

Request for Qualifications

Purpose:

The following procedures are designed to provide for a fair and open process in awarding professional services based on qualifications, merit and cost effectiveness through accessible advertising. Services include annual appointments and day-to-day programs, projects and contracts.

Scope of Services:

TOWN AUDITOR

Any person or firm interested in providing professional services to the Town of Pittsford.

1) Appointment of Town Auditor. An independent auditor shall be appointed by Town Council pursuant to general law, by a majority vote of its membership for a term of one (1) year from the first day of January of the year of appointment and until successor has been appointed and qualified. The auditor shall receive such compensation as shall be agreed upon by Town Council of the Town of Pittsford.

2) Requirements. The Auditor shall be a registered CPA of the State of New York, but need not be a resident of the Town. In lieu of appointing an individual auditor, the Council may appoint a firm of auditors, one (1) or more members of which shall be a registered CPA of New York.

3) Duties.

The Town Auditor shall:

A. Act as the Town Auditor and employ at the Auditor's expense such personnel as are deemed necessary to carry on the duties prescribed for the Town Auditor.

B. The Auditor shall audit the municipality's financial statements of the various funds for the year ending **December 31, 2014** and all other related statements and supplementary schedules prepared in conformity with the requirements of audit as promulgated by Local Municipality Law for the year then ending, for the purpose of expressing an opinion on them as to whether these financial statements are fairly presented, in all material respects, in conformity with accepted generally accounting practices.

C. The Auditor shall conduct the audit in accordance with auditing standards generally accepted in the United States of America, Government Auditing Standards.

D. The Auditor will present for purposes of additional analysis the Schedule of Expenditures of Federal Awards and Schedule of Expenditures of State Financial Assistance, and all related disclosures, if required under the Single Audit Law. This information, if necessary, will be subjected to the tests and other auditing procedures applied in the examination of financial statements.

E. The Auditor's audit of the municipality's financial statements shall include examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements; therefore, the audit will involve judgment about the number of transactions to be examined and the areas to be tested. The auditor will plan and perform the audit to obtain reasonable rather than absolute misstatement, whether from errors, fraudulent financial reporting, misappropriation of assets, or violations of laws or governmental regulations that are attributable to the municipality or to acts by management or employees acting on behalf of the municipality. The auditor will inform the municipality of any material errors that come to the auditor's attention, and will inform the municipality of any fraudulent financial reporting or misappropriation of assets that come to the auditor's attention. The auditor will also inform the municipality of any violations of laws or governmental regulations that come to the auditor's attention, unless clearly inconsequential.

F. The Auditor's procedures will include tests of documentary evidence supporting the transactions recorded in the accounts, and may include tests of the physical existence of inventories, and direct confirmation of receivables and certain other assets and liabilities by correspondence with selected individuals, creditors, and financial institutions. The auditor will request written and representations from the municipality's compliance with applicable laws and regulations and the provisions of contracts and agreements. However, the objective of the audit will not be to provide an opinion on overall compliance and the Auditor will not express such an opinion.

G. The Auditor shall identify and ensure that the Municipality complies with laws, regulations, contracts and agreements. As part of obtaining reasonable assurance about whether the financial statements are free of material misstatement, the Auditor will perform tests of the Municipality's compliance with applicable laws and regulations and the provisions of contracts and agreements. However, the objective of the audit will not be to provide an opinion on overall compliance and the Auditor will not express such an opinion.

H. The Auditor shall also prepare the Annual Financial Statement, Annual Debt Statement, Annual Update Document, Justice Court Account Review and assist in preparing the budget. In this vein, the Auditor shall testify when required on the financial condition of the Municipality when in the opinion of the Municipality such testimony is required.

I. The Auditor shall also perform such non-audit services as may be agreed upon by the auditor and Municipality so long as such services do not violate independence standards set forth by the AICPA Code of Professional Conduct and Government Auditing Standards, issued by the Comptroller General of the United States.

Applicants'/Proposers' Responsibility in Responding to Town Request For Qualifications

The applicant/proposer shall in response to the Town's RFQ, at a minimum, include the following information:

A. Qualification requirements to compete for the needed service or activity as set forth in the "duties and responsibilities" of the position defined in the Town's RFQ. Qualifications, at a minimum, shall include requirements defined as follows:

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1. Full name and business address.
 2. Listing of all post high school education of the applicant and/or members of a professional firm seeking to provide professional services as described within the body of the RFQ.
 3. A listing of any professional affiliations or membership in any professional societies or organizations, with an indication as to any offices held.
 4. The number of licensed professionals employed (if a professional firm) and/or affiliated with the professional entity seeking to provide services to the Town. A description of each individual's qualifications, including education, Licensure and years of professional experience.
 5. A listing of all previous Public Sector entities served by the applicant/proposer licensed professional including dates of service and position(s) held.

6. Proposed cost of the service(s) or activities, including the hourly rate of individuals who will perform the services or activities. The proposed cost should include:

- a. Site visits and expenses
- b. Expenses for travel, postage and telephone excluded from the hourly rate.

7. **Insurance.** The applicant/proposer, as a member of a profession which is subject to suit for professional malpractice, shall provide documentation that insurance for professional liability/malpractice coverage with limits as to liability acceptable to the Town of Pittsford.

- B. The applicant/proposer shall submit **two (2) copies** of his/her proposal to the attention of the Director of Finance **by December 5, 2014** for review and consideration by the Town Supervisor and Town Council.

Basis for Award of Contract/Agreement for Professional Services

The Town shall award all professional service contracts or agreements based on qualification, merit and cost competitiveness. Selection criteria will include:

1. Qualifications of the individual or firms who will perform the service or activity.
2. Experience and references.
3. Ability to perform the service or activity in a timely fashion, including staffing and the staff's familiarity of the service or activity.
4. Cost Competitiveness.
5. The Town reserves the right to conduct an interview or interviews with the prospective professional to discuss the scope of the professional services as outlined in the applicant's/proposer's proposal.
6. All awards or waivers will be by resolution acted on by the Town Council at a Town meeting.
7. For annual appointments, the Town Council, Town Supervisor and Administrative staff will conduct a performance review a minimum of once per year in late November, early December.

8. All awards are subject to availability of funds.
9. This policy will include, but not be limited to, all of the above listed requirements.