



CITY OF LAKE CITY

RFP-027-2011

AUDIT SERVICES

All responses must be date and time stamped and received no later than 3:00 P.M. on, Thursday, July 28, 2011 by the City of Lake City to be considered responsive. Deadline for receiving questions: Thursday, July 21, 2011 @ 5:00 p.m.

There will be no communication, written or verbal, with any City employee, Elected Official, Board Member, or City representative during the course of this solicitation other than through writing to the Purchasing & Contracting Department. All questions must be submitted in writing to the Purchasing & Contracting Department who will obtain the answers and issue in the form of an addenda. The deadline for submitting questions is Thursday July 21, 2011 at 5:00 P.M. Failure to have all information as requested may cause the respondent's bid to be rejected. All and any addenda are to be signed and returned with the original bid to be considered responsive.

Wendell Johnson, City Manager: _____

REQUEST FOR PROPOSALS

Sealed proposals marked "REQUEST FOR PROPOSALS FOR AUDITING SERVICES" will be received by the City of Lake City, Florida until 3:00 P.M. on Thursday, July 28, 2011 at the office of Purchasing and Contracting, 205 North Marion Avenue, Lake City, FL 32055. All received proposals will be time and date stamped. Absolutely no proposals will be accepted after the aforementioned date and time.

All services must be performed in accordance with the request for proposals, requirements, and any other documents prepared for this request. **Proposers must submit one (1) original and six (6) copies of their proposals. Original copy must be clearly marked "original" and copies clearly marked "copy".**

The City of Lake City reserves the right to reject any and all proposals, to re-advertise, and to enter into a contract determined to be in its best interest.

SCOPE

The City of Lake City (City) is requesting proposals from certified public accounting firms duly licensed under F.S. Chapter 473 and qualified to audit its financial statements for the fiscal years ending September 30, 2012, 2013 and 2014 in accordance with the government auditing standards as adopted by the Florida Board of Accountancy, and as described in Section 1(C). The initial term will be for three years and will begin as of the date on the Notice of Award. Annual renewals will be based upon satisfactory performance and will not exceed a period of three (3) additional years. These audits are to be performed in accordance with the provisions contained in this request for proposals.

These audits are to be performed in accordance with generally accepted auditing standards and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States; U.S. Office of Management and Budget Circular A-133; Audits of States, Local Governments, and Non-Profit Organizations; and Chapter 10.550, Rules of the Auditor General for the State of Florida, as amended from time to time. Proposals submitted will be evaluated by a five-member selection committee. At the discretion of the selection committee, firms submitting proposals may be requested to make oral presentations as part of the evaluation process.

There is no expressed or implied obligation for the City to reimburse responding firms for any expenses incurred in preparing proposals in response to this request.

It is anticipated the selection of a firm will be completed by August 15, 2011. Following the notification of the selected firm, it is expected a contract will be executed between both parties no later than September 30, 2011.

The City of Lake City desires the audit firm to express an opinion on the fair presentation of its basic financial statements in conformity with generally accepted accounting principles.

The audit firm shall audit the basic financial statements consisting of the government-wide statements and combined statements for all fund types, including major and non-major funds. However, the auditor is to provide an "in-relation-to" report on the supporting schedules and required supplementary information based on the auditing procedures applied during the audit of the general purpose financial statements.

The audit firm is not required to audit the statistical section of the report, but should review it. Furthermore, the auditor is to provide an "in-relation-to" report on the schedule of federal and state financial assistance based on the auditing procedures applied during the audit of the financial statements.

The auditor may be requested to perform other auditing services at the discretion of the City. Any such additional work agreed to between the City and the firm shall be performed only upon a written agreement.

AUDITING STANDARDS:

To meet the requirements of this request for proposals, the audit shall be performed in accordance with auditing standards and procedures recommended by the American Institute of Certified Public Accountants, the standards for financial audits set forth in the U.S. General Accounting Office's Government Auditing Standards, the provisions of U.S. Office of Management and Budget (OMB) Circular A-133, Audits of State, Local Governments and Non-Profit Organizations, the Florida Single Audit Act and the Rules of the State of Florida Auditor General as amended from time to time.

REPORTS:

Following the completion of the audit of the fiscal year's financial statements, the auditor shall issue:

1. A report on the fair presentation of the financial statements in conformity with generally accepted accounting principles.
2. A report on the internal control structure based on the auditor's understanding of the control structure and assessment of control risk.
3. A report on compliance with applicable laws, regulations and bond covenants.
4. An "in-relation-to" report on the schedule of federal and state financial assistance.
5. A report on the internal control structure used in administering federal and state financial assistance programs.
6. A report on compliance with laws and regulations related to major and non-major federal and state financial assistance programs. This report should include an opinion on compliance with specific and general requirements applicable to major federal and state financial assistance programs and a report on compliance with laws and regulation applicable to non-major financial assistance program transactions tested.

In the required reports on internal controls, the auditor shall communicate any reportable conditions found during the audit. A reportable condition shall be defined as a significant deficiency in the design or operation of the internal control structure, which could adversely affect the organization's

ability to record, process, summarize, and report financial data consistent with the assertions of management in the financial statements. Reportable conditions that are also material weaknesses shall be identified as such in the report.

Non-reportable conditions discovered by the auditors shall be reported in a separate letter to management, which shall be referred to in the reports on internal controls.

The reports on compliance shall include all instances of noncompliance.

Auditors shall provide the City with information relating to regulation changes that would affect the City and its operations, such as changes proposed by GASB, FASB, GAO or the Auditor General.

SPECIAL CONSIDERATIONS:

The City of Lake City will require the auditor's overall evaluation of the efficiency and adequacy of accounting procedures and assistance with the implementation of any new GASB statements.

The firm will be requested to grant permission to use the Auditor's Opinion in the Official Statement of any future bond issues. In addition, the auditor shall be required, if requested by the City, financial advisor and/or underwriter, to issue a "consent and citation of expertise" as the auditor and any necessary "comfort letters".

WORKING PAPER RETENTION AND ACCESS TO WORKING PAPERS:

All working papers and reports must be retained, at the auditor's expense, for a minimum of three (3) years, unless the firm is notified in writing by the City of Lake City of the need to extend the retention period.

The auditor will be required to make working papers available, upon request, to the City of Lake City, auditors of entities of which the City of Lake City is a sub recipient of grant funds and other federal or state agencies as necessary. In addition, the firm shall respond to the reasonable inquiries of successor auditors and allow successor auditors to review working papers relating to matters of continuing accounting significance.

DESCRIPTION OF THE GOVERNMENT:

Reporting Entity:

The reporting entity for the City, as defined by GASB Statement No. 34, includes all major and non-major funds reported in the Basic Financial Statements for the fiscal year ended September 30, 2012. The City's Comprehensive Annual Financial Report can be found on its website at www.lcfla.com. The report provides additional information on the City's fund structure, accounting and budgeting policies. The City is not included in any other governmental "reporting entity" as defined by Statement No. 34.

The City has one blended component unit, the Community Redevelopment Agency (CRA). The CRA is reported as part of City operations as a Special Revenue Fund.

Contact Persons:

The auditor's principal contacts with the City of Lake City will be Donna Duncan, Finance Director and Denise Koon, Assistant Finance Director, who will coordinate the assistance to be provided to the auditor by the City of Lake City.

Background Information:

The City of Lake City serves an area of more than 11.64 square miles with a population of 12,828 and has a total payroll of \$7.9 million. The total adopted budget for FY 2011 \$40,619,191. The City provides a full range of municipal services, including general government, public safety, planning and zoning, public improvements, parks and recreation, water/sewer utility and a general aviation airport. The accounting and financial reporting functions of the City are centralized.

Fund Structure:

The City of Lake City uses the following fund types in its financial reporting: Fund Type/Account Group Number of Individual Funds.

General Fund
Special Revenue Funds
Debt Service Funds
Capital Projects Funds
Enterprise Funds
Internal Service Funds
Pension Trust Fund

Budgetary Basis of Accounting:

The City of Lake City prepares its budgets on a basis consistent with generally accepted accounting principles.

Federal and State Financial Assistance:

During the fiscal year to be audited, the City of Lake City anticipates the following financial assistance:

1. Community Development Block Grant
2. Florida Department of Transportation – Traffic Signal Grant
3. U.S. Department of Justice – Edward Byrne Memorial Justice Assistance Grant
4. Other Federal and State grants

Pension Plan:

The City of Lake City participates in single-employer defined-benefit pension plans for its general employees, police officers and firefighters. The activities of the Pension Plans are included in the City's CAFR.

