

**CITY OF GRANDVIEW**  
**MISSOURI**



**AUDIT COMMITTEE**  
**REQUEST FOR PROPOSALS**  
**FOR**  
**PROFESSIONAL AUDITING SERVICES**

**JUNE 16, 2016**

**1200 MAIN**  
**GRANDVIEW, MISSOURI 64030**

# **REQUEST FOR PROPOSAL**

## **CITY OF GRANDVIEW, MISSOURI FINANCE DEPARTMENT**

**1200 MAIN STREET  
GRANDVIEW, MO 64030  
(816) 316-4800**

### **PROFESSIONAL AUDITING SERVICES**

**Date: June 16, 2016**

**Response Deadline Date and Time: July 14, 2016 at 2:00 p.m. CDT**

**Questions regarding this RFP should be directed to: Phil Smith, (816)316-4840,  
Email: [psmith@grandview.org](mailto:psmith@grandview.org)**

Interested firms should submit five (5) original copies and one (1) electronic copy of proposal including all attachments, to the address below by no later than 2:00 PM CDT on July 14, 2016. Late proposals, regardless of delivery means, will not be considered.

**City of Grandview  
City Clerk's Office  
1200 Main Street  
Grandview, MO 64030**

**Special Note: The City of Grandview intends to review cost/pricing separately. Therefore, all pricing and cost information is to be submitted in a separate sealed envelope labeled as "CITY OF GRANDVIEW PROFESSIONAL AUDITING SERVICES RFP Pricing/Cost".**

The undersigned certifies that he/she has the authority to bind this company in an agreement to supply the service or commodity in accordance with all terms and conditions specified herein. Please type or print the information below. **Respondent is REQUIRED to complete, sign and return this form with their submittal.**

**Company Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**Telephone Number:** \_\_\_\_\_ **Fax Number:** \_\_\_\_\_

**E-mail Address:** \_\_\_\_\_

**Authorized Signature:** \_\_\_\_\_

**Title:** \_\_\_\_\_ **Date:** \_\_\_\_\_

The City of Grandview reserves the right to accept any proposal or reject any or all proposals as it deems appropriate and in the best interest of the City and to negotiate any and all contract terms, including pricing and cost. Based upon the proposals received, the City will first select the best qualified respondent and only then open the separate, sealed pricing and cost information envelope. If it chooses, the City reserves its right to proceed to negotiate pricing, cost and any other terms it deems appropriate with the selected respondent. If the City and the selected respondent are unable to negotiate a contract, the City reserves its right to terminate negotiations and proceed to initiate contract negotiations with another of the respondents.

## **PUBLIC NOTICE**

The City of Grandview, Missouri is requesting proposals from qualified firms of certified public accountants to audit its financial statements for the fiscal year ending September 30, 2016, with the option of auditing its financial statements for each of four subsequent fiscal years. These audits are to be performed in accordance with generally accepted auditing standards and the standards set forth for financial audits in the U.S. General Accounting Office's Government Auditing Standards.

To be considered, five copies of the proposal must be received by the Grandview City Clerk's Office at Grandview City Hall, 1200 Main Street, Grandview, MO 64030 by 2:00 p.m. on July 14, 2016. A pre-proposal conference is also being held at the Grandview City Hall at 10:00 a.m. on June 30, 2016. For a copy of the **RFP**, please visit the City's website at [www.grandview.org](http://www.grandview.org) or e-mail Phil Smith at [psmith@grandview.org](mailto:psmith@grandview.org).

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# I. DESCRIPTION OF PROJECT AND SERVICES REQUIRED

## A. INTRODUCTION

The City of Grandview, Missouri is soliciting the services of qualified firms of certified public accountants to audit its financial statements for the fiscal year ending September 30, 2016, with the option to audit the City of Grandview, Missouri's financial statements for each of the four subsequent fiscal years. These audits are to be performed in accordance with the provisions contained in this request for proposals.

### Description of Operations or Background:

The City of Grandview serves an area of 15 square miles with a population of approximately 25,500. The City of Grandview has an October 1 —September 30 fiscal year. The total budget was \$39,478,588 for the fiscal year beginning October 1, 2015.

The City of Grandview provides the following services to its citizens:

- General Governmental Services
- Police & Fire Protection
- Parks & Recreation Programs
- Community Center Programs & Activities
- Street Maintenance
- Sewer Services

The accounting and financial reporting functions of the City are centralized in the Finance department.

### Fund Structure:

The City utilizes 25 funds in its financial reporting. A listing of the various funds by fund type follows.

