



New Mexico Mortgage Finance Authority

Request for Proposal For External Audit Services

April 2019

TABLE OF CONTENTS

Part I: Background & General Information	3
Introduction.....	3
Purpose	3
Questions and Answers	3
Proposal Submission	3
Proposal Tenure	3
RFP Revisions and Supplements	3
Incurred Expenses.....	4
Cancellation of Requests for Proposal or Rejection of Proposals	4
Evaluation of Proposals, Award Notice and Negotiation	4
Award Notice	4
Proposal Confidentiality.....	4
Irregularities in Proposals	5
Responsibility of Offerors	5
Protest.....	5
Confidential Data	6
Timeline for Offeror Selection	6
Offerors Conference	6
Part II: Minimum Qualifications and Requirements	8
Part III: Services to be Performed	8
Part IV: Evaluation Criteria.....	9
Part V: Proposal Format and Instructions to Offeror	11
Part VI: Principal Contract Terms and Conditions	13
Contract Term	13
Equal Opportunity Compliance.....	13
Code of Conduct	13
Appendix A Organizational Reference Questionnaire	15

**New Mexico Mortgage Finance Authority
Request for Proposals
To Provide External Audit Services**

Part I: Background & General Information

Introduction

The New Mexico Mortgage Finance Authority (“MFA”) is a governmental instrumentality, separate and apart from the state, created by the Mortgage Finance Authority Act, N.M. Stat. Ann. Sections 58-18-1, et seq. (1978) for the purpose of financing affordable housing for low- and moderate-income New Mexico residents.

Purpose

The purpose of this Request for Proposals (RFP) is to solicit proposals, in accordance with the New Mexico Mortgage Finance Authority Procurement Policy, from qualified firms which by reason of their skill, knowledge, and experience are able to furnish External Audit services to MFA (“Offerors”).

Questions and Answers

Questions pertaining to this RFP and application must be submitted via the MFA website at <http://www.housingnm.org/rfp>. Then under “Current RFP’s,” select “External Audit Services.” On the External Audit Services RFP page, select the “External Audit Services FAQs” link. Questions will be checked on a daily basis. The FAQ will open the day after the RFP issues and will close on May 2, 2019. To submit your questions, scroll down to the “Ask a question” section, enter your name, email address, organization, and type your question in the “Question” box, type in the two (2) words in the CAPTCHA box and click on “Send my question”. MFA will make every attempt to answer questions within two (2) business days.

Proposal Submission

The original and one electronic copy of a proposal must be received by MFA at our office located at 344 Fourth St. S.W., Albuquerque, NM 87102 and ysegovia@housingnm.org no later than **Friday, May 17, 2019 at 4:00 p.m.**, Mountain Time. Proposals shall be in sealed envelopes marked “Response to External Audit RFP”.

Proposal Tenure

All proposals shall include a statement that the proposal shall be valid until contract award, but no more than 90 calendar days from the proposal due date.

RFP Revisions and Supplements

If it becomes necessary to revise any part of this RFP or if additional information is necessary to clarify any provision of this RFP, the revision or additional information will be provided on the MFA website.

Incurred Expenses

MFA shall not be responsible for any expenses incurred by an Offeror in responding to this RFP. All costs incurred by Offerors in the preparation, transmittal or presentation of any proposal or material submitted in response to this RFP will be borne solely by the Offerors.

Cancellation of Requests for Proposals or Rejection of Proposals

MFA may cancel this RFP at any time for any reason and may reject all proposals (or any proposal) which are/is not responsive.

Evaluation of Proposals, Selection and Negotiation

Proposals will be evaluated by an Internal Review Committee of MFA staff using the criteria listed in Parts II Minimum Qualifications and Requirements and III Services to be Performed, below, with final selection to be made by the full Board of Directors.

MFA may provide Offerors whose proposals are reasonably likely, in MFA's discretion, to be selected, an opportunity to discuss and revise their proposals prior to award, for the purpose of obtaining final and best offers. Proposals shall be evaluated on the criteria listed in Part IV Evaluation Criteria, below.

