

**CITY OF BINGHAMTON  
REQUEST FOR PROPOSALS  
FOR  
PROFESSIONAL AUDITING SERVICES  
OCTOBER 2018**

**CITY OF BINGHAMTON  
OFFICE OF THE COMPTROLLER  
38 HAWLEY STREET  
BINGHAMTON, NY 13901**

**CITY OF BINGHAMTON**  
**REQUEST FOR PROPOSALS**  
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# CITY OF BINGHAMTON REQUEST FOR PROPOSALS

## I. INTRODUCTION

### A. General Information

The City of Binghamton (City) is requesting proposals from qualified independent certified public accounting firms to audit its financial statements for the fiscal year ending December 31, 2018, with the option of auditing its financial statements for each of the TWO subsequent fiscal years, along with the Binghamton Local Development Corporation, a component unit, whose fiscal year ends August 31, 2018 and Binghamton Urban Renewal Agency (BURA) (calendar year). The City of Binghamton, for financial reporting purposes, is in conformity with the Governmental Accounting Standards Board's Codification of Governmental Accounting and Financial Reporting Standards, Section 2100 with the source being GASB Statement 61. It is the City's responsibility, and not that of the auditor, to prepare all required components of the financial statements to be audited. These audits are to be performed in accordance with U.S. generally accepted auditing standards, and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States, the provisions of the federal Single Audit Act Amendments of 1996 and 2 CFR part 200 subpart F.

There is no expressed or implied obligation for the City of Binghamton to reimburse responding firms for any expenses incurred in preparing proposals in response to this request.

The Comptroller will be the audit firm's primary contact for the City and all inquiries should be directed to:

Chuck Shager, Comptroller  
(607) 772-7011  
[ceshager@cityofbinghamton.com](mailto:ceshager@cityofbinghamton.com)  
City of Binghamton  
City Hall- Governmental Plaza  
38 Hawley Street  
Binghamton, NY 13901

To be considered, all submissions must follow the proposal calendar on pages 9 - 10. The City of Binghamton reserves the right to reject any or all proposals submitted.

During the evaluation process, the City of Binghamton reserves the right, where it may serve the City of Binghamton's best interest, to request additional information or clarifications from proposers, or to allow corrections of errors or omissions. At the discretion of the City of Binghamton, firms submitting proposals may be requested to make oral presentations as part of the evaluation process.

The City of Binghamton reserves the right to retain all proposals submitted and to use any ideas in a proposal regardless of whether that proposal is selected. Submission of a proposal indicates acceptance by the firm of the conditions contained in this request for proposals, unless clearly and specifically noted in the proposal submitted and confirmed in the contract between the City of Binghamton and the firm selected.

It is anticipated the selection of a firm will be completed by December 14, 2018. Following the notification of the selected firm it is expected a contract will be executed between both parties by December 21, 2018.

**B. Term of Engagement**

A THREE (3) year contract is contemplated with the option of TWO (2) one year extensions, subject to the annual review and recommendation of the City of Binghamton, the satisfactory negotiation of terms (including a price acceptable to both the City of Binghamton and the selected firm), and the annual availability of an appropriation.

**C. Subcontracting**

Firms submitting proposals are encouraged to consider subcontracting portions of the engagement to small audit firms or audit firms owned and controlled by socially and economically disadvantaged individuals. If this is to be done, that fact, and the name of the proposed subcontracting firms, must be clearly identified in the proposal. Following the award of the audit contract, no additional subcontracting will be allowed without the express prior written consent of the City of Binghamton.

**II. NATURE OF SERVICES REQUIRED**

**A. General**

The City of Binghamton is soliciting the services of qualified firms of independent certified public accountants to audit its financial statements for the fiscal year ending December 31, 2018, with the option to audit the City of Binghamton's financial statements for each of the TWO (2) subsequent fiscal years. At the discretion of the City, additional periods up to TWO (2) subsequent fiscal years beyond 2020 may be negotiated. These audits are to be performed in accordance with the provisions contained in this request for proposals.

**B. Scope of Work to be Performed**

The City of Binghamton desires the auditor to express an opinion on the fair presentation of its general purpose financial statements in conformity with generally accepted accounting principles.

The auditor is required to audit the combining and individual fund and account group financial statements and supporting schedules. The auditor is to provide an "in-relation-to" report on the combining and individual fund financial statements and supporting schedules based on the auditing procedures applied during the audit of the general purpose financial statements.

The auditor is required to audit the schedule of federal financial assistance. The auditor is to provide an "in-relation-to" report on that schedule based on the auditing procedures applied during the audit of the financial statements.

The auditor is required to audit the schedule of state transportation assistance expended. The auditor is to provide a report on compliance and controls over the state transportation assistance expended.

### **C. Auditing Standards to be Followed**

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, the provisions of the Single Audit Act Amendments of 1996 and 2 CFR part 200 subpart F, and types of compliance requirements described in Title 17 of the New York State Codes, Rules and Regulations (NYCRR) Part 43 of the New York State Codification of Rules and Regulations.

### **D. Reports to be Issued**

Following the completion of the audit of the fiscal year's financial statements, the auditor shall issue:

1. Independent Auditors Report on General Purpose Financial Statements.
2. Report on Compliance and on Internal Control Over Financial Reporting Based on an Audit of Financial Statements Performed In Accordance With Government Auditing Standards.
3. Report on Compliance with Requirements Applicable to Each Major Program and Internal Control Over Compliance in Accordance with 2 CFR part 200 subpart F.
4. Schedule of Expenditures of Federal Awards.
5. Notes to the Schedule of Expenditures of Federal Awards.
6. Schedule of Findings and Questioned Costs

7. Data Collection Form.
8. Report on Compliance and Controls over State Transportation Assistance Expended.

In the required reports on internal controls, the auditor shall communicate any significant deficiencies and/or material weaknesses found during the audit. A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance. Other conditions discovered by the auditors shall be verbally reported to management.

Fraud and illegal acts: Auditors shall be required to make an immediate, written report of all fraud and illegal acts or indications of illegal acts of which they become aware to the Mayor of the City of Binghamton and the City Comptroller.

Reporting to City Council. Auditors shall assure themselves that the City of Binghamton's Governing Board is informed of each of the following:

1. The auditor's responsibility under generally accepted auditing standards
2. Significant accounting policies
3. Management judgments and accounting estimates
4. Significant audit adjustments recorded and not recorded
5. Other information in documents containing audited financial statements
6. Disagreements with management
7. Management consultation with other accountants
8. Major issues discussed with management prior to retention
9. Difficulties encountered in performing the audit

**E. Special Considerations**

2. The schedule of federal financial assistance and related auditor's

report, as well as the reports on the internal controls and compliance are not to be included in the comprehensive financial report, but are to be issued separately.

3. A list of findings and other weaknesses from the City of Binghamton's most recent financial statement audit, as well as a list of findings from internal audits conducted during the most recent fiscal period to be audited, are available on the City's website at [www.binghamton-ny.gov](http://www.binghamton-ny.gov).

**F. Working Paper Retention and Access to Working Papers**

All working papers and reports must be retained, at the auditor's expense, for a minimum of three (3) years, unless the firm is notified in writing by the City of Binghamton of the need to extend the retention period. The auditor will be required to make working papers available upon request, to the following parties or their designees:

City of Binghamton

U.S. Office of Environmental Protection Agency

U.S. General Accounting Office (GAO)

Department of Housing and Urban Development

Parties designated by the federal or state governments or by the City of Binghamton as part of an audit quality review process

Auditors of entities of which the City of Binghamton is a sub-recipient of grant funds

In addition, 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.

**III. DESCRIPTION OF THE GOVERNMENT**

**A. Name and Telephone Number of Contact Persons/Organizational Chart / Location of Offices**

The auditor's principal contact with the City of Binghamton will be, Chuck Shager, Comptroller.

An organizational chart and a list of key personnel with the location of their principal offices are attached.

**B. Background Information**

The City of Binghamton serves an area of 10.4 square miles with a

population of approximately 45,179 (US Census estimate) as of July 2017. The City of Binghamton's fiscal year begins on January 1 and ends on December 31.

The City of Binghamton provides a full range of services to its citizens, including police and fire protection, refuse removal, water, sewer, highway, bridges and streets, parks and recreation.

The City of Binghamton has a total budgeted payroll of approximately \$35,000,000.00 covering approx. 600 full time employees and numerous seasonal and part time employees.

The City of Binghamton is organized into twenty-eight departments and agencies. The City maintains 23 bank accounts at various financial institutions. The accounting and financial reporting functions of the City of Binghamton are centralized.

More detailed information on the government and its finances can be found in the City's 2017 Annual Financial Report and 2018 Budget Document, which can be found on the City's website.

#### **C. Fund Structure**

Governmental Fund Types:

Major Funds:

- General Fund
- Special Revenue – Special Grant Fund
- Special Revenue – Sewer Fund
- Capital Projects Funds

Non-Major Funds:

- Parking Ramp Fund
- Water Fund
- Refuge Fund
- Insurance Fund
- Debt Service Fund

Proprietary Funds:

- Enterprise Fund – Regency – 2019 only
- Internal Service Fund

Fiduciary Funds:

- Agency Fund

Governmental Activities includes fixed assets, long-term debt and Section 108.

THE TOTAL CITY OF BINGHAMTON BUDGET FOR 2018 IS \$93,355,238.95

#### **D. Budgetary Basis of Accounting**

The City of Binghamton prepares its budgets on a basis consistent with a modified accrual method of accounting. Current year encumbrances are included with expenditures.

**E. Federal Financial Assistance**

**CITY OF BINGHAMTON  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
FOR THE YEAR ENDED DECEMBER 31, 2017**

<b>Federal Grantor/Pass-Through Grantor Program Title</b>	<b>Federal CFDA #</b>	<b>Pass- Through Grantor #</b>	<b>Expenditures to Subrecipients</b>	<b>Expenditures</b>
<b>U.S. Department of Housing and Urban Development</b>				
CDBG-Entitlement Grants Cluster:				
Community Development Block Grant	14.218	N/A	\$ 407,706	\$ 1,709,360
Community Development Block Grant - Section 108 Loan	14.218	N/A		178,760
Total Community Development Block Grant and CDBG Entitlement Grants Cluster			407,706	1,888,120
Home Investment Partnerships Program	14.239	N/A		405,752
Emergency Solutions Grants Program	14.231	N/A	231,924	231,924
<b>Total U.S. Department of Housing and Urban Development</b>			<b>639,630</b>	<b>2,525,796</b>
<b>U.S. Department of Transportation</b>				
Passed Through NYS Department of Transportation:				
Highway Planning Cluster:				
Highway Planning and Construction	20.205	D035450		50,209
Highway Planning and Construction	20.205	D035014		34,718
Highway Planning and Construction	20.205	D030377		16,077
Highway Planning and Construction	20.205	D032026		492,342
Highway Planning and Construction	20.205	D035470		98,668
Highway Planning and Construction	20.205	D034719		19,853
Highway Planning and Construction	20.205	D034256		1,516,383
Highway Planning and Construction	20.205	D032021		152,984
<b>Total U.S. Department of Transportation and Highway Planning Cluster</b>				<b>2,381,234</b>
<b>U.S. Department of Homeland Security</b>				
Homeland Security Grant	97.067	N/A		86,493
<b>Total U.S. Department of Homeland Security</b>				<b>86,493</b>
<b>U.S. Environmental Protection Agency</b>				
Chesapeake Bay Program	66.466	N/A		87,830
<b>Total U.S. Environmental Protection Agency</b>				<b>87,830</b>
<b>Total Expenditures of Federal Awards</b>			<b>\$ 639,630</b>	<b>\$ 5,081,353</b>

## F. Pension Plans

The City of Binghamton participates in the following pension plans:

<u>Plan</u>	<u>Cost Sharing</u>	<u>Agent</u>	<u>Defined Benefit</u>	<u>Defined Contribution</u>
<b>NEW YORK STATE AND LOCAL EMPLOYEES</b>	YES	NYS	X	
<b>NEW YORK STATE AND LOCAL POLICE AND FIRE MEMBERS EMPLOYEES</b>	NO	NYS	X	

Actuarial Services for these plans are provided by New York State for the State Operated Plans and by private consultants for the City operated Plan.

## G. Component Units

The City of Binghamton is defined for financial reporting purposes, in conformity with the Governmental Accounting Standards Board's Codification of Governmental Accounting and Financial Reporting Standards, Section 2100 with the source being GASB Statement 61. Using these criteria, component units are included in the City of Binghamton financial statements.

The management of the City of Binghamton identified the following component units for discrete presentation in the City of Binghamton's financial statements:

1. Binghamton Urban Renewal Agency                      Fiscal  
year ending December 31
2. Binghamton Local Development Corporation      Fiscal  
year ending August 31

CONTACT THE CITY OF BINGHAMTON COMPTROLLER FOR INFORMATION REGARDING THESE UNITS.

These component units are to be audited as part of the audit of the City of Binghamton's financial statements. A separate report and opinion is required for the Binghamton Local Development Corporation and Binghamton Urban Renewal Agency.

## H. Joint Ventures

The City of Binghamton does participate in joint ventures with other governments.

<u>NAME OF JOINT VENTURE</u>	<u>NAME OF OTHER PARTICIPATING GOVERNMENT(S)</u>	<u>TYPE OF SERVICES PROVIDED</u>
Binghamton-Johnson City Joint Sewage Treatment Board	City of Binghamton Village of Johnson City	Sewage Treatment

## I. Magnitude of Finance Operations

The finance department is headed by Chuck Shager, Director of Finance and consists of 24 employees. The principal functions performed and the number of employees assigned to each area as follows:

<u>Function</u>	<u># of Employees</u>
Comptroller / Finance	8
Treasurer / Ticket Bureau	4
Purchasing / Central Store	5
Info Mgmt & Technology	5
Real Property Assessment	4

## J. Computer Software

See attached listing of the various software programs utilized by the City of Binghamton

## K. Availability of Prior Audit Reports and Working Papers

Interested proposers who wish to review prior years' audit reports and management letters should contact: Chuck Shager at City Hall, 38 Hawley St., Binghamton, NY 13901. 607-772-7011 or [ceshager@cityofbinghamton.com](mailto:ceshager@cityofbinghamton.com). The City of Binghamton will use its best efforts to make prior audit reports and supporting working papers available to proposers to aid their response to this request for proposals.

## IV. TIME REQUIREMENTS

### A. Proposal Calendar

The following is a list of key dates up to and including the date proposals are due to be submitted:

Request for proposal issued                      October 31, 2018

Due date for proposals November 28, 2018 @10:30AM

**B. Notification and Contract Dates**

Selected firm notified December 14, 2018

Contract date December 21, 2018

**C. Date Independent Auditor's Final Report is Due**

1. Binghamton Local Development Corporation  
September 20
2. Single Audit and Related Reports identified by numbers on  
page 7. September 20
3. BURA by March 30

Report preparation, editing and printing shall be the responsibility of the auditor.

The final report and twenty signed copies should be delivered to the City of Binghamton Comptroller at his office in City Hall. A soft copy of the report is also required.

**V. ASSISTANCE TO BE PROVIDED TO THE AUDITOR AND REPORT PREPARATION**

**A. Finance Department and Clerical Assistance**

The finance department staff and responsible management personnel will be available during the audit to assist the firm by providing information, documentation and explanations. The preparation of confirmations will be the responsibility of the auditor.

**B. Electronic Data Processing (EDP) Assistance**

The following EDP personnel will be available to assist the auditor in performing the engagement:

**LORI CLIFT, DATA PROCESSING OPERATIONS COORDINATOR**

EDP personnel will also be available to provide systems documentation and explanations.

**C. Work Area, Telephones, Photocopying and FAX Machines**

The City of Binghamton will provide the auditor with reasonable work space, desks and chairs.

## **D. City's Report Preparation**

The chief fiscal officer shall draft financial statements, notes, and all required supplementary schedules and statistical data for the City of Binghamton audit (not BLDC) by the end of the first week of May, each year, on the New York State report format.

The City will make reports available to the auditors through the City's ShareFile program.

## **VI. PROPOSAL REQUIREMENTS**

### **A. General Requirements**

#### **1. Inquiries**

Inquiries concerning the request for proposals and the subject of the request for proposals must be made to:

Chuck Shager, Comptroller, City of Binghamton  
38 Hawley Street  
Binghamton, NY 13901  
607-772-7011  
[ceshager@cityofbinghamton.com](mailto:ceshager@cityofbinghamton.com)

#### **2. Submission of Proposals**

The following material is required to be submitted to the Board of Contract & Supply by 10:30 AM on November 28, 2018 for a proposing firm to be considered:

a. A master copy (so marked) of a Technical Proposal and TWO copies to include the following:

##### **i. Title Page**

Title page showing the request for proposals subject; the firm's name; the name, address and telephone number of the contact person; and the date of the proposal.

##### **ii. Table of Contents**

##### **iii. Transmittal Letter**

A signed letter of transmittal that briefly states the proposer's understanding of the work to be done, the commitment to perform the work within the time period, a statement why the firm believes itself to be best qualified to perform the engagement and a statement that the proposal is a firm and irrevocable offer.

iv. Detailed Proposal

The detailed proposal should follow the order set forth in Section VI B of this request for proposals.

- b. The proposer shall submit an original and TWO(2) copies of a dollar cost proposal in a separate envelope marked as follows:

DOLLAR COST PROPOSAL  
PROPOSAL  
FOR  
CITY OF BINGHAMTON

PROFESSIONAL AUDITING SERVICES

- c. Proposers should send the completed proposal consisting of the two separate envelopes to the following address:

BOARD OF CONTRACT & SUPPLY  
CITY OF BINGHAMTON  
38 HAWLEY STREET  
BINGHAMTON, NY 13901

**B. Technical Proposal**

1. General Requirements

The purpose of the Technical Proposal is to demonstrate the qualifications, competence and capacity of the firms seeking to undertake an independent audit of the City of Binghamton in conformity with the requirements of this request for proposals. As such, the substance of proposals will carry more weight than their form or manner of presentation. The Technical Proposal should demonstrate the qualifications of the firm and of the particular staff to be assigned to this engagement. It should also specify an audit approach that will meet the request for proposals requirement.

The Technical Proposal should address all the points outlined in the request for proposals (excluding any cost information which should only be included in the Dollar Cost Proposal). The Proposal should be prepared simply and economically, providing a straightforward, concise description of the proposer's capabilities to satisfy the requirements of the request for proposals. While additional data may be presented, the following subjects, items Nos. 2 through 9, must be included. They represent the criteria against which the proposal will be evaluated.

2. Independence

The firm should provide an affirmative statement that is independent of the City of Binghamton as defined by generally accepted auditing standards/the U.S. General Accounting Office's Government Auditing

Standards]

3. Prior Single Audit Experience

The firm should include prior or current engagements pursuant to the Single Audit Act Amendments of 1996 and 2 CFR part 200 subpart F.

4. Firm Qualifications and Experience

The proposer should state the size of the firm, the size of the firm's governmental audit staff, the location of the office from which the work on this engagement is to be performed and the number and nature of the professional staff to be employed in this engagement on a full-time basis and the number and nature of the staff to be so employed on a part-time basis.

If the proposer is a joint venture or consortium, the qualifications of each firm comprising the joint venture or consortium should be separately identified and the firm that is to serve as the principal auditor should be noted, if applicable.

The firm is also required to submit a copy of the report on its most recent external quality control review, with a statement whether that quality control review included a review of specific government engagements.

The firm shall also provide information on the results of any federal or state desk reviews or field reviews of its audits during the past three (3) years. In addition, the firm shall provide information on the circumstances and status of any disciplinary action taken or pending against the firm during the past three (3) years with state regulatory bodies or professional organizations.

5. Partner, Supervisory and Staff Qualifications and Experience

Identify the principal supervisory and management staff, including engagement partners, managers, other supervisors and specialists, who would be assigned to the engagement. Indicate whether each such person is registered or licensed to practice as a certified public accountant in New York State. Provide information on the government auditing experience of each person, including information on relevant continuing professional education for the past three (3) years and membership in professional organizations relevant to the performance of this audit.

Provide as much information as possible regarding the number, qualifications, experience and training, including relevant continuing professional education, of the specific staff to be assigned to this engagement. Indicate how the quality of staff over the term of the agreement will be assured.

Engagement partners, managers, other supervisory staff and specialists may be changed if those personnel leave the firm, are

promoted or are assigned to another office. These personnel may also be changed for other reasons with the express prior written permission of the City of Binghamton. However, in either case, the City of Binghamton retains the right to approve or reject replacements.

Consultants and firm specialists mentioned in response to this request for proposal can only be changed with the express prior written permission of the City of Binghamton, which retains the right to approve or reject replacements.

Other audit personnel may be changed at the discretion of the proposer provided that replacements have substantially the same or better qualifications or experience.

6. Similar Engagements With Other Government Entities

For the firm's office that will be assigned responsibility for the audit, list the most significant engagements (maximum - 5) performed in the last five years that are similar to the engagement described in this request for proposal.

These engagements should be ranked on the basis of total staff hours. Indicate the scope of work, date, engagement partners, total hours, and the name and telephone number of the principal client contact.

7. Specific Audit Approach

The proposal should set forth a work plan, including an explanation of the audit methodology to be followed, to perform the services required in Section II of this request for proposal. In developing the work plan, reference should be made to such sources of information as City of Binghamton's budget and related materials, organizational charts, manuals and programs, and financial and other management information systems.

Proposers will be required to provide the following information on their audit approach:

- a. Proposed segmentation of the engagement
- b. Level of staff and number of hours to be assigned to each proposed segment of the engagement
- c. Sample size and the extent to which statistical sampling is to be used in the engagement
- d. Extent of use of EDP software in the engagement
- e. Type and extent of analytical procedures to be used in the engagement

- f. Approach to be taken to gain and document an understanding of the City of Binghamton's internal control structure
- g. Approach to be taken in determining laws and regulations that will be subject to audit test work
- h. Approach to be taken in drawing audit samples for purposes of tests of compliance

8. Identification of Anticipated Potential Audit Problems

The proposal should identify and describe any anticipated potential audit problems, the firm's approach to resolving these problems and any special assistance that will be requested from the City of Binghamton.

9. Report Format

The proposal should include sample formats for required reports.

**C. Dollar Cost Proposal**

1. Total All-Inclusive Maximum Price

The dollar cost proposal should contain all pricing information relative to performing the audit engagement as described in this request for proposal. The total all-inclusive maximum price to be bid is to contain all direct and indirect costs including all out-of-pocket expenses.

The City of Binghamton will not be responsible for expenses incurred in preparing and submitting the technical proposal or the dollar cost proposal. Such costs should not be included in the proposal.

The first page of the dollar cost proposal should include the following information:

- a. Name of Firm
- b. Certification that the person signing the proposal is entitled to represent the firm, empowered to submit the bid, and authorized to sign a contract with the City of Binghamton.
- c. A Total All-Inclusive Maximum Price for the 2018, 2019, & 2020 engagements broken down as follows:

City (Less Single Audit) Audit Fee \$X,XXX

Single Audit Fee - \$X,XXX

BLDC Audit Fee -	\$X,XXX
BURA Audit Fee -	\$X,XXX
Out of Pocket Fees -	<u>\$X,XXX</u>
Total All-Inclusive Maximum Price -	<u>\$X,XXX</u>

For the H.U.D. portion of the audit, the City of Binghamton requires a breakout of fees related to the Single Audit or Uniform Guidance.

2. Rates by Partner, Specialist, Supervisory and Staff Level Times Hours Anticipated for Each.
3. Rates for Additional Professional Services

If it should become necessary for City of Binghamton to request the auditor to render any additional services to either supplement the services requested in this RFP or to perform additional work as a result of the specific recommendations included in any report or special audits of state/federal grants, issued on this engagement, then such additional work shall be performed at the same rates set forth in the schedule of fees and expenses included in the dollar cost proposal.

4. Manner of Payment

Progress payments will be made on the basis of hours of work completed during the course of the engagement and out-of-pocket expenses incurred in accordance with the firm's dollar cost proposal. Interim billing shall cover a period of not less than a calendar month. Ten percent (10%) will be withheld from each billing pending delivery of the firm's final reports.

## VII. Final Selection

- A. The CITY COUNCIL will approve a firm based upon the recommendation of the City Comptroller.
- B. It is anticipated that a firm will be selected by December 14, 2018. Following notification of the firm selected, it is expected a contract will be executed between both parties by December 21, 2018.
- C. Right to Reject Proposals

Submission of a proposal indicates acceptance by the firm of the conditions contained in this request for proposal unless clearly and specifically noted in the proposal submitted and confirmed in the contract between the City of Binghamton and the firm selected.

The City of Binghamton reserves the right without prejudice to reject any or all proposals.

HOUSING

**APPENDIX B**

**LIST OF KEY PERSONNEL, OFFICE LOCATIONS AND TELEPHONE NUMBERS**

<b><u>NAME &amp; TITLE</u></b>	<b><u>LOCATION OF OFFICES</u></b>	<b><u>TELEPHONE</u></b>
Richard C. David, Mayor	4 <sup>th</sup> Floor, City Hall	772-7001
Chuck Shager, Comptroller	2 <sup>nd</sup> Floor, City Hall	772-7011
Matthew Falank, Assistant Comptroller	2 <sup>nd</sup> Floor, City Hall	772-7011
Chuck Robinson, Staff Accountant	2 <sup>nd</sup> Floor, City Hall	772-7011
Empty, Treasurer	2 <sup>nd</sup> Floor, City Hall	772-7027
Kenneth J. Frank, Corporation Counsel	5 <sup>th</sup> Floor, City Hall	772-7013
Juliet Berling, Dir. of PHCD	4 <sup>th</sup> Floor, City Hall	772-7028
Bob Murphy, BLDC/BURA	4 <sup>th</sup> Floor, City Hall	772-7161
Joel Boyd, BLDC/BURA	4 <sup>th</sup> Floor, City Hall	772-7161
Lori Clift, Data Proc. Co-coordinator	2 <sup>nd</sup> Floor, City Hall	772-7104
Scott Snyder, Assessor	2 <sup>nd</sup> Floor, City Hall	772-7038
Lee Rogers, City Clerk	1 <sup>st</sup> Floor, City Hall	772-7005
Michael Dervay, Purchasing Agent	2 <sup>nd</sup> Floor, City Hall	772-7025

**APPENDIX C**

**PROPOSER GUARANTEES**

- I. The proposer certifies it can and will provide and make available, as a minimum, all services set forth in Nature of Services Required.
- II. The proposer has read Appendix, Contractual Requirements, and agrees that the rights and prerogatives as detailed are retained by the City of Binghamton.
- III. The proposer agrees to be bound by the contractual requirements delineated in Appendix.

Signature of Official: \_\_\_\_\_

Name (typed): \_\_\_\_\_

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

Firm: \_\_\_\_\_

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

**APPENDIX D**

**PROPOSER WARRANTIES**

- A. Proposer warrants that it is willing and able to obtain an errors and omissions insurance policy providing a prudent amount of coverage for the willful or negligent acts, or omissions of any officers, employees or agents thereof.
- B. Proposer warrants that it will not delegate or subcontract its responsibilities under an agreement without the prior written permission of the City of Binghamton.
- C. Proposer warrants that all information provided by it in connection with this proposal is true and accurate.

Signature of Official: \_\_\_\_\_

Name (typed): \_\_\_\_\_

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

Firm: \_\_\_\_\_

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

**APPENDIX E**

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	<u>AS PROPOSED</u>		
	<u>2018</u>	<u>2019</u>	<u>2020</u>
Audit of Annual Financial Report of the City of Binghamton and all other services not separately listed below	_____	_____	_____
Audit of the Following Component Units:			
*Binghamton Local Development Corp.	_____	_____	_____
<b>*NOTE THIS AUDIT MUST BE COMPLETED BY 9/20</b>			
Binghamton Urban Renewal Agency      March 30	_____	_____	_____
Single Audit requirement for the following major federal financial assistance programs:			
Community Development Block Grant (Single Audit)	_____	_____	_____
<b>TOTAL ALL INCLUSIVE MAXIMUM PRICE</b>	<b>\$ _____</b>	<b>\$ _____</b>	<b>\$ _____</b>

**APPENDIX F**

**SCHEDULE OF FEES FOR  
ADDITIONAL SERVICES AND AUDITS  
IF REQUESTED BY CITY OF BINGHAMTON**

**HOURLY RATE**

PARTNERS

MANAGERS

SUPV. STAFF

STAFF

OTHER (SPECIFY)