Component Units:

The Community Redevelopment Agency (CRA) is an incremental tax district created by City Ordinance pursuant to Florida Statutes 163.356. The City Council appoints an advisory board to administer the activities of the CRA. The Council approves the budget and provides funding. The City performs the accounting functions for the CRA. The CRA is presented as a blended component unit classified as a special revenue fund.

Computer System:

The City's computer system consists of AS 400 with a Windows based network. The Financial application software is provided by SunGuard Public Sector. Applications in use include general ledger, community service, payroll, asset management, accounts receivable, cash receipts, global financial systems and utility systems.

Internal Auditor:

The City does not have an active internal audit function.

Schedule for the 2012 City Audit:

Entrance conference with Finance Director and key Finance staff to discuss interim and year end work to be performed.

June, 2012	Preliminary fieldwork
November, 2012	Fieldwork begins. Trial balance is provided.
January, 2013	Fieldwork is completed. Results of preliminary review and potential adjustments to the trial balance are communicated.
February, 2013	CAFR draft is completed and submitted to auditor for review.
February 2013	Exit conference with Finance Director, Assistant Director, Director of Administrative Services and City Manager to summarize results and review significant findings.
March 2013	Presentation to Council covering significant matters of the financial operations and on any material findings reported in the management letter.

Assistance to be provided to the auditor and report preparation:

The auditor shall provide a list of schedules to be prepared by the City. The finance department staff and responsible management personnel will be available during the audit to assist the firm by providing information, documentation and explanations. The preparation of confirmations will be the responsibility of the City of Lake City. In addition, clerical support will be made available to the auditor for the preparation of routine letters and memoranda.

The auditor will be provided with reasonable workspace, desks and chairs. The auditor will also be provided with access to local telephone lines, photocopying facilities and computer.

TECHNICAL PROPOSAL:

1. General Requirements - The purpose of the technical proposal is to demonstrate the qualifications, competence and capacity of the firms seeking to undertake an independent audit of the City of Lake City in conformity with the requirements of this request for proposals. As such, the substance of proposals will carry more weight than their form or manner of presentation. The technical proposal should demonstrate the qualifications of the firm and of the particular staff to be assigned to this engagement. It should also specify an audit approach that will meet the request for proposal requirements.

The technical proposal should address all the points outlined in the request for proposals. The proposal should be prepared simply and economically, providing a straightforward, concise description of the proposer's capabilities to satisfy the requirements of the request for proposals and should address only item 2 through 7 below. These items represent the criteria against which the proposal will be evaluated. Additional material not directly related to this request should not be included or should be presented in an appendix.

2. License to practice in Florida - An affirmative statement should be included indicating that the firm and all assigned key professional staff are properly licensed to practice in Florida.
3. Firm Qualifications and Experience - The proposal should state the size of the firm, the size of the firm's governmental audit staff, the location of the office from which the work on the engagement is to be performed and the number and nature of the professional staff to be employed in this engagement on a full-time and part-time basis. The firm is also required to submit a copy of the report of its most recent external quality control review, with a statement whether that quality control review included a review of specific government engagements. The firm shall also provide information on the results of any federal or state desk reviews or field reviews of its audits during the past three (3) years. In addition, the firm shall provide information on the circumstances and status of any disciplinary action taken or pending against the firm during the past three (3) years with state regulatory bodies or professional organizations. Please include the responses pertaining to external quality control review and state desk review in an appendix.
4. Partner, Supervisory and Staff Qualifications and Experience - The firm should identify the principal supervisory and management staff, including engagement partners, managers, other

supervisors and specialists, who would be assigned to the engagement and indicate whether each such person is licensed to practice as a certified public accountant in Florida. The firm should provide an affirmative statement that the auditor in charge of the engagement meets the educational requirements under Florida Statutes, Chapter 11.45. The firm should provide information on the government auditing experience of each person, including information on relevant continuing professional education, of the specific staff to be assigned to this engagement. The firm also should indicate how the quality of staff over the term of the agreement will be assured. Engagement partners, managers, other supervisory staff and specialists may be changed if those personnel leave the firm, are promoted or are assigned to another office. However, the City retains the right to approve or reject replacements. Other audit personnel may be changed at the discretion of the proposer provided that replacements have substantially the same or better qualifications or experience.

