

# REQUEST FOR PROPOSALS

**Triennial Performance Audit Services**  
**SRTA Solicitation Number: S-00008**

**Issued:** 08/11/2021

**Performance Period:** Ends June 30, 2022 (with an option for the fiscal years 2021/22, 2022/23, and 2023/24, ending June 30, 2025)

**Payment Method:** Not to Exceed Price. SRTA will reimburse with progress payments based on percentage of work complete on deliverables.

**Submissions Due:** 3:00 p.m. PDT on Wednesday, September 1, 2021

Interested applicants must [subscribe](#) to SRTA's bid posting webpage to receive notices when information and possible RFP addenda become available.

**Shasta Regional Transportation Agency**  
**1255 East Street, Suite 202**  
**Redding, CA 96001**  
**(530) 262-6190**



## 2021 SRTA Board Members and Agency Partners

### Board Members

Greg Watkins, Chair  
Baron Browning, Vice Chair  
Joe Chimenti  
Mark Mezzano  
Leonard Moty  
Mary Rickert  
Kristen Schreder

### Affiliation

City of Shasta Lake  
City of Anderson  
County of Shasta, District 1  
City of Redding and Redding Area Bus Authority  
County of Shasta, District 2  
County of Shasta, District 3  
City of Redding

### Agency Partners

Caltrans, District 2  
City of Anderson  
City of Redding  
City of Shasta Lake  
County of Shasta  
Redding Area Bus Authority (RABA)  
Dignity Health Connected Living (DHCL)  
Healthy Shasta  
North State Super Region (NSSR)  
Pit River Tribe  
Redding Rancheria (Yana, Wintu, Pit River)

## Introduction

Shasta Regional Transportation Agency (SRTA) is the designated Metropolitan Planning Organization (MPO) for the Shasta County region. Member agencies are the cities of Anderson, Redding, and Shasta Lake, the county of Shasta and the Redding Area Bus Authority (RABA). Information regarding SRTA, regional plans and programs, and this procurement are available online at [www.srta.ca.gov](http://www.srta.ca.gov).

SRTA seeks proposals from qualified consultants for the triennial performance audits of SRTA and the Redding Area Bus Authority (RABA) for fiscal years 2018/19, 2019/20, and 2020/21, with an option to extend the contract to perform a triennial audit for the fiscal years 2021/22, 2022/23, and 2023/24.

The previous audit contract for the triennial performance audits for both SRTA and RABA for the past three-year period totaled \$23,497.

## Background

Audit requirements can be found in the 2018 Transportation Development Act (TDA) Statutes and California Code of Regulations, and are available online: [Transportation Development Act \(TDA\) Statutes and California Code of Regulations](#)

A copy of the prior performance audits for SRTA and RABA are located on the SRTA website using the following links:

SRTA Performance audit: [SRTA's Triennial Audit 2018](#)

RABA Performance audit: [RABA's Triennial Audit 2018](#)

The SRTA and RABA performance audits are conducted every three years. The audits include a review of performance measures that verify effectiveness and efficiency of the transportation planning agency and transit operators.

Audits shall be in accordance and compliance with:

- The Performance Guidebook for Transit Operators and Regional Transportation Planning Entities
- The California Public Utilities Code
- All applicable [SRTA](#) and [RABA](#) policies and procedures

## Project Scope of Work

SRTA is seeking a qualified consultant to perform the triennial performance audits of SRTA and Redding Area Bus Authority (RABA) for fiscal years 2018/19, 2019/20, and 2020/21, with an option to extend the contract for the fiscal years 2021/22, 2022/23, and 2023/24.

Submitted proposals must include the tasks outlined below.

The audit for each agency should include general information, a compliance matrix (as found in the prior audit), current year and prior year findings, recommendations, and conclusions.

## **Review of SRTA Functions**

The functional review should include various responsibilities of SRTA such as:

- Administration and management
- Transportation planning and regional coordination
- Claimant relationship and oversight
- Public relations
- Grant applications and grant management

## **Review of RABA Functions**

The major elements in conducting the performance audit should be, but are not limited to the following:

- Review of compliance requirements
- Follow-up review of prior performance audit recommendations
- Internal review of transit operator functions
- Verification and use of performance indicators
- Detailed review of transit operator functions
- Preparation of a draft and final audit report

The auditor will be responsible for the preparation and typing of the audits.

## **Deliverables**

- Conduct performance audit of SRTA for submittal to the state by March 31, 2022
- Conduct performance audit of RABA for submittal to the state by June 30, 2022
- Retain audit workpapers for no less than three years from the date of the audit report
- The consultant shall provide the following number of hard copy documents and electronic copies of all deliverables in SRTA-approved formats for editing and posting on the agency website:
  - Provide three printed and bound copies of each report
  - One electronic copy of each report in the PDF/A format

## **Options**

An option to extend the contract for the fiscal years 2021/22, 2022/23, and 2023/24 upon mutual written agreement between the Consultant and SRTA. Mutual agreement must be reached 60 days prior to the expiration of the Contract.

## **Timeline**

SRTA will provide audit work papers by November 15 of final audit year. The Consultant will provide a draft audit to SRTA by February 14, with a Fiscal Committee presentation in April. RABA will provide audit work papers by January 31. RABA will receive a draft audit by March 15, with a Board of Directors presentation in April.

## Proposal Contents

Written proposals shall not exceed 35 pages (including attachments). At a minimum, the following information should be included and clearly labeled:

1. Transmittal letter--signed by an officer who may contractually bind the business, with a description of the firm containing the firm name, firm address, firm's status as a DBE or non-DBE, age of the firm, NAICS code, and annual gross receipts (may be a range). The proposal shall be a firm offer through November 15, 2021, and contain a statement to that effect. The proposal shall contain a statement that all activities performed within the proposed scope of work will be performed at a not-to-exceed price.
2. Statement of understanding of the scope of work.
  - Discussion of a technical approach and management approach.
3. List of the personnel on the project team, including a summary of their qualifications and work experience (resumes may be included as an attachment). This includes sub-consultants proposed for use.
4. Representative list of similar projects completed within the last five years including: project description and services provided, budget and schedule performance, and contact information for the client reference.
5. Work plan and schedule to complete the project scope of work identifying milestones and deliverables.
6. Cost proposal worksheet, including: fee schedule on a time (by personnel) and materials basis; cost by task; and total cost to complete the project. The cost proposal shall be fully inclusive of all services, overhead, and direct expenses.
7. How the respondent heard of the procurement.

## RFP Questions, Contact Person, and Schedule

### Questions

Questions concerning this RFP will be responded to collectively and made available for interested applicants via the SRTA website. All email inquiries must be submitted no later than 3:00 p.m. PDT on Wednesday, August 18, 2021, to the below contact person. **Questions taken from prospective vendors, and responded to by SRTA staff, will be reported on SRTA's bid posting webpage.** All responses to questions will be posted on the [SRTA website](#) no later than Wednesday, August 25, 2021. Interested applicants must subscribe to SRTA's bid posting webpage at <http://www.srta.ca.gov/bids.aspx> so that they are notified of any addenda to the RFP, or for responses to questions received.

### Contact Person

Jessica Carlson, Chief Fiscal Officer  
[srta@srta.ca.gov](mailto:srta@srta.ca.gov)

**Schedule**

The RFP schedule follows.

Tasks	Deadline
Release RFP	08/11/2021
Interested Vendor Questions Due	3:00 p.m. PDT, 08/18/2021
SRTA Response to Vendor Questions	No later than 08/25/2021
Vendor Proposals Due	3:00 p.m. 09/01/2021 (no postmarks accepted)
Evaluation and Ranking of Proposals	09/03/2021
Interviews (if necessary)	09/06/2021 – 09/10/2021
Consultant-SRTA Contract, including Budget and Scope of Work	09/13/2021 – 09/17/2021
SRTA Executive Director Approval	09/17/2021
Contract Start	09/20/2021

**Proposal Evaluation**

A panel will be formed to evaluate the proposals and make a recommendation in consultation with the executive director, which may go to the SRTA Board of Directors for approval. The proposal evaluation will be based on the scoring criteria presented in Figure 2. In unusual circumstances where a recommendation cannot be made based on the proposals alone, the highest ranked consultants may be invited to an interview. Should interviews be held, SRTA will provide a list of questions and evaluation criteria before the interviews. Presentations will be allowed, with a specified time limit.

**Figure 2 – Proposal Scoring Criteria**

Criteria	Scoring Weight
<p><b>Technical Capacity and Approach</b></p> <ul style="list-style-type: none"> <li>• Thoroughness of proposal and meeting the RFP project scope of work and the project’s overarching objectives</li> <li>• Understanding of project</li> <li>• Work plan and schedule</li> <li>• Technical approach and methodology</li> <li>• Prior experience</li> <li>• Any appropriate project enhancements</li> </ul>	45
<b>Project Management</b>	25

<ul style="list-style-type: none"> <li>• Qualifications and similar experience of the consulting firm and project team</li> <li>• References</li> </ul>	
<b>Value</b> <ul style="list-style-type: none"> <li>• Hourly fee schedule</li> <li>• Value provided for proposed fee</li> </ul>	25
<b>Disadvantaged Business Enterprise (DBE)</b>	5
<b>TOTAL POINTS</b>	<b>100</b>

**Contract Amount and Award**

The anticipated start date is 09/20/2021, with a June 30, 2022 contract expiration, before options are exercised. Consultant selection will be based on a combination funding availability and the value of the services to be provided.

Barring any delays (i.e., the need for a budget amendment, extension of the RFP response date, etc.), the SRTA Executive Director will consider the proposed technical services agreement for approval by 09/17/2021. The agreement is not in force until approved by the SRTA Executive Director and written authorization to proceed is provided to the selected consultant.

**Standard Consulting Agreement**

SRTA’s standard Technical Services Agreement (TSA) will be used for the agreement between SRTA and the selected consultant. SRTA’s TSA template can be found [here](#).

**Protest Procedure**

This protest procedure constitutes the sole administrative remedy available to consulting firms under this procurement.

Protest policies and procedures are located at the SRTA website using the following link: [05-Protest-Procedures-for-Procurements \(ca.gov\)](#)

**Debriefing**

SRTA will provide an informal debriefing to interested consultants not selected for this contract, once a final contract has been negotiated and executed.

**Proposal Submittal**

Please submit consultant proposals to:

**Shasta Regional Transportation Agency**  
**Attn: Jessica Carlson**  
**1255 East Street, Suite 202**  
**Redding, CA 96001**  
[srta@srta.ca.gov](mailto:srta@srta.ca.gov)

Submittals must be received at the SRTA office before **3:00 p.m. PDT on 09/01/2021**. No proposals will be accepted after this time. **Postmarks are not acceptable**. Consultants may forward their proposal by email or by mail, or delivery service. Proposal receipt will be acknowledged by email.

The cost of preparing and submitting a proposal, pre-contract meetings, and participating in an interview—if held—are at the sole expense of the proposer. SRTA reserves the right to reject any or all proposals, and to waive any informality, technical defect, or clerical error in any proposal at SRTA's discretion. Solicitation of proposals in no way obligates SRTA to contract with any firm or individual. The decision to approve and award a contract is at the discretion of SRTA.

**Qualified audit firms are encouraged to review and respond to SRTA's separate request for proposals for the fiscal and compliance audits for the year ending June 30, 2021. All proposals are due by September 1, 2021.**

### **Additional Information and Terms**

Public Records Act: All proposals submitted in response to the RFP will become the exclusive property of SRTA. At such time as a contract is executed, all bids and proposals related to that contract become a matter of public record and will be regarded as public records and subject to the Public Records Act (Gov. Code Section 6254 et. seq.).

If consultant feels that any information in their proposal is "proprietary" in nature, then consultant must provide a second proposal (clearly labeled) with that information removed, which would be shared in the event of any Public Records Act request. Otherwise, their submitted proposal will be provided in the event of a Public Records Act request and consultant, by submitting a proposal to this RFP, waives any claims against and hold SRTA harmless for the release of their proposal.

In the event of litigation concerning the disclosure of any records, SRTA's sole involvement will be as a stakeholder, retaining the records until otherwise ordered by a court. The proposer, at its sole expense and risk, shall be fully responsible for any, and all, fees for prosecuting or defending any action concerning the records and shall indemnify and hold SRTA harmless from all costs and expenses, including attorney's fees, in connection with, any such action.

Modification or Withdrawal of Proposal: Any proposal received prior to the deadline may be withdrawn or modified either personally, through e-mail, or by written request of the

consultant. To be considered, the modification must be received in writing (email acceptable) prior to the deadline. Proposals may be withdrawn following the proposal deadline for good cause; please consult with the RFP contact person to discuss this.

RFP Addendum or Addenda: Any changes to the RFP will be made by written addenda issued by SRTA, and shall be considered part of the RFP. The RFP deadline may be extended dependent upon the nature of the changes issued. Upon issuance, such addenda shall be incorporated into the agreement documents, and shall prevail over inconsistent provisions of earlier issued documentation. Any addenda will be posted on-line only. It will be the consultant's responsibility to assure that all addenda are incorporated into the proposal as required according to all the terms and conditions for submittal of the proposal. In no event will SRTA modify the RFP with less than five (5) days remaining to the deadline, without extending the RFP deadline.

Verbal Agreement or Conversation: No prior, current, or post-award verbal conversations or agreement(s) with any officer, agent, or employee of SRTA shall affect or modify any terms or obligations of this RFP, or any contract resulting from this procurement.

Special Funding Considerations: Any contract resulting from this RFP will be financed with funds available to SRTA. The contract for this service is contingent upon the provision of these funds to SRTA. In the event these funds are reduced or eliminated, SRTA reserves the right to terminate or revise any contract.

DBE Requirement: SRTA has determined that disadvantaged business enterprises, as defined in 49 CFR Part 26, will have the opportunity to compete fairly for contracts financed, in whole or in part, with federal funds. For this procurement, SRTA has a disadvantaged business enterprise (DBE) goal of 17.6%. SRTA encourages respondents to include the participation of DBE businesses within your proposal.

Equal Employment Opportunity/Affirmative Action: In awarding a contract to a consultant, SRTA includes language within the contract which requires the consultant to certify their compliance with federal regulations.