

REQUEST FOR PROPOSALS

AUDITING SERVICES FOR HARDEE COUNTY INDUSTRIAL DEVELOPMENT AUTHORITY



HARDEE COUNTY
INDUSTRIAL DEVELOPMENT AUTHORITY

Hardee County, Florida

September 6, 2016

Response Due by October 20, 2016, 2:00 p.m.

**Prepared By:
Hardee County Industrial Development Authority
107 East Main Street
Wauchula, FL 33873**

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HARDEE COUNTY INDUSTRIAL DEVELOPMENT AUTHORITY

HARDEE COUNTY, FLORIDA
REQUEST FOR PROPOSALS

Hardee County Industrial Development Authority is soliciting proposals for:

AUDITING SERVICES

The Hardee County Industrial Development Authority, hereinafter referred to as “IDA,” will receive proposals at:

Hardee County EDO Office
Attn: Sarah Pelham
107 East Main Street
Wauchula, Florida 33873

Until **October 20, 2016 at 2:00 P. M. local time**, at which time they will be publicly opened by the IDA Director or designee and read aloud. Proposer is responsible for the delivery of its proposal. Those received after the specified day and time will not be opened.

The IDA is seeking proposals in accordance with Chapter 2005.32, Laws of Florida, for the annual financial audit and the annual financial report in accordance with Section 218.39 and 218.32 Florida State Statutes. The annual financial audit could also be required to include single audits in accordance with the audit requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). The audit shall be performed by an independent certified public accountant in accordance with Section 218.39, F.S., and Chapter 10.550, Rules of the Auditor General.

In accordance with Section 218.39, F.S., The IDA has established an Audit Committee to accept, review, evaluate and make recommendations for the selection of the audit firm. In addition, this committee may require verbal presentations from audit firms prior to final selection.

Proposers shall submit one original (clearly marked as the “ORIGINAL”) with five (5) copies of their proposal. Proposal will be awarded at a date and time to be determined by the IDA board.

Hardee County IDA employs a local preference policy.

Hardee County IDA is an equal opportunity employer. The IDA reserves the right to reject any or all proposal(s), and may postpone the award for a period of time which shall not extend beyond sixty (60) calendar days from the proposal opening date. The IDA further reserves the right to waive technicalities or irregularities appearing in any proposal. Late proposals will NOT be accepted.

Vanessa Hernandez, Chair
Hardee County Industrial Development Authority,
Hardee County, Florida

INSTRUCTION TO PROPOSERS

1. **DEFINED TERMS**

- A. The term "Proposer" shall mean one who submits a Proposal directly to the IDA, as distinct from a sub-proposer, who submits a proposal to a proposer.
- B. The term "Consultant" means contractor, agency, or dealer, whichever is applicable.
- C. The term "IDA" shall indicate HARDEE COUNTY INDUSTRIAL DEVELOPMENT AUTHORITY.

2. **PROPOSALS:** In filling out proposals, proposers shall be governed by the following provisions:

- A. Proposals must be signed in ink by the proposer with the signature in full. When a firm is a proposer, the agent who signs the firm name to the proposal shall state in addition, the names and addresses of the individuals composing the firm. The signature shall be in the following form:

JOHN DOE CONTRACTING COMPANY
By: John Doe, President

- B. When a corporation is a proposer, the person signing shall state under the laws of what State the corporation was chartered, and the name and title of the officer having authority under the by-laws to sign contracts. Anyone signing the proposal as agent must file with it legal evidence of his authority to do so. Post Office address, County and State must be given after the signature.
- C. Proposals received on separate sheets and not attached to the complete proposal will be considered informal, and may be rejected as such.
- D. Proposals that contain any omissions, erasure, alterations, additions or items not called for in these specifications, or that show irregularities of any kind, may be rejected as informal or irregular.
- E. An ORIGINAL (clearly marked "Original") and five (5) signed copies of your proposal shall either be mailed or hand delivered to Hardee County EDO Office, Attn: Sarah Pelham, 107 East Main Street, Wauchula, Florida 33873. All proposals are to be submitted in a sealed package, clearly marked **SEALED PROPOSAL – AUDIT SERVICES** with your company name on the outside of the package.
- F. The IDA assumes no responsibility for proposals received after the advertised opening time, whether due to mail delays or any other reason. Proposals received after such time will not be considered. A consultant may withdraw his proposal at any time prior to that fixed for opening proposals without prejudice to himself.
- G. Proposals will be publicly opened at time and place mentioned in the RFP, and proposers are invited to be present at the opening.

3. **DISQUALIFICATION OF PROPOSERS:** The following causes will be considered sufficient to disqualify any proposers, and no proposals from disqualified proposers will be considered:

- A. Collusion among or between proposers.
- C. Lack of experience or capital on the part of the proposers. Evidence of experience, ability, and financial standing, may be required of any or all proposers.

4. **AWARD AND EXECUTION OF CONTRACT:**

- A. RIGHT TO REJECT PROPOSALS: After the proposals are opened, they will be read aloud by the Director or his designee. The IDA reserves the right to reject any or all proposals, and to waive technical errors and informalities.
 - B. PROPOSAL OPENING: Proposals will be opened at 2:00 P.M. on October 20, 2016, or as soon thereafter as possible at the Hardee County EDO Office, 107 East Main Street, Wauchula, Florida.
 - C. PROPOSAL AWARD: Proposal will be awarded at the IDA board meeting at a date and time to be scheduled later.
 - D. EXECUTION OF CONTRACT: In case of failure on the part of the successful proposer to enter into contract, pursuant to his proposal, award may then be made to the next best proposer or the service will be re-advertised, as the IDA Board may decide.
5. PUBLIC ENTITY CRIMES - Section 287.133(2)(a) Florida Statutes, reads as follows:

“A person or affiliate who has been placed on the convicted vendor list following a conviction for a public entity crime may not submit a bid, proposal, or reply on a contract to provide any goods or services to a public entity; may not submit a bid, proposal, or reply on a contract with a public entity for the construction or repair of a public building or public work; may not submit bids, proposals, or replies on leases of real property to a public entity; may not be awarded or perform work as a contractor, supplier, subcontractor, or consultant under a contract with any public entity; and may not transact business with any public entity in excess of the threshold amount provided in s. 287.017 for CATEGORY TWO for a period of 36 months following the date of being placed on the convicted vendor list.”

NOTE: Items furnished shall comply with all applicable Federal and State laws, ordinances, code rules, regulations, orders, and permits.

HARDEE COUNTY INDUSTRIAL DEVELOPMENT AUTHORITY

HARDEE COUNTY, FLORIDA

SCOPE OF SERVICES

AUDITING SERVICES FOR IDA

SECTION 1 GENERAL INFORMATION

The Hardee County Industrial Development Authority is a political subdivision of the State of Florida and it is a special district. It is also a component unit of the Hardee County Board of County Commissioners discreetly presented on their annual financial report. The Hardee County Economic Development Council is a 501(c)3 non-profit that reports as a component unit of the Industrial Development Authority:

AGENCY

FY 2015/2016 BUDGET

Industrial Development Authority
Economic Development Council

\$ 15,000,000
\$ 300,000

The IDA, will make available upon request, for the respondent's review, copies of the latest audit reports, management letters, budgets and financial records for the appropriate fiscal year. No internal audit staff is available to assist the audit team. However, accounting staff will be available to render all possible assistance and will respond promptly to structured requests for information. They will provide all necessary books, records, detailed trial balances, supporting schedules, account reconciliations, and account analyses.

SECTION 2 SCOPE OF WORK

1. The audit shall be performed in compliance with requirement of:
 - A. Section 218.39 Florida Statutes and any amendments thereto;
 - B. Regulations of State Department of Banking and Finance;
 - C. Rules adopted by Auditor General for form and content of special district audits; (Chapter 10.550 Rules of the Auditor General);
 - D. Audits of State and Local Government Units – American Institute of Certified Public Accountant;
 - E. Single Audits in accordance with the audit requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance), and any amendments thereto;
 - F. GASB Statements and any amendments thereto;

2. The audit shall be a financial audit as defined in Section 218.39 and shall cover three (3) fiscal years ending September 30, 2016, 2017 and 2018 with possible yearly extensions upon a mutually agreed cost. The audit shall be conducted in conformity with accounting principles generally accepted in the United States of America (U.S. GAAP). The audit shall be conducted in accordance with auditing standards generally accepted in the United States of America (U.S. GAAP); the standards for financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States; The Single Audit Act Amendment of 1996; the provisions of the audit requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance), Audits of States, Local Governments, and Non-Profit Organizations; and Chapter 10.550, Rules of the Auditor General for Local Government Entity Audits.

3. In the required report(s) on internal controls, the auditor shall communicate any significant deficiency found during the audit immediately to management. A significant deficiency in the design or operation of the internal control structure, which could adversely affect the organization's ability to record, process, summarize and report financial data consistent with the assertions of management in the financial statements. In addition, any non-compliance with bond covenants should be reported. Reportable conditions that are also material weaknesses shall be identified as such in the report. Non-reportable conditions discovered by the auditors shall be reported in a separate letter to management, which shall be referred to in the report(s) on internal controls. The reports on compliance shall include all instances of non-compliance. 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 following party: Hardee County IDA Director and the IDA Chairperson.

4. The auditors shall submit **no later than March 31** of the succeeding fiscal year to the Hardee County IDA Board the annual financial audit including the following:
 - A. Fair presentation of the financial statements in conformity with generally accepted accounting principals;
 - B. Internal control structure based on the auditor's understanding of the control structure and assessment of control risk;
 - C. Compliance with applicable laws and regulations;
 - D. An "in-relation-to" reports in the schedule of expenditures of federal awards;
 - E. Internal control structure used in administering federal financial assistance programs;
 - F. Compliance with the requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on the IDA's major federal programs for the year ended September 30, 2015;
 - G. A management letter which shall identify management weakness observed, assess their effect on the financial management and recommend corrective action and final management letters to the IDA Board which is to be submitted to the Auditor General with the IDA audit shall include responses to such comments submitted by the responsible agencies.
5. The auditors shall prepare the State Annual Financial Report submitted on the prescribed format of the state's electronic system LOGER within 15 days of presenting the annual financial audit.
6. The partner in charge of the audit and the audit manager shall be available to the IDA, for no additional fee, to attend up to three (3) public meetings for discussion of the audit and will be available for technical assistance to IDA staff throughout the term of the agreement.
7. The auditor shall, without charge, make available his work papers to any Federal or State Agency upon request and in accordance with Federal or State Law and Regulations.
8. Fees will be for the complete audit as well as report on internal controls, and management letter and the preparation of the annual financial report.
9. Auditors will submit Independent Auditors' Reports for the Industrial Development Authority.
10. The auditor shall maintain and guarantee access to all work papers (i.e. flow charts, audit memoranda, reports, financial statement, schedules, etc.) for a minimum of three years following the issuance of the related audit report. Work papers will be made available, upon reasonable notice, for examination by authorized representatives of the IDA and cognizant federal and state audit agencies. The auditor recognizes the nature of the information provided to the IDA may sometimes be confidential under state law (228.075 and other applicable provisions) and agrees to protect such confidentiality in accordance with state law.

11. The auditor will provide copies of all flow charts, narrative descriptions of financial accounting systems, worksheets, and schedules.
12. The Auditors shall provide direction, guidance and assistance, to IDA staff in order to establish policies, collect data, educate Industrial Development Authority members and other staff.

SECTION 3 SUBMITTAL REQUIREMENTS

Proposers are advised to carefully follow the instructions listed below in order to be considered fully responsive to the RFP. Proposers are further advised that lengthy or overly verbose or redundant submissions are not necessary. Compliance with all requirements will be solely the responsibility of the Proposer. Failure to provide requested information will result in disqualification of response.

Since the selection committee will evaluate proposals solely on the basis of the written submissions, only self-sufficient proposals should be submitted.

PROPOSAL FORMAT

The proposal must be submitted on 8 ½" x 11" paper, numbered, typewritten, with headings, sections, and sub-sections identified appropriately.

The Proposal in its entirety, including exhibits, must not exceed fifty (50) pages.

1. REQUIRED SUBMITTALS

- a. **Letter of Transmittal:** This letter will summarize in a brief and concise manner, the Proposer's understanding of the scope of work and make a positive commitment to perform the work in a timely manner. The letter should name all of the persons authorized to make representations for the Proposer, including the titles, addresses, and telephone numbers of such persons. An authorized agent of the Proposer must sign the Letter of Transmittal indicating the agent's title or authority. The letter should not exceed two pages in length.
- b. **Type of Business:** The Proposer shall identify the type of business entity involved (e.g.; sole proprietorship, partnership, corporation, joint venture, etc.). The Proposer shall identify whether the business entity is incorporated in Florida, another state, or a foreign country.
- c. **FEIN:** Provide the **Federal Employer Identification Number** of the Proposer.

- d. **Principals:** The proposal must name all persons or entities serving, or intending to serve as principals in the Proposer's firm. Identify each principal of the firm and any other "key personnel" who will be professionally associated with the development and/or presentation of the proposal.
- e. **License Sanctions:** List any regulatory or license agency sanctions.
- f. **Acknowledgment of Addenda:** Include a signed and dated copy of last addendum issued by the IDA, if any.
- g. **Conflict of Interest Statement:** The Proposer shall provide information requested on the Conflict of Interest Statement Form, included in the RFP documents.

2. QUALIFICATIONS AND EXPERIENCE

The submission shall include the following information:

- a. Outline the firm's background and experience related to the services required in the RFP documents. Indicate the location of the firm that would be handling the IDA's account and the size of the firm.
- b. Identify the Principal Supervisory and Management Personnel, including engagement partners, managers, other supervisors and specialists, who would be assigned to the IDA's audit.
- c. Describe the experience of the individuals listed above. Include resumes of the proposed staff.
- d. All assigned **key** professional personnel must be properly registered and/or licensed to practice as a certified public accountant in the State of Florida. Provide copy of such certifications and/or licenses from all assigned personnel. The Applicants must provide information on the government auditing experience of each person as proposed for this project. The information shall include relevant continuing professional education for the past three (3) years and membership in professional organizations relevant to the performance of the Scope of Services.
- e. The Proposer shall provide a list of the most significant engagements (maximum of five (5) performed in the last five (5) years that are similar to the engagement described in the Request for Proposals).
- f. List a minimum of five (5) references as evidence of experience in governmental accounting and auditing in the State of Florida including the name of the client, telephone number, fax number and a brief description of the services being provided, the total cost of the Agreement.

- g. The Proposer must include information related to the current and near future workload.
- h. The Proposer must submit a copy of the firm's most recent external quality control review and whether that quality control review included a review of specific government engagements.
- i. The Proposer shall submit the results of any Federal or State desk reviews or field reviews of its audits during the past three (3) years.
- j. The Proposer shall provide information on the circumstances of any disciplinary action taken or pending against the firm during the past three (3) years with state regulatory entities or any professional organizations.

3. PROJECT APPROACH

The purpose of the Proposal is to demonstrate the qualifications, competence and capacity of the firms seeking to undertake an independent audit of the IDA in conformity with the requirement of the Request for Proposals. As such, the substance of proposals will carry more weight than their form or manner of presentation. The proposal should demonstrate the qualifications of the firm and staff to be assigned to the IDA's audit. It should also specify an audit approach that will meet the requirements.

