



TOWN OF THOMPSON, CONNECTICUT

REQUEST FOR PROPOSALS

FOR

AUDITING SERVICES

April 13th, 2021

LEGAL NOTICE
REQUEST FOR PROPOSALS
TOWN OF THOMPSON, CONNECTICUT

REQUEST FOR PROPOSALS
FOR AUDITING SERVICES

The Town of Thompson, Connecticut is requesting proposals from qualified independent public accounting firms or accountants, in accordance with the provisions of the Connecticut General Statutes, to conduct an examination and to render an opinion on the *General Purpose Financial Statements* for the fiscal year ending June 30, 2021 and each of the two (2) subsequent fiscal years.

Proposals will be received at the Town Hall offices until 2.00PM, Tuesday, 27th April 2021.

Request for Proposal forms may be obtained at the Town Hall Finance Office or Selectmen's Office from 9:00AM until 4.00PM on Monday through Wednesday, 9:00AM until 6:00PM on Thursday, 9:00AM until 2:00PM on Friday or on our website www.thompsonct.org.

Information concerning this Request for Proposal may be obtained by contacting Orla McKiernan-Raftery at phone 860-923-3593, email financedirector@thompsonct.org or Marie Mongeau at phone 860-923-9561, e-mail selectmensoffice@thompsonct.org.

The Town of Thompson is an Equal Opportunity Employer.

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I. INTRODUCTION

A. General Information

The Town of Thompson, CT is requesting proposals from qualified firms of certified public accountants to audit its financial statements for the fiscal years ending June 30, 2020 through 2022 including the Thompson Board of Education. These audits are to be performed in accordance with generally accepted auditing standards, *the standards set forth for financial audits in the General Accounting Office's (GAO) Government Auditing Standards (1994), the provisions of the federal Single Audit Act as amended in 1996 and U.S. Office of Management and Budget (OMB) Circular A-133, Audits of State and Local Governments and the provisions of Sections 4-230 through 4-236 of the Connecticut General Statutes concerning the State Single Audit Act.*

The auditor(s) shall state that the primary purpose of the audit is to express an opinion on the general purpose financial statements taken as a whole and that the audit is subject to the inherent risk that errors or irregularities may occur and not be detected.

There is no expressed or implied obligation for the Town of Thompson, CT to reimburse firms for any expenses incurred in preparing proposals in response to this request.

To be considered, a proposal must be received by 2:00 P.M. Tuesday, April 27th 2021

The Town of Thompson, CT reserves the right to reject any or all proposals submitted.

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

The Town of Thompson, CT 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 Town of Thompson and the firm selected.

B. Terms of Engagement

A three (3) year contract is contemplated, subject to the annual review and recommendation of the Selection Committee, the satisfactory negotiation of terms (including a price acceptable to both the Town of Thompson, CT and the selected firm), and the formal appointment of the Board of Finance.

II. DESCRIPTION OF THE GOVERNMENT

A. General

The auditor's principal contact with the Town of Thompson, CT will be Orla McKiernan-Raftery, Finance Director-Town, or a designated representative, who will coordinate the assistance to be provided by the Town of Thompson, CT to the auditor.

A list of key personnel with the location of their principal offices (Appendix A) is attached.

B. Background Information

The Town of Thompson is located in northeastern Connecticut, as part of Windham County. It is bordered by the Commonwealth of Massachusetts to the north and the State of Rhode Island to the east, and by the Towns of Putnam to the south and Woodstock to the west. Originally part of Killingly, Thompson was incorporated in May 1785 as Connecticut's 85th town.

Thompson is composed of ten separate villages: Thompson, East Thompson, West Thompson, Quaddick, Grosvenordale, North Grosvenordale, Mechanicsville, Wilsonville, Quinebaug and Fabyan.

The following services are provided by the Town to its citizens:

<u>General Government</u> -- -General Town -Services Animal -Control Recreation -Library	<u>Public Health/Safety</u> -Emergency Management -Public Health through NDDH	<u>Public Works</u> -Road -Maintenance -Snow Removal -Transfer Station (residential solid & bulky waste) -Water pollution control
<u>Education</u> -Thompson Public Schools (grades K-High School)		

The town has a population of 9,379 as of July 1, 2019.

The Town of Thompson is organized into several departments and agencies. All funds and account groups are under the administrative control of the:

- Finance Director-Town
- Finance Director -Board of Education

C. Fund Structure

The Town of Thompson, CT uses fund types as shown in the audit for the fiscal year ending June 30, 2020, all under general ledger control, and account groups in its financial reporting:

D. Budgetary Basis of Accounting

The Town of Thompson prepares its budgets on a basis consistent with generally accepted accounting principles.

E. Pension Plans

The Town of Thompson, CT participates in the Connecticut Municipal Employee's Retirement System (MERS). There is a Town provided pension plan for non-certified Board of Education staff

III. ASSISTANCE TO BE PROVIDED TO THE AUDITOR AND REPORT PREPARATION

A. Statements and Schedules and other pertinent information to be prepared by the Town of Thompson.

The staff of the Town of Thompson will furnish the necessary documents to enable the audit firm to effectively conduct the audit. Such documentation shall include trial balances, income and expense reports, bank reconciliations, payroll records, copies of minutes, as well as other legal documentation and financial reports. The audit firm will provide a proposed list of Town provided records no later than one month prior to the scheduled on-site arrival date and earlier if possible. Staff will be available to provide information, answer questions, furnish supporting documentation and conduct research on auditor inquiries. However, consideration must be given to the limited size of the Town's staff and their need to conduct ongoing daily tasks.

B. General

Working space will be provided in close proximity to the financial records. The auditors will be provided with the use of a copy machine during the engagement. The auditor will be required to provide its own equipment and other office materials.

C. Computer System

The Town of Thompson utilizes the Munis financial system, a product of Tyler Technologies.

IV. NATURE OF SERVICES REQUIRED

A. General

The Town of Thompson is soliciting the services of qualified firms of certified public accountants to audit its financial statements for the fiscal years ending June 30, 2020 through 2022. These audits are to be performed in accordance with the provisions contained in this request for proposals.

B. Qualifying Requirements

Qualified Firm:

Firms submitting proposals must be qualified to perform independent audits of municipalities of the State of Connecticut.

Location:

The auditor's must have an office located within the State of Connecticut, and resident staff must be able to offer the full range of auditing services required by this Request for Proposal.

Non-Discrimination:

No person shall be denied or subjected to discrimination on account of any services, or activities made possible by or resulting from this agreement on the grounds of sex, race, color, creed, national origin, age (except minimum age and retirement provision), marital status or the presence of any sensory, mental or physical handicap. Any violation of this provision shall be considered a violation of a material provision of this agreement and shall be grounds for cancellation, termination or suspension in whole or in part of the agreement by the Town and may result in ineligibility for further Town contracts. The proposer shall at all times in the proposal and contract process comply with all applicable Town, state, and federal anti-discrimination laws, rules, regulations and requirements thereof.

Reports:

Each proposer shall submit one copy of at least two Annual Financial Reports issued by Connecticut municipalities in which their opinion is contained. A copy of the firm's most recent external quality control review report (peer review) must be submitted.

Other:

Supervisory members of the audit team, including the "in charge" field auditor, should be Certified Public Accountants and have a minimum of three (3) years of municipal audit experience in the State of Connecticut. The Selection Committee intends to strongly consider municipal audit experience and certification in evaluating the proposer's audit team.

C. Scope of Work to be performed

The Town of Thompson 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 shall also be responsible for performing certain limited procedures involving managements discussion and analysis (MD&A) and required supplementary information (RSI) required by the Governmental Accounting Standards Board as mandated by generally accepted auditing standards.

The auditor is to test compliance with the Single Audit Act as amended in 1996, and applicable laws and regulations.

The auditor shall prepare a memorandum on internal control structure as well as recommendations to management for areas of improvement.

D. Auditing Standards to be followed

To meet the requirements of this request for proposals, the audit shall be performed in accordance with generally accepted auditing standards as set forth by the American Institute of Certified Public Accountants, *the standards for financial audits set forth in the U.S. Comptroller General's Government Auditing Standards*, *the provisions of the Single Audit Act as amended in 1996*, *the provisions of U.S. Office of Management and Budget (OMB) Circular A-133, Audits of State and Local Governments*, and in conjunction and conformity with sections 4-230 through 4-236 of the Connecticut General Statutes (the State Single Audit Act.)

E. Reports to be issued

Following the completion of the audit of the fiscal year's financial statements, the auditor shall issue, as required by generally accepted auditing standards, *and* Government Auditing standards, *OMB Circular a-133*, and *the Connecticut General Statutes*, including but not limited to, the following:

A report on the fair presentation of the financial statements in conformity with generally accepted accounting principles.

A report on the internal control structure based on the auditor's understanding of the control structure and assessment of control risk.

A report on compliance with applicable laws and regulations.

Reports on the supplementary schedules of federal and state financial assistance.

Reports on the internal control structure used in administering federal and state financial assistance programs.

Reports on compliance with laws and regulations related to major and non-major federal and state financial assistance programs. This report should include an opinion on compliance

with specific requirements applicable to major federal and state financial assistance programs, a report on compliance with general requirements applicable to major and non-major federal and state financial assistance programs, and a report on compliance with laws and regulations applicable to non major federal and state financial assistance program transactions tested.

The auditor shall communicate in a letter to the chief legislative body 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.

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 Town of Thompson of the need to extend the retention period. The auditor will be required to make working papers available, upon request by the Town of Thompson.

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.

G. Other Audit Services

Periodically the Town of Thompson is required to have separate audits performed. The Auditor will be expected to perform these audits and any other audit services requested by the Town of Thompson outside of the standard audit at the hourly rate stated in Appendix D.

I. Implied Requirements

All services not specifically mentioned in this request for proposals that are necessary to provide the functional capabilities described by the auditor shall be included in the Scope of Services.

V. TIME REQUIREMENTS

A. Proposal Calendar

The following is a list of key dates relating to the selection process:

This RFP Issued:	April 13th, 2021
Due Date for Proposals:	April 27 th , 2021 at 2.00 P.M.
Contract date within 20 days of appointment	

B. Schedule for the 6/30/2021 Annual Audit

Entrance conference with Finance Officer to commence year-end audit work

Preliminary field work begins

Final audit work begins

Exit conference to review draft and significant findings

Draft comments returned to Auditors by

All dates to be determined

C. Report Submissions

Copies of all reports shall be addressed to the Board of Selectman and the Board of Finance. The *successful* proposer will also submit copies of reports as required by state and federal audit requirements.

The submission dates for the various reports to the municipality and the appropriate cognizant agencies as follows:

General Purpose Financial Statements	Prior to November 15, each year
Single Audit Report	Prior to November 15, each year
EFS Certification	October 1, each year

Where an extension of time may be required, it will be the responsibility of the Auditor to promptly notify the Town of Thompson, in writing. It is the Town of Thompson's responsibility to secure all necessary approvals in a timely manner. The Auditor shall promptly notify the Town of Thompson's First Selectman and/or Chief Finance Officer of any suspicion of fraud, defalcation or misapplication of funds. Such notice shall be in addition to any notice to grantors required by single audit legislation.

The final report and 25 signed copies should be delivered to the Finance Director.

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:

Orla McKiernan-Raftery, Finance Director
Town of Thompson
P.O. Box 899
Thompson, CT 06255

Telephone 860 923-3593
E-mail – financedirector@thompsonct.org

2. Submission of Proposals

The following material is required for a proposing firm to be considered:

a. The Proposal to include the following:

I. Title Page

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

ii. Table of Contents

iii. Transmittal Letter

A signed letter of transmittal briefly stating 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 it to be best qualified to perform the engagement and a statement that the proposal is a firm and irrevocable offer for the period covered.

iv. Detailed Proposal

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

v. Guarantees and Warranties

Executed copies of Proposer Guarantees and Proposer Warranties attached to this request for proposals (Appendix B).

- b. The proposer shall submit a dollar cost bid attached to this request for proposals (Appendix D).
- c. Proposers should send the completed proposal in an envelope to:

**Selectmen's Office
Town of Thompson,
P.O. Box 899,
815 Riverside Drive,
N Grosvenordale, CT 06055**

To include both a Technical Proposal and Dollar Cost Bid

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 Town of Thompson 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 requirements.

The technical proposal should address all the points outlined in the request for proposals (excluding any cost information which should only be included in Appendix D). 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 items may be presented, the following subjects, items Nos. 2 through 8, must be included. They represent the criteria against which the proposal will be evaluated.

2. Independence

The firm should provide an affirmative statement that it is independent of the Town of Thompson as defined by generally accepted accounting standards and the U.S. Comptroller General's Government Auditing Standards.

The firm should also list and describe the firm's professional relationships involving the Town of Thompson or any of its agencies for the past five (5) years, together with a statement explaining why such relationships do not constitute a conflict of interest relative to performing the proposed audit.

In addition, the firm shall give the Town of Thompson written notice of any professional relationships entered into during the period of this agreement.

3. License to Practice in Connecticut

An affirmative statement should be included indicating that the firm and its municipal partner are qualified to practice in Connecticut.

4. Firm Qualifications and Experience

The proposal 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 staff to be so employed on a part-time basis.

The firm shall also provide information on the results of the firm's latest federal or state desk reviews or field reviews of its audits. 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

The firm should identify the principal supervisory and management staff, including engagement partners, managers, other supervisors and specialists, who would be assigned to the engagement and indicate whether each such person is licensed to practice as a certified public accountant in Connecticut. The firm also should 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 Town of Thompson. However, in either case, the Town of Thompson retains the right to approve or reject replacements.

Consultants and firm specialists mentioned in response to this request for proposals can only be changed with the express prior written permission of the Town of Thompson, 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 similar 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 of 5) performed in the last five years that are similar to the engagement described in this request for proposals. 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. 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 IV of this request for proposal. In developing the work plan, reference should be made to such sources of information as the Town of Thompson'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 computer 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 Town of Thompson'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 Town of Thompson.

C. Dollar Cost Bid

1. Total All-Inclusive Maximum Price

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

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

2. Fixed Fees by Category.

The dollar cost bid should include a schedule of professional fees and expenses, presented in the format provided in the attachment (Appendix D) which supports the total all-inclusive price.

3. Rates for Additional Professional Services

If it should become necessary for the Town of Thompson to request the auditor to render any additional services requested in this request for proposals or to perform additional work as a result of the specific recommendations included in any report issued on this engagement, then such additional work shall be performed only if set forth in an addendum to the contract between the Town of Thompson and the firm. Any such additional work agreed to between the Town of Thompson and the firm shall be performed at the same rates set forth in the schedule of fees and expenses included in the dollar cost bid in Appendix D.

4. Manner of Payment

Progress payments will be made on the basis of hours of work completed during the course of the engagement in accordance with the firm's dollar cost bid proposal. Interim billings 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. EVALUATION PROCEDURES

A. Selection Committee

Proposals submitted will be evaluated by a four (4) member Selection Committee consisting of a member of the Board of Selectman, Town Finance Director, School Finance Director and a member of the Board of Finance.

B. Evaluation Criteria

The following represent the principal selection criteria which will be considered during the evaluation process of proposals.

1. Mandatory Elements

- a. The audit firm is independent and licensed to practice in Connecticut.

- b. The audit firm's professional personnel have received adequate continuing professional education within the preceding three years.
- c. The firm has no conflict of interest with regard to any other work performed by the firm for the Town of Thompson.
- d. The firm adheres to the instructions in this request for proposals on preparing and submitting the proposal, particularly as outlined in section IV.

2. Technical Qualifications

- a. Expertise and Experience
 - 1. The firm's past experience and performance on comparable government engagements.
 - 2. The quality of the firm's professional personnel to be assigned to the engagement and the quality of the firm's management support personnel to be available for technical consultation.
 - 3. Experience with the preparation of federal and state financial assistance and related reports.
 - 4. Experience in providing assistance to meet the requirements of the Certificate of Achievement for Excellence in Financial Reporting program.
- b. Audit Approach
 - 1. Service Delivery Plan: Describe how the firm intends to conduct the audit in the first year versus subsequent years. Describe the service delivery system including what will be done, by whom, how and where. Provide detail on staffing requirements.

3. Price

Cost will be a factor in the selection of an audit firm, but not necessarily the primary factor.

C. Oral Presentations

During the evaluation process, the Selection Committee may, at its discretion, request any one or all firms to make oral presentations. Such presentations will provide firms with an opportunity to answer any questions the Selection Committee may have on a firm's proposal. Not all firms may be asked to make such oral presentations.

D. Final Selection

The Selection Committee will recommend a firm for approval by the Board of Finance.

It is anticipated that a firm will be selected and formally appointed by June 30th, 2020. The Town will inform all firms if this timeframe is revised during the selection process. Following notification of the firm selected, it is expected that a contract will be executed between both parties within thirty (30) days of approval.

E. Right to Reject Proposals

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 Town of Thompson and the firm selected.

The Town of Thompson reserves the right without prejudice to reject any or all proposals or parts thereof for any reason, to negotiate changes to proposal terms and to waive minor inconsistencies with the request for proposal.

APPENDIX A

LIST OF KEY PERSONNEL, OFFICE LOCATIONS AND TELEPHONE NUMBERS

Name and Title	Location of Office	Telephone
Amy St.Onge, First Selectman	Town Hall	(860)923-9561
Orla McKiernan-Raftery, Finance Director-Town	Town Hall	
(860)923-3593		
Robert Gentes, Finance Director-BOE	Thompson Public Schools	(860)923-9581
Aaron McGarry, Chairman Board of Finance	Off Site	(860)923-3593
Rene Morin, Tax Collector	Town Hall	(860)923-2119
Paula Leblanc, Payroll/A/P	Town Hall	(860)923-3593
Marie Mongeau, Executive Asst/Personnel/Labor Relations	Town Hall	(860)923-9561
Melinda Smith, Superintendent	Thompson Public Schools	(860)923-9581

THIS LIST SHOULD INCLUDE ALL KEY OFFICIALS OF THE GOVERNMENT WHO MAY NEED TO BE CONTACTED BY THE AUDITORS, INCLUDING LEGAL STAFF, DEPARTMENT HEADS (ESPECIALLY THOSE RESPONSIBLE FOR MANAGING FEDERAL OR STATE FINANCIAL ASSISTANCE PROGRAMS), ELECTRONIC DATA PROCESSING STAFF, AS WELL AS ALL KEY FINANCE DEPARTMENT PERSONNEL.

APPENDIX B

PROPOSER GUARANTEES AND PROPOSER WARRANTIES

Proposer Guarantees

I. The proposer certifies it can and will provide and make available, at a minimum, all services set forth in Section IV, Nature of Services Required.

Proposer Warranties

1. Proposer warrants that it is willing and able to comply with State of Connecticut laws with respect to foreign (non-state of Connecticut) corporations.
2. 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.
3. Proposer warrants that it will not delegate or subcontract its responsibilities under an agreement without the express prior written permission of the [Name of Government].
4. 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 C
Insurance Requirements-Town of Thompson CT

Contractor shall provide proof of, agree to maintain in force at all times during the contract, the following minimum coverages and shall name Town of Thompson as an Additional Insured on a primary and non-contributory basis to all policies, except Workers Compensation. All policies should also include a Waiver of Subrogation.

Insurance shall be written with Carriers approved in the State of Connecticut. Insurance is to be placed with Insurers which have an A.M. Best's rating of at least A. In addition, all Carriers are subject to approval by Town of Thompson.

		(Minimum Limits)
General Liability	Each Occurrence	\$1,000,000
	General Aggregate	\$2,000,000
	Products/Completed Operations Aggregate	\$2,000,000
Auto Liability	Combined Single Limit	\$1,000,000
	Each Accident	\$1,000,000
Umbrella (Excess Liability)	Each Occurrence	\$1,000,000
	Aggregate	\$1,000,000
Professional Liability	Each Claim	\$1,000,000
	Aggregate	\$1,000,000

If any policy is written on a "Claims Made" basis, the policy must be continually renewed for a minimum of two (2) years from the completion date of this contract. If the policy is replaced and/or the retroactive date is changed, then the expiring policy must be endorsed to extend the reporting period for claims for the policy in effect during the contract for two (2) years from the completion date.

Workers' Compensation and Employers' Liability	WC Statutory Limits	
	EL Each Accident	\$100,000
	EL Disease Each Employee	\$100,000
	EL Disease Policy Limit	\$500,000

Original, completed Certificates of Insurance must be presented to the Town of Thompson to contract issuance. Contractor agrees to provide replacement/renewal certificates at least 30 days prior to the expiration date of the policies. Should any of the above described policies be cancelled, limits reduced or coverage altered, 30 days written notice must be given to the Town.

Other Provisions: The policies are to contain, or to be endorsed to contain, that the Town of Thompson and its respective officers, agents, officials, employees, volunteers, boards, commissions and committees are to be named as additional insured.

Signed:

Auditor _____

Date:

Town _____

Date:

APPENDIX D

To be submitted on your firm's letterhead:

Firm's Name:

Location of office staffing the audit:

Number of Municipal professional audit staff at this location: _____

Number of Municipal audit staff to be assigned to Town of Thompson: _____

Connecticut Municipal audit clients.

FIXED FEES

Town of Thompson:

Year 1

Year 2

Year 3

- Financial
- *CDBG and Single Audit (Federal)*
- *Single Audit (State)*
- Preparation of Financial Statements
(If required)

TOWN OF THOMPSON SUBTOTAL \$ _____ \$ _____ \$ _____

Board of Education:

- Financial
- *Grants and Single Audit (Fed.)*
- *Single Audit (State)*
- EFS, etc.
- Cafeteria

- BOARD OF EDUCATION SUBTOTAL \$ _____ \$ _____ \$ _____

Water Pollution Control Authority

- Audit SUBTOTAL \$ _____ \$ _____ \$ _____

-

COMBINED TOTAL: \$ _____ \$ _____ \$ _____

Total hours included in Combined Total Fees:

Partner	_____	_____
Manager	_____	_____
Staff	_____	_____

Rate for hours in excess of those above or for services outside the specified scope, \$
per hour.

Submitted by _____ Date

Signature _____ Title

Telephone _____

APPENDIX E

SAMPLE AUDIT SERVICES PROPOSAL LETTER (To be submitted on your firm's letterhead)

[Chief Financial Officer]
[Address]

Dear _____:

We have read the Request for Proposal and fully understand its intent and contents. We certify that we have adequate personnel, insurance, equipment, and facilities to fulfill the specified requirements. We understand that our ability to meet the criteria and provide the required services shall be judged solely by the Selection Committee.

We have attached the following:

1. Audited reports for two (2) clients as outlined in Section IV, B.
2. Proposal as outlined in Section VI
3. Appendix B: Proposer Guarantees and Warranties
4. Appendix C: Insurance
5. Appendix D: Fixed Fees (separate envelope).

It is further understood and agreed that all information included in, attached to, or required by the Request for Proposal shall be public record upon delivery to the [Town or City].

Submitted by _____ Date _____

Signature _____ Title _____

Telephone _____ Fax _____

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