

City of Lancaster Land Bank Authority
Lancaster, Pennsylvania

REQUEST FOR PROPOSALS

Fee Accounting Services

Date Issued: August 23, 2017
Date Due: September 13, 2017 4:00 PM

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I. Introduction

The City of Lancaster Land Bank Authority is soliciting through this Request for Proposals qualified individuals or firms to perform fee accounting services for the engagement period of five years, with the right to extend, by mutual agreement, the engagement period for one additional five-year period.

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.

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.

The Lancaster City Land Bank Authority has created this Request for Proposal (RFP) to be completed by all interested vendors, and will review both technical and cost considerations for each proposal. Lowest cost will not be the sole determining factor in selecting a firm or fee accountant. In the event of a joint proposal between two or more firms or individuals, indicate the role that either sub-consultant or co-proposer would perform. The Land Bank Authority reserves the right to select or choose between co-proposers and sub-consultants.

Copies of this Request for Proposal may be obtained at the Land Bank Authority Office, 120 North Duke Street, Lancaster, PA 17602, or by e-mailing kbousquet@cityoflancasterpa.com, or by downloading the proposal on the City of Lancaster's website at www.cityoflancasterpa.com. All questions regarding this RFP should be directed to Karen Bousquet via e-mail to kbousquet@cityoflancasterpa.com.

Parties intending to respond to this RFP are requested to confirm receipt of the RFP via e-mail at kbousquet@cityoflancasterpa.com to ensure proper distribution of any addenda or answers to vendor questions. Failure to confirm receipt of this document will not disqualify any vendor from the bidding process. However, the Land Bank Authority will not be responsible for sending updated information to those who do not confirm receipt of the RFP.

The Land Bank Authority reserves the rights to reject any and all proposals, or re-advertise, postpone, or cancel this RFP at any time at its discretion and to waive any informalities. Also, the determination of the criteria and process whereby proposals are evaluated, the decision as to whom shall receive the contract award, or whether or not an award shall be made as a result of this RFP, shall be at the sole and absolute direction of the Land Bank Authority.

II. General Requirements

It is the intention of the Land Bank Authority to enter into an agreement with a qualified fee accountant or firm to provide fee accounting services for the Lancaster City Land Bank Authority. The services shall consist of providing expert fee accounting services to include but not be limited to monthly bank reconciliations, preparation and submission of unaudited financial statements, analysis of financial stability and performance, and related services including working with auditors preparing annual audits.

The Fee Accountant shall:

- A. Demonstrate experience in all aspects of Commonwealth of Pennsylvania Municipal Authority management. Experience in the operations and the program to be managed by the Land Bank Authority is desired but not required.
- B. Have the ability to perform all the required services on a timely basis.
- C. Demonstrate understanding of statutory and/or regulatory frameworks governing the Land Bank Authority and its activities and the Land Bank legislation.
- D. Comply with Commonwealth of Pennsylvania law, the ordinances of the City of Lancaster and the policies of the Land Bank Authority.
- E. Certify that the fee accountant is not debarred from performing any services for the Commonwealth of Pennsylvania or any other governmental or private agency.
- F. Be a Certified Public Accountant familiar with governmental accounting standards.

Successful firms will have experience providing fee accounting services to Commonwealth of Pennsylvania Municipal Authorities or similar public entities from January 2009 to August 2017.

III. Scope of Services

Fee accounting services to be provided on a general basis may include, but not necessarily be limited to, the following:

- A. Maintain the Land Bank Authority's financial records in accordance with U.S. generally accepted accounting principles and per the standards applicable to financial audits contained in the Government Auditing Standards issued by the Comptroller of the United States.
- B. Provide proper accounting allocations, and prepare month end adjusting journal entries, year-end adjusting journal entries, and trial balance and general ledger.
- C. Prepare monthly, quarterly and annual financial statements, including but not limited to cash balance statements, detailed check registry reports, and investment statements.
- D. Manage the Land Bank Authority's accounts payable and accounts receivables.

- E. Prepare and file any required federal, state or local tax forms for the Land Bank Authority.
- F. Assist in providing an internal control system consistent with other entities of similar size to ensure the safeguarding of the Land Bank Authority assets.
- G. Notify the Land Bank Authority of any necessary regulatory changes or updates with regard to its accounts.
- H. Make recommendations as to the management of the Land Bank Authority's accounts and accounting practices.
- I. Provide assistance to the Land Bank Authority's selected independent auditor, including additional analysis, schedule preparation, discussion time, bank reconciliation, and information for audited financial statements, etc, as necessary. The Land Bank Authority fiscal year is January 1 – December 31 and annual audits will be completed in January-March following the fiscal year end because the Authority is considered a component unit of the City of Lancaster.
- J. Attend the Land Bank Authority Board meetings when requested, at a minimum when the annual audit is presented.
- K. Ensure that the Land Bank Authority's accounts are properly established.
- L. Maintain all records in accordance with Federal, State, and other applicable record retention laws.
- M. This is a new Authority with no previous accounting system or records in place.

IV. Proposal Guidelines

The proposal submitted by any entity should conform to the following format:

A. Submission Guidelines

Vendors must submit 4 paper copies and one PDF (CRD-Rom or Flash Drive) copy to:

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

Proposals must be received by September 13, 2017 at 4:00 p.m. EST. All proposals not received by this time will be considered late, and will be returned. Submissions by fax or email alone will not be accepted. A hard copy must be received by the deadline.

B. Proposal Content

The purpose of the proposal is to demonstrate the qualifications, competence and capacity of the proposer to undertake the responsibilities of serving as fee accountant to the Land Bank Authority.

The proposal should include a transmittal letter that will be considered an integral part thereof, and shall be signed by the individual or individuals authorized to contractually bind the firm.

The following specific information should be included in your proposal:

- 1) Statement of Purpose: A brief narrative describing the services that will be provided, specifically addressing the tasks listed above in Scope of Work.
- 2) Qualifications: A list showing your firm's direct experience in providing fee accounting services to governmental entities, particularly Commonwealth of Pennsylvania Municipal Authorities, during the period from January 2009 to August 2017; as well as examples of comparable experience. Information to be provided must include the name of the agency or governmental entity served; period of performance; terms of contract (other than price); and a summary of services provided.
- 3) Organization
 - a) Description of the organization, date founded, and ownership of your firm as well as any subsidiaries and affiliates relevant to the Land Bank Authority.
 - b) Describe the experience of the firm in serving as fee accountant for Pennsylvania municipal authorities, municipalities and other public entities.
 - c) Identify the number of municipal authorities by which you are currently employed and their respective agency size by budget.
 - d) Describe any SEC or regulatory censure or litigation involving institutional business your firm conducts with governmental investors at this time or within the past three years.
 - e) Describe why accounts, if any, have dropped the firm in the past three years.
 - f) Any professional or personal financial interest which could be a possible conflict of interest in representing the Land Bank Authority.
- 4) Personnel
 - a) Identify the size of the firm's staff and the credentials of key personnel.
 - b) Identify the accounting professionals who would be directly involved in providing services to the Land Bank Authority. Describe their relationship to your firm, their responsibilities, and their experience, and specifically with

- the public sector, and the number of years they have been associated with your firm.
- c) Have any of the above personnel ever been investigated for alleged improper, fraudulent or unfair activities related to accounting practices? If so, please provide details.
 - d) What efforts does your firm take to keep its accounting professionals informed of developments relevant to government accounting managers?
- 5) Fee Accounting Approach
- a) State the methodology or approach you/your firm will employ to provide and perform fee accounting services.
- 6) Reporting
- a) Describe and submit samples of the reports that would be provided and their frequency. Include the methods and formulas used.
- 7) Fees
- a) Describe the proposed compensation for services, including breakdown of time by staff level and computation of the accounting fee including expenses used in your proposal.
 - b) Fees should be stated as either:
 - i) A flat monthly fee
 - ii) Per hourly basis with a not to exceed dollar amount for the fiscal year
 - c) Fees should reflect the amount of time required and estimated hours and hourly rate used by each level of staff within the firm.
 - d) Fees must be a discreet dollar amount and not percentage based.
- 8) References
- a) Provide a list of five clients comparable in size and investments, preferably Pennsylvania municipal authority clients and include contact persons, email addresses and telephone numbers.
- 9) Certifications and Other Statements of Proposers
- a) Each proposer shall submit as part of the proposal the fully completed and executed documents incorporated herein by attachment and reference:
 - i) Form of Non-Collusive Affidavit (Attached)
 - ii) Non Discrimination Statement

V. Selection Process

A. Evaluation Process

The Lancaster City Land Bank Authority will review and evaluate the proposals received. The contract will be awarded to the individual or firm whose proposal will be the most advantageous to the Land Bank Authority and whose price and other factors considered are the most closely conforming to this RFP. Due to the evaluation procedure for the Request for Proposal, lowest dollar price MAY or MAY NOT indicate the successful vendor. Price constitutes only one of several evaluation criteria. The

proposals will be judged on criteria that shall include, but are not necessarily limited to those listed in the section below.

B. Evaluation Criteria

1. Approach, including range of products and services offered.
2. Profile of individual or firm, including evidence of expertise, experience and qualifications for providing the required labor and resources for completing work.
3. Fees
4. References
5. Location of Offices (preference may be given to firms located in the City of Lancaster)
6. Interview (if necessary).

C. Interview (if necessary)

The Land Bank Authority may interview fee accountants whose proposals are the highest rated. The Authority reserves the right to not conduct interviews or to short list the RFP respondents and to interview only those the Authority determines are best qualified.

D. Negotiation

The Land Bank Authority reserves the right to negotiate a final contract with the highest rated firm on a basis other than that provided in the proposal. In the event the parties are unable to enter into a contract the Land Bank Authority may elect to negotiate with the next highest rated bidder.

VI. Process for Inquiries

All inquiries regarding clarification of items in the RFP must be made in writing or by e-mail and must be forwarded to:

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

Email: kbousquet@cityoflancasterpa.com
(P): 717-291-4779

The deadline for the receipt of such inquiries is 4:00 pm on September 13, 2017. If, in the Land Bank Authority's opinion, additional information or interpretation of the RFP is necessary, such information will be supplied in the form of an Addendum that will be mailed and/or e-mailed to all Vendors who have acknowledged receipt of this RFP and such Addendum shall have the same binding effect as though contained in the main

body of the RFP. Only information distributed in this manner shall be considered binding with regards to the RFP. Any verbal instructions or information concerning the specifications provided shall not bind the Land Bank Authority. No Addenda shall be issued by the Land Bank Authority within seven (7) calendar days of the proposal deadline. The Land Bank Authority responses to Vendor Inquiries will be distributed to all responding Vendors. However, it shall be the responsibility of the Vendor to determine prior to the Proposal Due Date whether any amendments, additions, deletions, or changes of any type have been made to the RFP.

VII. Miscellaneous

- A. Responses should be prepared simply and economically, and should be both straightforward and concise.
- B. The Land Bank Authority shall not be responsible for any expenses incurred in the preparation of your reply.
- C. Proposers must be in full compliance with Federal, State, City, and local laws, ordinances, rules and regulations that in any manner affect the items covered herein. Lack of knowledge by the proposer shall in no way be cause for relief from responsibility.
- D. The respondent shall certify in the RFP (and ultimately in its contract for services as a result of this RFP) that the fee accountant is not debarred from performing any services in the Commonwealth of Pennsylvania or any other governmental or private agency. Furthermore, the respondent shall certify in the RFP (and ultimately in its contract for services as a result of this RFP) that the fee accountant will not discriminate as to race, sex, sexual orientation, religion, color, age, creed, or national origin in regard to obligation, work, and services to be performed under the terms of any contract ensuing from the RFP
 - The successful fee accountant shall not enter into any subcontracts, retain consultants, or assign, transfer, convey, sublet or otherwise dispose any ensuing contract, or any or all of its rights, title, or interest herein, or its power to execute such contract to any person, partnership, company, or corporation without the prior written consent of the Land Bank Authority.
- E. All costs listed in this proposal, including any itemized costs, must be valid for a minimum of ninety (90) days from the RFP due date.
- F. The Land Bank Authority expects to make a decision no later than October 17, 2017 and the selected firm is expected to begin providing services as early as October 30, 2017 but no later than November 13, 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 Antibid-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.

BIDDER

TITLE