



TOWN OF TRUMBULL, CONNECTICUT

**REQUEST FOR PROPOSAL (RFP)
SPECIAL FORENSIC AUDIT SERVICES
TRUMBULL HIGH SCHOOL LIKE NEW RENOVATION PHASE I & II**

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RFP #5971

DUE: MARCH 6, 2013 AT 3:00 PM

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I. INTRODUCTION

A. GENERAL INFORMATION

The Town of Trumbull (herein after referred to as “Town”) requests proposals from qualified independent and certified fraud examiners (herein after referred to as “firms”, “auditor”, “proposers”, or “responders”) with CPA credentials, to conduct a “Special Forensic Audit” for the Town relating to the activities and accounts of the Trumbull High School Like New Renovation (Phase I & II) which took place from May 2008 to the present and as detailed in the scope of work contained herein. The certified public accounting firm selected must have an established capability to perform forensic accounting procedures for municipalities and to conduct a forensic investigation of construction activity and support subsequent legal action if required on behalf of the Town. Additionally, the selected firm shall utilize the services of qualified professional engineers and or construction professionals who specialize in reviewing design and construction procedures specifically related to school construction within the State of Connecticut.

There is no express or implied obligation for the Town to reimburse responding firms for any expenses incurred in preparing or submitting proposals in response to this request.

A voluntary pre-proposal conference for all firms interested in submitting a proposal will be held on February 20, 2013 at 2:00 PM in the Long Hill Conference Room at the Trumbull Town Hall to answer questions about this request. Please confirm your plans to attend with the Town Purchasing Agent – Mr. Robert Chimini (203)452.5042 or rchimini@trumbull-ct.gov prior to February 20, 2013.

In the event that the selected respondent(s) fails to execute a contract with the Town within fifteen (15) days after notification of an award by the Town the Town may cancel the Award without penalty and reconsider other proposals submitted for this request or solicit new proposals.

The successful respondent(s) shall not be allowed to assign the contract or delegate any responsibilities or duties to any third party without prior express written consent of the Town.

Proposals submitted shall be evaluated by the First Selectman, Finance Director, Director of Public Works, Purchasing Agent, and other designated Town Officials. During the evaluation process, the Town reserves the right, where it may serve the best interest of the Town, to request additional information from proposers, or to allow corrections of errors or omissions. At the discretion of the Town, firms submitting proposals may be requested to make oral presentations as part of the evaluation process.

The Town reserves the right to retain all proposals submitted and to use any elements of a proposal regardless of whether that proposal is selected. Submission of a proposal indicates acceptance by the firm of the conditions contained in this request, without limitation, unless specifically noted in the proposal submitted and confirmed in the contract between the Town and the selected firm.

B. PREPARATION OF PROPOSALS

1. One (1) ORIGINAL and **six (6)** EXACT COPIES of your proposal shall be submitted. All proposals should be submitted in a clear, concise and legible manner to permit proper evaluation.

2. Proposers may also submit, under separate cover with their proposal, any additional reports and documents that are necessary to meet the requirements (deliverables) of this request.
3. If a proposal does not meet or better the required specifications on all points that must be outlined in a letter otherwise it will be presumed that a proposal is in accordance with the required specifications.

C. PROPOSAL SUBMISSION

Proposals are to be submitted in a sealed envelope and addressed as follows:

RFP #5971

Attention: Robert J. Chimini

Purchasing Agent

Town of Trumbull

5866 Main Street, Trumbull, CT 06611

No oral, telephone or telegraphic responses will be considered. Proposals received after the advertised time and date due shall not be opened or considered. Please be advised that the person(s) signing the formal proposal must be authorized to contractually bind your firm with regard to prices and related contractual obligations.

D. PROPOSAL TIME

1. Proposals shall be received at the office of the Purchasing Agent, Trumbull Town Hall, prior to the advertised hour. Any proposal received after that time will not be opened or considered.
2. A proposal may be withdrawn at any time prior to the above scheduled date.

E. TOWN OPTIONS

The Town reserves the right to reject any or all proposals and to waive any requirements, irregularities, technical defects or service therein when it is deemed to be in the best interest of the Town.

F. TAXES

All purchases made by the Town, and associated with the award of this requirement shall be tax exempt. Any taxes must not be included in proposal prices. A Town Tax Exemption Certificate shall be furnished upon request.

G. INQUIRIES

All inquiries regarding the technical or accounting nature of this request may be directed to all other questions may be directed to **Robert J. Chimini, Purchasing Agent 203-452-5042** rchimini@trumbull-ct.gov . No questions will be responded to after March 1, 2013. To ensure consistent interpretation of certain items, answers to questions the Town deems to be in the interest of all proposers will be made available in writing or by Fax as appropriate to all proposers.

Additionally, after proposals are received, the Town reserves the right to communicate with any or all of the proposers to clarify the provisions of this request. The Town further reserves the right to request additional information at any time after proposals are opened.

H. AWARD AND AUTHORITY

The purchasing authority of the Town shall issue notification of award in writing.

I. PRICING

All pricing quoted shall remain firm fixed for a period of one (1) year from date of proposal opening. Special Consideration will be given to responses with extended firm price dates.

J. ASSIGNMENT OF RIGHTS, TITLES, AND INTERESTS

Any contractor or subcontractor of the Town offers and agrees to assign to the public purchasing body all rights, title and interest in and to all causes of action it may have under Sec. 4 of the Clayton Act, 15 U.S.C. Section 15 or under Chapter 624 of the General Statutes of Connecticut arising out of the purchase of services, property or intangibles of any kind pursuant to a public purchase contract or subcontract. This assignment shall be made and become effective at the time the public purchasing body awards or accepts such contract, without further acknowledgment by the parties.

Any assignment or subcontracting for work to be performed related to this request, in whole or in part, and any other interest in conjunction with Town procurement shall not be permitted without the express written consent of the Town of Trumbull.

K. HOLD HARMLESS CLAUSE

Any contractor or subcontractor of the Town agrees to indemnify, hold harmless and defend the Town from and against any and all liability for loss, damage or expense which the Town may suffer or for which the Town may be held liable by reason of injury, including death, to any person or damage to any property arising out of or in any manner connected with the operations to be performed under this request and subsequent Contract, whether or not due in whole or in part of any act, omission or negligence of the Town or any of its representatives or employees.

L. WORK REGULATIONS AND STANDARDS

All work activities performed in association with this request must be performed and completed for the Town in accordance with current Federal State and Local regulations. All services performed shall also conform to the latest OSHA standards and/or regulations.

M. INSURANCE

The successful proposer shall provide the Town Purchasing Agent with a Certificate of Insurance before work commences. The Town shall be named as an additional insured with an Insurance Company licensed to write such insurance in Connecticut, against the following risks and in not less than the following amounts: **SEE APPENDIX B of this Request for specific information regarding Insurance requirements.**

N. ADDENDUMS

It is the responsibility of all proposal submitters to verify with the Town if any addendums or changes to this have been. All and any addendums will be posted on the Town of Trumbull – Purchasing department website. www.trumbull-ct.gov .

O. CONTACTS AND KEY PERSONNEL

The Auditor's principal contact with the Town shall be with the Director of Finance, or its designated representative(s), who will coordinate the assistance to be provided by the Town to the Auditor.

A list of key personnel associated with this request is as follows:

Timothy M. Herbst, First Selectman	(203)452-5005
Ralph Iassogna, Superintendent of Schools	(203)452-4301
Maria Pires, Director of Finance	(203)452-5013
John Ponzio, Town Treasurer	(203)452-5012
John Marsilio, Director of Public Works	(203)452-5045
Robert Chimini, Purchasing Agent	(203)452-5042
Dawn Savo, Assistant Finance Director	(203)452-5011
Dan Martin, Accounting Manager	(203)452-5010
James Nugent, Building Committee Chairman	(203)452-5011
Brian Holmes, Assistant VP, O&G Industries	(860)489-9261
Andrew Ashforth, A.P. Construction	(203)359-4794
James LaPosta, JCJ Architects, Inc	(203)247-9226
George Wiles, Wiles Architects	(203)366-6003
Al Barbarotta, AFB Construction Mgmt.	(203)275-8370
Jeffrey Donofrio, Building Committee Atty.	(203)239-9828

Contact information for additional personnel shall be provided upon request.

II. DESCRIPTION OF SERVICES REQUIRED

A. Scope of Work to be Performed

1. The auditor shall perform such forensic accounting procedures as necessary to identify and quantify any and all abnormal contractual or financial activity, past or present relating to the execution of the aforementioned Trumbull High School Like New Renovation (Phase I & II), from May 2008 to the Present.
2. After completion of the service contracted within this request, further forensic investigation may be requested. Furthermore, the auditor must be available as an expert witness to support legal action for asset recovery restitution on behalf of the Town or its insurer. Compensation for these services should be quoted on the proposal form.
3. During the course of the initial investigation, the scope of work may be further expanded or altered at the recommendation of the auditor, with written approval by the Town. Such changes would be subject to stated limitations on supplemental expenditures at rates quoted in Appendix C.
4. After completion of the service contracted within this request, further forensic investigation may be requested. Furthermore, the auditor shall be available as an expert witness to support legal action for asset recovery or restitution on behalf of the Town its insurer. The compensation for these services should be quoted in Appendix C.

B. Reports to be issued

1. Following the completion of the audit, the auditor shall issue a written report communicating all discovered abnormal activity, past or present, its quantification, cause and consequence.
2. Immediately upon completion of the Forensic Audit, the auditor shall orally report its findings to the First Selectman.
3. For the forensic activity so engaged, the auditor will be required to quantify and document its results to a level sufficient to enable the Town to collect any potentially recoverable losses.
4. It is further expected that the auditor will advise and recommend to the Town appropriate actions to prevent future abnormal activities relating to forthcoming contracts of a similar nature.
5. All working papers and reports must be retained, at the auditor's expense for a minimum of seven (7) years unless the firm is notified by the Town in writing to extend that time period. In addition the auditor shall respond to reasonable inquiries of successor auditors and allow successor auditors to review working papers relating to matters of continuing accounting and contractual significance.

III ASSISTANCE PROVIDED TO AUDITOR AND REPORT PREPARATION

A. Data and Other Pertinent Information to be provided by the Town of Trumbull

The Finance and Purchasing Department staff shall be available during the audit to assist the Auditor by providing information, documentation and explanations as required by the Auditor. The staff of the Town of Trumbull shall provide the following to the Auditor the following:

1. All Engineering Specifications related correspondence.
2. All bid documentation and responses.
3. All contracts and related documentation.
4. All pertinent minutes of the Trumbull High School Building Committee for the time period audited.
5. Detail of vendor payment requests, supporting documentation and related account activity.
6. All change order activity – requests, correspondence, inspection reports, etc.
7. Any and all other information, reports, correspondence, records and documentation deemed necessary and/or appropriate by the auditor to fully complete the tasks contained herein.

B. General

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

IV NATURE OF SERVICES REQUIRED OF AUDITOR

A. General – Technical Proposal

1. The purpose of the technical proposal is to demonstrate the qualifications, competence and capacity of the firms seeking to undertake an independent audit of the Trumbull High School Like New Renovation Project (Phase I & II) in conformity with the requirements of this request for proposals. As such, the substance of proposals will carry more weight than their form or manner of presentation. The technical proposal should demonstrate the qualifications of the firm and of the particular staff to be assigned to this engagement. It should also specify an audit approach that will meet the request for proposals requirements.
2. The technical proposal should address all the points outlined in the request for proposals (excluding any cost information, which should only be included in Appendix D). The proposal should be prepared simply and economically, providing a straightforward, concise description of the proposer's capabilities to satisfy the requirements of the request for proposals. While additional items may be presented, the following subjects, items Nos. 2 through 8, must be included. They represent the criteria against which the proposal will be evaluated.

