



JOLIET JUNIOR COLLEGE
—1901—

Audit Services
REQUEST FOR PROPOSAL
#R22005



JOLIET JUNIOR COLLEGE

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Joliet Junior College
Request for Proposal
Audit Services

RFP Opening March 4, 2022

Background

Joliet Junior College (JJC), the nation's first public community college is a comprehensive community college. The college offers pre-baccalaureate programs for students planning to transfer to a four-year university, occupational education leading directly to employment, adult education and literacy programs, work force and workplace development services, and support services to help students succeed. The College has a combined total of 11,411 full time and part time students enrolled in Spring 2022 classes and 1,377 staff on its main campus located within the city of Joliet, and its 5 extension campuses located in Romeoville, Morris, Frankfort, Weitendorf, and City Center in downtown Joliet.

JJC is the only public postsecondary institution within District 525 boundaries. JJC is located approximately 45 miles south of Chicago, the third largest city in the United States. Today, the 1,442-square mile district serves over 700,000 residents in Will, Grundy, Kendall, LaSalle, Kankakee, Livingston, and Cook counties. Multiple locations exist to serve residents throughout the district. The College consists of one (1) main campus (2) extended campuses, three (3) education centers, and multiple satellite locations throughout the district.

JJC has approximately 12,000 students per year enrolled in credit courses.

Vision Statement

Joliet Junior College is the first choice for learning, working and cultivating pathways to prosperity.

Mission Statement

Joliet Junior College inspires learning, strengthens communities and transforms lives.

OVERVIEW

The Board of Trustees of Joliet Junior College (hereinafter, "JJC") is requesting proposals from Providers for services relating to Audit Services.

Additional scope is discussed in the **SCOPE OF WORK** section of this proposal.



I. RFP SCHEDULE

Proposed Calendar	Event
February 7, 2022	Vendors contacted via email / advertised
February 17, 2022 @ 3 PM CST via MICROSOFT TEAMS Click here to join the meeting	Mandatory pre-proposal conference
February 18, 2022	Last date/time for submission of written questions through the ESM sourcing solutions tool under the Q and A section.
February 25, 2022	Responses to questions will be addressed through the ESM sourcing solutions tool under the Q and A section.
March 4, 2022 @ 2:00 PM CST	Proposals must be submitted electronically through the ESM Solutions electronic sourcing
March 4-11, 2022	JJC Evaluation Team reviews proposal
March 14 through March 16, 2022	Possible presentations by two top short-listed firms
April 13, 2022	Notification of Award

II. INSTRUCTIONS TO VENDORS

ADVICE: The department responsible for this RFP is the Business and Auxiliary Services located at Campus Center, Building A, Room 3100, 1215 Houbolt Rd., Joliet, IL 60431-8938. The JJC contact will be the Senior Director of Business and Auxiliary Services, telephone (815) 280-6640.

A MANDATORY PRE- PROPOSAL MEETING WILL BE HELD ON FEBRUARY 17, 2022, AT 3 PM CST VIA MICROSOFT TEAMS. [Click here to join the meeting](#) ALL PARTIES WHO INTEND TO RESPOND TO THIS RFP MUST ATTEND THE PRE-PROPOSAL MEETING. THE PURPOSE OF THIS MEETING IS FOR PROSPECTIVE RESPONDENTS TO ASK QUESTIONS REGARDING THE COLLEGE'S OPERATIONS.

After the pre-proposal meeting, additional questions concerning this RFP will be answered if sent through the ESM sourcing solutions tool, under the Q and A section for the solicitation on or before **February 18, 2022** before 2:00 p.m. CST.



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All questions and answers will be published on the ESM sourcing tool in the Q&A section by end of business day on **February 25, 2022**.

SUBMISSION: the submission of a response shall be prima facie evidence that the supplier has full knowledge of the scope, nature, quality of work to be performed, the detailed requirements of the project, and the conditions under which the work is to be performed.

Faxed and hard copy proposals ARE NOT acceptable. All RFPs must be submitted by the date and time of public opening (see above). All proposals must be submitted electronically through the ESM Solutions electronic sourcing site. Please note that all vendors will have to complete an on-line registration process prior to submitting your proposal.

A step-by-step [supplier registration guide](#) is posted to the college's website for your reference. [General supplier guides](#) are also available on the ESM website. If you have any questions during the registration process, contact ESM Solutions Customer Support (877) 969-7246 Option 3.

Registration Link:

<https://supplier.esmsolutions.com/registration#/registration/contactInformation/>

General Supplier Guide (ESM Documents): <https://support.esmsolutions.com/hc/en-us/sections/115000917048-Supplier-Guides>

Supplier Registration Guide (JJC Document):

<https://www.jjc.edu/sites/default/files/Purchasing/FY2019/Supplier%20Registration%20Screenshots%20Final.pdf>

Please note the electronic sourcing tool will allow you to attach supporting documentation.

RFPs not submitted in the format as instructed by this RFP will not be accepted.

RFPs received after the date and time specified shall be considered LATE, and shall not be opened.

Accuracy of Proposals / Withdrawal of Proposals prior to RFP Opening: Proposals will represent a true and correct statement and shall contain no cause for claim of omission or error. Proposals may be withdrawn in writing or by facsimile (provided that the facsimile is signed and dated by vendor's authorized representative) at any time prior to the opening hour. However, no proposal may be withdrawn for a period of one hundred twenty (120) days subsequent to the opening of the RFP without the prior written approval of the Senior Director of Business and Auxiliary Services or Joliet Junior College.

ADDENDA: The only method by which any requirement of this solicitation may be modified is by written addendum.

PROPOSAL DUE DATE: The proposal must be received through the ESM sourcing solution on or before **March 4, 2022 at 2:00 PM CST**.



INSURANCE:

The supplier performing services for JJC shall:

Maintain worker's compensation insurance as required by Illinois statutes, for all employees engaged in the work.

Maintain commercial liability, bodily injury and property damage insurance against any claim(s), which might occur in carrying out the services, referenced in this RFP. Minimum coverage will be TWO MILLION DOLLARS (\$2,000,000) liability for bodily injury and property damage including product liability and completed operations.

Provide motor vehicle insurance for all owned, non-owned and hired vehicles that are used in carrying out the services described in this RFP. Minimum coverage shall be TWO MILLION DOLLARS (\$2,000,000) per occurrence combined single limit for automobile liability and property damage.

TAXES:

JJC is exempt from all federal excise, state and local taxes unless otherwise stated in this document. In the event taxes are imposed on the services purchased, JJC will not be responsible for payment of the taxes. The supplier shall absorb the taxes entirely. Upon request, JJC's Tax Exemption Certificate will be furnished.

INDEMNIFICATION:

The supplier shall protect, indemnify and hold JJC harmless against any liability claims and costs of whatsoever kind and nature for injury to or death of any person or persons and for loss or damage to any property occurring in connection with or in any incident to or arising out of occupancy, use, service, operations or performance of work in connection with the contract, resulting in whole or in part from the negligent acts, falsification of information, or omissions of the supplier.

In the event the supplier breaches its Business Enterprise Program (BEP) obligation as described within the State of Illinois' Business Enterprise for Minorities, Females, and Persons with Disabilities Act (30 ILCS 575) and pledged within the supplier's submitted utilization plan, the supplier is required to pay liquidated damages to Joliet Junior College equal to 20% of the award amount for college-funded projects. For projects involving state or federal funds, the supplier is required to pay liquidated damages to Joliet Junior College equal to the full amount of the award amount.



DISCLOSURE:

Vendor shall note any and all relationships that might be a conflict of interest and include such information with the proposal.

TERM OF CONTRACT:

Any contract, which results from this RFP, shall be for a period of three (3) year(s) from the date of the contract award. Assuming continued availability of funding; JJC may, at its sole option and with the consent of the supplier renew the contract for up to an additional two (2) years.

BLACKOUT PERIOD:

After the College has advertised for proposals, no pre-proposal vendor shall contact any College officer(s) or employee(s) involved in the solicitation process, except for interpretation of specifications, clarification of proposal submission requirements or any information pertaining to preproposal conferences. Such vendors making such request shall email the Senior Director of Business and Auxiliary Services, at purchasing@jjc.edu No vendor shall visit or contact any College officers or an employee until after the proposal is awarded, except in those instances when site inspection is a prerequisite for the submission of a proposal. During the black-out period, any such visitation, solicitation or sales call by any representative of a prospective vendor in violation of this provision may cause the disqualification of such response

III. GENERAL TERMS AND CONDITIONS

Applicability: These general terms and conditions will be observed in preparing the proposal to be submitted.

Purchase: After execution of the contract, purchases will be put into effect by means of purchase orders or suitable contract documents executed by the Senior Director of Business and Auxiliary Services.

Right to Cancel: JJC may cancel contracts resulting from this RFP at any time for a breach of any contractual obligation by providing the contractor with thirty-calendar days written notice of such cancellation. Should JJC exercise its right to cancel, such cancellation shall become effective on the date as specified in the notice to cancel.

Governing Law and Venue: This contract shall be construed in and governed under and by the laws of the State of Illinois. Any actions or remedies pursued by either party shall be pursued in the State and Federal Courts of Will County, Illinois, only after Alternate Dispute resolution (ADR) has been exhausted.

Dispute Resolution: JJC and the contractor shall attempt to resolve any controversy or claim arising from any contractual matter by mediation. The parties will agree on a mediator and shall share in the mediation costs equally.



Costs: All costs directly or indirectly related to preparation of a response or oral presentation, if any, required to supplement and/or clarify a proposal shall be the sole responsibility of and shall be borne by the vendor.

Proprietary Information: Vendor should be aware that the contents of all submitted proposals are subject to public review and will be subject to the Illinois Freedom of Information Act. All information submitted with your proposal will be considered public information unless vendor identifies all proprietary information in the proposal by clearly marking on the top of each page so considered, "Proprietary Information." The Illinois Attorney General shall make a final determination of what constitutes proprietary information or trade secrets. While JJC will endeavor to maintain all submitted information deemed proprietary within JJC, JJC will not be liable for the release of such information.

Illinois Department of Human Rights Act

The parties to any contract (inclusive of subcontractors) resulting from this RFP hereto shall abide by the requirements of Executive Order 11246, 42 U.S.C. Section 2000d and the regulations thereto, as may be amended from time to time, the Illinois Human Rights Act, and the Rules and Regulations of the Illinois Department of Human Rights. Any vendor awarded a contract as a result of this RFP must comply with the Illinois Department of Human Rights Equal Opportunity Act/Rules Sections 750.5 and 5/2-105.

Sexual Harassment Policy

Pursuant to Section 50-80 of the Illinois Procurement Code, each bidder/respondent who submits a bid, proposal, or offer for a State of Illinois contract under this Code shall have a sexual harassment policy in accordance with paragraph (4) of subsection (A) of Section 2-105 of the Illinois Human Rights Act. A copy of the policy shall be provided to the college entering into the contract upon request.

Illinois Criminal Code of 1961

Responding vendors must not be barred from bidding on/responding to this or any other contract due to any violation of either Section 33E-3 or 33E-4 of Article 33E, Public Contracts, of the Illinois Criminal Code of 1961, as amended. This certification is required by Public Act 85-1295. This Act relates to interference with public contracting, bid rigging and rotating, kickbacks and bribery.

Business Enterprise Program (BEP):

Joliet Junior College will make every effort to use local business firms and contract with small, minority-owned, women-owned, and/or persons with a disability-owned businesses in the procurement process. This solicitation strives to meet the 30% aspirational goal established for businesses owned and controlled by minorities, females, and persons with disabilities in the College's procurement and contracting processes in accordance with the State of Illinois' Business Enterprise for Minorities, Females, and Persons with Disabilities Act [30 ILCS 575] as outlined below. Because these goals vary by business ownership status and category of procurement, we urge interested businesses to visit the Department of Central Management Services (CMS), [Business Enterprise Program \(BEP\)](#) web site to obtain additional details. To qualify, prime vendors or subcontractors must be certified by the CMS as BEP vendors prior to contract award. Go to



https://www2.illinois.gov/cms/business/sell2/bep/Pages/Vendor_Registration.aspx for complete requirements for BEP certification. BEP certified firms and firms utilizing subcontractors for the project shall submit a [utilization plan](#) and [letter of intent](#) that meets or exceeds the college's goal. If a vendor cannot meet the goal, documentation and explanation of good faith efforts to meet the specified goal may be required within the utilization plan.

Negotiation: JJC reserves the right to negotiate all elements, which comprise the vendor's proposal to ensure the best possible consideration, be afforded to all concerned. JJC further reserves the right to waive any and all minor irregularities in the proposal, waive any defect, and/or reject any and all proposals, and to seek new proposals when such an action would be deemed in the best interest of JJC.

Award: The successful vendor, as determined by JJC, shall be required to execute a contract for the furnishing of all services and other deliverables required for successful completion of the proposed project. The supplier may not assign, sell, or otherwise transfer its interest in the contract award or any part thereof without written permission from JJC.

Retention of Documentation: All proposal materials and supporting documentation that are submitted in response to this proposal becomes the permanent property of JJC.

Opening of Proposals: Proposals will be opened in a manner that avoids disclosure of the contents to competing vendors. Contents for proposals will remain confidential during the negotiations period. Only the proposal number and the identity of the vendor submitting the proposal response will be made available to the public.

IV. **FORMAT FOR RESPONSE**

To achieve a uniform review process and obtain the maximum degree of comparability, it is required that the proposal be organized in the format specified.

All proposals must be submitted via email through the ESM Solutions electronic sourcing site. Please note that all vendors will have to complete an on-line registration process prior to submitting your proposal. See item II above for more information.

a) Title Page

Show the RFP subject, the name of the vendor's firm, address, telephone number, name of contact person, and date.

b) Table of Contents

Clearly identify the materials by sections and page number(s).



c) Letter of Transmittal

Limit to one or two pages.

- a. Briefly state the vendor's understanding of the scope of services to be provided and make a commitment to provide the services within the time period.
- b. List the names of the persons who will be authorized to make representations for the vendor, their titles, address, and telephone numbers.

d) Profile of the Vendor

Indicate the number of people in the organization and their level of experience and qualification and the percentage of their time that will be dedicated to this process.

- a. Provide a list of the vendor's top five current and prior two-year clients indicating the type of services the organization has performed for each client.
- b. Submit independently audited financial statements (one copy only). Such information will be considered in strict confidence.
- c. Indicate any third-party firms involved with your program and state their role(s).
- d. Resumes of all firm members who would be handling the College audit, as well as descriptions of the type and number of educational audits (specifically community colleges) that have been performed by the proposed audit team.
- e. Describe any business, investment, or family relationship with College officials, or appointed employees.
- f. Provide the results of the most recent peer review of your firm.
- g. Information on what differentiates your firm from other firms.
- h. Provide contact information (name, phone number, and email address of at least three (3) references for projects of similar size and scope.

e) Scope Section

Clearly describe the scope of services to be provided based upon the information in the scope section. Respond to each item listed.

f) Responses to Addendum

g) Prices Responses

- a. Provide a maximum, "not-to-exceed" fee proposal inclusive of all expenses for each fiscal year, beginning with fiscal year 2022 and through fiscal year 2024. All out of pocket expenses shall be included in your annual audit fee.
- b. Describe the circumstances under which you would propose to change your fee and how you would communicate such potential changes to the College.



h) Invoicing Procedure

- a. Describe the firm's invoicing procedures.
- b. Include documentation identifying all of the vendor's fees.

i) Proposed Contract

Please submit a draft contract for the services being offered.

j) Certification of Contract/ Bidder

V. EVALUATION

In evaluating the proposals submitted, JJC will apply the "Best Value" standard in selecting the supplier to be awarded a contract for this project. Purchase price is not the only criteria that will be used in the evaluation process. Any award resulting from this RFP will be made to that vendor whose offer conforms to the RFP and it is determined to be the most advantageous, of "best value" to JJC, in the sole judgment of JJC. The selection process will include the following considerations through a weighted scoring system:

	DESCRIPTION	WEIGHT
1	The firm's ability to meet the minimum qualifications including relevant community college experience as described above.	15%
2	The firm's overall experience, reputation, past relationship with JJC (if any), expertise, stability and financial responsibility.	15%
3	The experience and qualifications of the staff that will be assigned to service JJC's account and the firm's ability to provide service in an expedient and efficient manner.	15%
4	Accessibility and ability to respond to the College's needs in a timely manner.	10%
5	Financial cost of the audit as compared with the other proposals.	10%
6	Responsiveness in clearly understanding the work to be performed and willingness to perform it.	10%
7	Commitment to diversity*	20%
8	Any other relevant factor that a private business entity would consider in selecting a supplier.	5%

*Commitment to diversity considerations may include:

- Business Enterprise Program (BEP) certification or utilization that meets or exceeds the college's 30% goal
- Assistance to BEP firms in obtaining lines of credit, insurance, equipment, supplies, or related services
- Percentage of prior year revenues for projects that incorporate the involvement of BEP firms
- Existence of a written supplier diversity plan or training/mentoring program for BEP firms
- Percentage of members serving the firm's governing board, senior executive, and managers who are women, minorities, or persons with a disability



VI. SCOPE OF WORK

Scope of Proposal

The audit report must include an examination of all funds/accounts of the College, as described in the June 30, 2021 audit report found on our website at <https://www.jjc.edu/about-jjc/college-leadership/administration/finance-administrative-services/financial-services>. The audit must include all state and federal compliance requirements as needed. The examination shall be made in accordance with auditing standards general accepted in the United States of America; the standards applicable to financial audits contained in Government Auditing Standards; and OMB circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, including the requirements of the Illinois Community College Board Fiscal Management Manual (available online at www.iccb.state.il.us).

A management letter shall also be included.

The audit report is due to the Illinois Community College Board by October 15 of each year and will be submitted to the Joliet Junior College Board of Trustees at its regularly scheduled September workshop meeting, (the Board workshop usually meets the fourth Tuesday evening of the month). It is expected that the audit partner or another representative of the firm will present the audit report at that meeting. A total of 40 copies of the Comprehensive Annual Financial Report will be delivered to the College at the beginning of October each year. In addition, one electronic version of the Comprehensive Annual Financial Report will be supplied to the College.

Minimum Qualifications of the Audit Firm:

1. The firm must have experience in auditing Illinois governmental entities, with a strong preference for firms with Illinois public community college experience.
2. The firm must have experience in performing A-133 audits.
3. The firm must employ sufficient numbers of professional audit staff to perform the audit in a timely manner.
4. The firm must be licensed to practice public accounting in Illinois.
5. No firm shall be qualified for consideration if a former employee or partner of the accounting firm submitting such RFP has been employed by Joliet Junior College for two years or less immediately prior to the submission of the RFP and such accounting firm has performed auditing services for Joliet Junior College.

Requirements of Successful Audit Firm

All working papers and reports shall meet the minimum legal retention requirements and such papers shall be made available to the College and its grantors without charge.



College Responsibilities

College staff will complete its audit preparations in time for fieldwork to begin as early as the second week of August. Preliminary fieldwork may be conducted at any time.

College staff will prepare appropriate work papers, schedules and analyses and obtain documents as requested by the auditors.

College staff will prepare confirmation letters, representation letters and miscellaneous correspondence as requested by the auditors.

College staff will prepare a draft of the audit report, in consultation with the auditors, using Microsoft Word and Excel software.

The college will provide the auditors with an appropriate workspace in which to conduct the audit.

VII. SUPPLEMENTAL QUESTIONS

If the proposed product/service involves the usage, storage, or transmission of Joliet Junior College's stakeholder data, please respond to the following:

- a) Describe your organizations approach to the management of information security and to securely managing client information.
- b) Does your organization have an information security management policy?
- c) How do you safeguard client information at your organization?
- d) Does your organization have a comprehensive risk management structure for the management of client information?
- e) Do you utilize an independent third party to conduct annual information security penetration tests of your IT systems?
- f) List the type of documented information security policies that your firm has in place.
- g) Has your organization implemented any ISO27001 (or similar) principles or requirements?
- h) Has your organization experienced any information security breaches, ransomware, phishing, or malware incidents?

VIII. QUANTITY

There is no guaranteed amount of services intended either expressly or implied, to be purchased or, contracted for by JJC. However, the supplier awarded the contract shall furnish all required services to JJC at the stated price, when and if required.

IX. PROPOSED PRICING

The vendor should furnish a list of proposed prices for all services and materials to be used during the term of the contract. The list of proposed prices should be structured to allow for the calculation of unit cost analyses. The prices included herein are to be firm through the contract term, unless noted otherwise by the vendor.



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CERTIFICATION OF CONTRACT/BIDDER

The below signed contractor/bidder hereby certifies that it is not barred from bidding on or responding to this or any other contract due to any violation of either Section 33E-3 or 33E-4 of Article 33E, Public Contracts, of the Illinois Criminal Code of 1961, as amended. This certification is required by Public Act 85-1295. This Act relates to interference with public contracting, bid rigging and rotating, kickbacks and bribery.

SIGNATURE OF CONTRACTOR/BIDDER

TITLE

DATE

THIS FORM **MUST** BE ATTACHED WITH YOUR PROPOSAL