

# REQUEST FOR PROPOSAL

## AUDIT SERVICES

Lancaster City Land Bank Authority  
City of Lancaster, Pennsylvania

Acting Executive Director  
Karen Bousquet

Date Issued: August 23, 2017

**\*\*Amended 9/1/17 to include Non-Collusion Affidavit and Non-Discrimination Statement**

Date Due: September 13, 2017 4:00 PM

# REQUEST FOR PROPOSAL

## AUDIT SERVICES

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### I. INTRODUCTION

Thank you for your interest in this request for proposal (RFP). The City of Lancaster Land Bank Authority intends to retain a qualified professional firm to perform audit services required in conjunction with issuance of the Authority's annual financial statements for the period commencing January 1, 2017 and concluding December 31, 2022.

The purpose of this document is to outline the Authority's interest in obtaining the services of a qualified professional firm. This document details the scope of services to be performed and outlines the evaluation and selection process.

This RFP is issued by Karen Bousquet, Acting Executive Director, Lancaster City Land Bank Authority, Lancaster, Pennsylvania.

### II. BACKGROUND

The Land Bank Authority is a Pennsylvania Municipal Authority organized under the provisions of Act 153, enacted by the Pennsylvania General Assembly and signed into law by the Commonwealth on October 24, 2012 and by Administrative Ordinance Number 10-2016, adopted by the Lancaster City Council on August 2016 and Administrative Ordinance Number 4-2017, adopted by the Lancaster City Council on May 28, 2017. The Authority is governed by a seven (7) member appointed Board of Directors.

Funding sources for the Land Bank Authority may include, but are not limited to, City of Lancaster Community General Fund dollars, gifts, fees, grants, income earned by selling properties and tax sharing agreements. The Land Bank Authority does expect to own real estate for both short and long periods of time.

### III. SCOPE OF SERVICES

The selected firm will provide the following services to the Land Bank Authority on an annual basis:

- A. audit and issuance of the primary government basic financial statements;
- B. single audit;
- C. management letter;
- D. program audits as needed.

- E. The selected firm will provide bound copies of the statements, in the following quantities:
  - i. Reporting package, to include Matters Required to be Communicated, Management Letter, and each of the statements listed below - 10
  - ii. Basic Financial Statements - 10
- F. The selected firm will also provide one electronic copy each of the statements listed in E.

All reports shall be issued no later than April 30 of the following year, and presented to the Lancaster City Land Bank Authority for review.

#### IV. EXAMINATION OF RECORDS

There are no existing financial statements or financial records to review. The Land Bank Authority is a new authority created by the City of Lancaster in 2017. The first financial activity of the Authority took place in June of 2017.

#### V. SUBMITTAL REQUIREMENTS

Interested firms should submit a proposal which responds to the items listed below. Proposals should be concise, and address each item in the order outlined here.

- A. Summarize the firm's general qualifications, background, number of employees, office locations, etc.
- B. Identify the office from which these services will be provided to the Land Bank Authority.
- C. Identify the engagement team. Provide an organizational chart that identifies reporting relationships and each team member's responsibility. Provide a brief resume of each key member of the engagement team which includes relevant experience.
- D. Identify the firm's current municipal authority and government clients, and provide contact information for three such municipal authority clients in Pennsylvania.
- E. Fully disclose all fees.
  - i. Specify the annual fee to be charged for each of the items listed under Scope of Services. Alternatively, specify an inclusive fee for all of the items.
  - ii. Specify the fee to be charged for each program audit, if they are required.
  - iii. Specify the hourly rate to be charged for additional services requested by the Land Bank Authority.
  - iv. State whether the fees above include out-of-pocket expenses, and, if not, provide an estimate of those expenses.

#### VI. EVALUATION AND SELECTION PROCESS

The Land Bank Authority will evaluate timely-submitted proposals and select the firm that provides the best combination of qualifications and cost. Firms will be evaluated on the following criteria:

- A. responsiveness of the proposal to this request;
- B. quality, quantity and relevance of the firm's experience and resources;
- C. references;
- D. staff size and qualifications;
- E. fee;
- F. other information as may be required or secured.

The Land Bank Authority will review all proposals received.

The Land Bank Authority reserves the right to accept the proposal deemed to be in its best interest for any reason; to reject any and all proposals; and to negotiate any proposal, at its sole discretion. Final acceptance of any proposal is subject to approval by the full Board of the Land Bank Authority.

## VII. PROPOSAL SUBMISSION

The original proposal and four (4) copies, plus one electronic copy (PDF by email or flash drive) must be delivered no later than 4:00 PM on September 13, 2017 to:

Karen Bousquet, Acting Executive Director  
City of Lancaster Land Bank Authority  
120 North Duke Street  
P.O. Box 1599  
Lancaster, PA 17608-1599

We anticipate that the Land Bank Authority will act to appoint the selected firm at or before its regularly scheduled meeting on November 21, 2017.

## VIII. FORMS

### NON-COLLUSION AFFIDAVIT

#### INSTRUCTIONS FOR NON-COLLUSION AFFIDAVIT

This Non-Collusion Affidavit is material to any contract pursuant to this bid. According to the Pennsylvania Antbid-Rigging Act, 73 P.S. 1611 et seq., governmental agencies may require Non-Collusion Affidavits to be submitted together with proposals.

This Non-Collusion affidavit must be executed by the member, officer, or employee of the Proposer who is authorized to legally bind the Proposer.

Bid/Proposal rigging and other efforts to restrain competition, and the making of false sworn statements in connection with the submission of proposals are unlawful and may be subject to criminal prosecution. The person who signs the Affidavit should examine it carefully before signing and assure himself or herself that each statement is true and accurate, making diligent inquiry, as necessary, of all other persons employed by or associated with the Proposer with responsibilities for the preparation, approval, or submission of the bid.

In the case of a proposal submitted by a joint venture, each party to the venture must be identified in the proposal documents, and an Affidavit must be submitted separately on behalf of each party.

The term "complementary bid/proposal" as used in the Affidavit has the meaning commonly associated with that term in the RFP process, and includes the knowing submission of proposals higher than the proposal of another firm, any intentionally high or noncompetitive proposal, and any form of proposal submitted for the purpose of giving a false appearance of competition.

Failure to file an Affidavit in compliance with these instructions will result in disqualification of the proposal.

NON-COLLUSION AFFIDAVIT

State of \_\_\_\_\_

County of \_\_\_\_\_

\_\_\_\_\_, being first duly sworn, deposes and says that:

He/She is \_\_\_\_\_ of the Proposer that has  
(Owner, Partner, Officer, Representative or Agent)  
submitted the attached Proposal;

He/She is fully informed respecting the preparation and contents of the attached Proposal and of all pertinent circumstances respecting such Proposal;

Such Proposal is genuine and is not a collusive or sham Proposal;

Neither the said Proposer nor any of its officers; partners, owners, agents, representatives, employees or parties in interest, including this affiant, has in any way colluded, conspired, connived or agreed, directly or indirectly, with any other Proposer, firm or person to submit a collusive or sham Proposal in connection with the Contract for which the attached Proposal is submitted or to refrain from submitting in connection with such Contract, or has in any manner, directly or indirectly, sought by agreement or collusion or communication of conference with any other Proposer, firm or person to fix the price or prices in the attached Proposal or of any other Proposer, or to fix any overhead, profit or cost element of the Proposal price or the Proposal price of any other Proposer, or to secure through any collusion, conspiracy, connivance or unlawful agreement any advantage against the Lancaster City Land Bank Authority or any person interested in the proposed Contract;

The price or prices quoted in the attached Proposal are fair and proper and are not tainted by any collusion, conspiracy, connivance or unlawful agreement on the part of the Proposer or any of its agents, representatives, owners, employees, or parties in interest, including this affiant; and,

Neither the said Proposer nor any of its officers, partners, owners, agents or parties in interest, have any interest, present or prospective, that can be reasonably construed to result in a conflict of interest between them and the Lancaster City Land Bank Authority, which the Proposer will be required to perform.

I state that \_\_\_\_\_ understands  
(Name of Firm)

and acknowledges that the above representations are material and important, and will be relied on by the Lancaster City Land Bank Authority in awarding the contract(s) for which this proposal is submitted. I understand and my firm understands that any misstatement in this affidavit is and shall be treated as fraudulent concealment from the Lancaster City Land Bank Authority of the true facts relating to the submission of proposals for this contract.

\_\_\_\_\_  
(Name and Company Position)

SWORN TO AND SUBSCRIBED  
BEFORE ME THIS \_\_\_\_\_  
DAY OF \_\_\_\_\_, 20\_\_

\_\_\_\_\_  
Notary Public My Commission Expires

NON DISCRIMINATION STATEMENT

The undersigned hereby certifies that it shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, handicap, familial status, or national origin. The undersigned shall take affirmative action to insure that applicants for employment are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, handicap, familial status, or national origin.

With respect to all work to be performed under this Contract, the parties to this Contract do hereby agree:

- a) In hiring of persons for the performance of work under this Contract or any subcontract hereunder, neither the Contractor or any of his subcontractors, nor any person acting on behalf of the Contractor or subcontractor, shall, by reason of race, creed, color, disabled, national origin, or ancestry, discriminate against any person who is qualified and available to perform the work to which the employment relates.
  
- b) Neither the Contractor or any of his subcontractors, nor any person acting on behalf shall, in any manner, discriminate against or intimidate any employee engaged in the performance of work under this Contract or any subcontract hereunder on account of race, creed, color, disabled, national origin, or ancestry.
  
- c) Legal worker status of employees: It is the sole responsibility of the awarded contractor to have on file the necessary supporting documents verifying the legal employment status of each of its employees. This is in accordance with the Immigration Reform and Control Act of 1986. Pub. L. No. 99-603 Nov. 6, 1986.

Contractor or any of his subcontractors must comply with the City's non-discrimination policies as outlined in Council Ordinance No. 10-2001, Council Bill No. 11-2001.

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**BIDDER**

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**TITLE**

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