

**AUGUSTA COUNTY SERVICE AUTHORITY
PROCUREMENT OF PROFESSIONAL SERVICES
REQUEST FOR PROPOSAL
RFP #2004**

Issue Date: April 17, 2020

Title: **Financial and Compliance Audit Services**

Proposals will be received subject to the conditions attached hereto until 2:00 p.m., Thursday, May 14th, 2020, for a qualified independent certified public accounting firm to perform financial and compliance audits for the fiscal years ending June 30, 2020, through 2024, in accordance with Virginia Code §30-140.

Where to submit proposals:

Augusta County Service Authority
Casey McCracken
18 Government Center Lane
P.O. Box 859
Verona, Virginia 24482

Respondents must submit three (3) copies and one (1) designated Original of their proposals.

Copies of this Request for Proposal or requests for specific information should be directed in writing to:

Brent Canterbury, Director of Finance/Customer Service/Billing
Augusta County Service Authority
EMAIL: bcanterbury@co.augusta.va.us
FAX: 540-245-5684

In compliance with this Request for Proposal, and with all the conditions imposed herein, the undersigned offers and agrees to complete all requirements and conditions in accordance with the attached signed proposal or as mutually agreed upon by subsequent negotiations.

Name and Address of Firm:

_____ Date: _____
_____ By: _____
_____ Title: _____

Telephone (____) _____ Email: _____

(THIS PAGE, WITH ORIGINAL SIGNATURE, MUST BE SUBMITTED WITH PROPOSAL)

**AUGUSTA COUNTY SERVICE AUTHORITY
PROCUREMENT OF PROFESSIONAL SERVICES
REQUEST FOR PROPOSAL**

DESCRIPTION AND CONDITIONS

Issue Date: April 17, 2020

RFP No. 2004

Title: Financial and Compliance Audit Services

1.0 BACKGROUND:

- 1.1** The Augusta County Service Authority (hereinafter called the “Authority”) invites qualified independent certified public accounting firms (hereinafter called “auditor”) to submit proposals to perform financial and compliance audits in accordance with Virginia Code §30-140.

2.0 TERM:

- 2.1** The term of any contract derived from this solicitation shall be for five years from the execution date of such contract. The Authority reserves the right to extend any contract for an additional term of one year, up to a maximum of five extensions.

3.0 SCOPE OF SERVICES

- 3.1** The audits will encompass financial and compliance examinations of the Authority’s Comprehensive Annual Financial Report (CAFR) and the Augusta Regional Landfill’s annual financial report in accordance with the laws and/or regulations of the Commonwealth of Virginia, which include requirements for the minimum scope of the audit. The financial and compliance audit will cover Federal, State, and Local funding sources in accordance with generally accepted auditing standards as set forth by the American Institute of Certified Public Accountants; standards for financial audits as set forth in the U.S. Government Accountability Office’s *Government Auditing Standards*; provisions of the *Single Audit Act Amendments of 1996*; the provisions of OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*; the provisions of the Auditor of Public Accounts of the Commonwealth of Virginia (APA) *Specifications for Audits of Authorities, Boards, and Commissions*; and all other applicable laws and regulations.
- 3.2** Augusta County Service Authority financial audit – The independent auditor will examine all funds of the Authority in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the *Specifications for Audit of Authorities, Boards and Commissions* issued by the Auditor of Public Accounts of the Commonwealth of Virginia. The Authority will prepare the Comprehensive Annual Financial Report (CAFR) with the auditor’s opinion included therein. If the opinion is not unqualified, the auditor shall furnish to the Authority its reasons for disclaiming an opinion, issuing a qualified opinion or rendering an adverse opinion.

Augusta Regional Landfill financial audit – The Authority serves as the fiscal agent for a regional landfill (hereinafter called the “Landfill”; a hybrid undivided interest and joint venture) which includes the County of Augusta, the City of Staunton and the City of Waynesboro. The auditor will examine all funds of the Landfill in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; the *Specifications for Audits of Authorities, Boards, and Commissions* issued by the Auditor of Public Accounts of the Commonwealth of Virginia and the terms of the Landfill Agreement. The Authority will prepare the Comprehensive Annual Financial Report (CAFR) with the auditor’s opinion included therein.