B. Professional Qualifications Required

1. General Requirements

Firms submitting proposals must be qualified to perform independent audits of municipalities of the State of Connecticut and have certification in financial forensics (CFF) as well as Certified Fraud Examiner (CFE). The firm must have been engaged during the last five (5) years, as independent Forensic Auditors. The selected firm shall be retained for the express purpose of rendering an opinion on the activity and procedures related to the design, construction and management of the Trumbull High School Like New Renovation Project (Phase I & II) from May 2008 to the present.

2. Independence

- a. The firm should provide an affirmative statement that it is independent of the Town of Trumbull as defined by generally accepted accounting standards and the U.S. Comptroller General's Government Auditing Standards.
- b. The firm should also list and describe the firm's professional relationships involving the Town of Trumbull 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.
- c. In addition, the firm shall give the Town of Trumbull written notice of any professional relationships entered into during the period of this agreement.

3. License to Practice in Connecticut

An affirmative statement should be included indicating that the firm and its municipal partner are qualified to practice in Connecticut.

4. Firm Qualifications and Experience

- a. The proposal should state the size of the firm, the size of the firm's forensic 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.
- b. The firm shall also provide information on the results of the firm's latest federal or state desk reviews or field reviews of its audits. In addition, the firm shall provide information on 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.

5. Partner, Supervisory and Staff Qualifications and Experience

- a. The firm should identify the principal supervisory and management staff, including engagement partners, managers, other supervisors and specialists, who would be assigned to the engagement and indicate whether each such person is licensed to practice as a certified public accountant in Connecticut. The firm shall also list all credentials that indicate its ability to conduct a forensic audit and shall indicate how the quality of staff over the term of the agreement will be assured. Ideally, the firm selected firm shall have staff or available consultants with experience in reviewing plans for sewer design and construction.
- b. The proposer should identify the extent to which its staff reflects the Town of Trumbull's commitment of Affirmative Action.
- c. Engagement partners, managers, other supervisory staff and specialists may be changed if those personnel leave the firm, are promoted or are assigned to another office. These personnel may also be changed for other reasons with the express prior

written permission of Town of Trumbull. However, in either case, the Town of Trumbull retains the right to approve or reject replacements.

- d. Consultants and firm specialists mentioned in response to this request for proposals can only be changed with the express prior written permission of the Town of Trumbull, which retains the right to approve or reject replacements.
- e. Other audit personnel may be changed at the discretion of the proposer provided that replacements have substantially the same or better qualifications or experience.

6. Similar Engagements with Other Government Entities

For the firm's office that will be assigned responsibility for the audit, list the most significant engagements (maximum of 5) performed in the last five years that are similar to the engagement described in this request for proposals. These engagements should be ranked on the basis of total staff hours. Indicate the scope of work, date, engagement partners, total hours, and the name and telephone number of the principal client contact.

7. Audit Approach

The proposal should set forth a work plan, including an explanation of the audit methodology to be followed, to perform the services required in Section IV of this request for proposal

8. Identification of Anticipated Potential Audit Problems

The proposal should identify and describe any anticipated potential audit problems, the firm's approach to resolving these problems and any special assistance that will be requested from the Town of Trumbull.

C. Work Paper Retention and Access to Working Papers

All working papers and reports of the selected firm shall be retained, at the auditor's expense for a minimum of seven (7) years unless the firm is notified by the Town in writing to extend that time period. In addition the auditor shall respond to reasonable inquiries of successor auditors and allow successor auditors to review working papers relating to matters of continuing accounting and contractual significance.

D. Proposal Requirements - Format

The following material is required by TBD for a proposing firm to be considered:

The Proposal and six (6) copies are to include the following:

I Title Page

Title page showing the request for proposal's subject; the firm's name; the name, address and telephone number of a contact person; and the date of the proposal.

II Table of Contents

III Transmittal Letter

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 best qualified to perform the engagement and a statement that the proposal is a firm and irrevocable offer for the period covered.

