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# RFP# 2017-007 Financial & TFCA Compliance Audits Pre-Bidders Conference

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Karen Schkolnick, Director - Strategic Incentives Division  
Stephanie Osaze, Finance Manager

July 2017

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- **Perform financial and compliance audit in accordance with GAAP** and selected auditor may be asked to assist with the implementation of new GASB pronouncements (GASB 75)
- **Communicate any significant deficiencies** found during audit in the required reports
- **Make an immediate report of all irregularities** and illegal acts or indications of illegal acts
- **Meet** during the field work process with Finance Manager, who will coordinate the audit process
- **Consult occasionally throughout the year** as an information resource

Note: For additional requirements, please review the RFP



Introduction to Bay Area Air Quality Management District (BAAQMD)

Request for Proposals (RFP):

- Summary of Projects
  - Part A. Financial Audit
  - Part B. TFCA Compliance Audit
- Scope of Work
- Evaluation Criteria
- Schedule
- Submittal

Q&A



# About BAAQMD

## The Air District:

- Established in 1955
- Nine Bay Area Counties
- Seven Million Residents
- 5,340 Square Miles

## Our Mission:

*To protect and improve  
public health, air quality,  
and the global climate*



NINE COUNTY JURISDICTION OF THE BAAQMD





# Scope of Work

Seeking a single audit firm (Contractor) to perform work all work described in Scope Of Work in FYE 2018, and may be extended for an additional two years:

## Project #1: Financial Audit

- Audit BAAQMD financial statements
  - General Fund and Special Revenue Fund

## Project #2: Transportation Fund for Clean Air (TFCA) Compliance Audit

- Conduct Financial Statement Audits of TFCA projects and programs
  - Regional Fund and County Program Manager Fund



# Financial Audit

## Project Deliverables

- Preliminary draft audit reports on the basic financial statements, the Single Audit, and the Management Letter due in November.
- Final audit reports on the basic financial statements, the Single Audit, and the Management Letter due by 1<sup>st</sup> week in January, to be presented at the Budget & Finance Committee meeting in January.
- Thirty (30) copies of the reports due 3 weeks prior to Committee meeting.



### TFCA Regional Fund

- 50-80 projects per cycle
- Site visits required for ~30 project sponsors generally located within the nine-county Bay Area
- Audited every year

### TFCA County Program Manager Fund (CPM)

- 100-150 projects per cycle
- Site visits required for each of the nine project sponsors, all within the nine-county Bay Area
- Audited every other year (Year #2 only)



# TFCA Audit for FYE 2017-18

Project Details

- Bi-weekly meetings during field work process and consulted occasionally throughout the year as an information resource
- Prepare Individual Project Audit Reports (one for each (Project Sponsor) and [Summary Audit Report](#) for each fund (pg. 61)
- Attend Committee and Board Meetings when reports are presented
- Prepare Independent Auditor's Reports and Schedule of Expenditures for each Fund





# TFCA Audit for FYE 2017-18

## Sample Projects: Regional Fund

Project Number	Project Sponsor	Project Title	City	Award Amount
11R16	City of Alameda	Estuary Crossing Bicycle/College Shuttle	Alameda	\$114,380
16EV057	Town of Atherton	Install 2 dual-port Level 2 charging stations	Atherton	\$6,000
07R65	City of Burlingame	Bayshore Highway Corridor Interconnect	Burlingame	\$147,900
08R71	City of San Ramon	Crow Canyon Rd. Signal Timing	San Ramon	\$124,700
08R72	City of San Ramon	Bollinger Canyon Road Signal Timing Project	San Ramon	\$264,450
16RFG01	Chabot Las Positas Comm College District	Install 12 Dual-Port level 2 charging stations	Dublin	\$65,112
06R07	City of El Cerrito	San Pablo Avenue Transit, Streetscape, Bicycle and Pedestrian Access Improvements	El Cerrito	\$172,441
16EV062	Carrara at Tuscany Hills Owners' Assoc.	Install 5 single-port Level 2 charging stations in San Jose	Fremont	\$15,000
16RFG02	City of Fremont	Install 9 dual port level 2 charging stations in Fremont	Fremont	\$81,486
08BFP03	County of Sonoma	County of Sonoma Electronic Bicycle Locker Program	Santa Rosa	\$70,000
12R06	San Joaquin Regional Rail Commission	Shuttle Route 53	Stockton	\$44,000
12R08	San Joaquin Regional Rail Commission	Shuttle Route 54	Stockton	\$50,000
16R15	San Joaquin Regional Rail Commission	ACE Shuttle 53 and 54	Stockton	\$80,000
16EV060	Verasa Napa Condominium Owners Assoc. Inc .	Install 2 dual-port Level 2 chargers in Napa	Mammoth Lakes	\$12,000
12R18	City of Oakland	Oakland "B" Shuttle	Oakland	\$177,302
16R18	City of Oakland	Broadway Shuttle	Oakland	\$186,500
16EV058	City of Oakland	Install 4 dual-connector DC fast and 24 dual-port Level 2 charging stations in Oakland	Oakland	\$250,000



