**Early Childhood Education and**

**Care Department**

**REQUEST FOR PROPOSALS (RFP)**



**Financial and Compliance Audit**

**RFP# 2021-0001**

RFP Release Date: February 2, 2021

Proposal Due Date: March 12, 2021

**ELECTRONIC-ONLY PROPOSAL SUBMISSION**

[I. INTRODUCTION 1](#_Toc60062248)

[A. PURPOSE OF THIS REQUEST FOR PROPOSALS 1](#_Toc60062249)

[B. BACKGROUND INFORMATION 1](#_Toc60062250)

[C. SCOPE OF PROCUREMENT 2](#_Toc60062251)

[D. PROCUREMENT MANAGER 2](#_Toc60062252)

[E. PROPOSAL SUBMISSION 2](#_Toc60062253)

[F. DEFINITION OF TERMINOLOGY 2](#_Toc60062254)

[II. CONDITIONS GOVERNING THE PROCUREMENT 5](#_Toc60062255)

[A. SEQUENCE OF EVENTS 5](#_Toc60062256)

[B. EXPLANATION OF EVENTS 6](#_Toc60062257)

[1. Issue RFP 6](#_Toc60062258)

[2. Acknowledgement of Receipt Form 6](#_Toc60062259)

[3. Deadline to Submit Written Questions 6](#_Toc60062260)

[4. Response to Written Questions 7](#_Toc60062261)

[5. Submission of Proposal 7](#_Toc60062262)

[6. Proposal Evaluation 7](#_Toc60062263)

[7. Selection of Finalists 7](#_Toc60062264)

[8. Best and Final Offers 8](#_Toc60062265)

[9. Oral Presentations 8](#_Toc60062266)

[10. Finalize Contractual Agreements 8](#_Toc60062267)

[11. Contract Awards 8](#_Toc60062268)

[12. Protest Deadline 8](#_Toc60062269)

[C. GENERAL REQUIREMENTS 9](#_Toc60062270)

[1. Acceptance of Conditions Governing the Procurement 9](#_Toc60062271)

[2. Incurring Cost 9](#_Toc60062272)

[3. Prime Contractor Responsibility 9](#_Toc60062273)

[4. Subcontractors/Consent 9](#_Toc60062274)

[5. Amended Proposals 9](#_Toc60062275)

[6. Offeror’s Rights to Withdraw Proposal 10](#_Toc60062276)

[7. Proposal Offer Firm 10](#_Toc60062277)

[8. Disclosure of Proposal Contents 10](#_Toc60062278)

[9. No Obligation 11](#_Toc60062279)

[10. Termination 11](#_Toc60062280)

[11. Sufficient Appropriation 11](#_Toc60062281)

[12. Legal Review 11](#_Toc60062282)

[13. Governing Law 11](#_Toc60062283)

[14. Basis for Proposal 11](#_Toc60062284)

[15. Contract Terms and Conditions 11](#_Toc60062285)

[16. Offeror’s Terms and Conditions 12](#_Toc60062286)

[17. Contract Deviations 12](#_Toc60062287)

[18. Offeror Qualifications 12](#_Toc60062288)

[19. Right to Waive Minor Irregularities 13](#_Toc60062289)

[20. Change in Contractor Representatives 13](#_Toc60062290)

[21. Notice of Penalties 13](#_Toc60062291)

[22. Agency Rights 13](#_Toc60062292)

[23. Right to Publish 13](#_Toc60062293)

[24. Ownership of Proposals 13](#_Toc60062294)

[25. Confidentiality 13](#_Toc60062295)

[26. Electronic mail address required 14](#_Toc60062296)

[27. Use of Electronic Versions of this RFP 14](#_Toc60062297)

[28. New Mexico Employees Health Coverage 14](#_Toc60062298)

[29. Campaign Contribution Disclosure Form 15](#_Toc60062299)

[30. Letter of Transmittal 15](#_Toc60062300)

[31. Disclosure Regarding Responsibility 15](#_Toc60062301)

[32. New Mexico Preferences 17](#_Toc60062302)

[III. RESPONSE FORMAT AND ORGANIZATION 18](#_Toc60062303)

[A. NUMBER OF RESPONSES 18](#_Toc60062304)

[B. NUMBER OF COPIES 18](#_Toc60062305)

[1. ELECTRONIC SUBMISSION ONLY Responses (ececd.rfa@state.nm.us) 18](#_Toc60062306)

[C. PROPOSAL FORMAT 19](#_Toc60062307)

[1. Proposal Content and Organization 19](#_Toc60062308)

[IV. SPECIFICATIONS 21](#_Toc60062309)

[A. DETAILED SCOPE OF WORK 21](#_Toc60062310)

[B. TECHNICAL SPECIFICATIONS 21](#_Toc60062311)

[1. Organizational Background 21](#_Toc60062312)

[2. Detailed Organizational Information 22](#_Toc60062313)

[3. Organizational References 23](#_Toc60062314)

[4. Minimum Qualifications 24](#_Toc60062315)

[C. BUSINESS SPECIFICATIONS 25](#_Toc60062316)

[1. Financial Stability 25](#_Toc60062317)

[2. Letter of Transmittal Form 25](#_Toc60062318)

[3. Campaign Contribution Disclosure Form 26](#_Toc60062319)

[4. Cost 26](#_Toc60062320)

[5. Resident Business or Resident Veterans Preference 26](#_Toc60062321)

[V. EVALUATION 27](#_Toc60062322)

[A. EVALUATION POINT SUMMARY 27](#_Toc60062323)

[B. EVALUATION FACTORS 27](#_Toc60062324)

[1. B.1 Organizational Background (See Table 1) 27](#_Toc60062325)

[2. B.2 Detailed Organizational Information (See Table 1) 27](#_Toc60062326)

[3. B.3 Organizational References 27](#_Toc60062327)

[4. B.4 Minimum Qualifications 28](#_Toc60062328)

[5. C.1 Financial Stability (See Table 1) 28](#_Toc60062329)

[6. C.2 Letter of Transmittal (See Table 1) 28](#_Toc60062330)

[7. C.3 Campaign Contribution Disclosure Form (See Table 1) 28](#_Toc60062331)

[8. C.4 Cost (See Table 1) 28](#_Toc60062332)

[9. C.5. New Mexico Preferences 28](#_Toc60062333)

[C. EVALUATION PROCESS 29](#_Toc60062334)

[APPENDIX A 30](#_Toc60062335)

[ACKNOWLEDGEMENT OF RECEIPT FORM 30](#_Toc60062336)

[APPENDIX B 32](#_Toc60062337)

[CAMPAIGN CONTRIBUTION DISCLOSURE FORM 32](#_Toc60062338)

[APPENDIX C 35](#_Toc60062339)

[DRAFT CONTRACT 35](#_Toc60062340)

[APPENDIX D 42](#_Toc60062341)

[COST RESPONSE FORM 42](#_Toc60062342)

[APPENDIX E 43](#_Toc60062343)

[LETTER OF TRANSMITTAL FORM 43](#_Toc60062344)

[APPENDIX F 45](#_Toc60062345)

[ORGANIZATIONAL REFERENCE QUESTIONNAIRE 45](#_Toc60062346)

[APPENDIX G 49](#_Toc60062347)

[CERTIFICATION OF MINIMUM QUALIFICATIONS 49](#_Toc60062348)

# I. INTRODUCTION

### PURPOSE OF THIS REQUEST FOR PROPOSALS

The purpose of the Request for Proposal (RFP) is to solicit proposals to establish a contract through competitive negotiations for the procurement of a financial and compliance audit. The Early Childhood Education and Care Department (“ECECD” or the Agency) is requesting proposals from qualified firms that have demonstrated past excellence and knowledge in providing financial and compliance audits to state agencies.

### BACKGROUND INFORMATION

In 2019, Gov. Lujan Grisham and the New Mexico Legislature created ECECD. ECECD was created by the Early Childhood Education and Care Department Act, NMSA 1978, Section 9-29-1 to 9-29-12. The Department officially launched on July 1, 2020. The Department’s aim is to create a more cohesive, equitable, and effective early childhood system in New Mexico. That means coordinating a continuum of programs from prenatal to five – and ensuring that families in every corner of the state can access the services they need. The Department also oversees child care programs – as well as food and nutrition programs – that serve older children and families.

The Department consists of the following programs and departments:

Program Support

* Office of the Secretary
* Administrative Services Division
* Information Technology
* Director Policy, Planning and Research
* Quality Initiative

Support and Intervention

* Director’s Office
* Families, Infants and Toddlers
* Families FIRST
* Home Visiting

Early Childhood Education and Care

* Director’s Office
* Child Care Assistance
* Child Care Regulatory Oversight
* Family Nutrition
* Private PreK
* Public PreK

### SCOPE OF PROCUREMENT

ECECD is seeking a contractor to conduct a financial and compliance audit for applicable statements and schedules of the Agency and other financial and compliance audit services as further described in Section IV.A for the period from July 1, 2020 through June 30, 2021 with the option to extend for two successive one-year terms based on the cost stated in the original proposal. This procurement will result in a contractual agreement between two parties; the procurement may ONLY be used by those two parties exclusively.

### PROCUREMENT MANAGER

ECECD has assigned a Procurement Manager who is responsible for the conduct of this procurement whose name, address, telephone number and Email address are listed below:

Name: Mario Maes, Procurement Manager

Telephone: 505-660-7732

Email: [Mario.Maes@state.nm.us](mailto:Mario.Maes@state.nm.us)

1. **Any inquiries or requests** regarding this procurement should be submitted, in writing, to the Procurement Manager. Offerors may contact **ONLY** the Procurement Manager regarding this procurement. Other state employees or Evaluation Committee members do not have the authority to respond on behalf of the ECECD.
2. **Protests of the solicitation or award must be submitted in writing to the Protest Manager identified in Section II.B.12.**  As a Protest Manager has been named in this Request for Proposals, pursuant to §13-1-172, NMSA 1978 and 1.4.1.82 NMAC, **ONLY protests delivered directly to the Protest Manager in writing and in a timely fashion will be considered to have been submitted properly and in accordance with statute, rule and this Request for Proposals.** Protests submitted or delivered to the Procurement Manager will **NOT** be considered properly submitted.

