of any other Proposer.

16.5 Right to Inspect

The CCLBA reserves the right to inspect and investigate thoroughly the establishment, facilities, equipment, business reputation, and other qualification of the Proposer and any proposed subcontractors and to reject any Proposal regardless of price if it shall be administratively determined that in the CCLBA's sole discretion the Proposer is deficient in any of the essentials necessary to assure acceptable standards of performance. The CCLBA reserves the right to continue this inspection procedure throughout the life of the Contract that may arise from this RFP.

16.6 Best and Final Offer

The CCLBA reserves the right to request a Best and Final Offer from finalist Proposer(s), if it deems such an approach necessary. In general, the Best and Final Offer will consist of updated costs as well as answers to specific questions that were identified during the evaluation of Proposals. If the CCLBA chooses to invoke this option, Proposals will be re-evaluated by incorporating the information requested in the Best and Final Offer document, including costs, and answers to specific questions presented in the document. The specific format for the Best and Final Offer would be determined during evaluation

discussions. Turnaround time for responding to a Best and Final Offers document is usually brief (i.e., five (5) business days).

16.7 Selection Process

Upon review of all information provided by shortlisted proposers, the evaluation committee will make a recommendation for selection to the Executive Director for concurrence and submission to the CCLBA Board of Directors. The CCLBA reserves the right to check references on any projects performed by the proposer whether provided by the proposer or known by the CCLBA. The selected proposal will be submitted for approval to the CCLBA Board. The CCLBA intends to select a proposal that best meets the needs of the CCLBA and provides the best overall value. Upon approval of the selected Proposer, a contract will be prepared by the CCLBA and presented to the Selected Proposer for signature.

17 EVALUATION CRITERIA

17.1 Responsiveness of Proposal

Proposer is compliant with all the requirements of the RFP.

17.2 Technical Proposal

Proposals will be reviewed and selected based on the following criteria:

1. Qualifications and specialized experience for the Proposer to successfully perform the services for the CCLBA, as evidenced by auditing experience for at least three (3) large major governmental entities and hospitals with revenues in excess of \$20 million is preferred. Implementation of similar services for other government agencies, hospitals, public organizations and municipalities will also be considered.
2. Qualifications and experience of the proposed key personnel assigned to performing the services for the CCLBA as evidenced by relevant experience.
3. Quality of the proposed audit program plan of action including project approach, project management and methodology including an implementation plan schedule, explanation of the audit methodology to be followed and understanding of the CCLBA's needs as identified in the RFP.
4. Financial stability of the Proposer showing key measures of financial strength which includes but is not limited to the most recent audited financial statement, annual report by a certified public accountant and a Dunn and Bradstreet rating and if applicable the financial report of your parent company.

17.3 Price Proposal

Price will be evaluated separately for overall reasonableness.

18 SUBMISSION OF PROPOSAL

18.1 Instructions for Submission

18.1.1 Instructions

Proposers are required to electronically submit one copy of their proposal no later than the time and date indicated in the RFP.

a. File #1 (“TECHNICAL PROPOSAL”) will contain documents as noted in Submission Requirements. Do not include any pricing information in this file.

b. File #2 (“PRICING PROPOSAL”) will contain documents as noted in Submission Requirements:

18.1.2 Time for Submission

Proposals shall be submitted no later than the due date and time indicated in this RFP. Late submittals may not be considered.

18.1.3 Format

Material should be organized following the order of the Submission Requirements (Section 7.2).

18.1.4 Complete Proposals

Proposers are advised to carefully review all the requirements and submit all documents and information as indicated in this RFP. Incomplete proposals may lead to a proposal being deemed nonresponsive. Nonresponsive proposals will not be considered.

18.1.5 Packaging and Labeling

All electronically submitted files be clearly marked to identify the 1) RFP solicitation number 2) Name of the proposer 3) Contents of the file (i.e. Price Proposal, Technical Proposal, MBE/WBE Utilization Plan Forms).

18.1.6 Timely Delivery of Proposals

The Proposal, including the Technical Proposal and the Pricing Proposal must be submitted electronically to CCLBA, Office of the Executive Director as per the instructions in Appendix II-Instructions for Submitting an Electronic Bid/Proposal/Qualification. Include the RFP number on any correspondence related to the Proposal.

18.1.7 Late Proposals

The proposer remains responsible for ensuring that its Proposal is received at the time, date, place, and office specified in this RFP. The CCLBA assumes no responsibility for any Proposal not so received, regardless of the cause of delay.