General Fund	1
Special Revenue Fund	16
Debt Service Fund	3
Capital Projects Fund	3
Enterprise Fund	1
Internal Service Fund	1

Finance Department Organization:

The finance department is headed by Cemal Umut Gungor, Finance Director and consists of 20 employees. The principal functions performed and the number of employees assigned to each division is as follows:

<u>Function</u>	<u>Number of Employees</u>
Accounting	5
Collections	3
License Office	12

Computer Software & Applications:

New World Systems (Accounting)  
Incode (Municipal Court)  
Ascend (Jackson County Tax Collections)  
RecTrac (Community Center)  
Access Data Base (Neighborhood Services Billing)  
Access Data Base (Occupational License Billing)

**B. SCOPE OF SERVICES**

To meet the requirements of this request for proposals, the audit shall be performed in accordance with generally accepting auditing standards as set forth by the American Institute of Certified Public Accountants, the standards for financial audits set forth in the U.S. General Accounting Office's *Government Auditing Standards* (1994), the provisions of the Single Audit Act of 1984 (as amended in 1996) and the provisions of U.S. Office of Management and Budget (OMB) Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, Audits of State and Local Governments.

The audit firm will be required to express an opinion on the fair presentation of its general purpose financial statements in conformity with general accepted accounting principles.

The audit firm will also express an opinion on the fair presentation of its combining and individual fund and account group financial statements and schedules in conformity with generally accepted accounting principles. The auditor is not required to audit the supporting schedules contained in the comprehensive annual financial report. However, the auditor is to provide an "in-relation-to" opinion on the supporting schedules based on the auditing

procedures applied during the audit of the general purpose financial statements and the combining and individual fund financial statements and schedules. The auditor is not required to audit the statistical section.

The audit firm will prepare the Comprehensive Annual Financial Report for the City. **The city requires the CAFR in a PDF format file along with 50 bound copies.**

**If required**, the auditor is to provide a Single Audit Report for the Board of Aldermen on the schedule of federal financial assistance based on the auditing procedures applied during the audit of the financial statements. The City requires a **PDF** version and 50 copies of the Single Audit Report. **A separate pricing schedule should be included for the Single Audit report.**

The auditor shall communicate in a letter to management any reportable conditions found during the audit. A reportable condition shall be defined as a significant deficiency in the design or operation of the internal control structure which could adversely affect the organization's ability to record, process, summarize and report financial data consistent with the assertions of management in the financial statements.

The City of Grandview will send its Comprehensive Annual Financial Report to the Government Finance Officers Association of the United States and Canada for review in their Certificate of Achievement for Excellence in Financial Reporting program. It is anticipated that the auditor will be required to provide special assistance to the City to meet the requirements of that program.

All working papers and reports must be retained, at the auditor's expense, for a minimum of three years unless the firm is notified in writing by the City of Grandview of the need to extend the retention period. The auditor will be required to make working papers available, upon request, to the City itself, its cognizant agency, the U.S. General Accounting Office or auditors of entities of which the City is a recipient of grant funds.

The firm shall respond to the reasonable inquiries of successor auditors and allow successor auditors to review working papers relating to matters of continuing accounting significance.

The auditor will be required to provide assistance to the City throughout the contract period as deemed necessary.

**C. CITY PROVIDED SERVICES**

Letter of Transmittal, Management Discussion and Analysis, and Statistical Section

Work papers and Confirmations:

- Preliminary trial balances and general ledger detail for selected accounts
- Bank reconciliations at September 30 for all accounts
- Prepaid insurance and any other significant prepaid expenses
- Investments at year-end with accrued premium or discount amortization
- Accrued interest on investments
- Schedule of interest revenues received
- Changes in fixed assets by classification, including infrastructure; Fixed Asset Master Detail with the summary of depreciation by function
- Fixed asset additions
- Fixed asset dispositions
- Long-term debt activity and maturities by year for 2011-2015, and each five years thereafter
- Accrued interest expense on long-term debt
- Amortization of bond premiums, discounts and issue costs
- Summary of compensated absences (vacation) liability by function and estimated current portion
- Inter-fund transfers and outstanding inter-fund loans
- Schedule of inter-fund accounts receivable and inter-fund accounts payable
- Detail listing of ambulance accounts receivable and estimated write-offs
- Special assessments receivable
- Property tax receivable — 2016 levy (including TIFS)
- Revenue accruals (General, Transportation, Capital Improvement and Community Center Sales Tax Funds)
- Delinquent property taxes receivable
- Summary of property tax collections and reconciliation to the county's schedule
- Schedule of sales tax collections by fund, with related accruals and TIF allocations
- Schedule of TIF sales tax allocations and due from Jackson County for increment

- Grant revenue accruals/deferrals
- Schedule of accounts payable by fund
- Schedule of tax collections due to Jackson County
- Detail of court bonds outstanding
- Detail of plumber cash bonds outstanding
- Schedule of accrued salaries
- Review and reconciliation of payroll liabilities and benefits
- Schedule of outstanding encumbrances
- Sewer fund pre-1992 infrastructure and contributed capital
- Sewer fund account receivable reconciliation and unbilled calculation
- Summary of sewer fund assets, depreciation and contributed capital
- Schedule of sewer fund equipment and accumulated depreciation
- Sewer fund infrastructure and contributed capital
- Reconciliation of budget amounts to financial statements
- Estimated claims liability at 09/30 for P&C/liability self-insurance
- Summary schedules of program by function

Other schedules and/or confirmations will be prepared by City staff if requested by the audit firm.