### PROPOSAL SUBMISSION

Submissions of all proposals must be accomplished via ececd.rfa@state.nm.us.**Refer to Section III.B.1 for instructions.**

### DEFINITION OF TERMINOLOGY

This section contains definitions of terms used throughout this procurement document, including appropriate abbreviations:

1. “**Agency**” means the Early Childhood Education and Care Department.
2. **“Audit Rule”** means title and chapter 2.2.2 of the NMAC (New Mexico Administrative Code), “Audits of governmental Entities”, which is posted on the State Auditor’s website at [www.saonm.org](http://www.saonm.org).
3. “**Award**” means the final execution of the contract document.
4. “**Business Hours**” means 8:00 AM thru 5:00 PM Mountain Standard Time (MST) or Mountain Daylight Time (MDT), whichever is in effect on the date given.
5. “**Close of Business**” means 5:00 PM MST or MDT, whichever is in use at that time.
6. “**Confidential**” means confidential financial information concerning Offeror’s organization and data that qualifies as a trade secret in accordance with the Uniform Trade Secrets Act §§57-3-A-1 through 57-3A-7, NMSA 1978. See also NMAC 1.4.1.45. The following items may **not** be labelled as confidential: Offeror’s submitted Cost response, Staff/Personnel Resumes/Bios (excluding personal information such as personal telephone numbers and/or home addresses), and other submitted data that is **not** confidential financial information or that qualifies under the Uniform Trade Secrets Act.
7. “**Contract**” means any agreement for the procurement of items of tangible personal property, services or construction.
8. “**Contractor**” means any business having a contract with a state agency or local public body.
9. **“Department”** means the Early Childhood Education and Care Department. This term is used interchangeably with “Agency”.
10. “**Determination**” means the written documentation of a decision of a procurement officer including findings of fact required to support a decision. A determination becomes part of the procurement file to which it pertains.
11. “**Desirable**” – the terms ”may,” “can,” “should,” “preferably,” or “prefers” identify a desirable or discretionary item or factor.
12. **“DFA”** means the Department of Finance and Administration for the State of New Mexico.
13. “**Electronic Version/Copy**” means a digital form consisting of text, images or both readable on computers or other electronic devices that includes all content that the Original and Hard Copy proposals contain. The digital form may be submitted through Email.
14. “**Evaluation Committee**” means a body appointed to perform the evaluation of Offerors’ proposals.
15. “**Evaluation Committee Report**” means a report prepared by the Procurement Manager and the Evaluation Committee to support the Committee’s recommendation for contract award. It will contain scores and written evaluations of all responsive Offeror proposals.
16. “**Final Award**” means, in the context of this Request for Proposals and all its attendant documents, that point at which the final required signature on the contract(s) resulting from the procurement has been affixed to the contract(s) thus making it fully executed.
17. “**Finalist**” means an Offeror who meets all the mandatory specifications of this Request for Proposals and whose score on evaluation factors is sufficiently high to merit further consideration by the Evaluation Committee.
18. “**FY”** means Fiscal Year.
19. “**Hourly Rate**” means the proposed fully loaded maximum hourly rates that include travel, per diem, fringe benefits and any overhead costs for contractor personnel, as well as subcontractor personnel if appropriate.
20. **“IPA”** means Independent Public Accountant.
21. “**IT**” means Information Technology.
22. “**Mandatory**” – the terms ”must,” ”shall” ”will,” ”is required,” or ”are required,” identify a mandatory item or factor. Failure to meet a mandatory item or factor may result in the rejection of the Offeror’s proposal.
23. “**Minor Irregularities**” means anything in the proposal that does not affect the price, quality and/or quantity, or any other mandatory requirement.
24. “**Offeror**” is any person, corporation, or partnership who chooses to submit a proposal.
25. **“OSA”** means Office of the State Auditor.
26. “**Procurement Manager**” means any person or designee authorized by a state agency or local public body to enter into or administer contracts and make written determinations with respect thereto.
27. “**Procuring Agency**" means all State of New Mexico agencies, commissions, institutions, political subdivisions and local public bodies allowed by law to entertain procurements.
28. “**Request for Proposals (RFP)**” means all documents, including those attached or incorporated by reference, used for soliciting proposals.
29. “**Responsible Offeror**" means an Offeror who submits a responsive proposal and who has furnished, when required, information and data to prove that his financial resources, production or service facilities, personnel, service reputation and experience are adequate to make satisfactory delivery of the services, or items of tangible personal property described in the proposal.
30. “**Responsive Offer**” means an offer which conforms in all material respects to the requirements set forth in the request for proposals. Material respects of a request for proposals include, but are not limited to price, quality, quantity or delivery requirements.
31. “**Sealed**” means, in terms of a non-electronic submission, that the proposal is enclosed in a package which is completely fastened in such a way that nothing can be added or removed. Open packages submitted will not be accepted except for packages that may have been damaged by the delivery service itself. The State reserves the right, however, to accept or reject packages where there may have been damage done by the delivery service itself. Whether a package has been damaged by the delivery service or left unfastened and should or should not be accepted is a determination to be made by the Procurement Manager. By submitting a proposal, the Offeror agrees to and concurs with this process and accepts the determination of the Procurement Manager in such cases.
32. “**Staff**” means any individual who is a full-time, part-time, or an independently contracted employee with the Offerors’ company.
33. “**State (the State)**” means the State of New Mexico.
34. “**State Agency**” means any department, commission, council, board, committee, institution, legislative body, agency, government corporation, educational institution or official of the executive, legislative or judicial branch of the government of this state.
35. “**Statement of Concurrence**” means an affirmative statement from the Offeror to the required specification agreeing to comply and concur with the stated requirement(s). This statement shall be included in Offerors proposal. (E.g. “We concur,” “Understands and Complies,” “Comply,” “Will Comply if Applicable,” etc.)
36. “**Unredacted**” means a version/copy of the proposal containing all complete information; including any that the Offeror would otherwise consider confidential, such copy for use only for the purposes of evaluation.
37. “**Written**” means typewritten on standard 8 ½ x 11-inch paper. Larger paper is permissible for charts, spreadsheets, etc.

# II. CONDITIONS GOVERNING THE PROCUREMENT

This section of the RFP contains the schedule of events, the descriptions of each event, and the conditions governing this procurement.

## SEQUENCE OF EVENTS

The Procurement Manager will make every effort to adhere to the following schedule. These dates are subject to change at the discretion of ECECD.

|  |  |  |
| --- | --- | --- |
| **Action** | **Responsible Party** | **Due Dates** |
| 1. Issue RFP | ECECD | February 2, 2021 |
| 2. Acknowledgement of Receipt Form | Potential Offerors | February 15, 2021 |
| 3. Deadline to submit  Written Questions | Potential Offerors | February 15, 2021 |
| 4. Response to Written  Questions | ECECD | February 19, 2021 |
| ***5. Submission of Proposal*** | ***Potential Offerors*** | ***March 12, 2021*** |
| 6. Proposal Evaluation | Evaluation Committee | March 15 – April 2, 2021 |
| 7. Selection of Finalists | Evaluation Committee | April 5, 2021 |
| 8. Best and Final Offers | Finalist Offerors | April 6, 2021 (Optional) |
| 9. Oral Presentation(s) | Finalist Offerors | April 7, 2021 (Optional) |
| 10. Finalize Contractual Agreements | ECECD/Finalist Offerors | April 8 – May 20, 2021 |
| 11. Contract Awards | ECECD/ Finalist Offerors | May 21, 2021 |
| 12. Protest Deadline | ECECD | 15 days after awarding of contract. |

## EXPLANATION OF EVENTS

The following paragraphs describe the activities listed in the Sequence of Events shown in Section II.A., above.

### Issue RFP

This RFP is being issued on behalf of the Early Childhood Education and Care Department (ECECD) on February 2, 2021.

### Acknowledgement of Receipt Form

Potential Offerors may Email the Acknowledgement of Receipt Form (APPENDIX A), to the Procurement Manager at [Mario.Maes@state.nm.us](mailto:Mario.Maes@state.nm.us), to have their organization placed on the procurement Distribution List. The form must be returned to the Procurement Manager by 3:00 pm MST/ MDT on the date indicated in Section II.A, Sequence of Events

The procurement distribution list will be used for the distribution of written responses to questions, and/or any amendments to the RFP. Failure to return the Acknowledgement of Receipt Form does not prohibit potential Offerors from submitting a response to this RFP. However, by not returning the Acknowledgement of Receipt Form, the potential Offeror’s representative shall not be included on the distribution list.

### Deadline to Submit Written Questions

Potential Offerors may submit written questions to the Procurement Manager as to the intent or clarity of this RFP until 3:00 pm MST/MDT as indicated in Section II.A, Sequence of Events. All written questions must be addressed to the Procurement Manager as declared in Section I.D. Questions shall be clearly labeled and shall cite the Section(s) in the RFP or other document which form the basis of the question.

### Response to Written Questions

Written responses to the written questions will be provided via Email, on or before the date indicated in Section II.A, Sequence of Events, to all potential Offerors who timely submitted an Acknowledgement of Receipt Form (Section II.B.2 and APPENDIX A).

### Submission of Proposal

At this time, only **electronic** proposal submission is allowed. **Do not** submit hard copies until further notice.

ALL OFFEROR PROPOSALS MUST BE RECEIVED FOR REVIEW AND EVALUATION BY THE PROCUREMENT MANAGER OR DESIGNEE NO LATER THAN **3:00 PM** MST/MDT ON THE DATE INDICATED IN SECTION II.A, SEQUENCE OF EVENTS. **Proposals received after this deadline will not be accepted.** The date and time of receipt will be recorded on each proposal.

***Proposals must be submitted electronically through*** [***ececd.rfa@state.nm.us***](mailto:ececd.rfa@state.nm.us)***. Refer to Section III.B.1 for instructions.*** Proposals submitted by facsimile, or other electronic means other than through the Email, will not be accepted.

Pursuant to §13-1-116, NMSA 1978, the contents of proposals shall not be disclosed to competing potential Offerors during the negotiation process. The negotiation process is deemed to be in effect until the contract is awarded pursuant to this Request for Proposals. Awarded in this context means the final required state agency signature on the contract(s) resulting from the procurement has been obtained.

### Proposal Evaluation

An Evaluation Committee will perform the evaluation of proposals. This process will take place as indicated in Section II.A, Sequence of Events, depending upon the number of proposals received. During this time, the Procurement Manager may initiate discussions with Offerors who submit responsive or potentially responsive proposals for the purpose of clarifying aspects of the proposals. However, proposals may be accepted and evaluated without such discussion. Discussions SHALL NOT be initiated by the Offerors.

### Selection of Finalists

The Evaluation Committee will select and the Procurement Manager will notify the finalist Offerors as per schedule Section II.A, Sequence of Events or as soon as possible thereafter. A schedule for Oral Presentation, if any, will be determined at this time.

### Best and Final Offers

Finalist Offerors may be asked to submit revisions to their proposals for the purpose of obtaining best and final offers by as per schedule Section II. A., Sequence of Events or as soon as possible. Best and final offers may also be clarified and amended at finalist Offeror’s oral presentation.

### Oral Presentations

Finalist Offerors, as selected per Section II.B.7 above, may be required to conduct an oral presentation at a location to be determined as per schedule Section II.A., Sequence of Events, or as soon as possible thereafter. If oral presentations are held, Finalist Offerors may be required to make their presentations through electronic means (GoToMeeting, Zoom, etc.). The Agency will provide Finalist Offerors with applicable details. Whether or not Oral Presentations will be held is at the discretion of the Evaluation Committee.

### Finalize Contractual Agreements

After approval of the Evaluation Committee Report, any contractual agreement(s) resulting from this RFP will be finalized with the most advantageous Offeror(s), taking into consideration the evaluation factors set forth in this RFP, as per Section II.A., Sequence of Events, or as soon as possible thereafter. The most advantageous proposal may or may not have received the most points. In the event mutually agreeable terms cannot be reached with the apparent most advantageous Offeror in the timeframe specified, the State reserves the right to finalize a contractual agreement with the next most advantageous Offeror(s) without undertaking a new procurement process.

### Contract Awards

Upon receipt of the signed contractual agreement, the Agency Procurement office will award as per Section II.A., Sequence of Events, or as soon as possible thereafter. The award is subject to appropriate Department and State approval.

### Protest Deadline

Any protest by an Offeror must be timely submitted and in conformance with §13-1-172, NMSA 1978 and applicable procurement regulations. As a Protest Manager has been named in this Request for Proposals, pursuant to §13-1-172, NMSA 1978 and 1.4.1.82 NMAC, ONLY protests delivered directly to the Protest Manager in writing and in a timely fashion will be considered to have been submitted properly and in accordance with statute, rule and this Request for Proposals. The 15-calendar day protest period shall begin on the day following the notice of award of contract(s) and will end at 5:00 pm MST/MDT on the 15th day. Protests must be written and must include the name and address of the protestor and the request for proposal number. It must also contain a statement of the grounds for protest including appropriate supporting exhibits and it must specify the ruling requested from the party listed below. The protest must be delivered to:

Protest Manager:

Michelle Montoya

Chief Procurement Officer

[MichelleE.Montoya@state.nm.us](mailto:MichelleE.Montoya@state.nm.us)

**Protests received after the deadline will not be accepted.**

## GENERAL REQUIREMENTS

### Acceptance of Conditions Governing the Procurement

Potential Offerors must indicate their acceptance of these Conditions Governing the Procurement, Section II.C, by completing and signing the Letter of Transmittal form, pursuant to the requirements in Section II.C.30, located in APPENDIX E.

### Incurring Cost

Any cost incurred by the potential Offeror in preparation, transmittal, and/or presentation of any proposal or material submitted in response to this RFP shall be borne solely by the Offeror. Any cost incurred by the Offeror for set up and demonstration of the proposed equipment and/or system shall be borne solely by the Offeror.

### Prime Contractor Responsibility

Any contractual agreement that may result from this RFP shall specify that the prime contractor is solely responsible for fulfillment of all requirements of the contractual agreement with a State Agency which may derive from this RFP. The State Agency entering into a contractual agreement with a vendor will make payments to only the prime contractor.

### Subcontractors/Consent

The use of subcontractors is allowed. The prime contractor shall be wholly responsible for the entire performance of the contractual agreement whether or not subcontractors are used. Additionally, the prime contractor must receive approval, in writing, from the agency awarding any resultant contract, before any subcontractor is used during the term of this agreement.

### Amended Proposals

An Offeror may submit an amended proposal before the deadline for receipt of proposals. Such amended proposals must be complete replacements for a previously submitted proposal and must be clearly identified as such in the transmittal letter. **Agency personnel will not merge, collate, or assemble proposal materials.**

### Offeror’s Rights to Withdraw Proposal

Offerors will be allowed to withdraw their proposals at any time prior to the deadline for receipt of proposals. The Offeror must submit a written withdrawal request addressed to the Procurement Manager and signed by the Offeror’s duly authorized representative.

The approval or denial of withdrawal requests received after the deadline for receipt of the proposals is governed by the applicable procurement regulations, 1.4.1.5 & 1.4.1.36 NMAC.

### Proposal Offer Firm

Responses to this RFP, including proposal prices for services, will be considered firm for one-hundred twenty (120) days after the due date for receipt of proposals or ninety (90) days after the due date for the receipt of a best and final offer, if the Offeror is invited or required to submit one.

### Disclosure of Proposal Contents

The contents of all submitted proposals will be kept confidential until the final award has been completed by the Agency. At that time, all proposals and documents pertaining to the proposals will be available for public inspection, *except* for proprietary or confidential material as follows:

1. ***Proprietary and Confidential information is restricted to***:
2. confidential financial information concerning the Offeror’s organization; and
3. information that qualifies as a trade secret in accordance with the Uniform Trade Secrets Act, §§57-3A-1 through 57-3A-7, NMSA 1978.
4. An additional but separate redacted version of Offeror’s proposal, as outlined and identified in Sections III.B.1.a.i., shall be submitted containing the blacked-out proprietary or confidential information, in order to facilitate eventual public inspection of the non-confidential version of Offeror’s proposal.

**IMPORTANT**: The price of products offered or the cost of services proposed **SHALL NOT** be designated as proprietary or confidential information.

If a request is received for disclosure of proprietary or confidential materials, the Agency shall examine the request and make a written determination that specifies which portions of the proposal should be disclosed. Unless the Offeror takes legal action to prevent the disclosure, the proposal will be so disclosed. The proposal shall be open to public inspection subject to any continuing prohibition on the disclosure of proprietary or confidential information.

### No Obligation

This RFP in no manner obligates the State of New Mexico or any of its Agencies to the use of any Offeror’s services until a valid written contract is awarded and approved by appropriate authorities.

### Termination

This RFP may be canceled at any time and any and all proposals may be rejected in whole or in part when the Agency determines such action to be in the best interest of the State of New Mexico.

### Sufficient Appropriation

Any contract awarded as a result of this RFP process may be terminated if sufficient appropriations or authorizations do not exist. Such terminations will be affected by sending written notice to the contractor. The Agency’s decision as to whether sufficient appropriations and authorizations are available will be accepted by the contractor as final.

### Legal Review

The Agency requires that all Offerors agree to be bound by the General Requirements contained in this RFP. Any Offeror’s concerns must be promptly submitted in writing to the attention of the Procurement Manager.

### Governing Law

This RFP and any agreement with an Offeror which may result from this procurement shall be governed by the laws of the State of New Mexico.

### Basis for Proposal

Only information supplied in writing by the Procurement Manager or contained in this RFP shall be used as the basis for the preparation of Offeror proposals.

### Contract Terms and Conditions

The contract between an agency and a contractor will follow the format specified by the New Mexico Office of the State Auditor and contain the terms and conditions set forth in the Sample Contract Appendix C. However, the Agency reserves the right to negotiate provisions in addition to those contained in this RFP (Sample Contract) with any Offeror. The contents of this RFP, as revised and/or supplemented, and the successful Offeror’s proposal will be incorporated into and become part of any resultant contract.

The Agency discourages exceptions from the contract terms and conditions as set forth in the RFP Sample Contract. Such exceptions may cause a proposal to be rejected as nonresponsive when, in the sole judgment of the Agency (and its evaluation team), the proposal appears to be conditioned on the exception, or correction of what is deemed to be a deficiency, or an unacceptable exception is proposed which would require a substantial proposal rewrite to correct.

Should an Offeror object to any of the terms and conditions as set forth in the RFP Sample Contract (APPENDIX C) strongly enough to propose alternate terms and conditions in spite of the above, the Offeror must propose **specific** alternative language. The Agency may or may not accept the alternative language. General references to the Offeror’s terms and conditions or attempts at complete substitutions of the Sample Contract are not acceptable to the Agency and will result in disqualification of the Offeror’s proposal.

Offerors must provide a brief discussion of the purpose and impact, if any, of each proposed change followed by the specific proposed alternate wording.

If an Offeror fails to propose any alternate terms and conditions during the procurement process (the RFP process prior to selection as successful Offeror), no proposed alternate terms and conditions will be considered later during the negotiation process. Failure to propose alternate terms and conditions during the procurement process (the RFP process prior to selection as successful Offeror) is an **explicit agreement** by the Offeror that the contractual terms and conditions contained herein are **accepted** by the Offeror.

### Offeror’s Terms and Conditions

Offerors must submit with the proposal a complete set of any additional terms and conditions they expect to have included in a contract negotiated with the Agency. See Section II.C.15 for requirements.

### Contract Deviations

Any additional terms and conditions, which may be the subject of negotiation (such terms and conditions having been proposed during the procurement process, that is, the RFP process prior to selection as successful Offeror), will be discussed only between the Agency and the Offeror selected and shall not be deemed an opportunity to amend the Offeror’s proposal.

### Offeror Qualifications

The Evaluation Committee may make such investigations as necessary to determine the ability of the potential Offeror to adhere to the requirements specified within this RFP. The Evaluation Committee will reject the proposal of any potential Offeror who is not a Responsible Offeror or fails to submit a Responsive Offer as defined in §13-1-83 and §13-1-85, NMSA 1978.

### Right to Waive Minor Irregularities

The Evaluation Committee reserves the right to waive minor irregularities, as defined in Section I.F.19. The Evaluation Committee also reserves the right to waive mandatory requirements, provided that **all** of the otherwise responsive proposals failed to meet the same mandatory requirements and the failure to do so does not otherwise materially affect the procurement. This right is at the sole discretion of the Evaluation Committee.

### Change in Contractor Representatives

The Agency reserves the right to require a change in contractor representatives if the assigned representative(s) is (are) not, in the opinion of the Agency, adequately meeting the needs of the Agency.

### Notice of Penalties

The Procurement Code, §§13-1-28 through 13-1-199, NMSA 1978, imposes civil, and misdemeanor and felony criminal penalties for its violation. In addition, the New Mexico criminal statutes impose felony penalties for bribes, gratuities and kickbacks.

### Agency Rights

The Agency in agreement with the Evaluation Committee reserves the right to accept all or a portion of a potential Offeror’s proposal.

### Right to Publish

Throughout the duration of this procurement process and contract term, Offerors and contractors must secure from the agency written approval prior to the release of any information that pertains to the potential work or activities covered by this procurement and/or agency contracts deriving from this procurement. Failure to adhere to this requirement may result in disqualification of the Offeror’s proposal or removal from the contract.

### Ownership of Proposals

All documents submitted in response to the RFP shall become property of the State of New Mexico.

### Confidentiality

Any confidential information provided to, or developed by, the contractor in the performance of the contract resulting from this RFP shall be kept confidential and shall not be made available to any individual or organization by the contractor without the prior written approval of the Agency.

The Contractor(s) agrees to protect the confidentiality of all confidential information and not to publish or disclose such information to any third party without the procuring Agency's written permission.

Contractor agrees to take all reasonable and commercially accepted measures to ensure the security and confidentiality of such information, including but not limited to password protection of all confidential data stored and transmitted. Agency data shall be protected in flight and at rest by encryption best practices and Contractor agrees such encryption shall be used on every device where the Agency data may be stored or transmitted.

### Electronic mail address required

A large part of the communication regarding this procurement will be conducted by electronic mail (Email). Offeror must have a valid Email address to receive this correspondence. (See also Section II.B.4, Response to Written Questions).

### Use of Electronic Versions of this RFP

This RFP is being made available by electronic means. In the event of conflict between a version of the RFP in the Offeror’s possession and the version maintained by the Agency, the Offeror acknowledges that the version maintained by the agency shall govern.

### New Mexico Employees Health Coverage

1. If the Offeror has, or grows to, six (6) or more employees who work, or who are expected to work, an average of at least 20 hours per week over a six (6) month period during the term of the contract, Offeror must agree to have in place, and agree to maintain for the term of the contract, health insurance for those employees if the expected annual value in the aggregate of any and all contracts between Contractor and the State exceed $250,000 dollars.
2. Offeror must agree to maintain a record of the number of employees who have (a) accepted health insurance; (b) decline health insurance due to other health insurance coverage already in place; or (c) decline health insurance for other reasons. These records are subject to review and audit by a representative of the state.
3. Offeror must agree to advise all employees of the availability of State publicly financed health care coverage programs by providing each employee with, as a minimum, the following web site link to additional information <https://bewellnm.com>.
4. For Indefinite Quantity, Indefinite Delivery contracts (price agreements without specific limitations on quantity and providing for an indeterminate number of orders to be placed against it); these requirements shall apply the first day of the second month after the Offeror reports combined sales (from state and, if applicable, from local public bodies if from a state price agreement) of $250,000.

### Campaign Contribution Disclosure Form

Offeror must complete, sign, and return the Campaign Contribution Disclosure Form, APPENDIX B, as a part of their proposal. This requirement applies regardless whether a covered contribution was made or not made for the positions of Governor and Lieutenant Governor or other identified official. **Failure to complete and return the signed, unaltered form will result in Offeror’s disqualification.**

### Letter of Transmittal

Offeror’s proposal must be accompanied by an **unaltered** Letter of Transmittal Form (APPENDIX E), which must be **completed** and **signed** by the individual authorized to contractually obligate the company, identified in #2 below. **DO NOT LEAVE ANY OF THE ITEMS ON THE FORM BLANK** (N/A, None, Does not apply, etc. are acceptable responses).

The Letter of Transmittal MUST:

1. Identify the submitting business entity (its Name, Mailing Address and Phone Number);
2. Identify the Name, Title, Telephone, and Email address of the person authorized by the Offeror’s organization to (A) contractually obligate the business entity providing the Offer, (B) negotiate a contract on behalf of the organization; and/or (C) provide clarifications or answer questions regarding the Offeror’s proposal content *(A response to B and/or C is only required if the responses differs from the individual identified in A)*;
3. Identify sub-contractors, if any, anticipated to be utilized in the performance of any resultant contract award;
4. Describe any relationship with any other entity (such as State Agency, reseller, etc., that is not a sub-contractor identified in #3), if any, which will be used in the performance of this awarded contract; and
5. Be signed and dated by the person identified in #2 above; attesting to the veracity of the information provided, and acknowledging (a) the organization’s acceptance of the Conditions Governing the Procurement stated in Section II.C.1, (b) the organizations acceptance of the Section V Evaluation Factors, and (c) receipt of any and all amendments to the RFP.

### Disclosure Regarding Responsibility

1. Any prospective Contractor and any of its Principals who enter into a contract greater than sixty thousand dollars ($60,000.00) with any state agency or local public body for professional services, tangible personal property, services or construction agrees to disclose whether the Contractor, or any principal of the Contractor’s company:
2. is presently debarred, suspended, proposed for debarment, or declared ineligible for award of contract by any federal entity, state agency or local public body;
3. has within a three-year period preceding this offer, been convicted in a criminal matter or had a civil judgment rendered against them for:
4. the commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) contract or subcontract;
5. violation of Federal or state antitrust statutes related to the submission of offers; or
6. the commission in any federal or state jurisdiction of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violation of Federal criminal tax law, or receiving stolen property;
7. is presently indicted for, or otherwise criminally or civilly charged by any (federal state or local) government entity with the commission of any of the offenses enumerated in paragraph A of this disclosure;
8. has, preceding this offer, been notified of any delinquent Federal or state taxes in an amount that exceeds $3,000.00 of which the liability remains unsatisfied. Taxes are considered delinquent if the following criteria apply.
   1. The tax liability is finally determined.  The liability is finally determined if it has been assessed.  A liability is not finally determined if there is a pending administrative or judicial challenge.  In the case of a judicial challenge of the liability, the liability is not finally determined until all judicial appeal rights have been exhausted.
   2. The taxpayer is delinquent in making payment.  A taxpayer is delinquent if the taxpayer has failed to pay the tax liability when full payment was due and required.  A taxpayer is not delinquent in cases where enforced collection action is precluded.
   3. Have within a three-year period preceding this offer, had one or more contracts terminated for default by any federal or state agency or local public body.
9. Principal, for the purpose of this disclosure, means an officer, director, owner, partner, or a person having primary management or supervisory responsibilities within a business entity or related entities.
10. The Contractor shall provide immediate written notice to the Agency if, at any time during the term of this Agreement, the Contractor learns that the Contractor’s disclosure was at any time erroneous or became erroneous by reason of changed circumstances.
11. A disclosure that any of the items in this requirement exist will not necessarily result in termination of this Agreement. However, the disclosure will be considered in the determination of the Contractor’s responsibility and ability to perform under this Agreement. Failure of the Contractor to furnish a disclosure or provide additional information as requested will render the Offeror nonresponsive.
12. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the disclosure required by this document.  The knowledge and information of a Contractor is not required to exceed that which is the normally possessed by a prudent person in the ordinary course of business dealings.
13. The disclosure requirement provided is a material representation of fact upon which reliance was placed when making an award and is a continuing material representation of the facts during the term of this Agreement.   If during the performance of the contract, the Contractor is indicted for or otherwise criminally or civilly charged by any government entity (federal, state or local) with commission of any offenses named in this document the Contractor must provide immediate written notice to the Agency.  If it is later determined that the Contractor knowingly rendered an erroneous disclosure, in addition to other remedies available to the Government, the State Purchasing Agent or Central Purchasing Officer may terminate the involved contract for cause.  Still further the State Purchasing Agent or Central Purchasing Officer may suspend or debar the Contractor from eligibility for future solicitations until such time as the matter is resolved to the satisfaction of the State Purchasing Agent or Central Purchasing Officer.

### New Mexico Preferences

To ensure adequate consideration and application of §13-1-21, NMSA 1978 (as amended), Offerors **must** include a copy of their preference certificate with their proposal. Certificates for preferences must be obtained through the New Mexico Department of Taxation & Revenue <http://www.tax.newmexico.gov/Businesses/in-state-veteran-preference-certification.aspx>.

* 1. **New Mexico Business Preference**

A copy of the certification must accompany Offeror’s proposal**.**

* 1. **New Mexico Resident Veterans Business Preference**

A copy of the certification must accompany Offeror’s proposal.

**An agency shall not award a business both a resident business preference and a resident veteran business preference.**

# III. RESPONSE FORMAT AND ORGANIZATION

## NUMBER OF RESPONSES

Offerors shall submit only one proposal in response to this RFP.

## NUMBER OF COPIES

### ELECTRONIC SUBMISSION ONLY Responses (ececd.rfa@state.nm.us)

**Proposals in response to this RFP must be submitted through ECECD’s Email –** [**ececd.rfa@state.nm.us**](mailto:ececd.rfa@state.nm.us) **ONLY**, the Offeror need only submit one single electronic copy of each portion of its proposal (Technical and Cost) as outlined below. *EXCEPTION:* *Single electronic files that exceed 20mb may be Emailed as multiple Emails, which must be the least number of Emails necessary to fall under the 20mb limit.* Separate the proposals as described below into separate electronic files for submission.

Proposals must be submitted in the manner outlined below. Technical and Cost portions of Offerors proposal **must** be submitted in separate Emails as indicated below in this section, and **must** be prominently identified as “Technical Proposal,” or “Cost Proposal,” on the front page of each Email.

1. **Technical Proposals –** One (1) ELECTRONIC Email must be organized in accordance with **Section III.C.1. Proposal Format**. All information for the Technical Proposal **must be combined into a single file/document for Emailing**. *EXCEPTION:* *Single electronic files that exceed 20mb may be submitted as multiple Emails, which must be the least number of Emails necessary to fall under the 20mb limit.* The Technical Proposals **SHALL NOT** contain any cost information.
2. **Confidential Information**: If Offeror’s proposal contains confidential information, as defined in Section I.F.6 and detailed in Section II.C.8, Offeror **must** submit **two (2) separate ELECTRONIC technical files** :

* One (1) ELECTRONIC version of the requisite proposals identified in Section III.B.1.a above as **unredacted** (def. Section I.F.34) versions for evaluation purposes; and
* One (1) **redacted** (def. Section I.F.25) ELECTRONIC. for the public file, in order to facilitate eventual public inspection of the non-confidential version of Offeror’s proposal. Redacted versions **must** be clearly marked as “REDACTED” or “CONFIDENTIAL” on the first page of the electronic file;

1. **Cost Proposals –** One (1) ELECTRONIC Email of the proposal containing **ONLY** the Cost Proposal. All information for the cost proposal **must be combined into a single file/document for Emailing**. *EXCEPTION:* *Single electronic files that exceed 20mb may be submitted as multiple Emails, which must be the least number of Emails necessary to fall under the 20mb limit.*

**For technical support issues contact the Procurement Manager.**

**The ELECTRONIC proposal submission must be emailed to ECECD by the submission deadline in Section II.B.5.**

Any proposal that does not adhere to the requirements of this Section and **Section III.C.1 Proposal Content and Organization** may be deemed non-responsive and rejected on that basis.

## PROPOSAL FORMAT

All proposals must be submitted as follows:

Organization of files for electronic copy proposals:

### Proposal Content and Organization

Direct reference to pre-prepared or promotional material may be used if referenced and clearly marked. Promotional material must be minimal. The proposal must be organized and indexed in the following format and must contain, at a minimum, all listed items in the sequence indicated.

**Technical Proposal** – **DO NOT INCLUDE ANY COST INFORMATION IN THE TECHNICAL PROPOSAL.**

* 1. Signed Letter of Transmittal
  2. Signed Campaign Contribution Form
  3. Table of Contents
  4. Proposal Summary (Optional)
  5. Response to Contract Terms and Conditions (from Section II.C.15)
  6. Offeror’s Additional Terms and Conditions (from Section II.C.16 )
  7. Response to Specifications **(except Cost information which shall be included ONLY in Cost Proposal)** 
     1. Organization Background
     2. Detailed Organization Information
     3. Organization References
     4. Minimum Qualifications
     5. Financial Stability –(Financial information considered confidential, as defined in Section I.F.6. and detailed in Section II.C.8, should be placed in the **Confidential Information** file, per Section III.B.1.a.i., as applicable)
     6. New Mexico Preferences (if applicable)
  8. Other Supporting Material (if applicable)

**Cost Proposal**:

1. Completed Cost Response Form (APPENDIX D)

Within each section of the proposal, Offerors should address the items in the order indicated above. All forms provided in this RFP must be thoroughly completed and included in the appropriate section of the proposal. **Any and all discussion of proposed costs, rates or expenses must occur ONLY in the Cost Proposal.**

A Proposal Summary may be included in Offeror’s Technical Proposal, to provide the Evaluation Committee with an overview of the proposal; however, this material will not be used in the evaluation process unless specifically referenced from other portions of the Offeror’s proposal. **DO NOT INCLUDE COST INFORMATION IN THE PROPOSAL SUMMARY.**

# IV. SPECIFICATIONS

## DETAILED SCOPE OF WORK

The Contractor shall conduct a financial and compliance audit of the Agency for Fiscal Year

2021 in accordance with auditing standards generally accepted in the United State of America, *Government Auditing Standards, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,* the Audit Act and the Audit Rule

(NMAC Section 2.2.2.1 et seq.).

1. Deliverables that the Independent Public Accountant (IPA) is responsible for providing include:

* 1. Engagement Letter and Provided by Client Listing (PBC List) – to be provided to the Agency within ten (10) days after the audit entrance conference.
  2. Financial Statements – Draft copy to be completed and submitted to Agency Management for review two (2) days prior to the deadline established by DFA.
  3. Final Audit Report – to be submitted to the State Auditor’s Office and the State Controller (DFA/FCD) on or before the deadline established by OSA – including the Independent Auditor’s Report; Financial Statement Footnotes; Supplemental Schedules; Schedule of Expenditures of Federal Awards (SEFA); Audit findings; Status of Prior Year Findings; and, all other materials required by Federal or State oversight entities.
  4. IPA to conduct Audit Progress Meetings, at least semi-monthly, with Agency’s financial and executive management staff.
  5. IPA to provide DFA any information required, including the Audit Plan and an Audit Schedule that meets the criteria established by DFA.
  6. Provision of other audit related procedures, and information as requested the Agency’s Management, or Federal Oversight Agencies; Office of the State Auditor; State Treasurer’s Office, Department of Finance and Administration; and, the Legislative Finance Committee.
  7. IPA to present its audit report to the Agency’s executive and financial staff, and the State Auditor’s Office (if required), at an Exit Conference.
  8. IPA to prepare the federally required “Date Collection Form” and provide it to the Chief Financial Officer no later than thirty (30) days after the release of the Audit Report by the Office of the State Auditor, for transmittal to the Federal Audit Clearinghouse.

## TECHNICAL SPECIFICATIONS

### Organizational Background

* 1. State the size of the firm, size of governmental audit staff, location of the office from which the work on this engagement is to be performed, number and nature of the professional staff to be employed in this engagement on a full-time basis, and the number and nature of the staff to be so employed on a part-time basis.
  2. If the Offeror is a joint venture or consortium, the qualifications of each Offeror comprising the joint venture or consortium should be separately identified and if the Offeror is to serve as the principal auditor should be noted, if applicable.
  3. Describe the nature of the organization’s ownership and specific details with regard to any affiliated companies or joint ventures.
  4. Offerors are also required to submit a copy of the report of its most recent external quality control review and a statement whether that quality control review included a review of specific government engagements.
  5. Provide the results of any federal or state desk reviews or field reviews of its audits during the past three (3) years and disclose any circumstances and status of disciplinary action taken or pending with state regulatory bodies or professional organizations.
  6. Over the past five years, has your organization or its parent or any of its affiliates, or any officer or principal been involved in any business litigation or other legal proceedings related to your auditing activities? If so, provide a brief explanation and indicate the current status.
  7. Offerors should also provide a copy of the profile submitted to the State Auditor, in accordance with 2.2.2 NMAC (State Audit Rule); a list of subcontractors, including qualifications and area(s) of responsibility; and, a completed Campaign Contribution Disclosure form as required by Senate Bill 344, signed into law March 6, 2006
  8. Describe any potential conflicts of interest your organization may have with regard to providing auditing services for ECECD.

### Detailed Organizational Information

1. Identify the principal supervisory and management staff, including engagement partners, managers, other supervisors and specialists, who would be assigned to the engagement and indicate whether each such person is licensed to practice as a certified public accountant (CPA) in New Mexico. Resumes describing the qualifications of personnel to be utilized in the performance of the contract must show, at a minimum:

* Person’s name
* Highest college degree held
* Position in the firm
* Total years with the firm and total years in the accounting profession
* Type of experience with the firm
* List of continuing professional education courses completed in the last three years
* Experience performing state government financial and compliance audits in New Mexico

1. Describe specific procedures your firm would follow in the event any professional staff assigned to this account should leave the firm.
2. Provide specific details on the following for the past three years (2018-2020):

* Any restrictions imposed by the Office of the State Auditor that would impact this engagement.
* Your firm’s timeliness in reference to the State Auditor’s report due dates.
* Your firm’s familiarity with State Auditor rules and regulations.

