

# **REQUEST FOR PROPOSALS (“RFP”) FOR PROVISION OF AUDIT SERVICES FOR THE ILLINOIS INTERNATIONAL PORT DISTRICT**

Required for use by:

**Illinois International Port District  
(IIPD)**



All proposals and other communications must be addressed and returned to:

Mr. Erik Varela  
Executive Director  
Illinois International Port District  
3600 E. 95<sup>th</sup> Street  
95<sup>th</sup> and the Lakefront  
Chicago, Illinois 60617-5193  
[iipd@IIPD.com](mailto:iipd@IIPD.com)

**PROPOSALS MUST BE RECEIVED NO LATER THAN 12:00 P.M. (CST), ON December 6, 2021**

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**IVAN SOLIS  
CHAIRMAN**

**Erik Varela  
EXECUTIVE DIRECTOR**

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**Illinois International Port District  
REQUEST FOR PROPOSALS (RFP)**

**RFP HIGHLIGHTS**

- ❖ The Illinois International Port District (“IIPD” or “Port District”) is hereby issuing this request for proposals (“RFP”) seeking proposals from qualified and experienced firms and contractors interested in providing and performing audit services related to its year-end financial statements, commencing with the year ending December 31, 2021.

**RFP SCHEDULE**

<b>Event</b>	<b>Target Date</b>
RFP Issuance	November 10, 2021
Due Date for Sealed Proposals	December 6, 2021 at 12:00 pm (CST)
Opening of Sealed Proposals	December 6, 2021 at 3:00 pm (CST)
Announcement/Commencement of Awards (if any)	December 17, 2021

Respondents that download a proposal from the IIPD’s website: <http://www.iipd.com>, instead of obtaining the hard copy paper proposal from the IIPD’s Central Office, are responsible for checking the IIPD’s website for clarifications and/or addenda. Failure to obtain clarifications and/or addenda from the IIPD’s website will not relieve the Respondent from being bound by any additional terms and/or conditions. For all information concerning this RFP, including questions from Respondent(s) and responses from IIPD, and any updates to this RFP, Respondent(s) are urged to frequently refer to IIPD’s website at: <http://www.iipd.com>

**COMMUNICATION DURING THE RFP PROCESS**

All questions or requests for clarification shall be in writing and must be sent by email to [iipd@iipd.com](mailto:iipd@iipd.com), and directed to the attention of Erik Varela, Executive Director. Emails must clearly indicate “Questions and Requests for Clarification” in the subject line and must refer to “Request for Proposals (RFP) for Provision of Audit Services for the IIPD.”

**CAUTION: DEADLINES AND PROCEDURES FOR SUBMITTING PROPOSALS**

To be assured of consideration, proposals must be received by the Executive Director, at the immediately above-listed address, no later than 12:00 p.m. Central Standard Time on November 8, 2021. Respondent must submit one (1) hard copy original of the respondent’s proposal(s), five (5) duplicate hardcopies and an electronic copy in .pdf format on a flash drive/memory stick. The original documents must be clearly marked as “ORIGINAL”, and must bear the original signature of an authorized corporate agent on all documents requiring a signature. Respondent must enclose all documents in sealed envelopes or boxes.

When responses are delivered by mail or messenger to the Executive Director, the Respondent is responsible for their delivery BEFORE the due date and time. If delivery is delayed beyond the date and hour set for the receipt, said responses so delayed will not be considered and will be returned unopened at the expense of the Respondent.

Any false statement(s) made by the Respondent(s) will void the response and eliminate the Respondent(s) from further consideration.

The Executive Director reserves the right to reject any submittal that deviates from the submittal requirements. No additional or missing documents will be accepted after the due date and time except as may be requested by the Executive Director.

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### **RFP ENCLOSURES:**

- 1 – Ownership Disclosure Form

# REQUEST FOR PROPOSALS (RFP)

## I. Background

The Illinois International Port District (IIPD) is an Illinois municipal corporation created to promote the shipment of cargoes and commerce through its facilities. IIPD is the owner and master landlord controlling two land areas in South Chicago: Iroquois Landing, an open paved terminal with 3,000 linear feet of ship and barge berthing space located at the mouth of the Calumet River in the southwest corner of Lake Michigan; and Senator Dan Dougherty Harbor (Lake Calumet) which currently is home to various harbor operations and terminals located at the junction of the Grand Calumet and Little Calumet Rivers, situated six miles inland from Lake Michigan. IIPD's harbor facilities are served by rail facilities and are adjacent to three interstate highways and feature an abundance of warehouse facilities.

## II. General Information

The IIPD is hereby issuing this RFP seeking proposals from qualified and experienced firms and contractors interested in providing and performing audit services related to its year-end financial statements, commencing with the year ending December 31, 2021.

1. The IIPD currently uses a modified cash basis method of accounting, and will continue to do so for at least the 2021 financial statements.
2. Historically, IIPD requests Audit needs to be scheduled to allow for final report issuance no later than May 30<sup>th</sup>. Respondents should provide detailed comments with any concerns or issues in meeting this deadline.
3. Nature of operations and basis of accounting are described in the annual financial reports which can be found at <https://www.iipd.com/about/financial-statements>

The Port District anticipates offering and entering a one-year arrangement with the option for two one-year renewals at the same rates. The Port District has the right to terminate the contract upon thirty (30) days' notice.

