

# Request for Proposal Professional Auditing Services



Exclusively for  
Cortland County

January 6, 2012



Benefit Consulting Group, Inc.  
5232 Witz Drive  
North Syracuse, New York 13212  
Telephone: 315.474.1707  
Facsimile: 315.478.1502  
[www.bcgny.com](http://www.bcgny.com)

*Disclaimer: This document contains confidential information and is protected by law. If you are not the intended recipient, any disclosure, copying, or distribution of this material or the taking of any action based on it, is strictly prohibited and may be unlawful.*



## I. Introduction

On behalf of Cortland County (the County), Benefit Consulting Group (BCG) is managing a Request for Proposal initiative for auditing services. Specifically, the County is requesting proposals from qualified firms of certified public accountants to audit its financial statements in accordance with GASB Statement 32 for the plan years ending on or after December 31, 2010 and December 31, 2011.

The County is in receipt of correspondence dated June 24, 2011 and October 19, 2011 (letters enclosed) from the Executive Director at the NYS Deferred Compensation Board and it provides detailed information as to the basis behind the request and the County's obligation for compliance. The primary focus at this time is completing an audit for the plan year ending December 31, 2010. Although the audit for plan year ending December 31, 2011 may be completed within twelve months after the end of the plan year, the County would be interested in pursuing the most cost effective approach for managing both time periods.

## II. General Information

- There is no expressed or implied obligation for the County to reimburse responding firms for any expenses incurred in preparing a proposal in response to this request.
- Any inquiries concerning the request for proposals should be addressed to:

Larry Fisher  
Benefit Consulting Group  
5232 Witz Drive  
N. Syracuse, NY 13212  
315-413-4475  
[lfisher@bcgcnny.com](mailto:lfisher@bcgcnny.com)

- To be considered, one (1) original and three (3) complete copies of the proposal should be submitted to the attention of Larry Fisher at Benefit Consulting Group no later than 2:00 p.m. on **Friday, February 3, 2012**. Proposals received after this deadline will not be considered and will be returned to the proposer unopened. The County reserves the right to reject any or all proposals submitted.
- During the evaluation process, the County reserves the right, where it may serve the County's best interest, to request additional information or clarification from proposers, or to allow corrections of errors or omissions. At the discretion of the county, firms submitting proposals may be requested to make oral presentations as part of the evaluation process.
- The County reserves the right to retain all proposals submitted.



**BENEFIT FROM  
OUR STRATEGIES**

### III. Proposal Format & Required Responses

To enable the County to compare the proposals received, we ask that your response include the information below, in the sequence listed.

#### Response Form

##### Company Profile

- 1.) Legal name of the organization
- 2.) dba if different from above
- 3.) Principal location
- 4.) Primary contact & title
- 5.) Home office

The undersigned proposes to provide information required as set forth in this Request for Proposal. By signing and submitting this response form for consideration by Cortland County, you acknowledge you have read, understand and agree to all aspects of the specifications as presented without reservation or alteration.

I certify that I am authorized to sign this proposal binding, myself or the company or firm I represent, to a contract with Cortland County. This signed proposal will become part of a binding contract after award by Cortland County to the successful bidder.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Typed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date



## BENEFIT FROM OUR STRATEGIES

### Questionnaire

- 1.) How long has your company been in business and what are its top three areas of specialty? (Please provide % for each).
- 2.) What are your firm's qualifications and experience for performing the financial statement audit relative to deferred compensation plans, in accordance with GASB Statement 32?
- 3.) How many deferred compensation plan audits and reviews have your firm performed?
- 4.) For the firm's office that will be assigned responsibility for the audit, list the most significant engagements (maximum of 5) performed over the past three years that are similar in nature to the engagement described in this request for proposal.
- 5.) What additional benefits or services are included in your deferred compensation plan review service?
- 6.) Are you now, or have you ever been sanctioned by the State of New York for employment or contract violations? If yes, please explain.
- 7.) Please provide a detailed work plan, including an explanation of the audit methodology to be followed, to perform the scope of service being requested.
- 8.) Does your firm have any conflict of interest with regard to any of the work being requested?
- 9.) Please provide a copy of your firm's most recent external quality control report confirming the firm has a record of quality audit work.
- 10.) Please confirm the firm's professional personnel have received adequate continuing professional education within the past two years to conform to Government Audit Standards.
- 11.) Please provide at a minimum, three references whereby similar audits were performed for Public Sector employers.
- 12.) Please provide a detailed proposal for fees to perform the requested services. Hourly, flat-fee, fee-based, other, and are you proposing services for plan year ending 2010 or also plan year ending 2011? If proposing for both plan year audits, please list fees separately.