

REQUEST FOR PROPOSALS

DATE: November 21, 2016

RFP NO. 2017-FI-1

ALL INTERESTED PARTIES:

Miami Shores Village, Florida, hereinafter referred to as the Village, will receive sealed Proposals at the office of the Finance Director at 10050 N.E. Second Avenue, Miami Shores, Florida 33138-2382 for the services described below:

FINANCIAL AUDITING SERVICES

Sealed Proposals must be received by the Finance Director, either by mail or hand delivery, no later than 4:00 p.m. local time on December 8, 2016. Any Proposals received after 4:00 p.m. local time on said date will not be accepted under any circumstances.

The Village reserves the right to reject any or all Proposals, to waive any informalities or irregularities in any Proposals received, to re-advertise for Proposals, to award in whole or in part to one or more parties, or take any other such actions that may be deemed to be in the best interests of the Village.

Pursuant to County Code, public notice is hereby given that a “Cone of Silence” is imposed concerning the Miami Shores Village competitive purchasing process, which generally prohibits communications concerning the RFP from the time of advertisement of the RFP until such time as the Village Manager makes a written recommendation to the Village Council concerning the competitive purchase transaction. For more information on the “Cone of Silence”, please contact the Finance Director, Holly Hugdahl at FinanceDirector@miamishoresvillage.com.

Holly Hugdahl, CPA, CGMA
Finance Director

I. INTRODUCTION

A. GENERAL INFORMATION

Miami Shores Village, Florida, is soliciting proposals from qualified independent Certified Public Accountants and/or firms licensed to practice in the State of Florida for the purpose of providing an annual examination of the financial statements and records of Miami Shores Village. The audit services shall be conducted for the purpose of forming an opinion of the general-purpose financial statements taken as a whole and to determine whether operations were conducted in accordance with legal and regulatory requirements for an initial three (3) year period beginning with the fiscal year ending September 30, 2016. These audits are to be performed in accordance with generally accepted auditing standards and the standards for financial audits set forth in the U.S. General Accounting Office's (GAO) Government Auditing Standards "the Yellow Book", the audit requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance) and the provisions of the Florida Single Audit Act.

B. TERM OF ENGAGEMENT

A three (3) year contract is contemplated, with annual renewal options, subject to an annual review and the satisfactory negotiation of terms (including a price acceptable to both Miami Shores Village and the selected firm), the concurrence of the Village Council and the annual availability of an appropriation.

II. SCOPE OF SERVICES

A. GENERAL

Miami Shores Village is soliciting the services of qualified firms of Certified Public Accountants to audit its financial statements for the fiscal year ending September 30, 2016 for three (3) years. These audits are to be performed in accordance with the provisions contained in this request for proposals.

B. SCOPE OF WORK TO BE PERFORMED

Miami Shores Village desires the auditor to express an opinion on the fair presentation of its basic financial statements in conformity with accounting principles generally accepted in the United States of America and the financial reporting requirements of Governmental Accounting Standards Board Statement No. 34, *Basic Financial Statements – and Management's Discussion and Analysis for State and Local Governments* and related pronouncements.

The auditor is not required to audit the combining and individual fund and account group financial statements and supporting schedules. However, the auditor is to provide an "in-relation-to" report on the combining and individual fund financial statements and supporting schedules based on the auditing procedures applied during the audit of the basic financial statements. The auditor is not required to provide an opinion on the Introductory Section, Statistical Section, MDA or RSI.

The auditor shall be responsible for performing certain limited procedures involving the required Management's Discussion and Analysis and the required supplementary information required by the Governmental Accounting Standards Board as mandated by generally accepted auditing standards.

The auditor is required to audit and express opinions on internal controls and compliance of the schedule of federal and state financial assistance.

The auditor may be requested to perform other auditing services at the discretion of the Village. Any such additional work agreed to between Miami Shores Village and the firm shall be performed only after a written agreement has been made.

C. AUDITING STANDARDS TO BE FOLLOWED

To meet the requirements of this request for proposals, the audit shall be performed in accordance with:

1. Generally accepted auditing standards and Audits of State and Local Governmental Units (revised) as issued by the American Institute of Certified Public Accountants (AICPA);
2. Government Auditing Standards, as issued by the Comptroller General of the United States;
3. Circular No. A-133, Audits of State and Local Governments "the Yellow Book", Office of Management and Budget as well as the following additional requirements;
4. The provisions of the Federal Single Audit Act (as amended);
5. The provisions of the Florida Single Audit Act (as amended);
6. State of Florida Department of Banking and Finance Regulations;
7. Rules of the Auditor General for the State of Florida relating to Section 11.45(3)(a) 4 of the Florida Statutes; and
8. Other applicable federal, state and local laws or regulations.

D. REPORTS TO BE ISSUED

Following the completion of the audit of the fiscal year's financial statements, the auditor shall issue the following:

1. An independent auditor's report on the basic financial statements based on an audit performed in accordance with Government Auditing Standards issued by the Comptroller General of the United States (including the in relation to opinion for the supplementary schedule of expenditures of federal awards and state financial assistance).
2. An independent auditor's report on internal control over financial reporting and on compliance and other matters based on an audit of the financial statements performed in accordance with Government Auditing Standards issued by the Comptroller General of the United States.
3. A report on compliance for each major Federal program/State project and on internal control over compliance in accordance with 2 CFR, part 200, subpart F and Chapter 10.550, Rules of the Auditor General.
4. A schedule of findings and questioned costs for Federal programs and/or State projects.
5. If applicable, a summary schedule of prior audit findings for Federal programs and/or State projects.
6. An independent auditor's management letter as required by Section 218.39(4), Florida Statutes, and Section 10.557(3)(g), Rules of the Auditor General which will include:
 - a. A statement as to whether or not findings and recommendations made in the preceding financial audit report have been followed, or not otherwise addressed, in the auditor's reports pursuant to Sections 10.557(3)(b) and 10.557(3)(c), Rules of the Auditor General.
 - b. Recommendations to improve the Village's financial management, if any (Section 10.554(1)(i)2, Rules of the Auditor General.
 - c. Noncompliance with provisions of contracts or grant agreements, or abuse, that have occurred, or are likely to have occurred, that have an effect on the financial statements that is less than material but which warrants the attention of those charged with governance.

- d. A statement describing the results of the auditor's determination as to whether or not the financial report filed with the Florida Department of Financial Services pursuant to Section 218.32(1)(a), Florida Statutes is in agreement with the annual financial audit report for the current audit period and, if not, explanations of any significant differences.
 - e. For any irregularities and illegal acts the auditor shall be required to make an immediate, written report of all irregularities and illegal acts of which they become aware to the Director of Finance and Village Manager as appropriate.
- 7. A Financial and Compliance report for the Miami-Dade County Citizens' Independent Transportation Trust.
 - 8. An examination report conducted in accordance with AICPA Professional Standards, AT Sections 601.55 and 601.56, promulgated by the American Institute of Certified Public Accountants, regarding the compliance requirements referenced in Rule 10.556(10).

Use of the audited financial statements, opinions or any of the above named reports will not result in additional compensation unless their use requires additional certification or services on the part of the firm.

The auditor shall submit a signed audit report on the fair presentation of the financial statements in conformity with accounting principles generally accepted in the United States of America no later than May 26, 2017 for the fiscal year ending September 30, 2016, along with the required reports on internal control structure and compliance with laws and regulations. Subsequent audits will be submitted no later than March 15th.

E. SPECIAL CONSIDERATIONS

- 1. Miami Shores Village will send its comprehensive annual financial report to the Government Finance Officers Association of the United States and Canada for review in their Certificate of Achievement for Excellence in Financial Reporting program. It is anticipated that the auditor will be required to provide special assistance to Miami Shores Village to meet the requirements of that program by providing technical advice.
- 2. The schedules for federal and state financial assistance and related auditor's report, as well as the reports on the internal control and compliance, are to be issued in conjunction with the comprehensive annual financial report.

3. The Village may, during the period of this contract, prepare one or more official statements in connection with the sale of debt securities, which will contain the basic financial statements and the auditor's report thereon. The auditor shall be required, if requested by the financial advisor and/or the underwriter, to issue a "consent and citation of expertise" as the auditor and any necessary "comfort letters."
4. Prepare the financial report of the Village filed with the Department of Financial Services, State of Florida, pursuant to Section 218.32, Florida Statutes, to verify that it is in agreement with the financial statements for the year ended September 30.
5. The auditor will assist the Village in complying with changes in reporting requirements to remain in conformity with accounting principles generally accepted in the United States of America.
6. Comprehensive Annual Financial Report (CAFR) Preparation
 - a. The auditor shall draft and prepare all individual, combining and entity wide Financial Statements (including all conversions from fund level to government wide), the notes to the Financial Statements, and the Independent Auditor's reports. The auditor shall maintain depreciation schedules for government wide statements, with the information supplied by the Village. The Auditor shall prepare the schedule of state and federal awards. Additionally, the Auditor shall prepare the data collection form. Miami Shores Village will be responsible for supplying the auditor with the appropriate numbers from the Village's work papers. Additionally, the Village will provide the information for the introductory section (including the transmittal letter), management's discussion and analysis and information for statistical schedules. Upon receipt of all of the appropriate information, the auditor will be responsible for finalizing the CAFR, and delivering a camera-ready original of the CAFR in accordance with Section III B. The Village will be responsible for supplying the tabs and covers, and for the printing of the CAFR.
7. The Auditor's response should include a brief explanation of the impact of GASB Statements 72, 73, 74, and 75, and their potential effect on the preparation of the CAFR, including any audit implications. The Village is required to consider the effects of these pronouncements on their financial statements in the following years: GASB 72 and 73 for fiscal year 2016, GASB 74 for 2017 and GASB 75 for 2018. The Village will require assistance from the Auditor in the implementation of all existing and future GASB pronouncements.
8. Timeliness is critical in the performance of the audit. The Auditor should plan on conducting the audit for fiscal year 2016 and should schedule the audits such that both reports will be completed prior to May 26, 2017.

9. Performance Standards

- a. A minimum of 95% of all responses to any of the Village's questions or inquiries should occur within two (2) business days of notification to auditor. For example, the Village may have a technical question about a transaction.
- b. The auditor shall respond to any emergency request for service within eight (8) business hours. For example, if the Village detects a problem such as fraud or illegal action, the Village would likely need immediate assistance.
- c. The deadlines in Section III (Time Requirements) and B (Date Final Report is Due) shall be met.

In addition to the performance measures above, the auditor will also be evaluated by Village staff on a regular basis regarding the quality of service and the timeliness of data exchange.

F. WORKING PAPER RETENTION AND ACCESS TO WORKING PAPERS

All working papers and reports must be retained in accordance with requirements and procedures set forth by the General Records Schedule for Local Government Agencies as promulgated by the Division of Archives, History and Records Management (a division of the Florida Department of State) at the auditor's expense, unless the firm is notified in writing by Miami Shores Village of the need to extend the retention period. The auditor will be required to make working papers available, upon request, to the following parties or their designees:

- Miami Shores Village,
- U.S. General Accounting Office (GAO),
- Auditors of entities of which Miami Shores Village is a sub-recipient of grant funds,
- Parties designated by the federal or state governments or by Miami Shores Village as part of an audit quality review process.

In addition, the firm shall respond to the reasonable inquiries of successor auditors and allow successor auditors to review working papers relating to matters of continuing accounting significance.

G. SELF-INSURANCE

Effective 10/1/2005, the Village obtained general liability, workers' compensation, and motor vehicle insurance through the Florida League of Cities. Prior to that, the Village was self-insured and some issues still remain.

