



**TRAVIS CENTRAL APPRAISAL DISTRICT  
2020-22: REQUEST FOR PROPOSAL  
PROFESSIONAL AUDIT SERVICES**

**PROPOSAL DUE DATE: Tuesday, January 5, 2021 at 2:00 p.m. (CST)**

ISSUED BY: TRAVIS CENTRAL APPRAISAL DISTRICT- FINANCE DEPARTMENT

## Travis Central Appraisal District is accepting qualification statements for the following project:

The Travis Central Appraisal District is accepting sealed proposals from certified public accounting firms to provide professional audit services until 2:00 p.m. on January 5, 2021.

A copy of the RFP package in its entirety is available on the Travis Central Appraisal District website at <https://www.traviscad.org/reports-request/> under the Financial Reports tab.

Responses shall be mailed or hand delivered in a sealed envelope marked on the outside "2020-23: RFP for Audit Services- DO NOT OPEN" prior to 2:00 p.m. on Tuesday, January 5, 2021. All proposals received prior to the closing date and time will be opened and read publicly at 3:00 p.m. on Tuesday, January 5, 2021.

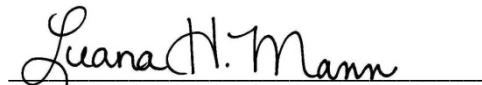
Responses can be mailed to:

Travis Central Appraisal District  
ATTN: Leana H. Mann, Director of Operations  
P.O. Box 149012  
Austin, Texas 78714-9012

Responses can be hand delivered to (NOTE: Due to COVID-19, TCAD is closed to the public. Please leave the package in the drop box in front of the building and follow-up with an e-mail to [Lmann@tcadcentral.org](mailto:Lmann@tcadcentral.org) as notice that you put your response in the drop box. Drop Box documents will be collected promptly at 2:00 p.m. on January 5, 2021):

Travis Central Appraisal District  
ATTN: Leana H. Mann, Director of Operations  
850 E. Anderson Lane  
Austin, TX 78752

TCAD reserves the right to reject any or all qualification statements and to waive technicalities or formalities, and to accept the response which the District determines to be most qualified. The District may determine no action, and reserves the right to do so. Qualification statements submitted after the deadline date will not be considered.



Leana H. Mann, CGFO  
Director of Operations  
Travis Central Appraisal District

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## Section 1: General Information & Requirements

### 1.1 General Information

Pursuant to the provisions of Chapter 252, Texas Local Government Code, the Travis Central Appraisal District is seeking certified public accounting firms to provide professional audit services ("Consultant"). The term of this contract is for a three year (3) period to include the audit services for fiscal years 2020, 2021 and 2022. The District has the option at the end of the initial term to renew the contract for one (1) additional three (3) year period.

This Request for Proposal (RFP) contains information and instructions to enable interested proposers to prepare and submit a proposal and describes the terms and conditions that the successful Consultant will be expected to accept as part of the performance of the Contract.

### 1.2 Public Information

All information, documentation, and other materials submitted in response to this solicitation 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. The District strictly complies with all statutes, court decisions, and opinions of the Texas Attorney General with respect to disclosure of RFP information.

### 1.3 Clarifications and Interpretations

Any clarifications or interpretations of this RFP that materially affect or change its requirements will be posted on the District's website at <https://www.traviscad.org/reports-request/> under the Financial Reports tab as an addendum. It is the responsibility of the respondents to obtain this information. All addenda issued by the District prior to the proposal due date are considered to be incorporated herein by reference. The deadline for the District to issue addenda statements is Wednesday, December 30, 2020. Interpretations or clarifications in any other form, including oral statements, will not be binding on the District and should not be relied on in preparing proposals. Award information will be issued by the Travis Central Appraisal District via e-mail directly to the qualified respondent. A courtesy e-mail will be sent to all other respondents who are not selected.

#### 1.4 Proposal Submission

All proposals must be received **at the address specified prior to the deadline**. The District will not consider any response to this solicitation that is not received at the address specified by the deadline.

**DEADLINE AND LOCATION:** The District will receive proposals up to the time and date at the location described below:

**Tuesday, January 5, 2021 at 2:00 p.m.**

Mail to:

Travis Central Appraisal District  
ATTN: Leana H. Mann, Director of Operations  
P.O. Box 149012  
Austin, TX 78714-9012

Hand Deliver to:

Travis Central Appraisal District  
ATTN: Leana H. Mann, Director of Operations  
850 E. Anderson Lane  
Austin, TX 78752

Responses shall be mailed or hand delivered in a sealed envelope marked on the outside **"2020-23: RFP for Professional Audit Services- DO NOT OPEN"**. A contact name, return address and e-mail address for the respondents contact person must be included. Respondents should submit three (3) identical copies of the qualifications.

#### 1.5 Point of Contact

The District designates the following person as its representative and point of contact for this RFP. Respondents shall restrict all contact with the District and direct all questions regarding this RFP, including questions regarding terms and conditions and technical specifications to the point-of-contact person:

Leana H. Mann, Director of Operations  
PO Box 149012  
Austin, TX 78714-9012  
(512) 834-9317 Ext. 405  
[Lmann@tcadcentral.org](mailto:Lmann@tcadcentral.org)

***All questions and requests for clarifications must be received by 2:00 p.m., Monday, December 28, 2020.***

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## 1.6 General Terms, Conditions & Requirements for Solicitations

This Request for Proposal shall be governed by the following documents unless an exception is otherwise taken within this Solicitation.

- Section 252 of the Texas Local Government Code (reference only)
- Travis Central Appraisal District Finance Policy (reference only)
- General Terms and Conditions (reference only)

The term of the initial contract will be for three (3) years, with the option to renew for one additional three (3) year period.

## 1.7 District's Reservation of Rights

The District reserves the right to divide the project into multiple parts, to reject any and all qualifications and re-solicit for new qualifications, or reject any and all submissions and temporarily or permanently abandon the Project. The District makes no representations, written or oral, that it will enter into any form of agreement with any respondent to this RFP for any project and no such representation is intended or should be construed by the issuance of this RFP.

## 1.8 Reimbursement of Cost

Respondents acknowledge and accept that any costs incurred from the respondent's participation in this RFP shall be at the sole risk and responsibility of the respondent.

## 1.9 Eligible Respondents

Only individuals, companies, or lawfully formed business organizations may apply. This does not preclude a respondent from using consultants. The District will contact only the individual firm or formal organization that submits a proposal.

## 1.10 Disclosure of Interested Parties

Respondent represents and warrants that if selected for award of a contract as a result of the Solicitation, Respondent will submit to Agency a Certificate of Interested Parties prior to contract execution in accordance with Section 2252.908 of the Texas Government Code.

## 1.11 Prohibition on Contracts with Companies Boycotting Israel

Respondents are advised that Texas Government Code, Section 2270.002 prohibits a governmental entity from entering into a contract with a company for goods or services unless the contract contains a written verification from the company that: (1) does not boycott Israel; and (2) will not boycott Israel during the term of the contract.

### 1.12 Lobbying Prohibition

Respondent represents and warrants that Agency's payments to Respondent and Respondent's receipt of appropriated or other funds under the contract are not prohibited by Sections 556.005 or 556.0055 of the Texas Government Code.



## Section 2: Summary Information

### 2.1 Historical Background

The Travis Central Appraisal District was created under the 66th Texas State Legislature in 1979 under the provisions of Senate Bill 621 known as the Property Tax Code. The District is responsible for the appraisal of property subject to ad valorem taxation in Travis County, Texas. The District is governed by a board of nine directors serving two year terms, plus a tenth statutorily designated non-voting member who is the County Tax Assessor-Collector. Travis County appoints two board members, Austin ISD appoints two board members, City of Austin appoints two board members, and Austin ISD and City of Austin appoint one board member together. The remaining two board members are appointed by a vote of the eastern and western taxing entities within Travis County.

The District was formed in 1981 and formally began operations in 1982, pursuing its mission to provide accurate appraisal of all property in Travis County at one hundred percent of market value, equally and uniformly, in a professional, ethical, economical and courteous manner, working to ensure that each taxpayer pays only their fair share of the property tax burden. As stipulated under the Texas Property Tax Code, the District serves the citizens and taxpayers of Travis County and the taxing entities which lie within Travis County.

### 2.2 Project Description and Scope

The District is seeking a qualified certified public accountant (CPA) or firm of CPAs to perform audit services. It is a precondition that the CPA or firm selected be licensed for public practice as a certified public accountant in the State of Texas and is a member of the Division for Firms of the American Institute of Certified Public Accountants, and are expert and qualified in governmental generally accepted accounting principles. Each proposer must submit a copy of the latest Peer Review Report or Quality Control Report for your firm. A cost per audit year must be provided with the submission.

The scope of the audit should include an examination of, and an auditor's opinion on the fair representation of its general purpose financial statements and/or other financial documents in conformity with generally accepted accounting principles, other applicable audit guidelines, Texas Property Tax Code, and TCAD's specific audit requirements. The audit will include an audit exit conference with the Director/Chief Appraiser of TCAD and the Board of Directors as well as the usual printed audit report and management letter. The accounting staff for the District will prepare schedules, reproduce documents and complete other such tasks as needed in order to complete the audit. The accounting records for the District are maintained using the MIP Fund Account System. TCAD currently has one major governmental fund, the general fund, and one legally adopted budget. The District has one component unit, the 850 EAL Holding Corp.

All proposals received prior to the due date and time will be presented to the Board of Directors for final determination at their regular meeting on January 7, 2021, or as soon thereafter as is practicable. The financial audit shall be completed in March, with the final audit report presented to the Board of Directors at their May 2021 board meeting. This schedule is subject to change.

The prior audit for the District was performed by Singleton, Clark & Company PC. Previous years comprehensive annual financial reports are available on the District's website. The selected firm shall designate a representative in charge of this project who will be available, knowledgeable, and authorized to execute binding agreements with TCAD.

**2.3 Project Schedule**

RFP Released	12/17/2020
RFP Clarification Request Deadline	12/28/2020
RFP Addenda Deadline	12/30/2020
RFP Submittal Deadline	1/5/2021
Responses Presented to Board of Directors	1/7/2021

Other project deadlines and schedule details will be discussed and outlined in the contract agreement.

**2.4 General Conditions**

All respondents shall agree to the following conditions:

- A. The original proposal and two (2) copies shall be delivered in a sealed envelope marked "2020-23: RFP for Professional Audit Services- DO NOT OPEN" on or before 2:00 p.m., Tuesday, January 5, 2021, to Leana H. Mann, Director of Operations for the Travis Central Appraisal District. Requests for extension of the closing date or time will not be granted. Only proposals with the required documentation will be considered. Proposals arriving late will not be considered. Proposers should allow sufficient mailing or transportation time to insure the timely receipt of the proposal.
- B. All proposals, attachments to, and/or documents submitted with a proposal must be signed by an individual who is authorized to act on behalf of the proposer.
- C. Any company or corporation conducting business with TCAD shall be on file with the Secretary of State of Texas and certified to do business in this state.
- D. Respondents agree by submissions of their proposal that they have reviewed the RFP documents and instructions and accept the requirements.
- E. Each proposal shall be prepared in a simple manner and provide straightforward, concise delineation of the responder's ability to satisfy the requirements of the RFP.
- F. Respondents desiring to submit proposals in response to this request must comply with all mandatory submission requirements set out in this document. Failure to comply with any part of the request may subject the response to immediate rejection.
- G. Any inquiries from parties concerning this RFP and its requirements shall be submitted in writing (e-mail is acceptable) to: Leana H. Mann, Travis Central Appraisal District, P.O. Box 149012, Austin, Texas 78714-9012 or at [Lmann@tcadcentral.org](mailto:Lmann@tcadcentral.org).

- H. No negotiations, decisions or actions shall be initiated or executed by the proposer as a result of any decision with a TCAD employee. Only those communications that are in writing from TCAD shall be considered as a duly authorized expression of TCAD.

### 2.5 Pre-Proposal Conference

No pre-proposal conference will be held.

### 2.6 Competitive Selection

The method to be used to select the consultant is detailed in Texas Local Government Code, Section 252.

- This is a negotiated procurement.
- In making the determination, the District shall consider the Proposer’s technical expertise and experience, the proposed fees/costs, the proposer’s references and record of responsibility, and any other relevant factor that the District deems necessary.
- The District reserves the right to retain all Proposal responses for a period of forty-five (45) days after the opening date for examination and comparison.

### 2.7 Criteria Used for Selection

Proposals will be evaluated based on the following criteria:

Criteria	Weighted Value
Experience and References	30
Price	20
Organization Chart/Resumes	20
Prior relationship with the District (if any)	30

### 2.8 Availability of Funds

In the event that sufficient funds are not available for the project, the District reserves the right to negotiate the scope of this contract, delay implementation, reject all proposals, or award another type of contract other than that required by the RFP.

### 2.9 Award of Contract

Upon successful negotiations between the District and the selected proposer, the parties will be required to enter into a written Agreement with the Travis Central Appraisal District. All scopes of work related to the project shall be governed by the executed agreement.

## 2.10 HB 1295 Requirements

This procurement falls under the requirements of HB1295 (Government Code Section 2252.908). The awarded Contractor will be required to complete and submit form 1295. The form along with instructions are available on the Texas Ethics Commission website at <https://www.ethics.state.tx.us/filinginfo/1295/>.

## Section 3: Content of Submittal

Each response shall be submitted as outlined in this section. Please include an outside cover and /or first page, containing the section name. A table of contents should be shown first, followed by dividers separating each of the following sections.

### 3.1 CRITERION ONE: Company Information

- Provide a statement of interest for the Project, including a narrative describing the company and project team's unique qualifications as they pertain to this project.
- Provide the following information for the firm:
  - Legal name of the company as registered with the Secretary State of Texas
  - Address of principal office
  - Address of local office
  - Year Founded
  - Type of Organization (individual, partnership, corporation, joint venture, etc.)
  - Year opened- local office
  - Primary contact name
  - Primary contact title
  - Primary contact e-mail address
  - Primary contact phone number
  - Any former names that the organization operated under
- If your organization is a corporation, answer the following:
  - Date of incorporation
  - State of incorporation
  - President's name
  - Vice President's name
  - Secretary's name
  - Treasurer's name
- If your organization is a partnership, answer the following:
  - Date of organization
  - Type of partnership (if applicable)
  - Name(s) of general partner(s)
- If your organization is individually owned, answer the following:
  - Date of organization
  - Name of owner
- If your organization is another form other than those listed above, describe it and name the principals.

**3.2 CRITERION TWO: General Company History and Qualification**

- Provide a brief history of the firm and each proposed consultant including a list of services routinely provided
- An organizational chart that explains the team members and their responsibilities related to this project.
- Provide a list that outlines each person and contact information for the following positions:
  - Project Manager
  - Other Personnel which will be actively involved in the project
  - Number of non-clerical personnel employed
  - Number of clerical personnel employed
- Provide a resume and references for each individual proposed team member. The minimum information must be provided for each individual:
  - Job title and description of responsibilities
  - Number of years in current job title
  - Number of years with company
  - Other titles/roles with the proposing company prior to the current role
  - Formal education
  - Number of years of related experience
  - Projects the individual has been involved with in the current job title
  - Other experience you deem applicable

**3.3 CRITERION THREE: Experience and References**

- Discussion of firm's experience in working with municipalities or special districts
- List of municipal projects within Texas from the past three years, whether complete or ongoing, including references. For each project or contract, provide the following:
  - Company name and location
  - Year contract began
  - Year contract ended (if applicable)
  - Short description of project
  - Name, address, telephone number, and e-mail for contact person tasked with the daily responsibility and management of the project
  - Total cost
- Describe the firm's process in working with consultants and integrating them into the consulting process.
- Describe how the firm will report the status of the Project to District management.

References shall be considered relevant based on specific project participation and experience with the respondent. The District may contact references during any part of this process. The District reserves the right to contact any other reference at any time during the RFP process.

**3.4 CRITERION FOUR: Signed Transmittal and Acknowledgement Letter**

The Transmittal and Acknowledgement Letter (Exhibit A) must be signed by a principal in the firm and submitted as part of the response packet.

**3.5 CRITERION FIVE: Estimated Cost**

Price Proposal Form (Exhibit B) must be signed and returned as part of the proposal package.

**3.6 CRITERION SIX: Signed Ethics Statement**

The Ethics Statement (Exhibit C) must be signed by a principal in the firm and submitted as part of the response packet.

**3.7 CRITERION SEVEN: Signed Certification Regarding Debarment, Suspension & Other Responsibility Matters Form**

The Certification Regarding Debarment, Suspension, and Other Responsibility Matters Form (Exhibit D) must be signed by a principal in the firm and submitted as part of the response packet.

## Section 4: Format for Statement of Qualifications

### 4.1 General Instructions

- Proposals shall be prepared in order of stated criterion, providing a concise, straightforward description of the respondent's ability to meet the requirements of this RFP.
- Respondents shall carefully read the information contained in this RFP and submit a complete response to all requirements and questions as directed. Incomplete proposals will be considered non-responsive and may be subject to rejection.
- Proposals and any other information submitted by respondents in response to this RFP shall become the property of the District and are subject to the Public Information Act.
- The District will not compensate respondents for any expenses incurred in Proposal preparation or for any presentations that may be made. Respondents submit proposals at their own risk and expense.
- The District makes no representations of any kind that an award will be made as a result of this RFP. The District reserves the right to accept or reject any or all proposals, waive any formalities or minor technical inconsistencies, or delete any item/requirements from this RFP when deemed to be in the District's best interest.
- Qualifications shall consist of answers to criteria provided in Section 3. It is not necessary to repeat the questions in the proposal; however, it is essential to reference the question number with the corresponding answer.
- Failure to comply with all requirements contained in this RFP may result in the rejection of the proposal.

### 4.2 Page Size, Binding, Dividers and Tabs

- Responses shall be printed on letter size (8 ½" x 11") paper and collated.
- Additional attachments shall NOT be included with the proposal. Only the responses provided by the respondent to the questions identified in Section 3 of this RFP will be used by the District for evaluation.
- Separate and identify the response to each criterion in Section 3 of this RFP by use of a divider sheet.

### 4.3 Table of Contents

Submittals shall include a Table of Contents and page numbers for each part of the proposal.



## Transmittal and Acknowledgment Letter

Travis Central Appraisal District  
Request for Proposal- Audit Services

\_\_\_\_\_  
Date

In response to the above referenced request for proposal from Travis Central Appraisal District, the attached qualifications, forms, exhibits, and statements are submitted in response. I have read all attachments including the specifications and fully understand what is required.

In submitting this qualifications statement, I agree to the following conditions:

1. Proposals submitted and opened on Tuesday, January 5, 2021 may not be withdrawn for thirty (45) days following the statements opening.
2. To enter into negotiation and subsequently execute a Contract with the District, if selected on the basis of the Proposal.
3. To accomplish the work in accordance with the Contract documents.

\_\_\_\_\_  
(Name of Institution)

Authorized Representative:

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Date)

## Pricing Proposal Form

The proposal shall complete the following pricing. The proposer shall contain a straightforward, concise delineation of the proposer's fees to satisfy the requirements of this RFP.

NOTE: The costs and percentage provided on this form below are to be used only to establish the cost estimates.

---

Proposer Company Name: \_\_\_\_\_

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- |   |                                     |          |
|---|-------------------------------------|----------|
| 1 | Proposed fee (2020 financial audit) | \$ _____ |
| 2 | Proposed fee (2021 financial audit) | \$ _____ |
| 3 | Proposed fee (2022 financial audit) | \$ _____ |

# ETHICS STATEMENT

(Complete and Return this Form with Response)

The undersigned firm, by signing and executing this RFP or RFQ, certifies and represents to the Travis Central Appraisal District that the firm has not offered, conferred or agreed to confer any pecuniary benefit, as defined by 1.07 (a) (6) of the Texas Penal Code, or any other thing of value as consideration for the receipt of information or any special treatment of advantage relating to this RFP or RFQ; the firm also certifies and represents that the firm has not offered, conferred or agreed to confer any pecuniary benefit or other thing of value as consideration for the recipient's decision, opinion, recommendation, vote or other exercise of discretion concerning this RFP or RFQ, the firm certifies and represents that firm has neither coerced nor attempted to influence the exercise of discretion by any officer, trustee, agent or employee of the Travis Central Appraisal District concerning this RFP or RFQ on the basis of any consideration not authorized by law; the firm also certifies and represents that firm has not received any information not available to other firms so as to give the undersigned a preferential advantage with respect to this RFP or RFQ; the firm further certifies and represents that firm has not violated any state, federal, or local law, regulation or ordinance relating to bribery, improper influence, collusion or the like and that firm will not in the future offer, confer, or agree to confer any pecuniary benefit or other thing of value of any officer, trustee, agent or employee of the Travis Central Appraisal District in return for the person having exercised their person's official discretion, power or duty with respect to this RFP or RFQ; the firm certifies and represents that it has not now and will not in the future offer, confer, or agree to confer a pecuniary benefit or other thing of value to any officer, trustee, agent, or employee of the Travis Central Appraisal District in connection with information regarding this RFP or RFQ, the submission of this RFP or RFQ, the award of this RFP or RFQ or the performance, delivery or sale pursuant to this RFP or RFQ.

**THE FIRM SHALL DEFEND, INDEMNIFY, AND HOLD HARMLESS THE TRAVIS CENTRAL APPRAISAL DISTRICT, ALL OF ITS OFFICERS, AGENTS AND EMPLOYEES FROM AND AGAINST ALL CLAIMS, ACTIONS, SUITS, DEMANDS, PROCEEDING, COSTS, DAMAGES AND LIABILITIES ARISING OUT OF, CONNECTED WITH, OR RESULTING FROM ANY ACTS OR OMISSIONS OF FIRM OR ANY AGENT OR EMPLOYEE OF FIRM IN THE EXECUTION OR PERFORMANCE OF THIS RFP or RFQ.**

I have read all of the specifications and general RFP or RFQ requirements and do hereby certify that all items submitted meet specifications.

FIRM: \_\_\_\_\_

OFFICER NAME: \_\_\_\_\_

OFFICER SIGNATURE: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY: \_\_\_\_\_

STATE: \_\_\_\_\_

ZIP CODE: \_\_\_\_\_

TELEPHONE: \_\_\_\_\_

TELEFAX: \_\_\_\_\_

DEVIATIONS FROM SPECIFICATIONS IF ANY:

\_\_\_\_\_  
\_\_\_\_\_

# CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

(Complete and Return this Form with Response)

Name of Entity: \_\_\_\_\_

The prospective participant certifies to the best of their knowledge and belief that they, the principals in the firm, and the firm:

1. Are not presently debarred, suspended, proposed for debarment, and or declared ineligible from providing bank depository services, financial management, financial records management, financial advisory services, any associated management services, and or voluntarily surrendered their license to provide such related services in the State of Texas and or the United States of America.
2. Are not presently debarred, suspended, proposed for debarment, and declared ineligible or voluntarily excluded from conducting any business and or financial transactions by any department or agency of Federal, State, and or local government.
3. Have not been convicted of, had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
4. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, Local) with commission of any of the offenses enumerated in item 3 above of the certification; and
5. Have not within a ten (10) year period preceding this RFP or RFQ had one or more public transactions (Federal, State, Local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award. In addition, under 18 USC Section 1001, a false statement may result in a fine up to a \$10,000.00 or imprisonment for up to five (5) years, or both.

\_\_\_\_\_  
Name and Title of Authorized Representative (Typed)

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date