

**MONTGOMERY COUNTY PURCHASING DEPARTMENT
COUNTY ANNEX BUILDING, P.O.BOX 1500
FONDA, NEW YORK 12068-1500**

**REQUEST FOR PROPOSAL
COMPREHENSIVE REVIEW OF THE DEPARTMENT OF SOCIAL SERVICES**

The County of Montgomery is requesting proposals for an engagement from March 1, 2024 through December 31, 2024 from certified public accounting firms to provide audit, accounting and management advisory services to the County.

All proposers must comply with the provisions of the General Municipal Law and all other applicable laws. The County reserves the right to reject any or all proposals.

The County reserves the right to request an interview of proposer(s) prior to award. All questions of sufficiency of the proposal shall be decided upon by the evaluation committee herein.

Proposals should be secured in a sealed envelope with the notation "PROPOSAL FOR COMPREHENSIVE REVIEW OF THE DEPARTMENT OF SOCIAL SERVICES". One original and two complete copies are required to be delivered to the county.

Proposals will be accepted at the Montgomery County Purchasing Buyer, c/o Jaclyn Doin, Purchaser, 20 Park Street, Room 109, P.O. Box 1500, Fonda, NY 12068 until Thursday, February 15th at 2pm.

This institution is an Equal Opportunity Provider and Employer. To file a complaint of discrimination, write: USDA, Director, Office of Civil Rights, 1400 Independence Ave., S.W., Washington, D.C. 20250-9410, or call (800) 795-3272 (voice) or (202) 720-6380 (TDD).

INSTRUCTIONS TO PROPOSERS

The proposer hereby agrees to the provisions of Section 103-a of the General Municipal Law which requires that upon the refusal of a person, when called before a grand jury to testify concerning any transaction or contract had with the state, any political subdivision thereof, a public authority or with any public department, agency or official of the state or of any political subdivision thereof or of a public authority, to sign a waiver of immunity against subsequent criminal prosecution or to answer any relevant questions concerning such transaction or contract,

(a) such person, any firm, partnership or corporation of which he/she is a member, partner, director or officer shall be disqualified from thereafter selling to or submitting bids to or receiving awards from or entering into any contracts with any municipal corporation or any public department, agency or official thereof, for goods, work or services, for a period of five years after such refusal, and

(b) any and all contracts made with any municipal corporation or any public department, agency or official thereof, since the effective date of this law, by such person, and by any firm, partnership, or corporation of which he/she is a member, partner, director or officer may be cancelled or terminated by the municipal corporation without incurring any penalty or damages on account of such cancellation or termination, but any monies owing by the municipal corporation for goods delivered or work done prior to the cancellation or termination shall be paid.

The contractor or proposer to whom a contract shall be let, granted or awarded is prohibited from assigning, transferring, conveying, subletting or otherwise disposing of the same or of his/her right, title or interest therein or his/her power to execute such contract, to any other person or corporation, except as provided in Section 103 of the General Municipal Law.

The contractor or proposer to whom a contract shall be let, granted, or awarded shall comply with all rules and regulations of the Americans with Disabilities Act (ADA) and the Equal Employment Opportunity Commission (EEOC).

- **GENERAL INFORMATION**

- This RFP constitutes only an invitation to make a proposal to Montgomery County. The County may, at its discretion, implement the following rights and conditions in regards to the RFP. All respondents to the RFP shall accept and agree to the following conditions.
- Montgomery County is requesting proposals from qualified firms who can provide a full agency comprehensive review and evaluation of Montgomery County Department of Social Services.
- All costs incurred by the proposer in relationship to the preparation of the RFP (evaluation, selection, negotiations, etc.) are the responsibility of the Proposer.
- The County has the right to select the Proposer who best satisfies the interests of the County and is most responsive to the RFP.
- Montgomery County reserves the right to reject any or all proposals in whole or in part. The RFP does not obligate the County to procure or contract for any services whatsoever.
- All proposals become the property of the County and will not be returned.
- The County will reject and return unopened, any proposals not received by the deadline date and time or may extend the deadline date for submission of proposals and modify schedule dates.
- All contracts shall be considered null and void if County appropriations to fund the implementation or continuance of a contract are not approved by the Montgomery County Legislature.

SECTION 1: PURPOSE:

- 1.1 Montgomery County Department of Social Services is seeking proposals from qualified firms who can provide a full agency comprehensive review and evaluation of Montgomery County Department of Social Services. This review will be performed to ensure that all policies, procedures, and compliance including all internal controls are adhered to. Consulting services will be required as needed for guidance and will include review of existing processes as well as implementations, evaluations and advice on policies, procedures, process enhancements, and any management requests for reviews or areas in need.

All qualified Request for Proposal respondents should be able to demonstrate an understanding of policy processes and procedures with the ability to provide recommendations. The County issues this Request for Proposal (RFP) in order to establish a contract for the provision of these services.

SECTION 2: SCOPE OF SERVICES FOR THE REQUESTED REVIEW AND RECOMMENDATION PROCESS:

- 2.1 The following is an overview of the services that this RFP is requesting. This is just an overview, any services listed may or may not be required. We are looking for firms to provide at a minimum, these services, and any necessary related services throughout the process:
- Provide expertise in the process of a comprehensive procedure review within the organization
 - Review existing policies to determine compliance and effectiveness
 - Policy alignment with current strategies and priorities
 - Identify any key gaps
 - Assess staffing levels (both budgeted and actual) to determine the most appropriate level of staffing to support each fiscal and funding unit
 - Assuring policies are achieving the intended goal, compliance and mandates
 - Testing and evaluation of one or more areas of the County's internal controls
 - Cross-reference existing policies with applicable regulations from various regulatory bodies to ensure they are compliant with current regulations, and that existing processes match/adhere to policy
 - Prepare reports and make recommendations for strengthening internal controls and reducing identified risks

- **TERM OF CONTRACT:**

The term of the contract will be from March 1, 2024-December 31, 2024.

- **EVALUATION OF PROPOSALS**

Proposals will be evaluated and the firm for this project will be selected according to the following criteria:

- Technical Capacity – technical skills of the accounting firm
- Staff Experience – relevant experience of staff member(s) who will be assigned, including the assignment of senior personnel as evidence of the firm’s commitment to provide it best quality service under this engagement
- Familiarity with County Government – prior experience of the firm with county governments.
- Other Experiences – range of experience auditing New York municipalities, other municipal entities outside New York State and U.S. corporations.
- Cost of Services – total cost for all services, including all expenses.

- **PROPOSAL SUBMITTALS**

Qualified accounting firms that wish to be considered must submit the following materials together with any additional information which may be deemed to be useful:

- Description of the firms’ range of services, which they are qualified to provide.
- Outline of previous experience with similar projects. (Please supply references with proposal). Particular emphasis will be placed on experience with other county governments.
- The proposed staffing pattern and resumes of key staff members who will be involved with the project.
- Price per hour for each service listed and a maximum total cost of all services, including all expenses, for each year of the engagement.
- Any other services that can be furnished on a fee for service basis by the proposer should be submitted with your proposal for future reference.

**FORM A
CHECKLIST**

Answer
Yes or No

- | | |
|-------------------------------------------------------------------------------------------------|-------|
| 1. I have read ALL of the instructions and specifications. | _____ |
| 2. I have filled in ALL blank spaces and supplied one original and 2 copies of the proposal. | _____ |
| 3. I have furnished all required information. | |
| • Form A – Checklist | _____ |
| • Form B – Proposal Form | _____ |
| • Form C- Statement of Qualifications | _____ |
| • Form D – Non-Collusion Certification | _____ |
| • Form E – Receipt of Addenda | _____ |
| • Form F – Sexual Harassment Prevention | _____ |
| 4. I am an officer of the company. | _____ |
| 5. I have the express authority to obligate my company under the laws of the State of New York. | _____ |
| 6. I am returning the original Proposal sheet. | _____ |
| 7 I have made copies for my record. | _____ |

END OF SECTION-FORM A

**FORM B
PROPOSAL FORM**

TO: MONTGOMERY COUNTY PURCHASER
COUNTY ANNEX BUILDING
20 PARK STREET, P.O. BOX 1500
FONDA, NY 12068

The undersigned, having a principal place of business as indicated below, and being responsible for the same, agrees to furnish to Montgomery County the services listed at the price(s) herein stated, in accordance with the specifications annexed to the proposal.

- Please sign and attach the Non-Collusion Certification to the proposal.
- All proposals must be firm for 120 days
- Delivery to be within the time specified herein, after receipt of notification of award.
- The County reserves the right to reject any or all proposals.

I, _____, doing business as, _____,
(Owner's name) (Business Name)

and located at _____, in the _____ of _____
(Business street address) (City, Town, Village)

and the state of New York, do hereby submit this proposal in response to an invitation to a request for proposal for recycling services in the agreement with the scope of work as described in the request for proposal as set forth . I hereby understand that the County of Montgomery reserves the right to reject any or all proposals.

Total for Years 1-3 _____

Year 4 _____

Year 5 _____

If successful, a “Certificate of Insurance” naming the County as an Additional Insured will be provided, from an insurance company licensed to do business by New York State, will be provided within ten working days after notification of the award.

By: Name _____
 Signature _____
 Company _____
 Title _____

END OF SECTION-FORM B

FORM C
Statement of Qualifications

STATEMENT OF QUALIFICATIONS AND SUBMITTAL
REQUIREMENTS

1. **Information which demonstrates the proposer's experience in transporting single stream recyclables for processing:**

2. **A clear and concise statement describing the Proposer's approach to the work, including anticipated staffing and equipment to be provided.**

3. **Identify all assumptions and appropriate contingencies:**

4. **References:**

(Name)

(Address)

(Contact Number)

(Name)

(Address)

(Contact Number)

(Name)

(Address)

(Contact Number)

END OF SECTION-FORM C

FORM D
NON-COLLUSION CERTIFICATION

By submission of this proposal, each proposer and each person signing on behalf of any proposer certifies, and in the case of a joint proposal, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of their knowledge and belief:

1. The prices in this proposal have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition as to any matter relating to such prices with any other proposer or with any competitor;
2. Unless otherwise required by law, the prices which have been quoted in this proposal have not been knowingly disclosed by the proposer and will not knowingly be disclosed by the proposer prior to opening, directly or indirectly, to any other proposer or to any competitor; and
3. No attempt has been made or will be made by the proposer to induce any other person, partnership, or corporation to submit or not to submit a proposal for the purpose of restricting competition.

Proposer Company:

By: _____
Name/Title

END OF SECTION-FORM D

FORM E
Receipt of Addenda

By signing the following statement, the Proposer acknowledges receipt of addenda concerning this RFP. Any addenda issued by Montgomery County will be transmitted to all Proposers on the County's List of Proposers receiving this RFP and any other party requesting a copy of the RFP.

Failure to receive addenda does not relieve the Proposer from responsibility of complying with all terms and conditions set forth in this RFP and subsequent addenda.

Addenda #1 Date: _____ Signed: _____

Addenda #2 Date: _____ Signed: _____

Addenda #3 Date: _____ Signed: _____

END OF SECTION-FORM E

FORM F
Sexual Harassment Prevention Certification

SEXUAL HARASSMENT PREVENTION POLICY AND TRAINING CERTIFICATION

Firm Name _____

Business Address

Telephone Number _____

Date of Bid _____

Certification

The bidder certifies under the penalty of perjury that the bidder has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment training to all of its employees in compliance with Department of Labor regulations.

Signature (Authorized)

Title _____

END OF SECTION-FORM F