

**CITY OF MERCEDES, TEXAS**  
**REQUEST FOR PROPOSALS (RFP)**  
**AUDITING SERVICES**  
**FOR TCEQ SELF-AUDIT**

**Background Information**

The City of Mercedes is a Home Rule Municipal Government with a City Commission- City Manager form of government. Pursuant to its provisions, and subject only to the limitations imposed by the Constitution, laws and statutes of the State of Texas, and by its City Charter, all powers of the City of Mercedes shall be vested in the elected City Commission which shall enact local legislation, adopt budgets, determine policies, and appoint a City Manager, who in turn will be held responsible to the City Commission for the execution of the laws and the administration of the government of the City.

The City of Mercedes shall have power to, among others, construct and maintain, or require the construction and maintenance, within or without its corporate limits (ETJ jurisdictions), streets, flood control and sanitary facilities, water, and/or storm drainage facilities in, over, under or upon all public property or easements granted for that purpose and to levy assessments for the costs of such improvements.

The City of Mercedes has issued a Request for Proposals (RFP) for Auditing Services for a TCEQ Self-Audit.

Request for Proposals must be submitted no later than Wednesday, November 10, 2021 at 4:00 PM at which time they will be opened in the City Manager's office. Any RFP's received after the deadline shall be returned unopened. Request for Proposals submitted via fax will not be accepted.

**Phase 1:**

Review TCEQ Records and Enforcements and Determine Baseline TCEQ Compliance Status.

**Phase 2:**

Firm must notify TCEQ w/Certified Letter that the City will conduct a TCEQ Self-Audit.

**Phase 3:**

Conduct compliance audit of the:

- Water & Wastewater System/Operations under self-audit privilege act.

**Phase 4:**

Present Audit results internally and develop corrective action, costs, priorities, schedules, and identify financing options.

**Phase 5:**

Compliance agreement plan

**Phase 6:**

Compliance Plan Implementation and Monitoring.

**Phase 7:**

Disclose Violations with TCEQ as per the Self-Audit Privilege Act.

**Questions:**

Please direct any written questions regarding the City's TCEQ records to Public Works Director Joaquin Hernandez by email at joaquinh@cityofmercedes.com on or before 5:00 p.m. Wednesday, October 27, 2021.

The question(s) and response(s) shall be provided through email to all known prospective applicants and posted on the website as an addendum.

**Selection of Applicant(s)**

The contract for auditing services shall be for the City's TCEQ Self-Audit for the Water & Wastewater System.

Upon selection of the applicant by the City Commission, they will be contacted to submit the engagement letter for management approval.

It is further stated by the City of Mercedes that the performance and services to be provided will be paid from current revenues available.

**Proposal Content**

1. Describe your organization & the type of organization it is (LLC, etc.), date founded, and ownership of your firm as well as any subsidiaries and affiliates.
2. Describe the size of your organization, the location and phone numbers of the office from which the work on this engagement is to be performed.
3. Describe the experience of your organization, and its employees assigned to this engagement in performing financial consulting services.
4. Disclose if any governmental entity dropped your organization in the last 3 years and, if so, disclose the details on why that occurred; provide contact data for the identified entities.
5. Have previous clients and/or employers filed lawsuits against your organization, or the owner personally, in the last 5 years? If so, disclose the details of those cases and if they have been settled or are still pending.
6. Identify the credentials, including any licensing and/or certification, of key personnel that will be involved in this engagement, in particular their experience in TCEQ Audit.
7. Provide a brief summation of the reason you believe your organization should be selected, particularly, the unique capabilities that distinguish it from other applicants.

**Evaluation Criteria**

The following substantially represents the principal selection criteria that will be considered during the evaluation process:

- The applicant and/or the key personnel have received adequate continuing professional education in their field of expertise within the preceding three years.
- The proposer has no conflict of interest with regard to any other work requested by the City of Mercedes.
- The proposer exhibits expertise based on past experience and performance on comparable government engagements.
- The quality of the professional personnel to be assigned to this engagement, and the quality of the proposer's management support personnel to be assigned to the engagement.
- Any other criteria the City Commission may consider to factor-in during the review process, including the verbal presentation of the applicant's proposal.
- The proposer will have sufficient personnel and dedication to present audit to the City Commission within a scheduled timeline.

### **Conditions for Submission of Proposal**

All Request for Proposals in response to this request must meet the following conditions to be considered:

- Proposal must include a cover letter clearly stating the name of the organization and name, address and telephone number of the proposer's representative.
- Proposal must address each of the items listed under 'Proposal Content'.
- List at least three (3) public sector clients that are similar to the engagement described in this Request for Proposals. Indicate the scope of work, contract period, engagement partner, and the name and telephone number of the principal client contact.
- **The City of Mercedes reserves the right to postpone, to accept or to reject any and all proposals, to waive any informalities in the proposal process and to negotiate portions thereof. Proposals that address only part of the requirements contained in this Request for Proposals will not be considered.**
- The Request for Proposals may be held for a period not to exceed thirty (30) days from the date of opening for the purpose of reviewing the proposals and investigation of the statement of qualifications and making recommendation to the City Commission for award.
- The proposer shall furnish such additional information that the City of Mercedes may reasonably require.
- The City of Mercedes will not be liable for any cost incurred in the preparation of proposals.

### **Procedures for Submitting sealed Proposals**

One (1) original and seven (7) copies of the Request for Proposals with fee schedule(s) and timeline schedule of completion must be submitted and shall be addressed to: City Secretary Joselynn Castillo, 400 S. Ohio, Mercedes, TX. 78570 and clearly marked "Bid# 2021-10-12 RFP for TCEQ Self-Audit" on the outside of the packet. **Deadline: 4:00 P.M. Wednesday, November 10, 2021.**

Joselynn Castillo  
City Secretary  
City of Mercedes, Texas

POSTED ON THIS THE 12<sup>TH</sup> DAY OF OCTOBER, 2021

Joselynn Castillo, City Secretary