

Due to space limitations, the complete Solicitation is not posted here. The complete Solicitation may be requested via email to [Pdunston@usccr.gov](mailto:Pdunston@usccr.gov). Please reference the Solicitation Number, CCR-16-0001, in your email.

This is a combined synopsis/solicitation for commercial services prepared in accordance with the format in FAR Subpart 12.6, as supplemented with additional information included in this notice. This announcement constitutes the only solicitation; quotes are being requested and a written solicitation will not be issued. Solicitation CCR-16-0001 is not a small business set aside and will be awarded as a firm fixed-price contract.

## Scope of Work

### Financial Statement Audit (FSA)

The Contractor shall conduct an audit of Commission's annual financial statements. The audit shall be performed in accordance with generally accepted government auditing standards (GAGAS), as specified in the most current version of the Government Accountability Office's (GAO) Government Auditing Standards, and the provisions of OMB Bulletin No. 15-02, Audit Requirements for Federal Financial Statements, as amended. In conducting the audit, the methodology used should be consistent with the most current version of the GAO/President's Council on Integrity and Efficiency (PCIE) Financial Audit Manual (FAM). At a minimum, the Contractor shall provide documentation, prior to beginning the work, which demonstrates how the Contractor's approach addresses the elements of the FAM.

With respect to Required Supplementary Information (RSI) and Required Supplementary Stewardship Information (RSSI), the Contractor shall assess whether the information and its presentation is materially consistent with the information in the basic statements. In performing this assessment the contractor shall perform procedures consistent with AU § 558, Required Supplementary Information.

With respect to internal controls, the Contractor shall obtain an understanding of the components of internal control and assess the level of control risk relevant to the assertions embodied in the classes of transactions, account balances, and disclosure component of the financial statements. Such controls include relevant information technology (IT) general and application controls and controls relating to intra-entity and intra-governmental transactions and balances.

To assess the effectiveness of the IT control environment, the Contractor shall, at a minimum, perform procedures over the following GAO Federal Information System Controls Audit Manual (FISCAM) general control areas:

- Security management
- Access controls
- Configuration management
- Segregation of duties
- Contingency planning

With respect to compliance with applicable laws and regulations, the Contractor shall perform tests of compliance with laws and regulations, including laws governing the use of budget authority laws, regulations, and government-wide policies identified by OMB, and any other laws and regulations that could have a direct and material effect on the basic statements.

### Planning

The Contractor shall plan the audit work consistent with the FAM Section 200. The Contractor shall develop ways to obtain the evidence necessary to report on Commission's financial statements, internal controls, and compliance with laws and regulations. The Contractor shall receive approval from the Contracting Officer's Representative (COR) prior to the implementation of any changes to the scope of the audit. The Contractor shall conduct an entrance conference with key Commission officials for the financial statement audit. The entrance conference shall occur prior to the commencement of work. The Contractor shall coordinate with the COR to schedule these meetings.

### Testing

The Contractor shall complete the following in accordance with FAM Sections 300 and 400:

- determine the nature, timing, and extent of audit procedures
- document the results of audit procedures performed
- document conclusions reached

Audit procedures shall encompass tests of internal controls, tests of detail transactions and balances (substantive testing), and tests of compliance of laws and regulations. As necessary and based on testing performed, the Contractor shall develop findings and recommendations, as described in the FAM Section 580 and generally accepted government-auditing standards.

### Reporting

The Contractor shall complete audit procedures, evaluate results and conclusions reached, and report results to the COR and Commission management consistent with the FAM Section 500. The Contractor shall conduct an exit conference with key Commission officials for the financial statement audit. The exit conference shall occur upon completion of the audit. The Contractor shall coordinate with the COR to schedule these meetings. The Contractor shall conduct a lessons learned meeting with the appropriate Commission management representatives and the COR to discuss and document the processes that were effective and those that could be improved during the subsequent year's contract performance.

### Other Considerations

The Contractor shall consider the staffing and other limitations facing the Commission in the planning, testing, and reporting phases of the financial statement audit. The contractor shall conduct the audit in a manner consistent with generally accepted government auditing standards that allows the Commission to respond to the auditor's requirements.

