REQUEST FOR PROPOSALS:
AUDITING SERVICES

Proposal Deadline

SUBMITTALS MUST BE RECEIVED BY:
Wednesday, April 8th, 2015
2:00 p.m. EST

Submit Proposals to:
Capitol Region Council of Governments
241 Main Street, Fourth Floor
Hartford, CT 06106
I. INTENT

A. General Intent
The Capitol Region Council of Governments (CRCOG) is requesting proposals from qualified firms of certified public accountants (as approved by the State of Connecticut’s Office of Policy and Management) to audit its financial statements for the fiscal years ending June 30, 2015, 2016 and 2017. These audits are to be performed in accordance with generally accepted auditing standards, as set forth by the American Institute of Certified Public Accountants, the standards set forth for financial audits in the U.S. Comptroller General's Government Auditing Standards (1994), the provisions of the federal Single Audit Act of 1984 and the U.S. Office of Management and Budget’s (OMB) Circular A-133, Audits of States, Local Governments, and Nonprofit Organizations, the provisions of Sections 4-230 through 4-236 of the Connecticut General Statutes concerning the State Single Audit Act, and all relevant statements issued by the Government Accounting Standards Board (GASB).

B. Term of Engagement
A three (3) year contract is contemplated; however, the contract may be terminated at the end of any year, subject to the annual review and recommendation of CRCOG’s Executive Director, the concurrence of CRCOG’s Audit Committee and the Executive Committee/Policy Board. If mutually agreed to by both parties, resulting contracts may be extended beyond the three-year period specified above for up to an additional two years, covering FY 2018 and 2019, in one-year increments.

II. AGENCY DESCRIPTION

A. Organizational Overview
The Capitol Region Council of Governments (CRCOG) is the largest of Connecticut’s nine regional planning organizations. We are established under the Connecticut General Statutes as a voluntary association of municipal governments serving the City of Hartford and 37 surrounding communities.

CRCOG is considered to be a legally separate organization from its member municipalities and has the right to enter into legal contracts. CRCOG’s mission, as a regional planning and policy agency, is to coordinate and implement regional activities that benefit its members and the people of the region. CRCOG has the authority to apply for Federal and State funds to further the activities and purpose of the agency.

Each member municipality appoints representatives to sit on CRCOG’s Policy Board, which is responsible for establishing and approving agency policies, resolutions and the annual budget. A newly established Audit Committee is responsible for supervising the annual audit.

Member assessments are charged on a modified per capita basis and are approved by the Policy Board. The Council appoints an Executive Director to serve as the chief administrative officer of the Council.

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B. Budget and Audit Financial Information
The Internal Revenue Service has determined CRCOG to be an organization described in Section 115 a of the Code.

2014-15 Budget Information
For fiscal year 2014-2015, CRCOG has an agency budget of $9,550,204 that includes $2,366,785 for personnel costs covering approximately 23 employees. In general terms, CRCOG derives its funding from federal, state and foundation grants, town assessments, contract services and user fees. More detailed information on CRCOG’s 2014-2015 Budget is available at: http://www.crcog.org/about/annual_budget.html.

2013-14 Audit Information
Copies of the agency’s 2013-2014 audited financial statements are also available in PDF format on the CRCOG website at: http://www.crcog.org/about/annual_budget.html. These documents should be reviewed by prospective firms in order to garner a better sense of the size and scope of the work required in connection with this RFP.

In addition, the cost allocation plan filed with the Connecticut Department of Transportation (CRCOG’s cognizant agency) is available for review upon request.

C. Fund Structure
CRCOG uses the following fund types and account groups in its financial reporting:

<table>
<thead>
<tr>
<th>Fund Type/Account Group</th>
<th>Number of Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>Government Fund Types</td>
<td></td>
</tr>
<tr>
<td>General Fund</td>
<td>1</td>
</tr>
<tr>
<td>Special Revenue Funds</td>
<td>20</td>
</tr>
<tr>
<td>Fiduciary Funds</td>
<td></td>
</tr>
<tr>
<td>Trust Funds</td>
<td>2</td>
</tr>
</tbody>
</table>

D. Basis of Presentation
CRCOG is considered a single-program governmental organization for financial reporting purposes. Governmental Accounting Standards Board (GASB) Statement No. 34, Basic Financial Statements – and Management’s Discussion and Analysis – for State and Local Governments requires the presentation of government-wide financial statements and fund financial statements. CRCOG has no business-type activities.

E. Financial Management System
All accounting, budgeting and financial reporting records are created and maintained using the agency’s integrated GMS (Grants Management Systems) financial management software package. The payroll function is currently outsourced.

F. Contacts
The auditor’s principal contact at CRCOG will be the Finance Director, or a designated representative, who will coordinate the assistance to be provided by CRCOG to the auditor.
III. SCOPE OF WORK

A. General
Firms submitting proposals must be qualified to perform independent audits of municipalities and other political subdivisions of the State of Connecticut.

The agency desires the successful auditor to express an opinion on the fair presentation of its general-purpose financial statements in conformity with generally accepted accounting principles. Accordingly, 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.

While the auditor is not required to audit the supporting schedules contained in the annual financial report, he/she is to provide an “in-relation-to” report on the supporting schedules based on the auditing procedures applied during the audit of the general purpose financial statements and the combining and individual fund financial statements and schedules.

Specifically, the auditor will be required to examine, finalize and submit the following additional information that will be subjected to the auditing procedures applied in its audit of the general purpose financial statements:

1. All combined, combining and individual fund and account group financial statements.
2. Required Supplementary Information, as required by the Government Accounting Standards Board (GASB).
5. Required Supporting Schedules of the Regional Transportation Planning Grants.

B. Reports
Following the completion of the audit of the fiscal year's financial statements, the auditor shall issue, as required by generally accepted auditing standards, Government Auditing Standards, OMB Circular a-133, and the Connecticut General Statutes, reports 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.

• A report on the internal fraud control structure based on the auditor’s understanding of the programs and controls in place to address fraud risks.

The auditor shall communicate in a letter to the Executive Committee 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.

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

D. Other Audit Services
Periodically, the CRCOG is required to have separate audits performed such as the CRCOG Foundation, Inc. The auditor will be expected to perform these audits and any other audit services requested by the CRCOG that fall outside of the standard audit at the hourly rate stated in Appendix A on a negotiated total project basis.

E. 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.

A. Statements and Schedules and Other Pertinent Information to be Prepared by CRCOG Staff.

CRCOG Auditing Services RFP: Page 5
IV. ASSISTANCE TO BE PROVIDED TO THE AUDITOR AND REPORT PREPARATION

A. Statements and Schedules and Other Pertinent Information to be Prepared by CRCOG Staff.
CRCOG staff will prepare or provide the following statements and schedules for the auditor as follows:

1. Detailed schedules of revenues and expenditures, expenses, accounts payable and receivable, and encumbrances.
2. Detail of balance sheet and subsidiary account activity.
3. Check registers for all funds.
4. Bank reconciliations for all accounts.
5. Analysis of accounts as requested.
6. Investment activity schedules.
7. Fixed assets schedules.
8. Payroll records.
10. Combined, combining, and individual fund statements for all funds.
11. Management Discussion and Analysis.
12. Other reports as required by changes in GASB Statements (pending the approval of the Executive Director).

B. Office Space
Office space will be provided in close proximity to the financial records. Telephones will be made available as well as the use of a copy machine during the engagement. The auditor will be required to provide its own equipment and other office materials.

V. PROJECT SCHEDULE

A. Proposal Calendar
The following is a list of key dates up to and including the date proposals are due to be submitted:

Request for proposal issued: March 18, 2015
Due date for questions: March 30, 2015, 2 PM
Due date for proposals: April 8, 2015, 2 PM
Interviews with selected proposers (if required): Fourth week of April, 2015
Appointment by CRCOG: May 2015 (Executive Committee or Policy Board approval required)
Contract date: Within 30 days of appointment

B. Estimated Schedule for the Annual Audit
It is anticipated that a similar work schedule will apply to subsequent years.
CRCOG Auditing Services RFP: Page 6
<table>
<thead>
<tr>
<th>Entrance conference with Finance Director, Executive Director to commence year-end audit work</th>
<th>End of July, 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preliminary fieldwork begins</td>
<td>Early August, 2015</td>
</tr>
<tr>
<td>Final audit work begins</td>
<td>October 2015</td>
</tr>
<tr>
<td>Exit conference to review draft and findings</td>
<td>November 2015</td>
</tr>
<tr>
<td>Draft comments returned to auditors by</td>
<td>December 1, 2015</td>
</tr>
<tr>
<td>Final Report returned to CRCOG</td>
<td>December 15, 2015</td>
</tr>
</tbody>
</table>

**C. Report Submissions**

As stated above, the submission date for the various reports to CRCOG and the appropriate cognizant agencies is December 1, 2015. All reports shall be addressed to CRCOG. The final report should be submitted electronically to the Finance Director at wbarnaby@crcog.org. Forty (40) printed copies should be delivered to CRCOG, Attention Finance Director, 241 Main Street, Hartford, CT 06106.

In addition, the successful auditor will submit copies of reports, as required by state and federal audit requirements, directly to involved agencies. For the 2013-2014 fiscal years, twelve such direct mailings were required.

**VI. PROPOSAL REQUIREMENTS**

**A. Submission**

Sealed proposals, in accordance with the format prescribed below, will be received at the Capitol Region Council of Governments, c/o Winsome Barnaby, located at 241 Main Street, Hartford, CT 06106, **until 2:00 p.m. EST, Wednesday, April 8, 2015**. Any responses received after the advertised opening date and time shall be rejected. Respondents are required to provide one (1) signed original and three (3) copies of their response, including all supporting documentation, as well as a CD or flash drive containing an exact copy of all requested materials.

Note that the submission of any proposal indicates acceptance by the respondent of the terms and conditions contained herein, unless otherwise specifically noted in the proposal itself and confirmed in resulting contracts.

**B. Questions**

**General inquiries** concerning the Request for Proposals must be made to:

Winsome Barnaby:
CRCOG
241 Main Street, 4th floor
Hartford, CT 06106
860-522-2217, ext. 238

However, no oral interpretations shall be made to any respondent as to the meaning of any of the proposal documents. Every request for an interpretation shall be made in writing, addressed and sent to:

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forwarded either to the address above, faxed to (860) 724-1274 or emailed to wbarnaby@crcog.org. To receive consideration, such questions must be received by **Monday, March 30th at 3:00 PM**.

CRCOG’s staff will arrange as addenda, which shall be made a part of this RFP and any resulting contracts, all questions received following the above procedure and the decisions regarding each. By Thursday, April 2nd, 2015, CRCOG will post a copy of any addenda to CRCOG’s website, located at **www.crcog.org**. It shall be the responsibility of each respondent to determine whether any addenda have been issued and if so, to download copies directly from the agency’s website.

### C. Proposal Format

Respondents must submit complete responses to all of the information requested. Respondents who do not respond to the entire content of the RFP may be disqualified.

Written proposals should include, at a minimum, the following information in the order requested:

**PART 1: Technical Proposal for Audit Services**

1. **Cover Letter.** A letter signed by an officer of the firm or individual, binding the respondent to all of the commitments made in the proposal. The cover letter should be addressed to William Perkins, Capitol Region Council of Governments, 241 Main Street, Hartford, CT 06106.

2. **Contact Information.** The name, address and contact person of the respondent submitting the proposal. Please include telephone and fax numbers, as well as email and website addresses.

3. 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 itself to be the best qualified to perform the engagement and a statement that the proposal is a firm and irrevocable offer for 60 days from the proposal due date.

4. An affirmative **Statement of Independence** of CRCOG 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 CRCOG 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.

5. An affirmative **Statement of Licensure**, indicating that the firm and all assigned key professional staff are properly qualified (registered/licensed) to practice in Connecticut.
6. A section addressing the Firm’s Qualifications and Experience. This section of 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. Specific attention should be afforded to demonstrating the firm’s qualifications as they relate to performing independent audits of small municipalities and other political subdivisions of the State of Connecticut, as well as evidence of having been engaged as independent auditors for the purpose of rendering an opinion on the annual financial statements of similar organizations during the fiscal year ending June 30, 2015.

7. Respondents are also required to provide, as part of their technical proposal packets:
   - One copy of at least two General Purpose Financial Statements/Annual Financial Reports issued by Connecticut municipalities/”audited agencies,” as defined by Section 7-391 of the Connecticut General Statutes, in which their opinion is contained.
   - References for at least three (3) similar engagements with government entities performed in the last five years, including the name and telephone number of the principal client contact.
   - The results of their latest federal or state desk reviews or field reviews of their audits.
   - 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.

8. A section addressing Staff Qualifications and Related Experience. Specifically, the firm should identify the staff who will be assigned to CRCOG’s audit and include a resume for each person. Information on governmental professional affiliations, training and seminar sessions attended should also be included.

9. A section addressing the proposed Audit Approach. The proposal should set forth a work plan, including an explanation of the audit methodology to be followed to perform the services outlined herein. In developing the work plan, reference should be made to such sources of information as the CRCOG’s budget and related materials, organizational charts, manuals and programs, and financial and other management information systems.

10. The firm’s service delivery plan should also be highlighted, and should address: 1) how the firm intends to conduct the audit in the first year versus subsequent years; 2) what work will be done by whom, how and where; 3) staffing requirements; and 4) how the services will be coordinated and monitored and how access to them will be ensured through entrance conferences, progress reporting, and exit conferences.

11. A copy of the firm’s most recent Peer Review Report.
12. An exhibit demonstrating Professional Services (Errors and Omissions) coverage levels.

13. Answers to questions in Appendix B.

14. Executed copies of the following which are attached to this proposal:
   - Appendix C: Proposer Guarantees and Proposer Warranties
   - Appendix D: EEO/AA/M/FBE Certifications
   - Appendix E: Response Page

PART 2: Cost Proposal for Audit Services

1. The respondent shall submit an original and three (3) copies of the Cost Proposal (Price Proposal Form--Appendix A) attached to this Request for Proposals. The figures furnished should contain all pricing information relative to performing the audit engagement as described in this Request for Proposals. The total all-inclusive maximum price proposal is to contain all direct and indirect costs including all out-of-pocket expenses. CRCOG will not be responsible for expenses incurred in preparing and submitting the technical proposal or the cost proposal. Such costs should not be included in the proposal.

2. The all-inclusive maximum prices furnished shall cover CRCOG’s audit for the fiscal years ending June 30, 2015, 2016 and 2017 respectively. Should the agency decide to extend for one or two additional years, pricing to cover audit work for 2018 and/or 2019 shall be negotiated.

3. An all-inclusive hourly rate for audit services is also requested should it become necessary for CRCOG to request the auditor to provide services outside the scope of work outlined herein.

4. In an effort to give respondents a better sense of the scope of work that will actually be required and to help them price their proposals appropriately, it should be noted that CRCOG paid its current auditors, Blum Shapiro, $31,000 for the completion of the 2014 audit.

VII. SELECTION CRITERIA

CRCOG desires to award a contract to the respondent who demonstrates the ability to provide the highest quality service at the most reasonable cost.

A. Selection Committee

A Selection Committee comprised of the agency’s Executive Director or his designee, the Finance Director and representatives of the Audit Committee, will evaluate all proposals submitted. The Selection Committee will recommend a firm for approval by CRCOG’s Executive Committee/Policy Board. It is anticipated that a firm will be selected in May, 2015. Following notification of the firm selected, it is expected a contract will be executed between CRCOG Auditing Services RFP: Page 10
both parties within thirty (30) days of approval.

**B. Evaluation Criteria**
All proposals meeting the minimum requirements outlined herein will be ranked according to the following criteria:
1. **Expertise and Experience**—Firm’s demonstrated successful experience in like or similar completed projects and experience of staff to be assigned to the CRCOG audit
2. **Audit Approach**—Firm’s outlined audit approach, description of services provided and the quality of samples of completed audits
3. **Proposal Fee**

While cost **will not** be the primary factor in the selection of an audit firm, it will be considered within the context of established budgetary limitations.

CRCOG may elect to conduct interviews with firms or to negotiate with the top ranked firms and to accept modifications of the work and price when such action is in the best interest of the agency to do so. Additional clarifying information may be requested to aid in the decision-making process.

**X. ADDITIONAL TERMS AND CONDITIONS**

**Compliance with Applicable Laws**
The successful consultant shall comply with all applicable federal, state and local laws and regulations as may be applicable

**Freedom of Information**
Respondents are advised that any and all materials submitted in response to this RFP shall become the sole property of the Capitol Region Council of Governments and shall be subject to the provisions of Section 1-210 of the Connecticut General Statutes (re: Freedom of Information).

**Incurred Costs**
This request for proposals does not commit the Capitol Region Council of Governments to award a contract or to pay any costs incurred in the preparation of a response to this request. The Capitol Region Council of Governments will not be liable in any way for any costs incurred by respondents in replying to this RFP.

**Severability**
If any terms or provisions of this Request for Proposal shall be found to be illegal or unenforceable, then such term or provision shall be deemed stricken and the remaining portions of this document shall remain in full force and effect.

**Oral Presentation**
Respondents who submit a proposal in response to this RFP may be required to give an oral presentation of their proposal to the Capitol Region Council of Governments. This provides an opportunity for the respondent to clarify or elaborate on the proposal. These are fact-finding and CRCOG Auditing Services RFP: Page 11
explanation sessions only and do not include negotiation. The Capitol Region Council of Governments will schedule the time and location of these presentations. Oral presentations are an option of the Capitol Region Council of Governments and may or may not be conducted.

**Subcontracting**
The successful respondent may utilize the services of specialty subcontractors on those portions of the work that under normal contracting practices are performed by specialty subcontractors. The successful respondent shall not award any portion of the work to a subcontractor without prior written approval of the Capitol Region Council of Governments. The acceptance of any and all subcontractors shall reside with the Capitol Region Council of Governments, and the Capitol Region Council of Governments decision shall be final. The successful respondent shall be fully responsible to the Capitol Region Council of Governments for the performance, finished products, acts, and omissions of his subcontractors and persons directly or indirectly employed thereby.

**Assigning/Transferring of Agreement**
Any successful respondent is prohibited from assigning, transferring, conveying, subletting or otherwise disposing of the resulting agreement or its rights, title, or interest therein or its power to execute such an agreement to any other person, company or corporation without prior consent and approval in writing from the Capitol Region Council of Governments.

**Acceptance or Rejection by the Capitol Region Council of Governments**
CRCOG reserves the right to accept and or reject any or all proposals submitted for consideration or to negotiate separately in any manner necessary to serve the best interests of the CRCOG. Respondents whose proposals are not accepted shall be notified in writing.

**Amending or Canceling Request**
CRCOG reserves the right to amend or cancel this RFP, prior to the due date and time, if it is deemed to be in its best interest to do so.

**Waiver of Informalities**
The Capitol Region Council of Governments reserves the right to accept or reject any and all responses to this Request for Proposals, or any part thereof, and to waive any informalities and/or technicalities that are deemed to be in its best interest.

**Collusion**
By submitting a proposal, the respondent implicitly states: that his/her proposal has not been made in connection with any other competing respondent submitting a separate response to this RFP; is in all respects fair; and has been submitted without collusion or fraud. It is further implied that the respondent did not participate in the RFP development process, had no knowledge of the specific contents of the RFP before its issuance, and that no employee of CRCOG either directly or indirectly assisted in the vendor’s proposal preparation.

**Termination**
CRCOG Auditing Services RFP: Page 12
CRCOG may terminate any contract(s) or any part of any contracts resulting from this process at any time for: cause, default or negligence on the part of the selected respondent; or if the selected respondent fails, in the opinion of CRCOG, to meet the general terms and conditions of any resulting contract or to provide a level of service that is deemed to be in the best interest of CRCOG.

**Ethics**
The conduct of any contracted consultant shall be subject to the CRCOG Ethics Policy (found online at: http://www.crcog.org/about/rfqs.html).

**Affirmative Action**
CRCOG is an equal opportunity employers and require an affirmative action policy from all contractors and vendors as a condition of doing business with CRCOG, as per Federal Order 11246. By signing the proposal sheet for this bid, all vendors and contractor agree to this condition of doing business with CRCOG and should CRCOG choose to audit their compliance, the respondent agrees to cooperate fully.

**Insurance Requirements**
The Auditor (AUDITOR) shall be required to furnish a Certificate of Insurance evidencing the following insurance coverage prior to the execution of this Agreement. Failure to maintain insurance coverage as required and to name the Capitol Region Council of Governments and CRCOG member municipalities as the Additional Insured will be grounds for termination of the contract. In addition:

A. The insurance requirements shall apply to all subcontractors and/or consultants.
B. All policy forms shall be on the occurrence form. Exceptions must be authorized by CRCOG unless the coverage is for Professional Liability where the common form is claims made.
C. Acceptable evidence of coverage will be on the ACORD form or a form with the same format.
D. All renewal certificates shall be furnished at least 10 days prior to policy expiration.
E. Each certificate shall contain a 30 day notice of cancellation.
F. Insurance shall be issued by an insurance company licensed to conduct business in the State of Connecticut which has at least an “A-” policy holders rating according to Best Publications latest edition Key Rating Guide.

Required insurance coverage:
A. **Professional Liability Insurance** with limits up to $2,000,000 aggregate limit issued on claims made basis for the term of the contract and continuing for two years following the completion of the contract at the AUDITOR's cost.
B. **Comprehensive General Liability, including Contractual Liability, Products/Completed Operations Insurance**, as applicable, with limits not less than $2,000,000 for all damages because of bodily injury sustained by each person as the result of any occurrence and $1,000,000 bodily injury aggregate per policy year and limits of $1,000,000 for all property damage sustained by each person as a result of any
one occurrence and $1,000,000 property damage aggregate per policy year or a combined single limit of $1,000,000. All, if any, deductibles are the sole responsibility of the AUDITOR to pay and/or indemnify.

C. **Automobile Liability Insurance** including non-owned and hired vehicles in the same limits as indicated above.

D. **Workers' Compensation Insurance** at the Connecticut statutory limit including Employers' Liability with limits of $100,000 each accident, $500,000 for each disease/policy limit, and $100,000 for disease for each employee.

E. **Excess Liability Umbrella Form** over sections B, C, and D-Employers' Liability with limits up to $4,000,000.

**Hold Harmless and Indemnification**
In addition to its obligation to provide insurance as specified above, the Auditor, its subcontractors, agents and assigns shall indemnify and hold harmless the Capitol Region Council of Governments and its member municipalities, including but not limited to, its elected officials, and its officers, from any and all claims made against the CRCOG, including but not limited to, damages, awards, costs and reasonable attorney’s fees, to the extent any such claim directly and proximately results from the negligent acts, errors, or omissions in performance of services by the Auditor during the Auditor’s performance of this Agreement or any other Agreements of the Auditor entered into by reason thereof. CRCOG agrees to give the Auditor prompt notice of any such claim and absent a conflict of interest, an opportunity to control the defense thereof.
APPENDIX A

PRICE PROPOSAL

To be submitted on your firm's letterhead separately in Envelope #2.

Firm's Name: ________________________________

Location of office staffing the audit: ________________________________

Number of Municipal professional audit staff to be staff at this location: ____________

Number of Municipal audit staff to be assigned to CRCOG: ______

PART I. MAXIMUM ALL-INCLUSIVE FEES FOR AUDIT SERVICES

<table>
<thead>
<tr>
<th>FY 2015</th>
<th>FY 2016</th>
<th>FY 2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>$_______</td>
<td>$_______</td>
<td>$_______</td>
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PART II. ALL-INCLUSIVE HOURLY RATES FOR AUDIT SERVICES

(Rate shall cover separate audit services that fall outside of the standard audit described herein.)

<table>
<thead>
<tr>
<th>FY 2015</th>
<th>FY 2016</th>
<th>FY 2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>$_______</td>
<td>$_______</td>
<td>$_______</td>
</tr>
</tbody>
</table>

Submitted by ________________________________ Date ____________
Signature ________________________________ Title ____________________
Telephone ________________________________ Fax ____________________

CRCOG Auditing Services RFP: Page 15
### APPENDIX B

<table>
<thead>
<tr>
<th>Question</th>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has there been any disciplinary action taken or pending against the firm during the past three (3) years with state regulatory bodies or professional organizations? If yes, please explain.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does your firm have two or more qualified persons to handle the account?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Please list up to 5 accounts that you have handled for political sub-divisions.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>List 3 references from current accounts and contact information.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do you understand that this appointment, if made, will be for a period of (3) three years, subject to satisfactory performance?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Appendix C

PROPOSER GUARANTEES AND PROPOSER WARRANTIES

Proposer Guarantees

1. The proposer certifies it can and will provide and make available, at a minimum, all services set forth in the attached RFP.

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 CRCOG.

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: ____________________________
EEO/AA/M/FBE CERTIFICATIONS

The Capitol Region Council of Governments has adopted various policies in support of promoting Equal Employment Opportunity, Affirmative Action and Minority/Female Business Enterprises. Pursuant to the agency’s bylaws, all contracts for the procurement of goods and services shall demonstrate a commitment to non-discriminatory practices and affirmative action.

Accordingly, responding firms are required to sign off in the applicable sections below.

The undersigned certifies that _________________________________________is an
(Name of Firm)

Equal Opportunity Employer and is in compliance with federal and State rules and regulations pertaining to Equal Employment Opportunity and Affirmative Action.

_______________________________________  
(Bidder’s Signature)

IF APPLICABLE:

The undersigned also certifies that _________________________________________
(Name of Firm)

is a Minority/Female Business Enterprise and is in compliance with federal and State rules and regulations pertaining to Minority/Female Business Enterprise designations.

_______________________________________  
(Bidder's Signature)
APPENDIX E

RESPONSE PAGE

Capitol Region Council of Governments
REQUEST FOR PROPOSALS

DATE ADVERTISED: March 18, 2015
DATE / TIME DUE: Thursday April 8, 2015 2:00 p.m. EST

NAME OF PROPOSAL CRCOG Auditing Services

<table>
<thead>
<tr>
<th>Type or Print Name of Individual</th>
<th>Doing Business as (Trade Name)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature of Individual</td>
<td>Street Address</td>
</tr>
<tr>
<td>Title</td>
<td>City, State, Zip Code</td>
</tr>
<tr>
<td>Date</td>
<td>Telephone Number / Fax Number</td>
</tr>
<tr>
<td>E-mail Address/Website</td>
<td>SS # or TIN#</td>
</tr>
</tbody>
</table>

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