

# West Bountiful City

Request for Proposal

for

External Audit Services

May 2, 2011



May 2, 2011

Dear Vendor:

The City of West Bountiful invites you to submit a proposal to provide **External Audit Services**. The attached Request for Proposal (RFP) describes the anticipated services required.

The City of West Bountiful also has released an RFP to provide **Fund Accounting Consulting Services**. Firms are allowed to bid on both of these RFPs with the understanding that independent and separate firms are required for each set of services.

The RFP also outlines the information that should be included in your proposal. The proposal must be submitted by **4:00 P.M. on Friday, May 20, 2011** to:

Heidi Voordeckers  
City Recorder / Auditor  
550 N 800 W  
West Bountiful, Utah 84087

Direct all questions to the City Recorder at (801) 292.4486 or via email to [hvoordeckers@westbountiful.utah.gov](mailto:hvoordeckers@westbountiful.utah.gov).

We appreciate the effort you are making to provide a complete proposal and look forward to receiving your response.

Very truly yours,

Craig S. Howe  
City Administrator



# City of West Bountiful

## Request for Proposal

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# City of West Bountiful Request for Proposal Vendor Contact Information

Company Name \_\_\_\_\_

Address \_\_\_\_\_

City/State/Postal Code \_\_\_\_\_

Contact Person \_\_\_\_\_

Contact Phone \_\_\_\_\_ Work \_\_\_\_\_ Cell \_\_\_\_\_

Contact Email \_\_\_\_\_

## Proposal Checklist

The following checklist is offered as a guide to assist you in ensuring that your proposal addresses the major requirements of this Request for Proposals (RFP). However, it is not intended as a complete list of all proposal requirements. Proposers are cautioned to review the requirements of each and every section of the RFP to ensure their proposals are totally responsive.

| <b>Task</b>                                | <b>RFP Ref.<br/>Page</b> | <b>Proposal<br/>Ref. Page</b> |
|--|--------------------------|-------------------------------|
| Vendor Contact Information                 | ii                       | _____                         |
| Number of Proposal & Documentation Copies  | 4                        | _____                         |
| Understanding of Services Requested        | 2                        | _____                         |
| Proposal Completeness and Format           | 2                        | _____                         |
| Information About Your Company             | 2                        | _____                         |
| Client References                          | 3                        | _____                         |
| Information About Proposed Project Team    | 3                        | _____                         |
| Proposal Pricing Form                      | 6                        | _____                         |
| Professional Services Agreement Exceptions | B-1                      | _____                         |
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# 1 Proposal Information

## 1.1 General

### Introduction

This section of the Request for Proposal (RFP) outlines the proposal submission requirements and provides information on the desired format for proposals. It contains the instructions governing the proposal to be submitted and the material to be included therein, including mandatory requirements (which must be met to be eligible for consideration) and other requirements to be met in each proposal.

### Purpose

This RFP is intended to solicit proposals for the performance of external audits of the City.

### Invitation to Propose

The City of West Bountiful is hereby advertising to prospective proposers who have experience in the public sector and who are Certified Public Accountants. Prospective proposers are responsible for making printed copies as required to satisfy their needs. The RFP will be available at the City web site at: [www.westbountiful.utah.gov](http://www.westbountiful.utah.gov).

Proposers are encouraged to inform the City of their intent to respond via email to the City Recorder and to initiate preparation of proposals immediately upon receipt so that adequate time is available to prepare a comprehensive and complete response.

### Incurring Costs

The City of West Bountiful is not liable for any costs incurred by proposers prior to issuance of an agreement, contract or purchase order. Costs of developing the proposals, oral presentations or any other such expenses incurred by the proposer in responding to the RFP are entirely the responsibility of the proposer, and shall not be reimbursed in any manner by the City.

### Addendums, Supplements or Amendments to Request for Proposal

In the event that it becomes necessary to revise any part of this RFP due to inquiries raised, an addendum, supplement or amendment to this RFP will only be provided to proposers who received the RFP and those that have registered with the City.

## 1.2 Calendar of Events

The following table outlines the City's planned calendar of major events related to the RFP distribution, proposal submission, evaluation, and selection processes. All times are stated in Mountain Time.

1. RFP advertised to prospective proposers

April 29, 2011

- |    |  |              |
|----|--|--------------|
| 2. | Proposal submission deadline (4:00 P.M.) | May 20, 2011 |
| 3. | Select preferred proposer                | May 27, 2011 |
| 4. | Council Approval                         | June 7, 2011 |

The City reserves the right to amend the above schedule as necessary.

### 1.3 Proposal Format

#### Format of Proposal

Please minimize the bulk of original writing and make maximum use of your standard brochures and materials. Your proposals must follow the format prescribed below. **Failure to complete and furnish all information requested in the form and format specified may result in disqualification.**

| <u>SECTION</u> | <u>TITLE</u>  |
|----------------|---|
| I.             | Executive Summary                                   |
| II.            | Understanding of Project Goals and Expectations     |
| III.           | Vendor Qualifications and Experience                |
| IV.            | Proposed Project Team Qualifications and Experience |
| V.             | Client References                                   |
| VI.            | Professional Services Agreement Exceptions          |
| APPENDICES     | (Organization Left to Proposers)                    |

Feel free to include any material that will add to the persuasiveness of your recommended approach. However, if the materials do not directly address the stated requirements, please include them in an appendix or separate volume. We will review and consider all material submitted, but want to concentrate our efforts on the material that directly addresses the City's stated needs.

As noted later in this Section, required pricing forms are to be submitted in a separate, sealed envelope.

#### Understanding of Services Requested

Proposals should indicate the Proposer's understanding of project goals and expectations and must respond to all requirements of this RFP.

#### Information About Your Company

Please provide information that will enable us to evaluate your company's financial stability, track record, and support capabilities. We require that you include the following:

- (1) The two most recent audited financial statements;
- (2) Ownership of your company (Form of Business with Principals);



- (3) Number of years in business;
- (4) Total number of local government clients.

**Information About Your Proposed Project Team**

Please provide information that will enable us to evaluate your proposed audit team and staff resources. We require that you include the following: (1) resumes for your proposed key personnel (i.e., Project Manager and Team/Task Leaders) and (2) estimates of project participation in days or hours by major task by individual for the named Project Manager and Team/Task Leaders and by staff category for all other proposed personnel.

**Client References**

Please provide a list of **at least five** paying municipal customers of your company who have retained your services. The list should provide a customer name, population, number of employees, and their financial system vendor. For each customer reference, include contact names, phone numbers, and email addresses for financial staff.

**Proprietary Information**

Any restrictions on the use of information contained within a proposal must be clearly stated in the proposal itself. Proprietary information submitted in response to this RFP will be handled in accordance with applicable City of West Bountiful Purchasing Policies and the Utah State Statutes. The City shall incur no liability due to release of information from a proposer labeled "proprietary" or "confidential." Separate proposer documentation submitted in support of proposals will be treated as proprietary and confidential, if properly labeled as such.

**Response Material Ownership**

All material submitted regarding and in response to this RFP becomes the property of the City of West Bountiful and will only be returned to the proposer at the City's option. Any person may review responses after final selection has been made. The City of West Bountiful has the right to use any or all system ideas presented in reply to this request, subject to limitations outlined above in "Proprietary Information." Disqualification of a proposer does not eliminate this right.

**City Clarifications**

The City reserves the right to obtain clarification of any point in a proposer's proposal or to obtain additional information necessary to properly evaluate a particular proposal. Failure of a proposer to respond to such a request for additional information or clarification may result in rejection of the proposer's proposal.

**1.4 Proposal Submission**

The proposal package shall be delivered to:

Heidi Voordeckers  
City of West Bountiful  
550 N 800 W  
West Bountiful, Utah 84087  
801.292.4486

Proposals must be received prior to **4:00 P.M. Mountain Time on May 20, 2011**. Proposers must allow sufficient delivery time to ensure receipt of their proposal by the time specified.

Three (3) copies of the proposal should be sealed in a package showing, in addition to the address shown above, the following information on the outside:

1. Proposer's Name, Contact, Phone number, and Email address
2. Proposal - City of West Bountiful External Auditor
3. Proposal due: May 20, 2011.

The proposal must be signed by a person(s) legally authorized to bind the proposer.

Three (3) copies of the pricing proposal should be submitted in a separate, sealed envelope showing, in addition to the address shown above, the following information on the outside:

1. Proposer's Name
2. Pricing Proposal - City of West Bountiful External Auditor – Pricing Forms
3. Proposal due: May 20, 2011.

Late proposals will not be accepted or considered.

## **1.5 Selection Process**

### **Evaluation**

The City's Proposal Evaluation Team will evaluate all proposals submitted as a result of this RFP. This team will present its recommendation to the City Administrator prior to negotiations. Following successful negotiations, the City Council will be asked for their final approval. In order to receive consideration, responses must address all aspects of the requirements specified in the Proposal Response Forms.

### **Acceptance of Proposal**

Failure to furnish all information requested in the form and format specified may disqualify a proposal. The contents of the proposal of the successful proposer will become contractual obligations, if an agreement is executed. Failure of the successful proposer to accept these obligations in a purchase agreement, purchase order or contract, or similar acquisition instrument may result in cancellation of the award and such proposer may be removed from future solicitations.

### **False or Misleading Statements**

If, in the opinion of the City, a proposal contains false or misleading statements or references, it may be rejected.

### **Other Reservations**

The City reserves the right to accept or reject any and all proposals. Further, in the event that funds are not available or are terminated, no contract resulting from this RFP will be executed.

## **Rejection of Proposals**

Issuance of this RFP in no way constitutes a commitment by the City of West Bountiful to award a contract. If it is deemed in the best interest of the City to do so, the City of West Bountiful reserves the right to reject any or all proposals and to waive any informalities and minor irregularities in proposals received or to accept any portion of a proposal or all items proposed, or to reject any and all proposals received in response to this RFP, or to cancel the RFP.

## **Award of Proposal**

The contract will be awarded to that proposer whose proposal and client references present a product that will be the most advantageous to the City of West Bountiful. The City reserves the right to negotiate with the proposer selected in the evaluation process for this RFP to acquire the combination of services that best meets its needs within any limitations of available funding.

## **1.6 Contract/Negotiations**

### **Contract Terms and Conditions**

Appendix B contains the Software License Agreement that the City intends to use in awarding this proposal. Proposers should familiarize themselves with the terms and conditions contained in the agreement and must note any exceptions, additions, or modifications they would propose. **BLANKET SUBSTITUTION OF THE PROPOSER'S STANDARD CONTRACT FOR THE CITY OF WEST BOUNTIFUL'S PROPOSED AGREEMENT WILL NOT BE PERMITTED.**

### **Contract Negotiations**

The City of West Bountiful intends to make a preliminary selection in May 2011. The City will issue a letter of intent and complete contract negotiations with the successful proposer. A contract must be completed and signed by all parties concerned within five weeks from proposer selection. If this date is not met, and if the delay is not the fault of the City, the City may elect to cancel the letter of intent and award the selection to the next most responsive proposer. To provide for this contingency, each proposer must state in its proposal that the terms and conditions in the proposal will remain valid and in effect for at least 180 days from the proposal submittal date.

### **Type of Contract**

Contracts negotiated in response to this RFP shall be on a firm, fixed price basis.

### **City Ownership of Contract Products**

All products produced as a result of the execution and completion of the terms of the contract resulting from this RFP, except those delivered under license agreements, will be the sole property of the City of West Bountiful.

## **1.7 Payment/Delivery/Implementation Schedule**

All billings and payments will be made as incurred, on a monthly basis, for services provided. Travel costs and incidentals must be declared as a schedule of fixed costs to be included in the contract.

## 1.8 Miscellaneous

### **No Discrimination in Employment**

In connection with the performance of work for this project, the Contractor agrees not to refuse to hire, discharge, promote or demote, or to discriminate in matters of compensation against any person otherwise qualified, solely because of race, creed, color, religion, sex, age, national origin or ancestry; and further agrees to insert the foregoing provision in all subcontracts hereunder.

## 2 Background Information

The City of West Bountiful is located in South Davis County. It has convenient access from I-15 and the Legacy Parkway. The City has a rural flavor yet is close to all of the amenities of the greater metropolitan area. There are about 5,600 residents in the community of 1,510 households.

The City Government is comprised of an Elected Mayor and a five member City Council. Appointed officials include: City Administrator, Chief of Police, City Recorder / Auditor, City Treasurer.

20 Full-time benefitted employees serve the City with upwards of 40 part-time, seasonal, employees during the summer months. The City has 4 main departments including: Administration, Police, Public Services, and the Golf Course.

The FY2011 General Fund budget was about \$3 million.

The City also has several enterprise funds for Water, Storm Drainage, and the Golf Course. Additionally the City has a Redevelopment Agency with its associated fund.

## 3 Proposal Pricing Form

The following statements apply to filling out the pricing forms.

- Enter the total cost of **each item specified**.
- Submit pricing in a separate, sealed envelope according to the instructions in Section 1.
- The Vendor must commit to proposal pricing for a period of 180 days following the proposal due date.
- If you plan to offer the City a discount, please enter the amount as a credit and identify how the amount was determined on a separate page.
- If you are forced to estimate a service, please note that it is an estimate in an obvious way

# Appendix A

## Scope of Work

The function of the External Auditor, of necessity, is to be independent of the City, its officials and staff. The Scope of Work may vary according to generally accepted accounting principles pronounced by GASB, AICPA, and in compliance with the Statutes of the State of Utah as administered by the State Auditor.

West Bountiful City uses electronic financial software provided by Caselle. Familiarity with this software is an advantage in performing the audit.

It is anticipated that the Audit will cover the General Fund, and all other enterprise and special purpose funds. A review of controls and practices that promote and appropriate balance of transparency and security is also anticipated.

Please identify the specific areas that you propose and any services the you would consider as optional or additional services beyond those provided for your standard fee.

Each special service or item of work, beyond the standard accounting review should be itemized and accounted for in the pricing form.



# Appendix B

## Professional Services Agreement