

**NEW MEXICO HIGHLANDS UNIVERSITY**

**REQUEST FOR PROPOSAL # 22-006  
INTERNAL AUDITING SERVICES AND AGREED UPON  
PROCEDURES  
NIGP COMMODITY CODE: 94620**

|   |  |   |  |  |
|---|--|---|--|--|
| <p><b>This Request for Proposal is to seek out qualified and experienced firms for selection as a provider of Internal Auditing and Agreed Upon Procedures on an as-needed basis for New Mexico Highlands University.</b></p> |  |   |  |  |
| <p><b>Date Request For Proposal Issued:</b><br/><b>May 23, 2022</b></p>   |  | <p><b>Date and Time Request for Proposal is Due:</b><br/><b>Prior to 2:00 pm local time on</b><br/><b>Tuesday June 14, 2022</b></p> |  |  |
| <p><b>NMHU Point-of-Contact:</b><br/><b>Aaron Flure</b></p>   |  | <p><b>Email:</b><br/>aflure@nmhu.edu</p>  | <p><b>Phone Number:</b><br/>(505) 454-3053</p> | <p><b>Fax Number:</b><br/>(505) 454-3109</p> |

**RFP CONDITIONS**

New Mexico Highlands University (hereinafter called “NMHU”) is seeking responses (hereinafter called “Proposal”) for the services as requested in this Request for Proposal Number 22-006, its attachments and subsequent addendums (hereinafter called “RFP”). You/your firm’s (hereinafter called “Proposer”) Proposal is to provide responses to all of the requirements set forth within the RFP.

NMHU may accept Proposals, in whole or in part that most closely meets all the criteria described herein. **NMHU reserves the right to make an award to multiple Offerors.** Any Offeror that is awarded services contained in this RFP will be excluded from participating in future Annual Audit Services RFP’s while contracted for these services. NMHU also reserves the right to cancel this RFP in whole or in part at any time if it is in its best interests. An award will not be based solely on the lowest fee; instead it will be based on several weighted criteria, as provided herein. Proposals may not be withdrawn from Proposer for ninety (90) calendar days after the actual date of the opening.

For definitions or clarifications to terms, refer to Section VII of this document.

**ACCEPTANCE OF TERMS AND CONDITIONS OF RFP FORM**

During the period of offer, your point of contact (hereinafter called “POC”) will be limited to Mr. Aaron Flure, Director of the Purchasing Department. He has been designated as the contact person for this RFP. No Offeror may contact any NMHU employee, officer or member of the Board of Regents other than Mr. Flure regarding this RFP through the date of the execution and award of the Contract. Any Offerors who makes such unauthorized contact shall be deemed to have violated the terms and conditions of this RFP and Offeror’s Proposal may be rejected as a result. Questions regarding the RFP should be submitted in writing via email to the POC at [aflure@nmhu.edu](mailto:aflure@nmhu.edu) Any question, statement or response from the POC or other individual from NMHU that is not submitted and responded to in writing will not be incorporated into the Contract, RFP & attachments and addendums. NMHU will not be responsible for any misinterpretations, discrepancies or contradictory information that Offeror may claim if correspondences for clarification are not submitted to and received in writing. Every effort will be made to respond to your questions within a timely manner. The question(s) and response(s) will be shared with all Offerors, with personal information removed to ensure anonymity.

By signing below, Offeror signifies that he understands all of the terms and conditions of this RFP, its Attachments and all subsequent addendums and agrees to cause himself/herself or his/her firm to be bound by them. Only an authorized agent of the Offeror’s company may sign this document.

|              |                        |
|--------------|------------------------|
| Name of Firm | Tax Identification No. |
|--------------|------------------------|

|                                |       |
|--------------------------------|-------|
| Authorized Representative Name | Title |
|--------------------------------|-------|

|           |      |
|-----------|------|
| Signature | Date |
|-----------|------|

**Provide point of contact of Offeror:**

|      |       |
|------|-------|
| Name | Title |
|------|-------|

Mailing Address

|                     |            |
|---------------------|------------|
| Telephone Number(s) | Fax Number |
|---------------------|------------|

Email Address

## SECTION I GENERAL INFORMATION

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### PROPOSAL SCHEDULE

#### ALL DATES AND TIMES ARE SUBJECT TO CHANGE

|   |   |
|---|---|
| Issuance of RFP                               | May 23, 2022  |
| Last Day to Submit Requests for Clarification | 2:00 PM, June 08, 2022                                |
| Proposal Submittal Deadline                   | 2:00 PM on June 14, 2022                              |
| Receipt/Screening of Proposals                | June 15, 2022   |
| Evaluations of Proposals                      | Approximately (1) weeks,<br>From Receipt of Proposals |
| Negotiations, if Required                     | TBD   |
| Conclusion of Negotiation, Final Offer Due    | TBD   |
| Award of Contract                             | TBD   |
| Award of Purchase Order                       | TBD   |
| Protest Period                                | TBD   |
| Performance Start                             | TBD   |

## **SECTION II PURPOSE AND SPECIFICATIONS**

### **1. PURPOSE**

New Mexico Highlands University (“NMHU”) is soliciting proposals from qualified and experienced firms for selection as a provider(s) of Internal Auditing Services and Agreed Upon Procedures. The primary areas of consideration are for Offerors that provide the following Internal Auditing and Agreed Upon Procedures: operations, internal controls, risk assessments, IT audits, payroll, human resources and strategic internal audit plans. The list is not all-inclusive, but should provide a general narrative of services requested.

### **2. ABOUT NMHU**

New Mexico Highlands University is a public, state-run 4 year institution located in Las Vegas, New Mexico, with centers in Santa Fe, Rio Rancho, Farmington and Roswell, offering undergraduate and graduate degrees.

## **SECTION III SCOPE OF WORK**

NMHU has issued this RFP to Offerors to perform agreed upon procedures and internal audit work. The selected Offeror shall provide NMHU with the work described below: When NMHU decides to utilize this contract for services the successful Offeror will be given a scope of work and have the opportunity to provide to NMHU a quote to complete the project.

### **1. Audit Services and Agreed Upon Procedures to be Provided**

1. Perform entity-wide review of the operations and internal controls in place at the Organization on an as-needed basis. Such review may include, but not limited to, in-person interviews with relevant management personnel and members of the Board, and the review of available documentation including previous reports.
  - a. Operations and Compliance
  - b. Departments
  - c. Programs, Grants, and Contracts
  - d. Information Technology Systems
  - e. University wide Processes

### **2. Reporting and Communication**

The selected Proposer may provide in-person reports directly to NMHU’s Board and/or designated team on an as-needed basis. NMHU will further require periodic reports and information in connection with the progress of an Internal Audit Plan or Agreed Upon Procedure. Such information and reports may include, but are not limited to, the following:

1. At the completion of any Internal Audit Service or Agreed Upon Procedure, a

written report, reflecting all results of agreed-upon procedures. The report should include an overall summary with a background and scope statement, and the results of the Internal Audit, reflecting each detailed observation or finding and recommendations. The selected Offeror will meet with the University to review its findings, conclusions and recommendations. The University will provide written responses, which the selected Offeror shall incorporate into the final report. Each report shall include all instances of non-compliance with policies, procedures, contract terms, etc. Report preparation, editing, and printing shall be the responsibility of the selected Offeror.

2. Progress reports, completed and in progress, as compared to the plan (including budgeted hours).
3. Tracking reports reflecting recommendations made in completed reports and the status of the Organization's actions regarding each recommendation.
4. The selected Offeror will be required to bring to the attention of the University, immediately upon discovery, any instances of material misstatement, internal control weaknesses or suspected fraud, irregularities, illegal acts, collusion, manipulation or kickbacks.

## **SECTION IV GENERAL TERMS AND CONDITIONS**

**1. PROPOSAL CONTENT AND ORGANIZATION**

Offerors are encouraged to limit their proposals to 20 pages and for their packets to be properly tabbed. Double-sided printed pages will count for two (2) pages. The following will not count towards the limited page count:

- A.) Acceptance of Terms and Conditions of RFP Form (page 2 of this RFP);
- B.) Completed RFP attachment forms number 1 through 5
- C.) Cover Letter of Proposal; and
- D.) References

Each Proposal will be evaluated based on its content, not length and must be limited to no more than twenty (20) pages and be properly tabbed:

- 1. Acknowledgement of Receipt Form (Attachment 1);**
- 2. Table of Contents**
- 3. Supplier Conflict of Interest and Debarment/Suspension Certification Form (Attachment 2);**
- 4. NM Business Preference/Resident Veteran Preference Form (Attachment 3);**
- 5. Campaign Contribution Disclosure Form Attachment (4);**
- 6. Executive Summary**

Please provide a high-level overview of your Proposal.

**7. General Information**

Each Proposal must include the following information about the Proposer and its professional staff:

- a. Provide information about your firm's background. Include a brief history of the firm, full corporate name and affiliate organizations, a full description of ownership, current location and territory attended to, number of employees, and number of years of experience providing internal audit services.
- b. Provide background information on the principals of your company who will be associated with this engagement. Provide information about the general organization structure of your firm, including names and reporting relationships of key management team members.
- c. Provide a profile of the types of accounts and clients for which your firm presently provides internal auditing services, particularly your firm's experience with government, real estate and financial entities. Describe any services your firm offers that may distinguish it from others or any unique qualifications of your firm to provide auditing services to NMHU.