## III. Response Requirements

A. *Minimum Response Requirements:* In order to be considered, all Respondent(s) proposals must meet the following Minimum Requirements:

1. Information must be received on time. Information must be complete, in conformance with the specifications and other requirements of this RFP and include all documentation, evidence or verification requested.
2. To be eligible to bid, Respondents are required to be in business a minimum

of five (5) years and to be licensed in the State of Illinois.

3. Respondent(s) must agree to comply with applicable local, state and federal laws and regulations governing the conduct of firms in business with the State of Illinois.

B. *General Respondent Requirements:* Proposals should be as thorough and as detailed as possible so that IIPD may properly evaluate a respondent(s)' capabilities, and should affirmatively acknowledge that Respondents understand and will meet the following requirements and/or provide the following services, if selected:

1. Respondents must provide a general description and background concerning Respondent's organization, including size and structure of firm, corporate headquarters and types of services offered. Respondents should complete and submit the Ownership Disclosure Form enclosed herewith as RFP Enclosure 1.
2. Respondents should state whether they will self-perform the proposed services and/or include details regarding any joint venture arrangements. If joint venture, discuss portions of the work to be performed by each joint venture partner, contractor and/or subcontractor.
3. Respondents must identify all licensures, certifications and/or accreditations that Respondent has received or attained.
4. Respondents must provide a statement of relevant experience and/or qualifications relevant to any portion of the work being proposed, and include additional statements of governmental audit experience, if any. Respondents should demonstrate understanding of all applicable standards for performance applicable to this RFP and explain plans for compliance with applicable standards.
5. Respondents are requested to provide a fixed fee quote to conduct the audits for the years 2021, 2022 and 2023 using the modified cash basis of accounting. Please provide a fixed fee quote for the audits for the years 2021 and 2022 using GAAP-based accounting, in the event that the IIPD decided to change its method of accounting for those years. To the extent that any additional fees and charges are not otherwise included the fixed fee proposal, please include details regarding any such additional fees and charges.
6. Respondents are requested to provide a listing of their current references and contacts for the reference firms.
7. Respondents must provide a listing of any litigation they have been involved in for the past five (5) years, as well as any debarment or disciplinary actions taken against respondent in the past five (5) years.

- C. *Changes by Respondent(s)*. If Respondent(s) changes any element(s) of its bid, IIPD, in its discretion, may disqualify the Respondent(s).
- D. *Proprietary Information*. Respondent(s) are hereby advised that the IIPD is subject to the Illinois State Freedom of Information Act, (“FOIA”), (5 ILCS 140/1, et seq.). Confidential information will be treated as such to the extent consistent with the Port District’s legal obligations under FOIA and other applicable laws, regulation or legal process and the provisions of any Confidentiality Agreement between IIPD and Respondent(s). Upon the request of a Respondent(s), IIPD will entertain reasonable confidentiality agreements concerning confidential or proprietary information a Respondent(s) wishes to protect from public disclosure, provided, however, any such agreement shall be subject to FOIA and other applicable legal requirements as set forth above.

Additionally, Respondents may designate those portions of the Proposal which contain trade secrets or other proprietary data that must remain confidential. If a Respondent includes data that is not to be disclosed to the public for any purpose or used by the IIPD except for evaluation purposes, the Respondent must:

1. Mark the title page as follows: “This RFP Proposal includes trade secrets or other proprietary data (“data”) that may not be disclosed outside the IIPD and may not be duplicated, used or disclosed in whole or in part for any purpose other than to evaluate this Proposal. The data subject to this restriction are contained in sheets (insert page numbers or other identification).”
2. Mark each sheet or data to be restricted with the following legend: “Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this Proposal.”

The IIPD, for purposes of this provision, may include any consultants assisting in the evaluation of Proposals. If, however, a contract is awarded to this Respondent as a result of or in connection with the submission of this data, the IIPD has the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the IIPD’s right to use information contained in the data if it is obtained from another source without restriction.

#### **IV. Communication during RFP Process**

IIPD’s contact person for this solicitation Erik Varela, who can be reached at:

Erik Varela, Executive Director  
[iipd@iipd.com](mailto:iipd@iipd.com)

All questions or requests for clarification shall be in writing and must be sent by email to [iipd@iipd.com](mailto:iipd@iipd.com), and directed to the attention of Erik Varela, Executive Director. Emails

must clearly indicate “Questions and Requests for Clarification” in the subject line and must refer to “Request for Proposals (RFP) for Provision of Audit Services for the IIPD.”

**Respondent(s) must not communicate directly or indirectly with any IIPD Trustee, officer, employee, or other representative of IIPD or its advisors or customer or their advisors on matters related to this RFP other than the contact person specified above or his designee.**

Answers to questions of general interest, updates and addenda will be posted on the IIPD website: <http://www.iipd.com>

The Port District will review all properly submitted responses and if necessary, may request additional information (in writing and/or through presentations or interviews) or written clarification.

## **V. Deadline and Procedures for Submitting Proposals**

To be assured of consideration, proposals must be received by the Executive Director, at the immediately above-listed address, no later than 12:00 p.m. Central Standard Time on December 6, 2021.

Respondent must submit one (1) hard copy original of the respondent’s proposal(s), five (5) duplicate hardcopies and an electronic copy in .pdf format on a flash drive/memory stick. The original documents must be clearly marked as “ORIGINAL”, and must bear the original signature of an authorized corporate agent on all documents requiring a signature. Respondent must enclose all documents in sealed envelopes or boxes.

## **VI. Resident Businesses / M/WBE Participation / Hiring Practices**

Preference will be given to Illinois resident businesses and M/WBE certified businesses, when possible. IIPD seeks to reach goals of (26%) Minority Business Enterprise ("MBE") participation and (6%) Women Business Enterprise ("WBE") participation in goods and/or services relating to its contracting matters. Respondent shall indicate any plans to address the IIPD's M/WBE goals.

The Respondent shall agree to comply with the constitution of the United States, the Civil Rights Act of 1964 (42 U.S.C. 1971, et seq.), Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794, et seq.), the Americans With Disabilities Act of 1990 (42 U.S.C. 1210, et seq.), the Fair Labor Standards Act of 1938 (29 U.S.C. 201, et seq.), the Constitution of the State of Illinois, the Illinois Human Rights Act (Ill. Comp. Stat. 1992, Ch. 775, Sec. 5/1-101 et seq.), the Cook County Human Rights Ordinance.



## **VII. Rights / Reservations**

The Port District reserves the right to accept or reject any and all Proposals.

The IIPD reserves the right to modify, terminate, or restart the process at any time, without giving any reason. The receipt of responses in no way obligates the IIPD to enter into any contract with any party.

The IIPD reserves the right to amend the solicitation, reject any or all Proposals and waive minor defects. This competitive process may require that Respondents provide additional information and otherwise cooperate with the IIPD. The IIPD may request a clarification, interview staff, request a presentation, or otherwise verify the contents of a Proposal, including information concerning subcontractors and suppliers.

The IIPD will make all decisions on compliance, evaluation, and terms and conditions, and shall make decisions in the best interests of the IIPD and in accordance with its policies and applicable statutes and regulations.

The IIPD is not responsible for costs or damages incurred by Respondents, member(s), partners, subcontractors or other interested parties in connection with the RFP process, including but not limited to costs associated with preparing the Proposal and of participating in any conferences, site visits, product/system demonstrations, oral presentations or negotiations.

## **VIII. Miscellaneous**

Respondent(s) are urged to refer frequently to IIPD's website. IIPD will post questions from Respondent(s) and IIPD's responses as well as corrections, addenda and updates to this RFP, if any on IIPD's website located at: [www.iipd.com](http://www.iipd.com)



That said firm is or will be represented by the following resident agents in the Chicago Area:

NAME	BUSINESS ADDRESS
_____	_____
_____	_____
_____	_____

Attach the following:

- A copy of the Partnership Agreement
- A copy of the firm's most recent Certificate of Good Standing

7. If a CORPORATION, complete the following:

- A. It is a duly authorized, qualified, and acting corporation organized on \_\_\_\_\_(date) and existing under the laws of the State of \_\_\_\_\_.
- B. That the following is a complete and accurate list of officers, directors, and shareholders of said corporation (attach separate list, or organization chart, if preferred or if necessary). Note: if the Corporation is listed on the New York or American Stock Exchange and its last annual statement and report is submitted, the names of shareholders need not be listed in this form.

President:

Vice President:

Secretary:

Treasurer:

Local Contact or Agent:

List of Shareholders:

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

List of Directors:

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

C. Attach the following:

- A copy of the Articles of Incorporation.
- A copy of the firm's most recent Certificate of Good Standing

8. If the firm is a LIMITED LIABILITY COMPANY, provide the following:

- A copy of the firm's Management Agreement or Equivalent Documents.
- A copy of the firm's most recent Certificate of Good Standing.
- A statement of membership comprising a list of members and notation as to which members are entitled to a distributional interest.

All of the above documents should be certified by an authorized member or manager.

9. If the firm is a PARTNERSHIP WITH A CORPORATE GENERAL PARTNER, or if any Entity of the firm is owned or controlled by another business entity, provide the following information for the controlling entity:

- A. The entity was organized on the State of \_\_\_\_\_ (Date) and exists under the laws of the State of \_\_\_\_\_.
- B. That the following is a complete and accurate list of officers, directors., and shareholders of said firm (attach separate list, or organization chart, if preferred or if necessary). Note if the firm is listed on the New York or American Stock Exchange and its last annual statement and report is submitted herewith, the names of shareholders need not be listed in this form.

President:

Vice President:

Secretary:

Treasurer:

Local Contact or Agent:

List of Shareholders:

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List of Directors:

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C. Attach the following:

- A copy of the Articles of Incorporation or Other Organizing Documents.
- A copy of the firm's most recent Certificate of Good Standing.

10. Please submit:

A. List of references: