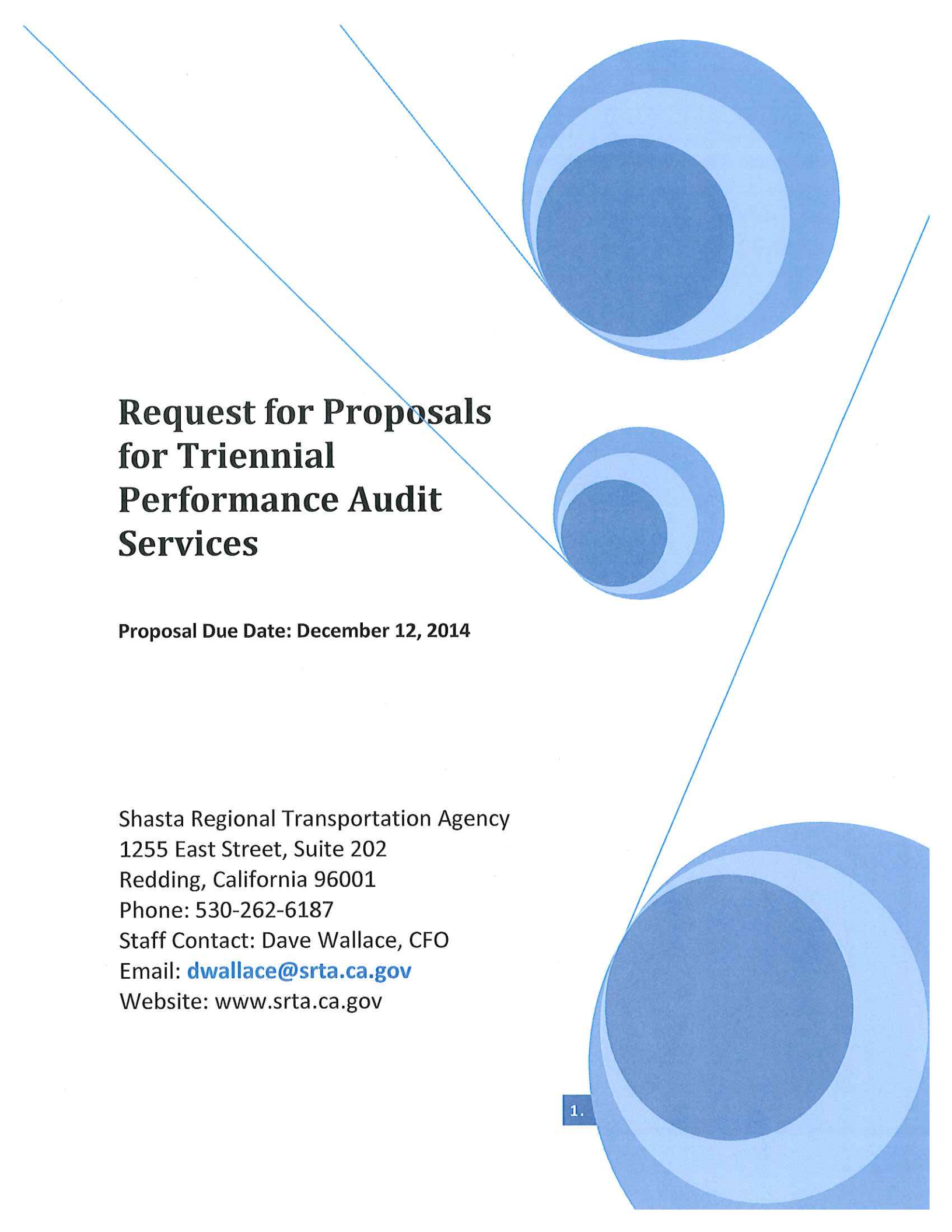


A decorative graphic on the right side of the page features three concentric blue circles of varying sizes. Two thin blue lines intersect at the center of the circles, forming an 'X' shape that extends towards the top-left and bottom-right corners of the page. The circles are positioned in the upper right, middle right, and lower right areas.

Request for Proposals for Triennial Performance Audit Services

Proposal Due Date: December 12, 2014

Shasta Regional Transportation Agency
1255 East Street, Suite 202
Redding, California 96001
Phone: 530-262-6187
Staff Contact: Dave Wallace, CFO
Email: dwallace@srta.ca.gov
Website: www.srta.ca.gov

1.1 PROJECT BACKGROUND

The Shasta Regional Transportation Agency (SRTA) is the designated Metropolitan Planning Organization for Shasta County. SRTA is responsible for area-wide transportation programming and planning. SRTA administers federal and state funds for transportation planning and public transportation, including local Transportation Development Act (TDA) funds.

SRTA is seeking proposals from qualified consulting firms for the triennial performance audits of SRTA and Redding Area Bus Authority (RABA) for fiscal years 2012/13, 2013/14 and 2014/15.

The previous audit contract for the triennial performance audits for both SRTA and RABA for the past three- year period totaled \$9,000.

1.2 SCOPE OF WORK

The Performance Audit guidebook is available on the California Department of Transportation – Division of Mass Transportation website: <http://www.dot.ca.gov/hq/MassTrans/State-TDA.html>

A copy of the prior performance audit is located at the SRTA website using the following links:

Performance audit: [http://www.sрта.ca.gov/pastel/Performance Audit 2010 2011 2012.pdf](http://www.sрта.ca.gov/pastel/Performance%20Audit%202010%202011%202012.pdf)

PERFORMANCE AUDIT REQUIREMENTS

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.

The audit for each agency should include general information, a compliance matrix (Exhibit B), 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 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

AUDITING STANDARDS

Audits are in accordance and compliance with:

- Performance Guidebook for Transit Operators and Regional Transportation Planning Entities
- California Public Utilities Code
- SRTA policies and procedures

AUDIT TIMELINE AND FINAL STATEMENTS

SRTA and RABA will provide audit work papers by August 15 of each year. SRTA will receive draft audits by September 30, with a SRTA Board of Director presentation in mid-October of each year.

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

1.3 DELIVERABLES

- Conduct performance audit of SRTA for submittal to the state by December 31 of each year
- Conduct performance audit of RABA for submittal to the state by December 31 of each year
- Provide twelve printed and bound copies of each report, including one report in PDF format
- Retain audit workpapers for no less than three years from the date of the audit report

2. PREPARING AND SUBMITTING A PROPOSAL

2.1 CONTENT

A complete and responsive proposal will include the following elements:

1) Technical Capacity and Approach

- Statement of understanding of the scope of work
- Qualifications and summary of work experience
- Proposed approach and methodology
- Detailed work plan and schedule

2) Project Management

- Proposed project team, including title/role of each individual
- Resumes of staff assigned to the project
- Past/present client references, including respective contact information

3) Project Budget

- Hourly fee schedule by personnel/position and direct expenses, as applicable

2.2 SUBMITTAL INSTRUCTIONS

SRTA invites interested firms to submit the following:

- An original hardcopy proposal with cover letter signed by an authorized individual
- Two copies for distribution to the proposal review committee

Deadline to submit proposal: 4:30 p.m., Friday, December 12, 2014

Mailing address:

Shasta Regional Transportation Agency
Attn: Dave Wallace, CFO
1255 East Street, Suite 202
Redding, CA 96001

2.3 PROJECT BUDGET

This is a competitive procurement process with the intent to solicit fair, impartial and competitive bids.

2.4 TERMS AND CONDITIONS

- All proposals become the property of SRTA and its official records.
- The cost of preparing and submitting a proposal and participating in an interview are at the sole expense of the proposer.
- If applicable, the consultant firm is responsible for submitting certification of Disadvantaged Business Enterprise (DBE) status for itself and any subcontractors.
- Solicitation of proposals in no way obligates SRTA to contract with any consulting firm. SRTA reserves the right to reject any or all proposals and to waive any informality, technical defect or clerical error in any proposal. The final selection of a consulting firm and decision to award a contract is at the sole discretion of SRTA.
- In addition to an engagement letter, the selected consulting firm is required to enter a technical services agreement (TSA). Any engagement letter will be referenced and included in the TSA.
- Proposals received prior to the deadline may be withdrawn or modified at the request of the consulting firm. SRTA must receive modified written proposals prior to the deadline.
- SRTA will email revisions to the RFP as an addendum to interested proposers. SRTA will publish addendums, questions, answers and other pertinent information on the SRTA website: www.srta.ca.gov.
- SRTA reserves the right to cancel or to reissue the RFP prior to execution of a contract.
- Public Records Act: All proposals submitted in response to the RFP will become the exclusive property of SRTA. At such time, the SRTA executive director recommends a proposal to the board of directors and such recommendation appears on the board agenda, all proposals submitted in response to the RFP shall become a matter of public record. If there are any trade or proprietary secrets included by the consultant, the consultant may provide a different copy of the proposal that would be acceptable to release to the public. If an alternate document is not made available to SRTA by the consultant, then the original proposal, as submitted, will be released as requested. Proprietary information can include secret formulas, processes, and methods used in production. It can also include a company's business and marketing plans, salary structure, customer lists, contracts, and details of its computer systems. In some cases, the special knowledge and skills that an employee has learned on the job are considered a company's proprietary information.
- 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.

3. EVALUATION AND CONTRACT AWARD

3.1 EVALUATION PROCEDURE

A proposal review committee designated by SRTA will evaluate and rank the proposals. Scoring is in accordance to requirements stated herein, including any subsequent addenda. Ranking of proposals is on the collective sum of the review committee, not a cumulative point total.

To assist firms in preparing a competitive proposal, SRTA has provided evaluation criteria.

3.2 EVALUATION CRITERIA AND SCORING

The evaluation and scoring process will assign the following points to the proposal:

Component	Total Points
Technical Capacity and Approach • Understanding of project • Work plan and schedule • Technical approach and methodology • Prior experience • Any appropriate project enhancements	50
Project Management • Proposed project manager and team • References	25
Value • Hourly fee schedule • Value provided for proposed fee	25
TOTAL POINTS	100

3.3 ORAL PRESENTATIONS

SRTA does not anticipate oral presentations by proposers.

3.4 CONTRACT AWARD

Each proposer will receive notification of the evaluation results. There may be a pre-award conference with the top-rated consultant to clarify or otherwise address any details. The final approval of the selected consultant and contract agreement will be at the next SRTA board meeting.

3.5 PROTEST PROCEDURE

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

All protests must be in writing within five (5) business days from the results notification. Send protests signed by the protesting party or an authorized agent to the SRTA executive director. Include a description of the relief or corrective action in the protest. The protest should stipulate an issue of fact concerning the following points:

- A matter of bias, discrimination, or conflict of interest on the part of an evaluator(s);
- Errors in computing the score; and/or
- Non-compliance with procedures described in this RFP or SRTA's established policies.

SRTA will only consider protests based on the above. SRTA will reject protests without merit if they address issues such as: 1) an evaluator's professional judgment on the quality of a proposal; or 2) SRTA's assessment of its own and/or other agencies needs or requirements. SRTA will review and respond to protests in timely manner. The SRTA Board of Directors will receive appeals up to a minimum of ten (10) days in advance of the board's action to approve the consulting firm selection.

Qualified audit firms are encouraged to review and respond to SRTA's separate request for proposals for the fiscal and compliance audits for the years ending June 30, 2015, 2016 and 2017.