



STATE OF MARYLAND JUDICIARY
Administrative Office of the Courts
REQUEST FOR PROPOSALS (RFP)
Guardianship Auditors
RFP# 12556
ISSUED: October 19, 2020

This procurement is being conducted as a Small Procurement Request for Proposals (RFP) as described in the Judiciary Procurement Policy.

Purpose & Background

The Maryland Judiciary Administrative Office of the Courts (AOC) is seeking proposals from prospective Offerors to contract for Guardianship Auditors to conduct financial audits in guardianship of the property cases pursuant to Md. Rule 10-106.2 and the Maryland Judiciary's Guardianship Monitoring Protocol.

The Guardianship Auditor may be appointed to investigate specific issues or concerns regarding the manner in which the guardianship of the property is being administered.

Offerors may propose one Contractor's Resource or a team to provide the requested services. The resulting award will be a state-wide solution to be exercised on an as-needed basis and at the AOC's discretion via Blanket Purchase Order.

The AOC anticipates making multiple awards.

1. Scope of Work:

Contractor's Resource shall:

- Review and gather financial documents, including supporting documentation.
- Conduct interviews of pertinent witnesses, as necessary, to clarify information obtained.

- Utilize investigative, auditing, and accounting skills to analyze financial data to identify reporting deficiencies or concerns to protect the assets of the person under guardianship.
- Provide written reports and recommendations to advise the court and other stakeholders on the requirements, compliance and noncompliance status, and recommend improvements as appropriate.

2. Contractor's Resource Minimum Requirements

To be considered for award, the Contractor's Resource shall demonstrate the following requirements:

- Have at least 3 years of experience as a forensic accountant
- Possess a bachelor's degree in accounting, financial planning, estates, law, or a related course of study from an accredited college or university; individuals with a CPA are preferred.
- Knowledge of accounting and auditing methods and systems, including Generally Accepted Government Auditing Standards (GAGAS) and Generally Accepted Accounting Principles (GAAP);
- Ability to gather and report facts with a thorough knowledge of investigative methods
- Ability to compose clear and concise audit reports and correspondence
- Ability to gather and analyze accurate and relevant audit information; accurately complete and assemble audit working papers; communicate effectively
- Ability to work on multiple cases simultaneously; establish and maintain positive, courteous and effective working relationships
- Ability to interpret and explain rules and statutes, and to apply provisions of the law to individual cases
- Excellent organizational skills with the ability to meet deadlines
- Possess a valid Maryland driver's license required to operate a motor vehicle, and they consent to a criminal background check.

3. Place of Performance

- Guardianship Auditor services are needed for all Maryland Judiciary court houses in every county of the State of Maryland as well as Baltimore City
- Offerors shall list, in their response, the geographical areas/counties which their firm WILL or WILL NOT service.

Maryland Court locations can be found at: <https://www.mdcourts.gov/courtsdirectory>

- 4. Pre-Proposal Conference:** A Pre-Proposal Conference will be held on **October 28, 2020 beginning at 1:00 PM (EST)**. Attendance at the Conference is not mandatory but recommended in order to facilitate better preparation of proposals.

This Pre-Proposal Conference will be held in conjunction with Small RFP 12558, Guardianship Auditors, due to the similar nature of the procurements.

Offerors may attend via dial in option:

Dial -in Number: +1 443-833-0155 Access Code: 826504578

5. Contract Type

The resulting contract shall be for Fixed Price.

6. Contract Term

The Contract resulting from this Small Procurement (RFP) shall begin with execution of Purchase Order and extend for a base period of one year. The Judiciary shall have the sole right to exercise up to one, one-year renewal option at its discretion.

7. Procurement Officer

The sole point-of-contact for purposes of this Small Procurement (RFP) prior to the award of any Contract shall be the Procurement Officer at the address listed below:

Karen Hoang

Maryland Judiciary, Administrative Office of the Courts

Department of Procurement, Contract and Grant Administration

Telephone: 410-260-1582

Email: karen.hoang@mdcourts.gov

8. Form of Response

Proposals must be in writing.

a. **Part I** – Technical proposals must include a written response to the Scope of Work that demonstrates the following:

- i. **Proposed contractor’s resource experience with forensic accounting.**
- ii. **Proposed contractor’s resource resume(s)**
- iii. **If proposing a team to provide the services, clearly identify the role of each contractor’s resource**
- iv. **Provide 2-3 customer references for the contractor’s resource where the customer is similar in size to the RFP scope**

b. **Part II** – Price proposals must include the fully loaded fixed price for the services proposed using Attachment A (Price Proposal Form).

9. Proposal Closing Date

All proposals must be received via email to the Procurement Office at the email address listed in Section Number 6, no later than **no later than 2:00pm (local time) on November 12, 2020** in order to be considered.

10. Award Determination

The Contract resulting from this Small Procurement (RFP) will be awarded to the Offeror(s) whose proposal is determined to be the most advantageous to the State, based on the evaluated spectrum of services proposed and price.

- Skills and Background
- Experience
- Availability
- Work Plan for this engagement
- Price

Attachment A - Price Proposal Form

Contractor’s price proposal must be complete and include all charges. AOC will not pay for any charges not listed in their quote.

| Labor Categories | Hourly Labor Rate* |
|---|---------------------------|
| Guardianship Auditors Consultant – One-year Base | \$ |
| Guardianship Auditors Consultant- Option 1- One year | \$ |
| | |

*** The Fully Loaded Hourly Labor Rate is the actual rate the State will pay for services and must be recorded in dollars and cents.**

An invoice for travel expenses shall be submitted to the AOC by the Contractor and reimbursed in accordance with the Judiciary’s travel policy.

| |
|-----------------------------------|
| Submitted by Authorized Signature |
| Date |
| Print Name and Title |
| Company Name |
| Company Address |
| Telephone |
| Federal Tax Identification No. |