- 3.3 Compliance audits – The auditor shall conduct examinations in accordance with OMB Circular A-133 *Audits of States, Local Governments and Non-Profit Organizations* with requirements applicable to each major program and internal control over compliance. The applicable opinions will be included in the CAFR for the Authority and the financial report for the Landfill.
- 3.4 Report on Internal Controls – The auditor shall issue a report on internal controls over financial reporting and on compliance and other matters based on an audit of financial statements performed in accordance with *Government Auditing Standards*. The auditor shall also make recommendations to strengthen internal controls should such be necessary.
- 3.5 The auditor will issue separate management letters, if needed, which indicate deficiencies or opportunities for accounting and reporting improvements which are not contained in the bound CAFR or Landfill financial report.
- 3.6 Certificate of Achievement for Excellence in Financial Reporting – The auditor is responsible for assisting the Authority in organizing and presenting additional disclosures of the Authority’s CAFR in accordance with the requirements of the Certificate of Achievement Program of the Government Finance Officers Association (GFOA). The auditor is to review the application and responses to prior year comments prepared by Authority staff prior to submittal to the GFOA. The Authority has received this award consecutively since fiscal year 2002, up to and including fiscal year 2018.
- 3.7 SF-SAC Data Collection Form - The auditor will prepare the Data Collection Form required by the Office of Management and Budget (OMB). The form will be forwarded to the Authority for signature and submittal to OMB, as applicable.

4.0 ANTICIPATED ANNUAL AUDIT SCHEDULES:

- 4.1 At least thirty (30) days prior to the closing date for each fiscal year audited, the auditor shall submit a proposed work schedule containing the on-site dates; auditor contacts; work to be accomplished; and the schedules/information required from Authority staff.
- 4.2 Audit fieldwork – Fieldwork shall be completed in time to allow completion and submission of the Authority’s CAFR to the Auditor of Public Accounts of the Commonwealth of Virginia by November 30 of each year.

- 4.3 Governing Body Meetings – Conferences between the auditor and the governing body shall be scheduled by the selected auditor as required by the *Government Auditing Standards* and the Code of Virginia. Minimally, the auditor will present the audit reports to the finance committees of the Authority’s Board of Directors prior to their finalization.
- 4.4 Augusta Regional Landfill report - The auditor shall provide to the Authority fifteen (15) bound copies of the audit report not later than November 30 of each year. An electronic version of the audit report, in a format acceptable to the Authority, will also be furnished to the Authority.
- 4.5 Authority’s CAFR - The auditor shall provide to the Authority twenty-five (25) bound copies of the CAFR not later than November 30 of each year. An electronic version of the CAFR, in a format acceptable to the Authority, will also be furnished to the Authority.
- 4.6 December 31 deadlines – The auditor shall insure the application for the GFOA Certificate of Achievement and OMB data collection form can be submitted by the Authority to the applicable agency not later than December 31 of each year.
- 4.7 Contact (e-mail and/or telephone) between the selected auditor and the Authority’s Director of Finance and other key staff, if required, throughout the year in order for the Authority to proactively handle new accounting procedures, changing personnel/duties, compliance, and other matters shall be included at no additional cost.

5.0 REPRESENTATION OF THE AUTHORITY

- 5.1 The books of account will be fully balanced, all subsidiary ledgers reconciled to control accounts, and all accounts for all months reconciled no later than August 31, immediately following statement date. This date can be improved on if the selected auditor assists the Authority in developing appropriate estimations for operating expenses and significant capital projects.
- 5.2 Authority personnel shall coordinate and provide to the auditor all the necessary data and reports to complete the audit, including, but not limited to:
 - 5.2.1 A final trial balance of each enterprise fund;
 - 5.2.2 A final trial balance of each subsidiary ledger;
 - 5.2.3 A schedule of Federal awards;
 - 5.2.4 A copy of the budget approved by the Board for the audit period;
 - 5.2.5 A schedule of insurance in force during the year and of insurance expense for the year;
 - 5.2.6 A schedule of investments of all funds at statement date showing both book value and estimated market value at statement date;
 - 5.2.7 A schedule of all capital outlays during the period;
 - 5.2.8 A schedule of all capital asset dispositions during the period;
 - 5.2.9 A schedule of accounts payable and accounts receivable at statement date;
 - 5.2.10 Copies of all contracts with governmental grantor or grantee agencies;
 - 5.2.11 Copies of all other contracts in force at statement date of annual audit;

- 5.2.12 All minutes relating to Board meetings;
- 5.2.13 Reconciliation of the final quarter's fringe benefit tax returns;
- 5.2.14 Such reasonable additional schedules as may be requested for financial and compliance audits.

5.3 The Authority will provide staff capable of meeting the SAS auditee requirements by understanding and reviewing any work performed by the selected auditor in the preparation of the financial statements, performing analytic and self-assessment procedures to the financial statements, and completing the GFOA checklist for Stand-Alone Business-Type entities to determine the overall adequacy of our financial reports.

5.4 The auditor should state any specific requirements (other than outlined in the RFP) that will be placed upon the Authority to successfully perform an annual audit.

6.0 SPECIFIC REQUIREMENTS OF THE AUDITOR

- 6.1 The auditor must represent he is independent as that term is defined in the Ethical Rules of the AICPA.
- 6.2 The auditor must represent he is licensed to perform the audit as provided in the applicable laws of the Commonwealth of Virginia.
- 6.3 The auditor must represent adequate supervision will be provided on a day-to-day basis and the resulting work papers shall be adequate and shall be available to routine review by appropriate auditors of the Federal and State Governments.
- 6.4 The auditor must provide the approximate date the audit will begin (including preliminary field work) and end, as well as approximate dates for delivery of the financial statements and/or auditors' reports.

7.0 PROPOSAL PREPARATION AND SUBMISSION REQUIREMENTS:

7.1 **SUBMITTAL:** Proposals must be submitted no later than 2:00 p.m., Thursday, May 14, 2020, to:

Augusta County Service Authority
Casey McCracken
18 Government Center Lane
P.O. Box 859
Verona, Virginia 24482

7.2 **RESPONSE:** In order to be considered for selection, an auditor must submit a complete response to this Request for Proposal, including the signature of an authorized representative of the auditor. One (1) designated Original and three (3) copies of each proposal must be submitted.

7.2.1 Auditors are not to submit estimated man-hours or cost for services with their proposals. At the discussion stage, the Authority may discuss non-binding estimates of cost.

7.2.2 The RFP number and description should be clearly marked on the cover of the envelope.

7.2.3 Fax or electronic submittals will not be accepted.

7.3 PROPOSAL PREPARATION: The Authority intends a response to this Request for Proposal be concise, informative, and inexpensive for the auditor to prepare. A response must, in any event, contain the following information:

7.3.1 Introduction: The auditor is expected to introduce the firm to the Authority, giving a brief history of the firm, its geographic location (and that of the office carrying out the work relative to the project), a broad statement of qualifications, the firm's participation in the AICPA-sponsored quality control program (peer review), and any other information deemed desirable by the auditor.

7.3.2 Performance Personnel: Provide a listing of the team of professional personnel that will be assigned to work on the project, including a detailed resume of each person that will be assigned to the project setting forth details of individual experience, education, background, specific technical accomplishments, and any special qualifications applicable to the RFP.

7.3.3 Project Team Organization: Define the organization among the individuals stipulated as available in the preceding section. It is anticipated this section will highlight areas of individual and combined team specialized experience and will give the Authority selection committee an insight into the unique qualifications of the project team proposed by the auditor so these qualifications can be best matched to the needs of the Authority. Also indicate the percentages of time each senior and higher-level personnel will be on site.

7.3.4 Concept or methodology: Describe the concept of service or methodology of performance the auditor proposes to utilize to meet the project goals or conditions outlined in this Request for Proposal.

7.3.5 References: Listing of previous clients that may be contacted as reference, for whom similar services (authorities, landfills, and/or jointly governed entities) have been provided.

8.0 PROPOSAL SCHEDULE:

8.1 April 17, 2020 - RFP issued

8.2 May 14, 2020 - Proposals due

8.3 May 15, 2020 - Distribute to committee

8.4 May 26, 2020 - Selected firm notified and Notice of Intent to Award issued

8.5 June 5, 2020 - Notice of Award issued and contract sent to selected firm

9.0 EVALUATION AND AWARD:

9.1 The contract will be awarded to the most responsive and responsible auditor whose proposal is deemed most advantageous to the Authority. The Authority reserves the right to accept the proposal which, in its judgment, will best serve the interests of the Authority. Following the receipt of proposals, a committee will review the proposals received and rate the proposals based on the qualifications and directly applicable experience of each auditor and individuals making up the project team. Particular attention will be paid by the Authority in the selection process to similar projects and instances where team members have worked together.

- 9.2** The Authority’s evaluation criteria of the proposal will include consideration of the following:
- 9.2.1** Technical Abilities - The auditor’s ability to gather, analyze and clearly report local government financial data that complies with applicable GASB statements as evidenced by examples of previous audits; as well as the degree to which the auditor’s concept of service or methodology of performance addresses the requirements of this Request for Proposal. (Possible 25 Points.)
 - 9.2.2** Personnel Qualifications - The qualifications of the proposed personnel assigned to perform the requirements of this Request for Proposal. (Possible 25 Points.)
 - 9.2.3** Professional Competence of the Auditor - An assessment of the auditor’s competence as evidenced by its latest “Peer Review”. (Possible 20 Points.)
 - 9.2.4** Similar projects and instances where individual team members have worked together. (Possible 20 Points.)
 - 9.2.5** References - The quality of the auditor’s performance on previous contracts, particularly the ability to conduct and complete audits for local governments similar in size to the Authority, and landfill or jointly-governed audits within the time specified and within the established budget. (Possible 10 Points.)
- 9.3** When all proposals received have been reviewed and rated, the Authority will rank three auditors, preliminarily ranked first, second and third, based on proposal content. The Authority will then attempt to negotiate a contract with the first ranked auditor. If a contract cannot be negotiated with the first ranked auditor, negotiations will be concluded with that auditor and negotiations initiated with the next lower ranked auditor. This procedure will be followed until a contract is negotiated and executed.
- 9.4** In the event a single auditor is uniquely qualified, or clearly more highly qualified than other auditors offering proposals for this service, the Authority may so state this fact, give a reasonable explanation for this decision and enter into negotiations with the uniquely qualified auditor.
- 9.5** The Authority reserves the right to reject any and all proposals and to waive any informality or technical defects if, in its judgment, the best interests of the Authority will be served as specified in Virginia Code §2.2-4319.
- 9.6** The Authority will provide public notice announcing its decision to award by posting the Notice of Intent to Award on the eVA website, the Authority’s website and by emailing the notice to all auditors who submitted a proposal.

10.0 PRE-PROPOSAL CONFERENCE AND ADDENDUM:

- 10.1** A pre-proposal conference is not required.
- 10.2** Should any potential auditors have questions, they may contact Brent Canterbury, Director of Finance/Customer Service/Billing, by email at: bcanterbury@co.augusta.va.us or ACSA, P.O. Box 859, Verona, VA 24482-0859, for clarification of this Request for Proposal.
- 10.3** All requests for clarification must be received in writing.

- 10.4** In the event specific information not contained in this Request for Proposal is provided to any auditor, the same specific information will be provided to any other auditors who have registered their intent or interest in the RFP with the Authority.

11.0 GENERAL TERMS AND CONDITIONS:

- 11.1 PRECEDENCE OF TERMS:** In the event there is a conflict between the general terms and conditions and any special terms and conditions which may be included in this solicitation for use in a particular procurement, the special terms and conditions shall apply.
- 11.2 CLARIFICATION OF TERMS:** If any prospective auditor has questions about the specifications or other solicitation documents, the prospective auditor should contact the contact person whose name appears on the face of this Request for Proposal, in writing, no later than five (5) days before the opening date. Any revisions to the solicitation will be made only by addendum issued by the Authority.
- 11.3 PAYMENT TERMS:** Payments will be made upon completion of the project, unless otherwise negotiated with the successful auditor and agreed to by the Authority.
- 11.4 QUALIFICATIONS OF AUDITORS:** The Authority may make such reasonable investigations as deemed proper and necessary to determine the ability of the auditor to perform the work, and the auditor shall furnish to the Authority all such information and data for this purpose as may be requested. The Authority reserves the right to inspect auditor's physical facilities prior to award to satisfy questions regarding the auditor's capabilities. The Authority further reserves the right to reject any proposal if the evidence submitted by, or investigations of, such auditor fails to satisfy the Authority that such auditor is properly qualified to carry out the obligations of the contract and to complete the work or furnish the item(s) contemplated therein.
- 11.5 ASSIGNMENT OF CONTRACT:** A contract shall not be assignable by the auditor in whole or in part without the written consent of the Authority.
- 11.6 ETHICS IN PUBLIC CONTRACTING:** By submitting its proposal, each auditor certifies its proposal is made without collusion or fraud, and it has not offered or received any kickbacks or inducements from any other auditor, supplier, manufacturer or subcontractor in connection with its proposal.
- 11.7 CANCELLATION OF CONTRACT:** The Authority reserves the rights to cancel and terminate any resulting contract, in part or in whole, without penalty, upon 60 days written notice to the auditor.
- 11.8 COSTS OF PROPOSAL PREPARATION:** Any costs incurred by the auditor in preparing or submitting proposals are the auditor's responsibility. The Authority will not reimburse any auditor for any costs incurred as a result of a response to this Request for Proposal.
- 11.9 PUBLIC INSPECTION OF PROCUREMENT RECORDS:** Proposals submitted shall be subject to public inspection only in accordance with Virginia Code § 2.2-4342.

11.10 ANTI-DISCRIMINATION: By submitting their proposals, all auditors certify to the Authority they will conform to the provisions of the Presidential Order #11246, the Federal Civil Rights Act of 1964, as amended, as well as the Virginia Fair Employment Act of 1975, as amended, where applicable, and Section 2.2-4311 of the Virginia Public Procurement Act and that during the performance of this contract, the Offeror agrees as follows:

11.10.1 The auditor will not discriminate against any employee or applicant for employment because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by the state law relating to discrimination in employment, except when there is bona fide occupational qualification reasonably necessary to the normal operation of the auditor. The auditor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause.

11.10.2 Notices, advertisements and solicitations placed by or on behalf of the auditor will state the auditor is an equal opportunity employer. Notices, advertisements and solicitations placed in accordance with federal law, rule or regulation shall be deemed sufficient for the purpose of meeting the requirements of this section.

11.10.3 The auditor will include the provisions of the foregoing paragraphs in every subcontract or purchase order of over \$10,000, so the provisions will be binding upon each subcontractor or vendor.

11.11 MINORITY AND WOMEN-OWNED BUSINESSES:

11.11.1 The Authority actively solicits both minority and women-owned businesses to respond to all Invitations for Bids and Requests for Proposals, and if not already on the Authority's mailing list, you may request application for inclusion on the list. Should you be interested, please contact the Authority at (540) 245-5670 and request application.

11.11.2 Disadvantaged Business Enterprises (DBE), as defined in 49 CFR 23, shall have equal opportunity to compete for and perform subcontracts which the auditor enters into pursuant to this contract. The auditor will use his best efforts to solicit bids from and to utilize DBE subcontractors or subcontractors with meaningful minority group and female representation among their employees.

11.12 NONDISCRIMINATION AGAINST FAITH-BASED ORGANIZATION: In accordance with the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, P.L. 104-193, the Authority will not discriminate against faith-based organizations. The auditor also agrees to abide by §2.2-4343.1 of the Virginia Public Procurement Act.

11.13 OBLIGATION OF AUDITOR: By submitting a proposal, the auditor covenants and agrees he has satisfied himself, from his own investigation of the conditions to be met, he fully understands his obligation and he will not make any claim for, or have right to cancellation or relief from the contract because of any misunderstanding or lack of information.