IV Detailed Proposal

The detailed proposal should follow the order set forth in Section VI B of this request for proposals.

V Guarantees and Warranties

- a. Executed copies of Proposer Guarantees and Proposer Warranties attached to this request for proposals (Appendix A).
- b. The proposer shall submit an original and six (6) copies of a dollar cost proposal attached to this request for proposals (Appendix C).
- c. Proposers should send the completed proposal consisting of the two (2) separate envelopes to the following address:

Mr. Robert Chimini, Purchasing Agent
Town of Trumbull
5866 Main Street
Trumbull, CT 06611

Envelope #1: Technical Proposal

Envelope #2: Sealed Dollar Cost Proposal

V. TIME AND FEE REQUIREMENTS

A. Report Submissions

The Auditor will issue reports addressed to the Town of Trumbull by mutually agreed to date. The final report and 10 signed copies shall be delivered to:

Timothy M. Herbst, First Selectman
Town of Trumbull
5866 Main Street
Trumbull, CT 06611

B. Dollar Cost Proposal

1. Total All-Inclusive Maximum Price

- a. The dollar cost proposal should contain all pricing information relative to performing the audit engagement as described in this request for proposals. The total all-inclusive maximum price to be proposed is to contain all direct and indirect costs including all out-of-pocket expenses.
- b. The proposed pricing shall cover the audit of the Trumbull High School Like New Renovation Project (Phase I & II) and cover the entire design and construction period to its final phase.
- c. The Town of Trumbull will not be responsible for expenses incurred in preparing and submitting the technical proposal or the dollar cost proposal. Such costs should not be included in the proposal.

2. Fixed Fees by Category.

The dollar cost proposal should include a schedule of professional fees and expenses, presented in the format provided in the attachment (Appendix C) that supports the total all-inclusive price.

3. Rates for Additional Professional Services

If it should become necessary for the Town of Trumbull to request the auditor to render any additional services requested in this request for proposals or to perform additional work as a result of the specific recommendations included in any report issued on this engagement, then such additional work shall be performed only if set forth in an addendum to the contract between the Town of Trumbull and the firm. Any such additional work agreed to between the Town of Trumbull and the firm shall be performed at the same rates set forth in the schedule of fees and expenses included in the dollar cost proposal in Appendix C.

4. Manner of Payment

Progress payments will be made on the basis of hours of work completed during the course of the engagement in accordance with the firm's dollar cost proposal. Interim billings shall cover a Period of not less than a calendar month.

VII SELECTION PROCESS

A. Selection Committee

A committee (selected but the First Selectman) shall make its recommendation to the First Selectman for final approval and any other Town committees as may be required by Town Charter.

B Evaluation Criteria

The following represent the principal selection criteria that will be considered during the evaluation process of proposals.

1. Mandatory Elements

- The audit firm is independent and licensed to practice in Connecticut.
- The audit firm's professional personnel have received adequate continuing professional education within the preceding three years.
- The firm has no conflict of interest with regard to any other work performed by the firm for the Town.
- The firm submits a copy of its most recent external quality control review report and the firm has a record of quality audit work.
- The firm adheres to the instructions in this request for proposals on preparing and submitting the proposal.
- The firm shall submit one copy of at least two General Purpose Financial Statements issued by Connecticut municipalities in which their opinion is contained.

2. Technical Qualifications

- Expertise and Experience:
- The firm's past experience and performance on comparable government engagements.
- The quality of the firm's professional personnel to be assigned to the engagement and the quality of the firm's management support personnel to be available for technical consultation.
- Experience with the preparation of federal and state financial assistance and related reports.
- Audit Approach

- Service Delivery Plan: Describe how the firm intends to conduct the audit in the first year versus subsequent years. Describe the service delivery system including what who, will do, how and where. Provide detail on staffing requirements. Describe how the services will be coordinated and monitored and how access to them will be ensured through entrance conferences, progress reporting, and exit conferences.

3. Price

Cost will not be the primary factor in the selection of an audit firm.

4. Oral Presentations

During the evaluation process, the Finance Committee of the Town Council may, at its discretion, request any one or all firms to make oral presentations. Such presentations will provide firms with an opportunity to answer any questions the Committee may have on a firm's proposal. Not all firms may be asked to make such oral presentations.

5. Final Selection

The First Selectman shall recommend a firm for approval to the Town Council. Following notification of the firm selected, it is expected a contract will be executed between both parties within thirty (30) days of approval.

6 Right to Reject Proposals

Submission of a proposal indicates acceptance by the firm of the conditions contained in this request for proposals unless clearly and specifically noted in the proposal submitted and confirmed in the contract between the Town and the firm selected.

The Town reserves the right without prejudice to reject any or all proposals or parts thereof for any reason, to negotiate changes to proposal terms and to waive minor inconsistencies with the request for proposal.

APPENDIX A

PROPOSER GUARANTEES AND WARRANTIES

Proposer Guarantees

The proposer certifies it can and will provide and make available, at a minimum, all services set forth in Section IV, Nature of Services Required.

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 the Town of Trumbull.
4. Proposer warrants that all information provided by it in connection with this proposal is true and accurate.

Company Name

By (Signature)

Address

Print Name

Company Name

Title

Date

Telephone/Fax

APPENDIX B

INSURANCE EXHIBIT - PROFESSIONAL SERVICES

The professional individual or firm shall procure and maintain for the duration of the contract insurance against claims for injuries to persons or damages to property which may arise from, or be in connection with the performance of the work hereunder by the individual or the firm, his agents, representatives, or employees. The cost of such insurance shall be included in the proposal.

For the purpose of this clause, the term "professional individual or firm" shall also include the individual's or firm's respective officers, agents, officials, employees, volunteers, boards and commissions.

A. Minimum Scope and Limits of Insurance

1. Broad Form Comprehensive General Liability \$1,000,000 combined single limit per occurrence for bodily injury, personal injury, property damage, and products / completed operations.
2. Automobile Liability \$1,000,000 combined single limit per occurrence for bodily injury and property damage
3. Umbrella Liability \$1,000,000 per occurrence, following form.
4. Workers' Compensation Limits as required by State of Connecticut Labor Code
5. Employers' Liability \$100,000 each accident \$500,000 disease/policy limit \$100,000 disease/each employee
6. Professional Liability (if used on a claims-made basis, insurance coverage shall be maintained for the duration of the contract and for two (2) years following contract completion.) \$1,000,000 per occurrence \$1,000,000 aggregate
7. Personal Property Coverage
8. Adequate insurance to cover the value of personal property (including but not limited to, personal computers) belonging to the Auditor while located on Town property, while in use or in storage, for the duration of the contract.

B. Aggregate Limits

Any aggregate limits must be declared to and be approved by the Town. At the option of the Town, the insurer shall increase or eliminate the aggregate limit and notify the Town of any erosion of aggregate limits.

C. Deductibles and Self-Insured Retention's

Any deductibles or self-insured retention's must be declared to and be approved by the Town. At the option of the Town, the insurer shall reduce or eliminate such deductibles or self-insured retention's as regards the Town or the Auditors shall procure a bond which guarantees payment of the losses and related investigations, claims administration and defense expenses. At no time will the Town be responsible for the payment of deductibles or self-insured retention's.

D. Notice of Cancellation or Non-renewal

Each insurance policy required by this Exhibit shall be endorsed to state that coverage shall not be suspended, voided, canceled, or reduced, either in coverage or in limits, except after thirty (30) days prior written notice by certified mail, return receipt requested, has been given to the Town.

E. Other Insurance Provisions

The policies are to contain, or be endorsed to contain, the following provisions;

1. Liability, (General, Automobile, Professional) Coverage;
 - a. **"The Town of Trumbull and its respective officers, agents, officials, employees, volunteers, boards and commissions"** are to be **named as additional insured** with regards to liability arising out of activities performed by or on behalf of the Auditor; products and completed operations of the Auditor; premises owned, leased or used by

the Auditor. The coverage shall contain no special limitations on the scope of protection afforded to the Town.

- b. The Auditor's insurance coverage shall be the primary insurance as regards the Town. Any insurance or self-insurance maintained by the Town shall be in excess of the Auditor's insurance and shall not contribute with it.
 - c. Any failure to comply with the reporting provisions of the policies shall not affect coverage provided to the Town.
 - d. Coverage shall state that the Auditor's insurance shall apply separately to each insured against whom a claim is made or a suit is brought, except with respect to the limits of the insurer's liability.
2. Workers' Compensation and Employer's Liability Coverage
- a. The insurer shall agree to waive all rights of subrogation against the Town for losses arising from the work performed by the Auditor for the Town.
 - b. If State statute does not require the Auditor to obtain Workers' Compensation insurance, then the Auditor shall furnish the Town with adequate proof of the self-employment status/ The Auditor agrees to waive all rights of claims against the Town for losses arising from the work performed by the Auditor. In the event that during the contract this self employment status should change, the Auditor shall immediately furnish proper notice to the Town and a certificate of insurance indicating that Workers' Compensation insurance and Employer's Liability coverage has been obtained by the Auditor as required by this Exhibit.

F. Acceptability of Insurers

1. Insurance is to be placed with insurers which have a Best's rating of at least A.
2. Insurance companies must either be licensed to do business in the State of Connecticut or be deemed to be acceptable by the Town's Finance Director.

G. Verification of Coverage

The Auditor shall furnish the Town with certificates of insurance effecting coverage required by this clause. The certificates and endorsements for each insurance policy are to be signed by a person authorized by the insurer to bind coverage on its behalf. The certificates and endorsements are to be received and approved by the Finance Director before work commences. Renewal of expiring certificates shall be filed thirty (30) days prior to expiration. The Town reserves the rights to require complete, certified copies of all required policies, at any time.

All insurance documents required by this Exhibit shall be mailed to the Director of Finance.

Signed: _____ Title: _____

Date; _____

APPENDIX C
TOWN OF TRUMBULL, CONNECTICUT
SPECIAL FORENSIC AUDIT SERVICES FOR THE WPCA

RFP #5971

DUE: MARCH 6, 2013 at 3:00 PM

PROPOSAL

To be submitted on your firm's letterhead in a separate envelope.

Firm's Name: Location of office staffing the audit: _____

Number of Municipal professional audit Number of Municipal audit staff to be assigned staff at this location: to
Town: _____

Connecticut Municipal audit clients (FY engagements for municipalities with populations of 20,000 or more):

The Proposer, in compliance with this Request for Proposal, has examined the specifications and related documents and hereby proposes to provide this service in accordance with this RFP and any contract documents within the time frames set forth herein and at prices agreed to.

SCHEDULE OF PROFESSIONAL FEES AND EXPENSES

Total Cost Proposal _____
(written amount)

_____ Dollars

Rates per hour for forensic and other services to be performed outside the specified scope contained herein:

Partner: \$ _____/hour

Manager: \$ _____/hour

Supv. Staff: \$ _____/hour

Other: \$ _____/hour

Company Name

By (Signature)

Address

Print Name

Company Name

Title

Date

Telephone/Fax

APPENDIX D

SAMPLE AUDIT SERVICES PROPOSAL LETTER (To be submitted on your firm's letterhead)

Town of Trumbull
5866 Main Street
Trumbull, CT 06611

Dear:

We have read the Request for Proposal and fully understand its intent and contents. We certify that we have adequate personnel, insurance, equipment, and facilities to fulfill the specified requirements. We understand that our ability to meet the criteria and provide the required services shall be judged solely by the Selection Committee.

We have attached the following:

1. Proposal as outlined in Section V
2. Appendix A: Proposer Guarantees and Warranties
3. Appendix B: Insurance
4. Appendix C: Fixed Fees (separate envelope).

It is further understood and agreed that all information included in, attached to, or required by the Request for Proposal shall be public record upon delivery to the Town of Trumbull.

Submitted by Date
Signature Title
Telephone