## Deliverables

No.	Title	Ref.
001	Detailed Audit Planning Documents <sup>2</sup>	2.1.1
002	Audit Programs	2.1.1
003	Internal Control Phase Documents	2.1.2
004	Interim Audit Documentation	2.1.2
005	Final Audit Documentation	2.1.2
006	Audit Reports (Draft and Final)	2.1.3
007	Management Letter Financial Statement Audit	2.1.3
008	Firm Memorandum for Independence and Quality Control, Peer Review Report and PCAOB Inspection Report	2.3.2.3
009	Statements of Independence and GAOCPPE Compliance	2.3.2.3, 2.3.2.4
010	Non-Disclosure Agreements	2.3.2.5
011	Monthly Progress Reports	2.3.3
012	Technical Status Meeting Agendas	2.3.4

The period of performance for this task shall be from the date of award through December 15, 2016, with two 30-day extensions, if needed and four option years.

Offers will be evaluated in accordance with FAR 52-212.2 “Evaluation – Commercial Items, which is incorporated into this solicitation with addendum to paragraph (a) as follows: the following factors shall be used to evaluate offers: (1) technical proposal, (2) past performance, and (3) price. The Government will make award to the responsible offeror whose offer conforms to the requirements herein and represents the best value to the Government. Contractor technical proposal is significantly more important than price.

Technical Proposal: The quote shall include (1) the technical approach, (2) qualifications of the contractor and key personnel. The technical approach should include how the contractor plans to deal with the limitations identified in the solicitation. The quote must provide resumes of all key personnel and other proposed staff. The resumes should indicate the proposed staff’s knowledge and experience with conducting Financial Statement audits on small Federal agencies. The quote must include the contractor’s experience with conducting Financial Statement of small Federal agencies.

Past performance: The quote shall include a minimum of three (3) references with a brief description of previous projects of similar size and complexity. Each example of past performance shall include: contract number; contract description; contract amount and type of contract; period of performance; name, address, Email address, telephone number, fax number (if Govt contract, provide the name, telephone number of contracting officer and the COR or if commercial, provide the technical and contracting

equivalent); size and complexity of the project; and whether all options were exercised.

Pricing: The quote shall include the following information: (1) a breakdown of labor categories, fully burdened hourly rates for all proposed personnel under each effort as outlined in the Statement of Work, (2) a breakdown of the number of proposed hours in sufficient detail to allow the Government a good understanding of your planned technical approach and the ability to review the consistency between the planned technical approach and the proposed pricing.

The proposal shall not exceed 25 pages – resumes excluded.

The following Federal Acquisition Regulation (FAR) provisions and clauses in effect through FAC 2005-03, dated April 2005 are applicable to this procurement: 52.212-1, Instructions To Offerors-Commercial Items; 52-212-4 Contract Terms and Conditions-Commercial Items; 52.212-5 Contract Terms and Conditions Required to Implement Statutes or Executive Orders-Commercial Items including subparagraphs (b) (1), (17), (18), and (19), which are applicable to commercial services. 52.227-17 Rights in Data-Special Works and the Key Personnel Clause is applicable as well. The offeror shall submit with their quote a completed copy of FAR 52.212-3, Offeror Representations and Certifications-Commercial Items. The award will be based on the best value to the Government, price and other factors included. Submit three (3) copies of your quotes to Pamela Dunston, U.S. Commission on Civil Rights, Acquisition Office, Room 1139, 1331 Pennsylvania, NW., Suite 1150, Washington, DC 20425. Quotes will be accepted by Email, or hand-delivered. Proposals are due by Tuesday, April 19, 2016 at 12:00 Noon. The Government shall not pay for any costs associated with the preparation of the proposal.

All RFQs received in [acquisitions@usccr.gov](mailto:acquisitions@usccr.gov) must be received by the deadline specified on <http://www.usccr.gov>. USCCR accepts no liability for the problems that are encountered by your email system. Please check for any viruses or security problems with your system before sending an email to this account. We will not accept any RFQs after the posted deadline.

Point of Contact: Pamela Dunston

Place of Performance: Washington, DC