This section of the submittal must explain the Scope of Work as understood by the Respondent and detail the approach, activities and work products in relation to the required scope of services. Information must address the following:

- a. What your company would do first, if selected. The Proposer must provide a preliminary schedule for performing "key" phases of the audit and indicate a completion date for each phase.
- b. The proposed segmentation of the engagement. Level of staff and number of hours to be assigned to each proposed segment of the engagement.
- c. Sample size (transactions) and the extent to which statistical sampling is to be used in the engagement
- d. Extent of use of Electronic Data Processing software in the engagement.
- e. Type and extent of analytical procedures to be used in the engagement.
- f. Approach to be taken to gain and document the understanding of the IDA's internal control structure.
- g. Approach to be taken in determining laws and regulations that will be subject to audit test work.

- h. Approach to be taken in drawing audit samples for purposes of tests of compliance.

- i. Provide an affirmative independent statement of the IDA as defined by the General Accounting Office.

- j. Other information the Proposer may deem advantageous to demonstrate understanding and approach to the work.

SECTION 4 SELECTION CRITERIA

1. EVALUATION METHOD

The Audit Committee will evaluate all responses received by the IDA by the submittal date set forth in this RFP or as amended by addenda on the basis of the criteria above. The Audit Committee will evaluate the Proposals and make a recommendation to the Industrial Development Authority Board.

During the evaluation process the Audit Committee and the IDA reserve the right, where it may serve the IDA's best interest, to request additional information or clarifications from proposer, or to allow corrections of errors or omissions. Serious errors or omissions will be cause for the IDA to reject the proposal. At the discretion of the IDA or the Audit Committee, firms submitting the proposal may be requested to make oral presentations as part of the evaluation process.

2. NEGOTIATIONS

Upon final recommendation from the audit committee to the IDA Board, the IDA Director will execute the engagement letter with the selected firm. The IDA shall be the sole judge of its own best interests, the proposals, and the resulting agreement. The IDA's decisions will be final.

3. EVALUATION CRITERIA

The following criteria shall be utilized in the evaluation of the proposals:

a. QUALIFICATIONS (25 Points)

Considerations:

1. Meeting applicable independence criteria
2. License to practice as a CPA in the state of Florida
3. The quality of the firm's professional personnel to be assigned to the engagement and the quality of the firm's management support personnel to be available for the technical consultation. Receipt of adequate continuing professional education by key personnel.
4. History of performing quality audits to GASB standards.
5. Ability to perform additional services and provide technical support throughout the period of the engagement.
6. Quality control report
7. Experience in GASB accounting

b. EXPERIENCE (25 Points)

Considerations:

1. Adequacy of proposed staffing plan for various segments of the engagement including supervision and involvement of the experienced personnel.
2. Adequacy of audit work plan and sampling techniques.
3. Experience with specific state and federal grant programs.
4. Experience with information technology systems.
5. Experience with accounting software.
6. GASB auditing experience

c. PROJECT APPROACH (25 Points)

Considerations:

1. Approach to documentation and review of the comprehensive framework of internal controls
2. Adequacy of proposed staffing plan (hours and level) for the various segments of the engagement.
3. Adequacy of sampling techniques.
4. Adequacy of analytical procedures.
5. Time line appropriately scheduled

d. REFERENCES (25 Points)

STATEMENT OF NO PROPOSAL

If you do not intend to bid on this requirement, please return this form immediately to:

Hardee County EDO
Attn: Sarah Pelham
107 East Main Street
Wauchula, FL 33873

We, the undersigned, have declined to submit a proposal on your Proposal for Audit Services:

- Specifications too "tight", i.e. geared toward one consultant only
- Insufficient time to respond to the Request for Proposals
- We do not offer this service
- Our schedule would not permit us to perform
- Unable to meet specifications
- Specifications unclear (explain below)
- Unable to meet Insurance requirements
- Remove us from your "Proposers List" altogether
- Other (specify below)

REMARKS: _____

We understand that if this Statement of No Proposal is not executed and returned, our name may be deleted from your Proposers List for this commodity.

Company Name: _____

Signature: _____

Telephone: _____ Date: _____

IDA CODE ON DISCLOSURE OF RELATIONSHIPS

SWORN STATEMENT UNDER Florida Statute chapter 112,

**THIS FORM MUST BE SIGNED IN THE PRESENCE OF A NOTARY PUBLIC OR OTHER OFFICER
AUTHORIZED TO ADMINISTER OATHS.**

1. This sworn statement is submitted with **Proposal for Audit Services.**
2. I understand that an "affiliate" as defined in, the IDA standards of conduct, means: The term "affiliate" includes those officers, directors, executives, partners, shareholders, employees, members and agents who are active in the management of the entity.
3. I understand that the relationship with an IDA Board Member or employee must be disclosed as follows: Father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, daughter-in-law, son-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, half sister, grandparent, or grandchild.
4. Based on information and belief, the statement which I have marked below is true in relation to the entity submitting this sworn statement. (Please indicate which statement applies).
 - 4.1 _____ Neither the entity submitting this sworn statement, nor any officers, directors, executives, partners, shareholders, employees, members, or agents who are active in management of the entity, have any relationships as defined by the IDA standards of conduct, with any IDA Board Member or employee.
 - 4.2 _____ The entity submitting this sworn statement, or one or more of the officers, directors, executives, partners, shareholders, employees, members, or agents who are active in management of the entity have the following relationships as listed in #3 above.

Name of Affiliate or Entity	Name of County Employee	Relationship
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

This sworn statement is submitted by:

_____	_____
(FIRM)	(SIGNATURE)
_____	_____
(DATE)	(FEIN/SS#)

STATE OF _____
COUNTY OF _____

The foregoing instrument was acknowledged before me this _____ day of _____, 20___, by _____, who is personally known to me or who has produced _____ as identification.

NOTARY PUBLIC

Signature

My Commission Expires:

(SEAL)

SIGNATURE SHEET
Hardee County Industrial Development Authority
AUDIT SERVICES

I, the undersigned, do hereby acknowledge I have read all the requests listed herein and have submitted my proposal accordingly. I have submitted all documentation required.

Company Name: _____

Principal Location of the Company: _____

Authorized Principal in Charge of Project: _____

Type or print name as signed above: _____

Direct telephone: (_____) _____

Fax Number: (_____) _____

Cell Phone: (_____) _____

Email Address: _____

Local Location if different from above: _____

Authorized Person in Charge of Project at this Location: _____

Signature: _____

Type or print name as signed above: _____

Direct telephone: (_____) _____

Fax Number: (_____) _____

Cell Phone: (_____) _____

Email: _____

PROPOSER CONFLICT OF INTEREST STATEMENT

STATE OF FLORIDA, CITY OF _____

Before me, the undersigned authority, personally appeared _____, who was duly sworn deposes and states:

1. I am the _____ of _____, with a local office in _____ and principal office in _____
City & State City & State
2. The above named entity is submitting a Proposal for the Hardee County Industrial Development Authority Request for Audit Services.
3. The Affiant has made diligent inquiry and provides the information contained in the Affidavit based upon his/her own knowledge.
4. The Affiant states that only one submittal for the above proposal is being submitted and that the above named entity has no financial interest in other entities submitting proposals for the same project.
5. Neither the Affiant nor the above named entity has directly or indirectly entered into any agreement, participated in any collusion, or otherwise taken any action in restraints of free competitive pricing in connection with the entity's submittal for the above proposal. This statement restricts the discussion of pricing data until the completion of negotiations if necessary and execution of the Contract for this project.
6. Neither the entity nor its affiliates, nor any one associated with them, is presently suspended or otherwise ineligible from participation in contract letting by any local, State, or Federal Agency.
7. Neither the entity nor its affiliates, nor any one associated with them have any potential conflict of interest due to any other clients, contracts, or property interests for this project.
8. I certify that no member of the entity's ownership or management is presently applying for an employee position or actively seeking an elected position with Hardee County.
9. I certify that no member of the entity's ownership or management, or staff has a vested interest in any aspect of Hardee County.
10. In the event that a conflict of interest is identified in the provision of services, I, on behalf of the above named entity, will immediately notify Hardee County.

DATED this _____ day of _____, 20____.

(Affiant)

Typed Name and Title

Sworn to and subscribed before me this _____ day of _____, 20____.

Personally Known _____ Or produced identification _____

Identification type: _____

Notary Public-State of _____

Printed, typed, or stamped commissioned name of notary public.

My commission expires: _____

THIS FORM MUST BE COMPLETED AND RETURNED WITH YOUR PROPOSAL.

SWORN STATEMENT UNDER SECTION
287.133(3) FLORIDA STATUTES ON PUBLIC ENTITY CRIMES

**THIS FORM MUST BE SIGNED IN THE PRESENCE OF A NOTARY PUBLIC OR OTHER
OFFICER AUTHORIZED TO ADMINISTER OATHS.**

1. This sworn statement is submitted with **Proposal for Audit Services.**
2. This sworn statement is submitted by _____ whose business address is _____ and (if applicable) its Federal Identification No.(FEIN) is _____. If entity has no FEIN, include the Social Security Number of the individual signing this sworn statement _____.
3. My name is _____ and my relationship to the entity named above is _____.
4. I understand that as defined by Section 287.133(1)(a), F.S. “Affiliate” means: A predecessor or successor of a person convicted of a public entity crime; or 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 officers, directors, executives, partners, shareholders, employees, members, and agents who are active in the management of an 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 for fair market value under an arm’s length agreement, shall be a prima 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 as defined by Section 287.133(1)(b), F.S., “Convicted” or “conviction” 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.
6. I understand that as defined by Section 287.133(1) (e), F.S., “Person” means any natural person or any entity organized under the laws of any state or of the United States with the legal power to enter into a binding contract and which bids or applies to bid on contracts 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 an entity.
7. I understand that as defined by Section 287.133(1)(g), F.S., “Public entity crime” 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, any bid, proposal, reply, or contract for goods or services, any lease for real property, or any contract for the construction or repair of a public building or public work, involving antitrust, fraud, theft, bribery, collusion, racketeering, conspiracy, or material misrepresentation.

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

_____ Neither the entity submitting this sworn statement, nor any officers, directors, executives, partners, shareholders, employees, members or agents who are active in management of the entity, nor any affiliate of the entity have been charged with and convicted of a public entity crime.

_____ The entity submitting this sworn statement, or one or more of the officers, directors, executives, partners, shareholders, employees, members 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 (Please indicate which additional statement applies)

_____ There has been a proceeding concerning the conviction before a hearing officer of the State of Florida, Division of Administrative Hearings. The final order entered by the hearing officer did not place the person or affiliate on the convicted vendor list. (Please attach a copy of the final order)

_____ The person or affiliate was placed on the convicted vendor list. There has been a subsequent proceeding before a hearing officer of the State of Florida, Division of Administrative Hearings. The final order entered by the hearing officer determined that it was in the public interest to remove the person or affiliate from the convicted vendor list. (Please attach a copy of the final order)

_____ The person or affiliate has not been placed on the convicted vendor list. (Please describe any action taken by, or pending with, the Department of General Services)

Signature: _____ Date: _____

SUBSCRIBED AND SWORN TO BEFORE ME THIS _____ DAY OF _____, 20__.

Notary Public, State of Florida My Commission Expires: _____

THIS FORM MUST BE COMPLETED AND RETURNED WITH YOUR PROPOSAL.

