



Norwich University Applied Research Institutes, LTD (NUARI) is seeking proposals for an independent audit firm to perform a GAAP audit, A-133 Single Audit, and to prepare the annual tax return (Form 990) for the fiscal year end May 31, 2025 and 2026, with option to extend three years up to a period of five years. The due date for proposals is January 6, 2025.

General Instructions

1. Due Date

Your response to this RFP is due by email no later than **3:00 p.m. Eastern Time, Monday, January 6, 2025**. Please deliver your proposal to cwillet1@norwich.edu.

An authorized official of your company must sign the original.

2. Validity Period

Your response must specifically identify your proposal's validity period as ninety (90) days.

3. Engagement Term

The engagement term will include fiscal years ending May 31, 2025 through May 31, 2026, with the option to extend three years up to a period of five years. NUARI's preferred term is two years but will entertain a longer term based on the specifics of the agreement and acceptable performance. The award date is expected to occur at the end of January 2025.

4. Evaluation

Your response should provide information in sufficient detail to allow for a fair and complete evaluation of your capabilities and will form the basis for any resultant agreement. NUARI reserves the right to reject any bids or offers if deemed to be in its best interest.

5. Small Business Representation

The North American Industry Classification System (NAICS) Code for this acquisition is 541715, for which the small business size standard is 1,000 employees. NUARI is an Equal Opportunity Employer.

In your response, please include the following information:

- CAGE Code and DUNS (if available)
- Whether or not you are currently registered in the System for Award Management (SAM.gov)

- Please represent as part of your offer, whether you are or are not a small business concern. If you represent you are a small business concern, please indicate any of the following socioeconomic statuses that apply:
 - Small disadvantaged business concern as defined in 13 CFR 124.1002
 - A women-owned small business (WOSB) concern
 - Economically disadvantaged women-owned small business (EDWOSB) concern
 - A veteran-owned small business concern
 - A service-disabled veteran-owned small business concern
 - A HUBZone small business concern
 - A Certified 8(a) Firm
 - If the offeror represents it is a small business concern, please state that your business size and socioeconomic status representation(s) are current, accurate, and complete as of the date of submission of your offer.

6. Proprietary Information

NUARI considers the information contained in this RFP and its Attachments to be Proprietary Information. NUARI will treat all information received from the respondents as Proprietary Information, if properly marked.

7. Exceptions/Deviations

Any exceptions to the RFP shall be clearly stated, giving the reason for the exception/ clarification and, where applicable, the impact on price and services.

8. Clarifications

All questions or clarifications in response to this request shall be submitted in writing to cwillet1@norwich.edu.

Background

NUARI is a 501(c)(3) non-profit that serves the national public interest through the interdisciplinary study of critical national security issues. We are partially funded by the Department of Homeland Security and the Department of Defense and federally chartered under the sponsorship of Sen. Patrick Leahy. We are co-located with Norwich University in Northfield, VT, and share their ideals of academic excellence, innovation, and service to the country. NUARI provides cyber exercises, secure networking monitoring, custom consulting, research and education. We do this through our DECIDE exercises, the Security Situation Center, technology development and deployment, research deliverables, and in-person and online workforce training.

NUARI currently has 30 full time employees and 6 part time employees/interns with an annual payroll of approximately \$4,000,000. NUARI has a central office located in Vermont, but many employees work remotely across 15 different states. NUARI outsources its payroll with ADP.

NUARI has total approved (FY 2025) revenue budget of approximately \$6.5 million dollars.

NUARI receives Federal Grants and Contracts and will require an A-133 audit. A copy of the audit report for fiscal year ended May 31, 2024, is available upon request.

The accounting records for NUARI are maintained at the main office located at 63 Crescent Avenue, 2nd Floor in Northfield Vermont.

Scope of Service

The objective of the audit is to provide an opinion on the financial statements taken as a whole. The opinion shall state that such financial statements present fairly, in all material respects, the financial position of the Company and its results of operations and cash flows have been prepared in conformity with generally accepted accounting principles, and that examination of such accounts in connection with such financial statements has been made in accordance with generally accepted auditing standards, and that such audit provides a reasonable basis for such opinion in their circumstances.

Required services consist of an examination of the financial records in accordance with generally accepted auditing standards, including Governmental Auditing Standards. This will include procedures which are necessary to express an opinion on those financial statements. The primary deliverables expected will include an audit report with signed opinion and a report to management detailing any noted deficiencies in internal controls.

Accompanying the financial statements, the Auditor will submit a Management Letter of Comments and Recommendations, if applicable, for improvement of program and financial management per the Auditor's opinion after examining NUARI's systems.

The initial engagement period shall be two years and will include a single audit compliance reporting (Circular A-133) for receiving Federal grant awards.

Audit reports must be finalized by August 15 of each year so that information can be provided to Norwich University (related party) to be included in their audit reports.

Proposal Requirements

Audit Experience

- State whether your audit organization is national, regional, or local. Describe the organization, size and structure.
- State the address of the local office that will be conducting the audit
- Describe the firm's audit experience with government grants and contracts
- Indicate the number of people by level within the local office that will handle the audit. State

your policy on notification of changes in key personnel. Also, indicate the overall supervision to be exercised over the audit team by the firm's management.

- Latest peer review report (with comments and firm's response, if applicable)
- Disclosure of any auditors who may be subject to litigation, debarment, or other disciplinary actions or complaints
- If at any time during the past five (5) years, respondent has had an engagement terminated for convenience, non-performance, or any other reason, describe fully all such terminations including the name and address of the other contracting party, and the circumstances surrounding the termination.

Reference Information

Provide an overview of two (2) references who are existing clients and two (2) references who are no longer clients. For each reference include the following:

- Client name and main line of business
- Respondent's rationale for including the specific reference (e.g. similar in size to NUARI)
- Client's principal location
- Client's number of employees
- Length of business relationship
- Client contact information including name, position, phone number and extension.

Information to be requested by NUARI and evaluated from each reference includes services performed, Respondent's abilities, communication skills and timeliness, prices, accuracy, problems, overall performance, and whether or not the reference would rehire Respondent. NUARI reserves the right to check any other reference(s) that might be indicated through the explicitly specified contacts or that result from communication with other entities involved with similar requirements

Personnel

- Managing partner of this engagement
- Expected levels of staffing and review for this engagement
- Relevant training obtained by engagement staff in the last 3 years specific to your organization's industry
- Bios of engagement staff members

Service Execution

- Proposed timeline and completion dates of each major section of the engagement
- Workspace requirements, if in-office work is required, or a statement that the engagement will be completed remotely

Fee Calculation

- Detailed fee schedule according to the firm's billing structure
- How the firm charges (if at all) for consultation during the year, and at what rate

Responses

NUARI will accept proposals with Statements of Qualifications from Certified Public Accounting Firms for the audit for a two (2) year engagement term to include the fiscal years ending May 31, 2025, through May 31, 2026. NUARI's preferred term is two years but will entertain a longer term (up to five years) based on the specifics of the agreement and acceptable performance. Interested firms should submit their proposal including one electronic copy and two paper copies sent by regular mail to:

NUARI
Cheryl Willette, CFO
PO Box 30
Northfield, VT
05663
cwillet1@norwich.edu

No formal structure for the proposal is required but all proposals must address all of the previous points. Overall length of the proposal should not exceed 30 pages. Please provide one electronic copy and two (2) paper copies of your proposal. Responses must be submitted no later than 3:00 p.m., Eastern Time on January 6, 2025. NUARI, at its discretion, may elect to return responses received after the deadline.

NUARI reserves the right to reject any responses or, at NUARI's discretion, to solicit additional responses. NUARI may also accept or reject portions of a response.

The entire price for the preparation of a response, the Respondent presentation, or negotiation sessions (if conducted) shall be borne by Respondent.

This document represents the best estimate of NUARI's requirements. NUARI reserves the right to adjust the specification or scope of effort stated in this document. If any modifications to the original document become necessary, all Respondents will be notified in writing by means of an addendum.

Thank you in advance for your time and careful attention. If you have any further questions, please feel free to contact Cheryl Willette at cwillet1@norwich.edu or 802-485-2704.

