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February 15, 2022

**Re.: Request for Quotation for an annual Single Audit**

Dear Sir / Madam,

This is a request for quotation for performing a Single Audit of Theiss Research annually in accordance with 2 CFR 200, starting with a Single Audit of the calendar year 2021. If you are interested, we would be grateful to receive no later than March 20, 2022 a quotation from you that quotes firm-fixed prices for Single Audits of Theiss Research of the calendar years 2021, 2022, and 2023, respectively, and includes the three documents requested below. Please mail or email your quotation to us. Our mailing address and email address are given above.

Theiss Research is a 501(c)(3) nonprofit research organization founded in 2006 and based in La Jolla, CA. We are funded mainly through cooperative agreements with the U.S. Department of Commerce – National Institute of Standards and Technology, but also through grants from and contracts with other entities, both federal and non-federal. This allows Theiss Research to employ currently 23 research scientists. We use Quickbooks Premier Nonprofit and most of our accounting entries are related to payroll or employee travel. Single Audits have been performed by Sonnenberg & Company, CPAs for the calendar years 2013 through 2020 and I was expecting Sonnenberg & Company, CPAs to perform also the Single Audit for the calendar year 2021 and subsequent calendar years. Unfortunately, Leonard Sonnenberg of Sonnenberg & Company, CPAs wrote to me in 2021: “As a firm, we are no longer performing any governmental (Single) Audits. After 50 years, it is time.” His announcement is the reason for this request for quotation. The most recent audit report, which is that of the Single Audit of the calendar year 2020, can be provided upon request.

In order to select an auditor, we are required to follow 2 CFR 200.509, which in particular requires us to fulfill the procurement standards described in 2 CFR 200.317 – 327. We therefore would like to ask you to include the following documents in your quotation.

*Conflict of Interest and Competition Statements*

In order to certify that there is no conflict of interest between you and Theiss Research and full and open competition is ensured, please complete and sign the attached document titled “Conflict of Interest and Competition Statements” and include it in your quotation.

*Business Type*

In order to assist us in determining whether our request for quotation is received by small and minority businesses, women's business enterprises, and labor surplus area firms, as required by 2 CFR 200.321, please complete and sign the attached document titled "Business Type" and include it in your quotation.

*Peer Review Report*

In order to assist us in complying with 2 CFR 200.509, which requires us to "request a copy of the audit organization's peer review report which the auditor is required to provide under GAGAS," please include this peer review report in your quotation.

The procurement standards described in 2 CFR 200.317 – 327 also require us to select only a "responsible contractor." We understand that it would represent a lot of work to you to provide evidence to us that you would be a responsible contractor. We are therefore *not* asking you to include any of such evidence in your quotation. However, if we deem your quotation competitive and you become one of our top choices, we will ask you for such evidence. We will in particular be interested in your experience performing Single Audits, the availability and qualification of the person who would actually perform the Single Audits, speaking to some of your clients that are similar to Theiss Research about their experiences with you, and your readiness to agree to a contract with Theiss Research that includes all the provisions required to be included in accordance with 2 CFR Appendix II to Part 200. Again, we are *not* asking you to respond to these aspects in your quotation.

Unfortunately, 2 CFR 200.320 dictates that "quotations must be obtained from an adequate number of qualified sources." This has the unfortunate consequence that it is more likely that we will not select you than that we will select you. I personally feel terrible about us having to request quotations from several auditors knowing that only one will be successful. Nevertheless, we hope you are interested in having Theiss Research as your client and are therefore willing to invest your resources to prepare and send us a quotation.

Please do not hesitate to contact me regarding this request for quotation. If you decide to send us a quotation, we are looking forward to receiving it.

Yours sincerely,



Dr. Jurgen Theiss

**Attachments:** - Conflict of Interest and Competition Statements  
- Business Type

## **Conflict of Interest and Competition Statements**

In the below statements, the terms “firm” and “contractor” are meant to refer to \_\_\_\_\_  
\_\_\_\_\_ [Please insert name of vendor] (hereafter referred to as “Vendor”)  
and the terms “contractors”, “firms”, and “companies” are meant to include the Vendor.

### Conflict of Interest Statement

No employee, officer, or agent of Theiss Research may participate in the selection, award, or administration of a contract if he or she has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract. The employees, officers, and agents of Theiss Research may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts, except for gifts that are unsolicited items of a combined nominal value of \$25 per year per contract.

### Competition Statement

All procurement transactions must be conducted in a manner providing full and open competition. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or requests for quotations for Theiss Research must be excluded from competing for such procurements. Some of the situations considered to be restrictive of competition include but are not limited to noncompetitive pricing practices between firms or between affiliated companies.

Vendor acknowledges that it has read and understood the above and that it is in full compliance with the above. If Vendor learns of any potential real or apparent violation of the above, they must notify the President and CEO of Theiss Research, in writing, within 72 hours.

\_\_\_\_\_  
Name of Authorized Signatory Official of Vendor

\_\_\_\_\_  
Signature of Authorized Signatory Official of Vendor

\_\_\_\_\_  
Date

## Business Type

The Offeror represents and certifies as part of its offer that it is or is not the following business type, as defined by federal law.

	Yes	No
<b>Small Business</b>		
Small Business, as defined by the U.S. Small Business Administration (SBA)		
SBA Certified 8A		
SBA Certified 8A Joint Venture		
SBA Certified HubZone		
SBA Certified HubZone Joint Venture		
SBA Certified Small Disadvantaged Business Joint Venture		
<b>Socio-Economic Categories</b>		
<i>Veteran</i>		
Veteran-Owned Small Business		
Service-Disabled Veteran-Owned Small Business		
<i>Women</i>		
Women-Owned Small Business		
Women-Owned Small Business Joint Venture		
Economically-Disadvantaged Women-Owned Small Business		
Economically-Disadvantaged Women-Owned Small Business Joint Venture		
<i>Minority</i>		
Asian-Pacific American Owned		
Subcontinent Asian (Asian-Indian) American Owned		
Black American Owned		
Hispanic American Owned		
Native American Owned		
Other		
<b>Federally Recognized Native American</b>		
Alaskan Native Corporation Owned Firm		
American Indian Owned		
Indian Tribe (Federal Recognized)		
Native Hawaiian Organization Owned Firm		
Tribally Owned Firm		
<b>Labor Surplus Area</b>		
Labor Surplus Area Firm		

Legal business name of Offeror:

EIN:

DUNS:

Authorized representative of Offeror

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Name, Title, Signature, and Date