NON-COLLUSION AFFIDAVIT OF PROPOSER

STATE OF _____

COUNTY OF _____

_____, being duly sworn, deposes and says that:

1. He/She is _____ of _____ the proposer Title
Company Name

that has submitted the attached proposal;

2. He/She is fully informed respecting the preparation and contents of the attached proposal and of all pertinent circumstances respecting such proposal;

3. Such Proposal is genuine and is not a collusive or sham proposal;

4. Neither the said Proposer nor any of its officers, partners, owners, agents, representatives, employees, or parties in interest, including this affiant, has in any way colluded, connived, or agreed, directly or indirectly, with any other proposer, firm or person to submit a collusive or sham Proposal in connection with such Contract, or has in any manner, directly or indirectly, sought by agreement or collusion or communication or conference with any other proposer, firm, or person to fix the price or prices in the attached proposal or any other proposer, or to fix any overhead, profit or cost element of the proposal price or the proposal price of any other proposer, or to secure through any collusion, connivance, or unlawful agreement any advantage against Hardee County, Florida or any person interested in the proposed Contract; and

5. The price or prices quoted in the attached proposal are fair and proper and are not tainted by any collusion, conspiracy, connivance, or unlawful agreement on the part of the proposer or any of its agents, representatives, owners, employees, or parties in interest, including this affiant.

SIGNED _____

TITLE _____

SUBSCRIBED AND SWORN TO BEFORE ME THIS _____ DAY OF _____, 20__.

Notary Public, State of Florida My Commission Expires: _____

THIS FORM MUST BE COMPLETED AND RETURNED WITH YOUR PROPOSAL.

REFERENCES

As per the General Specifications Section, below is a list of at least five (5) client/customer references including company name, address, contact person, telephone number and length of time services provided. (Note: only list those client/customers in which a similar type of equipment/product of scope of work/service was provided.)

1. Company Name: _____
Address: _____
Business Phone #: _____
Contact Person: _____

2. Company Name: _____
Address: _____
Business Phone #: _____
Contact Person: _____

3. Company Name: _____
Address: _____
Business Phone #: _____
Contact Person: _____

4. Company Name: _____
Address: _____
Business Phone #: _____
Contact Person: _____

5. Company Name: _____
Address: _____
Business Phone #: _____
Contact Person: _____

THIS FORM MUST BE COMPLETED AND RETURNED WITH YOUR PROPOSAL.

AGREEMENT

This AGREEMENT made this the _____ day of _____, 2016 by and between the HARDEE COUNTY INDUSTRIAL DEVELOPMENT AUTHORITY (a.k.a. the OWNER and the IDA) and _____, hereinafter known as the CONTRACTOR.

WITNESSETH that whereas the IDA INTENDS TO utilize this Contractor to provide ANNUAL AUDIT SERVICES, hereinafter known as the PROJECT, in accordance with the specifications and other Contract documents as prepared by the IDA.

Now, THEREFORE, the OWNER and the CONTRACTOR for the considerations hereinafter set forth, agree to the following:

The CONTRACTOR, agrees to furnish all the necessary labor, insurance, and supervision required to handle all work required, in strict accordance with all the Contract documents, which are hereby made part of this Contract including the following Addenda:

Addenda	No. _____	Dated: _____
	No. _____	Dated: _____
	No. _____	Dated: _____

The IDA agrees to pay, and the Contractor agrees to accept, in full payment for the performance of this Contract as per your proposal dated _____.

Successor and Assigns: This agreement and all of the covenants hereof shall insure to the benefit of and be binding upon the IDA and the Contractor respectively and his partners, successors, assigns and legal representatives. Neither the IDA nor the Contractor shall have the right to assign, transfer or sublet its interests or obligations hereunder without written consent of the other party in accordance with the Contract Documents. The Contract Documents include:

- Request for Proposal
- Instructions to Proposers,
- Scope of Services
- Addenda (s)
- Agreement

All Contract documents are made a part of the agreement just as if incorporated herein.

IN WITNESS WHEREOF, the OWNER and the CONTRACTOR, respectively, have caused this agreement to be duly executed the _____ day of _____ 2016.

CONTRACTOR:

HARDEE COUNTY INDUSTRIAL
DEVELOPMENT AUTHORITY

By: _____

By: _____

Hardee County Industrial Development Authority
Audit Services Request for Proposals, 2016

(Print Name)

(Print Title)

WITNESS: _____

WITNESS: _____

ATTEST:

By: _____

(Print Name)

(Print Title)

(Print Name)

(Print Title)

WITNESS: _____

WITNESS: _____