5. Similar Engagements with Other Government Entities - For the firm's office that will be assigned responsibility for the audit, list the most significant engagements performed in the last five years that are similar to the engagement described in this request for proposals. These engagements should be ranked on the basis of total staff hours. Indicate the scope of work, date, engagement partners, total hours, and the name and telephone number of the principal client contact.
6. Specific Audit Approach - The proposal should set forth a work plan, including an explanation of the audit methodology to be followed, to perform the services required in Section II of this request for proposals. Proposers will be required to provide the following information on their audit approach:
 - a. Proposed segmentation of the engagement.
 - b. Sample size and the extent to which statistical sampling is to be used in the engagement.
 - c. Type and extent of analytical procedures to be used in the engagement.
 - d. Approach to be taken in considering risk and materiality to determine extent of testing.
 - e. Approach to be taken in determining laws and regulations that will be subject to audit test work.
 - f. Approach to be taken in drawing audit samples for purposes of tests of compliance.
 - g. Method for review of internal controls.
 - h. Benchmarks to be used for evaluating financial condition.

FEE SCHEDULE:

Total All-Inclusive Maximum Price - The proposal should include a **separate sealed dollar-cost proposal** containing all pricing information relative to performing the audit engagement for FY 09/13 for the City and each of the following two years as described in this request for proposals. The total all-inclusive maximum price to be proposed is to contain all direct and indirect costs including all out-of-pocket expenses. The City will not be responsible for expenses incurred in preparing and submitting the technical proposal or the sealed dollar cost proposal. Such costs should not be included in the proposal.

Rates by Partner, Specialist, Supervisory and Staff Level Hours Anticipated for each - The sealed dollar cost proposal should include a schedule of professional fees and expenses that support the total all-inclusive maximum price. The cost of special services should be disclosed as a separate component of the total all-inclusive maximum price.

Rates for Additional Professional Services - If it should become necessary for the City to request the auditor to render any additional services to either supplement the services requested in this request for proposals or to perform additional work as a result of the specific recommendations included in any report issued on this engagement, then such additional work shall be performed only if set forth in an addendum to the contract between the City of Lake City and the firm. Any such additional work agreed to between the City and the firm shall be performed at the same rates set forth in the schedule of fees and expenses included in the sealed dollar cost proposal.

Manner of Payment - Progress payments will be made on the basis of hours of work completed during the course of the engagement and out-of-pocket expenses incurred in accordance with the firm's dollar cost proposal. Interim billings shall cover a period of not less than a calendar month. Payment of the final billing will be made after delivery of the final report and presentation to the City Council.

EVALUATION PROCEDURE:

All proposals will be subject to a review and evaluation process. It is the intent of the City that all proposers responding to this RFP, who meet the requirements, will be ranked in accordance with the criteria established in these documents. The City will consider all responsive and responsible proposals received in its evaluation and award process.

Proposals shall include all of the information solicited in this RFP, and any additional data that the Offeror deems pertinent to the understanding and evaluation of the proposal. Proposers will provide their best price and cost analysis and should not withhold any information from the written response in anticipation of presenting the information orally or in a demonstration, since oral presentations or demonstrations may not be solicited. Each proposer will be ranked based on the criteria herein addressed.

An objective-based scoring system shall be applied to the non-price factors throughout the evaluation process for the evaluation of the written responses and the oral presentation/informal interviews (if requested). A score of 0 is the least favorable and a score of 4 is the most favorable in all sections.

The Proposer's response will be scored by Committee members in accordance with the following scale:

- 0 = Unsatisfactory: Not responsive to the requirement.
- 1 = Below Minimum Standards: Responsive to the requirement but below acceptable standards.
- 2 = Marginal: Minimal acceptable performance standards and responsive to the requirement.
- 3 = Satisfactory: Above minimum performance, Effective and Responsive to the requirement.
- 4 = Exceeds Expectations: for effectiveness and responsiveness to the requirement.

NOTE: The Committee member's score times the "weighted value" assigned to the different sections listed here equals the total score for that section. (EXAMPLE: Maximum score of **4** times weighted value of **10** = Maximum of **40-Points**).