**D. TIMELINE**

The City will make every reasonable attempt to adhere to this timeline but it is intended to be flexible.

**Timeline for RFP Process:** The timeline listed below is the City's estimation of time required to complete the RFP process. All efforts shall be made to abide by this schedule but it may change due to different circumstances.

Mail RFP Notification	June 16, 2016
Pre-proposal Conference	June 30, 2016 @10:00 AM
Proposals Due	July 14, 2016 @ 2:00 PM
Oral Presentations	July 28, 2016
Board of Aldermen Work Session	August 9, 2016
Board of Aldermen Final Approval	August 23, 2016

**Timeline for project:** The City has developed a general timeline as follows:

Preliminary Fieldwork	December, 2016
Fieldwork	January, 2017
Draft CAFR	February, 2017
Final CAFR	March, 2017
Presentation to Board of Aldermen	April, 2017

## **II. INSTRUCTIONS TO RESPONDENTS**

### **A. MINIMUM QUALIFICATIONS**

This section lists the criteria to be considered in evaluating the ability of firms interested in providing the services specified to be considered for award of the bid. Specific responses to each must be provided in the response to this RFP. It is expected that the successful firm will exceed these qualifications:

1. Independent and licensed to practice in Missouri;
2. No conflict of interest with regard to any other work performed by the firm for the City of Grandview;
3. Adheres to the instructions in this request for proposal on preparing and submitting the proposal;
4. Have provided services similar to those specified herein to at least five (5) clients (preferably local governmental entities) in the past five (5) years, and
5. Submits a copy of last external quality review report and the firm has record of quality audit work.

### **B. SELECTION PROCESS**

The proposals will be evaluated by a Selection Committee comprised of selected two Finance Staff and one Board of Aldermen. The overall process will consist of two steps: the first being a review and evaluation of all responsive proposals and the second being the interview phase for the short list of respondents selected for interview.

#### **Step One: Evaluation of Responsive Proposals**

Members of the Selection Committee will review and rate each responsive proposal based on the following criteria:

1. Evidence of experience and references with similar projects.
2. Expertise of the firm and experience and background of specific personnel assigned to the City's audit.

3. Applicable Resources offering quality assurances / quality control procedures; as well as adequacy of team / resources to complete the project within the proposed timeframe.
4. Project approach including project schedule and detailed approach to complete this project, familiarity with this project, identification of unique issues related to project, and the process proposed for communications with city staff, elected officials, and the public.

The Proposal Ranking Sheet for the evaluation of the proposals is included in this section. The Selection Committee may request additional submittals.

#### Step Two: Oral Presentations (Short List)

The written evaluation will produce a list of the top rated proposals that will be selected for oral presentations (short list). These presentations as selected by the committee will be conducted in order to make a final decision.

Reference checks are conducted once a short list is determined. The reference check information memo is prepared and distributed to the selection committee. Reference check information is considered part of Step 2 in the selection process and incorporated into the firm's experience & references criteria. **The sealed cost information will be used in the Oral Presentation evaluation ranking process.**

Upon selection of the top rated firm after oral presentations, the City will negotiate the specific terms of the contract including **final cost**.

#### **C. RESPONDENT COST TO DEVELOP PROPOSAL**

All costs for preparing and submitting proposals in response to this RFP are to be the responsibility of the respondent and will not be chargeable in any manner to the City.

**D. INSTRUCTIONS FOR RESPONDING TO THIS RFP**

Submit the correct number of signed copies of the proposal. The proposal must be organized using the following format:

1. Title-Signature Page
2. Table of Contents for submittal
3. Letter of Transmittal for Request for Proposal
4. Provider Profile —Lead Firm(s) — Joint Venture Partners
5. Key Outside Consultants (Sub-consultants)
6. Experience and References — List those projects your firm has completed within the past five (5) years that are similar to those requested by this RFP. Special attention should be given to projects your firm has completed for other governmental entities. Include company name, address, persons to contract, telephone number, e-mail address, a brief description of the project completed by your firm, and date completed.
7. Key personnel that will be assigned to the City's project for lead consultant firm(s) and sub-consultant firms. List the person's name, title, project assignments, years of experience and any other qualifications relevant to the City's project.
8. Narrative on project approach. Describe the schedule of events necessary to complete this project clearly defining the roles of all involved parties. Outline familiarity with the project and identify critical or unique issues specific to this project. Outline a communications process and explain unique approaches used elsewhere.
9. Identify all costs related directly or indirectly to this project, including, but not limited to employee classification, hourly rate, travel time, out-of-pocket expenses, etc. This section is to be signed by an authorized representative of the firm.
  - Task/Personnel Breakdown. Describe task and estimated total hours to complete task. List the personnel classification responsible for task and estimated hours per personnel classification by task, and total hours for complete project. **(Please submit with proposal in a separate sealed envelope marked cost. Proposal will not be evaluated on cost.)**

- **Fee Schedule.** Schedule of hourly billing rates of service: List personnel classification, typical work tasks and hourly billing rates. This section is to be signed by an authorized representative of the firm. The entity type and Tax ID number must also be provided. **(Please submit with proposal in a separate sealed envelope marked cost. Proposal will not be evaluated on cost.)**
- **Service related direct expenses.** List description of item and unit cost. **(Please submit with proposal in a separate sealed envelope marked cost. Proposal will not be evaluated on cost.)**
- **Total Cost** to include all related costs associated with the complete projects, personnel, total hours and service related expenses for FY 2016, FY 2017, FY 2018, FY 2019, and FY 2020. **(Please submit with proposal in a separate sealed envelope marked cost. Proposal will not be evaluated on cost.)**

**Proposals must be completed as instructed. A total of five (5) signed proposals must be submitted along with an equal number of each signed addenda (if applicable). Proposals received that do not include all required documents and signatures may be considered non-responsive.**

**E. CONFLICT OF INTEREST**

The successful respondent shall not have conflicts of interest as to revenues derived from the results of tests or recommendations made on behalf of the firm.

**F. RENEWAL OPTION**

1. The City reserves the right to negotiate this contract for four (4) additional one-year renewal periods.
2. The Director of Finance shall notify the Contractor in writing of the intent to exercise the renewal option. However, failure to notify the Contractor does not waive the City's right to exercise the renewal option.

**G. PROPOSAL RANKING SHEET**

Scoring Ranges	30 Point Questions	20 Point Questions	10 Point Questions
Outstanding	25 — 30	17 — 20	9 — 10
Exceeds Acceptable	19 — 24	13 — 16	7 — 8
Acceptable	13 — 18	9 — 12	5 — 6
Marginal	0 — 12	0 — 8	0 — 4

	Evaluation Criteria	Maximum Points	Score
1	<p>Evidence of Experience &amp; References with Similar Projects</p> <p>Consider experience and references listed by the firm/provider. Is the provider experienced in providing services similar to that requested in the RFP?</p> <ul style="list-style-type: none"> <li>• Familiarity and experience with similar projects</li> <li>• Consider any sub-consultants to be used and their experience</li> </ul>	30	
2	<p>Expertise of Firm /Provider Personnel</p> <p>Consider comparable experience and background of specific personnel that shall be assigned to the City's audit. Also consider the specific involvement of those persons in projects. Experience on projects of similar scope and size:</p> <ul style="list-style-type: none"> <li>• Project Manager</li> <li>• Project Team</li> <li>• Sub-consultants (if applicable)</li> </ul>	30	
3.	<p>Applicable Resources</p> <p>Evaluate the extent of applicable resources available to the firm / provider to complete the City's project.</p> <ul style="list-style-type: none"> <li>• Standard Quality Assurance/Quality Control program or procedures the firm has in place</li> <li>• Adequacy of proposed team/resources to complete project within proposed time frame</li> </ul>	10	
4.	<p>Project Approach</p> <p>Evaluate the firm/ provider's approach to and understanding of the Scope of Services required in the RFP as evidenced by the project approach.</p> <ul style="list-style-type: none"> <li>• Project schedule and detailed approach is reasonable/responsive to City's needs</li> <li>• Roles of all involved parties clearly identified</li> <li>• Familiarity with project location as evidenced by proposal</li> </ul>	30	

	<ul style="list-style-type: none"> <li>• Identify/recognize critical or unique issues specific to the project</li> <li>• Adequacy of proposed communications process</li> <li>• Unique approaches that have been successful elsewhere.</li> </ul>		
<u>Ranked By:</u> _____		<b>TOTAL POINTS (100)</b>	

## H. ORAL PRESENTATION RANKING SHEET

SCORING RANGES	30 Point Questions	20 Point Questions	10 Point Questions
Outstanding	25 — 30	17 — 20	9 — 10
Exceeds Acceptable	19 — 24	13 — 16	7 — 8
Acceptable	13 — 18	9 — 12	5 — 6
Marginal	0-12	0 — 8	0 — 4

	Evaluation Criteria	Maximum Points	Score
1	<p>Evidence of Experience &amp; References with Similar Projects</p> <p>Consider experience and references listed by the firm/provider. Is the provider experienced in providing services similar to that requested in the RFP?</p> <ul style="list-style-type: none"> <li>• Familiarity and experience with similar projects</li> <li>• Consider any sub-consultants to be used and their experience (if applicable)</li> <li>• Reference check information memo provided to the committee. (if applicable)</li> </ul>	20	
2	<p>Expertise of Firm /Provider Personnel</p> <p>Consider comparable experience and background of specific personnel that shall be assigned to the City's project. Also consider the specific involvement of those persons in projects. Experience on projects of similar scope and size:</p> <ul style="list-style-type: none"> <li>• Project Manager with emphasis on strengths related to this project</li> <li>• Project team and team's experience with similar projects</li> <li>• Sub-consultants (if applicable)</li> </ul>	20	
3.	<p>Applicable Resources</p> <p>Evaluate the extent of applicable resources available to the firm / provider to complete the City's project.</p> <ul style="list-style-type: none"> <li>• Standard Quality Assurance/Quality Control program or procedures the firm has in place</li> <li>• Adequacy of proposed team/resources to complete project within proposed time frame</li> </ul>	10	
4.	<p>Project Approach</p> <p>Evaluate the firm/ provider's approach to and understanding of the Scope of Services required in the RFP as evidenced by the project approach presented.</p> <ul style="list-style-type: none"> <li>• Project schedule and detailed approach is reasonable/responsive to City's needs.</li> </ul>	20	

	<ul style="list-style-type: none"> <li>• Roles of all involved parties clearly identified.</li> <li>• Familiarity with project location as evidenced by presentation.</li> <li>• Identify/recognize critical or unique issues specific to the project</li> <li>• Adequacy of proposed communications process</li> <li>• Unique approaches that have been successful elsewhere.</li> </ul>		
5.	<p><b>Cost</b> Allocation is based on present value of total audit cost for five years when comparing the total cost data of all firms submitting proposed cost information.</p>	30	
<p><u>Ranked By:</u></p>		<p><b>TOTAL POINTS</b> <b>(100)</b></p>	

**I. TABLE OF CONTENTS**

The following table sets forth the specific items to be addressed in the proposal. Respondents are requested to use this page with their proposal and with the corresponding page numbers indicated on the information submitted within their proposal (Refer to pp 12-13 of RFP):

1.	TITLE-SIGNATURE PAGE	Page 1
2.	TABLE OF CONTENTS: Submit this page with page numbers provided.	Page 2
3.	LETTER OF TRANSMITTAL: Limit to four (4) pages; to be submitted on the provider's letterhead. a. Concisely state the provider's understanding of the services required by the City. b. Include additional relevant information not requested elsewhere in this RFP. c. The signature of the letter shall be that of a person authorized to represent and bind the firm/provider.	Attachment
4.	PROVIDER PROFILE:	Page 3
5.	LIST OF OUTSIDE KEY CONSULTANTS / ASSOCIATES OR AGENCIES THAT WILL BE USED FOR THE CITY'S SERVICE:	Page 4
6.	EXPERIENCE AND REFERENCES:	Page -
7.	RESUMES OF KEY PERSONNEL ASSIGNED TO PROJECT:	Page -
8.	PROJECT APPROACH.	Page -
9.	COST:	Page -



**K. EXPERIENCE / REFERENCES**

Work by Firm/ Provider (including any subcontractors or Joint-Venture companies) that best illustrate current qualifications relevant to the City's project that has been/is being accomplished by personnel during the past five (5) years that shall be assigned to the City's project. List no more than ten (10) total projects:

Project Name & Location:

Completion Date (Actual or Estimated):

Project Owners Name & Address:

Project Owner's Contact Person, Title & Telephone Number and e-mail address:

Estimated Cost (in Thousands) for Entire Project: \$

Estimated Cost (in Thousands) for Work Which Firm was/is Responsible: \$

Scope of Entire Project: (Please give quantitative indications wherever possible).

Nature of Firm's / Provider's responsibility in project: (Please give quantitative indications wherever possible).

Firm's / Providers Personnel (Name/Project Assignment) who worked on the stated project that shall be assigned to the City's project:

**L. RESUME OF KEY PERSONNEL**

Brief resume of key persons, specialists, and individual consultants that shall be assigned to the City project:

1. Name and Title:
2. Project Assignment:
3. Name of Consultant Firm with which associated:
4. Years Experience:  
    With this firm \_\_\_\_\_ Other firms \_\_\_\_\_
5. Education: Degree(s)/Year/Specialization:
6. Current Registration(s):
7. Other Experience & Qualifications relevant to the proposed project:

**M. PROJECT NARRATIVE**

Use this space to provide a detailed project approach including but not limited to:

- Project schedule and detailed approach is reasonable/responsive to City's needs
- Roles of all involved parties clearly identified
- Familiarity with project location as evidenced by proposal/interview (if applicable)
- Identify/recognize critical or unique issues specific to the project and unique approaches used elsewhere
- Proposed communication process

Signature:

Typed Name and Title:

Telephone Number:

Date:

**N. TASK I PERSONNEL BREAKDOWN**

**(Please submit with proposal in a separate sealed envelope marked cost. Proposal will not be evaluated on cost.)**

TASK NO.	DESCRIPTION OF TASK	PERSONNEL CLASSIFICATION RESPONSIBLE FOR TASK ESTIMATED TOTAL HOURS TO COMPLETE TASK	ESTIMATED HOURS PER PERSONNEL CLASSIFICATION BY TASK	HOURLY RATE	TOTAL COST
<b>TOTAL</b>					

DISCLAIMER: The above is representative of a typical scope of services for building design. Respondent should complete the form in its entirety for use by the city in evaluating responses. The final scope of services will be negotiated with the top rated firm.

