

TOWN OF COLTON | REQUEST FOR PROPOSALS (RFP)

AUDIT SERVICES

Overview

The Town of Colton invites proposals from qualified individuals and accounting firms, hereinafter referred to as “Auditor”, to perform an audit of Town records for 2023.

Purpose

Conduct a comprehensive audit of Town funds for 2023, to be completed within the remainder of 2024, in order to assist the Town of Colton Board with maintaining utmost financial responsibility to its residents. At the conclusion of this audit, the Town reserves the option to extend services on agreed upon basis between the Town and the Auditor.

Independence rules contained in Governmental Auditing Standards issued by the Comptroller General of the US prohibit our independent Auditors from becoming directly involved with internal control and general accounting measures of the Town.

Proposal Submission

Proposers should submit any questions regarding the RFP in writing to clerk1@townofcolton.com. No questions will be addressed after the deadline has passed. Any oral communications with Town of Colton representatives during preparation or after submission is not in any way binding.

Proposals must be clearly labeled and submitted to Jennifer Cole, Town Clerk, Town of Colton, 94 Main Street Colton, NY 13625 or by email to clerk1@townofcolton.com, on or before 3 pm on August 14, 2024. There is no expressed or implied obligation for the Town to reimburse responding Auditors for any expenses incurred in preparing quotations, attending pre-quotation conferences, or interview(s) in responding to this request. Proposals submitted after the stated time and date will not be considered and will be returned to the Auditor without review.

Proposal Requirements

Include a list of qualifications indicating that the Auditor making the proposal has the required qualifications to perform such task, including the Auditor must be authorized to do business in NYS and, if applicable, the local jurisdiction where the work will be performed.

Project requirements include:

- a. Detailed scope of work to be completed.
 - i. Ensure the books and records are maintained in accordance with NYS requirements and federal requirements.
 - ii. Perform agreed upon procedures determined necessary to assure reasonable accuracy of accounts receivable, accounts payable, and accrued liabilities at year end.
 - iii. Conduct tests of internal control and compliance, in accordance with AICPA’s Audits of State and Local Government Units, generally accepted government auditing standards required by OMB Circular No. A-133 pursuant to the Single Audit act of 1984, PL 98-502, amended July 1, 1996; and Compliance Supplement for Single Audits of State and Local Governments.
 - iv. Anticipated start date and duration for the project to be completed.
 - v. Include recommendations of implementing new accounting standards, tools, and/or methodologies.

- b. Describe what information, documents, staff assistance facilities, or other resources required from the Town of Colton to complete the work needed.
- c. Specific cost for the scope of work outlined, with a list of charges and rates for any work done outside of the scope of work as well as any incidental costs typically billed.
- d. Outline process and associated cost for communicating identified issues outside of the scope of work to the Town.

Submission requirements include:

- a. Include page numbers at a minimum, table of contents is encouraged.
- b. Lengthy narrative is discouraged.
- c. Presentations should be brief and not include unnecessarily elaborate promotional material.
- d. Utilize a minimum of size 12 font with basic typeface such as Times New Roman or Arial.
- e. Examples of comparable works (similar size Towns, recommendations provided, etc.) are welcomed.
- f. Provide one (1) to three (3) municipal clients the Town of Colton may contact as references.
- g. Signature of a person authorized to bind the Auditor to the terms of the proposal.

An Auditor can schedule an appointment prior to submission of any proposal to meet with members of the Town of Colton Board and/or the Town of Colton Clerk to review the condition of Town records. Appointments can be made by contacting the Town at (315) 262-2810, ext. 1, or by emailing clerk1@townofcolton.com, between the hours of 8 am and 330 pm to schedule an appointment.

Exceptions / Deviations

Exceptions to or deviations from the requirements set forth in this RFP must be declared in the proposal submitted by the Auditor, however, the Town of Colton may waive any immaterial deviation or defect in a proposal.

Evaluation Criteria

By use of numerical and narrative scoring techniques, proposals will be evaluated by each Town of Colton Board Member against the following factors:

- a. Qualifications, Experience, Reference(s)
- b. Staffing, Project Organization, Start Date, Duration
- c. Work Plan, Technical Approach
- d. Fee
- e. Miscellaneous (ie exceptions / deviations)

Evaluation and Selection Process

Only after the deadline has passed will all submissions be opened and reviewed against the requirements of the RFP. All materials submitted in response to the RFP become the property of the Town of Colton, as well as become public records in accordance with NYS Records Retention Regulations, except for any information identified by the Auditor as proprietary, which is eligible for nondisclosure under the NYS Public Records Act.

An Auditor may withdraw its proposal, in writing, at any time prior to the submission timeline by the same person who submitted the proposal.

The entirety of the Town of Colton Board will be responsible for reviewing each submission in preparation of making a recommendation, decision, and motion (if applicable) during the regular Town Board meeting on August 21, 2024.

Contract Award

All Auditors will be notified in writing, via email, following the completion of the August 21, 2024 Board Meeting that their request was / was not accepted for contract. The accepted Auditor will be required to enter into a written agreement with the Town reflecting the requirements of the RFP.

The Town reserves the right to apportion the requirements of this RFP among multiple consultants if this is determined to be in its best interests. It is the Town's desire to execute any applicable contract(s) by September 1, 2024.

Town of Colton Profile

2023 Annual Budget \$4,016,702

Operations

The Town operates with the funds listed below with budgeted amounts for 2023:

General Fund	\$1,886,623
Highway Fund	\$1,304,523.
Colton Light District	\$10,200
South Colton Light District	\$9,800
Water + Sewer District	\$293,000

Employees

The Town has 18 full-time, eight (8) part-time, and four (4) seasonal/per diem employees.

The Town has 29 Board Members.

All timesheets are reviewed and approved by Department Heads prior to submitting for payment to the Bookkeeper.

Pension Plans

All employees are offered membership in the NYS Local Retirement System (NYSLRS).

Projects

A new transfer station (estimated completion Fall 2024) and major renovations at the wastewater treatment plant.

Financing Software

The Town of Colton utilizes manual check register/excel methods for multiple departments, Bookkeeping utilizes Williamson Law Accounting Program (and prepares the annual financial report to the NYS Comptroller), and the Town Board review and approve financial records for the Town monthly.

Purchasing

The Town follows a procurement policy, amended as of 2018, for all purchasing opportunities and decisions.

The Town does not utilize purchase orders.