

INVITATION TO RFP

Sealed proposals, subject to the conditions contained herein, will be received by the ONEIDA COUNTY FINANCE DEPARTMENT until **2:00 P.M., local time on Monday April 9, 2018** for:

Indirect Cost Allocation Plan for Oneida County RFP- # 2018-226

Specifications **MUST be RECEIVED** from the Oneida County Finance Department, Anthony Carvelli, Commissioner of Finance, 5th Floor, 800 Park Avenue, Utica, NY 13501, Phone: 315-798-5750.

Copies of the described RFP may be examined at no expense at the Oneida County Finance Department 800 Park Avenue, Utica, NY 13501 or can be obtained at the Oneida County website at <http://www.ocgov.net> (Public notice section).

The return envelope must be clearly marked with RFP #2018-226 and addressed to the Oneida County Finance Department.

The Oneida County Commissioner of Finance and/or the County of Oneida reserves the right to reject any or all proposals received.

The County of Oneida, in order to promote its established Affirmative Action Plan, invites sealed bids from minority groups. This policy regarding sealed bids and contracts applies to all persons without regard to race, creed, color, national origin, age, sex or handicap.

Anthony Carvelli
Commissioner of Finance

Dated: February 23, 2018

A. General Information

The County of Oneida (the “County”) is requesting proposals (RFP-#2018-226) from qualified firms to perform the preparation of Indirect Cost Allocation Plan Reports and other services for the County. The Plan is to be performed in accordance with Office of Management and Budget Circular OMB A-87, and/or other applicable federal guidelines.

Proposal submissions must be received **no later than 2:00 P.M. on April 9, 2018** and should be submitted to:

Anthony Carvelli
Commissioner of Finance
County of-Oneida
800 Park Avenue
Utica, N.Y. 13501

Three (3) copies of each proposal should be received in a sealed package with the designation "SEALED PROPOSAL - INDIRECT COST (RFP-#2018-226)" conspicuously marked on the outer envelope. All proposals will be opened and logged in on the above stated date and time. All proposals submitted will be a matter of public record.

During the evaluation process, the County reserves the right, where it may serve the County’s best interest, to request additional information or clarifications from proposers, or to allow corrections of errors or omissions.

Oneida County will not be liable for any costs incurred by firms associated with the development or delivery of proposals.

Any questions concerning this Request for Proposals (“RFP”) should be directed to Anthony Carvelli, Commissioner of Finance, County of Oneida, 800 Park Avenue, Utica, N.Y. 13501, (315) 798-5750.

The County is located in Central New York. The County has a population of approximately 234,878 residents (2010 Census). County operating budgets for the year 2018 total (all appropriations) \$407,814,115 and consist of the following funds: General Fund, County Road Fund, Water Pollution Control Fund, Workforce Development Fund, Joint Activities Fund, Road Machinery Fund and the Debt Service Fund.

The current indirect cost allocation plan used by the County was developed in 2017 for FYE 2016.

B. Term of Engagement

The initial term of the agreement will cover the fiscal years ending 2017, 2018 and 2019, and may be renewable annually for two (2) additional one (1) year terms (covering the fiscal years

ending 2020 and 2021) at the sole discretion of the County. The County reserves the right to terminate the agreement at any time through the initial term (or thereafter) with appropriate notice to the successful proposer (hereinafter, the “Firm”).

C. Objective

The County desires to insure that administrative costs incurred on behalf of the federal programs operated by the County are recovered to the maximum extent possible under current guidelines. This will require adequate documentation of these costs, justification of their benefit to federal programs, accumulation of administrative overhead, and optimal allocation to programs served. Furthermore, designated personnel should be instructed in the use and application of the Plan. In addition, the County may desire the Firm to prepare a separate analysis of fully loaded overhead costs applicable to all County funds, departments, programs and special users.

D. Background

The administration of federal grants and contracts usually requires the expenditure of resources of various organizations within County government. Office of Management and Budget Circular OMB A-87 and OASC-10 and other guidelines, updates and revisions are issued to meet an expressed need for a more uniform approach to the problem of determining costs of federally aided programs. The Circular and other federal guidelines provide principles and standards for determining both direct and indirect costs applicable to federal grants and contracts with state and local governments.

The charging of joint or common costs against federal grants and contracts requires the prior preparation of cost allocation plans. Oneida County must annually prepare a countywide central serviced cost allocation plan (the “Plan”). This Plan must, in some cases, be successfully negotiated with the federal cognizant agency or state agencies. All are subject to single audit. County departments must prepare indirect cost proposals which are subject to negotiation and/or audit by program agencies.

E. Typical Expectations re: Scope of Work to be performed as typically required by the County.

1. Onsite meeting with County representatives each Plan year to review, plan, and schedule the required project activities.
2. Conduct Interviews with the Central Services Department and certain Operating Departments to develop a complete understanding of the nature and extent of services and the overall accounting structure of the County. Interact individually with department heads to obtain descriptions of services performed, review the current tracking methodologies and make suggestions on how to enhance reimbursement and/or simplify recordkeeping.

3. Develop a "Data Request Packet" designed to accumulate all financial and statistical data necessary to complete the Maintenance in Lieu of Rent Report, the Consolidated County-Wide Cost Allocation Plan and Indirect Cost Proposals.
4. Review the submitted source data for reasonableness and seek clarification regarding significant variances between the current and previous year's data.
5. Prepare the annual Maintenance in Lieu of Rent (MILOR) Report, including the final DSS MLR claim adjustment amount for the subsequent period.
6. Prepare a separate Public Health MILOR analysis to assist with State Aid claiming and in computing the revenue offset amount.
7. Prepare the annual Consolidated County-Wide Cost Allocation Plan and Indirect Cost Proposals, including final DSS A-87 claim adjustment amount.
8. May prepare and provide the County with a Cost Allocation Plan Reference Manual which accumulates all financial and statistical data, providing an audit trail and reference source.
9. May prepare a report (or reports) to management summarizing any findings.
10. Calculate as required the Indirect Cost Rates for requisite Operating Departments and the overall County Indirect Cost to comply with the cost allocation plan, and indirect cost proposals as needed by the County, necessary to determine costs of federally aided programs.
11. Calculate the overall County employees benefit percentage when necessary.
12. Provide specific claiming instructions and advice to the appropriate County officials within the MLR Report and the Consolidated County-Wide Cost Allocation Plan.
13. Quantify the results of the reports by department and by type.
14. Review the reports and documents with the appropriate County officials.

F. Reports to be Issued

Following the completion of the Plan the contractor shall typically issue no less than five (5) copies of the following reports:

1. Space Occupancy Cost Analysis Report.
2. Cost Allocation Plan Report.

If requested by the Commissioner of Finance, up to three (3) additional copies may be required at no additional charge to the County.

The Firm shall maintain full and accurate records with respect to all matters covered under the agreement. The County shall have free access at all proper times to such records and the right to examine and audit same and to make transcripts therefrom and to inspect all program data, documents, proceedings, and activities. The Firm shall furnish the County, upon request, with copies of all documents and other materials prepared or developed in relation with or as part of the project.

TIME REQUIREMENTS

A. Proposal Calendar

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

RFP Issued: February 23, 2018

Due date for Proposals: April 9, 2018

B. Notification and Contract Dates

Contract date expected on or about June 2018.

C. Reports

Final reports due typically between June 15th and October 1st (assuming sufficient data is available for the Firm to commence field work) i.e., at least sixty (60) days after the date of commencement. So it is clear, final reports are typically expected at least sixty (60) days after the date sufficient data becomes available for the Firm to commence field work - said date of commencement to be agreed by the Commissioner of Finance and the Firm, prior to the commencement of work. It is expected that beginning with the FYE 2017 reports the engagement will be commenced within one (1) month of the date the contract is signed, or as soon as practical as determined by the Commissioner of Finance and the Firm.

The Firm will assume that all financial and statistical information provided by County employees or representatives is accurate and complete. Any subsequent disallowance of funds paid to the County under the plan is the sole responsibility of the County for errors involving financial and/or statistical data provided by the County. The Firm is responsible for errors in computation or allocation of costs. The Firm will agree to defend without charge to the County the central service cost allocation plan(s) and indirect cost rates in the event of any and all audit(s).

PROPOSAL REQUIREMENTS

A. General Requirements

Inquiries - Inquiries concerning the request for proposals and the subject of the request for proposals must be made to:

Anthony Carvelli
Commissioner of Finance County of Oneida
800 Park Avenue
Utica, NY 13501

1. Submission of Proposals - The following material is required to be received by 2:00 p.m. on April 9, 2018 for a proposing firm to be considered:
 - a. Three (3) copies of the "Technical" proposal to generally include the following:
 - i. Title Page - Title page showing the request for proposals subject; the firm's name; the name, address, and telephone number of the contract person; and the date of 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.
 - iv. Detailed Proposal. The detailed proposal should follow the order set forth in the following section B of this request for proposals.
 - b. The proposer should send three (3) copies of its cost proposal as described below.
 - c. If it chooses, a proposer may send each of the completed proposals under a separate cover to the above address.

B. Proposal

1. General Requirements- The purpose of the proposal is to demonstrate the qualifications, competence and capacity of the firms seeking to undertake a services contract with the County in conformity with the requirements of this RFP. As such, the substance of proposals will carry more weight than their form or manner of presentation. The proposal should demonstrate the qualifications of the firm and of the particular staff to be assigned to this engagement. It should also specify an approach that will meet the RFP requirements.
 - a. The proposal shall be clear, concise and shall include sufficient detail for effective evaluation and for substantiating the validity of stated claims. The proposal should include a paragraph-by-paragraph response indicating how the firm will, or that it does comply with the specifications. The proposal shall provide convincing rationale to address how the firm intends to meet the requirements of the RFP.

- b. The proposal should address all the points outlined in the RFP. The proposal should be prepared simply and economically, providing a straightforward, concise description of the proposer's capabilities to satisfy the requirements of the RFP. While additional data may be presented, the following subjects, item Nos. 2 through 8, should be included. They represent the criteria against which the proposal will be evaluated.
2. Independence - The proposer should provide an affirmative statement that it is independent of the County as defined by generally accepted auditing standards, U.S. General Accounting Office's Government Auditing Standards (1994).
3. Firm Qualifications and Experience -The proposer should state the size of the its 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 professional staff to be employed in this engagement on a full-time basis and the number and nature of the staff to be so employed on a part-time basis.
 - a. The proposer shall also provide information on the results of any federal or state desk reviews or field reviews of its audits during the past three (3) years. In addition; the proposer shall provide information on the circumstances and status of any disciplinary action taken or pending against it during the past three (3) years with state regulatory bodies or professional organizations.
4. Partner, Manager and Supervisory Staff Qualifications and Experience - Identify the principal supervisory and management staff, including engagement partners, managers, other supervisors and specialists who would be assigned to the engagement. Provide information on the government auditing experience of each person, education, relevant training if applicable over the past three (3) years, and membership in professional organizations relevant to the performance of this work.
 - a. Consultants and firm specialists mentioned in response to this RFP shall only be changed with the express prior written permission of the County, which retains the right to approve or reject replacements.
 - b. Other audit personnel may be changed at the discretion of the proposer provided that replacements have substantially the same or better qualifications or experience.
5. Prior Engagements with the County, or any other county in New York State - List separately all engagements within the last three (3) years, ranked on the basis of total staff hours, for the County, or any other county in New York State, by type of engagement (i.e., audit, management advisory services, other). Indicate the scope of work, date, engagement partners, total hours, the location of the firm's office from which the engagement was performed, and the name and telephone number of the principal client contact.

6. Similar Engagements with Other Government Entities - For the proposer's office that will be assigned responsibility for the audit, list the most significant engagements (maximum-5) performed in the last two (2) years that are similar to the engagement described in this RFP. Indicate the scope of work, date, engagement partners, total hours, and the name and telephone number of the principal client contact.
7. Specific Plan Approach -The proposal should set forth a work plan, including an explanation of the methodology to be followed, to perform the services required in this RFP. In developing the work plan, reference should be made to such sources of information as the County's budget and related materials, organizational charts; manuals and programs, and financial and other management information systems.
 - a. Proposers will be required to provide the following information on their approach:
 - i. Approach to be taken to gather statistical data.
 - ii. Statistical methods employed.
 - iii. Sample Reports.
8. The services to be performed hereunder by the Firm shall be undertaken and completed in such sequence as to assure their expeditious completion and best carry out the purposes of the agreement. The Firm shall commence, carry on, and complete the project with all practicable dispatch, in a sound economical and efficient manner, in accordance with the provisions thereof, and all applicable laws. In accomplishing the project, the Firm shall take such steps as are appropriate to insure that the work involved is properly coordinated with related work being carried on in the County.
9. **NO DOLLARS SHOULD BE INCLUDED IN THE TECHNICAL PROPOSAL UNLESS THE PROPOSER CHOOSES TO DO SO.**

C. Sealed Dollar Cost Bid

1. All-Inclusive Fixed Fee - The cost proposal should contain all pricing information relative to performing the services as described in the RFP. The all-inclusive fixed fee for each fiscal year is to contain all direct and-indirect costs, including all out-of-pocket expenses.
 - a. The County 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.
 - b. The first page of the cost proposal should include the following information:
 - i. Name of proposer.
 - ii. Certification that the person signing the proposal is entitled to represent the proposer, empowered to submit the bid, and authorized to sign a contract with the County.
 - iii. A total all-inclusive fixed fee for each of the following fiscal years ending December 31, 2017, 2018 and 2019:

1. Cost/Year, completed in 2018 (FYE 2017);
 2. Cost/Year, completed in 2019 (EYE 2018); and
 3. Cost/Year, completed in 2020 (FYE 2019).
- iv. A total all-inclusive fixed fee for each of the optional two (2) additional one (1) year renewal terms for the fiscal years ending December 31, 2020 & 2021, that may be awarded at the sole discretion of the County:
1. Cost/Year, completed in 2021 (FYE 2020); and
 2. Cost/Year, completed in 2022 (FYE 2021).