**Company Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**Telephone Number:** \_\_\_\_\_ **Fax Number:** \_\_\_\_\_

**E-mail Address:** \_\_\_\_\_

**Authorized Signature:** \_\_\_\_\_

**Title** \_\_\_\_\_ **Date:** \_\_\_\_\_

**0. FEE SCHEDULE**

**(Please submit with proposal in a separate sealed envelope marked cost. Proposal will not be evaluated on cost.)**

1. Total FY 2016 proposed cost for the audit (CAFR) based on the number of hours required for the project **(Excluding the Single Audit)**.

\$ \_\_\_\_\_

2. Total cost for providing a Single Audit based on the number of hours required for the project.

\$ \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_

Title \_\_\_\_\_ Date: \_\_\_\_\_



**Q. TOTAL PROPOSED COST FOR FY 2016 THROUGH FY 2020**

**(Please submit with proposal in a separate sealed envelope marked cost.  
Proposal will not be evaluated on cost)**

Overall total cost for Auditing Services to include all related costs associated with the complete Auditing Services Project, personnel, total hours and service related expenses including preparing the CAFR for FY 2016 through FY 2020 **(Excluding Single Audit)**.

TOTAL	COST
\$ _____	_____
	Numeric

**Company Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**Telephone Number:** \_\_\_\_\_ **Fax Number:** \_\_\_\_\_

**E-mail Address:** \_\_\_\_\_

**Authorized Signature:** \_\_\_\_\_

**Title:** \_\_\_\_\_ **Date:** \_\_\_\_\_

### III. GENERAL CONDITIONS

#### GOVERNING RESPONSES AND SUBSEQUENT CONTRACTS CITY OF Grandview, MO

1. SCOPE: The following terms and conditions, unless otherwise modified by the City of Grandview within this document, shall govern the submission of proposals and subsequent contracts. The City of Grandview reserves the right to reject any proposal that takes exception to these conditions.
2. DEFINITIONS AS USED HEREIN:
  - a. The term "request for proposal" means a solicitation of a formal, sealed proposal.
  - b. The term "respondent" means the person, firm or corporation who submits a formal sealed proposal.
  - c. The term "City" means City of Grandview, MO.
  - d. The term "Board of Aldermen" means the governing body of the City of Grandview, MO.
  - e. The term "contractor" means the respondent awarded a contract under this proposal.
3. COMPLETING PROPOSAL: All information must be legible. Any and all corrections and/or erasures must be initialed. Each proposal must be signed in Ink by an authorized representative of the respondent and required information must be provided. The contents of the proposal submitted by the successful respondent of this RFP will become a part of any contract award as a result of this solicitation.
4. REQUEST FOR INFORMATION: Any requests for clarification of additional Information deemed necessary by any respondent to present a proper proposal shall be submitted in writing to the Director of Finance, 1200 Main Street, Grandview, MO 64030, or via e-mail to [cgungar@grandview.org](mailto:cgungar@grandview.org) referencing this RFP, a minimum of five (5) calendar days prior to the proposal submission date. Any request received after the above stated deadline will not be considered. All requests received prior to the above stated deadline will be responded to in writing by the City in the form of an addendum addressed to all prospective respondents.
5. CONFIDENTIALITY OF PROPOSAL INFORMATION: Each proposal must be submitted in or under cover of a sealed envelope to provide confidentiality of the information enclosed. The envelope should be sealed and clearly marked as Auditing Services RFP.

All proposals and supporting documents will remain confidential until a final contract has been executed. Information that discloses proprietary or financial information submitted in response to qualification statements will not become public information. This is in accordance with the Missouri Sunshine Law.
6. SUBMISSION OF PROPOSAL: Proposals are to be sealed and submitted to the City Clerk's Office, 1200 Main Street, Grandview, MO 64030, prior to the date and time indicated on the cover sheet. At such time, all proposals received will be formally opened. The opening will consist of only the name and address recording of respondents.
7. ADDENDA: All changes, additions and/or clarifications in connection with this proposal will be issued by the Finance Department in the form of a WRITTEN ADDENDUM. SUBMIT EQUAL NUMBER OF SIGNED ADDENDUM WITH THE NUMBER OF PROPOSALS REQUIRED. Verbal responses and/or representations shall not be binding on the City.
8. LATE PROPOSALS AND MODIFICATION OR WITHDRAWALS: Proposals received after the date and time indicated on the cover sheet shall not be considered.