1. Describe your staff’s knowledge and experience performing information system assessments and test work and identify the type of audit work your firm has performed in this area. Identify information system audit specialists who will be assigned to the performance of this contract.
2. Provide your proposed general audit work plan, which supports your ability to meet the State Auditor’s deadline for submission of the audit report (no later than sixty (60) days after the State Auditor receives notification form the Financial Control Division to the effect that an agency’s books and records are ready and available for audit). In as much as the RFP calls for a proposal for a multi-year contract of up to three (3) years, describe the approach for planning and conducting the work efforts of subsequent years.
3. Provide your policies and procedures addressing data security, encryption policies and computer security training for employees.
4. If your firm has ever failed to submit an audit by the required deadline to any oversight agency, such as a state auditor’s office, please provide a brief explanation of the circumstances.

### Organizational References

Offeror must provide a list of a minimum of three (3) references from similar financial and compliance audits performed in the area of state and local government within the last three (3) years.

Offeror shall include the following Business Reference information as part of its proposals:

* + 1. Client name;
    2. Audit dates (starting and ending);
    3. Staff assigned to reference engagement that will be designated for work per this RFP; and
    4. Client project manager name, telephone number, fax number and Email address.

Offeror is required to submit APPENDIX F, Organizational Reference Questionnaire (“Questionnaire”), to the business references it lists. **The business references must submit the Questionnaire directly to the designee identified in APPENDIX F. The business references must not return the completed Questionnaire to the Offeror.** It is the Offeror’s responsibility to ensure the completed forms are submitted on or before the date indicated in Section II.A, Sequence of Events,for inclusion in the evaluation process.

Organizational References that are not received or are not complete, may adversely affect the Offeror’s score in the evaluation process. Offerors are encouraged to specifically request that their Organizational References provide detailed comments.

### Minimum Qualifications

Each Offeror must certify that it meets all the following minimum qualifications. In order to so certify, Offerors shall complete, sign, and submit Certification of Minimum Qualifications in Appendix G. Failure to meet and certify to the following shall result in the rejection of the proposal for nonresponsiveness.

1. The Offeror must be a firm registered with the New Mexico State Board of Public Accountancy and hold a current permit from such Board to practice as a certified public accountant. A statement of concurrence and a copy of the applicable license(s) are required.
2. The Offeror must have submitted a complete, accepted and approved firm profile to the State Auditor in accordance with 2.2.2 NMAC, Section 8.A. The firm must be a current approved firm on the State Auditor’s list of approved firms for financial audits.

1. The Offeror must maintain professional liability insurance, in accordance with Section 8.I of 2.2.2 NMAC, covering any error or omission committed during the term of any contract awarded to it under this RFP. (The Offeror shall attach proof of insurance coverage to its proposal.)
2. The Offeror must comply with the requirements of quality control and assurance and external peer review in accordance with Section 14.B of 2.2.2 NMAC. (The Offeror shall attach a copy of its most recent peer review to the proposal.)
3. Those persons who are employed by the Offeror and would be responsible for planning, directing and conducting a substantial portion of the field work or reporting for the audit that is the subject of this RFP must be in compliance with the continuing education requirements of Section 14.A of 2.2.2 NMAC.
4. The Offeror must be a firm that is independent and warrants that it presently has no interest and shall not acquire interest, direct or indirect, that would conflict in any manner or degree with the performance of services required under any contract entered into by ECECD and the Offeror. Offeror must provide an affirmative statement that it is independent of the Agency as defined by the U.S. General Accounting Office’s *Government Auditing Standards (1988).*
5. The Offeror has a positive net worth as of the submission date of this proposal and shall maintain a positive net worth for the duration of any contract entered into with ECECD.
6. Engagement partners, managers, other supervisory staff and specialists may be changed if those personnel leave the Offeror, are promoted or are assigned to another office. These personnel may also be changed for other reasons with the express prior written permission of the Department. However, in either case, the Department retains the right to approve or reject replacements. Other audit personnel may be changed with the written approval of the Department, provided that replacements have substantially the same or better qualifications or experience, as deemed by the Department. A statement of concurrence is required.
7. Offerors must list all engagements within the last five (5) calendar years, ranked on the basis of total staff hours, for the State of New Mexico by type of engagement (i.e., audit, management advisory services, other). For each engagement, the Offerors shall indicate the scope of work, beginning and ending dates that the engagement was performed, and the name and telephone number of the principal client contact.
8. For the Offeror’s office that will be assigned responsibility for the audit, list the most significant engagement [maximum of five (5)] performed in the last five (5) years that are similar to the engagement described in this request for proposals. These engagements shall be ranked on the basis of total staff hours.
9. Offerors must identify and describe any anticipated potential audit problems, resolution approach, and any assistance that will be requested from the Agency.
10. The Offeror must take all reasonable and commercially accepted measures to ensure the security and confidentiality of information and data provided by ECECD as stated in the RFP and audit contract.

## BUSINESS SPECIFICATIONS

### Financial Stability

Offerors must submit copies of the most recent years independently audited financial statements and the most current 10K, as well as financial statements for the preceding three years, if they exist. The submission must include the audit opinion, the balance sheet, and statements of income, retained earnings, cash flows, and the notes to the financial statements. If independently audited financial statements do not exist, Offeror must state the reason and, instead, submit sufficient information (e.g. D & B report).

### Letter of Transmittal Form

The Offeror’s proposal **must** be accompanied by the Letter of Transmittal Form located in APPENDIX E. The form **must** be completed and must be signed by the person authorized to obligate the company. **Failure to respond to ALL items, as indicated in Section II.C.30 and APPENDIX E, and to return a signed, unaltered form will result in Offeror’s disqualification.**

### Campaign Contribution Disclosure Form

The Offeror must complete an unaltered Campaign Contribution Disclosure Form and submit a signed copy with the Offeror’s proposal. This must be accomplished whether or not an applicable contribution has been made. (See APPENDIX B). **Failure to complete and return the signed, unaltered form will result in Offeror’s disqualification.**

### Cost

Cost proposals must be submitted for a multi-year proposal of up to three (3) years, using the Cost Response Form provided in Appendix D of this RFP. Hours and cost for financial and compliance audit review should be listed as per Section 3.C of the sample contract (Appendix C). Any out-of-pocket expenses, including travel, should be included in the Cost Response Form. All amounts represented in the Cost Response Form should be considered as “not to exceed” amounts.

### Resident Business or Resident Veterans Preference

To ensure adequate consideration and application of NMSA 1978, § 13-1-21 (as amended), Offerors **MUST** include a copy, in this section, of its NM Resident Business or Veterans Preference Certificate, as issued by the New Mexico Taxation and Revenue Department.

# V. EVALUATION

## EVALUATION POINT SUMMARY

The following is a summary of evaluation factors with point values assigned to each. These weighted factors will be used in the evaluation of individual potential Offeror proposals by sub-category.

|  |  |
| --- | --- |
| **Factors –** *correspond to section IV.B and IV.C* | **Points Available** |
| 1. **Technical Specifications** |  |
| B. 1. Organizational Background | 50 |
| B. 2. Detailed Organizational Information | 150 |
| B. 3. Organizational References | 50 |
| B. 4. Minimum Qualifications | 150 |
| 1. **Business Specifications** |  |
| C.1. Financial Stability | Pass/Fail |
| C.2. Letter of Transmittal | Pass/Fail |
| C.3. Signed Campaign Contribution Disclosure Form | Pass/Fail |
| C.4. Cost | 100 |
| **TOTAL** | **500 points** |
| C.5. New Mexico Preference - Resident Vendor Points per Section IV C. 6 |  |
| C.5. New Mexico Preference - Resident Veterans Points per Section IV C.6 |  |
|  |  |

Table 1: Evaluation Point Summary

## EVALUATION FACTORS

### B.1 Organizational Background (See Table 1)

Points will be awarded based on the thoroughness and clarity of Offeror’s response in this Section. Lack of a response will be awarded zero (0) points. Agencies must include evaluation criteria based on Section IV.B.

### B.2 Detailed Organizational Information (See Table 1)

Points will be awarded based on the thoroughness and clarity of Offeror’s response in this Section. Lack of a response will be awarded zero (0) points. Agencies must include evaluation criteria based on Section IV.B.

### B.3 Organizational References

Points will be awarded based upon an evaluation of the responses to a series of questions on the Organizational Reference Questionnaire (Appendix F). Offeror will be evaluated on references that show positive service history, successful execution of services and evidence of satisfaction by each reference. References indicating significantly similar services/scopes of work and comments provided by a submitted reference will add weight and value to a recommendation during the evaluation process. Lack of a response will receive zero (0) points.

### B.4 Minimum Qualifications

Failure to meet and certify to the Minimum Qualifications shall result in the rejection of the proposal for nonresponsiveness. Points will be awarded based on the thoroughness and clarity of Offeror’s response in this Section. Agencies must include evaluation criteria based on Section IV.B.

### C.1 Financial Stability (See Table 1)

Pass/Fail only. No points assigned.

### C.2 Letter of Transmittal (See Table 1)

Pass/Fail only. No points assigned.

### C.3 Campaign Contribution Disclosure Form (See Table 1)

Pass/Fail only. No points assigned.

### C.4 Cost (See Table 1)

The evaluation of each Offeror’s cost proposal will be conducted using the following formula:

Lowest Responsive Offeror’s Cost

------------------------------------------------------- X Available Award Points

Each Offeror’s Cost

### C.5. New Mexico Preferences

Percentages will be determined based upon the point-based system outlined in NMSA 1978, § 13-1-21 (as amended).

1. **New Mexico Resident Business Preference**

If the Offeror has provided a copy of their Preference Certificate the Preference Points for a New Mexico Resident Business is 5% of the total points available in this RFP.

.

1. **New Mexico Resident Veterans Business Preference**

If the Offeror has provided a copy of their Preference Certificate the Preference Points for a New Mexico Resident Veteran Business is 10% of the total points available in this RFP.

## EVALUATION PROCESS

1. All Offeror proposals will be reviewed for compliance with the requirements and specifications stated within the RFP. Proposals deemed non-responsive will be eliminated from further consideration.

2. The Procurement Manager may contact the Offeror for clarification of the response as specified in Section II. B.6.

3. Responsive proposals will be evaluated on the factors in Section IV, which have been assigned a point value in Section V. The responsible Offerors with the highest scores will be selected as finalist Offerors, based upon the proposals submitted. In accordance with 13-1-117 NMSA 1978, the responsible Offerors whose proposals are most advantageous to the State taking into consideration the Evaluation Factors in Section V will be recommended for award (as specified in Section II.B.10). Please note, however, that a serious deficiency in the response to any one factor may be grounds for rejection regardless of overall score.

# APPENDIX A

# ACKNOWLEDGEMENT OF RECEIPT FORM

**APPENDIX A**

**REQUEST FOR PROPOSAL**

Financial and Compliance Audit

RFP #: 2021-0001

**ACKNOWLEDGEMENT OF RECEIPT FORM**

This Acknowledgement of Receipt Form should be signed and submitted no later than 3:00 pm MST/MDT on February 15, 2021. Only potential Offerors who elect to return this form will receive copies of all submitted questions and the written responses to those questions, as well as any RFP amendments, if any are issued.

In acknowledgement of receipt of this Request for Proposal, the undersigned agrees that he or she has received a complete copy of the RFP, beginning with the title page, and ending with APPENDIX G.

The name and address below will be used for all correspondence related to the Request for Proposal.

ORGANIZATION: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

CONTACT NAME: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

TITLE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ PHONE NO.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

EMAIL: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

ADDRESS: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

CITY: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ STATE: \_\_\_\_\_\_\_\_ ZIP CODE: \_\_\_\_\_\_\_\_\_\_\_\_\_

**Submit Acknowledgement of Receipt Form to:**

To: Mario Maes, Procurement Manager

Email: [Mario.Maes@state.nm.us](mailto:Mario.Maes@state.nm.us)

Subject Line: Financial and Compliance Audit RFP #: 2021-0001

# APPENDIX B

# CAMPAIGN CONTRIBUTION DISCLOSURE FORM

Pursuant to the Procurement Code, Sections 13-1-28, et seq., NMSA 1978 and NMSA 1978, § 13-1-191.1 (2006), as amended by Laws of 2007, Chapter 234, a prospective contractor subject to this section shall disclose all campaign contributions given by the prospective contractor or a family member or representative of the prospective contractor to an applicable public official of the state or a local public body during the two years prior to the date on which a proposal is submitted or, in the case of a sole source or small purchase contract, the two years prior to the date on which the contractor signs the contract, if the aggregate total of contributions given by the prospective contractor or a family member or representative of the prospective contractor to the public official exceeds two hundred fifty dollars ($250) over the two-year period. A prospective contractor submitting a disclosure statement pursuant to this section who has not contributed to an applicable public official, whose family members have not contributed to an applicable public official or whose representatives have not contributed to an applicable public official shall make a statement that no contribution was made.

A prospective contractor or a family member or representative of the prospective contractor shall not give a campaign contribution or other thing of value to an applicable public official or the applicable public official's employees during the pendency of the procurement process or during the pendency of negotiations for a sole source or small purchase contract.

Furthermore, a solicitation or proposed award for a proposed contract may be canceled pursuant to Section [13-1-181](http://mobile.nmonesource.com/nxt/gateway.dll?f=jumplink$jumplink_x=Advanced$jumplink_vpc=first$jumplink_xsl=querylink.xsl$jumplink_sel=title;path;content-type;home-title;item-bookmark$jumplink_d=%7bnmsa1978%7d$jumplink_q=%5bfield%20folio-destination-name:'13-1-181'%5d$jumplink_md=target-id=0-0-0-33795) NMSA 1978 or a contract that is executed may be ratified or terminated pursuant to Section [13-1-182](http://mobile.nmonesource.com/nxt/gateway.dll?f=jumplink$jumplink_x=Advanced$jumplink_vpc=first$jumplink_xsl=querylink.xsl$jumplink_sel=title;path;content-type;home-title;item-bookmark$jumplink_d=%7bnmsa1978%7d$jumplink_q=%5bfield%20folio-destination-name:'13-1-182'%5d$jumplink_md=target-id=0-0-0-33797) NMSA 1978 if a prospective contractor fails to submit a fully completed disclosure statement pursuant to this section; or a prospective contractor or family member or representative of the prospective contractor gives a campaign contribution or other thing of value to an applicable public official or the applicable public official's employees during the pendency of the procurement process.

The state agency or local public body that procures the services or items of tangible personal property shall indicate on the form the name or names of every applicable public official, if any, for which disclosure is required by a prospective contractor.

THIS FORM MUST BE INCLUDED IN THE REQUEST FOR PROPOSALS AND MUST BE FILED BY ANY PROSPECTIVE CONTRACTOR WHETHER OR NOT THEY, THEIR FAMILY MEMBER, OR THEIR REPRESENTATIVE HAS MADE ANY CONTRIBUTIONS SUBJECT TO DISCLOSURE.

The following definitions apply:

“**Applicable public official**” means a person elected to an office or a person appointed to complete a term of an elected office, who has the authority to award or influence the award of the contract for which the prospective contractor is submitting a competitive sealed proposal or who has the authority to negotiate a sole source or small purchase contract that may be awarded without submission of a sealed competitive proposal.

“**Campaign Contribution**” means a gift, subscription, loan, advance or deposit of money

or other thing of value, including the estimated value of an in-kind contribution, that is made to or received by an applicable public official or any person authorized to raise, collect or expend contributions on that official’s behalf for the purpose of electing the official to statewide or local office. “Campaign Contribution” includes the payment of a debt incurred in an election campaign, but does not include the value of services provided without compensation or unreimbursed travel or other personal expenses of individuals who volunteer a portion or all of their time on behalf of a candidate or political committee, nor does it include the administrative or solicitation expenses of a political committee that are paid by an organization that sponsors the committee.

“**Family member**” means a spouse, father, mother, child, father-in-law, mother-in-law, daughter-in-law or son-in-law of (a) a prospective contractor, if the prospective contractor is a natural person; or (b) an owner of a prospective contractor;

“**Pendency of the procurement proces**s” means the time period commencing with the public notice of the request for proposals and ending with the award of the contract or the cancellation of the request for proposals.

“**Prospective contractor**” means a person or business that is subject to the competitive sealed proposal process set forth in the Procurement Code [Sections [13-1-28](http://mobile.nmonesource.com/nxt/gateway.dll?f=jumplink$jumplink_x=Advanced$jumplink_vpc=first$jumplink_xsl=querylink.xsl$jumplink_sel=title;path;content-type;home-title;item-bookmark$jumplink_d=%7bnmsa1978%7d$jumplink_q=%5bfield%20folio-destination-name:'13-1-28'%5d$jumplink_md=target-id=0-0-0-5285) through [13-1-199](http://mobile.nmonesource.com/nxt/gateway.dll?f=jumplink$jumplink_x=Advanced$jumplink_vpc=first$jumplink_xsl=querylink.xsl$jumplink_sel=title;path;content-type;home-title;item-bookmark$jumplink_d=%7bnmsa1978%7d$jumplink_q=%5bfield%20folio-destination-name:'13-1-199'%5d$jumplink_md=target-id=0-0-0-5287) NMSA 1978] or is not required to submit a competitive sealed proposal because that person or business qualifies for a sole source or small purchase contract.

“**Representative of a prospective contractor**” means an officer or director of a corporation, a member or manager of a limited liability corporation, a partner of a partnership or a trustee of a trust of the prospective contractor.

**Name(s) of Applicable Public Official(s) if any:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**(Completed by State Agency or Local Public Body)**

DISCLOSURE OF CONTRIBUTIONS BY PROSPECTIVE CONTRACTOR:

Contribution Made By: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Relation to Prospective Contractor: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date Contribution(s) Made: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Amount(s) of Contribution(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Nature of Contribution(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Purpose of Contribution(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Attach extra pages if necessary)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature Date

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title (position)

**--OR—**

**NO CONTRIBUTIONS IN THE AGGREGATE TOTAL OVER TWO HUNDRED FIFTY DOLLARS ($250) WERE MADE** to an applicable public official by me, a family member or representative.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature Date

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title (Position)

# APPENDIX C

# SAMPLE CONTRACT













# APPENDIX D

# COST RESPONSE FORM

**FIRM NAME:**

**Note: This is a multi-year proposal. Complete for each of the three years.**

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Year 1** | **Year 2** | **Year 3** |
| 1. Total estimated hours to complete audit review (sample contract - Appendix C) |  |  |  |
| 2. Hourly rate |  |  |  |
| 3. Audit cost (1 X 2) |  |  |  |
| 4. Out-of-pocket expenses, including travel |  |  |  |
| 5. Audit cost including expenses (3 + 4) |  |  |  |
| 6. Applicable gross receipts tax  (specify rate \_\_\_\_\_\_\_\_\_\_ ) |  |  |  |
| 7. Total audit cost (5 + 6) |  |  |  |

**All costs represented in this cost proposal should be considered as “not to exceed” amounts.**

Signature

Name

Title

Date

# APPENDIX E

# LETTER OF TRANSMITTAL FORM

***APPENDIX E***

***Letter of Transmittal Form***

**ITEMS #1 to #4 EACH MUST BE COMPLETED IN FULL (pursuant to Section II.C.30). Failure to respond to all FOUR (4) items WILL RESULT IN THE DISQUALIFICATION OF OFFEROR’S PROPOSAL! DO NOT LEAVE ANY ITEM BLANK!** (N/A, None, Does not apply, etc. are acceptable responses.)