- d. Identify the Lead Partner who will be the primary contact and lead manager in providing services to the University, and who will be listed as a “key person” in any contract with the University.
- e. Provide information about the audit team to be assigned to perform the Work, including the team’s proposed organization and staffing, as well as a description of the roles and responsibilities of each proposed audit team member. Include an organizational chart of the proposed audit team and a brief biography of the persons who will be primarily responsible for performing the Work. Describe your firm’s “backup plan” in the event one or more of persons assigned to this engagement leave the firm.

## **8. RFP Questions**

Please include the following in your proposal with regard to your firm’s internal audit/agreed upon procedures approach and methodology:

- a. Describe the methods by which the quality of the individual works will be assured by your company. Describe your proposed team’s experience with similar work for other public agencies and authorities, with a particular emphasis on New Mexico agencies and local public bodies, or Universities of similar size and resources.
- b. Describe your firm’s experience in auditing technology systems controls, including accounting software systems, PC based software applications, local area networks, cybersecurity controls, etc.
- c. Describe the method by which the work completed by the engagement team will be documented, in addition to any reports provided, and the availability of such documentation for review by NMHU, regulators, external accountants, etc. Also, indicate where such work papers will be maintained and whether there are any circumstances under which NMHU would not be provided copies of work papers it requests.
- d. Provide samples of management reports, including audit/agreed upon procedure reports and comment/recommendation tracking or follow-up reports that NMHU can expect to receive in connection with the firm’s audit services and agreed upon procedures. Detail proposed meeting availability for phone calls and in-person meetings. Presence at Board meetings may be needed periodically as well.
- e. Describe the extent to which NMHU personnel will be required to assist or provide support to the members of your staff conducting audits or agreed upon services. Describe any support requirements expected of NMHU (i.e. special reports, technology, etc.)

## **9. References**

- a. Proposer must furnish a minimum of three (3) references of organizations and/or businesses that the bidder has provided similar services or items to within the last three and most current projects. The organizations name, a contact, telephone number and a brief description of the items and services provided are required for each reference. Failure to submit the information may result in your proposal being considered as non-responsive. Proposer, by furnishing these references, agrees to

allow NMHU to contact any persons and /or organizations listed, and to utilize information obtained in evaluation of Proposal.

- b. In the past five years, have any public sector clients terminated their working relationship with your firm? If so, please provide a brief statement of the reasons. Provide the name of the client and each such client’s in-house counsel’s name, address and telephone number.

**10. Pricing Form (Cost Response)**

Offeror may provide own Cost Schedule or use sample type below.

| Description | Type | Quantity | Cost per Item |
|-------------|------|----------|---------------|
|             |      |          |               |
|             |      |          |               |
|             |      |          |               |
|             |      |          |               |
|             |      |          |               |
|             |      |          |               |
|             |      |          |               |
|             |      |          |               |
|             |      |          |               |

**2. PERIOD OF PERFORMANCE**

The resultant Contract shall be for a one (1) year term starting on the date of the execution of the Contract or July 1, 2022, whichever is later. The Contract may be extended for an additional three (3) years and are to be made in a minimum of one (1) year increments. Extensions must be made in writing and must be signed by authorized representatives of both parties.

**3. PRESENTATIONS**

NMHU may choose to invite Offerors to make a presentation and answer questions asked by the evaluation committee. NMHU reserves the right to invite as many Offerors that are in its best interest. Prior to the presentations NMHU may, with adequate time, specify requirements for the presentation and anything that is allowable and unallowable to present and discuss.

**4. AWARD**



- A.) In accordance with the State of New Mexico “Procurement Code”, §13-1-28 through §13-1-199 N.M.S.A., NMHU reserves the right to make an Award to the Proposer which provides the services in its best interest and will not make the Award to the Proposer with simply the lowest fee. The RFP will be evaluated based on all criteria listed in this RFP; and
- B.) NMHU reserves the right to negotiate and award multiple Proposers. Issuance of an Intent to Negotiate with a Proposer does not guarantee an Award. A multi-award will be made only after NMHU and Proposers complete successful negotiations and execution of Contracts.

**5. REQUIRED AND INFORMATIONAL FORMS**

- A.) The following are to be **completed and submitted** with your Proposal:
  - 1.) Acceptance of Terms and Conditions of RFP Form (page 2 of this document);
  - 2.) Addendum(s) Acknowledgement Form (Attachment 1);
  - 3.) Supplier Conflict of Interest and Debarment/Suspension Certification Form (Attachment 2);
  - 4.) Campaign Contribution Disclosure Form (Attachment 3);
  - 5.) New Mexico Business Preference Form (Attachment 4), if applicable;
  - 6.) Resident Veterans Preference Form (Attachment 5),
- B.) **Informational Documents**
  - 1.) Advertisement (Attachment 6)

## SECTION V EVALUATION COMPONENTS

This section of the RFP contains specifications and other relevant information to be used by Proposers in preparation of their Proposal. Award of a Contract will not be based solely on cost.

Offerors shall ensure that all the information required herein be submitted with their Proposal. All information provided should be verifiable by documentation requested by NMHU. Failure to provide all information, inaccuracy or misstatement may be sufficient cause for rejection of the Proposal or rescission of the Contract.

All responsive Proposals will be reviewed independently by each member of the evaluation committee. Their evaluations will be based on the Proposal as a whole and will be scored solely on the requirements, data, information and related responses to the RFP.

### SELECTION CRITERIA

Proposal will be scored based on information outlined in Section IV, Item #1. All Proposals shall be reviewed for compliance with the mandatory requirements as stipulated within this RFP and procurement statutes. Proposals found not to be in compliance will be rejected from further consideration. NMHU will determine if the Proposal complies. Proposals which are not rejected will then be evaluated based upon the following weighted criteria. There is a maximum number of one-hundred (100) points that may be awarded.

| <u>Description</u>   | <u>Weight</u>     |
|--|-------------------|
| <p>1.) <b>Demonstrated relevant experience providing Internal Audit Services and Agreed Upon Procedures over the last two years.</b><br/>Points will be awarded based on the thoroughness and clarity of the response, the breadth and depth of engagements cited and the perceived validity of the response.</p>  | <b>30 points</b>  |
| <p>2.) <b>Staff qualifications and experience</b><br/>Points will be awarded based on the evaluation of the demonstrated qualifications and experience provided as well as professional references.</p>  | <b>30 points</b>  |
| <p>3.) <b>Work Methods and Report Samples</b><br/>Points will be awarded based on the ability of the Offeror to provide clear and definable methods and report samples.</p>  | <b>30 points</b>  |
| <p>4.) <b>Pricing for Hourly Services or Individual Engagements. Internal Audit Plans/Agreed Upon Procedures</b><br/>Points will be awarded based on the ability of the Offeror to provide a price structure and associated costs for utilizing their services on an on-call or individual engagement basis and demonstrate the ability to perform option services under a specified budget.</p> | <b>10 points</b>  |
| <b>TOTAL</b>   | <b>100 points</b> |

## SECTION VI SUBMITTAL PROCEDURES

### 1. NUMBER OF PROPOSALS

Offeror is to submit **four (4)** complete copies of their Proposal only when submitting through carrier service or in person. Offeror is to submit **one (1)** copy only when submitting through vendorregistry.com

### 2. COSTS INCURRED

Any cost incurred by the Offeror in preparation, delivery and presentation of any Proposal or material submitted in response to this RFP shall be borne solely by the Offeror.

### 3. INSTRUCTIONS

#### A.) Instructions

- 1.) Proposals must be received in the NMHU main campus' Central Receiving Department office (800 National Avenue, Las Vegas, NM 87701) or electronically at vendorregistry.com by the due date and time as listed on page three (3) of this RFP. If a Proposal is late NMHU shall not accept it. Postmarked or estimated delivery dates issued by carriers will not be accepted as received by NMHU.
- 2.) All Proposals must be submitted in a SEALED envelope. Please write on the outer sealed envelope the following:  
**"Sealed PROPOSAL #22-006 to be received by 2:00 PM on June 14, 2022."**  
Failure to mark the sealed envelope may result in the Proposal being opened early or later and/or the Proposal may be declared non-responsive;
- 3.) NMHU is not responsible for Proposals lost during delivery regardless of means of delivery. Proposals may be accepted if received by NMHU staff and not delivered to the Purchasing Department office only when the error was made by NMHU staff. NMHU will make this determination.
- 4.) Faxed and emailed Proposals shall not be accepted.
- 5.) Proposals will be accepted through vendorregistry.com.

#### B.) DELIVERY MAY BE MADE AS FOLLOWS

- 1.) **If via delivery in person:**  
New Mexico Highlands University  
Attn: Purchasing Department-RFP #22-006  
903 NMHU Avenue  
Las Vegas, NM 87701
- 2.) **If via United States Postal Service:**  
New Mexico Highlands University  
Attn: Purchasing Department-RFP #22-006  
P.O. Box 9000  
Las Vegas, NM 87701

- 3.) If via FedEx, United Parcel Service, or other carrier:**  
New Mexico Highlands University  
Attn: Purchasing Department-RFP #22-006  
1005 Diamond Avenue  
Las Vegas, NM 87701

## SECTION VII INSTRUCTIONS TO OFFERORS

### 1. DEFINITIONS AND TERMS

- A.) **Addendum:** a written or graphic instrument issued prior to the opening of Proposals which clarifies, corrects, or changes the RFP. Plural: addenda.
- B.) **Determination:** means the written documentation of a decision of the Purchasing Agent including findings of fact required to support a decision. A determination becomes part of the procurement file to which it pertains.
- C.) **Offeror:** any person, corporation, or partnership legally licensed to provide professional services in this state who chooses to submit a Proposal in response to this RFP.
- D.) **Purchasing Agent:** means the person or designee authorized by NMHU to manage or administer a procurement requiring the evaluation of proposals.
- E.) **RFP:** means all documents, including attachments, addendums or other documents incorporated by reference which are used for soliciting Proposals.
- F.) **Responsible Offeror:** means a Offeror who submits a responsive Proposal and who has furnished, when required, information and data to prove that his financial resources, production or service facilities, personnel, service reputation and experience are adequate to make satisfactory delivery of the Services described in the RFP.
- G.) **Responsive Proposal:** means a Proposal which conforms in all material respects to the requirements set forth in the RFP. Material respects of a RFP include, but are not limited to; price, quality, quantity or delivery requirements.
- H.) The terms **must, shall, will, is required, or are required,** identify a mandatory item or factor. Failure to comply with a mandatory item or factor may result in the rejection of the Offeror Proposal.
- I.) The terms **can, may, should, preferably, or prefers** identify a desirable or discretionary item or factor.

### 2. RFP DOCUMENTS

- A.) COPIES OF RFPS
  - 1.) A complete set of the RFP shall be used in preparing Proposals; NMHU assumes no responsibility for errors or misinterpretations resulting from the use of an incomplete set of the RFP.
  - 2.) A copy of the RFP shall be made available for public inspection at the Purchasing Office of NMHU.
- B.) INTERPRETATIONS
  - 1.) All requests of clarification about the meaning or intent of the RFP shall be submitted in writing and to the POC. The date listed as the deadline for submitting questions is the date of receipt. Only questions answered by formal written addenda will be binding. Oral and other interpretations or clarifications will be without legal effect.
  - 2.) Offerors should promptly notify NMHU of any ambiguity, inconsistency, or error, which they may discover upon examination of the RFP.

- C.) **ADDENDA**
  - 1.) Addenda will be mailed, by facsimile or emailed to all who are known by NMHU to have received a complete set of RFPs.
  - 2.) Each Offeror shall ascertain, prior to or with submitting the Proposal, that the Offeror has received all Addenda issued, and shall acknowledge their receipt in the Proposal transmittal letter (Attachment 1).

**3. PROPOSAL SUBMITTAL PROCEDURES**

**A.) CORRECTION OR WITHDRAWAL OF PROPOSALS**

- 1.) A Proposal containing a mistake discovered before Proposal opening may be modified or withdrawn by an Offeror prior to the time set for Proposal opening by delivering written, telegraphic, or electronic notice to the location designated in the RFP as the place where Proposals are to be received.
- 2.) Withdrawn Proposals may be resubmitted up to the time and date designated for the receipt of Proposals, provided they are then fully in conformance with the RFP.

**B.) REJECTION OR CANCELLATION OF PROPOSALS**

A rejection or cancellation of this RFP may be made in accordance with §13-1-131 N.M.S.A. 1978. NMHU reserves the right to waive irregularities, reject any or all Proposals, cancel this RFP for any reason and at any time, and/or award a Contract that is in its best interests.

**4. CONSIDERATION OF PROPOSALS**

**A.) RECEIPT, OPENING AND RECORDING**

- 1.) Proposals received on time will be opened in the presence of two (2) or more witnesses (NMHU employees), but will not be opened publicly.
- 2.) The contents of all Proposals shall not be disclosed so as to be available to competing Offerors during the negotiation process.

**B.) PROPOSAL EVALUATION**

- 1.) Proposals shall be evaluated on the basis of demonstrated competence and qualification for the type of Service required, and shall be based on the evaluation factors set forth in this RFP. For the purpose of conducting discussions, proposals may initially be classified as:
  - a.) acceptable, or
  - b.) potentially acceptable, that is, reasonably assured of being made acceptable, or
  - c.) unacceptable (Offeror whose Proposal is unacceptable shall be notified promptly).
- 2.) NMHU shall have the right to waive technical irregularities in the form of the Proposal of the Offeror, which do not alter the price, quality or quantity of the Services.
- 3.) If an Offeror who otherwise would have been issued an Award and 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 by the Purchasing Agent. The unreasonable failure of the 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.

4.) Selection Process

a.) The evaluation of Proposals will be performed by an evaluation committee composed of representatives selected by the NMHU. The committee shall evaluate statements of qualifications and performance data submitted by Offerors in regard to the particular request.

b.) The committee will, rank in order of their qualifications which are most qualified to perform the required services:

c.) If Applicable, committee will recommend the finalist(s) for oral presentation to the committee. The committee along with the Chief Procurement Officer (CPO) will determine the schedule for the oral presentations. The top-rated Offerors will then be scheduled. The committee may make recommendation to the Purchasing Director as to selection of Offeror. All costs incurred by Offeror for the oral presentations will be borne on Offeror.

C.) NEGOTIATIONS

Offerors submitting Proposals may be afforded an opportunity for discussion and revision of Proposals. Revisions may be permitted after submissions of Proposals and prior to Award for the purpose of obtaining best and final offers. Negotiations may be conducted with responsible Offeror who submit Proposals found to be reasonably likely to be selected for Award.

D.) NOTICE OF AWARD

After Award by NMHU, with reasonable promptness, a written Notice of Award shall be issued by NMHU to the selected Offeror and a letter of non-Award to the unsuccessful Offerors.

**5. USE OF CONTRACT**

New Mexico law allows other governmental entities within the State of New Mexico to contract, in accordance with §13-1-129 NMSA 1978, for services with the Contractor under the terms contained in the Agreement. Should that occur, NMHU will not be a party to any engagements entered into pursuant to this paragraph. Contractual engagements accomplished under this provision will be solely between the Contractor and the subject governmental entity.

**6. GOVERNING LAW**

This RFP, its attachments, subsequent addenda and the resultant contract and/or purchase order will be interpreted and governed by the Laws of the State of New Mexico.

**ATTACHMENT 1**

**ADDENDUM ACKNOWLEDGEMENT FORM**

**ADDENDUM ACKNOWLEDGEMENT**

In submitting this Proposal, Proposer represents that he has examined copies of all addenda listed below and has incorporated them into his Proposal:

| <b>Addendum Number</b> | <b>Date</b> |
|------------------------|-------------|
| _____                  | _____       |
| _____                  | _____       |
| _____                  | _____       |
| _____                  | _____       |
| _____                  | _____       |
| _____                  | _____       |
| _____                  | _____       |
| _____                  | _____       |
| _____                  | _____       |
| _____                  | _____       |
| _____                  | _____       |
| _____                  | _____       |



**ATTACHMENT 2**

**SUPPLIER CONFLICT OF INTEREST AND  
DEBARMENT/SUSPENSION CERTIFICATION FORM**

**Conflict of Interest**

- 1.) No employee or Regent of New Mexico Highlands University has a direct or indirect interest in the Contractor or in the proposed transaction (unless Contractor is a publicly traded company and the employee or Regent’s interest is less than one percent (1%) of the Contractor);
- 2.) Contractor neither employs nor is negotiating to employ any NMHU employee or member of the NMHU Board of Regents;
- 3.) Contractor did not participate directly or indirectly in the preparation of specifications upon which the Proposal is made;
- 4.) If the Contractor is a New Mexico State Legislator or if a New Mexico State Legislator holds a controlling interest in Contractor, please identify Legislator(s):  
\_\_\_\_\_;
- 5.) List below the name and social security number of any employee of the Contractor or person assisting in the proposed transaction in any way who was a NMHU employee within the preceding twelve (12) month period; and
- 6.) In accordance with NMHU policy, an award cannot be made to a firm in which current or recent (last twelve [12]) NMHU employees have a controlling interest.

**Debarment/Suspension Status**

- 1.) The Contractor certifies that it is not suspended, debarred or ineligible from entering into contracts with the Executive Branch of the Federal Government, or in receipt of a notice or proposed debarment from any Agency; and
- 2.) The Contractor agrees to provide immediate notice to New Mexico Highlands University Purchasing Department Buyer in the event of being suspended, debarred or declared ineligible by any department or Federal Agency, or upon receipt of a notice of proposed debarment that is received after the submission of the Proposal but prior to the award of the purchase order or contract.

**Certification**

The undersigned hereby certifies that he/she has read the above Conflict of Interest and Debarment/Suspension Status requirements and that he/she understands and will comply with these requirements. The undersigned further certifies that they have the authority to certify compliance for the Contractor named below.

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

Name Typed: \_\_\_\_\_ Date: \_\_\_\_\_

Company: \_\_\_\_\_ City \_\_\_\_\_

Address: \_\_\_\_\_ State: \_\_\_\_\_ Zip \_\_\_\_\_

**ATTACHMENT 3**

**CAMPAIGN CONTRIBUTION DISCLOSURE FORM**

Pursuant to the Procurement Code, Sections §13-1-28, et seq., N.M.S.A. 1978 and N.M.S.A. 1978, § 13-1-191.1 (2006), as amended by Laws of 2007, Chapter 234, any prospective contractor seeking to enter into a contract with any state agency or local public body **for professional services, a design and build project delivery system, or the design and installation of measures the primary purpose of which is to conserve natural resources** must file this form with that state agency or local public body. This form must be filed even if the contract qualifies as a small purchase or a sole source contract. The prospective Contractor must disclose whether they, a family member or a representative of the prospective contractor has made a campaign contribution to an applicable public official of the state or a local public body during the two (2) years prior to the date on which the Contractor submits a Proposal or, in the case of a sole source or small purchase contract, the two (2) years prior to the date the Contractor signs the Contract, if the aggregate total of contributions given by the prospective Contractor, a family member or a representative of the prospective Contractor to the public official exceeds two hundred and fifty dollars (\$250) over the two (2) year period.

Furthermore, the state agency or local public body may cancel a solicitation or proposed Award for a proposed Contract pursuant to Section §13-1-181 N.M.S.A. 1978 or a Contract that is executed may be ratified or terminated pursuant to Section §13-1-182 N.M.S.A. 1978 of the Procurement Code if: 1) a prospective Contractor, a family member of the prospective Contractor, or a representative of the prospective contractor gives a campaign contribution or other thing of value to an applicable public official or the applicable public official’s employees during the pendency of the procurement process or 2) a prospective contractor fails to submit a fully completed disclosure statement pursuant to the law.

The state agency or local public body that procures the services or items of tangible personal property shall indicate on the form the name or names of every applicable public official, if any, for which disclosure is required by a prospective Contractor.

**THIS FORM MUST BE INCLUDED IN THE REQUEST FOR PROPOSALS AND MUST BE FILED BY ANY PROSPECTIVE CONTRACTOR WHETHER OR NOT THEY, THEIR FAMILY MEMBER, OR THEIR REPRESENTATIVE HAS MADE ANY CONTRIBUTIONS SUBJECT TO DISCLOSURE.**

The following definitions apply:

**“Applicable public official”** means a person elected to an office or a person appointed to complete a term of an elected office, who has the authority to award or influence the award of the contract for which the prospective contractor is submitting a competitive sealed proposal or who has the authority to negotiate a sole source or small purchase contract that may be awarded without submission of a sealed competitive proposal.

**“Campaign Contribution”** means a gift, subscription, loan, advance or deposit of money or other thing of value, including the estimated value of an in-kind contribution, that is made to or received by an applicable public official or any person authorized to raise, collect or expend contributions on that official’s behalf for the purpose of electing the official to statewide or local office. “Campaign Contribution” includes the payment of a debt incurred in an election campaign, but does not include the value of services provided without compensation or unreimbursed travel or other personal expenses of individuals who volunteer a portion or all of their time on behalf of a candidate or political committee, nor does it include the administrative or solicitation expenses of a political committee that are paid by an organization that sponsors the committee.

**“Family member”** means spouse, father, mother, child, father-in-law, mother-in-law, daughter-in-law or son-in-law of (a) a prospective Contractor, if the prospective Contractor is a natural person; or (b) an owner of a prospective Contractor.

**“Pendency of the procurement process”** means the time period commencing with the public notice of the request for proposals and ending with the Award of the Contract or the cancellation of the request for proposals.

**“Prospective Contractor”** means a person or business that is subject to the competitive sealed Proposal process set forth in the Procurement Code or is not required to submit a competitive sealed proposal because that person or business qualifies for a sole source or a small purchase contract.

**“Representative of a prospective Contractor”** means an officer or director of a corporation, a member or manager of a limited liability corporation, a partner of a partnership or a trustee of a trust of the prospective Contractor.

Name(s) of Applicable Public Official(s) if any:

\_\_\_\_\_  
(Completed by State Agency or Local Public Body)

**DISCLOSURE OF CONTRIBUTIONS BY PROSPECTIVE CONTRACTOR:**

Contribution Made By: \_\_\_\_\_

Relation to Prospective Contractor: \_\_\_\_\_

Date Contribution(s) Made: \_\_\_\_\_

Amount(s) of Contribution(s) \_\_\_\_\_

Nature of Contribution(s)

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Purpose of Contribution(s)

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**(Attach extra pages if necessary)**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title (position)

**--OR--**

**NO CONTRIBUTIONS IN THE AGGREGATE TOTAL OVER TWO HUNDRED FIFTY DOLLARS (\$250) WERE MADE** to an applicable public official by me, a family member or representative.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title (Position)

**ATTACHMENT 4**

**NEW MEXICO BUSINESS PREFERENCE**

Points will be awarded based on Proposers/Proposers ability to provide a copy of a current Resident Business Certificate or Resident Veterans Certificate.

In addition, the attached certification form must accompany any RFP and any business wishing to receive a resident veteran's preference must complete and sign the form.

RFP's are to be evaluated on preference as follows:

In addition, to the total points on an RFP, 10% must be added for preference award. For example; an RFP has a total value of 1000 points. Five proposals are received; one from a resident business, one from a resident veteran's business with an 8% preference and three non-resident businesses.

The two preference businesses would receive 50 points and 80 points to their already evaluated score, making it possible for the highest score total 1080.

"I agree to submit a report, or reports, to the State Purchasing Division of the General Services Department declaring under penalty or perjury that during the last calendar year starting January 1, and ending on December 31, the following to be true and accurate:

"In conjunction with this procurement and the requirements of this business' application for a Resident Veteran Business Preference/Resident Veteran Contractor Preference under Sections §13-1-21 or §13-1-22 N.M.S.A. 1978, when awarded a contract which was on the basis of having such veteran's preference, I agree to report to the State Purchasing Division of the General Services Department the awarded amount involved. I will indicate in the report the award amount as a purchase from a public body or as a public works contract from a public body as the case may be.

"I understand that knowingly giving false or misleading information on this report constitutes a crime."

I declare under penalty of perjury that this statement is true to the best of my knowledge. I understand that giving false or misleading statements about material fact regarding this matter constitutes a crime.

**NM RESIDENT PREFERENCE NUMBER OR RESIDENT VETERANS PREFERENCE NUMBER (if applicable):**

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ATTACHMENT 5

RESIDENT VETERANS PREFERENCE CERTIFICATION FORM

\_\_\_\_\_ (NAME OF CONTRACTOR/PROPOSER) hereby certifies the following in regard to application of the resident veterans' preference to this procurement:

Please check one only

\_\_\_\_\_ I declare under penalty of perjury that my business prior year revenue starting January 1 ending December 31 is less than \$1M allowing me the 10% preference discount on this solicitation. I understand that knowingly giving false or misleading information about this fact constitutes a crime.

\_\_\_\_\_ I declare under penalty of perjury that my business prior year revenue starting January 1 ending December 31 is more than \$1M but less than \$5M allowing me the 8% preference discount on this solicitation. I understand that knowingly giving false or misleading information about this fact constitutes a crime.

\_\_\_\_\_ I declare under penalty of perjury that my business prior year revenue starting January 1 ending December 31 is more than \$5M allowing me the 7% preference discount on this solicitation. I understand that knowingly giving false or misleading information about this fact constitutes a crime.

"I agree to submit a report, or reports, to the State Purchasing Division of the General Services Department declaring under penalty or perjury that during the last calendar year starting January 1, and ending on December 31, the following to be true and accurate:

"In conjunction with this procurement and the requirements of this business' application for a Resident Veteran Business Preference/Resident Veteran Contractor Preference under Sections §13-1-21 or §13-1-22 N.M.S.A. 1978, when awarded a contract which was on the basis of having such veteran's preference, I agree to report to the State Purchasing Division of the General Services Department the awarded amount involved. I will indicate in the report the award amount as a purchase from a public body or as a public works contract from a public body as the case may be.

"I understand that knowingly giving false or misleading information on this report constitutes a crime."

I declare under penalty of perjury that this statement is true to the best of my knowledge. I understand that giving false or misleading statements about material fact regarding this matter constitutes a crime.

\_\_\_\_\_  
(Signature of Business Representative)\*

\_\_\_\_\_  
(Date)

\*Must be an authorized signatory for the business.

The representations made in checking the boxes constitutes a material representation by the business that is subject to protest and may result in denial of an award of the procurement involved if the statements are proven to be incorrect.

**ATTACHMENT 6**

**NEW MEXICO HIGHLANDS UNIVERSITY  
REQUEST FOR PROPOSAL # 22-006  
NIGP COMODITY CODE: 94620**

New Mexico Highlands University (NMHU) is seeking proposals from experienced and qualified companies for selection as a provider of Internal Auditing Services and Agreed Upon Procedures on an as-needed basis for New Mexico Highlands University.

All proposals must be submitted to NMHU's Purchasing Department prior to **2:00 pm** local time on Tuesday, June 21, 2022. Proposals received after that time shall not be accepted. Proposals shall not be opened publicly.

All proposals shall comply with the New Mexico Procurement Code, and applicable federal, State and local laws.

NMHU reserves the right to waive irregularities, reject any or all proposals, cancel this RFP for any reason and at any time, and/or award a contract that is in its best interest. No offeror may withdraw his proposal for ninety (90) calendar days after the actual date of the opening.

RFP 22-006 will be available and solicited through Vendor Registry at: <https://vrapp.vendorregistry.com>.

RFP documents can also be obtained by emailing [rfp@nmhu.edu](mailto:rfp@nmhu.edu).

To register at Vendor Registry, follow three steps below:

1. [www.nmhu.edu/purchasing-department](http://www.nmhu.edu/purchasing-department)
2. Click "Information for Vendors Link"
3. Click Vendor Registration, complete instructions