18.1.8 Schedule of Revisions to RFP Schedule

Should the Proposer consider that changes in the CCLBA's RFP schedule are required; the Proposer shall submit a revised summary schedule with an explanation for the revision for the CCLBA's review. The CCLBA will be under no obligation to accept revised schedules.

18.2 Submission Requirements

18.2.1 Cover Letter – File #1

The cover letter shall be signed by an authorized representative of the Proposer. The letter shall indicate the Proposer's commitment to provide the services proposed at the price and schedule proposed.

18.2.2 Executive Summary – File #1

The executive summary should include a brief overview of the Professional Auditing Services and the key personnel who will be responsible for the services to be provided. The Summary shall also identify the members of the team that comprise the Proposer. Indicate the organizational relationship of the team members and include an organization chart for the project.

18.2.3 Qualifications of the Proposer – File #1

Include a brief description of the organization's track record, including history, number of employees, number of years in business, and a list of projects relevant to this RFP. If the Proposer is a joint venture or consortium, these qualifications of each firm comprising the joint venture or consortium should be separately identified. The firm serving as the principal auditor should be noted.

For each firm (including subcontractors) included in the proposal, provide at least three (3) references with relevancy to the project scope.

Provide a list of at least (3) references preferably for Cook County and/or with municipally governments where a similar program or relevant project was implemented.

Proposers are to provide references in the following format:

Contract/Project Name

Name and address of the organization

Name of the contact person (title, email

and phone number)

Project dollar value

Dates of Contract Period

Project Scope (succinct description)

List separately all engagements with Cook County and any other governments within the last five (5) years, ranked on the basis of total staff hours and type of engagement such as audit, management advisory services and/or other similar types of engagements. Indicate the scope of work, date and engagement partners.

Proposer is required to submit a copy of the report on its most recent external quality control review (Peer Review), with a statement whether that quality control review included a review of specific government engagements.

Additionally, Proposer shall provide results of any federal or state desk reviews or filed reviews of its audits during the past three (3) years.

18.2.4 Propose Plan of Action, Timeline, Implementation and Solution – File #1

Provide a detailed proposed plan of action indicating how all requirements under Scope will be met, timeline, recommendations, implementation plan to success and an explanation of the audit methodology and approach to be followed to perform the services in the RFP. Additionally detailing how such plan will be used in conducting the assessment, developing recommendations and the implementation plan to successfully meet the goals, objectives, and purpose of these services for the CCLBA. Such plan should reference sources of information as the CCLBA's budget along with other related materials, organizational charts, manuals, programs, financial and other management information. In addition, the proposed audit and methodology approach engagement shall also include the following:

- o Proposed segmentation
- o Level of staff and number of hours to be assigned
- o Sample size and the extent to which statistical sampling is to be used
- o Extent of use of Oracle software
- o Type and extent of analytical procedures
- o Approach to be followed to gain and document an understanding of the CCLBA's internal control structure
- o Approach to be followed in determining laws and regulations that will subject to audit test work.
- o Approach to be followed in drawing audit samples for purposes of tests of compliance
- o Identification and description of any anticipated potential audit problems
- o Approach to resolving audit problems if any, and the assistance that will be provided to the CCLBA in resolving such problems.
- o Sample formats for required reports.

In addition, the proposed plan of action shall include key milestones and ability to deliver value with a solution evidenced by cost savings.

18.2.5 Key Personnel – File #1

The Proposer must identify the key personnel that will be committed to the project. The Executive Director reserves the right to reject any key personnel proposed if it is determined in the CCLBA's best interest. All key personnel must be totally committed to the project without competing priorities. The evaluation of proposals includes the qualifications of the personnel proposed; therefore, Proposers will name key personnel as part of their Proposal. Key Personnel must not be replaced during the project without the approval of the Executive Director.

Provide a chronological resume for each of the key personnel proposed.

Each key personnel shall have three (3) references.

In addition, provide the time commitment for each key personnel. Indicate the level of their commitment to other projects if any.

RFP No. xxxx-xxxxx

Key Personnel can be both managerial and technical. An affirmative statement should be included that the firm and all assigned key personnel are properly licensed to practice in Illinois. Indicate which assigned key personnel are registered and licensed to practice as a certified public accountant in Illinois. The CCLBA reserves the right to reject any key personnel proposed if it is determined to be in the CCLBA's best interest.

18.2.6 Subcontracting or Teaming – File #1

The proposer may be comprised of one (1) or more firms as to assure the overall success of the project. The firm shall identify each team member and specify their role. The Executive Director reserves the right to accept or reject any of the team members if in the Executive Director's sole opinion replacement of the team member, based on skills and knowledge, is in the best interest of the CCLBA. Completion of Appendix VII Identification of Subcontractor/Supplier/Sub consultant Form is a requirement for proposal submission. Submit the ISF forms with File #2.

18.2.7 MBE/WBE Participation – File #1

For each MBE/WBE certified firm proposed, provide the name of the MBE/WBE firm(s), level of participation, the role that the subcontractor(s) will perform, the type of services that it will provide, and a brief background and resumes of proposed personnel proposed and submit the MBE/WBE Utilization Plan Forms (see Appendix VI) under File #2. The CCLBA may only award a contract to a responsible and responsive proposer. In the event that the proposer does not meet the MBE/WBE participation goal stated by the CCLBA for this procurement, the proposer must nonetheless demonstrate that it undertook good faith efforts to satisfy the participation goal. Evidence of such efforts may include, but shall not be limited to, documentation demonstrating that the proposer made attempts to identify,

contact, and solicit viable MBE/WBE firms for the services required, that certain MBE/WBE firms did not respond or declined to submit proposals for the work, or any other documentation that helps demonstrate good faith efforts. Failure by the proposer to provide the required documentation or otherwise demonstrate good faith efforts will be taken into consideration by the CCLBA in its evaluation of the proposer's responsibility and responsiveness.

18.2.8 Financial Status – File #1

Provide audited financial statements for the last three fiscal years or an annual report by a certified public accountant and a Dunn and Bradstreet rating that demonstrates financial stability for your company. Include the letter of opinion, balance sheet, schedules, and related auditor's notes. If applicable, submit the financial report of your parent company.

18.2.9 Legal Actions – File #1

Provide a list of any pending litigation in which the proposer may experience significant financial settlement and include a brief description of the reason for legal action. Examples of such litigation include but are not limited to debarment from contracting with any governmental entity, professional license discipline and any disciplinary action taken or pending with state regulatory bodies or professional organizations, bankruptcies, adverse civil judgments and administrative findings and criminal felony convictions.

18.2.10 Conflict of Interest – File #1

Provide information regarding any real or potential conflict of interest. Failure to address any potential conflict of interest upfront may be cause for rejection of the proposal. Specifically list and describe the proposer's and proposed subcontractor's professional relationships involving the CCLBA or any of its agencies or component units for the past five (5) years, together with a statement explaining why such relationships do not constitute a conflict of interest relative to performing the proposed audit scope of this RFP.

Additionally, provide an affirmative statement that the proposer is independent of Cook County and CCLBA and all of its offices and agencies as defined by Government Auditing Standards issued by the United States of America.

The proposer shall give the CCLBA written notice via the Executive Director of any professional relationships entered into during the period of this agreement which may be a potential conflict of interest.

18.2.11 CCLBA Professional Services Agreement ("PSA") – File #1

The PSA is provided for information only. Execution of the PSA is not required at the time the proposal is submitted.

18.2.12 Other – File #1

Submit any information the Proposer deems pertinent to demonstrate its qualifications to perform the

services being requested such as memberships in any professional associations.

18.2.13 Addenda Acknowledgement Form – File #1

Since all addenda become a part of the Proposal, the Addenda Acknowledgement Form (found in Appendix V) must be signed by an authorized Proposer representative and returned with the Proposal on or before the Proposal opening date. Failure to sign and return any and all addenda acknowledgements may be grounds for rejection of the Proposal.

18.2.14 Certification for Consulting or Auditing Services – File #1

Execute and Submit the Certification for Consulting or Auditing Services. In the event any further clarification is required on any of the information provided, the CCLBA reserves the right to make any necessary communication with the Proposer for such purpose. Such communication, if made, may include a deadline by which time any necessary clarifying information must be submitted.

18.2.15 Economic Disclosure Statement – File #2

Execute and submit the Economic Disclosure Statement (“EDS”). In the event any further clarification is required on any of the information provided, the CCLBA reserves the right to make any necessary communication with the Proposer for such purpose. Such communication, if made, may include a deadline by which time any necessary clarifying information must be submitted.

18.2.16 Pricing Proposal Form – File #2

Proposers are required to submit the attached pricing proposal separate from the technical proposal. The pricing proposal must be submitted in electronic format (Excel).

If your company has specific, unique and/or innovative ideas to implement this system that are outside of the parameters defined on the pricing proposal, please provide your firm’s recommendations on a separate sheet.