**RFP#: 2021-0001**

1. **Identify the following information** **for the submitting organization**:

|  |  |
| --- | --- |
| **Offeror Name** |  |
| **Mailing Address** |  |
| **Telephone** |  |
| **FED ID#** |  |
| **NM CRS#** |  |

2. **Identify the individual(s) authorized by the organization to (A) contractually obligate, (B) negotiate, and/or (C) clarify/respond to queries on behalf of this Offeror**:

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A**  **Contractually Obligate** | **B**  **Negotiate\*** | **C**  **Clarify/Respond to Queries\*** |
| **Name** |  |  |  |
| **Title** |  |  |  |
| **Email** |  |  |  |
| **Telephone** |  |  |  |

\* If the individual identified in Column A also performs the functions identified in Columns B & C, then no response is required for those Columns. If separate individuals perform the functions in Columns B and/or C, they must be identified.

3. **Use of subcontractors** (Select one):

\_\_\_\_ No subcontractors will be used in the performance of any resultant contract, OR

\_\_\_\_ The following subcontractors will be used in the performance of any resultant contract:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Attach extra sheets, as needed)

4. **Describe any relationship with any entity (such as a State Agency, reseller, etc. that is not a subcontractors listed in #3 above), if any, which will be used in the performance of any resultant contract**. (N/A, None, Does not apply, etc. are acceptable responses to this item.)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Attach extra sheets, as needed)

**By signing the form below, the Authorized Signatory attests to the accuracy and veracity of the information provided on this form, and explicitly acknowledges the following**:

* On behalf of the submitting-organization identified in item #1, above, I accept the Conditions Governing the Procurement, as required in Section II.C.1. of this RFP;
* I concur that submission of our proposal constitutes acceptance of the Evaluation Factors contained in Section V of this RFP; and
* I acknowledge receipt of any and all amendments to this RFP, if any.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, 20\_\_\_\_\_\_

Authorized Signature and Date (*Must be signed by the individual identified in item #2.A, above*.)

# APPENDIX F

# ORGANIZATIONAL REFERENCE QUESTIONNAIRE

The State of New Mexico, as a part of the RFP process, requires Offerors to list a minimum of three (3) organizational references in their proposals. The purpose of these references is to document Offeror’s experience relevant to the Section IV.A, Detailed Scope of Work in an effort to evaluate Offeror’s ability to provide services, performance under similar contracts, and ability to provide knowledgeable and experienced staffing.

**Offeror is required to send the following Organizational Reference Questionnaire to each business reference listed in its proposal, as per Section IV.B.3. The business reference, if it chooses to respond, is required to submit its response to the Organizational Reference Questionnaire directly to: Mario Maes at** [Mario.Maes@state.nm.us](mailto:Mario.Maes@state.nm.us) **by 3:00 pm MST/MDT on March 12, 2021 for inclusion in the evaluation process. The Questionnaire and information provided will become a part of the submitted proposal. Businesses/Organizations providing references may be contacted for validation of content provided therein.**

**RFP # 2021-0001**

**ORGANIZATIONAL REFERENCE QUESTIONNAIRE**

**FOR:**

(Name of Offeror)

This form is being submitted to your company for completion as a reference for the organization listed above. This Questionnaire is to be submitted to the State of New Mexico, Early Childhood Education and Care Department (ECECD) via e-mail at:

Name: Mario Maes, Procurement Manager

Email: [Mario.Maes@state.nm.us](mailto:Mario.Maes@state.nm.us)

Forms must be submitted no later than **3:00 pm MST/MDT on March 12, 2021,** and **must not** be returned to the organization requesting the reference. References are **strongly encouraged** to provide comments in response to organizational ratings.

**For questions or concerns regarding this form**, please contact the **Procurement Manager** at Mario.Maes@state.nm.us. When contacting the Procurement Manager, include the Request for Proposal number provided at the top of this page.

|  |  |
| --- | --- |
| **Organization providing reference** |  |
| **Contact name and title/position** |  |
| **Contact telephone number(s)** |  |
| **Contact e-mail address** |  |
| **Audit dates (start and end dates)** |  |

QUESTIONS:

1. In what capacity have you worked with this firm in the past?

COMMENTS:

2. How would you rate this firm's knowledge and expertise?

(3 = Excellent; 2 = Satisfactory; 1 = Unsatisfactory; 0 = Unacceptable)

COMMENTS:

1. What is your level of satisfaction with the financial and compliance audit(s) produced by the vendor?

(3 = Excellent; 2 = Satisfactory; 1 = Unsatisfactory; 0 = Unacceptable, N/A = Not applicable)

COMMENTS:

1. Who are/were the vendor’s principal representatives involved in your project and how would you rate them individually? Would you, please, comment on the skills, knowledge, behaviors or other factors on which you based the rating?

(3 = Excellent; 2 = Satisfactory; 1 = Unsatisfactory; 0 = Unacceptable)

Name: Rating:

Name: Rating:

Name: Rating:

Name: Rating:

COMMENTS:

1. With which aspect(s) of this vendor's services are/were you most satisfied?

COMMENTS:

1. With which aspect(s) of this vendor's services are/were you least satisfied?

COMMENTS:

1. Would you recommend this vendor's services to your organization again?

COMMENTS:

# APPENDIX G

# CERTIFICATION OF MINIMUM QUALIFICATIONS

**REQUEST FOR PROPOSALS**

**FINANCIAL AND COMPLIANCE AUDIT**

**MINIMUM QUALIFICATIONS**

**FIRM NAME: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**ADDRESS: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**TELEPHONE #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**FEDERAL EMPLOYER IDENTIFICATION # \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**NEW MEXICO TAX # (if any) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**CONTACT PERSON FOR PROPOSAL \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**(Name & Title)**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

BY SIGNING THIS COMPANY QUESTIONNAIRE, THROUGH THE UNDERSIGNED REPRESENTATIVE WHO HAS THE AUTHORITY TO BIND THE OFFEROR, AND BY SUBMITTING A PROPOSAL IN RESPONSE TO RFP # 2021-0001, THE OFFEROR:

1. AGREES TO PERFORM THE SERVICES REQUIRED BY RFP # 2021-0001 AND TO ADHERE TO ALL REQUIREMENTS, SPECIFICATIONS, TERMS AND CONDITIONS OF SUCH RFP;

2. CERTIFIES THAT IT IS REGISTERED WITH THE NEW MEXICO STATE BOARD OF PUBLIC ACCOUNTANCY AND HOLDS A CURRENT PERMIT FROM SUCH BOARD TO PRACTICE AS A CERTIFIED PUBLIC ACCOUNTANT;

3. CERTIFIES THAT IT HAS SUBMITTED A COMPLETE, APPROVED FIRM PROFILE TO THE OFFICE OF THE NEW MEXICO STATE AUDITOR IN ACCORDANCE WITH SECTION 8.A OF 2.2.2 NMAC;

4. CERTIFIES THAT IT POSSESSES PROFESSIONAL LIABILITY INSURANCE, IN ACCORDANCE WITH SECTION 8.I OF 2.2.2 NMAC, COVERING ANY ERROR OR OMISSION COMMITTED DURING THE TERM OF ANY CONTRACT AWARDED TO IT UNDER THIS RFP;

5. CERTIFIES COMPLIANCE RELATING TO QUALITY CONTROL AND ASSURANCE AND EXTERNAL PEER REVIEWS CONDUCTED IN ACCORDANCE WITH SECTION 14.B OF 2.2.2 NMAC;

6. CERTIFIES THAT THOSE PERSONS WHO ARE EMPLOYED BY THE OFFEROR AND WOULD BE RESPONSIBLE FOR PLANNING, DIRECTING AND CONDUCTING A SUBSTANTIAL PORTION OF THE FIELD WORK OR REPORTING FOR THE AUDIT THAT IS THE SUBJECT OF THIS RFP ARE IN COMPLIANCE WITH THE CONTINUING EDUCATION REQUIREMENTS OF SECTION 14.A OF 2.2.2 NMAC;

7. CERTIFIES THAT IT IS INDEPENDENT AND WARRANTS THAT IT PRESENTLY HAS NO INTEREST AND SHALL NOT ACQUIRE ANY INTEREST, DIRECT OR INDIRECT, WHICH WOULD CONFLICT IN ANY MANNER OR DEGREE WITH THE PERFORMANCE OF SERVICES REQUIRED UNDER ANY CONTRACT ENTERED INTO BY ECECD AND THE OFFEROR.

1. CERTIFIES THAT IT HAS A POSITIVE NET WORTH AS OF THE SUBMISSION DATE OF ITS PROPOSAL AND THAT IT SHALL MAINTAIN A POSITIVE NET WORTH FOR THE DURATION OF ANY CONTRACT ENTERED INTO WITH ECECD;
2. CERTIFIES THAT IT WILL COMPLY WITH CONFIDENTIALITY REQUIREMENTS AS STATED IN THE RFP AND AUDIT CONTRACT; AND
3. CERTIFIES THAT IT WILL COMPLY WITH ALL REQUIREMENTS OF THE MOST RECENT NEW MEXICO OFFICE OF THE STATE AUDITOR AUDIT RULE.

**SIGNED BY: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Name (print): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**