# TFCA Audit for FYE 2017-18

## Sample Projects: County Program Manager Fund

Project Number	Project Sponsor	End Recipient	Project Title	Award Amount
09ALA07	ACTC	AC Transit	Easy Pass Transit Incentive Program	\$350,000.00
11ALA03	ACTC	City of Albany	Buchanan Bike Path	\$100,000.00
11ALA04	ACTC	Cal State University East Bay	CSUEB -2nd Campus BART Shuttle	\$194,000.00
11ALA06	ACTC	City of Fremont	North Fremont Arterial Management	\$256,000.00
11ALA12	ACTC	City of San Leandro	San Leandro LINKS Shuttle	\$47,500.00
11ALA13	ACTC	Alameda CTC	Alameda County Guaranteed Ride Home (GRH) Program	\$245,000.00
12ALA00	ACTC	Alameda CTC	Program Administration	\$92,392.73
12ALA01	ACTC	City of Oakland, Economic Development	Oakland Broadway Shuttle - Fri and Sat Evening Service	\$35,300.00
12ALA02	ACTC	City of Pleasanton	Pleasanton Trip Reduction Program	\$57,507.00
12ALA03	ACTC	Cal State University East Bay	CSU East Bay Second Campus to BART Shuttle- Ext, Hours	\$56,350.00
09CC01	CCCTA	WCCTAC	WCC Commute Incentive Prgm	\$76,164.00
09CC02	CCCTA	WCCTAC	West County Employer Outreach	\$107,164.00
10NAP01	Napa TA	City of Napa	Lincoln Class II Bike Lane	\$71,750.00
10NAP04	Napa TA	Solano Napa Commuter Information	SNCI Commuter Incentives and Marketing Materials	\$40,000.00
11NAP01	Napa TA	City of Napa	Bicycle Racks and Bicycle Locker	\$10,443.00
11NAP02	Napa TA	City of Napa	Lincoln Ave Class II bike lane	\$148,100.00
14SF01	SFCTA	SF Department of the Environment	Emergency Ride Home Program	\$5,000.00
14SF02	SFCTA	SF Department of the Environment	Commuter Benefits Program	\$111,127.00
14SF03	SFCTA	SF Department of the Environment	San Francisco School Pool	\$25,073.00
14SF06	SFCTA	SF State University	Abundant Bicycle Parking (Outdoor Racks)	\$51,923.00



# RFP Evaluation Criteria

Criteria	Description	Value
<b>Expertise</b>	Technical expertise, size and structure of the firm and personnel assigned to RFP tasks; firm's ability to perform and complete the work in a professional and timely manner.	25%
<b>Skill</b>	Past experience of the firm and, in particular, experience of the team working on projects of similar scope for other governmental agencies.	15%
<b>Approach</b>	Responsiveness of the proposal, based upon a clear understanding of the work to be performed.	25%
<b>Cost</b>	Cost relative to other bidders'	25%
<b>Firm's Specialty Focus Area</b>	References of the firm, local business/Green Business*	10%



# Schedule of Contract Award

Milestone	Date
RFP Release Date	July 17, 2017
Bidder's Conference	August 3, 2017
Questions Due Date	August 10, 2017
Responses to Questions Posted on Website by	August 17, 2017
Proposal Submission Due Date	August 25, 2017, 4:00PM
Finalist Interviews (if needed)	September 5-8, 2017*
Selection of Finalist	September 27, 2017*
Contract Submissions for Board Consideration	October 4, 2017*
Commencement of Contract	October 5, 2017*

\*Dates are tentative and subject to change



# Format of Proposal

Bids must be organized with the following sections as described in RFP Section V–  
PROPOSAL, FORMAT, CONTENT AND SUBMITTAL

A. Format of Technical Proposal

1. Title page
2. Table of Contents
3. Transmittal Letter
4. *Detailed Technical Proposal*



# Contents of Technical Proposal

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**Purpose:** To demonstrate the qualifications, competence, and capacity of the firm seeking to undertake the scope of services for both Projects (parts A & B) as described in RFP Section IV.

1. License to practice in California
2. Independence
3. Firm Qualifications and Experience
4. Partner, Supervisory and Staff Qualifications and Experience
5. Prior Engagements with the Air District
6. Specific Audit Approach
7. Cost Proposal Guidelines
8. Grounds for Rejection
9. Disposition of Proposals
10. Modification or Withdrawal



Proposal Due Date:  
**4:00 PM on Monday, August 25, 2017**

Submit an electronic (PDF) copy to:  
**Cynthia Zhang, Administrative Analyst**  
Bay Area Air Quality Management District  
375 Beale Street, San Francisco, CA 94105  
Email Address: [czhang@baaqmd.gov](mailto:czhang@baaqmd.gov)



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Questions  
[www.baaqmd.gov](http://www.baaqmd.gov)

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Contact: Cynthia Zhang  
[czhang@baaqmd.gov](mailto:czhang@baaqmd.gov)

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