



Lake Champlain – Lake George Regional Planning Board

Request for Proposals: Auditing Services

Issued: October 26, 2018

Responses Due: November 20, 2018, 4:00 PM

For additional information, contact Beth Gilles, Director

(518)668-5773 or bgilles_rpb@verizon.net

Overview:

The Lake Champlain – Lake George Regional Planning Board (LCLGRP) is requesting proposals from qualified certified public accounting firms to perform the LCLGRP’s annual audit and related services to include the State Transportation Single Audit for the fiscal years 2018, 2019 and 2020.

The audit is to comply with the requirements of the Single Audit Act under Government Audit Standards in accordance with OMB Circular A-133. The audit and financial statements will be prepared in accordance with GASB 34 and all other pertinent GASB pronouncements.

Submittal Requirements:

Sealed proposals must be received no later than **4:00 PM (EST) on November 20, 2018:**

Proposals can be mailed to:

Lake Champlain – Lake George Regional Planning Board
PO Box 765
Lake George, NY 12845

or

Hand-delivered to a staff member between 8:00 am and 4:00 pm Monday – Friday at

Lake Champlain – Lake George Regional Planning Board
1 Lower Amherst Street
Lake George, NY 12845

- One original and three (3) copies of the response to this RFP are requested
- Include one original set of the non-collusive and notary forms found on the last two pages of this RFP
- Please mark “**Audit RFP**” conspicuously on the outer envelope portion of the sealed envelope
- Responses received after the deadline will not be considered by the LCLGRP

No faxed or emailed proposals will be considered.

Questions and Requests for Clarification:

For questions or clarifications, please contact the LCLGRP at 518-668-5773 or via email at bgilles_rpb@verizon.net.

All questions and requests for clarification must be submitted no later than November 5, 2018, 4:00 pm. Answers to questions and requests for clarification will be compiled and posted on the LCLGRP’s website at <http://www.lclgrpb.org/news.php> accompanying this RFP document no later than November 12, 2018, 4:00 pm.

Scope of Services Requested:

Services shall include an audit of all funds and account groups including business-type funds and component units, general purpose financial statements and the single audit of federal financial assistance programs as well as assistance in the completion of the general purpose financial statements. The LCLGRP will request the auditor express an opinion on the fair presentation of its financial statements in conformity with generally accepted accounting principles.

The auditors will compile the Government Wide Financial Statements in conformity with GASB 34. This involves assistance with the preparation of adjusting journal entries, which reconcile the fund balance financial statements to the government wide financial statements. The auditor will also provide assistance in compiling and performing the audit of the LCLGRP's Schedule of Expenditures of Federal Awards pursuant to guidelines.

The LCLGRP's fiscal year begins January 1 and ends December 31. The audit will cover all operations of the LCLGRP, the Lake Champlain – Lake George Regional Development Corp and the Adirondack/Glens Falls Transportation Council.

ADDITIONAL PROPOSAL REQUIREMENTS

Time and Acceptance - Each proposal must be a firm proposal available for a period of 60 days. Although the contract is expected to be awarded prior to that time, the 60 day period is requested in order to allow for unforeseen delay.

Safeguarding of Confidential Information - Any trade secrets or other data which the proposer does not wish disclosed to other than LCLGRP personnel involved in RFP evaluation or contract administration will be kept confidential if identified as follows: Each page shall be identified in boldface at the top and bottom as "Confidential"; and any section of the proposal, which is to remain confidential, should, in addition, be so marked in boldface on the title page of that section. Net cost information may not be deemed confidential.

Independency - The firm should provide an affirmative statement that it is independent of the LCLGRP as defined by generally accepted auditing standards, U.S. General Accounting Office's Government Auditing Standards.

License to Practice in New York State - An affirmative statement should be included that the firm and all assigned key professional staff are properly licensed to practice in New York State.

Firm Qualifications and Experience - State the size of the firm's governmental audit staff and the location of the office from which the work on this engagement is to be performed. Identify the principal supervisory and management staff, including engagement partners, managers, other supervisors and specialists who would be assigned to the engagement. Provide information on the government auditing experience and education of each person and information concerning membership in professional organizations relevant to the performance of this audit.

Similar Engagements With Other Government Entities - For the office that will be assigned responsibility for the audit, list the most significant engagements performed in the last three (3) years that are similar to the engagement described in this Request for Proposals.

DOLLAR COST BID

Total All-Inclusive Maximum Price – The dollar cost bid should contain all pricing information relative to performing the audit engagements as described in the request for proposals. The total all-inclusive maximum price to be bid for each engagement is to contain all direct and indirect costs, including all out-of-pocket expenses.

Rates for Additional Professional Services – If it should become necessary for the LCLGRP to request the auditor to render any additional services to either supplement the services requested in this Request for Proposals or to perform additional work as a result of the specific recommendations included in any report issued on this engagement, then such additional work shall be performed only if set forth in an addendum to the contract between the LCLGRP and the firm.

REVIEW OF PROPOSALS

Review of Proposals - The LCLGRP's designated selection committee will review the proposals. The qualifications of each firm and the dollar cost bid will be examined. The LCLGRP reserves the right to retain all proposals submitted and use any ideas in a proposal regardless of whether that proposal is selected. During the evaluation process, oral presentations may be requested from some or all firms submitting proposals at the discretion of the selection committee.

Right to Require Clarification – The LCLGRP reserves the right to require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a firm's proposal and/or determine a firm's compliance with the requirements of the RFP.

Right to Reject Proposals - The LCLGRP reserves the right without prejudice to reject any or all proposals.

NON-COLLUSIVE BIDDING CERTIFICATE

State of _____ }

County of _____ }

_____, being duly sworn, deposes and says:(a) By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of knowledge and belief:

(1) The prices in this bid have been arrived at independently without collusion, consultation, communication or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor.

(2) Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly, to any other bidder or to any competitor and;

(3) No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

(b) If the bidder is an individual, the bid must be signed by that individual; if the bidder is a corporation, it must be impressed with the corporate seal, signed by an officer of that corporation, or other person authorized by resolution of the Board of Directors, and in such case, **a copy of the resolution must be attached**; if a partnership, it must be signed by one of the partners or other person authorized by a writing signed by at least one general partner and submitted with the bid or previously filed with the LCLGRPB.

I, hereby affirm under the penalties of perjury that the foregoing statement is true.

Individual Bidder

Co-Partnership

(Corporate Seal) By: _____
Partner

Corporation

By: _____
Corporate Officer - Title

Sworn to before me this
day of _____, 2018

NOTARIZATION OF SIGNATORY

FOR SOLE PROPRIETORSHIP OR PARTNERSHIP:

STATE OF NEW YORK }
 } SS:
COUNTY OF }

On this ____ day of _____ 2018, before me personally came _____, to me known and known to me to be the person who executed the foregoing instrument, and he duly acknowledge to me that he executed the same.

Notary Public

_____ **or** _____

FOR CORPORATIONS:

STATE OF NEW YORK }
 } SS:
COUNTY OF }

On this ____ day of _____ 2018, before me personally came _____, to me known who, being by me duly sworn, did depose and say that he is the _____ of _____, the corporation described in, and which executed the within Instrument; that he knows the seal of such corporation; that the seal affixed to said Instrument is such corporate seal; that it was so affixed by order of the Board of Directors of said corporation; and he signed his name hereto by like order.

Notary Public