Proposers submitting the required criteria will have their proposals evaluated by the evaluation committee and scored for the non-price factors to include technical response, qualifications and experience. Consideration will then be given for the cost proposed.

Weights for cost will not be assigned by the evaluation committee.

During the evaluation process and at the sole discretion of the City, requests for clarification of one or more proposer submittals may be conducted. This request for clarification may be performed by the City in a written format, or through scheduled oral interviews. Such clarification request will provide proposers with an opportunity to answer any questions the City may have on a proposer's submittal.

CRITERIA

Proposers shall include the following information in their written proposal document and should use the following format when compiling their responses. Sections should be tabbed and labeled; pages should be sequentially numbered at the bottom of the page.

Tab 1 - Transmittal Letter: (Non-scored)

Transmittal letter stating the proposer's understanding of the work to be done, the commitment to perform the work within the time period, a statement why the firm believes itself to be best qualified to perform the engagement and a statement that the proposal is a firm and irrevocable offer for the engagement period. The Transmittal letter shall have an original signature (signed in blue ink) of an authorized official of the firm who has been designated to submit the proposal on behalf of the firm.

Tab 2 – Complete Check List of Submittal Requirements (Non-scored)

Tab 3 – Mandatory Elements: (Non-scored)

Firms meeting the following mandatory criteria will have their proposals evaluated and scored for technical qualifications.

- a. The audit firm is independent and licensed to practice in Florida.
- b. The audit firm's professional personnel have received adequate continuing professional education within the preceding two years.
- c. The firm submits a copy of its most recent external quality control review report and the firm has a record of quality audit work.
- d. The firm adheres to the instructions in this request for proposals on preparing and submitting the proposal.

Tab 4 - Summary of Qualifications: (maximum 4 X 8.75 = maximum 35 points)

Provide a brief discussion about firm's expertise and experience specifically addressing the following points:

1. The firm's past experience and performance on comparable government engagements.
2. The quality of the firm's professional personnel to be assigned to the engagement and the quality of the firm's management support personnel to be available for technical consultation.
3. The firm's past experience and performance with Single Audits and tests of compliance with laws and regulations.
4. Ability to perform additional services and provide technical support throughout the period of the engagement.

If the firm is currently, or has previously provided services for the City of Lake City, please provide an itemized list of these projects to include contact person, length of time service was provided and value of contract.

Tab 5 - Technical Response: (maximum 4 X 8.75 = maximum 35 points)

Firm's business plan to meet the technical requirements of the Request for Proposal shall be included in this section. Information provided should include how the offeror can perform the contract within the time specified. Audit approach should discuss the following:

1. Adequacy of proposed staffing plan for various segments of the engagement, including supervision and involvement of experienced personnel.
 2. Adequacy of audit work plan and sampling technique.
 3. Adequacy of analytical and substantive procedures.
 4. Adequacy of study and evaluation of internal accounting and administrative controls.
- Any deviations from scope of work requirements will be discussed in this section.

Tab 6 - Additional Required Proposal Submittal Forms: (Non-scored)

1. Include a DRAFT Letter of Engagement for the City

Tab 7 - Proposed Cost: (30 points)

The cost proposal should be **included with the ORIGINAL proposal documents only and contained in a separate sealed envelope marked Envelope #2**. Proposed cost will include all direct and indirect costs and all out-of-pocket expenses.

The selection committee will rank the proposals based on qualifications and technical criteria and select no fewer than three firms. If fewer than three firms respond to the Request for Proposal, the committee shall recommend such firms as it deems to be the most qualified. The reviewers will then consider the price bid of the most qualified candidates.

COST WILL NOT BE THE PRIMARY FACTOR IN THE SELECTION OF AN AUDIT FIRM SELECTION PROCESS

In general, the City wishes to avoid the expense to the City and to proposers of unnecessary oral interviews. Therefore, the City will make every reasonable effort to achieve the ranking using written submittals alone. If no single top-ranked firm can be clearly identified by review of the written submittals alone, then the evaluator(s) will request the Finance Department to schedule the top ranked firm(s) for oral presentations/interviews.