- 11.14 DRUG-FREE WORKPLACE:** In accordance with § 2.2-4312 of the Virginia Public Procurement Act, during the performance of this contract, the auditor agrees to (i) provide a drug-free workplace for the auditor's employees; (ii) post in conspicuous places, available to employees and applicants for employment, a statement notifying employees that the unlawful manufacture, sale, distribution, dispensation, possession, or use of a controlled substance or marijuana is prohibited in the auditor's workplace and specifying the actions that will be taken against employees for violation of such prohibition; (iii) state in all solicitations or advertisements for employees placed by or on behalf of the auditor the auditor maintains a drug-free workplace; and (iv) include the provisions of the foregoing clauses in every subcontract or purchase order of over \$10,000, so that the provisions will be binding upon each subcontractor or vendor.
- 11.15 OWNERSHIP OF MATERIAL:** Ownership of all data, material and documentation originated and prepared for the Authority pursuant to this Request for Proposal shall belong exclusively to the Authority and be subject to public inspection in accordance with the Virginia Freedom of Information Act. Trade secrets or proprietary information submitted by an auditor shall not be subject to public disclosure under the Virginia Freedom of Information Act; however, the auditor must invoke the protection of this section prior to or upon submission of the data or other materials, and must identify the data or other materials to be protected and state the reasons why protection is necessary.
- 11.16 UNAUTHORIZED ALIENS:** In accordance with §2.2-4311.1 of the Virginia Public Procurement Act, compliance with federal, state, and local laws and federal immigration law; requires the auditor does not, and shall not during the performance of this contract for goods or services in the Commonwealth, knowingly employ an unauthorized alien as defined in the federal Immigration Reform and Control Act of 1986.
- 11.17 APPLICABLE LAW AND COURTS:** This solicitation and any resulting contract shall be governed in all respects by the laws of the Commonwealth of Virginia and any litigation with respect thereto shall be brought in the courts of Augusta County, Virginia, as provided under Virginia law. In performing the work under the contract, the auditor shall comply with applicable Federal, State, and Local laws and regulations.
- 11.18 DEBARMENT STATUS:** By submitting its proposal, the auditor certifies it is not currently debarred from submitting proposals or bids on contracts by any agency of the Commonwealth of Virginia, nor is it an agent of any person or entity that is currently debarred from submitting bids or proposals on contracts by any agency of the Commonwealth of Virginia.
- 11.19 INSURANCE COVERAGE:** The auditor shall, prior to beginning the services specified, file with the Authority certificates of insurance evidencing insurance coverages of the type and amounts stated below. Coverage shall be through insurance companies authorized to do business under the laws of the Commonwealth of Virginia. Auditor shall give the Authority thirty (30) days prior written notice of any non-renewal or cancellation of coverage. All Subconsultants and subcontractors shall be required to include the Authority as additional insured on their General Liability insurance policies.

INSURANCE REQUIREMENTS CHECKLIST

<u>Required</u>	<u>Limits</u>	<u>Coverage Required</u>	<u>(figures denote minimums)</u>
<u>X</u>	1.	Worker's Compensation and Employers' Liability; Employers' Liability All States Endorsement USL & H Endorsement Voluntary Compensation Endorsement Best's Guide Rating-A-VIII or better, or its equivalent	Statutory Limits of the Commonwealth of VA \$100,000/\$500,000/\$100,000 Statutory Statutory
<u>X</u>	2.	Commercial General Liability General Aggregate Products/Completed Operations Personal and Advertising Injury Fire Legal Liability Best's Guide Rating-A-VIII or better, or its equivalent	\$1,000,000 (CSL) Each Occurrence \$2,000,000 \$2,000,000 \$1,000,000 \$50,000 per Occurrence
<u>X</u>	3.	Automobile Liability Owned, Hired, Borrowed & Non-owned Motor Carrier Act End. Best's Guide Rating-A-VIII or better, or its equivalent	\$1,000,000 combined Single Limit Bodily Injury and Property Damage Each Occurrence (note, symbol "1" on liability coverage)
<u>X</u>	4.	Professional Liability General Aggregate Best's Guide Rating-A-VIII or better	\$1,000,000 Each Claim \$5,000,000
<u>X</u>	5.	Augusta County Service Authority shall be named as an additional insured on Auto and General Liability Policies (this coverage is primary to all other coverage the Authority may possess and must be shown on the certificate).	
<u>X</u>	6.	30 day written cancellation notice required, in the event of non-payment, to Augusta County Service Authority – Ref. Code of Virginia Section 38.2-231. Also, the words “endeavor to” and “failure to mail such notice” clause shall be removed from the cancellation notice.	
<u>X</u>	7.	The Certificate must state RFP No.# 2004 and RFP Title: Financial and Compliance Audit Services.	
<u>X</u>	8.	Auditor shall submit Certificate of Insurance within five (5) business days from notification of award, and shall provide updated Certificates for the duration of the contract.	

11.20 REGISTRATION OF BUSINESS ENTITY: Any auditor organized as a stock or non-stock corporation, limited liability company, business trust, or limited partnership or registered as a registered limited liability partnership shall be registered with and be authorized to transact business in the Commonwealth as a domestic or foreign business entity if so required by Title 13.1 or Title 50 or as otherwise required by law.

11.21 REQUIREMENT TO PROVIDE SCC IDENTIFICATION NUMBER: Any auditor organized or authorized to transact business in the Commonwealth pursuant to Title 13.1 or Title 50 must include in its proposal the identification number issued to it by the State Corporation Commission. Any auditor not required to be authorized to transact business in the Commonwealth as a foreign business entity under Title 13.1 or Title 50 or as otherwise required by law shall include in its proposal or proposal a statement describing why the auditor is not required to be so authorized.

11.21.1 Any auditor described in the section above who fails to provide the required information shall not receive an award unless a waiver of this requirement and the administrative policies and procedures established to implement this section is granted by the Director of the Department of General Services of the Commonwealth of Virginia or their designee or by the chief executive of a local governing body.

11.21.2 Any business entity described in the section above who enters into a contract with a public body pursuant to this chapter shall not allow its existence to lapse or its certificate of authority or registration to transact business in the Commonwealth, if so required under Title 13.1 or Title 50, to be revoked or cancelled at any time during the term of the contract.

11.21.3 A public body may void any contract with a business entity if the business entity fails to remain in compliance with the provisions of this section.

END OF SECTION

ATTACHMENT A

Information Overview Augusta County Service Authority and Augusta Regional Landfill Verona, Virginia

1.0 Description of unit including location, physical size, and facilities:

- 1.1 The main office for the Augusta County Service Authority is at the Augusta County Government Center in Verona, located 150 miles southwest of Washington, D.C., 110 miles northwest of Richmond, and 90 miles north of Roanoke, close to the junction of I-81 and I-64.
- 1.2 Augusta County has 968 square miles of area.
- 1.3 The Authority owns and maintains nine (9) wastewater treatment plants and eleven (11) water systems in this large geographic area.
- 1.4 The Authority operates and is the fiscal agent for the Augusta Regional Landfill located just south of the junction of I-81 and I-64.

2.0 Population statistics:

2.1	Augusta County Population, 2018 estimate:	75,457
2.2	Authority active water service connections, 2019:	15,177
2.3	Authority active sewer service connections, 2019:	9,141
2.4	Landfill active and inactive customers, 2019:	3,844

3.0 Description of enterprises operated:

- 3.1 Water and sewer (not separate funds)
- 3.2 Landfill

4.0 Authority Personnel/Payroll:

- 4.1 Number of full-time personnel: approx. 114; 14 on-site at the landfill
- 4.2 Payroll checks/direct deposits issued biweekly, approximately \$150,000 net
- 4.3 Finance staff: Director of Finance (CPA), accounting supervisor and senior staff accountant (degrees in Accounting), and A/P & Payroll clerk
- 4.4 Authority office staff: customer service (4), meter technicians (3), warehouse (1); purchasing decentralized
- 4.5 On-site Landfill office staff: Director of Solid Waste, scale clerks (2), solid waste facility manager

5.0 Enterprise Billings:

5.1	Number of Authority utility bills per month:	7,300 Water/Sewer
5.2	Number of Authority billings per month:	4
5.3	Frequency of Authority billing:	Bimonthly
5.4	Average number of delinquent Authority bills each month:	1,100
5.5	Number of Authority miscellaneous bills per month:	25
5.6	Number of Landfill billings per month:	350

6.0 Bank Accounts:

- 6.1** Authority Bank: First Bank and Trust, Verona, VA
 - 6.1.1** 1 – Master Account
 - 6.1.2** 1 – Zero Balance Depository Account
 - 6.1.3** 1 – Zero Balance Disbursement Account
- 6.2** Landfill Bank: Atlantic Union, Verona, VA
 - 6.2.1** 1 – Master Account
 - 6.2.2** 1 – Salvage Account

7.0 CAFR for FY2019 is available electronically on our website at www.acsawater.com/about.