



Request for Proposals: Auditing Services

The City of Parkville, Missouri ("City") is pleased to issue this Request for Proposals ("RFP") for auditing services for the fiscal year ending December 31, 2015, with the option for up to two (2), one-year (1 year) renewals for fiscal years 2016 and 2017.

1. INTRODUCTION

The City of Parkville is a fourth-class city located in the southern portion of Platte County, Missouri along the Missouri River. The population of Parkville was 5,554 at the 2010 census. Parkville is home to Park University, Parkville Commons, English Landing Park, the National Golf Club, Riss Lake, and the historic downtown Main Street area. The City of Parkville has 40 permanent employees supplemented by various contracted, seasonal, and intern employees. The City offers a full range of municipal services including street maintenance, public parks, sewer utility, community development, police, and municipal court. The 2015 City Budget and 2014 Audit are available online: <http://parkvillemo.gov/financialdocuments/>.

The City of Parkville is soliciting proposals for the City's annual audit beginning with the fiscal year ending December 31, 2015 and related audit and accounting advice services during and throughout the course of the year. It is the intent of the City to engage professional accounting services from a qualified certified public accountant (CPA) firm through: 1) an evaluation and comparison of past performance, appropriate references, prior experience in other municipalities and counties and expertise related to the City's specifications. Specifications pertaining to the scope of the City's audit are outlined below, as well as the criteria that will be used in evaluating the qualifications of firms submitting proposals.

2. SCOPE OF SERVICES

Note: The final Scope of Services is subject to change following the selection process and contract negotiations with the selected firm. Therefore, the City reserves the right to make revisions.

- A. Comprehensive Annual Audit. The City of Parkville desires the auditor to conduct an audit of the general-purpose financial statements and supplemental information as it relates to the general-purpose financial statements taken as a whole, in a manner and format that complies with the criteria established by generally accepted accounting principles (GAAP).
- B. Prepare Final Audit Report. The auditor will prepare the audited financial statements of the City of Parkville for the year-ended December 31, 2015, including: government-wide financial statements; fund financial statements; proprietary fund financial statements; agency fund financial statements; notes to basic financial statements; required supplementary information; management's discussion and analysis; and other supplementary information. City staff will assist with compilation of relevant information and review/edit of the report, but the auditor is responsible to draft and finalize the document.
- C. Availability of Consulting Services. The City requires that the auditing firm remain accessible and available throughout the year for consultation purposes, to answer questions, provide clarifications and offer professional opinions and recommendations regarding new General Accounting Standards Board

(GASB) Statements and other financial procedures, tax laws, interpretations, and any other accounting expertise that may be required by the City from time to time.

- D. Timely Audits. The City requires that the auditing firm agrees to produce the audit within the allowed 180 day period following the City's fiscal year end.
- E. Management Letter. The City requests a Management Letter addressing all noncompliance with City procedures, recommendations for improvements, or other findings noted by the firm during its audit.
- F. Record Retention. The Auditor must retain all work papers and reports obtained during the course of the audit in accordance with applicable laws and regulations.
- G. Public Meetings. The Auditor will present periodic updates on the status of the audit to the Board of Aldermen's Finance/Audit Committee and will make a presentation of the final audit report to the Board of Aldermen concurrent with a recommendation for formal adoption. Four public meetings should be estimated for planning purposes only. Additional meetings may be required depending on the complexity of any issues identified or requests by the governing body.

3. PROPOSAL AND EVALUATION CRITERIA

A. **Instructions to Applicants:**

1. The response to this RFP should be delivered as follows: Four (4) hard copies plus one (1) electronic PDF file version (on a CD, flash drive or via email) shall be submitted to the address below in a sealed package clearly marked to the attention of Matthew Chapman and must be received at the address below by 12:00 PM (noon) Central Time on September 25, 2015.

Matthew Chapman
Finance/Human Resources Director
City of Parkville
8880 Clark Ave.
Parkville, MO 64152
mchapman@parkvillemo.gov

2. Any proposals received after the specified date and time will be rejected and returned unopened. Proposals may not be modified or withdrawn after the submittal deadline. However, a respondent may withdraw one's proposal from the selection process at any time prior to the submittal deadline. The City reserves the right to extend the time for submittals.
3. Additional promotional materials/brochures may be included in addition to the proposal but may not substitute for any of the content requirements of the proposal itself. This additional material need not be submitted in an electronic format.
4. Communication (other than through the process described herein) with the City, the selection committee, or the general public relative to this RFP prior to the announcement of a selection is strictly prohibited.
5. The City reserves the right to request a change in any proposed sub-consultants, if applicable.
6. The City reserves the right to waive any irregularities and/or reject any and all submittals. The City is under no obligation to award a contract to any firm submitting a proposal.
7. The City shall not be responsible for any costs incurred in the preparation, submittal, and presentation of proposals.

8. All materials submitted shall become the property of the City and shall be subject to the laws and regulations relating to the disclosure of public information. No guarantee of privacy or confidentiality is offered or implied.

B. Proposal Requirements and Evaluation Criteria

The following are the contents that all proposals must include. The following categories and criteria will be major considerations in the evaluation and determination of the most qualified and capable individual and/or firm. Note: The sequence of the listing is not intended to reflect relative weight of each category:

1. **Interest and Relevant Experience:** A statement of interest for the scope of services (not to exceed two pages) including a narrative describing the respondent's capabilities, relevant experience, and interest in the scope of work.
2. **Availability:** A statement on the availability and commitment of the respondent to undertake the scope of services.
3. **Background and Training:** Proposal shall include resumes for personnel who may perform services, including the lead contact who will act as the primary auditor. Resumes should list all relevant educational background/training and experience.
4. **References:** The name, address and telephone number of at least three references, preferably clients, who can attest to the respondent's ability to perform the services. Proposal shall include a description of the relationship between each reference and the respondent.
5. **Disclosure:** Proposal will disclose any professional or personal financial interest which could be a possible conflict of interest in contracting with the City.
6. **Fee:** Proposal shall include a total annual fee for the scope of services for fiscal year 2015 and any fee escalators for subsequent contract years (if renewed). Proposal should clearly state basis for the proposed fee (hourly, monthly, lump sum, other) and the method for billing additional services beyond those listed in the scope. The fee proposal shall, if applicable, itemize the methodology for billing reimbursable expenses such as mileage, production of documents, etc. The City reserves the right to negotiate a final fee and scope of services as part of contract negotiations following the selection process.
7. **Adherence to Contract:** The City's standard Professional Services Agreement is included as Attachment 1. Respondent shall thoroughly review the agreement and state an ability to comply with its terms and/or state any terms for which it will request re-negotiation.

4. PROPOSED PROCESS AND TIMELINE (subject to change)

The following selection process will be utilized to determine the recommendation to the Board of Aldermen.

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| • August 28, 2015 | RFP issued and posted on the City of Parkville website. |
| • September 25, 2015 | Receipt of proposals due by 12:00 PM Central Time. |
| • October 5, 2015 | A selection committee comprised of city officials will evaluate the proposals and select a preferred respondent to begin contract negotiations. If multiple firms have exceptional proposals, the selection committee will select a short-listed group of finalists for interviews. |
| • October 15, 2015 | Short-listed firms are interviewed (at City's option) |
| • October 19, 2015 | Preferred firm is notified of selection and contract negotiations. |
| • October 26, 2015 | Finance Committee takes action on recommended contract. |
| • November 3, 2015 | Board of Aldermen takes action on recommended contract. |
| • January 1, 2016 | Notice to Proceed |

By submitting a proposal in response to this RFP, the respondent expresses its intent to comply with the established timeline. In addition, the respondent accepts the evaluation process and methodology, as well as acknowledges and accepts that the determination of “the most qualified and capable” firm(s) will require subjective judgments by the selection committee and the City. Thank you in advance for your interest in the City of Parkville.

ATTACHMENT

1. Draft Professional Services Agreement

END OF REQUEST FOR PROPOSALS