Formal Oral Presentations/Interviews (If Requested)

The City may choose to conduct oral interviews with, or receive oral presentations from, one or more of the proposers. If the City chooses to allow oral interviews and/or presentations, the following guidelines will be used:

The City's Purchasing Department will establish the schedule and proposers will be notified at least seven (7) calendar days in advance of the date, time and place of the presentations. The specific format of each presentation will be provided to proposers with the notifications. The City will allot equal time for each proposer divided into three sequential parts: formal presentations, questions and answers, and discussion.

Oral interviews/presentations will provide an opportunity for the proposers to demonstrate their ability to use time efficiently, effectively and economically. The times allotted are maximums and no firm will be penalized for using less than the allotted time.

Final Ranking and Recommendation for Award

After clarification is completed, the Committee will re-score all proposals to determine a final ranking of proposers considered to be most capable of performing the required project in the best interest of the City. The City will rank all complete written proposals received and/or formal oral presentations/interviews in order of preference and submit this ranking as its final recommendation to the City Council.

**SWORN STATEMENT UNDER SECTION
287.133(3)(n), FLORIDA STATUTES ON PUBLIC ENTITY CRIMES**

THIS FORM MUST BE SIGNED IN THE PRESENCE OF A NOTARY PUBLIC OR OTHER OFFICER AUTHORIZED TO ADMINISTER OATHS.

1. This sworn statement is submitted with Proposal No. _____.
2. This sworn statement is submitted by _____ whose business address is _____ and (if applicable) its Federal Identification No.(FEIN) is _____. If entity has no FEIN, include the Social Security Number of the individual signing this sworn statement _____.
3. My name is _____ and my relationship to the entity named above is _____.
4. I understand that a “public entity crime” as defined in Paragraph 287.133(1)(g), Florida Statutes, means a violation of any state or federal law by a person with respect to, and directly related to, the transaction of business with any public entity or with an agency or political subdivision of any other state or with the United States, including, but not limited to, any bid or contract for goods or services to be provided to any public entity or an agency or political subdivision of any other state or of the United States and involving antitrust, fraud, theft, bribery, collusion, racketeering, conspiracy or material misrepresentations.
5. I understand that “convicted” or “conviction” as defined in Paragraph 287.133(1)(b), Florida Statutes, means a finding of guilt or a conviction of a public entity crime, with or without an adjudication of guilt, in any federal or state trial court of record relating to charges brought by indictment or information after July 1, 1989, as a result of a jury verdict, non-jury trial, or entry of a plea of guilty or nolo contendere.
6. I understand that an “affiliate” as defined in Paragraph 287.133(1)(a), Florida Statutes means:
 - a. A predecessor or successor of a person convicted of a public entity crime; or
 - b. An entity under the control of any natural person who is active in the management of the entity and who has been convicted of a public entity crime. The term “affiliate” includes those officers, directors, executives, partners, shareholders, employees,

members and agents who are active in the management of an affiliate. The Ownership by one person of shares constituting a controlling interest in another person, or a pooling of equipment or income among persons when not for fair market value under an arm's length agreement, shall be a prima facie case that one person controls another person. A person who knowingly enters into a joint venture with a person who has been convicted of a public entity crime in Florida during the preceding 36 months shall be considered an affiliate.

7. I understand that a "person" as defined in Paragraph 287.133(1)(c), Florida Statutes, means any natural person or entity organized under the laws of any state of the United States with the legal power to enter into a binding contract and which bids or applies to bid on contracts for the provision of goods or services let by a public entity, or which otherwise transacts or applies to transact business with a public entity. The term "person" includes those officers, directors, executives, partners, shareholders, employees, members and agents who are active in management of an entity.
8. Based on information and belief, the statement, which I have marked below, is true in relation to the entity submitting this sworn statement. (Please indicate which statement applies)

_____ Neither the entity submitting this sworn statement, nor any officers, directors, executives, partners, shareholders, employees, members or agents who are active in management of the entity, nor any affiliate of the entity have been charged with an convicted of a public entity crime subsequent to July 1, 1989.