The MFA Board of Directors shall select the Offeror(s) whose proposal(s) is/are deemed to be most advantageous to MFA to enter into contract negotiations with MFA, subject to approval by the New Mexico State Auditor. If a final contract cannot be negotiated, then MFA will enter into negotiations with the other Offeror(s).

Award Notice

MFA shall provide written notice of the award to all Offerors within ten (10) days of the date of the award. The award shall be contingent upon successful negotiation of a final contract between MFA and the Offeror(s) whose proposal(s) is/are accepted by MFA, subject to approval by the New Mexico State Auditor. The MFA is subject to the New Mexico Audit Act Section 12-6-1 NMSA 1978 et seq., (State Audit Act); therefore in accordance with independence requirements set forth therein, this award will not be made to the same firm that provides internal audit services to MFA.

Proposal Confidentiality

Offerors or their representatives shall not communicate with MFA's Board of Directors or staff members regarding any proposal under consideration or that will be submitted for consideration, except in response to an inquiry initiated by the Internal Review Committee, or a request from the Board of Directors for a presentation and interview. A proposal will be deemed ineligible if the Offeror or any person or entity acting on behalf of Offeror attempts to influence members of the Board of Directors or staff during any portion of the RFP review process, including any period immediately following release of the RFP.

Until the award is made, notice is given to all Offerors and a contract is executed between MFA and Offeror, MFA will not disclose the contents of any proposal or discuss the contents of any proposal with an Offeror or potential Offeror, so as to make the contents of any offer available to competing or potential Offerors.

Irregularities in Proposals

MFA may waive technical irregularities in the form of proposal of any Offeror selected for award which do not alter the price, quality or quantity of the services offered. Note especially that the date and time of proposal submission as indicated herein under “Part I Background and General Information, Proposal Submission” cannot be waived under any circumstances.

Responsibility of Offerors

If an Offeror who otherwise would have been awarded a contract is found not to be a Responsible Offeror, a determination that the Offeror is not a Responsible Offeror, setting forth the basis of the finding, shall be prepared and the Offeror shall be disqualified from receiving the award. A Responsible Offeror means an Offeror who submits a proposal that conforms in all material respects to the requirements of this RFP and who has furnished, when required, information and data to prove that his financial resources, facilities, personnel, reputation and experience are adequate to make satisfactory delivery of the services described in this RFP. The unreasonable failure of an Offeror to promptly supply information in connection with an inquiry with respect to responsibility is grounds for a determination that the Offeror is not a Responsible Offeror.

Protest

Any Offeror who is aggrieved in connection with this RFP or the award of a Contract pursuant to this RFP may protest to the MFA. The protest must be written and addressed to:

Yvonne Segovia, Controller
NM Mortgage Finance Authority
344 Fourth St. SW
Albuquerque, NM 87102

The protest must be delivered to MFA within five (5) business days after the notice of award. Upon the timely filing of a protest, the Contact Person shall give notice of the protest to all Offerors who appear to have a substantial and reasonable prospect of being affected by the outcome of the protest. The Offerors receiving notice may file responses to the protest within five (5) business days of notice of protest. The protest process shall be:

- ◆ The protest will be reviewed by the Finance Committee of MFA’s Board of Directors, and that committee shall make a recommendation to the full Board of Directors regarding the disposition of the protest.

MFA will issue a notice of determination relating to the protest within a reasonable period of time after submission of the protest. The determination by MFA shall be final.

Note: A proposal will be deemed ineligible if the Offeror or any person or entity acting on behalf of Offeror attempts to influence members of the Board of Directors or staff during any portion of the RFP review process, which remains in effect until the expiration of the protest period, or does not follow the prescribed proposal and Protest process.

Confidential Data

Offerors may request in writing nondisclosure of confidential data. Such data shall accompany the proposal and shall be readily separable from the proposal to facilitate public inspection of non-confidential portions of the proposal. After award, all proposals and documents pertaining to the proposals will be open to the public. Confidential data is normally restricted to confidential financial information concerning the Offeror’s organization and data that qualifies as trade secrets under the Uniform Trade Secrets Act, Section 57-3A1 et seq. NMSA 1978.