Proposals may be withdrawn or modified in writing prior to the proposal submission deadline. Proposals that are resubmitted or modified must be sealed and submitted to the City Clerk's Office prior to the proposal submission deadline. Each respondent may submit only one (1) response to this proposal.
9. BONDS:

When a Bond is required it shall be executed with the proper sureties, through a company licensed to operate in the State of Missouri, and hold a current Certificate of Authority as an acceptable surety under 31 CFR Part 223 (and be listed on the current U.S. Department of the Treasury Circular 570 and have at least A Best's rating and a FPR9 or better financial performance rating per the current A.M. Best Company ratings.)
10. NEGOTIATION: The City reserves the right to negotiate any and all elements of this proposal
11. TERMINATION : Subject to the provisions below, any contract derived from this Request For Proposal may be terminated by either party upon thirty (30) days advance written notice to the other party; but if any work or service hereunder is in progress, but not completed as of the date of termination, then said contract may be extended upon written approval of the City until said work or services are completed and accepted.

(a) TERMINATION FOR CONVENIENCE

In the event that the contract is terminated or cancelled upon request and for the convenience of the City, without the required thirty (30) days advance written notice, then the City shall negotiate reasonable termination costs, if applicable.

(b) TERMINATION FOR CAUSE

Termination by the City for cause, default or negligence on the part of the contractor shall be excluded from the foregoing provision: termination costs, if any, shall not apply, The thirty (30) days advance notice requirement is waived in the event of Termination for Cause.

(c) TERMINATION DUE TO UNAVAILABILITY OF FUNDS IN SUCCEEDING FISCAL YEARS.

When funds are not appropriated or otherwise made available to support continuation of performance in a subsequent fiscal year, the contract shall be cancelled and the contractor shall be reimbursed for the reasonable value of any nonrecurring costs incurred but not amortized in the price of the supplies or services delivered under the contract.

12. TAX EXEMPT: The City and its Agencies are exempt from State and local sales taxes. Sites of all transactions derived from this proposal shall be deemed to have been accomplished within the State of Missouri.
13. SAFETY: All practices, materials, supplies, and equipment shall comply with the Federal Occupational Safety and Health Act, as well as any pertinent Federal, State and/or local safety or environmental codes.
14. RIGHTS RESERVED: The City reserves the right to reject any or all proposals, to waive any minor informality or irregularity in any proposal, and to make award to the response deemed to be most advantageous to the City.
15. RESPONDENT PROHIBITED: Respondents are prohibited from assigning, transferring, conveying, subletting, or otherwise disposing of this proposal or any resultant agreement or its rights, title, or interest therein or its power to execute such agreement to any other person, company or corporation without the previous written approval of the City.
16. DISCLAIMER OF LIABILITY: The City, or any of its agencies, will not hold harmless or indemnify any respondent for any liability whatsoever.
17. INDEMNITY AND HOLD HARMLESS.  
Service Provider agrees to indemnify, release, defend, and forever hold harmless the City, its officers, agents, employees, and elected officials, each in their official and individual capacities, from and against all claims, demands, damages, loss or liabilities, including costs, expenses, and attorneys fees incurred in the defense of such claims, demands, damages, losses or liabilities, or incurred in the establishment of the right to indemnity hereunder, caused in whole or in part by Service Provider, his sub-contractors, employees or agents, and arising out of services performed by Service Provider, his subcontractors, employees or agents under this contract.
18. LAW GOVERNING: All contractual agreements shall be subject to, governed by, and construed according to the laws of the State of Missouri.
19. ANTI-DISCRIMINATION CLAUSE: No respondent on this request shall in any way, directly or indirectly discriminate against any person because of age, race, color, handicap, sex, national origin, or religious creed.
20. CONFLICTS: No salaried officer or employee of the City, and no member of the Board of Aldermen shall have a financial interest, direct or indirect, in this contract. A violation of this provision renders the contract void. Federal conflict of interest regulations and applicable provisions of Sections 105.450 — 105.496 shall not be violated. Contractor covenants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services to be performed under this contract. The Contractor further covenants that in the performance of this contract no person having such interest shall be employed.
22. DEBARMENT: By submission of its response, the Contractor certifies that neither it nor its principals is presently debarred or suspended by any Federal Department or agency, including listing in the U.S. General Services Administrations List of Parties Excluded from Federal Procurement or Non-Procurement programs; or if the amount of this response is equal to or in excess of \$100,000, that neither it nor its principals nor its subcontractors receiving sub-awards equal to or in excess of \$100,000 is presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by a Federal Department, agency or provision of law. If the Contractor is unable to certify any of the statements in this certification, the responder must attach an explanation to its response.

23. WORKER AUTHORIZATION: Respondents are informed that as a condition of the award of any contract in an amount exceeding five thousand dollars (\$5,000.00), the Service Provider shall 1) by sworn worker eligibility affidavit, affirm that the Service Provider and all subcontractors participate in E-Verify or other federal work authorization program as defined in RSMo Sec. 285.525(6) with respect to employees that will be working in connection with the contracted services and that the Service Provider and known subcontractors will not knowingly employ any person who is an unauthorized alien in connection with the contracted services, and 2) provide documentation to establish that Service Provider and subcontractors participate in E-Verify or other federal work authorization program as defined in RSMo Sec. 285.525(6).

#### IV. SPECIAL CONDITIONS

##### A. INSURANCE

The consultant shall be required to maintain and carry in force, for the duration of the contract, insurance coverage of the types and minimum liability as set forth below:

###### 1. PROFESSIONAL LIABILITY

Professional liability insurance protection must be carried by the consultant, for the duration of the contract, in the minimum amount of \$1,000,000 including errors and/or omissions.

###### 2. COMMERCIAL GENERAL LIABILITY

Limits:

Each Occurrence:	\$ 500,000
Personal & Advertising Injury:	\$ 500,000
Products/Completed Operations Aggregate:	\$ 500,000
General Aggregate:	\$ 500,000

Policy must include the following conditions:

Contractual Liability  
Products/Completed Operations  
Personal/Advertising Injury  
Independent Contractors  
Additional Insured: City of Grandview, Missouri

###### 3. AUTOMOBILE LIABILITY

Policy shall protect the consultant against claims for bodily injury and/or property damage arising out of the ownership or use of any owned, hired and/or non-owned vehicle and must include protection for either:

1. Any Auto
- or
2. All Owned Autos; Hired Autos; and Non-Owned Autos

Limits of auto liability insurance shall be the same as required in the Commercial General Liability section **with the exception** of the City being named as additional insured.



**B. INVOICING AND PAYMENTS**

1. Invoices shall be prepared and submitted to the City of Grandview, 1200 Main Street, Grandview, Missouri, 64030.
2. Payment schedule is negotiable.

**C. BUSINESS LICENSE REQUIREMENTS**

The successful company awarded this contract will be required to obtain a business license.

**D. WORKER ELIGIBILITY VERIFICATION AFFIDAVIT FOR ALL CITY OF GRANDVIEW CONTRACT AGREEMENTS IN EXCESS OF \$5,000**

(for joint ventures, a separate affidavit is required for each business entity)

STATE OF \_\_\_\_\_ ) ss  
COUNTY OF \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me appeared \_\_\_\_\_ personally known to me or proved to me on the basis of satisfactory evidence to be a person whose name is subscribed to this affidavit, who being by me duly sworn, deposed as follows:

My name is \_\_\_\_\_, and I am of sound mind, capable of making this affidavit, and personally certify the facts herein stated, as required by Section 285.530 RSMo, to enter into a contract agreement with the City of Grandview ("City") to perform a certain job, task, employment, labor, personal services, or other activity for which compensation is provided, expected, Or due, said contract more particularly described as \_\_\_\_\_ (the "Contract"); and

I am the \_\_\_\_\_ of \_\_\_\_\_ (the "Company"), and I am duly  
title business name  
authorized, directed, and/or empowered to act officially and properly on behalf of the Company.

I hereby affirm and warrant that the Company and the subcontractors listed on Exhibit 1 are enrolled in a federal work authorization program operated by the United States Department of Homeland Security as defined by Section 285.525 RSMo to verify information of newly hired employees, and the Company and the listed subcontractors shall participate in said program with respect to all employees working or providing services under the Contract. I have attached

documentation to this affidavit to evidence enrollment/participation by the Company and the listed subcontractors in a federal work authorization program, as required by Section 285.530 RSMo.

In addition, I hereby affirm and warrant that the Company and all of its subcontractors do not and shall not knowingly employ, in connection with work or services provided under the Contract, any alien who does not have the legal right or authorization under federal law to work in the United States, as defined in 8 U.S.C. § 1324a(h)(3).

I am aware and recognize that, unless certain contract and affidavit conditions with respect to subcontractors (both those listed and others that the Company may contract with) are satisfied pursuant to Section 285.530 RSMo, the Company may be held liable under Sections 285.525 through 285.550 RSMo for such subcontractors that knowingly employ any unauthorized alien to work within the City.

I acknowledge that I am signing this affidavit as a free act and deed of the aforementioned business entity and not under duress.

\_\_\_\_\_

Affiant Signature

Subscribed and sworn to before me this \_\_\_\_\_ day of

\_\_\_\_\_, 20 \_\_\_\_

\_\_\_\_\_

Notary Public

My commission expires: