

Request for Proposals
Audit Services

Date Issued: October 27, 2017

NOTICE IS HEREBY GIVEN that submissions will be received by the Troy Community Land Bank Corporation (the "Land Bank") to provide Audit Services. This Request for Proposal ("RFP") is a competitive process designed to serve the Land Bank's best interests and to provide firms a fair opportunity for consideration of their services. The request is open to all qualified firms able to deliver all requirements specified in this RFP. Proposals should address the proposal requirements for the services. All proposals will be treated as confidential and reviewed only by the Land Bank. Proposals must be received at the Troy Community Land Bank offices located at 200 Broadway, Suite 701, Troy, New York 12180. Proposals will be accepted until the Troy Community Land Bank Board of Directors takes action to accept a proposal or to award a contract for these requested services. Respondents must submit two (2) original printed proposals. The proposal shall be contained in a sealed envelope, clearly marked "Troy Community Land Bank - PROPOSAL FOR AUDIT SERVICES". Faxed and email RFPs are not acceptable.

I. QUALIFICATIONS

Requirements: Auditor must be a licensed Certified Public Accountant with experience in 501c3 not-for-profit audits. The audit must be performed in conformity with U.S. generally accepted accounting principles, and the standards for financial audits must be in compliance with Government Auditing Standards, issued by the Comptroller General of the United States.

II. Scope of Services:

Our fiscal year is January 1 to December 31.

Requested services:

- Audit of financial statements
- Preparation of IRS Form 990 and CHAR Forms
- Have experience with nonprofit and Public Authority audit requirements.

III. PROPOSAL REQUIREMENTS

- Thoroughness of the written proposal relative to the purpose, scope of services, and reporting requirements described herein. Your firm should document the complete scope of services to be provided including the time frame estimate for completing the audit.
- Your firm's general experience providing similar services to other New York NFP and Authority clients. Please provide at least three (3) references from your most recent public audit engagements including the contact person's name, address, and telephone number.
- The credentials of the project supervisor and the professional qualifications on the individuals assigned to complete the work. Please provide a resume for each individual.

➤ Fee –please indicate your fee schedule including hourly rates by staff position and non-personnel rates. If your fee is variable, please provide an estimate of the total cost per year for the services described herein.

➤ Two (2) printed and bound copies and one (1) PDF or other similar electronic file copy of the aforementioned reports to the Land Bank Acting Agent.

IV. INSURANCE REQUIREMENTS

The successful bidder shall be required to provide for itself and maintain at its own cost and expense until the completion of the work a professional liability insurance policy pertinent to the services to be rendered herein.

V. INDEMNIFICATION

The successful contractor shall defend, indemnify and save harmless the Land Bank, its employees and agents, from and against all claims, damages, losses and expenses (including, without limitation, reasonable attorneys' fees) arising out of, or in consequence of, any negligent or intentional act or omission of the successful contractor, its employees or agents, to the extent of its or their responsibility for such claims, damages, losses and expenses.

VI. NON-COLLUSIVE CERTIFICATION

By submission of this RFP, each contractor and each person signing on behalf of any contractor certifies, and in the case of a joint proposal each party thereto certifies as to its own organization, under penalty of perjury, that to the best of his knowledge and belief:

(1) The prices in this proposal 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 contractor or with any competitor; and

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

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

VII. MWVBE PROMOTION

It is the policy of the Land Bank that Minority-Owned Business Enterprises (MBE), Women-Owned Business Enterprises (WBE), and Veteran-Owned Business Enterprises are afforded the maximum opportunity to participate in the performance of contracts. It is also the Land Bank's goal to award Procurement Contracts to those procurement contractors who have evidenced compliance with the laws of the State of New York prohibiting discrimination in employment.

VIII. AFFIRMATIVE ACTION

As required by Executive Law § 312, and in compliance with the Land Bank's procurement policy, any contractor awarded a procurement contract in excess of \$25,000 for services rendered to the Land Bank must acknowledge this affirmative action policy and agree to implement the same by making every reasonable effort to award any subcontracts (none of hereby authorized) to MBEs and WBEs and to utilize minority and labor in the performance of any agreement that is awarded to the contractor. Specifically, any contractor awarded a contract in excess of \$25,000 dollars will be expected to abide by the following provisions:

1. The contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. For purposes of this section, affirmative action shall mean recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.
2. At the request of the contracting agency, the contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the contractor's obligations herein.
3. The contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the MWVBE Threshold Contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

IX. NON-DISCRIMINATION POLICY

In accordance with Article 15 of N.Y. Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor agrees that neither it nor any of its subcontractors shall, by reason of age, race, creed, color, national origin, sexual orientation, military status, sex, disability, predisposing genetic characteristics or marital status refuse to hire or employ or to bar or to discharge from employment such individual or to discriminate against such individual in compensation or in terms, conditions or privileges of employment.

X. MISCELLANEOUS REQUIREMENTS

1. The Land Bank will not be responsible for any expenses incurred by any firm in preparing or
2. submitting a proposal. All proposals shall provide a straightforward, concise delineation of the firm's capabilities to satisfy the requirements of this RFP. Emphasis should be on completeness and clarity of content.
3. The contents of the proposal submitted by the successful firm and this RFP may become part of the contract for these services. The successful firm will be expected to execute said contract with the Land Bank.
4. Proposals shall be signed in ink by the individual or authorized principal of the responding party.
5. Proposals submitted shall be valid for a minimum of sixty (60) days from the date of opening.
6. The Land Bank reserves the right to reject any and all proposals received or to negotiate
7. separately in any manner necessary to serve the best interests of the Land Bank.

8. The selected firm is prohibited from assigning, transferring, conveying, subletting or otherwise disposing of any agreement or its rights, title, or interest therein or its power to execute such agreement to any other person, company or corporation without the prior written consent of the Land Bank.

XI. PROPOSAL SUBMISSION

Proposals must be received at the Troy Community Land Bank office:

Technical Questions

Any technical questions pertaining to this proposal should be made to Executive Director Tony Tozzi via email at director@troycommunitylandbank.org.

Submission of Proposal

Your sealed proposal must be submitted at any time, until the Troy Community Land Bank Board of Directors takes action to accept a proposal or to award a contract, as related to this RFP:

Troy Community Land Bank
Attention: Tony Tozzi, Executive Director
200 Broadway, Suite 204
Troy, New York 12180