H. NAME AND TELEPHONE NUMBER OF CONTACT PERSONS

The auditor's principal contact with Miami Shores Village will be Holly Hugdahl, CPA, CGMA, Finance Director (305-762-4855) who will coordinate the assistance to be provided by Miami Shores Village to the auditor.

I. BACKGROUND INFORMATION

1. The Village serves an area of 2.5 square miles with a population of 10,775. The Village's fiscal year begins on October 1 and ends on September 30. The Village operates under the Council-Manager form of government and provides municipal services such as police protection, public works, and all the necessary functions of general government.

The Village has a total budget of approximately \$27 million, with a total payroll of \$8.2 million covering 195 employees.

The Village is organized into various departments with the accounting and financial reporting functions centralized and handled by the Finance Department.

More detailed information on the government and its finances can be found in the Village's 2015 Comprehensive Annual Financial Report available on the Village website.

J. FUND STRUCTURE

Miami Shores Village uses the following fund types in its financial reporting:

<u>Fund Type</u>	<u>Number of Individual Funds</u>	<u>Number With Legally Adopted Annual Budgets</u>
General fund	1	1
Special revenue funds	9	3
Debt service fund	1	1
Capital project funds	2	1
Enterprise funds	3	3
Internal service funds	2	2
Pension funds	2	
Trust funds	1	
Agency fund	1	

K. BUDGETARY BASIS OF ACCOUNTING

The Village prepares its budgets on a basis consistent with generally accepted accounting principles (GAAP). The budgets of general government fund types are prepared on a modified accrual basis of accounting.

L. FEDERAL AND STATE FINANCIAL ASSISTANCE

During the fiscal year to be audited, Miami Shores Village will receive financial assistance including, but not limited to, the following federal or state agencies:

- Miami-Dade County Funds
- U.S. Department of Justice
- U.S. Department of Treasury
- State of Florida

M. FEDERAL EQUITABLE SHARING

The Village's Police Department participates in the U.S. Department of Justice and U.S. Treasury's Federal Equitable Sharing Program.

O. PENSION PLANS:

The Village has two (2) defined benefit plans, the Police Pension Plan and the General Employee Pension Plan. The Village participates in the State of Florida 185 Plan. A Deferred Compensation Plan is also available to the employees.

P. SIZE OF FINANCE OPERATIONS

The Finance Department is headed by Holly Hugdahl, C.P.A., CGMA, Finance Director, and consists of 6 full-time employees. The department is responsible for all financial functions of the Village, as well as, human resources, risk management and communication services.

Q. AVAILABILITY OF PRIOR AUDIT REPORTS AND WORKING PAPERS

Interested firms who wish to review prior years' audit reports and management letters should contact Holly Hugdahl, CPA, CGMA at (305) 762-4855. Miami Shores Village will make every effort, upon request, to make prior audit reports and supporting working papers available to firms to aid their response to this request for proposal.

IV. PROPOSAL REQUIREMENTS

A. SUBMISSION OF PROPOSALS

Interested parties shall provide the following:

1. An original copy (so marked) of the Proposal, four (4) copies and one (1) electronic true and exact copy on a CD plainly identified as "RFP Financial Auditing Services" should be submitted in a sealed envelope to Miami Shores Village, 10050 N.E. Second Avenue, Miami Shores, FL 33138 to the attention of Holly Hugdahl, CPA, CGMA, Finance Director. It should include the following:
 - a. Title Page. Title page showing the request for proposal's subject, the firm's name, the name, address and telephone number of contact person, and the date of the proposal.
 - b. Table of Contents. The table of contents of the proposal should include a clear and complete identification of the materials submitted by section and page number.
 - c. Transmittal Letter. This letter will summarize in a brief and concise manner the firm's understanding of the work to be performed, the commitment to perform the work within the anticipated time period, a statement why the firm believes itself to be best qualified to perform the

engagement, and a statement that the proposal remains in effect for ninety (90) days. An authorized agent of the firm must sign the Letter of Transmittal indicating the agent's title or authority.

- d. Technical Proposal The detailed proposal should follow the order set forth in Section IV (B) of this Request for Proposal.
- e. Price Proposal As detailed in Section IV (C) of this request for proposals.
- f. Addenda Refer to Section IV (D), Addenda, Additional Information.

2. Proposals must be submitted in a sealed envelope clearly marked with the name of the audit firm "Request for Proposal RFP 2017-FI-1, Financial Auditing Services, 2016-2018.

B. TECHNICAL PROPOSAL

1. General Requirements

The purpose of the technical proposal is to demonstrate the qualifications and competence of the firms seeking to undertake an independent audit of Miami Shores Village in conformity with the requirements of this request for proposals. As such, the substance of proposals will carry more weight than their form or manner of presentation. The technical proposal should demonstrate the qualifications of the firm and of the particular staff to be assigned to this engagement. It should also specify an audit approach that will meet the request for proposals requirements.

The technical proposal should address all the points outlined in the request for proposals. The Proposal should be prepared simply and economically, providing a straightforward, concise description of the firm's capabilities to satisfy the requirements of the request for proposals. While additional data may be presented, the following subjects, item Nos. 2 through 9 must be included. They represent the areas in which the proposal will be evaluated.

2. Independence

The firm should provide an affirmative statement that it is independent of Miami Shores Village as defined by generally accepted auditing standards and the U.S. General Accounting Office's Government Auditing Standards.

The firm should also list and describe the firm's professional relationships involving Miami Shores Village for the past five (5) years, together with a statement explaining why such relationships do not constitute a conflict of interest relative to performing the proposed audit.

In addition, the firm shall give Miami Shores Village written notice of any professional relationships entered into during the period of this agreement.

3. License to Practice in Florida

An affirmative statement should be included that the firm and all assigned key professional staff are properly licensed to practice in Florida.

4. Firm Qualifications and Experience

The firm should state the size of the firm, the size of the firm's governmental audit staff, the location of the office from which the work on this engagement is to be performed and the 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.

If the firm's proposal includes a joint venture or consortium, the qualifications of each firm comprising the joint venture or consortium should be separately identified and the firm that is to serve as the principal auditor should be noted, if applicable.

The firm is also required to submit a copy of the report on its most recent external quality control review, with a statement whether that quality control review included a review of specific government engagements.

The firm shall also provide information on the results of any federal or state desk reviews or field reviews of its audits during the past three (3) years. In addition, the firm shall provide information on the circumstances and status of any disciplinary action taken or pending against the firm during the past three (3) years with state regulatory bodies or professional organizations.

5. Partner, Supervisory and Staff Qualifications and Experience

Identify the principal supervisory and management staff, including engagement partners, managers, other supervisors and specialists, who would be assigned to the engagement. Indicate whether each such person is registered or licensed to practice as a certified public

accountant in Florida. Provide information on the government auditing experience of each person, including information on relevant continuing professional education for the past three (3) years and membership in professional organizations relevant to the performance of this audit.

Provide as much information as possible regarding the number, qualifications, experience and training, including relevant continuing professional education, of the specific staff to be assigned to this engagement. Indicate how the quality of staff over the term of the agreement will be assured.

Engagement partners, managers, other supervisory staff and specialists may be changed if those personnel leave the firm, are promoted or are assigned to another office. These personnel may also be changed for other reasons with the express prior written permission of Miami Shores Village. However, in either case, Miami Shores Village retains the right to approve or reject replacements.

Consultants and firm specialists mentioned in response to this request for proposal can only be changed with the express prior written permission of Miami Shores Village, which retains the right to approve or reject replacements.

Other audit personnel may be changed at the discretion of the firm provided that replacements have substantially the same or better qualifications or experience.

6. Prior Engagements with Miami Shores Village

List separately all engagements within the last five years, for Miami Shores Village by type of engagement (i.e., audit, management advisory services, other). Indicate the scope of work, date, engagement partners, the location of the firm's office from which the engagement was performed, and the name and telephone number of the principal client contact.

7. Similar Engagements With Other Government Entities

For the firm's office that will be assigned responsibility for the audit, list the most significant engagements (maximum of 5) performed in the last five years that are similar to the engagement described in this request for proposal. These engagements should be ranked on the basis of total staff hours.

Indicate the scope of work, date, engagement partners, and the name and telephone number of the principal client contact.

8. Specific Audit Approach

The proposal should set forth a work plan, including an explanation of the audit methodology to be followed, to perform the services required in Section II of this request for proposal. In developing the work plan, reference should be made to such sources of information as Miami Shores Village budget, financial and other management information, which is available by contacting the Finance Director at (305) 762-4855.

Firms will be required to provide the following information on their audit approach:

- a. Proposed segmentation of the engagement
- b. Level of staff to be assigned to each proposed segment of the engagement
- c. Sample size and the extent to which statistical sampling is to be used in the engagement
- d. Extent of use of EDP software in the engagement
- e. Type and extent of analytical procedures to be used in the engagement
- f. Approach to be taken to gain and document an understanding of Miami Shores Village internal control
- g. Approach to be taken in determining laws and regulations that will be subject to audit test work
- h. Approach to be taken in drawing audit samples for purposes of tests of compliance
- i. Approach to be taken concerning fraud

9. Identification of Anticipated Potential Audit Problems

The proposal should identify and describe any anticipated potential audit problems, the firm's approach to resolving these problems and any special assistance that will be requested from Miami Shores Village.

C. PRICE PROPOSAL

1. Submit your signed, fixed fee performance-based cost proposal for providing all services, materials, etc., required for completion of services in accordance with your technical proposal. Include the cost of each audit for each of the next three (3) fiscal years: 2016 – 2018.
2. Rates for Additional Professional Services

If it should become necessary for Miami Shores Village to request the auditor to render any additional services to either supplement the services requested in this Request for Proposal or to perform additional work as a result of the specific recommendations included in any report issued on this engagement, then such additional work shall be performed only upon a written agreement between Miami Shores Village and the firm.

3. Manner of Payment

Payments will be based on a schedule of payments to be developed upon awarding of the contract. The Village reserves the right to inspect records supporting the auditor's billings.

D. ADDENDA, ADDITIONAL INFORMATION

Any addenda or answers to written questions supplied by the Village to participating firms become part of this Request for Proposal and the resulting contract. This proposal form shall be signed by an authorized company representative, dated and returned with the proposal.

No negotiations, decisions or actions shall be initiated or executed by the firm as a result of any discussions with any Village employee. Only those communications which are in writing from the Finance Director may be considered as a duly authorized expression. Also, only communications from firms which are signed and in writing will be recognized by the Village as duly authorized expressions on behalf of the firm.

V. EVALUATION OF PROPOSALS

A. Evaluation Method and Criteria

A selection committee appointed by Miami Shores Village will evaluate proposals submitted.

COST WILL NOT BE THE PRIMARY FACTOR IN THE SELECTION OF AN AUDIT FIRM.

As the best interest of the Village may require, the right is reserved to reject any and all proposals or waive any minor irregularity or technicality in proposals received.

The successful firm shall be required to execute a Village contract covering the scope of services to be provided and setting fourth the duties, rights and responsibilities of the parties.

B. Oral Presentations

During the evaluation process, the Selection Committee may, at its discretion, request firms to make oral presentations. Such presentations will provide firms with an opportunity to answer any questions the Selection Committee may have on a firm's proposal. Not all firms may be asked to make such oral presentations.

C. Final Selection

Miami Shores Village will select/award the firm which best meets the interests of the Village. The Village shall be the sole judge of its own best interests, the proposals, and the resulting negotiated agreement. The Village's decision will be final.

VI. SUMMARY OF DOCUMENTS TO BE SUBMITTED WITH PROPOSALS

Samples of the following documents (except the Certificate of Insurance), are attached and shall be executed as a condition to this offer:

- (a) Proposal and Firm's Certification
- (b) Non-Collusive Affidavit

VII. AWARD OF CONTRACT

The contract or contracts shall be awarded to the responsible Firm whose proposal is determined to be the most advantageous to the Village, taking into consideration the evaluation factors and criteria set forth in the Request for Proposals.

VIII. GENERAL CONDITIONS

A. PUBLIC ENTITY CRIMES INFORMATION STATEMENT: "A person or Affiliate who has been placed on the convicted vendor list following a conviction for a Public Entity Crime may not submit a bid on a contract to provide any goods or services

to a public entity, may not submit a bid on a contract with a public entity for the construction or repair of a public building or public work, may not submit bids on leases of real property to a public entity, may not be awarded or perform work as a contractor, supplies, subcontractor, or consultant under a contract with any public entity, and may not transact business with any public entity in excess of the threshold amount provided in Section 287.017 for CATEGORY TWO for a period of 36 months from the date of being placed on the convicted vendor list.”

B. DISCRIMINATORY VENDOR LIST: An entity or affiliate who has been placed on the discriminatory vendor list may not submit a bid on a contract to provide goods or services to a public entity, may not submit a bid on a contract with a public entity for the construction or repair of a public building or public work, may not submit bids on leases of real property to a public entity, may not award or perform work as a contractor, supplier, subcontractor, or consultant under contract with any public entity, and may not transact business with any public entity.

IX. INSURANCE

The firm shall procure and maintain at its own expense and keep in effect during the full term of the Contract a policy or policies of insurance which shall be determined by the VILLAGE. Additionally, any subcontractor hired by the firm for this contract shall provide insurance coverage as well. The Village shall be named “additional insured” under the appropriate policies.

FIRM'S CERTIFICATION

IN WITNESS WHEREOF, the Firm hereto has executed this Proposal Form this _____ day of _____, 20__.

Printed Name of Firm

By: _____
Signature of authorized representative

Printed Name of authorized representative

ATTEST:

By _____
Secretary

Address of Firm

City/State/Zip

Business Phone Number

State of _____

County of _____

The foregoing instrument was acknowledged before me this _____ day of _____ 2016, by _____ (Name), (Title) of _____ (Firm Name) on behalf of the firm, who is personally known to me or who has produced _____ as identification and who did (did not) take an oath. WITNESS my hand and official seal.

NOTARY PUBLIC

(Name of Notary Public: Print, Stamp, or type as Counciled)

NON-COLLUSION AFFIDAVIT

State of _____)
)ss.
County of _____)

_____ being first duly sworn, deposes and says that:

- (1) He/she is the _____, (Representative or Agent) of _____ the firm that has submitted the attached proposal;
- (2) He/she is fully informed respecting the preparation and contents of the attached proposal and of all pertinent circumstances respecting such proposal;
- (3) Such proposal is genuine and is not a collusive or sham proposal;
- (4) Neither the said firm nor any of its officers, partners, owners, agents, representatives, employees or parties in interest, including this affiant, have in any way colluded, conspired, connived or agreed, directly or indirectly, with any other firm, or person to submit a collusive or sham proposal in connection with the Work for which the attached proposal has been submitted; or to refrain from submitting a proposal in connection with such Work; or have in any manner, directly or indirectly, sought by agreement or collusion, or communication, or conference with any firm, or person to fix the price or prices in the attached proposal or of any other firm, or to fix any overhead, profit, or cost elements of the proposal price or the proposal price of any other firm, or to secure through any collusion, conspiracy, connivance, or unlawful agreement any advantage against (Recipient), or any person interested in the proposed Work;
- (5) The price or prices quoted in the attached proposal are fair and proper and are not tainted by any collusion, conspiracy, connivance, or unlawful agreement on the part of the firm or any other of its agents, representatives, owners, employees or parties in interest, including this affiant.

Signed, sealed and delivered
in the presence of:

By:

(Printed Name)

(Title)

ACKNOWLEDGMENT

State of
County of

The foregoing instrument was acknowledged before me this _____ day of _____, 20____, by _____, who is personally known to me or who has produced _____ as identification and who did (did not) take an oath.

WITNESS my hand and official seal.

NOTARY PUBLIC

(Name of Notary Public: Print, Stamp,
or Type as Counciled)

**SWORN STATEMENT UNDER SECTION 287-133(3)(A)
FLORIDA STATUTES, ON PUBLIC ENTITY CRIMES**

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

1. This sworn statement is submitted with Bid, Proposal or Contract No. _____ for _____.

2. This sworn statement is submitted by _____.
(Name of entity submitting sworn statement)

3. My name is _____ and my relationship to the entity name above is _____.

4. I understand that a “Public entity crime” as defined in Paragraph 287.133(1)(g), Florida Statutes, means a violation of any state or federal law by a person with respect to and directly related to the transaction of business with any public entity or with an agency or political subdivision of any other state or with the United States, including, but not limited to, any bid or contract for goods or services to be provided to any public entity or an agency or political subdivision of any other state or of the United States and involving antitrust, fraud, theft, bribery, collusion, racketeering, conspiracy, or material misrepresentation.

5. I understand that “convicted” or “conviction” as defined in Paragraph 287.133(1)(b), Florida Statutes, means a finding of guilt or a conviction of a public entity crime, with or without an adjudication of guilt, in any federal or state trial court of record relating to charges brought by indictment or information after July 1, 1989, as a result of a jury verdict, nonjury trial, or entry of a plea of guilty or nolo contendere.

6. I understand that an “affiliate” as defined in Paragraph 287.133(1)(a), Florida Statutes, means:
 - a. A predecessor or successor of a person convicted of a public entity crime; or
 - b. An entity under the control of any natural person who is active in the management of the entity and who has been convicted of a public entity crime. The term “affiliate” includes those officers, directors, executives, partners, shareholders, employees, members, and agents who are active in the management of an affiliate. The ownership by one person of shares constituting a controlling interest in another person, or a pooling of equipment or income among persons when not for fair market value under an arm’s length agreement, shall be a prima facie case that one person controls another person. A person who knowingly enters into a joint venture with a person who has been convicted of a public entity crime in Florida during the preceding 36 months shall be considered an affiliate.

7. I understand that a “person” as defined in Paragraph 287.133(1)(e) Florida Statutes, means any natural person or entity organized under the laws of any state or of the United States with the legal power to enter into a binding contract and which bids or applies to bid on contracts for the provision of goods or services let by a public entity, or which otherwise transacts or applies to transact business with a public entity. The term “person” includes those officers, directors, executives, partners, shareholders, employees, members, and agents who are active in management of an entity.
8. Based on information and belief, the statement which I have marked below is true in relation to the entity submitting this sworn statement. (Please indicate which statement applies.)

_____ Neither the entity submitting this sworn statement, nor any officers, directors, executives, partners, shareholders, employees, members, or agents who are active in management of the entity, nor any affiliate of the entity have been charged with and convicted of a public entity crime subsequent to July 1, 1989.

_____ The entity submitting this sworn statement, or one or more of the officers, directors, executives, partners, shareholders, employees, members, or agents who are active in management of the entity, or an affiliate of the entity has been charged with and convicted of a public entity crime subsequent to July 1, 1989 AND (Please indicate with additional statement applies.)

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

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

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

Signature

Date: _____

STATE OF _____

COUNTY OF _____

PERSONALLY APPEARED BEFORE ME, the undersigned authority,
_____ who, after first being sworn by me, affixed his/her
signature in the space provided above on this _____ day of _____,
20_____.

NOTARY PUBLIC

My commission expires: _____