



# REQUEST FOR PROPOSAL

Financial Audit Services

**Spectrum Community Services, Inc.**

2621 Barrington Court  
Hayward, CA 94545  
SpectrumCS.org  
510-881-0300

Peggy Herndon

[pherndon@spectrumcs.org](mailto:pherndon@spectrumcs.org)

## Table of Contents

I.	Introduction:	_____	Page 2
	A.	Purpose of this Request for Proposal	
	B.	Spectrum's Background	
	C.	Oversight, Management, and Contacts	
II.	General Instructions:	_____	Page 3
	A.	Key Dates	
	B.	Submittal of RFP	
	C.	Signatures	
	D.	Disqualified RFP	
	E.	Withdrawal of RFP	
	F.	Conflicts of Interest	
III.	Scope of Service:	_____	Page 4
IV.	Contents of Request for Proposal:	_____	Page 5
	A.	General	
	B.	Submittal Letter	
	C.	Table of Contents	
	D.	Description of Firm	
	E.	Product Approach	
	F.	Fee Structure	
V.	Selection Criteria:	_____	Pages 5-6

## I. Introduction

### A. Purpose of this Request for Proposal

Spectrum Community Services, Inc. (Spectrum) is seeking proposals for preparation of its yearly audited financial statements and related filings for the 2022/2023 fiscal year (July/June), with intent of extending a contract for a total of up to a four year period. Our organization requires a federal single audit. The audit of our financial statements must be performed in accordance with generally accepted accounting principles.

Spectrum will use a competitive process to select a qualified firm, based upon qualitative and technical criteria that meets our internal needs. The objective of the solicitation is to select a Firm and execute a contract for services.

The information sought through this RFP is to determine the most cost effective and responsive service firm.

### B. Spectrum's Background

Founded in 1971, Spectrum strives to improve the health and safety of seniors and low income residents in Alameda County by enhancing their quality of life and helping them age at home with dignity. Spectrum is a registered, private non-profit organization with multiple government contracts and private funders. Spectrum serves over 15,000 clients each year with funding from grants, contracts, and fees. Spectrum has approximately 50 employees with annual revenue approximately \$6MM.

### C. Oversight, Management, and Contacts

In order to control information disseminated regarding this RFP, Firms interested in submitting a Proposal are directed not to make personal contact with members of the Spectrum Board and Administration with the exception of the individual listed below.

#### **Oversight**

Peggy Herndon will provide oversight to the RFP process.

Peggy Herndon, Chief Financial Officer

[pherndon@spectrumcs.org](mailto:pherndon@spectrumcs.org)

510-876-8808

#### **Liaison**

Riley York will serve as the contact point for RFP communication between Spectrum and the Firm.

Riley York, Data Technician

[RYork@SpectrumCS.org](mailto:RYork@SpectrumCS.org)

510-963-5607

## II. General Instructions

### A. Key Dates

- ❖ RFP Release Date: Friday, May 19, 2023
- ❖ Last Day to submit: 2:00 PM (PST), Monday, June 5, 2023
- ❖ Review Period: Monday, June 5, 2023 - Monday, June 12, 2023
- ❖ Oral Interviews/Presentations, if needed: Week of June 20th
- ❖ Selection Date no later than: Friday, June 30, 2023

### B. Submittal of RFP

RFP's should be reviewed for accuracy before submission to Spectrum since said document may not be adjusted after submission. Spectrum will not be responsible for errors or omissions in the RFP. Spectrum reserves the right to reject any and all RFP's, or to waive any irregularities, or informalities in the RFP's.

Each Firm submitting a RFP must submit their response in a PDF file sent to [RYork@SpectrumCS.org](mailto:RYork@SpectrumCS.org)

Response shall be in 12-point font, approximately 8 ½" x 11" format, not to exceed twenty-five (25) pages.

### C. Disqualified RFP

Any RFP received after 2:00 PM (PST) on Monday, June 5, 2023, shall be refused.

### D. Withdrawal of RFP

Firms may withdraw their RFP by written request at any time prior to the deadline.

### E. Debarment, Suspension and Ineligibility

By submission of your qualifications in response to this announcement, you are certifying that neither your Firm(s) nor any of their principals are presently debarred, suspended, declared ineligible, or excluded from participation in this procurement process by any Federal department or agency. Further, if such a debarment or suspension occurs during the course of the evaluation process, you shall inform Spectrum immediately.

### F. Conflicts of Interest

By submission of your qualifications in response to this announcement, you are certifying that your Firm has no business or personal relationships with any other companies or persons that could be considered as a conflict of interest or potential conflict of interest to Spectrum, and that there are no principals, officers, agents, employees, or representatives of your Firm that have any business or personal relationships with any other companies or persons that could be considered as a conflict of interest or a potential conflict of interest to Spectrum, pertaining to any and all work or services to be performed as a result of this request and any resulting contract with Spectrum.

### III. Scope of Service

Provide Spectrum with a Scope of Service that can be implemented in your response throughout Section IV, Contents of RFP. The selected Firm will provide a proposal including the following services:

- A. Annual financial statement audit
- B. Federal Single Audit
- C. Preparation of IRS form 990
- D. Preparation of Exempt Organization Tax Returns
- E. Management letter

All above items must be completed and presented to Spectrum's Board of Directors at the October Board of Directors meeting each year.

## IV. Contents of RFP

### A. General

In order for RFPs to be considered, said RFP must be clear, concise, complete, well organized, and demonstrate both the Firm's ability to follow instructions and product's functionality. The quality of answers, not length of responses or visual exhibits is what is important in the RFP.

All Firms responding shall follow the order and format specified below. Each section of the RFP shall be labeled to correspond to the numbers/headers shown below (Sections IV.B - IV.F).

### B. Submittal Letter

The cover letter shall be brief (one-page maximum). Include:

1. The RFP's title and submittal date.
2. The name, address, email, and telephone number of the responding Firm's point of contact.

*The submittal letter will **NOT** be considered part of the twenty-five (25) page limit.*

### C. Table of Contents

Include a complete and clear listing of headings and pages to allow easy reference to key information.

*The table of contents will **NOT** be considered part of the twenty-five (25) page limit.*

### D. Description of Firm

1. Evidence of the Firm's qualifications to provide the above services.
2. Background and experience in auditing nonprofit clients. Specifically the single audit.
3. The size and organizational structure of the auditor's Firm.
4. Names of the partner, audit manager, and field staff who will be assigned to our audit and provide biographies.
5. A copy of your Firm's most recent peer review report, the related letter of comments, and the Firm's response to the letter of comments.
6. References and contact information from at least three (3) comparable nonprofit audit clients who have been served by members of the same team assigned to Spectrum.

### E. Project Approach

1. Statement of the firm's understanding of work to be performed, including tax and non-audit services.
2. A proposed timeline for fieldwork and final reporting

## **F. Fee Structure**

Please describe in detail your pricing model. For evaluation purposes, please break down the rates and any additional costs or options that your Firm proposes to provide to Spectrum:

1. Proposed fee structure for each of the four years of the proposal period, including whatever guarantees regarding maximum fee that would be charged in future years.
2. Describe your billing rates and procedures for technical questions that may come up during the year or whether these occasional services are covered in the proposed fee structure.
3. Any other fees, costs, taxes, etc... for services

## V. Selection Criteria

Firms submitting proposals are advised that all proposals will be evaluated to determine the "most qualified" Firm that will be able to meet the needs of Spectrum. The selection criteria will include, but not be limited to, the items listed below.

### RFP - Evaluation and Award Process

Spectrum will select Firm(s) that will be used to cover the Scope of Services in this RFP with the understanding that the selection and contract is conditional on approval by the Executive Director. Representatives of the agency will evaluate proposals. This committee hereinafter will be referred to as the "Review Panel."

The Review Panel will review and score each RFP on the six (6) different criteria sections listed below. The scale used where zero (0) is the lowest. There is a maximum of 100 points.

#### Scoring Criteria

#	Criteria	Maximum Points
1	Firm background, qualifications, and quality of service	40
3	Staff support and availability	10
4	Project implementation approach and timeline	10
5	Experience and commitment to working with similar agencies/employers.	10
6	Fee structure and transparency	30
	<b>Total Points:</b>	<b>100</b>