- c. **Rates by Partner, Specialist, Supervisory and Staff Levels Times Hours Anticipated for Each** -A second page of the cost proposal may include a schedule of professional fees and expenses with total estimated hours that supports the total maximum price (all-inclusive fixed fee).
2. Manner of Payment - Firm will submit an invoice for its fee upon acceptance by the County of each cost allocation plan.
 3. The County 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. The County shall not be obligated or liable hereunder to any other party other than the Firm.

D. Insurance

1. The Firm shall procure and maintain insurance for claims that could arise in connection with the performance of the work performed hereunder by the Firm, e.g., claims for injuries to persons or damage to property that may arise from or in connection with the performance of the work performed hereunder by the Firm, its agent's representatives or employees.
2. Evidence of insurance, with original certificates and copies of amendatory endorsements, including but not necessarily limited to coverage for automobile liability (\$1,000,000 each accident), commercial general liability (\$1,000,000 per occurrence, \$2,000,000 annual aggregate), workers' compensation coverage (statutory limits), and professional liability insurance (\$1,000,000 per occurrence, \$2,000,000 annual aggregate) appropriate to the Firm's profession, should be submitted with the proposal.
3. Insurance coverage and limits, including evidence of professional liability insurance coverage with respect to the work performed for the County is required, will be a part of the evaluation and selection process, and should be included in the proposal.
4. The Firm shall name the County as an additional insured, and the Firm's insurance coverage shall be primary and non-contributory insurance with respect to the County. Any insurance, self-insurance, or other coverage maintained by the County shall be excess of the Firm's insurance and shall not contribute with it.

5. The Firm's insurance shall be endorsed to state that coverage shall not be cancelled by either party, except after thirty (30) days' advance written notice by certified mail, return receipt requested, has been given to the County.
6. The preference is that insurance should be placed with carriers with a current A.M. Best rating of not less than A.
7. The above are suggested minimum requirements. Insurance requirements with the Firm are subject to final negotiations at the discretion of the County.

EVALUATION PROCEDURES

A. Review Process

1. All proposals will be reviewed by the Commissioner of Finance and possibly other county personnel. The County reserves the right to waive non-material deficiencies in any proposal. Proposals will be evaluated based on what is deemed to be in the best interests of the County.
2. Selection criteria include:
 - a. Completeness and responsiveness to the requirements of the RFP.
 - b. Experience, level of involvement & expertise of key personnel.
 - c. Expertise of firm including competency in providing the services to other governmental entities including New York State municipalities.
 - d. Cost of services.
 - e. Estimated time completion.
 - f. Understanding of the project's objectives and scope as evidenced by the quality of the proposal submitted.
3. All criteria are of equal significance and proposals will be scored qualitatively using the following methodology:
 - a. Excellent = Exceeds expectations.
 - b. Good = Above expectations.
 - c. Fair = Meets expectations.
 - d. Poor = Does not meet expectations.

- e. N/R = Non-responsive
- 4. A short list of finalists may be developed and firms may be interviewed after the proposals are received.
- 5. If interviews are held, they could be expected to last at least 30-45 minutes, and the key person to be assigned to this project should be present at this interview.
- 6. The County expects to begin its review of all proposals and select the tentative Firm soon after the receipt of proposals. If necessary, the County may extend that review period;
- 7. Selection as the preferred proposal does not provide any contract rights to that Firm. Any such rights shall accrue only if and when the County and the Firm execute a binding contract. The County reserves the right to negotiate with the successful entity in any manner necessary to best serve the interests of the County. If the County fails to reach an agreement with a desired proposer, the County may commence negotiations with an alternative proposer or reject all solicitations and reinstitute the RFP process.

County of Oneida

Proposal for Indirect Cost Allocation Plan Reports

The undersigned has read, understands and agrees to comply with the requirements contained in the RFP. The undersigned submits this proposal in good faith and without collusion with any other person, individual or firm.

The proposal consists of this cover page or another with the following information:

Name and-Address of proposer:

Name, Title and Contact Information (phone, fax, email) of Authorized Representative:
Signature of Authorized Representative:

(Attach additional sheets as necessary)