_____ The entity submitting this sworn statement, or one or more of the officers, directors, executives, partners, shareholders, employees, members or agents who are active in management of the entity, or an affiliate of the entity has been charged with, and convicted of a public entity crime subsequent to July 1, 1989, and (Please indicate which additional statement applies)

_____ There has been a proceeding concerning the conviction before a hearing officer of the State of Florida, Division of Administrative Hearings. The final order entered by the hearing officer did not place the person or affiliate on the convicted vendor list. (Please attach a copy of the final order)

_____ The person or affiliate was placed on the convicted vendor list. There has been a subsequent proceeding before a hearing officer of the State of Florida, Division of Administrative Hearings. The final order entered by the hearing officer determined that it was in the public interest to remove the person or affiliate from the convicted vendor list. (Please attach a copy of the final order)

_____ The person or affiliate has not been placed on the convicted vendor list. (Please describe any action taken by, or pending with, the Department of General Services)

Signature: _____ Date _____

STATE OF _____

COUNTY OF _____

Personally appeared before me, the undersigned authority, _____ who
after first being sworn by me, affixed his/her signature in the space provided above on
this _____ day of _____ 20_____.

Notary Public, State at large

My Commission Expires:

THIS FORM MUST BE COMPLETED AND RETURNED WITH YOUR PROPOSAL.

NON-COLLUSION AFFIDAVIT OF PROPOSER

STATE OF _____

COUNTY OF _____

_____, being duly sworn, deposes and says that:

1. He/She is _____ of _____ the proposer
Title Company Name
that has submitted the attached proposal;

2. He/She is fully informed respecting the preparation and contents of the attached proposal and of all pertinent circumstances respecting such proposal;

3. Such Proposal is genuine and is not a collusive or sham proposal;

4. Neither the said Proposer nor any of its officers, partners, owners, agents, representatives, employees, or parties in interest, including this affiant, has in any way colluded, connived, or agreed, directly or indirectly, with any other proposer, firm or person to submit a collusive or sham Proposal in connection with such Contract, or has in any manner, directly or indirectly, sought by agreement or collusion or communication or conference with any other proposer, firm, or person to fix the price or prices in the attached proposal or any other proposal, or to fix any overhead, profit or cost element of the proposal price or the proposal price of any other proposer, or to secure through any collusion, connivance, or unlawful agreement any advantage against the City of Lake City, Florida or any person interested in the proposed Contract; and

5. The price or prices quoted in the attached proposal are fair and proper and are not tainted by any collusion, conspiracy, connivance, or unlawful agreement on the part of the proposer or any of its agents, representatives, owners, employees, or parties in interest, including this affiant.

SIGNED _____

TITLE _____

SUBSCRIBED AND SWORN TO BEFORE ME THIS _____ DAY OF _____, 20__.

Notary Public, State of Florida My Commission Expires: _____

THIS FORM MUST BE COMPLETED AND RETURNED WITH YOUR PROPOSAL.

DRUG FREE WORKPLACE CERTIFICATE

I, the undersigned, in accordance with Florida Statute 287.087, hereby certify that, _____ (print or type name of firm) publishes a written statement notifying that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the workplace named above, and specifying actions that will be taken against violations of such prohibition.

- Informs employees about the dangers of drug abuse in the work place, the firm’s policy of maintaining a drug free working environment, and available drug counseling, rehabilitation, and employee assistance programs, and the penalties that may be imposed upon employees for drug use violations.
- Gives each employee engaged in providing commodities or contractual services that are under bid or proposal, a copy of the statement specified above.
- Notifies the employees that as a condition of working on the commodities or contractual services that are under bid or proposal, the employee will abide by the terms of the statement and will notify the employer of any conviction of, plea of guilty or nolo contendere to, any violation of Chapter 1893, of any controlled substance law of the State of Florida or the United States, for a violation occurring in the work place, no later than five (5) days after such conviction, and requires employees to sign copies of such written (*) statement to acknowledge their receipt.
- Imposes a sanction on, or requires the satisfactory participation in, a drug abuse assistance or rehabilitation program, if such is available in the employee’s community, by any employee who is so convicted.
- Makes a good faith effort to continue to maintain a drug free work place through the implementation of the drug free workplace program.

“As a person authorized to sign this statement, I certify that the above named business, firm or corporation complies fully with the requirements set forth herein”

Authorized Signature

Date Signed

State of Florida
County of _____

Sworn to and subscribed before me this ____ day of _____ 20 ____.

Personally known _____ or Produced Identification _____
(Specify type of identification)

Signature of Notary
My Commission Expires: _____

THIS FORM MUST BE COMPLETED AND RETURNED WITH YOUR PROPOSAL.