

RFQ 20-968T

REQUEST FOR QUALIFICATIONS

INTERNAL AUDIT CONSULTING SERVICES

FOR THE TOWN OF WESTPORT

(INCLUDING WESTPORT PUBLIC SCHOOLS)

1.OVERVIEW:

The Town of Westport (Town) is seeking qualified firms and/or individuals to provide internal audit services to the Town of Westport and Westport Public Schools for fiscal years July 1, 2019 through June 30, 2022. The purpose of this RFQ is for the Town to compile a list of pre-qualified service providers to contact and obtain project quotations based on audit requirements.

The Town currently has an active internal audit function that is outsourced and managed by the Town's Audit Manager/Senior Accountant. The Audit Manager/Senior Accountant works with an audit subcommittee of the Town's elected Board of Finance in determining internal audit priorities and evaluating audit results.

All final internal audit reports are public documents and are available on the Town's website.

2. SCOPE OF WORK:

- Meet with the Town's Audit Manager/Senior Accountant and Board of Finance Audit Subcommittee as needed to discuss objectives, scope and methodology for selected audits from the Town's Annual Internal Audit Plan.
- Meet with the Town's Audit Manager/Senior Accountant to agree upon a timeline for selected audits, subject to review and approval of the Board of Finance Audit Subcommittee.
- Provide weekly status updates on current audits to the Audit Manager/Senior Accountant.
- Attend 2-3 Board of Finance Audit Subcommittee meetings to discuss audit scope and/or drafts of audit reports.
- Provide the Town with written audit reports to include recommendations designed to strengthen internal controls, lower identified risks and increase efficiencies. The Town's Board of Finance Audit Subcommittee expects to be provided with preliminary/draft reports prior to finalization.
- Depending on the scope of audit priorities, the Town endeavors to complete 2-3 audits per year, with an annual budget not to exceed \$60k for fiscal year ended June 30, 2020. The Town is aware that this goal may change with adjustments to the nature/scope of audits selected.

3. MINIMUM QUALIFICATIONS

- These services are to be performed in accordance with Government Auditing Standards issued by the American Institute of Certified Public Accountants (AICPA) and the Standards for the Professional Practice of Internal Auditing issued by the Institute of Internal Auditors (IIA).
- Include a list of key personnel, with descriptions of their roles and responsibilities, qualifications and experience within the firm's operating structure.
- Include a statement that it maintains insurance policies meeting or exceeding the requirements indicated in Exhibit A and will furnish evidence of insurance to the Town upon request.
- Include a statement that no conflict of interest issues would exist if contracted to perform these services, while under contract with the Town.

4. COMPANY BACKGROUND

Consultants must provide a complete company profile. Information submitted shall include the following.

- Description of company ownership structure (professional corporation, sole proprietor, partnership, etc.).
- Corporations and limited liability companies must identify the state and date of incorporation/organization.
- Dun and Bradstreet number.
- Federal Tax Identification Number (EIN).
- Description of any significant prior or ongoing contract failures (actual or alleged), contract breaches, any civil or criminal litigation or investigation pending which involves the Consultant or in which the Consultant has been judged guilty or liable.
- Location(s) of all company offices and location of the office that will provide the services described in this RFQ.
- Number of employees both locally and nationally.
- Location(s) from which employees will be assigned to the Project.
- Name, address and contact information of the project manager responsible for the Project.
- Names, addresses and contact information of all consultants and subcontractors who will be performing services in connection with the Project, including a brief description of their roles and responsibilities.
- Description of the Consultant's background/history and explanation as to why the Consultant is qualified to provide the services described in this RFQ.
- Length of time the Consultant has been providing services described in this RFQ to the public and/or private sector. Provide a brief description, including approximate number and geographic location of projects.
- Statement as to whether or not the Consultant has ever been engaged under contract by any Town agency. Provide a brief description of each engagement.
- A list of all proposed persons including consultants and subcontractors who will be assisting in the performance of the services who are currently employed or have ever been employed by the Town of Westport or the Westport Board of Education.

- Résumés of the project manager and key staff that will be responsible for performance of work for the Town of Westport in this capacity.

5. REFERENCES

Consultants must provide a minimum of three (3) references for similar projects within the last three years. Please include the following.

- Client name
- Project description
- Project dates (starting and ending)
- Staff assigned to work on the project who will also work on similar projects for the Town.
- Client's project manager name, telephone number, fax number and e-mail address.

6. GENERAL INSTRUCTIONS

A. The Town will only accept questions, in writing, via e-mail regarding this RFQ until 3:00 PM Friday August 16, 2019. Please provide company name, address, phone number, email address and contact person when submitting questions. Questions regarding the RFQ shall be received via e-mail only, and submitted to:

Richard Kotchko
Purchasing Officer Town of Westport
203-341-1047
rkotchko@westportct.gov

B. Delivery of Responses. Each response must be enclosed in a sealed envelope, which is clearly marked with a reference to this RFQ 20-968T. The envelope shall then be placed in an outer envelope, which shall be securely sealed and addressed to the Finance Department, Room 313, Town Hall, 110 Myrtle Avenue, Westport, CT 06880. It shall bear the name and address of the Consultant and the designation of this RFQ

i. The response shall be signed by an authorized official. The response shall also provide name, title, address, telephone number, fax number and email address for the individual of individuals with authority to negotiate and contractually bind the Consultant, and for those who may be contacted for the purpose of clarifying the information provided.

ii. Responses shall be received until Friday August 23, 2019, no later than 11:00 a.m., at:

Finance Department
Town Hall, Room 313
110 Myrtle Avenue
Westport, CT 06880

No responses will be accepted after said hour.

iii. E-mail or electronic attachments are not acceptable means of submitting a response and will be rejected as non-conforming.

iv. Responses will be opened immediately after the submission deadline in a Town Hall conference room. No decisions will be made at that time.

THE TOWN WILL REJECT RESPONSES, WHICH ARE SUBSTANTIALLY INCOMPLETE, AND WILL NOT ALLOW THE SUBMISSION OF ANY ADDITIONAL WRITTEN INFORMATION AFTER THE RFQ DEADLINE.

THE TOWN RESERVES THE RIGHT TO WAIVE ANY DEFECTS AND INFORMALITY IN ANY RESPONSE, TO REJECT ANY OR ALL RESPONSES FOR WHATEVER REASON AND TO ACCEPT THAT RESPONSE DEEMED TO BE IN THE BEST INTEREST OF THE TOWN.

THE TOWN RESERVES THE RIGHT TO REJECT ANY RESPONSE IF THE EVIDENCE SUBMITTED BY OR INVESTIGATION OF THE CONSULTANT FAILS TO SATISFY THE TOWN THAT THE CONSULTANT IS PROPERLY QUALIFIED TO PERFORM THE SERVICES.

7. ADDITIONAL RESPONSE REQUIREMENTS

- Provide one (1) signed original, three (3) identical hard copies and one electronic version.
- Responses must be received at the address indicated above no later than date and time indicated above. Vendors may deliver their responses any time prior to the deadline
- Responses that arrive after the time and date indicated above or are submitted to an office other than the one indicated below WILL NOT BE ACCEPTED by the Town.
- The Town will not be held responsible for envelopes mishandled as a result of not being properly prepared. Responses may be modified by written notice provided such notice is received prior to the RFQ submission deadline.
- Responses are to be prepared in such a way as to provide a straightforward, concise delineation of capabilities to satisfy the requirements of this RFQ. Emphasis should be concentrated on conformance to the RFQ instructions, responsiveness to the RFQ requirements, and on completeness and clarity of content.

8. Insurance Requirements:

The Company shall purchase from and maintain, for the life of the contract, in a company or companies with an A.M. Best rating of A- (VII) or better. Such insurance will protect the Town from claims set forth below which may arise out of or result from the Company's obligation under this agreement, whether such obligations are the company's or by a subcontractor or any person or entity directly or indirectly employed by said company or by anyone for whose acts said company may be liable.

A. **Workers Compensation:**

Company shall provide workers compensation insurance required by law with employers liability limits for at least the amounts of liability for bodily injury by accident of \$ 500,000 each accident and bodily injury by disease of \$500,000.including a waiver of subrogation.

B. **Commercial General Liability Insurance:**

Company shall provide commercial general liability insurance policy with an edition date of 1986 or later including products and completed operations. Limits should be at least: Bodily injury & property damage with an occurrence limit of \$1,000,000: Personal & advertising injury limit of \$1,000,000 per occurrence: General aggregate limit of \$2,000,000 (other than products and completed operations): Products and completed operations aggregate limit of \$2,000,000 per project. Coverage will continue three years after the completion of the work.

- The policy shall name the Town as an additional insured and include ISO Form CG 2010 (04/13) and CG 2037 (04/13).
- Such coverage will be provided on an occurrence basis and will be primary and shall not contribute in any way to any insurance or self-insured retention carried by the Town.
- The policy shall contain a waiver of subrogation in favor of the Town.
- Such coverage shall contain a broad form contractual liability endorsement or wording within the policy form to comply with the hold harmless and indemnity provision of the contract
- Deductible and self-insured retentions shall be declared and are subject to the approval of the Town.

C. Commercial Automobile Insurance:

Company shall provide commercial automobile insurance for any owned autos (symbol 1 or equivalent) in the amount of \$1,000,000 each accident covering bodily injury and property damage on a combined single limit basis. Such coverage shall also include hired and non-owned automobile coverage. Policy shall name the Town as an additional insured.

D. Umbrella or Excess Liability Insurance:

Company shall provide an umbrella or excess liability policy in excess (without restriction or limitation) of those limits and coverages described in items (A) through (C). Such policy shall contain limits of liability in the amount of \$5,000,000 each occurrence and \$5,000,000 in the aggregate.

E. Errors & Omissions Insurance:

If the agreement is for professional services, the Company shall provide errors & omissions insurance for liability resulting from the negligent performance of professional duties or operations. Such policy shall contain limits of liability in the amount of \$1,000,000 each claim and \$3,000,000 in the aggregate per project. The policy shall name the Town as an additional insured.

As to the insurance required, the insurer(s) and/or their authorized agents shall provide the Town with certificates of insurance prior to execution of the agreement by the Town, describing the coverage and prior to 30 days of any renewal. The certificate will include a copy of the additional insured and contractual liability endorsements and to the extent, Errors & Omissions Insurance is required, the certificate shall indicate a retroactive date prior to the commencement date of the contract.