If request for disclosure of data for which a request for confidentiality is made, MFA shall examine the request for confidentiality and make a written determination that specifies which portions of the proposal should be disclosed and will provide the Offeror with written notice of that determination. Unless the Offeror protests within ten (10) calendar days of the notice, the proposal will be so disclosed.

Timeline for Offeror Selection

The MFA will make every effort to adhere to the following anticipated schedule for recommended Offeror selection:

<u>DATE</u>	<u>ACTIVITY</u>	<u>RESPONSIBILITY</u>
4/17/2019	RFP goes to Board of Directors for approval	MFA
4/18/2019	Issuance of RFP	MFA
4/24/2019	RFP Offerors Conference	MFA
5/9/2019	RFP FAQ closes – deadline to submit questions	Offerors
5/17/2019	Submission of Proposals Due	Offerors
6/19/2019	Award Recommendation to Board of Directors	MFA
6/19/2019	Notification of Awards	MFA
6/26/2019	Protest Deadline	Offerors

Offerors Conference

An Offerors Conference will be conducted on April 24, 2019 at 2:30 MT to provide an opportunity for questions and answers. You may attend the Conference at the MFA Office, or by teleconference (605) 313-4821 Participant Access Code: 561172#.

Part II: Minimum Qualifications and Requirements

Only those Offerors who meet the following minimum criteria are eligible to submit a proposal pursuant to this RFP:

1. Offeror must be included on the New Mexico Office of the State Auditor 2019 Approved Audit Firms List;
2. Offeror must be a certified public accounting firm in good standing as a registrant with the Public Company Accounting Oversight Board (PCAOB);
3. Offeror must be licensed in the State of New Mexico;
4. Offeror must maintain professional liability insurance of at least \$1,000,000;

Part III: Services to be Performed

Offerors may respond to this RFP to provide External Audit services for MFA.

As requested by MFA, professional External Audit services REQUIRED to be provided under and to be incorporated into the contract to be awarded pursuant to this RFP include, but are not limited to, the following:

1. Financial Statement Audit consisting of the Statement of Net Position, Statement of Revenue, Expenses and Changes in Net Position, Statement of Cash Flows and the Notes to the financial statements for the fiscal year ended September 30, 2019 in accordance with auditing standards generally accepted in the United States of America, Government Auditing Standards, and 2.2.2 NMAC Audit Rule 2019 (available at www.saonm.org) issued by the New Mexico Office of the State Auditor;
2. Federal Audit for the fiscal year ended September 30, 2019 in accordance with Government Auditing Standards issued by the United States Government Accountability Office and Office of Management and Budget (OMB) 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards;
3. Financial Statement Preparation;
4. GNMA Compliance Reports;
5. Delivery of the Financial Statements and GNMA Compliance Reports within one hundred twenty (120) days after fiscal year end;
6. Delivery of the Financial Statements and Federal Audit Reports within one hundred twenty (120) days after fiscal year end;
7. Electronic submission of the financial statements, and preparation and submission of the Data Collection Form to the Federal Audit Clearinghouse within 30 days after release of the Federal Audit;

8. Because the MFA's bonds are publicly offered and held, the auditor may be asked to consent to inclusion of the auditor's report in the MFA's official statements and on certain occasions to issue letters to underwriters in connection with the offering of MFA's bonds on a fee basis;
9. Presentation of reports to the Board and/or Finance Committee regarding recent accounting, audit and tax updates that may affect the housing finance industry and/or MFA financial statements;
10. In accordance with NMAC 2.2.2.10 J. the Offeror shall be required to identify significant state statutes, rules and regulations applicable to the MFA and perform tests of compliance. The state statutes and constitutional provisions that MFA may be subject to include, but may not be limited to, the following:
 - a. Anti-Donation Clause (NM Constitution Article IX, Section 14);
 - b. Public Money Act (Sections 6-10-1 to 6-10-63 NMSA 1978, at § 6-10-10.1) allowing the State Treasurer to accept funds for deposit from MFA;
 - c. Special, Deficiency, and Specific Appropriations (appropriation laws applicable for the year under audit);
 - d. 2.2.2 NMAC, Requirements for Contracting and Conducting Audit of Agencies, excluding 2.2.2.10.T. Disposition of Property;
 - e. Investment of Public Money (Sections 6-8-1 to 6-8-24 NMSA 1978, at Section 6-8-7(E)) allowing the State Investment Council to accept funds for deposit from MFA.

The following state statutes and constitutional provisions may not apply to MFA:

- a. Sections 13-1-21 and 13-1-22 NMSA 1978, Procurement Code (Sections 13-1-28 to 13-1-199 NMSA 1978) and Procurement Code Regulations 1.4.1 NMAC;
- b. Per Diem and Mileage Act (Sections 10-8-1 to 10-8-8 NMSA 1978) and Regulations Governing the Per Diem and Mileage Act 2.42.2 NMAC;
- c. Public Money Act (Sections 6-10-1 to 6-10-63 NMSA 1978) except as detailed above;
- d. Public School Finance Act (Sections 22-8-1 to 22-8-48 NMSA 1978);
- e. Investment of Public Money (Sections 6-8-1 to 6-8-21 NMSA 1978) except as detailed above;
- f. Public Employees Retirement Act (Sections 10-11-1 to 10-11-141 NMSA 1978);
- g. Educational Retirement Act (Sections 22-11-1 to 22-11-55 NMSA 1978);
- h. Sale of Public Property (Sections 13-6-1 to 13-6-8 NMSA 1978);
- i. State Budgets (Sections 6-3-1 to 6-3-25 NMSA 1978);

- j. Lease Purchase Agreements (NM Constitution Article IX, Sections 8 and 11; Sections 6-6-11 to 6-6-12 NMSA 1978; Montano v. Gabaldon, 108 NM 94, 766 P.2d 1328, 1989);
 - k. Accounting and Control of Fixed Assets of State Government, 2.20.1.1 to 2.20.1.18 NMAC;
 - l. Article IX of the State Constitution limits on indebtedness;
 - m. Any law, regulation, directive or policy relating to an agency’s use of gasoline credit cards, telephone credit cards, procurement cards, and other agency-issued credit cards;
 - n. Retiree Health Care Authority Act (Sections 10-7C-1 to 10-7C-19 NMSA 1978);
 - o. Governmental Conduct Act (Sections 10-16-1 to 10-16-18 NMSA 1978);
 - p. School Personnel Act (Sections 22-10A-1 to 22-10A-39 NMSA 1978);
 - q. School Athletics Equity Act (Sections 22-31-1 to 22-31-6 NMSA 1978).
11. In addition, MFA is not subject to FHA’s Lender Assessment Subsystem (LASS) or HUD’s Real Estate Assessment Center (REAC) reporting required of public housing authorities by the United States Department of Housing and Urban Development.

Part IV: Evaluation Criteria

MFA shall award the contract for External Audit services to the Offeror whose proposal is most advantageous to MFA. Proposals shall be evaluated primarily on experience and fees. Proposals shall be scored on a scale of 1 to 100 based on the criteria listed below. Please note that a serious deficiency in any one criterion may be grounds for rejection regardless of overall score.

Criteria	Point Range	Maximum Points
1. Experience and Capability: <ul style="list-style-type: none"> a. The firm has the resources to perform the type and size of audit. Include number of team members and total audit hours available. b. Offeror meets independence standards to perform audit. c. External Quality Control Peer Review: <ul style="list-style-type: none"> ➤ Rating of Pass ➤ Rating of Pass with Deficiency(ies) d. References e. Organization and completeness of proposal. 	0-5 0-2 10 5 0-3 0-3	 23
2. Work Requirements & Audit Approach:		

a. Knowledge of audit objectives, MFA needs, and product to be delivered.	0-5	
b. Proposal contains a sound technical plan and realistic estimate of time to complete major segments of the audit: planning; interim fieldwork; fieldwork; and reporting.	0-7	
c. MFA staff support required.	0-8	
d. Approach for planning and conducting the work efforts of subsequent years.	0-2	22
3. Technical Capabilities:		
a. Governmental audit experience of on-site manager and on-site supervisor.	0-10	
b. Team audit experience:		
1) Specialization with state housing finance agencies, entities with publicly owned and offered securities, and financial institutions	0-10	
2) GASB experience	0-10	
3) Experience with governmental component units	0-5	
4) Experience with State Audit Act	0-5	40
4. Firm Strengths	0-5	5
5. Audit Fees	10	10
Maximum Points		100

Part V: Proposal Format and Instructions to Offeror

Proposals submitted to MFA must, at a minimum, contain the following information and shall be organized as follows:

1. Letter of Transmittal

Include at least the following information:

- A. Name, address and telephone number of Offeror and name of contact person.
- B. A signature of the Offeror or any partner, officer or employee who certifies that he or she has the authority to bind the Offeror.
- C. Date of proposal.
- D. A statement that the Offeror, if awarded the contract, will comply with the contract terms and conditions set forth in this RFP.
- E. A statement that the Offeror’s proposal is valid for ninety (90) days after the deadline for submission of proposals.

2. Disclosure Statement. A statement disclosing: (1) any political contribution or gift valued in excess of \$250.00 (singularly or in the aggregate) made by Offeror to any elected official of the State of New Mexico in the last three years, (2) any current or proposed business transaction between Offeror and

any MFA member, officer, or employee, and (3) any other conflict or potential conflict which may give rise to a claim of conflict of interest.

3. Good Standing. Proof of good standing as a CPA firm registered with the Public Company Accounting Oversight Board (PCAOB) pcaobus.org. A copy of the firm's most recent external Quality Control Peer Review in accordance with Standards established by the Peer Review Board of the American Institute of Certified Public Accountants for Public Company Audit Firms, including evidence of acceptance by the Center for Public Company Audit Firms, and letter of comments and a statement providing the rating received. A description of any disciplinary actions involving the firm during the past three years or a statement that there have been none. A statement that the firm's net worth is at least \$250,000.
4. Licensure and Approval. A statement that the Offeror is licensed in the State of New Mexico and included on the NM State Auditor's 2019 Approved Audit Firms List. Indicate whether the firm is under any restrictions with the NM Office of the State Auditor, and if so, a description of the restriction.
5. Insurance. Proof of professional liability insurance of at least \$1,000,000.
6. Qualifications & Experience. Description of firm capability and experience, including:
 - A. The resources available to perform the type and size of MFA's audit;
 - B. An estimate of the number of hours required to provide Services to be Performed above and the total audit hours available.
7. MFA Contracts. List all professional services contracts the Offeror has entered into with MFA for the past two (2) years, including the contract date, contract amount, and description of services provided. Include a discussion as to the effect of the contracts on Offeror's independence in accordance with Generally Accepted Government Auditing Standards 2018 Revision.
8. References. Please provide at least three references from state housing finance agencies, state agencies, financial institutions and/or mortgage servicers. Insert Offeror's name at the top of page 2 on Appendix A and submit Appendix A to at least three references for completion. The reference must submit the completed Organizational Reference Questionnaire directly to MFA, not to the Offeror, by May 17, 2019 at 4:00 p.m. See Appendix A for further instructions. The fillable form is available on MFA's website.
9. Audit Approach. Describe Offeror's audit approach including:
 - A. Audit objectives, understanding of MFA's requirements, and final product to be provided;
 - B. Technical plan and estimate of time to complete major segments of the audit and estimated timeline: planning, interim fieldwork, fieldwork, and reporting. Include the estimated start and end date to complete 1) the draft to the State Auditor's Office and 2) the audit.
 - C. Anticipated support from MFA staff and list of schedules anticipated to be prepared by MFA staff. Include a description of Offeror's data analytics approach to mining the data provided in order to minimize MFA staff disruptions; and
 - D. Approach for planning and conducting the audit work efforts of subsequent years.

- E. As stated in Section III: Services to be Performed, Offeror is expected to prepare the financial statements. Discuss the specific requirements of MFA in order for your firm to fulfill the service while continuing to maintain independence.

10. Resumes. Names and resumes of the on-site manager and on-site supervisor, and all other personnel to be assigned to the account. Resumes describing the qualifications of personnel to be utilized in the performance of this contract must show, at a minimum, the person's name, education, positions, total years of governmental audit experience, and total years and types of other experience relevant to the performance of the contract, information regarding CPA licensure. Include a list of individuals within the firm qualified to supervise a Generally Accepted Government Auditing Standards (GAGAS) audit and issue the related report, regardless of whether they will be assigned to the MFA audit. Discuss the governmental audit experience and qualifications of the on-site manager and on-site supervisor assigned to the account.

11. Technical Capabilities.

- A. Experience with conducting audits of state housing agencies, entities with publicly offered securities and financial institutions, particularly with mortgage operations and mortgage banking operations;
- B. Experience with auditing entities subject to GASB;
- C. Experience with auditing governmental component units; and
- D. Experience with the State Audit Act.

12. Other Relevant Information. Please provide any other relevant information which will assist the MFA in evaluating Offeror's ability to provide External Audit services to MFA, including firm strengths and weaknesses. Include information that specifies whether the firm qualifies as a small business, minority-owned firm, or a women's business enterprise as referenced in 2 CFR Part 200.509.

13. Fees. Provide the cost of services on a per-hour basis. Breakdown the number of hours and total cost for fiscal years 2019, 2020 and 2021 by:

- A. Financial Statement Audit;
- B. Federal Single Audit;
- C. Financial Statement Preparation;
- D. GNMA Compliance Reports; and
- E. Gross Receipts Tax.

Lodging and other travel related expenses shall be reimbursed by MFA in accordance with MFA expense reimbursement policies set forth in its Policies and Procedures Manual.

14. Affirmative Actions. MFA requires that Offeror be an Equal Opportunity Employer. Please state that Offeror complies fully with all government regulations regarding nondiscriminatory employment practices.

15. Certification of Eligibility. Offeror shall provide MFA with written certification that Offeror is eligible to participate in any and all federal or state funded housing programs; is not currently facing disciplinary action by any federal, state or local entity; is not suspended, debarred or excluded from participation in any federal or state funded housing program; and is not listed as an excluded party (ies) on the System for Award Management's list of excluded parties accessed at www.sam.gov.
16. Litigation. Please describe any material, current or pending litigation, administrative proceedings or investigations that could impact the reputation or financial viability of Offeror.

Part VI: Principal Contract Terms and Conditions

Awards shall be contingent upon successful negotiation of a final contract between MFA and the Offeror whose proposal is accepted by MFA, subject to NM State Auditor approval. This RFP in no manner obligates MFA to disburse any funds to any Offeror until a valid written contract is fully executed and all conditions of disbursement have been met. Only contract forms provided by the NM State Auditor will be used. A sample form can be viewed at http://www.saonm.org/procuring_contracts by looking at the contract template, which requires "No DFA Approval". In addition to the terms respecting the Services to be Performed and compensation described above, the contract between the MFA and the successful Offeror (herein "Contractor") shall include contract terms substantially similar to the following:

Contract Term

The term of the External Audit services contract shall cover the fiscal year which began on October 1, 2018 and is to end September 30, 2019. At the option of the MFA Board, the contract may be extended for two successive one-year periods at the same price, terms and conditions as stated on the original proposal. This RFP and the proposal submitted by the successful Offeror, including the fee proposal, shall define the terms by which the successful Offeror shall perform the services contemplated by the RFP. The contract will be issued by the NM State Auditor, and is subject to approval by the NM State Auditor.

Equal Opportunity Compliance

Contractor agrees to abide by all federal and state laws, rules and regulations and executive orders pertaining to equal employment opportunity. Contractor agrees to assure that no person in the United States shall, on the grounds of race, color, religion, national origin, sex, sexual preference, age or handicap, be excluded from employment with or participation in, be denied the benefits of, or be otherwise subject to discrimination under, any program or activity performed under the contracts.

Code of Conduct

No Board member or employee of MFA shall have any direct financial interest in any contract with the Offeror, nor shall any contract exist between Offeror or its affiliate with any MFA Board member or employee that might give rise to a claim of conflict of interest. Any violation of this provision will render void any contract

between MFA and the Offeror for which MFA determines that a conflict of interest exists as herein described, unless that contract is approved by the MFA Board of Directors after full disclosure.

Offeror shall warrant that it has no interest, direct or indirect, which would conflict in any manner or degree with the performance of services required under any contract entered into with MFA pursuant to this RFP. Offeror shall at all times conduct itself in a manner consistent with the MFA Code of Conduct and MFA's Anti-Harassment Policy. A copy of the MFA Code of Conduct and MFA's Anti-Harassment Policy is posted on the MFA website for review at <http://www.housingnm.org/rfp>. Upon request by MFA, Offeror shall disclose information MFA may reasonably request relating to conflict or potential conflicts of interest.

New Mexico Mortgage Finance Authority

Board Members

Chair, Dennis Burt – Burt & Company CPAs

Vice Chair, Angel Reyes – President, Centinel Bank

Treasurer – Steven J. Smith – President, R.O.G. Enterprises

Member, Howie Morales - Lieutenant Governor, State of New Mexico

Member, Hector Balderas - Attorney General, State of New Mexico

Member, Tim Eichenberg - Treasurer, State of New Mexico

Member – Randy McMillan – NAI Director

Management

Jay Czar, Executive Director

Gina Hickman, Deputy Director of Finance & Administration

Izzy Hernandez, Deputy Director of Programs

APPENDIX A

ORGANIZATIONAL REFERENCE QUESTIONNAIRE

The New Mexico Mortgage Finance Authority, as part of the RFP process, requires Offerors to submit a minimum of three (3) business references as required within this document. The purpose of these references is to document Offeror's experience relevant to the scope of work in an effort to establish Offeror's responsibility.

Offeror is required to send the following reference form to each business reference listed. The business reference, in turn, is requested to submit the Reference Form by email directly to: Yvonne Segovia, Controller, MFA at ysegovia@housingnm.org by **May 17, 2019 at 4:00 p.m.** for inclusion in the evaluation process. The form and information provided will become a part of the submitted proposal. Business references provided may be contacted for validation of content provided therein.

EXTERNAL AUDIT SERVICES RFP

ORGANIZATIONAL REFERENCE QUESTIONNAIRE FOR:

OFFEROR'S NAME:	
------------------------	--

This form is being submitted to your company for completion as a business reference for the company named above. This form is to be returned to the New Mexico Mortgage Finance Authority via e-mail at:

Name: Yvonne Segovia, Controller
 Address: 344 4th St. SW
 Albuquerque, NM 87102

Telephone: (505) 767-2253
 Fax: (505) 243-3289
 E-mail: ysegovia@housingnm.org

No later than **May 17, 2019 4:00 p.m.**, and must **NOT** be returned to the company requesting the reference.

For questions or concerns regarding this form, please contact the Controller listed above.

Company providing reference:	
Contact name and title/position:	
Contact telephone number:	
Contact e-mail address:	
Description of services provided:	
Dates services provided (starting and ending):	
Total Revenues:	\$
Total Assets:	\$

- How would you rate the timeliness of the audit work conducted and the reports provided?
 ____ (3=Excellent 2=Satisfactory 1=Unsatisfactory 0=Unacceptable)
 COMMENTS:

- How would you rate how the work was planned and executed?

____ (3=Excellent 2=Satisfactory 1=Unsatisfactory 0=Unacceptable)
COMMENTS:

3. How would you rate the accounting knowledge and the technical expertise demonstrated?
____ (3=Excellent 2=Satisfactory 1=Unsatisfactory 0=Unacceptable)
COMMENTS:

4. How would you rate the level of staff support or auditor training required?
____ (3=Excellent 2=Satisfactory 1=Unsatisfactory 0=Unacceptable)
COMMENTS:

5. Who was the principal representative/Manager and on-site Supervisor involved in your audit and how would you rate them individually? Please comment on skills, knowledge, behaviors or other factors on which you based the rating?
____ (3=Excellent 2=Satisfactory 1=Unsatisfactory 0=Unacceptable)

Name: _____ Rating: _____

Name: _____ Rating: _____

COMMENTS:

6. With which aspect(s) of this Offeror's services are you most satisfied?
COMMENTS:

7. With which aspect(s) of this Offeror's services are you least satisfied?
COMMENTS:

8. Would you recommend this Offeror's services?
COMMENTS: