REQUEST FOR PROPOSAL – (RFP 25-05)

INTERNAL AUDITOR SERVICES

PROPOSALS DUE: No later than November 17, 2025, 2:00 PM EST in hard copy.
Electronic submissions via e-mail or fax will NOT be accepted.

Questions should be directed in writing to John B. Gates, Jr, via e-mail at:
john.gates@dunwoodyga.gov
All questions must be submitted by November 7, 2025, at 2:00 PM

Submit Proposals to:
City of Dunwoody
Office of Purchasing, Finance Department
4800 Ashford Dunwoody Rd. NE Dunwoody, Georgia 30338

SECTION 1. BACKGROUND AND PURPOSE OF REQUEST FOR PROPOSAL

1.1 General Background

Dunwoody, Georgia, is known as an urban center for dining and premier shopping near Atlanta, anchored by Perimeter Mall. The area was officially recognized as the city of Dunwoody in December 2008, when Dunwoody was officially incorporated following a community-led movement.

The City of Dunwoody has a Council-Manager form of government. There are six Council Members and one Mayor who make up Dunwoody's City Council.

Each member of council represents one of three districts in Dunwoody. Posts 1, 2, and 3 are positions that are voted upon by citizens from within the district the Council Member will be representing. Posts 4, 5, and 6 are elected by the city at-large, with each Council Member being elected to represent a given district. Elections are held on a four-year cycle and are staggered, with only half of the Council coming up for vote in any given cycle.

The City Manager is appointed by the Mayor and City Council and is responsible for the effective administration and operation of all services for the City of Dunwoody. The City Manager manages the day-to-day activities of city departments and maintains necessary intergovernmental relationships with federal, state, and other local governments.

The City provides municipal services to its citizens and businesses with City employees and through contract services provided by private firms.

For general information about the City of Dunwoody, the Mayor and City Council, and other city departments, please visit the City's website at http://www.dunwoodyga.gov.

1.2 Purpose of this Request for Proposal (RFP)

This RFP is being issued by the City of Dunwoody ("City") to seek proposals from qualified professional certified individual internal auditors or audit consulting firms to provide advice, analysis and recommendations to City Management, the Audit Committee, and the Mayor and City Council.

The City desires to enter into a professional services contract with a qualified Proposer who can demonstrate competency and experience in providing internal auditing services for municipal governments. Interested parties who possess the desired qualifications listed and are experienced in providing internal audit services to public agencies are encouraged to submit a Response to this Request for Proposal. At its sole discretion, the City may by direct negotiation, finalize terms with the service provider who is selected for the contract award. The City reserves the right to reject any or all responses for any reason.

SECTION 2. RFP INSTRUCTIONS

2.1 Overview of The Major Schedule of Events

Event	Date
RFP Issue Date	October 24, 2025
Deadline for Receipt of Written Questions	November 7, 2025, at 2:00PM
RFP Response Due Date and Time	November 17, 2025, at 2:00PM

2.2 Point of Contact

From the date this Request for Proposal ("RFP") is issued until a Proposer is selected, Proposers are not allowed to communicate with any staff (other than the designee below) or elected officials of the City of Dunwoody ("City") regarding this solicitation. Any unauthorized contact may disqualify the Proposer from further consideration. Contact information for the single point of contact is as follows:

Point of Contact:	John B. Gates, Jr, Purchasing Manager
Address:	4800 Ashford Dunwoody Rd., NE Office of Purchasing, Department of Finance Dunwoody, GA 30338
Telephone:	678-382-6750
E-Mail Address:	john.gates@dunwoodyga.gov

2.3 Required Review

2.3.1 Review RFP: Proposers should carefully review this RFP in its entirety including all instructions, requirements, specifications, and terms/conditions and promptly notify the Purchasing Manager, identified above, in writing or via e-mail of any ambiguity, inconsistency, unduly restrictive specifications, or error that may be discovered upon examination of this RFP.

2.3.2 Addenda: The City may revise this RFP by issuing an addendum prior to its opening. The addendum will be posted on the City's website alongside the posting of the RFP at http://www.dunwoodyga.gov. Addenda will become part of the proposal documents and subsequent contract. Proposers must sign and return acknowledgement of any addendum with their RFP response. Failure to propose in accordance with an addendum may be cause for rejection.

2.3.3 Pre-Proposal Conference: There is no pre-proposal conference scheduled for this RFP.

2.3.4 Form of Questions: Proposers with questions or requiring clarification or interpretation of any section within this RFP must address these questions in writing or via e-mail to the Purchasing Manager on or before November 7, 2025. Each question must provide clear reference to the section, page, and item in question.

2.3.5 City's Answers: The City will provide an official written answer to all questions received within the period stipulated under Section 1.2.5. The City's response will be by formal written addendum. Several questions may be answered in a single addendum, depending on when questions are received. Any other form of interpretation, correction, or change to this RFP will not be binding upon the City. Any formal written addendum will be posted on the City's website alongside the posting of the RFP at http://www.dunwoodyga.gov. Proposers must sign and return an acknowledgment form for any addendum with their RFP response. A blank acknowledgement form may be found in Section VI of this RFP.

2.4 Submitting a Sealed Proposal

Each Proposer is required to submit two types of proposals, a technical proposal and a fee proposal.

2.4.1 Organization of Proposal: Each proposal shall be prepared simply and economically, providing straight-forward, concise delineation of the Proposer's capabilities to satisfy the requirements of this RFP. Fancy bindings, colored displays, and promotional material are not required. Emphasis in each proposal shall be on completeness and clarity of content. To expedite the evaluation of proposals, it is essential that Proposers follow the format and instructions contained herein. Proposers failing to comply with these instructions may be subject to scoring reductions. The City may also choose not to evaluate, may deem non-responsive, and/or may disqualify from further consideration any proposals that do not follow this RFP format, are difficult to understand, are difficult to read, or are missing any requested information.

All proposals must be received in sealed opaque packaging which shall be clearly marked **PURCHASING RFP 25-05—TECHNICAL OR PURCHASING RFP 25-05—FEE**. The technical proposal and the fee proposal must be submitted at the same time, but in separate envelopes. Proposers must organize their proposals in the following order with tabs separating each section:

2.4.2 Content of Technical Proposal Envelope:

- **Proposal Letter** – The Proposer's authorized representative(s) shall complete and sign the Proposal Letter in Section VI of this RFP and return it with the proposal.

  Acknowledgement of Addendum Form -- The Proposer's authorized representative(s) shall complete and sign the Addendum Acknowledgement Form in Section VI of this RFP and return it with the proposal.

- **Scope of Work** – The Proposer shall respond comprehensively and clearly to all the requirements of this section and shall include all documents, information, exceptions, clarifications, etc., as requested therein. Number the responses so they are keyed to the paragraph of the RFP that the response addresses. If the Proposer cross-references supplemental materials as enclosures or appendices or annexes to the proposal, be sure that this information is numbered in the supplemental materials showing exactly what paragraph in the RFP the supplemental material is addressing.

- **Appendix** – All other required documents and information requested such as, list of references, copy of germane professional licenses and/or certificates, so forth should be included in this section, with section headings as to the nature of the content.

2.4.3 Content of Fee Proposal Envelope:

The Proposer shall provide a proposed rate of compensation, marked as "Fee Proposal", detailing a comprehensive fee that designates the total flat rate of compensation for a twelve-month term that includes compensation for any and all reasonable out-of-pocket costs and expenses. Payments to the successful Proposer will be based on submitted detailed invoices. The fee proposal should indicate the desired payment schedule, i.e. monthly, quarterly

In a separate section of the Fee Proposal, the Proposer must provide a description of the fee approach that would be used to charge for work requests outside the Scope of Work, i.e., by hourly rate and what the hourly rate would be, or by flat daily rate fee, or other approach. The City does not know currently of any work outside of the cited Scope of Work, but in the event an issue should arise in which the services of the Internal Auditor may be helpful, the City desires to include a provision in the service provider contract, through mutual agreement, to allow for additional services beyond the original scope of work.

The City of Dunwoody requires pricing to remain firm for the duration of the contract. Failure to hold firm pricing for the duration of the contract will be sufficient cause for the City to declare a proposal non-responsive.

2.4.4 Copies Required and Deadline for Receipt of the Sealed Technical and Fee Proposals:
Proposers must submit the following number of copies of both the technical and the fee proposals.

- One (1) unbound hard copy marked “Original” with signatures; and

- One (1) electronic copy. The electronic copy shall be submitted by USB flash drive in PDF format (OCR) and organized in the same manner as the original submission with each Chapter or Section of the original having a corresponding Electronic File.

Proposals must be received sealed and at City Hall--the Office of the Purchasing Manager **prior to 2:00 PM (EST), on November 17, 2025**. Facsimile or e-mail responses to requests for proposals are NOT accepted.

2.4.5 Late Proposal: It shall be the Proposer’s sole responsibility to assure delivery to City Hall--the Office of the Purchasing Manager by the designated time. Regardless of cause, late proposals will not be accepted and will automatically be disqualified for further consideration.

2.4.6 Proposal Withdrawal: A Proposer requesting to withdraw its proposal prior to the RFP due date and time may submit a letter to the Purchasing Manager requesting to withdraw. The letter must be on company letterhead and signed by an individual authorized to legally bind the firm.

2.4.7 Proposal Correction: If an obvious clerical error is discovered after the proposal has been opened; the Proposer may submit a letter to the Purchasing Manager within two business days of opening, requesting that the error be corrected. The letter must be on company letterhead and signed by an individual authorized to legally bind the firm. The Proposer must present clear and convincing evidence that an unintentional error was made. The Purchasing Manager will review the correction request, and a judgment will be made. Generally, modifications to open proposals for reasons other than obvious clerical errors are not permitted.

2.4.8 Cost of Preparing a Proposal
The costs for developing and delivering responses to this RFP and any subsequent presentations of the proposal as requested by the City are entirely the responsibility of the Proposer. The City is not liable for any expenses incurred by the Proposer in the preparation and presentation of its proposal.

2.4.9 All Timely Submitted Materials Become City’s Property
All materials submitted in response to this RFP become the property of the City and are to be appended to any formal documentation, which would further define or expand any contractual relationship between the City and Proposer resulting from this RFP process.

SECTION 3. RFP RECEIPT

3.1 Authority

This RFP is issued under the authority of the City of Dunwoody.

3.2 Receipt of Proposals and Public Inspection

During the opening of sealed proposals, only the name of each Proposer shall be announced. No other information will be disclosed nor shall the proposals be considered open record until after the contract award.

All information received in response to this RFP, including copyrighted material, is deemed public information and will be made available for public viewing and copying shortly after the City Council award with the following four(4) exceptions: (1) bona fide trade secrets meeting confidentiality requirements that have been properly marked, separated, and documented; (2) matters involving individual safety as

determined by the City; (3) any company financial information requested by the City to determine vendor responsibility, unless prior written consent has been given by the Proposer; and (4) other constitutional protections.

Upon opening the sealed proposals received in response to this RFP, the Chair of the Evaluation Committee in charge of the solicitation will review the proposals and separate out any information that meets the referenced exceptions above, providing the following conditions have been met:

- Confidential information is clearly marked and separated from rest of proposal; Sealed Fee Proposal does not contain confidential material in cost/price section.

- An affidavit from a Proposer's legal counsel attesting to and explaining the validity of the trade secret claim is attached to each proposal containing trade secrets.

Information separated out under this process will be available for review only by the Purchasing Manager, the Evaluation Committee members, and limited other designees. Proposers must be prepared to pay all legal costs and fees associated with defending a claim for confidentiality in the event of a "right to know" (open records) request from another party.

SECTION 4. EVALUATION PROCESS

4.1 Classification and Evaluation of Proposals

4.1.2 Initial Classification of Proposals as Responsive or Nonresponsive

All proposals will initially be classified as either "responsive" or "nonresponsive". Proposals may be found non-responsive at any time during the evaluation process or negotiations if: any of the required information is not provided; the submitted price is found to be excessive or inadequate as measured by criteria stated in the RFP; or the proposal is not within the plans and specifications described and required in the RFP. Proposals found non-responsive may not be considered further.

The City-appointed Evaluation Committee will determine whether a Proposer has met the standards of responsibility. Such a determination may be made at any time during the evaluation process and through negotiation if information surfaces that would result in a determination of non-responsibility. If a Proposer is found non-responsible, the determination will be made as part of the procurement file and the Proposer will be so notified.

4.1.3 Evaluation of Proposals

A City-appointed Evaluation Committee will evaluate the remaining proposals.

The City, at its sole discretion, may short-list firms that are deemed to best meet the City's requirements, taking into consideration all criteria listed in the RFP. The City may, at its sole discretion, ask for formal presentations from all of the responsive and responsible proposers, or only from those firms that are short-listed, if short-listing is determined to be in the best interest of the City.

Proposers should be prepared to send qualified personnel to the City of Dunwoody or through a Zoom Video Conference to discuss technical and contractual aspects of their proposals. Any cost incurred by the Proposer for its presentation, if conducted, shall be at the Proposer's expense.

4.2 Criteria

Responsive proposals will be evaluated based on the stated evaluation criteria specified below:

- Broad experience, expertise, and knowledge of internal auditing
- Specific experience performing internal audit for cities and/or counties in Georgia
- Professional References
- Fee Proposal

In scoring against stated criteria, the Evaluation Committee may consider such factors as accepted industry standards and a comparative evaluation of all other qualified RFP responses in terms of differing quality, approach to service offerings, pricing, and other factors.

The Evaluation Committee will provide a written recommendation for award to the Purchasing Manager that contains the scoring and related supporting documentation for its decision. The Purchasing Manager will review the recommendation to ensure its compliance with the RFP process and criteria before the Evaluation Committee submits the recommendation to the City Manager.

4.3 Negotiations:
Upon direction of the City Manager, the designated City Official may begin negotiations with the recommended Proposer. The "best and final offer" is an option available to the City under the RFP process which permits the City of Dunwoody to request a "best and final offer" from one or more Proposers if additional information is required to make a final decision. The decision to seek "best and final offer" is at the sole discretion of the City. Proposers may be contacted asking that they submit their "best and final offer," which must include any and all discussed and/or negotiated changes.

Contract Award, if there is any, will be made to the responsible and responsive proposer who provides all required documents and successfully completes the negotiation process and is deemed in the City's sole discretion to be the most advantageous to the City.

SECTION 5. CITY OF DUNWOODY RIGHTS RESERVED

The following rights reserved to the City are not all inclusive but only represent certain rights that may be of interest to potential proposers in deciding whether or not to submit a proposal.

- The City reserves the right to waive any information or irregularities of proposals, to request clarifications on information in any proposal, to request additional information from any proposer, or to reject any or all proposals, and to re-advertise for proposals. The City also reserves the right to extend the date or time scheduled for the opening of proposals.

- While the City has every intention to make an award as a result of this RFP, issuance of the RFP in no way constitutes a commitment by the City to award and execute a contract. Upon determination such actions would be in its best interest, the City, in its sole discretion, reserves the right to cancel or terminate this RFP at any time. A notice of cancellation will be issued on the City's website. If the RFP is cancelled, the City will not reimburse any Proposer for the preparation of its proposal. Proposals may be returned upon request if they are unopened.

- The City may make such investigations as deemed necessary to determine the ability of the Proposer to perform the services specified. Further, the City reserves the right to contact Proposer's references, including references not provided by the Proposer.

- Enter into further discussions with one or more Proposers.

- Waive and/or amend any undesirable, inconsequential, or inconsistent provisions/specifications of this RFP which would not have significant impact on any proposal.

- The term of the initial contract award shall be for one year. If the City determines it to be advantageous, it may extend the term of a contract award for up to four (4) additional one-year periods, one year at a time. It is expressly understood and agreed that the obligation of the City to make payments to the successful Proposer shall only extend to monies appropriated annually by the Mayor and Council and encumbered for the purposes of the Internal Auditor Agreement.

SECTION 6. SCOPE OF WORK

6.1 Description of Internal Auditor Services

The City of Dunwoody is seeking an independent Internal Auditor to plan and conduct internal reviews and audits to ensure compliance with applicable federal, state, and local laws, regulations, generally accepted accounting principles and auditing standards.

- Develop a risk-based Internal Audit Strategic Plan based on the best approach for regular review of city programs and department operations.
- Review, monitor and make recommendations concerning accounting procedures.
- Review internal control procedures to ensure adherence to good management practices and protection of government interests.
- Review records pertaining to monetary, physical, and staffing assets to ensure accountability and efficient utilization.
- Analyze work processes, administrative procedures, workflow, and compliance with established standard operating procedures.
- Present recommended or requested audits to the City Manager for approval.
- Attend Audit Advisory Committee meetings regularly and City Council meetings as needed.
- Conduct and prepare quarterly written reports of audit findings to the City Manager, the Audit Advisory Committee, Mayor and City Council, which include departmental responses to the audit findings.
- Determine compliance with financial policies for preparation of financial statements.
- Review computer-based information systems for appropriate levels of control, documentation, audit trails and security.
- Work with external auditors or consultants to conduct independent reviews of department operations.
- Direct and participate in special investigations, projects and programs as requested by the City Manager.
- Provide innovative and progressive suggestions and share best practices generally to contribute to the City's goals to be transparent and efficient.
- Based on city-wide general observations provide approaches and techniques for organizational continuous improvement.
- Perform other duties as may be requested by the City Manager, Mayor and City Council.

6.2 Proposer Qualifications

- The successful Internal Auditor must have its own staff support and administrative resources to accomplish the requirements of the Internal Auditor work.

- Knowledge of management/operational auditing, financial analysis and planning and long-term financing mechanisms.
- Knowledge of federal, state, and local laws, rules and regulations governing area of assignment.
- Knowledge of methods and techniques used for internal financial controls including governmental accounting standards (GAS), generally accepted accounting principles (GAAP); generally accepted auditing standards (GAAS) and methods and techniques used to conduct criminal investigations related to fraud and theft of the Government's assets.
- Skill in communication and interpersonal techniques, establishing and maintaining effective working relationships with City staff, officials, and the general public. Preparing and presenting executive-level reports and managing multiple audit projects simultaneously.
- Skill in conducting surveys and developing and carrying out action plans.
- Skill in oral and written communication.
- Licensed as either a Certified Public Accountant (CPA), Certification issued by The Institute of Internal Auditors as a Certified Internal Auditor (CIA), a Certification issued by the Association of Certified Fraud Examiners (CFE), or a Certification issued by the Institute of Certified Forensic Accountants (CFA).
- Five or more years of Internal Audit or Fraud Examination, or Forensic Accounting experience in a business or governmental organization.

6.3 Proposal Required Content

Proposals shall include the following components:

- Proposer Qualifications and Expertise
- Engagement Approach and Proposer Resources
- Describe the nature and scope of the Proposer’s experience in providing the Services described in the Scope of Work. Include list of professional recommendations.
- Provide licenses, certificates and other information related to independent Internal Auditor Requirements.
- Name and business address of the entity(s) or individual(s) that will be the party to the proposed contract and the Proposer’s business telephone number, and e-mail address
- Number of years that Proposer has served as the Internal Auditor (please include any former firms owned by the Proposer including the firm names and year established, if applicable).
- Type of ownership (sole proprietorship, partnership, corporation, joint venture, or limited liability company—list state in which incorporated) and parent company, if any.
- Disclose whether the proposing entity(s), or any shareholder, member, partner, or officer or employee thereof, is presently a party to any pending litigation or has received notice of any threatened litigation or claim; provided, however, that Proposer need not disclose minor traffic matters.
- Proposals shall be signed by a person with actual authority to bind the Proposer. If it is made by a partnership, it shall be signed with the partnership name and by a general partner and the full name and address of the general partner shall be given.
- Explanation of any exceptions to this RFP requested by the Proposer. If exceptions are requested, cite the activity involved, the exception taken, and alternate language. If no exceptions are requested, please state so.
- Proposed rate of compensation in a separate sealed envelope marked “Fee Proposal”

SECTION 7. FORMS TO COMPLETE

- ☐ Proposal Letter
- ☐ Addendum Acknowledgement Form

PROPOSAL LETTER

FAILURE TO INCLUDE THIS SIGNED PROPOSAL LETTER AND PROPOSAL CERTIFICATION MAY RESULT IN THE REJECTION OF YOUR PROPOSAL

We propose to furnish and deliver any and all of the deliverables and services named in the attached Internal Auditor Services. Request for Proposal ("RFP") for the City of Dunwoody ("City") for which prices have been set. The price(s) offered herein shall apply for the period of time stated in the RFP.

It is understood and agreed that this proposal constitutes a good faith offer. As such, if it is accepted in writing by the City Manager of Dunwoody, then a contract will be negotiated by the two parties in accordance with the terms and conditions outlined in the proposal.

It is understood and agreed that we have read the City's specifications shown or referenced in the RFP and that this proposal is made in accordance with the provisions of such specifications. By our written signature on this proposal, we guarantee and certify that all items included in this proposal meet or exceed any and all such City specifications described in this RFP. We further agree, if awarded a contract, to deliver goods and services which meet or exceed the specifications. The City reserves the right to reject any or all proposals, waive technicalities, and informalities, and to make an award in the best interest of the City.

PROPOSAL SIGNATURE AND CERTIFICATION

I _____, certify that this proposal is made without prior understanding, agreement, or connection with any corporation, firm, or person submitting a proposal ("Proposer") for the same materials, supplies, equipment, or services and is in all respects fair and without collusion or fraud. I understand collusive bidding is a violation of state and federal law and can result in fines, prison sentences, and civil damage awards. I agree to abide by all conditions of the proposal and certify that I am authorized to sign this proposal for the Proposer.

Authorized Signature of Proposer	
Print or Type Proposer's Name	
Print or Type Name of Company, or N/A if non-applicable	
Date	

ACKNOWLEDGEMENT OF RFP ADDENDUMS

FAILURE TO INCLUDE THIS SIGNED ACKNOWLDEGEMENT MAY RESULT IN THE REJECTION OF YOUR PROPOSAL

Addendum Number	Date of Addendum

I_____, acknowledge and accept responsibility that I have reviewed the City's Purchasing website subsequent to the issuance of the original RFP 25-05 the following addendums issued for RFP 25-05.

Authorized Signature of Proposer	
Print or Type Proposer's Name	
Print or Type Name of Company, or N/A if non-applicable	
Date	