

TEXAS STATE TECHNICAL COLLEGE
REQUEST FOR QUALIFICATIONS

Selection of a Vendor to Provide
Financial Audit Services
For the Fiscal Years Ending
August 31, 2017 and 2018

RFQ No. RFQ-18-EW-002

Issued April 3, 2018

Submittal Deadline: Thursday, April 26, 2018 at 2:00pm CST

**Texas State Technical College
REQUEST FOR QUALIFICATION**

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SECTION 1

INTRODUCTION

1.2 Description of TSTC

Texas State Technical College (“TSTC”) is a state-supported two-year technical college and is the state’s largest provider of technical education. TSTC was originally established in 1965 as the James Connally Technical Institute (JCTI), a two year college in the Texas A&M University System designed to meet the state’s evolving workforce needs. In 1969, the State of Texas gained ownership of James Connally Air Force Base and renamed the college Texas State Technical Institute (TSTI), which became a separate state agency with its own Board of Regents, appointed by the governor. TSTC been accredited by the Southern Association of Colleges and Schools Commission on Colleges (“SACSCOC”) as a Level I institution since 1968. The college is an open enrollment institution with a full-time equivalent enrollment of approximately 12,000. In contrast with Texas’s regionally-focused community colleges, TSTC has a statewide role and mission with a legislative mandate to focus specifically on highly specialized, advanced, and emerging technical and vocational areas leading to certificates or associate degrees.

In 2015, the college was granted single-accreditation status from the SACSCOC, the regional body for the accreditation of degree-granting higher education institutions in the Southern states. The college central administration is located in Waco, Texas, the site of the flagship campus. The college has campuses in Abilene, Breckenridge, Brownwood, Fort Bend County, Harlingen, Marshall, North Texas (Red Oak), Sweetwater, Waco, and Williamson County.

TSTC is governed by a Board of Regents appointed by the Governor of Texas, with the advice and consent of the Senate for six-year staggered terms. The current members of the Board are listed in the following link: <http://www.tstc.edu/bor>. The statewide leadership team can be found at: <http://www.tstc.edu/governance>.

1.3 Purpose of the Request for Qualifications

TSTC is soliciting proposals in response to this Request for Qualifications No. RFQ-18-EW-002 (this “RFQ”) to select a Vendor to provide financial audit services for the Fiscal Years ending August 31, 2018 and 2017. TSTC is due for the five-year re-accreditation by the SACSCOC, in March 2019, and as part of the Financial and Physical Resources Section (Section 13.2.a), an institutional audit for the most recent fiscal year prepared by an independent certified public accountant and/or an appropriate governmental auditing agency is required. The requirements set forth by the SACSCOC can be found at: <http://www.sacscoc.org/pdf/2018PrinciplesOfAccreditation.pdf>

1.4 Authority

This solicitation is issued in accordance with the requirements for professional services by an institution of higher education of the State of Texas as provided in Texas Government Code, Chapter 2254.

1.5 No Reimbursement for Costs

Respondent acknowledges and accepts that any costs incurred from Respondent’s participation in this RFQ process shall be at the sole risk and responsibility of the Respondent.

1.6 Taxes

TSTC is exempt from taxes pursuant to the provisions of the *Texas Tax Code*, Chapter 151. Do not include taxes in the Proposal. Excise Tax Exemption Certificates are available upon request.

1.7 Reservation of Rights

TSTC may evaluate the Proposal based on the anticipated completion of all or any portion of the Project. TSTC reserves the right to divide the Project into multiple parts, to reject any and all Qualifications and re-solicit for new Qualifications, or to reject any and all Qualifications and temporarily or permanently abandon the Project. TSTC makes no representations, written or oral, that it will enter into any form of agreement with any respondent to this RFQ for any project and no such representation is intended or should be construed by the issuance of this RFQ.

1.8 Texas Public Information Act

All information, documentation, and other materials submitted in response to this RFQ are considered non-confidential and/or non-proprietary and are subject to public disclosure under the Texas Public Information Act (*Texas Government Code*, Chapter 552.001, *et seq.*) after the solicitation is completed. TSTC strictly complies with all statutes, court decisions, and opinions of the Texas Attorney General with respect to disclosure of public information.

1.9 Equal Opportunity

The Respondent must be an equal opportunity employer. No person shall be discriminated against in employment because of race, color, religion, gender, national origin, disability, or age.

1.10 Accuracy of Information

TSTC and its officers, directors, employees and agents assume no responsibility for the accuracy of the information in this document. Should a dispute arise regarding the meaning or intent of the Contract Documents, the decision of TSTC shall be final and binding upon the Respondent.

1.11 Contract Award

A response to the solicitation is an offer to contract with Texas State Technical College based on the terms and conditions contained therein. RFQ's do not become contracts and are not binding until a written contract, signed by an authorized College administrator and authorized personnel of the awarded Respondent pursuant to this agreement are formed.

The RFQ and submitted responsive documents, or portions of each, and at the College's sole discretion, may become incorporated by reference as part of this written contract and will be binding on both the College and the Respondent after execution of the contract by both parties.

Firms responding must maintain a Texas office staffed with personnel who are responsible for providing financial audit services to TSTC. All things being equal, the Board will give first consideration to firms headquartered in Texas, but in no event will any firm be reimbursed for travel expenses incurred within the State of Texas unless specifically authorized by TSTC.

TSTC FINANCIAL AUDIT SERVICES REQUEST FOR QUALIFICATION

TSTC will evaluate responses to this RFQ to identify the most highly qualified firm. The Committee's determination will be based solely on demonstrated competence, knowledge and qualifications and on the reasonableness of the proposed fees for the services.

1.12 Compliance with Laws

The services provided and all representations in the RFQ response must be such that they are or would be in conformity with all federal, state, county and local laws, regulations, rules, and orders. Upon request, the Respondent shall furnish to TSTC certificates of compliance with all such laws.

1.13 Termination for Convenience

TSTC, may, at its option and discretion, terminate the resulting contract for convenience and, at its option and discretion, may reduce the statement of work or other requirements of the contract at any time, without any default on the part of TSTC or the Respondent, by giving thirty (30) calendar days' notice thereof to the selected firm or attorney.

1.14 Termination for Default

In the event that the services to be performed under this contract must be completed by a certain date, the Respondent is required to provide immediate notice at such time it has knowledge that it will be unable to perform the services within the time required.

1.15 Assignment

The Respondent may not assign, transfer, convey, or subcontract this contract, any services to be performed as outlined in the RFQ, or any of its obligations under this contract, in whole or in part, without the prior written approval from the College, which the College may withhold in its sole discretion.

1.16 Ethics Conduct

Any direct, or indirect, actions taken to unduly influence competitive purposes, to circumvent equal consideration for competitive bidders, or to disregard ethical and legal trade practices will disqualify Respondents from current and future consideration for participation in TSTC orders and contracts.

1.17 Drug Policy

TSTC is a drug-free workforce and workplace. The manufacture, sale, distribution, dispensation, or use of illegal drugs or alcohol by a Respondent, while on TSTC premises, is strictly prohibited.

1.18 Invoices

Original invoices must be submitted monthly in connection with all payments. To be a proper invoice that may be accepted and paid, the invoice must include the following information and/or attachments; Name and address of the Respondent, Respondent's invoice remittance address, Purchase order number authorizing the services, detailed breakdown of monthly total price for services, and any other related documentation to show proof of services rendered.

TSTC FINANCIAL AUDIT SERVICES REQUEST FOR QUALIFICATION

Invoices should be received no later than the (15) fifteenth day of every month. Each invoice is subject to review and approval by TSTC and the Office of the Attorney General before payment will be processed. Normal payment processing time for services which have been completed, delivered to, and approved by TSTC is thirty (30) calendar days after receipt of a valid, uncontested invoice. TSTC will incur no penalty for late payment if payment is made in thirty (30) or fewer days from receipt of goods or services and an uncontested invoice. Payments shall be made consistent with Chapter 2251, Texas Government Code.

Any invoice that does not comply with the minimum requirements stated above may not be considered valid and may be subject to rejection and/or return to the selected firm or attorney.

Invoices shall be submitted by mail to:

Texas State Technical College
Procurement Services
3801 Campus Drive
Waco, Texas 76705

1.19 Confidential Information

All information owned, possessed or used by TSTC that is communicated to, learned, developed or otherwise acquired by the chosen Respondent in the performance of services for TSTC, that is not generally known to the public, will be confidential and the Respondent will not, beginning on the date of first association or communication between TSTC and contractor and continuing throughout the term of the contract and any time thereafter, disclose, communicate or divulge, or permit disclosure, communication or divulgence, to another or use for Respondent's own benefit or the benefit of another, any confidential information, unless required by law.

Except when defined as part of the Services, Responder will not make any press releases, public statements, or advertisement referring to the Services or the engagement of Respondent as an independent contractor of TSTC in connection with the Services, or release any information relative to the Services for publication, advertisement or any other purpose without the prior written approval of TSTC. Respondent will obtain assurances similar to those contained in this Section from any partners, associates or employees of the firm.

1.20 Governing Law

The contract and all of the rights and obligations of the parties hereto and all of the terms and conditions hereof will be construed, interpreted and applied in accordance with and governed by and enforced under the laws of the State of Texas.

SECTION 2

NOTICE TO PROPOSER

2.1 Submittal Deadline

Pursuant to the provisions of Texas Government Code Title 10 Subtitle D Chapter 2156.121-2158.127, sealed Proposals will be received until the date and time established for receipt. After receipt, only the names of respondents will be made public. Prices and other proposal details will only be divulged after the contract award, if one is made.

TSTC will receive Proposals until Thursday, April 26, 2018 at 2:00 p.m. CST. Proposals must be time-stamped by TSTC before the hour and date specified. Proposals that are received late will be returned to the respondent unopened.

2.2 Submission of Questions regarding this RFQ

All questions regarding this RFQ must be submitted in writing to Elise Wells, Senior Buyer at elise.wells@tstc.edu no later than **April 13, 2018**. Any clarifications or interpretations of this RFQ that materially affect or change its requirements will be issued by TSTC as an addendum. All such addenda are issued by TSTC before the Proposal are due as part of the RFQ and respondents shall acknowledge receipt of each addendum to the RFQ in its Proposal. Addenda will be posted on the ESD website at <http://esbd.cpa.state.tx.us/>. Written notice of any addenda issued for this RFQ will be given to all firms who receive the RFQ directly from TSTC or who have submitted their contact information to the Senior Buyer prior to April 26, 2018.

2.3 Proposal Evaluation Process and Criteria for Selection

TSTC may select the Proposal that offers the “best value” for the institution based on the published selection criteria and on its ranking evaluation. TSTC may select a shortlist of respondents to participate in the interview process, which may be conducted in person or through the use of technology.

TSTC may first attempt to negotiate a contract with the selected respondent. TSTC will not negotiate the State of Texas terms and conditions or the firm’s or attorney’s indemnification of TSTC. TSTC may discuss with the selected respondent options for a scope or time modification and any price change associated with the modification. If TSTC is unable to reach a contract with the selected respondent, TSTC may formally end negotiations with that respondent and proceed to the next “best value” respondent in the order of the selection ranking until a contract is reached or all Qualifications are rejected.

Respondent is encouraged to propose terms and conditions offering the maximum benefit to TSTC. Respondents should describe all educational, state and local government discounts, as well as any other applicable discounts that may be available to TSTC.

An evaluation team from TSTC will evaluate the Proposal. The evaluation of Proposal and the selection of a respondent will be based on the information provided by Respondent in its Proposal. TSTC may give consideration to additional information if TSTC deems such information relevant.

TSTC FINANCIAL AUDIT SERVICES REQUEST FOR QUALIFICATION

The criteria to be considered by TSTC in evaluating Proposal and selecting a Contractor will be those factors listed below:

2.3.1 Threshold Criteria Not Scored

- 2.3.1.a Ability of TSTC to comply with laws regarding Historically Underutilized Businesses; and
- 2.3.1.b Ability of TSTC to comply with laws regarding purchases from persons with disabilities.

2.3.2 Scored Criteria

- 2.3.2.a The cost of goods and services;
- 2.3.2.b The reputation of the Proposer and the Proposer's goods or services;
- 2.3.2.c The quality of the Proposer's goods and services;
- 2.3.2.d The extent to which the goods or services meet TSTC's needs;
- 2.3.2.e The total long-term cost to TSTC of acquiring the Proposer's goods and services;
- 2.3.2.f The Proposer's exceptions to the terms and conditions set forth in this RFQ

2.4 Key Events Schedule

Issuance of RFQ	Tuesday, April 3, 2018
Deadline for Questions/Concerns	Friday, April 13, 2018
Submittal Deadline	Thursday, April 26, 2018, 2:00 p.m.
Evaluation and Award (tentative)	April 27 – May 25, 2018

2.5 Historically Underutilized Businesses

All agencies of the State of Texas are required to make a good faith effort to assist historically underutilized businesses (**HUBs**) in receiving contract awards. The goal of the HUB program is to promote full and equal business opportunity for all businesses in contracting with state agencies. Pursuant to the HUB program, if under the terms of any agreement or contractual arrangement resulting from this RFP, Contractor subcontracts any of the Services, then Contractor must make a good faith effort to utilize HUBs certified by the Procurement and Support Services Division of the Texas Comptroller of Public Accounts. Proposer acknowledges that, if selected by the College, its obligation to make a good faith effort to utilize HUBs when subcontracting any of the Services will continue throughout the term of all agreements and contractual arrangements resulting from this RFQ. Furthermore, any subcontracting of the Services by the Proposer is subject to review by the College to ensure compliance with the HUB program.

- 2.5.1 TSTC has reviewed this RFQ in accordance with Title 34, *Texas Administrative Code (TAC)*, Section 20.285, and has determined that subcontracting opportunities **are not probable** under this RFQ.

SECTION 3

SUBMISSION OF PROPOSAL

3.1 Number of Copies

Submit a total of (1) original, (5) copies, and one (1) identical electronic copy of the proposal and all of its contents. The electronic copy shall be submitted in a USB/Flash Drive or in a CD in the same envelope as the hard-copy original proposal.

3.2 Submission

Proposals **will not** be received by telephone, fax, or email. Proposals will only be received at the location described below:

Elise Wells, CTPM
Texas State Technical College
103 10th Street
Patterson Hall – Procurement Services
Waco, Texas 76705

Proposal must be enclosed in a sealed envelope (box or container) addressed as described above. **The envelope must clearly identify the RFQ number, submittal due date, and the name and return address of the respondent.** Proposals and any other information submitted by respondents in response to this RFQ shall become the property of TSTC.

Failure to comply with all requirements contained in this RFQ may result in the rejection of the Proposals. Proposals that are qualified with conditional clauses, alterations, items not called for in the RFQ, or irregularities of any kind are subject to rejection.

Properly submitted Proposals will be opened publicly and the names of the respondents will be read aloud. Proposals cannot be altered or amended after opening time. Proposals cannot be withdrawn after opening time without written approval by TSTC based on a written request to withdraw.

By submitting a Proposal in response to this RFQ, Respondent acknowledges and accepts the evaluation process and that determination of the “best value” will require subjective judgments by TSTC.

3.3 Proposal Format

The Proposal must be organized in sections in the following format and contain the following information. Respondents should note that elaborate or unnecessary voluminous proposals are not desired.

3.3.1 Proposal Cover Page - The Proposal Cover Page, **Appendix A**, should be the first page of your Proposal.

3.3.2 Execution of Offer - The Execution of Offer Page, **Appendix B**, should be the second page of your Proposal. The Execution of Offer must be signed by a person authorized to sign for Respondent. **Failure to submit a signed Execution of Offer will result in automatic disqualification.**

3.3.3 Acknowledgment of agreement and receipt of the State Auditor’s Office Delegation Response – The State Auditor’s Office Delegation Response, **Appendix F**, should be the third page of your Proposal. The acknowledgment of agreement and receipt of the letter must be signed by a person authorized to sign for Respondent. **Failure to return the signed acknowledgment of this will result in automatic disqualification.**

3.3.4 Table of Contents - A Table of Contents should be the fourth section of your Proposal. The Table of Contents shall give page numbers for each section of the Proposal. Number all pages of the Proposal sequentially using Arabic numerals (1, 2, 3, etc.).

3.3.5 Proposal Contents

3.3.5.a Overview of the Firm

Proposer must provide a description of the firm, date founded, number of offices, location and number of Certified Public Accountants (CPA) and employees in each office, total number of employees and certified public accountants, description of specialty practice areas and firm philosophy. Proposer should indicate which office will be responsible for day-to-day contact with TSTC. Proposer should describe the structure of firm ownership (e.g., publicly held corporation, partnership, etc.) and any parents, affiliates or subsidiaries of the firm.

3.3.5.b Specifications and Scope of Work

Proposals must include responses to questions in the Specifications and Additional Questions (ref. **Section 4** of this RFQ).

3.3.5.c Qualifications

Proposals must provide a list of the staff proposed to be assigned to TSTC as auditors.

3.3.5.d Resumes

Proposals must include resumes which include each person’s licensure, current office location, position with the firm, and years of experience, for those individuals who would be assigned to serve TSTC, and indicate specifically the proposed role of each individual.

3.3.5.e Conflicts of Interest

Proposals must describe any potential conflicts of interest, specifically including any and all relationships with any member of the TSTC Board of Regents or TSTC administrators (Chancellor or Vice Chancellors). In addition, identify each matter in which the firm has, within the past calendar year, represented any entity or individual with an interest adverse to TSTC or to the State of Texas, or any of its boards, agencies, commissions, universities, or elected or appointed officials.

3.3.5.f References

Proposals must include a minimum of three (3) references from clients for whom similar services were performed. References must include the project description, contact name, position, and company name and telephone number for each reference listed.

3.3.5.g Peer Review Report

Proposals must include a copy of the most recently issued peer review report of the firm.

3.3.5.h Pricing and Delivery Schedule

The Proposer should describe in detail (a) the total fees for the entire scope of the services; and (b) the method in which the fees are calculated. The fees should be broken down **for each fiscal year being audited.**

3.3.5.i Attachments

The Proposer must complete the Conflict of Interest Questionnaire (ref. **Appendix D**) – if no conflicts exist, Proposer must state “None” and sign.

SECTION 4

SPECIFICATIONS AND ADDITIONAL QUESTIONS

4.1 General

The minimum requirements and specifications for the services, as well as certain requests for information to be provided by Proposer as part of its proposal, are set forth below. The successful Proposer is referred to as the “**Contractor.**”

4.2 Minimum Requirements

Each Proposal must include information that clearly indicates that Proposer meets each of the following minimum qualification requirements:

4.2.1 TSTC wishes to obtain the services of an appropriately licensed Certified Public Accounting firm to perform services described in **Section 4.3** of this RFQ.

4.2.2 The engagement is to perform Audit Services to meet all regulatory requirements, including, but not limited to:

4.2.2.a Audits – in accordance with auditing standards generally accepted in the United States of America (“generally accepted auditing standards”) and the standards applicable to financial audits contained in the Government Auditing Standards, issued by the Comptroller General of the United States. In connection with these standards, Contractor will perform such procedures as required to comply with the Comptroller of Public Accounts’ *Reporting Requirements for Annual Financial Reports of State Agencies and Universities*.

4.2.2.b Internal Control Verification – in accordance with requirements of the Southern Association of Colleges and Schools Commission on Colleges, a Management Communication Letter will serve as a form of verification of internal controls.

4.2.2.c Compliance Audit (Single Audit) – report on Internal Control over Financial Reporting and on Compliance based on an Audit of Financial Statements performed in accordance with *Government Auditing Standards*. Report on Compliance for each Major Federal and State Program and report on Internal Control over Compliance required by the *Uniform Guidance and the State of Texas Uniform Grant Management Standards*.

4.2.3 The audit service will be performed in accordance with U.S. generally accepted auditing standards or generally accepted governmental auditing standards (GAGAS) as set forth in the Government Accountability Office's Government Auditing Standards as appropriate.

4.2.4 The audit will be planned and performed to obtain reasonable assurance about whether the financial statements are free of material misstatement, whether caused by error or fraud. The audits will include obtaining an understanding of internal controls sufficient to plan the audit and to determine the nature, timing, and extent of audit procedures to be performed. The audits will include examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements and the audit will also include assessing the accounting principles used and significant estimates made by management, as well, as evaluating the overall financial statement presentation.

4.2.5 The scope of the independent auditor's opinion must encompass, at a minimum, the fair presentation of the financial statements in conformity with accounting principles generally accepted in the United States of America.

4.2.6 Respondent shall maintain a staff of properly trained and experienced personnel to ensure satisfactory performance under this Contract. Personnel assigned to perform the audit services shall have extensive experience with standards established by the Governmental Accounting Standards Board as well as the Financial Accounting Standards Board.

4.3 Scope of Work

4.3.1 Contractor will audit and report on the consolidated system-wide financial statements of Texas State Technical College for the fiscal years ending August 31, 2017 and August 31, 2018.

4.3.1.a The system-wide audit will include seven major campuses and system administration.

4.3.1.b Financial Statements include:

Statements of Net Position
Statements of Revenues, Expenses and Changes in Net Position
Cash Flow Statements

4.3.1.c Compliance Financial Statements include:

Schedule of Expenditures of Federal Awards
Schedule of Expenditures of State Awards
Schedule of Findings and Questioned Costs

4.3.1.d The financial statements also include footnotes. The financial statements prepared at TSTC are in accordance with Governmental Accounting Standards Board (GASB) requirements and the State Comptroller of Public Accounts Reporting Requirements for Annual Financial Reports. Copies of the TSTC Annual Financial Report can be found at: <http://www.tstc.edu/governance/annualfinancial>

4.4 Schedule

Subject to full cooperation of TSTC and its personnel and Contractor's professional responsibilities, Contractor agrees to use its good faith efforts to complete the Work in accordance with the following schedule:

Financial Statement and Compliance Audit for Fiscal Year ending August 31, 2017 and 2018:

Client-requested list to TSTC	June 15, 2018
Preliminary and interim fieldwork	July 2018
All interim questions resolved	August 31, 2018
Commencement of year-end fieldwork	December 2018

4.4.1 Audit fieldwork to be substantially complete and any potential adjustments communicated in writing to System management by January 31, 2019.

4.4.2 Contractor to complete the audit and the associated independent auditors' report, and have an electronic version available for System management on or before February 15, 2019.

4.4.3 The required number of bound reports, including the audit of the financial statements (including compliance section) and the management letter is to be delivered to TSTC System management on or before February 15, 2019.

4.5 Change or Addition to Scope of Services

TSTC, without invalidating the contract, may make changes by altering, adding to, or deducting from the Scope of Services at any time during the term of the contract in order to meet current TSTC needs. The contract pricing shall be adjusted accordingly, upon mutual agreement between TSTC and Contractor.

APPENDIX A - Proposal Cover Page
TEXAS STATE TECHNICAL COLLEGE
RFQ for Financial Audit Services
RFQ-18-EW-002

FIRM NAME: _____

ADDRESS: _____

CITY, STATE, ZIP _____

TELEPHONE: _____ FAX: _____

E-MAIL: _____

FEDERAL EMPLOYER ID #: _____ or SS # (if sole owner): _____

TEXAS CHARTER # IF APPLICABLE: _____

IS YOUR COMPANY A HUB VENDOR? _____ WHAT CATEGORY? _____

APPENDIX B – Execution of Offer
TEXAS STATE TECHNICAL COLLEGE
RFQ for Financial Audit Services
RFQ-18-EW-002

NOTE TO RESPONDENTS: SUBMIT ENTIRE SECTION WITH RESPONSE.

THIS EXECUTION OF OFFER MUST BE COMPLETED, SIGNED, AND RETURNED WITH THE RESPONDENT'S PROPOSAL. FAILURE TO COMPLETE, SIGN AND RETURN THIS EXECUTION OF OFFER WITH THE PROPOSAL MAY RESULT IN REJECTION OF THE PROPOSAL.

SIGNING A FALSE STATEMENT MAY VOID THE SUBMITTED PROPOSAL OR ANY AGREEMENTS OR OTHER CONTRACTUAL ARRANGEMENTS, WHICH MAY RESULT FROM THE SUBMISSION OF RESPONDENT'S PROPOSAL, AND THE RESPONDENT MAY BE REMOVED FROM ALL PROPOSER LISTS. A FALSE CERTIFICATION SHALL BE DEEMED A MATERIAL BREACH OF CONTRACT AND, AT OWNER'S OPTION, MAY RESULT IN TERMINATION OF ANY RESULTING CONTRACT OR PURCHASE ORDER.

- A. By signature hereon, Respondent acknowledges and agrees that (1) this RFQ is a solicitation for Qualifications and is not a contract or an offer to contract; (2) the submission of Qualifications by Respondent in response to this RFQ will not create a contract between the Owner and Respondent; (3) the Owner has made no representation or warranty, written or oral, that one or more contracts with the Owner will be awarded under this RFQ; and (4) Respondent shall bear, as its sole risk and responsibility, any cost which arises from Respondent's preparation of a response to this RFQ.
- B. By signature hereon, Respondent offers and agrees to furnish to the Owner the products and/or services more particularly described in its Qualifications, and to comply with all terms, conditions and requirements set forth in the RFQ documents and contained herein.
- C. By signature hereon, Respondent affirms that he has not given, nor intends to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor or service to a public servant in connection with the submitted Proposal.
- D. By signature hereon, a corporate Respondent certifies that it is not currently delinquent in the payment of any Franchise Taxes due under Chapter 171, Texas Tax Code, or that the corporate Respondent is exempt from the payment of such taxes, or that the corporate Respondent is an out-of-state corporation that is not subject to the Texas Franchise Tax, whichever is applicable.
- E. By signature hereon, the Respondent hereby certifies that neither the Respondent nor the firm, corporation, partnership or Owner represented by the Respondent, or anyone acting for such firm, corporation, or institution has violated the antitrust laws of this state, codified in Section 15.01, et. seq., Texas Business and Commerce Code, or the Federal antitrust laws, nor communicated directly or indirectly the Qualifications made to any competitor or any other person engaged in such line of business.
- F. By signature hereon, Respondent represents and warrants that:
 - 1. Respondent is a reputable company regularly engaged in providing products and/or services necessary to meet the terms, conditions and requirements of the RFQ;
 - 2. Respondent has the necessary experience, knowledge, abilities, skills, and resources to satisfactorily perform the terms, conditions and requirements of the RFQ;
 - 3. Respondent is aware of, is fully informed about, and is in full compliance with all applicable federal, state and local laws, rules, regulations and ordinances;

APPENDIX B – Execution of Offer (Continued)

TEXAS STATE TECHNICAL COLLEGE

RFQ for Financial Audit Services

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4. Respondent understands (i) the requirements and specifications set forth in this RFQ and (ii) the terms and conditions set forth in the Contract under which Respondent will be required to operate;
 5. Respondent, if selected by the Owner, will maintain insurance as required by the Contract;
 6. All statements, information and representations prepared and submitted in response to this RFQ are current, complete, true and accurate. Respondent acknowledges that the Owner will rely on such statements, information and representations in selecting the successful Respondent. If selected by the Owner as the successful Respondent, Respondent will notify the Owner immediately of any material change in any matters with regard to which Respondent has made a statement or representation or provided information.
- G. By signature hereon, Respondent certifies that the individual signing this document and the documents made part of the RFQ is authorized to sign such documents on behalf of the firm and to bind the firm under any agreements or other contractual arrangements, which may result from the submission of Respondent's Proposal.
- H. By signature hereon, Respondent certifies that if a Texas address is shown as the address of the Respondent, Respondent qualifies as a Texas Resident Respondent as defined in Rule 1 TAC 111.2.
- I. By signature hereon, Respondent certifies as follows:
1. "Under Section 231.006, Texas Family Code, the vendor or applicant certifies that the individual or business entity named in this contract, RFQ, or application is not ineligible to receive the specified grant, loan, or payment and acknowledges that this contract may be terminated and payment may be withheld if this certification is inaccurate."
 2. "Under Section 2155.004, *Texas Government Code*, the vendor or applicant certifies that the individual or business entity named in this RFQ or contract is not ineligible to receive the specified contract and acknowledges that this contract may be terminated and payment withheld if this certification is inaccurate."
 3. "Under Section 2254.004, *Texas Government Code*, the vendor or applicant certifies that each individual or business entity which is an engineer or architect proposed by Respondent as a member of its team was selected based on demonstrated competence and qualifications only."
- J. By signature hereon, Respondent certifies that no relationship, whether by relative, business associate, capital funding agreement or by any other such kinship exist between Respondent and an employee of any Texas State Technical College component, or Respondent has not been an employee of any Texas State Technical College component within the immediate twelve (12) months prior to your RFQ response. All such disclosures will be subject to administrative review and approval prior to the Owner entering into any contract with Respondent.

APPENDIX B – Execution of Offer (Continued)

TEXAS STATE TECHNICAL COLLEGE

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- K. By signature hereon, Respondent affirms that no compensation has been received for participation in the preparation of the specifications for this RFQ. (ref. Section 2155.004 Texas Government Code).
- L. Respondent represents and warrants that all articles and services quoted in response to this RFQ meet or exceed the safety standards established and promulgated under the Federal Occupational Safety and Health Law (Public Law 91-596) and its regulations in effect or proposed as of the date of this solicitation.
- M. By signature hereon, Respondent signifies his compliance with all federal laws and regulations pertaining to Equal Employment Opportunities and Affirmative Action.
- N. By signature hereon, Respondent agrees to defend, indemnify, and hold harmless the State of Texas and Texas State Technical College, all of its officers, agents, regents and employees from and against all claims, actions, suits, demands, proceedings, costs, damages, and liabilities, arising out of, connected with, or resulting from any acts or omissions of Respondent or any agent, employee, subcontractor, or supplier of Respondent in the execution or performance of any agreements or other contractual arrangements which may result from the submission of Respondent's Proposal.
- O. By signature hereon, Respondent agrees that any payments that may become due under any agreements or other contractual arrangements, which may result from the submission of Respondent's Proposal, will be applied towards any debt including, but not limited to, delinquent taxes and child support that is owed to the State of Texas.
- P. By signature hereon, Respondent certifies that no member of the Board of Regents of Texas State Technical College, or the Executive Officers of Texas State Technical College or its component institutions, has a financial interest, directly or indirectly, in the transaction that is the subject of the contract.

The Respondent must complete, sign and return this Execution of Offer as part of their submittal response. The Respondent firm's officials, partners or principals who are authorized to commit to such a submittal must sign submittals. Failure to sign and return this form will subject the submittal to disqualification.

APPENDIX B – Execution of Offer (Continued)
TEXAS STATE TECHNICAL COLLEGE
RFQ for Financial Audit Services
RFQ-18-EW-002

ACKNOWLEDGEMENT OF ADDENDA

Respondent acknowledges receipt of the following addenda to the captioned RFQ (initial if applicable):
Failure to properly acknowledge addenda may result in disqualification.

Addendum # _____	Issued _____	Initials: _____
Addendum # _____	Issued _____	Initials: _____
Addendum # _____	Issued _____	Initials: _____

Respectfully Submitted,

Respondent's Name: _____

Respondent's State of Texas Tax Account No. (or EIN): _____ *(This 11 digit number is mandatory)*

If a Corporation: State of Incorporation: _____

Respondent's Charter No: _____

Identify each person who owns at least 25% of the Respondent's business entity by name:

_____	_____
_____	_____

Submitted and Certified By:

_____	_____
<i>(Respondent's Name)</i>	<i>(Title)</i>

_____	_____	_____
<i>(Street Address)</i>	<i>(City, State, Zip Code)</i>	<i>(Telephone Number)</i>

_____	_____
<i>(Authorized Signature)</i>	<i>(Date)</i>

APPENDIX C – Terms and Conditions
TEXAS STATE TECHNICAL COLLEGE
RFQ for Financial Audit Services
RFQ-18-EW-002

ITEMS BELOW APPLY TO AND BECOME A PART OF TERMS AND CONDITIONS OF RFQ, ANY EXCEPTIONS THERE TO MUST BE IN WRITING.

A. BIDDING REQUIREMENTS

1. Proposers must comply with all rules, regulations and statutes relating to purchasing in the State of Texas in addition to the requirements of this form.
2. RFQ should be submitted on this form. RFQ must be time stamped at ordering agency on or before the hour and date specified for the RFQ opening.
3. Late and/or unsigned RFQ will not be considered under any circumstances. Person signing RFQ must have the authority to bind the firm in a contract.
4. RFQ should give Payee ID Number, full firm name and address of proposer on the face of this form. Enter in the space provided, if not shown. Additionally, firm name should appear on each continuation page of a RFQ, in the block provided in the upper right hand corner. The Payee ID Number is the taxpayer number assigned and used by the Comptroller of Public Accounts of Texas. If this number is not known, complete the following:

Enter Federal Employer's Identification Number _____

Sole owner should also enter Social Security Number _____

5. RFQ cannot be altered or amended after opening time. Alterations made before opening time should be initialed by proposer or his authorized agent. No RFQ can be withdrawn after opening time without approval by TSTC based on an acceptable written reason.
6. TSTC reserves the right to accept or reject all or any part of any kind, waive minor technicalities and award the RFQ to best serve the interests of TSTC.
7. Consistent and continued tie bidding could cause rejection of RFQ by TSTC and/or investigation for antitrust violations.
8. TSTC shall not be responsible for failure of electronic equipment or operator error. Late illegible, incomplete, or otherwise non-responsive RFQ'S will not be considered.

B. TIE BIDS

Awards will be made in accordance with Rule 1 TAC Section 113.6 (b) (3) and 113.8 (preferences).

C. AWARD OF CONTRACT

A response to this RFQ is an offer to contract based upon the terms, conditions and specifications contained herein. RFQ's do not become contracts until they are accepted through an open market purchase order. The contract shall be governed, construed and interpreted under the laws of the State of Texas. The factors listed in Texas Government Code, Title 10, Subtitle D, Section 2155.074, 2155.144, 2156.007, and 2157.003 shall also be considered in making an award. Any legal actions must be filed in McLennan County or Travis County, Texas.

APPENDIX C – Terms and Conditions (Continued)
TEXAS STATE TECHNICAL COLLEGE
RFQ for Financial Audit Services
RFQ-18-EW-002

D. PAYMENT

Vendor shall submit an itemized invoice showing TSTC's purchase order number. TSTC will incur no penalty for late payment if payment is made in 30 or fewer days from receipt of goods or services and an uncontested invoice. For restrictions regarding prepayment, see section 11, below.

E. PATENTS OR COPYRIGHTS

The vendor agrees to protect TSTC from claims involving infringement of patents or copyrights.

F. VENDOR ASSIGNMENTS

Vendor hereby assigns to ordering agency any and all claims for overcharges associated with this contract arising under the antitrust laws of the United States 15 U.S.C.A. Section 1, et seq. (1973), and the antitrust laws of the State of Texas, TEX. Bus. & Comm. Code Ann. Sec. 15.01, et seq. (1967). Inquiries pertaining to IFBs must give the requisition number, codes, and opening date.

G. BIDDER AFFIRMATION

Signing this RFQ with a false statement is a material breach of contract and shall void the submitted RFQ or any resulting contracts, and the vendor shall be removed from all bid lists.

1. The proposer has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted RFQ.
2. Neither the proposer nor the firm, corporation, partnership, or institution represented by the proposer, or anyone acting for such firm, corporation or institution has violated the antitrust laws of this State or the Federal Antitrust Laws (see section 9, above), nor communicated directly or indirectly the RFQ made to any competitor or any other person engaged in such line of business.
3. Pursuant to Section 2155.004 Government Code the proposer has not received compensation for participation in the preparation of the specifications for this RFQ.
4. Pursuant to Section 231.006(d), Family Code (relating to child support), the proposer certifies that the individual or business entity named in this RFQ is not ineligible to receive this specified payment and acknowledges that this contract may be terminated and payment may be withheld if this certification is inaccurate.
5. Under Section 2155.004 Government Code the proposer certifies that the individual or business entity named in this RFQ is not ineligible to receive the specified contract and acknowledges that this contract may be terminated and/or payment withheld if this certification is inaccurate.
6. The Contractor shall defend, indemnify, and hold harmless TSTC, all of its officers, agents and employees from and against all claims, actions, suits, demands, proceedings, costs, damages, and liabilities, arising out of, connected with, or resulting from any acts or commissions of contractor or any agent, employee, subcontractor, or supplier of contractor in the execution or performance of this contract.

APPENDIX C – Terms and Conditions (Continued)
TEXAS STATE TECHNICAL COLLEGE
RFQ for Financial Audit Services
RFQ-18-EW-002

7. Proposer agrees that any payments due under this will be applied towards any debt, including but not limited to delinquent taxes and child support that is owed to the State of Texas.
8. Proposer certifies that it is in compliance with section 669.003 of the Government Code, relating to contracting with executive head of a State agency. If section 669.003 applies proposer will complete the following information in order for the RFQ to be evaluated:

Name of Former executive: _____

Name of State agency: _____

Date of separation from State agency: _____

Date of Employment with proposer: _____

9. Proposer agrees to comply with government Code 2155.4441, pertaining to service contract use of products in the State of Texas.
10. Pursuant to Section 231.006©, Family Code, RFQ must include names and Social Security Numbers of each person with at least 25% ownership of the business entity submitting the RFQ. Attach name & social security numbers for each person. This information must be provided prior to contract award.

H. NOTE TO PROPOSER:

Any terms and conditions attached to a RFQ will not be considered unless specifically referred to on this RFQ form and may result in disqualification of the RFQ. The dispute resolution process provided for in chapter 2260 of the Texas Government Code must be used by the ordering agency and the contractor to attempt to resolve all disputes arising under this contract.

I. BEST VALUE CRITERIA

- the quality, availability, and adaptability of the supplies, materials, equipment, or contractual services to the particular use required;
- the number and scope of conditions attached to the RFQ;
- the ability, capacity, and skill of the proposer to perform the contract or provide the service required;
- whether the proposer can perform the contract or provide the service promptly, or within the time required, without delay or interference;
- the character, responsibility, integrity, reputation, and experience of the proposer;
- proximity of the proposer’s office to the site, and is there a firm principal at the local office, and how much of the design work will be done at the local office;
- the quality of performance of previous contracts or services;
- any previous or existing noncompliance by the;
- the sufficiency of the financial resources and ability of the proposer to perform the contract or provide the service;
- the cost of services; and
- Any relevant criteria specifically listed in the RFQ or request for qualifications.

APPENDIX D - Conflict of Interest Questionnaire
 TEXAS STATE TECHNICAL COLLEGE
RFQ for Financial Audit Services
 RFQ-18-EW-002

<p>CONFLICT OF INTEREST QUESTIONNAIRE</p> <p>For vendor or other person doing business with local governmental entity</p>	<p>FORM CIQ</p>
<p>This questionnaire reflects changes made to the law by H.B. 1491, 80th Leg., Regular Session. This questionnaire is being filed in accordance with Chapter 176, Local Government Code by a person who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the person meets requirements under Section 176.006(a).</p> <p>By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the person becomes aware of facts that require the statement to be filed. See Section 176.006, Local Government Code.</p> <p>A person commits an offense if the person knowingly violates Section 176.006, Local Government Code. An offense under this section is a Class C misdemeanor.</p>	<p>OFFICE USE ONLY</p> <p>Date Received</p>
<p>1 Name of person who has a business relationship with local governmental entity.</p>	
<p>2 <input type="checkbox"/> Check this box if you are filing an update to a previously filed questionnaire.</p> <p>(The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)</p>	
<p>3 Name of local government officer with whom filer has employment or business relationship.</p> <p align="center">_____</p> <p align="center">Name of Officer</p> <p>This section (item 3 including subparts A, B, C & D) must be completed for each officer with whom the filer has an employment or other business relationship as defined by Section 176.001(1-a), Local Government Code. Attach additional pages to this Form CIQ as necessary.</p> <p>A. Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the filer of the questionnaire?</p> <p align="center"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>B. Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?</p> <p align="center"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?</p> <p align="center"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>D. Describe each employment or business relationship with the local government officer named in this section.</p>	
<p>4</p> <p align="center">_____</p> <p align="center">Signature of person doing business with the governmental entity</p> <p align="right">_____</p> <p align="right">Date</p>	

APPENDIX E – HUB Subcontracting Plan
TEXAS STATE TECHNICAL COLLEGE
RFQ for Financial Audit Services
RFQ-18-EW-002

NOTE TO RESPONDENTS: Complete the following pages, if subcontracting will take place.



HUB Subcontracting Plan (HSP) QUICK CHECKLIST

While this HSP Quick Checklist is being provided to merely assist you in readily identifying the sections of the HSP form that you will need to complete, it is very important that you adhere to the instructions in the HSP form and instructions provided by the contracting agency.

➤ **If you will be awarding all of the subcontracting work you have to offer under the contract to only Texas certified HUB vendors, complete:**

Section 1 - Respondent and Requisition Information

Section 2 a. - Yes, I will be subcontracting portions of the contract.

Section 2 b. - List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to Texas certified HUB vendors.

Section 2 c. - Yes

Section 4 - Affirmation

GFE Method A (Attachment A) - Complete an Attachment A for each of the subcontracting opportunities you listed in Section 2 b.

➤ **If you will be subcontracting any portion of the contract to Texas certified HUB vendors and Non-HUB vendors, and the aggregate percentage of all the subcontracting work you will be awarding to the Texas certified HUB vendors with which you do not have a continuous contract* in place for more than five (5) years meets or exceeds the HUB Goal the contracting agency identified in the "Agency Special Instructions/Additional Requirements", complete:**

Section 1 - Respondent and Requisition Information

Section 2 a. - Yes, I will be subcontracting portions of the contract.

Section 2 b. - List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to Texas certified HUB vendors and Non-HUB vendors.

Section 2 c. - No

Section 2 d. - Yes

Section 4 - Affirmation

GFE Method A (Attachment A) - Complete an Attachment A for each of the subcontracting opportunities you listed in Section 2 b.

➤ **If you will be subcontracting any portion of the contract to Texas certified HUB vendors and Non-HUB vendors or only to Non-HUB vendors, and the aggregate percentage of all the subcontracting work you will be awarding to the Texas certified HUB vendors with which you do not have a continuous contract* in place for more than five (5) years does not meet or exceed the HUB Goal the contracting agency identified in the "Agency Special Instructions/Additional Requirements", complete:**

Section 1 - Respondent and Requisition Information

Section 2 a. - Yes, I will be subcontracting portions of the contract.

Section 2 b. - List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to Texas certified HUB vendors and Non-HUB vendors.

Section 2 c. - No

Section 2 d. - No

Section 4 - Affirmation

GFE Method B (Attachment B) - Complete an Attachment B for each of the subcontracting opportunities you listed in Section 2 b.

➤ **If you will not be subcontracting any portion of the contract and will be fulfilling the entire contract with your own resources (i.e., employees, supplies, materials and/or equipment, including transportation and delivery), complete:**

Section 1 - Respondent and Requisition Information

Section 2 a. - No, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources.

Section 3 - Self Performing Justification

Section 4 - Affirmation

***Continuous Contract:** Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service, to include transportation and delivery under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.



HUB Subcontracting Plan (HSP)

In accordance with Texas Gov't Code §2161.252, the contracting agency has determined that subcontracting opportunities are probable under this contract. Therefore, all respondents, including State of Texas certified Historically Underutilized Businesses (HUBs) must complete and submit this State of Texas HUB Subcontracting Plan (HSP) with their response to the bid requisition (solicitation).

NOTE: Responses that do not include a completed HSP shall be rejected pursuant to Texas Gov't Code §2161.252(b).

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.13 are:

- **11.2 percent for heavy construction other than building contracts,**
- **21.1 percent for all building construction, including general contractors and operative builders' contracts,**
- **32.9 percent for all special trade construction contracts,**
- **23.7 percent for professional services contracts,**
- **26.0 percent for all other services contracts, and**
- **21.1 percent for commodities contracts.**

- - Agency Special Instructions/Additional Requirements - -

*In accordance with 34 TAC §20.14(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent **does not** have a **continuous contract*** in place for **more than five (5) years** shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.*

SECTION-1 RESPONDENT AND REQUISITION INFORMATION

- a. Respondent (Company) Name: _____ State of Texas VID #: _____
 Point of Contact: _____ Phone #: _____
 E-mail Address: _____ Fax #: _____
- b. Is your company a State of Texas certified HUB? - Yes - No
- c. Requisition #: _____ Bid Open Date: _____
(mm/dd/yyyy)

Enter your company's name here: _____ Requisition #: _____

SECTION-2: RESPONDENT'S SUBCONTRACTING INTENTIONS

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, **including contracted staffing, goods, services, transportation and delivery will be subcontracted**. Note: In accordance with 34 TAC §20.11, a "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

a. Check the appropriate box (Yes or No) that identifies your subcontracting intentions:

- Yes, I will be subcontracting portions of the contract. (If Yes, complete Item b of this SECTION and continue to Item c of this SECTION.)
- No, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources, including employees, goods, services, transportation and delivery. (If No, continue to SECTION 3 and SECTION 4.)

b. List all the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you do not have a continuous contract* in place for more than five (5) years .	Percentage of the contract expected to be subcontracted to HUBs with which you have a continuous contract* in place for more than five (5) years .	Percentage of the contract expected to be subcontracted to non-HUBs.
1		%	%	%
2		%	%	%
3		%	%	%
4		%	%	%
5		%	%	%
6		%	%	%
7		%	%	%
8		%	%	%
9		%	%	%
10		%	%	%
11		%	%	%
12		%	%	%
13		%	%	%
14		%	%	%
15		%	%	%
Aggregate percentages of the contract expected to be subcontracted:		%	%	%

(Note: If you have more than fifteen subcontracting opportunities, a continuation sheet is available online at <http://window.state.tx.us/procurement/prog/hub/hub-subcontracting-plan/>.)

c. Check the appropriate box (Yes or No) that indicates whether you will be using **only** Texas certified HUBs to perform **all** of the subcontracting opportunities you listed in SECTION 2, Item b.

- Yes (If Yes, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed.)
- No (If No, continue to Item d, of this SECTION.)

d. Check the appropriate box (Yes or No) that indicates whether the aggregate expected percentage of the contract you will subcontract **with Texas certified HUBs** with which you **do not** have a **continuous contract*** in place with for **more than five (5) years**, **meets or exceeds** the HUB goal the contracting agency identified on page 1 in the "Agency Special Instructions/Additional Requirements."

- Yes (If Yes, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed.)
- No (If No, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed.)

***Continuous Contract:** Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service, to include transportation and delivery under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.

Enter your company's name here: _____ Requisition #: _____

SECTION 2 RESPONDENT'S SUBCONTRACTING INTENTIONS (CONTINUATION SHEET)

This page can be used as a continuation sheet to the HSP Form's page 2, Section 2, Item b. Continue listing the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you do not have a continuous contract* in place for more than five (5) years .	Percentage of the contract expected to be subcontracted to HUBs with which you have a continuous contract* in place for more than five (5) years .	Percentage of the contract expected to be subcontracted to non-HUBs.
16		%	%	%
17		%	%	%
18		%	%	%
19		%	%	%
20		%	%	%
21		%	%	%
22		%	%	%
23		%	%	%
24		%	%	%
25		%	%	%
26		%	%	%
27		%	%	%
28		%	%	%
29		%	%	%
30		%	%	%
31		%	%	%
32		%	%	%
33		%	%	%
34		%	%	%
35		%	%	%
36		%	%	%
37		%	%	%
38		%	%	%
39		%	%	%
40		%	%	%
41		%	%	%
42		%	%	%
43		%	%	%
Aggregate percentages of the contract expected to be subcontracted:		%	%	%

***Continuous Contract:** Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service, to include transportation and delivery under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.

Enter your company's name here: _____ Requisition #: _____

SECTION-3 SELF PERFORMING JUSTIFICATION (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.)

If you responded "No" to SECTION 2, Item a, in the space provided below explain how your company will perform the entire contract with its own employees, supplies, materials and/or equipment, to include transportation and delivery.

[Empty box for justification text]

SECTION-4: AFFIRMATION

As evidenced by my signature below, I affirm that I am an authorized representative of the respondent listed in SECTION 1, and that the information and supporting documentation submitted with the HSP is true and correct. Respondent understands and agrees that, if awarded any portion of the requisition:

- The respondent will provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor for the awarded contract. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.
- The respondent must submit monthly compliance reports (Prime Contractor Progress Assessment Report – PAR) to the contracting agency, verifying its compliance with the HSP, including the use of and expenditures made to its subcontractors (HUBs and Non-HUBs). (The PAR is available at <http://www.window.state.tx.us/procurement/prog/hub/hub-forms/progressassessmentrpt.xls>).
- The respondent must seek approval from the contracting agency prior to making any modifications to its HSP, including the hiring of additional or different subcontractors and the termination of a subcontractor the respondent identified in its HSP. If the HSP is modified without the contracting agency's prior approval, respondent may be subject to any and all enforcement remedies available under the contract or otherwise available by law, up to and including debarment from all state contracting.
- The respondent must, upon request, allow the contracting agency to perform on-site reviews of the company's headquarters and/or work-site where services are being performed and must provide documentation regarding staffing and other resources.

Signature	Printed Name	Title	Date <small>(mm/dd/yyyy)</small>
------------------	---------------------	--------------	--

Reminder:

- If you responded "Yes" to SECTION 2, Items c or d, you must complete an "HSP Good Faith Effort - Method A (Attachment A)" for each of the subcontracting opportunities you listed in SECTION 2, Item b.
- If you responded "No" SECTION 2, Items c and d, you must complete an "HSP Good Faith Effort - Method B (Attachment B)" for each of the subcontracting opportunities you listed in SECTION 2, Item b.

HSP Good Faith Effort - Method A (Attachment A)

Rev. 09/15

Enter your company's name here: _____ Requisition #: _____

IMPORTANT: If you responded "Yes" to SECTION 2, Items c or d of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method A (Attachment A)" for each of the subcontracting opportunities you listed in SECTION 2, Item b of the completed HSP form. You may photo-copy this page or download the form at <http://window.state.tx.us/procurement/prog/hub/hub-forms/hub-sbcont-plan-gfe-achm-a.pdf>

SECTION A-1: SUBCONTRACTING OPPORTUNITY

Enter the item number and description of the subcontracting opportunity you listed in SECTION 2, Item b, of the completed HSP form for which you are completing the attachment.

Item Number: _____ Description: _____

SECTION A-2: SUBCONTRACTOR SELECTION

List the subcontractor(s) you selected to perform the subcontracting opportunity you listed above in SECTION A-1. Also identify whether they are a Texas certified HUB and their Texas Vendor Identification (VID) Number or federal Employer Identification Number (EIN), the approximate dollar value of the work to be subcontracted, and the expected percentage of work to be subcontracted. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at <http://mycpa.cpa.state.tx.us/tpasscmbsearch/index.jsp>. HUB status code "A" signifies that the company is a Texas certified HUB.

Company Name	Texas certified HUB	Texas VID or federal EIN <small>Do not enter Social Security Numbers. If you do not know their VID / EIN, leave their VID / EIN field blank.</small>	Approximate Dollar Amount	Expected Percentage of Contract
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%

REMINDER: As specified in SECTION 4 of the completed HSP form, if you (respondent) are awarded any portion of the requisition, you are required to provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.

HSP Good Faith Effort - Method B (Attachment B)

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Enter your company's name here: _____	Requisition #: _____
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IMPORTANT: If you responded “No” to **SECTION 2, Items c and d** of the completed HSP form, you must submit a completed “HSP Good Faith Effort - Method B (Attachment B)” for **each** of the subcontracting opportunities you listed in **SECTION 2, Item b** of the completed HSP form. You may photo-copy this page or download the form at <http://window.state.tx.us/procurement/prog/hub/hub-forms/hub-sbcont-plan-gfe-achm-b.pdf>.

SECTION B-1: SUBCONTRACTING OPPORTUNITY

Enter the item number and description of the subcontracting opportunity you listed in SECTION 2, Item b, of the completed HSP form for which you are completing the attachment.

Item Number: _____ Description: _____

SECTION B 2: MENTOR PROTÉGÉ PROGRAM

If respondent is participating as a Mentor in a State of Texas Mentor Protégé Program, submitting its Protégé (Protégé must be a State of Texas certified HUB) as a subcontractor to perform the subcontracting opportunity listed in **SECTION B-1**, constitutes a good faith effort to subcontract with a Texas certified HUB towards that specific portion of work.

Check the appropriate box (Yes or No) that indicates whether you will be subcontracting the portion of work you listed in SECTION B-1 to your Protégé.

- Yes (If *Yes*, continue to SECTION B-4.)
- No / Not Applicable (If *No* or *Not Applicable*, continue to SECTION B-3 and SECTION B-4.)

SECTION B 3: NOTIFICATION OF SUBCONTRACTING OPPORTUNITY

When completing this section you **MUST** comply with items **a, b, c and d**, thereby demonstrating your Good Faith Effort of having notified Texas certified HUBs and trade organizations or development centers about the subcontracting opportunity you listed in SECTION B-1. Your notice should include the scope of work, information regarding the location to review plans and specifications, bonding and insurance requirements, required qualifications, and identify a contact person. When sending notice of your subcontracting opportunity, you are encouraged to use the attached HUB Subcontracting Opportunity Notice form, which is also available online at <http://www.window.state.tx.us/procurement/prog/hub/hub-subcontracting-plan>.

Retain supporting documentation (i.e., certified letter, fax, e-mail) demonstrating evidence of your good faith effort to notify the Texas certified HUBs and trade organizations or development centers. Also, be mindful that a working day is considered a normal business day of a state agency, not including weekends, federal or state holidays, or days the agency is declared closed by its executive officer. The initial day the subcontracting opportunity notice is sent/provided to the HUBs and to the trade organizations or development centers is considered to be “day zero” and does not count as one of the seven (7) working days.

- a.** Provide written notification of the subcontracting opportunity you listed in SECTION B-1, to three (3) or more Texas certified HUBs. Unless the contracting agency specified a different time period, you must allow the HUBs at least seven (7) working days to respond to the notice prior to you submitting your bid response to the contracting agency. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas’ Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at <http://mycpa.cpa.state.tx.us/tpasscmbsearch/index.jsp>. HUB status code “A” signifies that the company is a Texas certified HUB.
- b.** List the **three (3) Texas certified HUBs** you notified regarding the subcontracting opportunity you listed in SECTION B-1. Include the company’s Texas Vendor Identification (VID) Number, the date you sent notice to that company, and indicate whether it was responsive or non-responsive to your subcontracting opportunity notice.

Company Name	Texas VID <small>(Do not enter Social Security Numbers.)</small>	Date Notice Sent <small>(mm/dd/yyyy)</small>	Did the HUB Respond?
			- Yes - No
			- Yes - No
			- Yes - No

- c.** Provide written notification of the subcontracting opportunity you listed in SECTION B-1 to **two (2)** or more trade organizations or development centers in Texas to assist in identifying potential HUBs by disseminating the subcontracting opportunity to their members/participants. Unless the contracting agency specified a different time period, you must provide your subcontracting opportunity notice to trade organizations or development centers at least seven (7) working days prior to submitting your bid response to the contracting agency. A list of trade organizations and development centers that have expressed an interest in receiving notices of subcontracting opportunities is available on the Statewide HUB Program’s webpage at <http://www.window.state.tx.us/procurement/prog/hub/mwb-links-1/>.

- d.** List **two (2) trade organizations or development centers** you notified regarding the subcontracting opportunity you listed in SECTION B-1. Include the date when you sent notice to it and indicate if it accepted or rejected your notice.

Trade Organizations or Development Centers	Date Notice Sent <small>(mm/dd/yyyy)</small>	Was the Notice Accepted?
		- Yes - No
		- Yes - No

HSP Good Faith Effort - Method B (Attachment B) Cont.

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Enter your company's name here: _____ Requisition #: _____

SECTION B-4: SUBCONTRACTOR SELECTION

Enter the item number and description of the subcontracting opportunity you listed in **SECTION 2, Item b**, of the completed HSP form for which you are completing the attachment.

- a. Enter the item number and description of the subcontracting opportunity for which you are completing this Attachment B continuation page.

Item Number: _____ Description: _____

- b. List the subcontractor(s) you selected to perform the subcontracting opportunity you listed in **SECTION B-1**. Also identify whether they are a Texas certified HUB and their Texas Vendor Identification (VID) Number or federal Employer Identification Number (EIN), the approximate dollar value of the work to be subcontracted, and the expected percentage of work to be subcontracted. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at <http://mycpa.cpa.state.tx.us/tpasscmbsearch/index.jsp>. HUB status code "A" signifies that the company is a Texas certified HUB.

Company Name	Texas certified HUB	Texas VID or federal EIN <small>Do not enter Social Security Numbers. If you do not know their VID / EIN, leave their VID / EIN field blank.</small>	Approximate Dollar Amount	Expected Percentage of Contract
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%
	- Yes - No		\$	%

- c. If any of the subcontractors you have selected to perform the subcontracting opportunity you listed in **SECTION B-1** is **not** a Texas certified HUB, provide written justification for your selection process (attach additional page if necessary):

REMINDER: As specified in SECTION 4 of the completed HSP form, if you (respondent) are awarded any portion of the requisition, you are required to provide notice as soon as practical to **all** the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity it (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.



HUB Subcontracting Opportunity Notification Form

In accordance with Texas Gov't Code, Chapter 2161, each state agency that considers entering into a contract with an expected value of \$100,000 or more shall, before the agency solicits bids, proposals, offers, or other applicable expressions of interest, determine whether subcontracting opportunities are probable under the contract. The state agency I have identified below in Section B has determined that subcontracting opportunities are probable under the requisition to which my company will be responding.

34 Texas Administrative Code, §20.14 requires all respondents (prime contractors) bidding on the contract to provide notice of each of their subcontracting opportunities to at least three (3) Texas certified HUBs (who work within the respective industry applicable to the subcontracting opportunity), and allow the HUBs at least seven (7) working days to respond to the notice prior to the respondent submitting its bid response to the contracting agency. In addition, at least seven (7) working days prior to submitting its bid response to the contracting agency, the respondent must provide notice of each of its subcontracting opportunities to two (2) or more trade organizations or development centers (in Texas) that serves members of groups (i.e., Asian Pacific American, Black American, Hispanic American, Native American, Woman, Service Disabled Veteran) identified in Texas Administrative Code, §20.11(19)(C).

We respectfully request that vendors interested in bidding on the subcontracting opportunity scope of work identified in Section C, Item 2, reply no later than the date and time identified in Section C, Item 1. Submit your response to the point-of-contact referenced in Section A.

SECTION: A PRIME CONTRACTOR'S INFORMATION

Company Name: _____	State of Texas VID #: _____
Point-of-Contact: _____	Phone #: _____
E-mail Address: _____	Fax #: _____

SECTION: B CONTRACTING STATE AGENCY AND REQUISITION INFORMATION

Agency Name: _____	
Point-of-Contact: _____	Phone #: _____
Requisition #: _____	Bid Open Date: _____ <small>(mm/dd/yyyy)</small>

SECTION: C SUBCONTRACTING OPPORTUNITY RESPONSE DUE DATE, DESCRIPTION, REQUIREMENTS AND RELATED INFORMATION

1. Potential Subcontractor's Bid Response Due Date:

If you would like for our company to consider your company's bid for the subcontracting opportunity identified below in Item 2,
 we must receive your bid response no later than _____ on _____
Central Time Date (mm/dd/yyyy)

In accordance with 34 TAC §20.14, each notice of subcontracting opportunity shall be provided to at least three (3) Texas certified HUBs, and allow the HUBs at least seven (7) working days to respond to the notice prior to submitting our bid response to the contracting agency. In addition, at least seven (7) working days prior to us submitting our bid response to the contracting agency, we must provide notice of each of our subcontracting opportunities to two (2) or more trade organizations or development centers (in Texas) that serves members of groups (i.e., Asian Pacific American, Black American, Hispanic American, Native American, Woman, Service Disabled Veteran) identified in Texas Administrative Code, §20.11(19)(C).

(A working day is considered a normal business day of a state agency, not including weekends, federal or state holidays, or days the agency is declared closed by its executive officer. The initial day the subcontracting opportunity notice is sent/provided to the HUBs and to the trade organizations or development centers is considered to be "day zero" and does not count as one of the seven (7) working days.)

2. Subcontracting Opportunity Scope of Work:

3. Required Qualifications: - Not Applicable

4. Bonding/Insurance Requirements: - Not Applicable

5. Location to review plans/specifications: - Not Applicable

APPENDIX F – STATE AUDITOR’S OFFICE DELEGATION RESPONSE
TEXAS STATE TECHNICAL COLLEGE
RFQ for Financial Audit Services
RFQ-18-EW-002

NOTE TO RESPONDENTS: As an agency of the State of Texas, TSTC is required to obtain approval from the State Auditor’s Office in order to delegate a private independent auditor. The following pages contain the delegation letter from the State Auditor’s Office. The delegation is approved subject to the requirements stated in Attachment A. Proposer should agree and include this language in the Engagement Letter. Please sign below to acknowledge agreement and receipt of the State Auditor’s Office Delegation Letter and stated requirements.

_____		_____	
<i>(Respondent’s Name)</i>		<i>(Title)</i>	

<i>(Street Address)</i>	<i>(City, State, Zip Code)</i>	<i>(Telephone Number)</i>	
_____		_____	
<i>(Authorized Signature)</i>		<i>(Date)</i>	



Appendix F - State Auditor's Office Delegation Response
Texas State Technical College
RFQ for Financial Audit Services
RFQ-18-EW-002

March 30, 2018

Mr. Jason Mallory, Director of Audits
Texas State Technical College System
3801 Campus Drive
Waco, TX 76705

Re: Audit Delegation Request 719-2018-001

Dear Mr. Mallory:

In accordance with Texas Government Code, Section 321.020, and subject to the conditions listed in Attachment A, the State Auditor's Office delegates to the Texas State Technical College System (System) the authority to employ a private auditor to conduct an audit of the System's financial statements for fiscal year 2018 and federal compliance as required by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) during the re-accreditation process, as described in your online request.

If you have any questions, please contact James Timberlake, Audit Manager, or me at (512) 936-9500.

Sincerely,

Verma L. Elliott, CPA, CIA, CGAP, MBA
Assistant State Auditor

Attachment

Robert E. Johnson Building
1501 N. Congress Avenue
Austin, Texas 78701

P.O. Box 12067
Austin, Texas 78711-2067

Phone:
(512) 936-9500

Fax:
(512) 936-9400

Internet:
www.sao.texas.gov

Attachment A

This delegation of authority is subject to the following:

1. The System will provide the State Auditor's Office with advance notice of key meetings in a timely manner. Examples of key meetings include entrance and exit conferences, meetings regarding internal control assessments, and status meetings. State Auditor's Office representatives may attend key meetings related to any audit engagement the System enters into under this delegation of authority.
2. The System will notify the State Auditor's Office if an amendment to the contract significantly alters any contract terms, including, but not limited to, the scope of work to be performed and the term of the contract.
3. The System will comply with applicable law, policies, and procedures in the procurement of audit services, the expenditure of funds under the contract, and all other aspects of forming and administering the contract with the private auditor.
4. The System will ensure that the State Auditor's Office promptly receives a copy of any report resulting from a peer review of the private auditor that is received by the private auditor after entering into the contract with the System.
5. Any contracts entered into under this delegation of authority will include the following language:
 - a) The Contractor understands that acceptance of state funds under this contract acts as acceptance of the authority of the State Auditor's Office to conduct an audit or investigation in connection with those funds. The Contractor further agrees to cooperate fully with the State Auditor's Office in the conduct of the audit or investigation, including providing all records requested. The Contractor will ensure that this clause concerning the State Auditor's Office's authority to audit state funds and the requirement to cooperate fully with the State Auditor's Office is included in any subcontracts it awards. Additionally, the State Auditor's Office shall at any time have access to and the rights to examine, audit, excerpt, and transcribe any pertinent books, documents, audit documentation, and records of the Contractor relating to this contract for any purpose.
 - b) The Contractor understands that the State Auditor's Office may opt to rely on the work of the Contractor to support the State Auditor's Office's opinion on the Comprehensive Annual Financial Report for the State of Texas, and the Contractor agrees to cooperate with the State Auditor's Office in a joint effort to comply with American Institute of Certified Public Accountants standard AU-C 600, *Special Considerations—Audits of Group Financial Statements (Including the Work of Component Auditors)*. The Contractor agrees that the State Auditor's Office is serving in the capacity of the group engagement auditor. As a component auditor, the Contractor agrees to provide to the State Auditor's Office information necessary to facilitate determinations regarding the Contractor's understanding and compliance with ethical requirements and professional competence.

6. If the State Auditor's Office determines that it cannot rely on the Contractor's work to support the State Auditor's Office's opinion on the Comprehensive Annual Financial Report for the State of Texas for any reason, including a lack of cooperation in complying with AU-C 600, it may be necessary for the State Auditor's Office to perform additional work at the System and to be reimbursed by the System in accordance with Article X of the State's General Appropriations Act and the Interagency Cooperation Act (Texas Government Code, Chapter 771). Related questions may be directed to Michael Clayton, Audit Manager, at (512) 936-9500.
7. If the terms of the agreement with the private auditor are set forth only in an engagement letter, the engagement letter will include the language quoted in #5 above.
8. A signed copy of the contract or contract amendment should be provided to the State Auditor's Office within two weeks of execution. For risk assessment purposes, the State Auditor's Office should have access to any draft audit reports and should be provided a copy of such reports upon request. Additionally, the System will provide the State Auditor's Office with copies of all final audit reports and other deliverables provided under the contract—including reports on internal controls and compliance, management letters, or reports to management—within two weeks of completion. You may submit the contract and audit reports electronically to auditdelegation@sao.texas.gov or submit hard copies to the attention of Audit Delegation. Please include the audit delegation request number 719-2018-001 with all submissions and related correspondence.
9. The System will promptly notify the State Auditor's Office if any deliverable that is subject to a financial reporting deadline established by the Comptroller of Public Accounts will not be completed by that deadline.