



**DEPARTMENT OF
YOUTH AND
COMMUNITY
DEVELOPMENT**

Michael R. Bloomberg
Mayor

Jeanne B. Mullgrav
Commissioner

FISCAL AUDIT SERVICES

**REQUEST FOR PROPOSALS
PIN 26007FASRFP**

RFP RELEASE DATE: April 12, 2007

DEADLINE FOR PROPOSALS: May 15, 2007 at 2:00 PM

RETURN TO: Office of Contract Procurement
Department of Youth and Community Development
156 William Street, 2nd Floor
New York, New York 10038

ATTENTION: Ava B. Walker, Deputy Agency Chief Contracting Officer

PRE-PROPOSAL CONFERENCE: April 24, 2007

**PRE-PROPOSAL CONFERENCE
LOCATION:** 10:00 AM - 12:00 PM
Department of Youth and Community Development
156 William St., 2nd Floor Auditorium
New York, NY 10038

This Request for Proposals (RFP) must be obtained directly from the Department of Youth and Community Development (DYCD) in person or by downloading it from DYCD's Web site, www.nyc.gov/dycd. If you obtained a copy of this RFP from any other source, you are not registered as a potential proposer and will not receive addenda DYCD may issue after release of this RFP, which may affect the requirements and/or terms of the RFP.

**THE CITY OF NEW YORK
DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT**

**FISCAL AUDIT SERVICES
REQUEST FOR PROPOSALS (RFP)
PIN: 26007FASRFP**

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AUTHORIZED AGENCY CONTACT PERSONS

The authorized agency contact persons for all matters concerning this Request for Proposals (RFP) are:

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NOTE ON EMAIL INQUIRIES: Proposers should enter “Fiscal Audit Services RFP – PIN 26007FASRFP” in the subject line of the e-mail.

DYCD cannot guarantee a timely response to phoned-in and written questions regarding this RFP that are received less than one week prior to the RFP due date.

Proposers should note that any telephone or written response that may constitute a change to the RFP will not be binding unless DYCD subsequently issues such a change as a written addendum to the RFP.

SECTION I - TIMETABLE

A. Release Date of the Request for Proposals: April 12, 2007

B. Pre-Proposal Conference:

Date: April 24, 2007
Time: 10:00 AM – 12:00 PM
Location: Department of Youth and Community Development
2nd Floor Auditorium
156 William St.
New York, NY 10038

Attendance by proposers is optional but recommended by DYCD. Due to limited seating, DYCD requests that each organization send no more than two representatives. Please arrive at least one half hour early to be processed by building security. DYCD will start the Pre-Proposal Conference promptly at 10:00 AM.

C. Proposal Due Date and Time and Location:

Date: May 15, 2007
Time: 2:00 PM
Location: Hand-deliver proposals to: Office of Contract Procurement
Attention: Ava B. Walker
Deputy Agency Chief Contracting Officer
156 William Street, 2nd Floor
New York, NY 10038

DYCD will not accept e-mailed or faxed proposals.

Proposals received at this location after the Proposal Due Date and Time are late and shall not be accepted, except as provided under New York City's Procurement Policy Board Rules, Section 3-03(f)(5).

D. Anticipated Contract Start Date: July 1, 2007

SECTION II - SUMMARY OF THE REQUEST FOR PROPOSALS

A. Purpose of the RFP

The New York City Department of Youth and Community Development (DYCD) contracts with over 2,000 not-for-profit community based organizations (CBOs) to provide a variety of social services to youth and families in New York City (City). DYCD also engages a firm to act as a fiscal agent (Fiscal Agent) for certain CBOs without sufficient capacity to administer their DYCD contracts. DYCD is seeking qualified Certified Public Accounting (CPA) firms to audit the Fiscal Agent and DYCD contracts with CBOs that have aggregate DYCD funding of \$75,000 or more. These audits are intended to assure that DYCD funds are spent for authorized purposes in conformity with contract terms and to assist DYCD in meeting federal, state, and local directives that govern the administration of public funds.

B. Competitions/Service Options

Pursuant to this RFP, there will be two service options. Service Option I has one competition; Service Option II has two competitions.

Service Option I

Audit of the Fiscal Agent

Service Option II

IIA - Independent Audits of DYCD Contracts with CBOs Receiving
\$75,000 or More Annually in Aggregate DYCD Funding for Fiscal Years 2005 and
2006

IIB - Independent Audits of DYCD Contracts with CBOs Receiving
\$75,000 or More Annually in Aggregate DYCD Funding for Fiscal Year 2007

Proposers may propose for one or more of the three competitions; however, a separate and complete proposal must be submitted for each competition proposed. In no case will a proposer be awarded a contract in both Service Option I and Service Option II, however a proposer may be awarded a contract in both competitions IIA and IIB. In the event that a proposer is eligible for award of more than one competition, DYCD reserves the right to determine, based on the proposer's demonstrated capability and the best interests of the City, for which competition the proposer will be awarded a contract.

C. Anticipated Maximum Award Amounts

The award amounts indicated in this RFP are based on the availability of funds and are subject to change. DYCD reserves the right to award less than the full amount requested by proposers and to modify the allocation of awards among service options in the best interests of the City.

Service Option I – Audit of DYCD’s Fiscal Agent

Under Service Option I, DYCD anticipates awarding one contract for a maximum amount of up to \$510,000. DYCD has determined an overall cost range based on a per-audit cost of \$75,000 to \$85,000 for each of the six fiscal years to be audited (FY 2002 - FY 2007). The number and dollar value category of contracts administered by the Fiscal Agent in each of the Fiscal Years 2002 - 2006 are shown in Appendix A. (The final number and dollar value category of contracts for FY 2007 has yet to be assigned.) DYCD considers that viable price proposals for Service Option I should range from \$450,000 to \$510,000.

Service Option II – Independent Audits of DYCD Contracts

Under Service Option II, DYCD anticipates awarding up to four contracts for an overall maximum amount of \$3,346,000. DYCD has determined cost ranges based on the aggregate annual dollar value of DYCD contracts for each CBO to be audited.

DYCD considers that viable price proposals for competition IIA would fall within the audit cost ranges in Table 1, so that the total price proposal should be between \$960,500 and \$1,921,000.

DYCD considers that viable price proposals for competition IIB would fall within the audit cost ranges in Table 2, so that the total price proposal should be between \$712,500 and \$1,425,000.

TABLE 1
Option IIA Number of CBOs to Be Audited by Dollar Value Category
(Fiscal Years 2005 and 2006 Funding)

Dollar Value Category of DYCD Contracts per CBO	Number of CBOs to Be Audited ¹	Audit Cost Range per CBO
Over \$750,000	39	\$4,000 to \$8,000
\$400,000 to \$750,000	57	\$3,000 to \$6,000
\$250,000 to \$399,999	51	\$2,500 to \$5,000
\$75,000 to \$249,999	253	\$2,000 to \$4,000

¹ See Appendix B for a listing of organizations with DYCD FY 2005 and FY2006 contracts to be audited.
Fiscal Audit Services RFP PIN 26007FASRFP

TABLE 2
Option IIB Anticipated Number of CBOs to Be Audited by Dollar Value Category
(Fiscal Year 2007 Funding)

Dollar Value Category of DYCD Contracts per CBO	Anticipated Number of CBOs to Be Audited ²	Audit Cost Range per CBO
Over \$750,000	35	\$4,000 to \$8,000
\$400,000 to \$750,000	43	\$3,000 to \$6,000
\$250,000 to \$399,999	47	\$2,500 to \$5,000
\$75,000 to \$249,999	163	\$2,000 to \$4,000

For FY 2007, DYCD anticipates entering into additional contracts with existing CBOs and new CBOs not listed in Appendix C. DYCD reserves the right to require contractors to audit these additional CBOs and contracts. If adding contracts causes a CBO's aggregate DYCD funding to move into a different dollar value category, the contractor will be reimbursed accordingly. If the total funding of a CBO remains in the initial total dollar value category, no additional reimbursement will be made.

D. Anticipated Contract Term

Service Option I: It is anticipated that the term of the contract will be July 1, 2007 to June 30, 2008, with an option to renew for up to three additional one-year terms.

Service Option II: It is anticipated that the term of each contract will be July 1, 2007 to June 30, 2008, with an option to renew for up to three additional one-year terms.

E. Anticipated Payment Structure

It is anticipated that the payment structure for Service Options I and II will be a set fee for each CBO audit report, payable on receipt of approved deliverables and invoices.

Note: Unless the contractor requests and receives written approval for an extension of time, DYCD may impose liquidated damages of \$100 a day, per audit report, for each day beyond the prescribed due date that an audit report is late. See Section III(B)(4) for Service Option I schedule and Section IV(B)(5) for Service Option II schedule.

² See Appendix C for a listing of anticipated organizations with DYCD FY2007 contracts to be audited.
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F. Subcontracting Requirements/Limitations

No subcontracting is allowed. The contractor will provide all required services directly.

G. General Audit Standards and Requirements

The contractor will perform the audits in accordance with Generally Accepted Accounting Principles and Government Auditing Standards. These standards and other DYCD audit requirements include, but are not limited to, the following:

- The General Accounting Office's Standards for Audit of Governmental Organizations, Programs, Activities and Functions ("Yellow Book"), which are available at <http://www.gao.gov/govaud/ybk01.htm>.
- Guidelines for Financial and Compliance Audits of Federally Assisted Programs, which are available at <http://www.gao.gov/govaud/ybk01.htm>.
- Industry audit guides issued by the American Institute of Certified Public Accountants (AICPA), which are available at <http://www.aicpa.org>.
- Circulars and supplements approved by the Federal Office of Management and Budget, which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.
- City of New York Comptroller's Office Directive #5, as amended November 21, 2000, which is available at: <http://www.comptroller.nyc.gov>.
- DYCD's Fiscal Policies and Procedures Manual, which is available at: <http://www.nyc.gov/html/dycd/html/cbo-fiscal-manual.html>.

H. Minimum Qualification Requirements

The following are the Minimum Qualification Requirements of this RFP for Options I, IIA, and IIB. Proposals which fail to meet all of these requirements will be determined to be non-responsive and will not be further considered.

- The proposer must certify that its firm has been pre-qualified by the New York City Comptroller to provide public accounting services. (See Form 1, Program Summary³.)
- The proposer must certify that it has no conflict of interest with any entity to be audited or disclose any conflict(s) of interest that it may have by completing and submitting Form 2, the Conflict of Interest Statement. (See Form 2 for definitions.)

³ All forms for this RFP can be found in the Attachment to this RFP.

SECTION III: SCOPE OF SERVICES FOR SERVICE OPTION I

AUDIT OF THE FISCAL AGENT

A. Agency Goals and Objectives

DYCD's goals and objectives for services under Service Option I are:

- To ensure that the Fiscal Agent meets federal, New York State and City directives that govern the administration of DYCD contracts.
- To evaluate the Fiscal Agent's performance as it relates to fiscal accountability and conformity with the terms of its contract.

B. Agency Assumptions Regarding Contractor Approach for Service Option I

DYCD's assumptions regarding the approach that will most likely achieve the goals and objectives set out above are:

1. Staff Qualifications/General Contractor Requirements

- The contractor and key staff would have at least five years of successful relevant experience.
- Staff members performing the audits would have at a minimum, a Bachelor's degree in accounting.
- The contractor would not change key staff unless the proposed replacements are submitted to and approved by DYCD. All replacements would have substantially equal or better qualifications and experience.
- The contractor would notify DYCD within 24 hours, by telephone and in writing, of any indication of fraud, conflict of interest, falsification of records and reports, misappropriation of funds or other assets, illegal acts, and/or other irregularities revealed in the course of an audit.
- The contractor would retain the work papers for a period of six years after the completion of the audit.
- The contractor would promptly disclose to DYCD any situation that may create or appear to create a conflict of interest and follow the direction of DYCD in resolving any such conflict.
- The contractor would maintain an "Unqualified Opinion" in its external Peer Review Report.
- The contractor would maintain its pre-qualified status. (See Minimum Qualification Requirements – Section II (H).)

2. Specific Audit Requirements

- For each of the following fiscal years, the contractor would provide a separate audit of funds administered by the Fiscal Agent on DYCD's behalf: July 1, 2001 to June 30, 2002 (FY 2002); July 1, 2002 to June 30, 2003 (FY 2003); July 1, 2003 to June 30, 2004 (FY 2004); July 1, 2004 to June 30, 2005 (FY 2005); July 1, 2005 to June 30, 2006 (FY 2006); and July 1, 2006 to June 30, 2007 (FY 2007).
- The contractor would audit a 10 percent sample of the DYCD-funded organizations whose transactions are handled by the Fiscal Agent. Further sampling and the requirements for review are as follows:
 - For each fiscal year being audited, the contractor would use a statistical sampling methodology to randomly select 10 percent of the total dollar value of transactions to be tested.
 - For each CBO's annual budget period, the contractor would conduct universal tests in the following areas: salaries, fringe benefits, other than personnel services (OTPS), compliance with contract requirements, purchasing, and funding. The contractor would also review findings of past audit reports. The degree of testing would support a high-assumed level of control risk.
 - The contractor would conduct site visits to 10 percent of the CBOs in the sample to determine contract compliance.
- For each of the six fiscal years to be audited, the contractor would hold an entrance and an exit conference with representatives of the Fiscal Agent and DYCD at DYCD's offices.
- The contractor would reproduce any documentation necessary for audit working papers. Reproduction would not be the responsibility of the Fiscal Agent or the CBO.
- Each final audit report would be reviewed and signed by a principal (partner or executive officer) of the contractor prior to submission to DYCD.
- All audit reports would be subject to the review and approval of DYCD prior to acceptance. The contractor would be required to revise any report DYCD deemed necessary, without additional cost or expense to DYCD. Approval of all audit reports would be a prerequisite to final payment.
- The contractor, upon request by DYCD, would make all audit reports and work papers available for review by DYCD or its designees. DYCD's right to reject the audit reports would extend throughout the term of the contract and continue for one year after the receipt of the final report.

3. Format for Audit Reports

Each fiscal year audit would consist of two reports to be submitted in the following format:

Report 1: Independent Auditor's Report on Contracts Administered by the Fiscal Agent

Part I: Combining Financial Statements

- a. Combining Statements of Assets and Liabilities
- b. Combining Statements of Revenues and Expenditures
- c. Notes to Combining Financial Statements

Part II: Schedules

- a. Accounts Payable and Accrued Expenses by Program Areas
- b. Fixed Assets
- c. Consultant Fees
- d. Schedule of Expenditures (Budget and Actual) for Each Program Area

Part III: Compliance and Internal Control

- a. Report on Compliance
- b. Report on Internal Control Structure
- c. Schedule of Findings and Recommendations
- d. Observations
- e. Responses to Audit Findings

Report 2: Report to Management on Contracts Administered by the Fiscal Agent

Part I: Report to Management

Part II: Schedule of Compliance Findings, Recommendations and Questioned Costs

- a. Current Year Results of CBO Site Visits
- b. Prior Year Results of CBO Site Visits
(Note: Where FY 2002 is the "current year" audited, subsection b will not be required.)

Part III: Summary of Findings for Program Level of Service

4. Deliverables Schedule for Option I

- The contractor would attend monthly or more frequent progress meetings at DYCD's request.
- At least five business days prior to each exit conference, the contractor would deliver two copies of the draft audit report to DYCD and one copy to the Fiscal Agent.

- The contractor would deliver to DYCD five bound copies of each fiscal year's final audit report. Unless otherwise agreed to in writing by DYCD, the due dates for the submission of the final audit reports would be as follows: FY 2002, due September 30, 2007; FY 2003, due November 15, 2007; FY 2004, due January 2, 2008; FY 2005, due February 16, 2008; FY 2006, due March 31, 2008; and FY 2007, due May 30, 2008.
- If compliance with a due date is not feasible, the contractor would notify DYCD in writing as soon as possible, but in no event later than 10 business days prior to the due date specified.

SECTION IV: SCOPE OF SERVICES FOR SERVICE OPTION II
INDEPENDENT AUDITS OF DYCD CONTRACTS

A. Agency Goals and Objectives

DYCD's goals and objectives for services under Service Option II are to ensure that:

- CBOs comply with relevant laws, regulations, contractual requirements and limitations, including maintaining confidentiality of participant information, and DYCD's Fiscal Policies and Procedures Manual.
- CBOs' claims for reimbursement are valid and timely.
- CBOs' internal controls are adequate.
- CBOs maintain adequate accounting systems for revenues, expenditures, assets and liabilities.

B. Agency Assumptions Regarding Contractor Approach for Service Option II

DYCD's assumptions regarding the approach that will most likely achieve the goals and objectives for Service Option II are given below. These assumptions apply both to competitions IIA and IIB unless otherwise indicated.

1. Staff Qualifications/General Contractor Requirements

- The contractor and key staff would have at least five years of successful relevant experience.
- Staff members performing the audits would have at a minimum, a Bachelor's degrees in accounting.
- The contractor would not change key staff unless the proposed replacements are submitted to and approved by DYCD. All replacements would have substantially equal or better qualifications and experience.
- In keeping with the above standards, the contractor would notify DYCD within 24 hours, by telephone and in writing, of any indication of fraud, conflict of interest, falsification of records and reports, misappropriation of funds or other assets, illegal acts, and/or other irregularities revealed in the course of an audit.
- The contractor would maintain an "Unqualified Opinion" in its external Peer Review Report.
- The contractor would retain the work papers for a period of six years after the completion of the audit.

- The contractor would promptly disclose to DYCD any situation that may create or appear to create a conflict of interest and follow the direction of DYCD in resolving any such conflict.
- The contractor would maintain its pre-qualified status. (See Minimum Qualification Requirements – Section II (H).)

2. Specific Audit Requirements

- For Competition IIA, as assigned by DYCD, the contractor would audit the financial accounts and records of CBOs that received \$75,000 or more annually in aggregate DYCD funding during fiscal years July 1, 2004 to June 30, 2005 (FY 2005) and July 1, 2005 to June 30, 2006 (FY 2006). (See Appendix B, Organizations with FY 2005 and FY 2006 DYCD Contracts to be Audited)
- For Competition IIB, as assigned by DYCD, the contractor would audit the financial accounts and records of CBOs that received \$75,000 or more annually in aggregate DYCD funding during fiscal year July 1, 2006 to June 30, 2007 (FY 2007). (See Appendix C, Anticipated Organizations with FY 2007 DYCD Contracts to be Audited)
- For each fiscal year, the contractor would submit one consolidated audit report per CBO. Prior to conducting the audit and when notified by DYCD, the contractor would obtain from DYCD the revenue statements and disbursement confirmations and other relevant documents which relate to each CBO's program for a given fiscal year.
- The contractor would submit its work schedule to DYCD for review and approval. This schedule would conform to the Deliverables Schedule for Service Option II (see page 18 below), include specific dates for the delivery of final reports, and prioritize audits of CBOs that have had findings in prior years.
- The contractor would conduct the audits at the offices of the CBOs. To ensure the confidentiality of participants in the program, audits would be performed on a no-name basis and in the presence of the CBO's representative. **Please note:** The location of the program and client records may differ from the location of the CBO's administrative and fiscal records.
- The contractor would reproduce any documentation necessary for audit working papers. Reproduction would not be the responsibility of the CBO.
- For each CBO's annual budget period, the contractor would conduct universal tests in the following areas: salaries, fringe benefits, other than personnel services (OTPS), compliance with contract requirements, purchasing, and funding. DYCD will provide specific guidelines for universal testing at contract negotiations. The contractor would also review findings of past audit reports. The degree of testing would support a high-assumed level of control risk.
- A minimum of ten percent (10%) of the total dollar value of fiscal transactions would be tested, notwithstanding testing performed in the evaluation of the audited organization's internal control structure.

- For contracts for which payment is based partly or wholly on performance, the contractor would also test outcomes pursuant to DYCD standards.
- Each final audit report would be reviewed and signed by a principal (partner or executive officer) of the contractor prior to submission to DYCD.
- All audit reports would be subject to the review and approval of DYCD prior to acceptance. The contractor would be required to revise any report DYCD deemed necessary, without additional cost or expense to DYCD. Approval of all audit reports would be a prerequisite to final payment.
- The contractor, as requested by DYCD, would make all audit reports and work papers available for review by DYCD or its designees. DYCD's right to reject the audit reports would extend throughout the term of the contract and continue for one year after the receipt of the final report.
- **If an audit report contains any findings, an exit conference would be mandatory.** If an exit conference is required, it would be conducted in person, with appropriate officials of the CBO, DYCD and at least one authorized representative from the contractor. The contractor would give at least five days advance notice to the CBO and DYCD prior to the exit conference, which would be scheduled by the contractor and held at DYCD, unless otherwise advised by DYCD. A conference summary would be included in the audit report, indicating the individuals present and the CBO's response to the audit report findings. The CBO's corrective action plan would also be obtained and included in the final audit report.

3. Contents of Examinations

For each CBO audited, the contractor would examine, assess and report on:

- The adequacy of the cost accounting system.
- Sample of contract expenditures and revenues.
- Financial records, as reflected in the required monthly expenditure reports, in a cumulative fashion.
- The cost allocation plan for all expenses.
- Outcomes for contracts where payment is based on performance (for example, the attainment of required service levels), as well as the proper documentation, classification, and reporting of these outcomes.
- Mechanisms for managing all receivables and payables, including taxes.
- The filing and timely payment of **all** federal, State, and local payroll taxes.
- The accounting for any related party transactions.

- The classification and accounting for individuals receiving funds as consultants, employees, or stipend workers.
- The adequacy of internal controls.
- The participation of the CBO's Board of Directors in the management of DYCD-funded programs.
- The authorization of actions by the CBO's Board of Directors as evidenced in the Board meeting minutes for the fiscal year being audited.
- If the CBO is required to file a federal OMB Circular A-133 audit, the content of that audit report and the status of any reported findings.

4. Format for Audit Reports

All audit reports would conform to the format outlined below.

Part I: Combining Financial Statements for Individual Program Areas

- a. Combining Statements of Assets and Liabilities
- b. Combining Statements of Revenues and Expenditures
- c. Notes to Combining Financial Statements

Part II: Schedules

- a. Accounts Payable and Accrued Expenses by Program Area
- b. Fixed Assets
- c. Consultant fees
- d. Detailed Schedule of Budgeted, Incurred and Questioned Costs for Each Contract
- e. Detailed Explanation of Questioned Costs
- f. Schedule of Audit Adjustments
- g. Equipment Inventory Schedule
- h. Schedule of Consultants, Contract Services and Stipends

Part III: Compliance and Internal Control

- a. Report on Compliance
- b. Report on Internal Control Structure
- c. Schedule of Findings and Recommendations
- d. Observations
- e. Responses to the Audit Findings

5. Deliverables Schedule for Service Option II

- The contractor would attend progress meetings as requested by DYCD.
- The contractor would e-mail progress status reports on the fifteenth and thirtieth of each month to DYCD.
- For audit reports that contain findings, the contractor would deliver two bound copies of the draft audit report to DYCD and one copy to the CBO at least five days prior to the exit conference.
- For audit reports that contain no findings, the contractor would deliver 5 bound copies of the final audit reports.
- The contractor would submit all final audit reports for FYs 2005, 2006, and 2007 by May 31, 2008. If the contract is renewed beyond June 30, 2008, audit reports for subsequent fiscal years would be completed and submitted within 180 calendar days after the end of the fiscal year being audited. The contractor would deliver to DYCD five bound copies of each final audit report.
- If compliance with a due date is not feasible, the auditor would notify DYCD in writing as soon as possible, but in no event later than 10 business days prior to the due date specified.
- If the CBO is required to file an OMB Circular A-133 audit, the contractor would secure a copy of the most recent audit from the CBO and provide it to DYCD. In addition, the contractor would obtain the corrective action plan related to any reported findings.

SECTION V - FORMAT AND CONTENT OF THE PROPOSAL

Proposers have two alternatives for completing proposals in response to this RFP.

Alternative I

The proposer would complete the proposal electronically, using the fillable forms and Proposal Narrative response boxes found in the Attachment (Proposal Format and Content Forms). DYCD has set a preferred word limit for each response. Proposers who exceed these limits should create their own clearly marked continuation pages. When complete, the forms and proposal narrative should be printed out and signed where indicated. All requested attachments should be appended to the back of the proposal. A summary of the proposal package contents and the order in which the proposal materials should appear is given below.

Alternative II

The proposer would fill out hard copies of the forms found in the Attachment (Proposal Format and Content Forms) and create a separate, typed document for the proposal narrative section of the proposal. In this alternative, the proposer would provide all of the required information in **the same order** and respecting **the same preferred page limits** for each response as given in Alternative I. In addition:

- The proposal should be typed on both sides of 8 1/2" x 11" white paper.
- Lines should be double-spaced with 1" margins, using 12-point font size.
- Pages should be numbered and include a header or footer identifying the proposer.
- Copies of Forms 1-5 should also be completed and submitted with the relevant sections.

Alternatives I and II

- All proposals must be submitted in hard copy with the appropriate signatures. DYCD will not accept e-mailed or faxed proposals.
- The City of New York requests that all proposals be submitted on paper with no less than 30 percent postconsumer material content, *i.e.*, the minimum recovered fiber content level for reprographic papers recommended by the United States Environmental Protection Agency (for any changes to that standard, please consult: <http://www.epa.gov/epg/products/printing.htm>). Failure to comply with this request will not make the proposal non-responsive.

PROPOSAL PACKAGE CONTENTS

The proposal package should contain the following materials in the order in which they are listed. Proposers should use this section as a “checklist” to assure completeness prior to submitting their proposal to DYCD.

The proposal package should include **one original** set and **five duplicate** sets of the documents listed below **in the following order**:

- I. Proposal Summary (Form 1)
- II. Conflict of Interest Statement (Form 2)
- III. Proposal Narrative
 - A. Work Plan
 - B. References for the Proposer
 - C. Listing of Relevant Audits completed within the past 3 years
 - D. Certification of Capacity (Form 3)
 - E. Price Proposal Forms
(Form 4a for Service Option I; Form 4b for Competition IIA of Service Option II, or Form 4c for Competition IIB of Service Option II.)
 - F. Budget Justification
- IV. Acknowledgment of Addenda Form (Form 5)
- V. Attachments
 - A. Resumes for Partner, Manager and Senior Accountant
 - B. Documentation of Compliance with AICPA Training Requirements
 - C. External Peer Review Report

For each proposal submitted, enclose the documents listed above in a sealed envelope and hand deliver to:

Attention: Ava B. Walker, Deputy Agency Chief Contracting Officer
Office of Contract Procurement
NYC Department of Youth and Community Development
156 William Street, 2nd Floor
New York, NY 10038

For each proposal submitted, enclose the documents listed above in a sealed envelope and hand deliver to DYCD Office of Contract Procurement, attention: Ava B. Walker, Deputy Agency Chief Contracting Officer. Label the envelope with the proposer’s name and address, “Fiscal Audit Services RFP,” “PIN: 26007FASRFP,” Service Option/Competition being proposed, and the name and telephone number of the proposer’s contact person.

SECTION VI - PROPOSAL EVALUATION AND CONTRACT AWARD PROCEDURES

A. Evaluation Procedures

All proposals accepted by DYCD will be reviewed to determine whether they are responsive or non-responsive to the requisites of this RFP. Proposals which DYCD determines to be non-responsive will be rejected. DYCD's Evaluation Committees will evaluate and rate all remaining proposals based on the evaluation criteria prescribed below. DYCD reserves the right to conduct site visits, to conduct interviews, or to request that proposers make presentations, as deemed applicable and appropriate. Although DYCD may hold discussions with proposers submitting acceptable proposals, it reserves the right to award contracts on the basis of initial proposals received, without discussions; therefore, the proposer's initial proposal should contain its best programmatic and price terms.

B. Evaluation Criteria

The proposals will be evaluated in accordance with the evaluation criteria detailed below:

Demonstrated quantity and quality of successful relevant experience	45%
Demonstrated level of organizational capability	45%
Quality of audit approach	10 %

C. Basis for Contract Award

Contracts will be awarded to the responsible proposers whose proposals are determined to be the most advantageous to the City, taking into consideration the price and such other factors or criteria, which are set forth in this RFP. Likewise, if an applicant is eligible for award in more than one competition, DYCD reserves the right to determine, based on demonstrated organizational capability and the best interests of the City, for which competition(s) the proposer will be awarded a contract. In no case will a proposer be awarded a contract in both competitions IIA and IIB. DYCD also reserves the right to award less than the full amount of funding requested by proposers and to modify the allocations of funds among service options. Contract award shall be subject to timely completion of contract negotiations.

SECTION VII - GENERAL INFORMATION TO PROPOSERS

A. Complaints. The New York City Comptroller is charged with the audit of contracts in New York City. Any proposer who believes that there has been unfairness, favoritism or impropriety in the proposal process should inform the Comptroller, Office of Contract Administration, 1 Centre Street, 10th Floor, New York, NY 10007; the telephone number is (212) 669-3000. In addition, the New York City Department of Investigation should be informed of such complaints at its Investigations Division, 80 Maiden Lane, New York, NY 10038; the telephone number is (212) 825-5959.

B. Applicable Laws. This Request for Proposals and the resulting contract award(s), if any, unless otherwise stated, are subject to all applicable provisions of New York State Law, the New York City Administrative Code, New York City Charter, and New York City Procurement Policy Board (PPB) Rules. A copy of the PPB Rules may be obtained by accessing the City's website at nyc.gov/ppb.

C. General Contract Provisions. Contracts shall be subject to New York City's general contract provisions, in substantially the form that they appear in "Appendix A—General Provisions Governing Contracts for Consultants, Professional and Technical Services" or, if the Agency utilizes other than the formal Appendix A, in substantially the form that they appear in the Agency's general contract provisions. A copy of the applicable document is available through the Authorized Agency Contact Person.

D. Contract Award. Contract award is subject to each of the following applicable conditions and any others that may apply: New York City Fair Share Criteria; New York City MacBride Principles Law; submission by the proposer of the requisite New York City Department of Business Services/Division of Labor Services Employment Report and certification by that office; submission by the proposer of the requisite VENDEX Questionnaires/Certificates of No Change and review of the information contained therein by the New York City Department of Investigation; all other required oversight approvals; applicable provisions of federal, state and local laws and executive orders requiring affirmative action and equal employment opportunity; and Section 6-108.1 of the New York City Administrative Code relating to the Local Based Enterprises program and its implementation rules.

E. Proposer Appeal Rights. Pursuant to New York City's Procurement Policy Board Rules, proposers have the right to appeal Agency non-responsiveness determinations and Agency non-responsibility determinations and to protest an Agency's determination regarding the solicitation or award of a contract.

F. Multi-Year Contracts. Multi-year contracts are subject to modification or cancellation if adequate funds are not appropriated to the Agency to support continuation of performance in any City fiscal year succeeding the first fiscal year and/or if the contractor's performance is not satisfactory. The Agency will notify the contractor as soon as is practicable that the funds are, or are not, available for the continuation of the multi-year contract for each succeeding City fiscal year. In the event of cancellation, the contractor will be reimbursed for those costs, if any, which are so provided for in the contract.

G. Prompt Payment Policy. Pursuant to the New York City's Procurement Policy Board Rules, it is the policy of the City to process contract payments efficiently and expeditiously.

H. Prices Irrevocable. Prices proposed by the proposer shall be irrevocable until contract award, unless the proposal is withdrawn. Proposals may only be withdrawn by submitting a written request to the Agency prior to contract award but after the expiration of 90 days after the opening of proposals. This shall not limit the discretion of the Agency to request proposers to revise proposed prices through the submission of best and final offers and/or the conduct of negotiations.

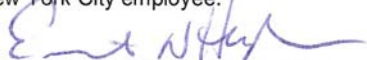
I. Confidential, Proprietary Information or Trade Secrets. Proposers should give specific attention to the identification of those portions of their proposals that they deem to be confidential, proprietary information or trade secrets and provide any justification of why such materials, upon request, should not be disclosed by the City. Such information must be easily separable from the non-confidential sections of the proposal. All information not so identified may be disclosed by the City.

J. RFP Postponement/Cancellation. The Agency reserves the right to postpone or cancel this RFP, in whole or in part, and to reject all proposals.

K. Proposer Costs. Proposers will not be reimbursed for any costs incurred to prepare proposals.

L. Charter Section 312(a) Certification.

The Agency has determined that the contract(s) to be awarded through this Request for Proposals will not directly result in the displacement of any New York City employee.



Agency Chief Contracting Officer

4/5/07

Date

APPENDIX A

RFP TITLE: FISCAL AUDIT SERVICES

PIN: 26007FASRFP

CONTRACTS ADMINISTERED BY THE FISCAL AGENT, FY2002 – FY2006 (Number of Contracts)

Dollar Value Category of Contract	FY'02	FY'03	FY'04	FY'05	FY'06	ROW TOTALS
Under \$25,000	535	466	533	755	849	3,138
\$25,000 - \$100,000	101	35	42	53	53	284
Over \$100,000	16	15	15	20	6	72
COLUMN TOTALS	652	516	590	828	908	3,494

Source: DYCD's *Comprehensive Contract Management System*, May 2006.

RFP TITLE: FISCAL AUDIT SERVICES

PIN: 26007FASRFP

**ORGANIZATIONS WITH DYCD FY2005 AND FY 2006
CONTRACTS TO BE AUDITED**

Organizations with DYCD Funding over \$750,000

Alianza Dominicana, Inc.
Aspira of New York, Inc.
Brooklyn Bureau of Community Services
Council of Jewish Organizations of Flatbush
Cypress Hills Local Development Corporation
East Harlem Council For Community Improvement
El Puente De Williamsburg
Heartshare Human Services
Local Development Corporation of Crown Heights
Mosholu Montefiore Community Center, Inc.
Music Outreach, Learning Through Music, Inc.
New York Junior Tennis League
Pius XII Youth and Family Services, Inc
Project Reach Youth, Inc.
PROMESA, Inc.
Queens Community House, Inc.
Sesame Flyers International, Inc.
Southern Queens Park Association
Sports and Arts In Schools Foundation, Inc.
Supportive Childrens Advocacy Network (SCAN)
The After School Corporation
The Child Center of NY
United Activities Unlimited, Inc.
YMCA of Greater New York/Chinatown
YMCA of Greater New York/Corporate
YMCA of Greater New York/Flushing

Organizations with DYCD Funding between \$400,000 and 749,999

Ali Forney Center
Aspects 27, Inc. a/k/a Fund For School Age Youth
Big Brothers/Big Sisters Inc. of NYC
Brooklyn Center For Urban Environment
Child Development Ctr of the Mosholu Montefiore Comm Center
Coalition for Hispanic Family Services
Council of Jewish Organizations of Flatbush
Educators for Children, Youth and Families
Friends of Crown Heights Educational Center
Goddard-Riverside Community Center
Grand Street Settlement, Inc.
Green Chimneys Children's Services
Hetrick-Martin Institute, Inc.
Highbridge Community Life Center
Hispanic Young People's Alternatives
Hudson Guild
Kips Bay Boys & Girls Club
Korean Youth Center of New York, Inc
Local Development Corporation of Crown Heights
Maspeth Town Hall, Inc.
Metropolitan Community Church of New York
National Society For Hebrew Day Schools
New York Legal Assistance Group
Policy Studies Associates, Inc.
Pratt Institute
Project Reach Youth, Inc.
Riverside Language Program, Inc.
Rockaway Development & Revitalization Corporation
Roosevelt Island Youth Program, Inc.
Safe Space NYC, Inc.
Sanctuary For Families
Shorefront YM-YWHA
South Queens Boys & Girls Club
Stanley M. Isaacs Neighborhood Center, Inc.
Sunnyside Community Service, Inc.
The Partnership for After School Education (PASE)
The Salvation Army Community Center
Union Settlement Association
United Jewish Organization of Williamsburg
YMCA of Greater New York/Chinatown
YMCA of Greater New York/Cross Island
YMCA of Greater New York/Eastern District
YMCA of Greater New York/Mc Burney Chelsea
YMCA of Greater New York/Twelve Towns
YWCA of the City of New York (Main Branch)

Organizations with DYCD Funding between \$250,000 and 399,999

Agudath Israel of America/SBCO
Asian Americans for Equality
Aspects 27, Inc. a/k/a Fund For School Age Youth
Boro Park Jewish Community Council
Bronx Educational Services
Brooklyn Bureau of Community Services
Caribbean Women's Health Association
Catholic Charities Community Service, Archdiocese of N Y
Community Enhancement Organization, Inc.
Council For Unity, Inc.
Crown Heights Youth Collective, Inc.
East Harlem Employment Services, Inc.
East Side House, Inc.
Edith and Carl Marks Jewish Community House of Bensonhurst
Fifth Avenue Committee, Inc.
Flatbush Development Corporation
Forestdale, Inc
Friends of Island Academy
Friends of the High Line
Greenwich Village Youth Council
Guardians of the Sick, Inc.
Highbridge Community Life Center
Institute For Puerto Rican Hispanic Elderly, Inc.
Inwood Community Services, Inc.
Latino Pastoral Action Center, Inc.
Neighborhood Youth & Family Services, Inc.
New Horizons Adult Education Program
New Settlement Apartments
New York Urban League
New York Youth At Risk, Inc.
Northside Center For Child Development, Inc.
Ralph Lincoln Service Center, Inc.
Sephardic Community Center
St. Rosalia-Regina Pacis Neighborhood Improvement
The East New York Learning Center, Inc
The Fortune Society, Inc.
The Miracle Makers, Inc.
Turning Point
Union Settlement Association
Variety Boys & Girls Club of Queens, Inc.
Violence Intervention Program, Inc.
Washington Heights- Inwood Coalition, Inc.
Woodside On The Move, Inc.
Woodycrest Center For Human Development
YMCA of Greater New York/Prospect Park

Young Men's & Young Women's Hebrew Association

Organizations with DYCD Funding between \$75,000 and 249,999

Adolescent and Family Comprehensive Services, Inc.
African American Legal & Civic Hall of Fame
Agudath Israel of America/SBCO
Alliance for Community Services, Inc.
Amistad Early Childhood Educational Center Inc
Aquinas Housing Corporation
Arts Connection, Inc.
Association for Neighborhood & Housing Development, Inc.
Association of the Bar of the City of New York Fund, Inc.
Bailey House, Inc.
Ballet Tech Foundation
Baychester Youth Council
Bedford Park Multi-Service Center for Senior Citizens, Inc
Bedford Stuyvesant Restoration Corporation
Be'er Hagolah Institutes
Bergen Basin Community Development Corp.
Bergen Beach Youth Organization
Best of Brooklyn
Bnos Bias Yaakov
Bnos Yakov Educational Center
Bridge Street Development Corp.
Bronx Arts Ensemble
Bronx Council On The Arts, Inc.
Bronx River Art Center, Inc.
Brooklyn Bridge Park Conservancy
Brooklyn Center For Urban Environment
Brooklyn Child and Family Services, Inc.
Brooklyn College Community Partnership
Brooklyn Historical Society
Brooklyn Housing and Family Services, Inc.
Brooklyn Legal Services Corporation A.
Brooklyn U.S.A. Athletic Association, Inc.
Callen-Lorde Community Health Center, Inc.
Caribbean American Center of New York, Inc.
Caribbean Women's Health Association
Casita Maria, Inc.
Center for Employment Opportunities
Center for Independence of the Disabled in New York (CIDNY)
Central American Legal Assistance
Central Brooklyn Economic Development Corporation
Centro Hispano Cuzcatlan, Inc.
Centro Social La Esperanza, Inc.

Charosa Foundation Corporation
Chinese Progressive Association
Church of the Revelation
Citizens for NYC, Inc
City Year, Inc.
Claremont Neighborhood Centers, Inc.
Coalition for the Homeless
College of Mount Saint Vincent
Committee for Hispanic Children and Families, Inc.
Community Center of the Rockaway Peninsula, Inc.
Community Conciliation Network
Community Counseling and Mediation
Community Mediation Services, Inc.
Community Service Center Area IV
Community Works, Inc.
Concerned Citizens of Queens
Conscientious Musical Revues
Council of Neighborhood Organizations, Inc.
Crown Heights Youth Collective, Inc.
CUNY School of Law Foundation, Inc./ (CLRN)
Dominican Women's Development Center
Donna Reid Foundation
East Harlem Tutorial Program, Inc.
East New York Betterment Corporation, Inc.
East New York Kids Power, Inc.
East River Development Alliance
East Side House, Inc.
Ecumenical Community Development Organization
Edith and Carl Marks Jewish Community House of Bensonhurst
El Barrio's Operation Fightback, Inc.
Eldridge Street Project, Inc.
Elmcor Youth and Adult Activities, Inc.
Emerald Isle Immigration Center
Empire State Pride Agenda Foundation, Inc.
Ensemble Studio Theatre
Erasmus Neighborhood Federation
Fifth Avenue Committee, Inc.
Find Aid for the Aged, Inc.
Flatbush Action Community Day Care Center, Inc.
Flatbush Development Corporation
Flatbush Haitian Center, Inc.
Flowers With Care Youth Services
Flushing Jewish Community Council
Forest Park Rangers Inc.
Fort Green Senior Citizen Council, Inc.
Friends of Island Academy
Friends of the High Line

General Development & Orientation Council, Inc.
Girl Scout Council of Greater New York, Inc.
Good Old Lower East Side, Inc.
Greater Chinatown Community Association
Groundwork, Inc.
Guardians of the Sick, Inc.
Haitian American Day Care Center
Haitian Americans United For Progress
Hamilton Madison House, Inc.
Harlem School of the Arts
Hermanos Fraternos De Loiza Aldea
Hispanic Federation, Inc.
Homecrest Community Services, Inc.
Homes for the Homeless
Human Services Council of New York City, Inc.
Imani House, Inc.
Immigration Advocacy Services, Inc.
Indochina Sino-American Community Center
Institute for Labor and the Community
Interfaith Neighbors, Inc.
Inwood Community Services, Inc.
Italian American Alliance for Education
Jamaica Neighborhood Based Alliance Coalition, Inc
Jewish Board of Family and Children's Services, Inc.
Jewish Center for Special Education
Jewish Child Care Association
Jewish Services Coalition, Inc.
Joseph P. Addabbo Family Health Center, Inc
Just Us, Inc.
Kingsbridge Heights Community Center, Inc.
Kips Bay Boys & Girls Club
Korean Community Service of Metropolitan New York
Labor Coordination Program, Inc
Latin American Intergration Center
Latino Initiative for Better Resources and Empowerment (LIBRE)
Lawyers Alliance for New York
Learning Thru An Expanded Arts Program, Inc.
Legal Services For New York City
Lenox Hill Neighborhood House
Lincoln Square Neighborhood Center, Inc.
Literacy Assistance Center
Local Development Corporation of East New York
Loisaida, Inc.
Long Island University
Madison Square Boys & Girls Club
Manhattan Theatre Club
Marymount Manhattan College

Maura Clarke-Ita Ford Center
Mentoring USA, Inc.
Mercy First
Metropolitan Athletics Congress
Mid-Bronx Council Services, Inc.
Midwood Development Corporation
MTI Residential Services
Music Outreach, Learning Through Music, Inc.
National Council for Negro Women of Greater New York
National Puerto Rican Forum
National Society For Hebrew Day Schools
National Sorority Phi Delta Kappa, Beta Omicron Big Sr EASC, Inc.
Neighborhood Association for Inter-Cultural Affairs
Neighborhood Initiatives Development Corporation
Neighborhood Self-Help by Older Persons Projects, Inc.
New Horizons Adult Education Program
New Settlement Apartments
New Spirit II, Inc.
New York Cares
New York City Job & Career Center, Inc.
New York City Outward Bound Center
New York Committee for Occupational Safety & Health (NYCOSH)
New York Foundation for the Arts
New York Immigration Coalition
New York Legal Assistance Group
New York Restoration Project/Environmental Education Program
New York Road Runners Foundation
North Brooklyn Community Council, Inc.
North Brooklyn Development Corporation
North East Bronx Redevelopment Corporation
Northern Manhattan Coalition for Economic Development
Northern Manhattan Coalition for Immigrant Rights
Northern Manhattan Improvement Corporation
Northwest Bronx Community & Clergy Coalition, Inc.
Nuestros Ninos Day Care Center
One Economy Corporation
Pius XII Youth & Family Services/North Bronx Center
Polish & Slavic Center
Polonians Organized to Minister to Our Community
Queens Borough Public Library (Central)
Recreational Inner-City Sports & Education (RISE)
Regional Aid for Interim Needs, Inc. (R.A.I.N.)
Riverdale Community Center, Inc.
Rockaway Artist Alliance, Inc.
Romanian Information & Referral Center
Roza Promotions, Inc.
Sakhi for South Asian Women

SBH Community Service Network, Inc.
School Settlement
Seedco
Sephardic Angel Fund
Sephardic Community Center
Shareing and Careing, Inc.
Sheltering Arms Children's Services
Shmira Civilian Volunteer Patrol
Shuang Wen Academy Network
Soundview Community Center in Action, LDC
South Bronx Community Action Theatre, Inc.
Southeast Bronx Neighborhood Center, Inc. (SEBNC)
Southside Community Mission, Inc.
Spanish Speaking Elderly Council-RAICES
St. Mary's Community Services, Inc.
St. Matthews & St. Timothys Neighborhood Center, Inc.
St. Rita's RC Church
St. Stephen Outreach
Studio In A School
Sunset Park Family Health Center
Support For Training and Educational Services, Inc.
The Alliance of Guardian Angels, Inc.
The Arab American Family Support Center
The Armory Foundation
The Door - A Center of Alternatives
The HIV Law Project, Inc.
The International Center in New York, Inc.
The Korean American Family Service Center
The Lesbian, Gay, Bisexual & Transgender Community Center
The New 42nd Street, Inc.
Tolentine-Zeiser Community Center/St. Rita's
Tolentine-Zeiser Community Life Center, Inc.
True Worship Church
Turning Point
United Cerebral Palsy of Queens DBA Queens Centers for Prog
United Community Centers
United Jewish Council of the East Side, Inc.
Variety Boys & Girls Club of Queens, Inc.
Violence Intervention Program, Inc.
Visiting Neighbors, Inc.
Volunteer Heart Resuscitation Unit & Ambulance Corp of S.I.
Washington Heights - Inwood Coalition, Inc.
Washington Heights Ecumenical Food Pantry
Wayside Out Reach Development, Inc.
Wendy Hilliard Foundation
West Indian American Day Carnival Association
West Side Campaign Against Hunger Church of St. Paul

Williamsburg/Greenpoint Council for the Aging, Inc.
Women In Need, Inc.
Woodside On The Move, Inc.
Yeled V. Yaldah Early Childhood Center, Inc.
Yeshiva of Manhattan Beach
YMCA of Greater New York - Virtual Y
YMCA of Greater New York/Bedford Stuyvesant
YMCA of Greater New York/Bronx
YMCA of Greater New York/Flatbush Branch
YMCA of Greater New York/Grosvenor Neighborhood House
YMCA of Greater New York/Prospect Park
YMCA of Greater New York/Vanderbilt
YM-YWHA of Washington Heights Inwood
Young Athletes, Inc.
Young Korean American Service & Education Center
Young Men's & Young Women's Hebrew Association
Youth & Tennis, Inc.
Youth Communication/New York Center, Inc.
YWCA of Queens
YWCA of the City of New York (Main Branch)

RFP TITLE: FISCAL AUDIT SERVICES

PIN: 26007FASRFP

**ANTICIPATED ORGANIZATIONS WITH DYCD FY2007
CONTRACTS TO BE AUDITED**

Organizations with DYCD Funding over \$750,000

Alianza Dominicana, Inc.
Aspira of New York, Inc.
Big Brothers/Big Sisters Inc. of NYC
Boys & Girls Harbor, Inc.
Brooklyn Bureau of Community Services
Coalition for Hispanic Family Services
Community Counseling and Mediation
Council of Jewish Organizations of Flatbush
Cypress Hills Local Development Corporation
East Harlem Council For Community Improvement
El Puente De Williamsburg
Friends of Crown Heights Educational Center
Heartshare Human Services
Kips Bay Boys & Girls Club
Maspeth Town Hall, Inc.
Mosholu Montefiore Community Center, Inc.
New York Junior Tennis League
Queens Community House, Inc.
Safe Space NYC, Inc.
Sesame Flyers International, Inc.
Southern Queens Park Association
Sports and Arts In Schools Foundation, Inc.
St. Rosalia-Regina Pacis Neighborhood Improvement
Sunnyside Community Service, Inc.
Supportive Childrens Advocacy Network (SCAN)
The After School Corporation
The Child Center of NY
The Salvation Army Community Center
United Activities Unlimited, Inc.
YMCA of Greater New York/Chinatown
YMCA of Greater New York/Corporate
YMCA of Greater New York/Eastern District
YMCA of Greater New York/Flushing

Fiscal Audit Services RFP PIN 26007FASRFP

YMCA of Greater New York/Twelve Towns
YWCA of the City of New York (Main Branch)

Organizations with DYCD Funding between \$400,000 and 749,999

Arbor Education and Training
Asian Americans for Equality
Bronx Arts Ensemble
Brooklyn Arts Council, Inc.
Brooklyn Center For Urban Environment
Casita Maria, Inc.
Charosa Foundation Corporation
Child Development Ctr of the Mosholu Montefiore Comm Center
Community Works, Inc.
East Side House, Inc.
Flatbush Development Corporation
Goddard-Riverside Community Center
Grand Street Settlement, Inc.
Green Chimneys Children's Services
Groundwork, Inc.
Hetrick-Martin Institute, Inc.
Hudson Guild
Jacob A. Riis Neighborhood Settlement, Inc.
Mercy First
New Settlement Apartments
New York Legal Assistance Group
Northside Center For Child Development, Inc.
Policy Studies Associates, Inc.
Pratt Institute
Project Reach Youth, Inc.
Ralph Lincoln Service Center, Inc.
Rockaway Development & Revitalization Corporation
Roosevelt Island Youth Program, Inc.
Sanctuary For Families
Shorefront YM-YWHA
South Queens Boys & Girls Club
Stanley M. Isaacs Neighborhood Center, Inc.
The Door - A Center of Alternatives
The East New York Learning Center, Inc.
The Fortune Society, Inc.
The Partnership for After School Education (PASE)
Union Settlement Association
United Jewish Organization of Williamsburg
Woodside On The Move, Inc.
Woodycrest Center For Human Development
YMCA of Greater New York - Virtual Y

YMCA of Greater New York/Cross Island
YMCA of Greater New York/Prospect Park

Organizations with DYCD Funding between \$250,000 and 399,999

Advocates for Children of New York, Inc.
Ali Forney Center
Alliance for Community Services, Inc.
Bergen Basin Community Development Corp.
Better Brooklyn Community Center, Inc.
Boro Park Jewish Community Council
Bronx Community Pride Center, Inc.
Community Center of the Rockaway Peninsula, Inc.
Council For Unity, Inc.
Crown Heights Youth Collective, Inc.
East Harlem Employment Services, Inc.
Edith and Carl Marks Jewish Community House of B'hurst
Emerald Isle Immigration Center
Fifth Avenue Committee, Inc.
Forestdale, Inc.
Friends of Island Academy
Friends of the High Line
Girls Educational & Mentoring Services, Inc.
Global Kids, Inc.
Greenwich Village Youth Council
Guardians of the Sick, Inc.
Haitian American Day Care Center
Homes for the Homeless
Imani House, Inc.
Institute For Puerto Rican Hispanic Elderly, Inc.
La Asociacion Benefica Cultural Father Billini
Latino Pastoral Action Center, Inc.
Midtown Management Group, Inc./Inside B'way
Midwood Development Corporation
National Puerto Rican Forum
National Society For Hebrew Day Schools
Neighborhood Initiatives Development Corporation
New York Center for Interpersonal Development
New York Youth At Risk, Inc.
Queens Theatre In The Park
Riverdale Community Center, Inc.
Rockaway Artist Alliance, Inc.
Shuang Wen Academy Network
Southside Community Mission, Inc.
Turning Point
Variety Boys & Girls Club of Queens, Inc.

Washington Heights- Inwood Coalition, Inc.
Women's League Community Residences, Inc.
Yeled v'Yalda Early Childhood Center, Inc.
YMCA of Greater New York/Flatbush Branch
Young Men's & Young Women's Hebrew Association
YWCA of Queens

Organizations with DYCD Funding between \$75,000 and 249,999

Aging In America Community Services, Inc.
Agudath Israel of America/SBCO
American Museum of Natural History
Amistad Early Childhood Educational Center, Inc.
Arthur Ashe Institute for Urban Health, Inc.
Associated Beth Rivkah Schools, Inc.
Association to Benefit Children
Bailey House, Inc.
Ballet Hispanico of New York
Bay Ridge and Bensonhurst Beautification and Pres. Alliance
Baychester Youth Council
Bedford-Stuyvesant Community Legal Services (BCLS)
Bergen Beach Youth Organization
Best of Brooklyn
Big Five Block Association Inc.
Black Spectrum Theatre Co., Inc.
Bnos Bias Yaakov
Bnos Yakov Educational Center
Bnos Zion of Bobov, Inc.
Bronx Council On The Arts, Inc.
Bronx House
Bronx River Art Center, Inc.
Brooklyn Bridge Park Conservancy
Brooklyn Housing and Family Services, Inc.
Bushwick Community Action Association, Inc.
Caribbean Women's Health Association
Catholic Charities Community Service, Archdiocese of NY
Center for Employment Opportunities
Central American Legal Assistance
Central Queens YM & YWHA, Inc.
Chinese American Culture and Arts Association
Citizens for NYC, Inc.
City Year, Inc.
Claremont Neighborhood Centers, Inc.
Coalition for the Homeless
Committee for Hispanic Children and Families, Inc.
Community Impact/Columbia University

Community Mediation Services, Inc.
Community Service Center Area IV
Concord Family Services, Inc.
Conscientious Musical Revues
Council of Neighborhood Organizations, Inc.
Council on The Environment of New York City, Inc.
Creative Outlet Dance Theatre of Brooklyn
CUNY School of Law Foundation, Inc. / (CLRN)
Donna Reid Memorial Education Fund
Dream Yard Project, Inc.
East Bronx NAACP Day Care Center
East Harlem Tutorial Program, Inc.
Ecumenical Community Development Organization
Empire State Pride Agenda Foundation, Inc.
Episcopal Social Services of New York, Inc.
Faith Hope and Charity
Federation of African Caribbean American Organization
Filipino American Human Services, Inc.
Flatbush Action Community Day Care Center, Inc.
Flowers With Care Youth Services
Flushing Jewish Community Council
Forest Park Rangers Inc.
Fort Green Senior Citizen Council, Inc.
Foundation for Jewish Broadcasting
George C. Conliffe Child Care Center
Girl Scout Council of Greater New York, Inc.
Gravesend Athletic Association, Inc.
Greater Chinatown Community Association
Greater Woodhaven Development Corporation
Haitian Americans United For Progress
Haitian Centers Council, Inc.
Hamilton Madison House, Inc.
HA'OR - The Beacon School
Harlem RBI (Reviving Baseball in Inner Cities)
Highbridge Community Life Center
Homecrest Community Services, Inc.
Indochina Sino-American Community Center
Institute for Labor and the Community
Inwood Community Services, Inc.
Jewish Center for Special Education
Jewish Child Care Association
Jewish Services Coalition, Inc.
Just Us, Inc.
Kings Bay YM-YWHA, Inc.
Labor Coordination Program, Inc.
Latin American Intergration Center
Latino Initiative for Better Resources and Empowerment (LIBRE)

Learning Thru An Expanded Arts Program, Inc.
Legal Outreach, Inc.
Lenox Hill Neighborhood House
Lincoln Square Neighborhood Center, Inc.
Local Development Corporation of East New York
Loisaida, Inc.
Long Island University
Lutheran Family Health Centers
Make the Road by Walking
Manhattan Youth Recreation & Resources Center
Mentoring USA, Inc.
Metropolitan Athletics Congress
MFY Legal Services, Inc.
Mid-Bronx Council Services, Inc.
Midori & Friends
Mission of the Immaculate Virgin
Mount Hope Housing Company
Mt. Sinai School of Medicine
MTI Residential Services
National Council for Negro Women of Greater New York
Neighborhood Self-Help by Older Persons Projects, Inc.
New Life Child Development Corporation
New York Cares
New York City Outward Bound Center
New York Committee for Occupational Safety & Health (NYCOSH)
New York Immigration Coalition
New York Restoration Project/Environmental Education Program
New York Road Runners Foundation
North Brooklyn Community Council, Inc.
North Brooklyn Development Corporation
OPUS Dance Theatre and Community Services Inc.
Polonians Organized to Minister to Our Community
Pratt Area Community Council
Project Hospitality
Queens Borough Public Library (Central)
Reading Excellence and Discovery (READ) Foundation
Recreational Inner-City Sports & Education (RISE)
Regional Aid For Interim Needs, Inc.(R.A.I.N.)
Riverdale Neighborhood House, Inc.
Riverside Language Program, Inc.
Sakhi for South Asian Women
SBH Community Service Network, Inc.
School Settlement
Sephardic Community Center
Shareing and Careing, Inc.
Soundview Community Center in Action, LDC
St. Francis Xavier Parish

St. Raymond Community Outreach
St. Rita's RC Church
St. Stephen Outreach
Studio In A School
Sunset Park Family Health Center
Support For Training and Educational Services, Inc.
The Arab American Family Support Center
The Intrepid Museum
The Jewish Museum
The Korean American Family Service Center
The Lesbian, Gay, Bisexual & Transgender Community Center
The New 42nd Street, Inc.
Tolentine-Zeiser Community Life Center, Inc.
Tremont Crotona Day Care Center, Inc.
United Community Centers
United Community Day Care Center, Inc.
United Jewish Council of the East Side, Inc.
United Senior Citizen Center of Sunset Park, Inc.
Unity Neighborhood Center, Inc.
Violence Intervention Program, Inc.
Vision Urbana, Inc.
West Bronx Housing & Neighborhood Resource Center
Yeshiva Kehilath Yakov (Parent Hdqtrs)
Yeshiva of Manhattan Beach
YMCA of Greater New York/Bedford Stuyvesant
YMCA of Greater New York/Bronx
YMCA of Greater New York/Vanderbilt
YM-YWHA of Washington Heights Inwood
Young Athletes, Inc. Young Korean American Service & Education Center
Youth for Education and Sports, Inc.
Youth Ministries for Peace and Justice

ATTACHMENT

PROPOSAL FORMAT AND CONTENT FORMS

Please note that the following forms represent *only a portion of the Fiscal Audit Services Request for Proposals (RFP)*. These forms are being provided for the convenience of proposers who elect to complete their proposals by using the fillable forms, as instructed in Section IV (Format and Content of the Proposal) of the RFP.

To respond to the RFP, *you must obtain the entire RFP and fill out the accompanying form with the requested information*. The requested information enables the Department of Youth and Community Development to keep prospective proposers apprised of all developments in this RFP process as required by the rules of the City of New York Procurement Policy Board.

Proposers have two alternatives for completing proposals in response to this RFP. All proposals must be submitted in hard copy with the appropriate signatures. DYCD will not accept proposals by e-mail or fax.

Alternative I

The proposer would complete the proposal electronically, using the fillable forms and Proposal Narrative response boxes found in the Attachment (Proposal Format and Content Forms). DYCD has set a preferred word limit for each response. Proposers who exceed these limits should create their own clearly marked continuation pages. When complete, the forms and proposal narrative should be printed out and signed where indicated. All requested attachments should be appended to the back of the proposal. A summary of the proposal package contents and the order in which the proposal materials should appear is given below.

Alternative II

The proposer would fill out hard copies of the forms found in the Attachment (Proposal Format and Content Forms) and create a separate, typed document for the proposal narrative section of the proposal. In this alternative, the proposer would provide all of the required information in **the same order** and respecting **the same preferred page limits** for each response as given in Alternative I. In addition:

- The proposal should be typed on both sides of 8 1/2" x 11" white paper.
- Lines should be double-spaced with 1" margins, using 12-point font size.
- Pages should be numbered and include a header or footer identifying the proposer.
- Copies of Forms 1-5 should also be completed and submitted with the relevant sections.

Note: Further guidelines for preparing the proposal are provided in Section IV – Format and Content of the Proposal, pages 19-20 of the RFP.

FORM 1

PROPOSAL SUMMARY

RFP TITLE: FISCAL AUDIT SERVICES

PIN: 26007FASRFP

Proposer Name:

Address:

City

State

Zip Code

Tax Identification #:

Contact Person:

Telephone #:

Authorized

Representative:

Title:

Fax #:

Title:

Signature: _____ **Date:** ____/____/____

Proposer Certification of Compliance with Minimum Qualification Requirements

(Check all that apply to indicate proposer is in compliance.)

- ☐ The proposer certifies that its firm is pre-qualified by the New York City Comptroller to provide Public Accounting Services.
- ☐ The proposer has completed and attached the Conflict of Interest Statement (Form 2).
- ☐ The proposer has attached its most recent external Peer Review Report, which expressed an Unqualified Opinion. (Note: Peer Review Reports dated prior to 2004 are not acceptable.)

Proposed Service Option/Competition (Check only ONE.)

Service Option I

☐ Audit of the Fiscal Agent

Service Option II

☐ IIA – Independent Audits of DYCD Contracts with CBOs Receiving
\$75,000 or more annually in aggregate DYCD Funding for Fiscal Years 2005 and 2006

☐ IIB – Independent Audits of DYCD Contracts with CBOs Receiving
\$75,000 or more annually in aggregate DYCD Funding for Fiscal Year 2007

Program Costs (Enter the requested information in the space provided for your proposed service option/competition.)

Service Option I

Audit of the Fiscal Agent:

Price Proposal = \$

Service Option II

IIA – Independent Audits of DYCD Contracts with CBOs Receiving
\$75,000 or More Annually in Aggregate DYCD Funding for Fiscal Years 2005 and 2006

Price Proposal = \$

IIB – Independent Audits of DYCD Contracts with Organizations Receiving
\$75,000 or More Annually in Aggregate DYCD Funding for Fiscal Year 2007

Price Proposal = \$

FORM 2

CONFLICT OF INTEREST STATEMENT

I, _____, a principal in the firm of _____ (“Proposer”) hereby certifies that Proposer and its officers, director and employees have no financial, professional, or other personal interest of any nature or kind, including client relationships, with (check the appropriate box and provide requested information):

Proposals for Service Option I

Audit of the Fiscal Agent:

☐ YMS Management Associates, Inc.

Proposals for Service Option II

IIA - Independent Audits of DYCD Contracts with CBOs Receiving \$75,000 or more Annually in Aggregate DYCD Funding for Fiscal Years 2005 and 2006:

☐ All of the CBOs listed in Appendix B.

☐ The CBOs listed in Appendix B, except:

IIB - Independent Audits of DYCD Contracts with CBOs Receiving \$75,000 or more Annually in Aggregate DYCD Funding for Fiscal Year 2007:

☐ All of the CBOs listed in Appendix C.

☐ The CBOs listed in Appendix C, except:

NOTE: If additional space is needed, attach a list labeled “CBOs listed in Appendix B or C, as applicable, with which _____ (name of firm) has an interest”.

Signature of Principal: _____

Printed Name of Principal: _____

Name of Proposer: _____ **Date:** ____/____/____

PROPOSAL NARRATIVE

A. Experience

In the two text boxes below, briefly describe (1) the successful relevant experience of the proposer and (2) the experience of the proposed key staff to provide the work described in Section III of the RFP for Service Option I or Section IV of the RFP for Service Option II (IIA and IIB) as applicable.

1. Proposer's Successful Relevant Experience (Preferable page limit: 2 pages)

2. Experience of Proposed Key Staff (Preferable page limit: 1 page)

Briefly describe the experience of key staff (Principals, Managers and Senior Accountants) who would be assigned to the project.

3. Listing of Relevant Audits (Preferable page limit: ½ page)

Provide a detailed listing of up to 10 relevant audits related to the RFP that were completed within the past 5 years, **including** the name of the contractor and/or entity being audited and the audit start date, completion due date, actual completion date and delivery date.

4. Listing of Relevant References (Preferable page limit: ½ page)

Provide a listing of at least three relevant references, including the name of the entity, a brief statement describing the relationship between the proposer and the entity, and the name, title, telephone number and email address of a contact person.

5. Resumes of Key Staff

As a hard-copy attachment, provide a resume or description of qualifications for each Principal/Partner, Manager and Senior Accountant who will be assigned to this contract.

B. Organizational Capability

1. Statement of Capacity

Complete and submit Form 3, Certification of Capacity, to certify that the proposer for Service Option IIA or IIB has the organizational capacity to conduct at least 200 audits per year.

RFP TITLE: FISCAL AUDIT SERVICES

PIN: 26007FASRFP

CERTIFICATION OF CAPACITY

I, _____, am a principal of the firm _____ (“Proposer”). I hereby certify that Proposer has the organizational and fiscal capacity to:

(1) Integrate into its operations and provide to DYCD the audit services, including reports, described under Service Option I, IIA, or IIB, as the case may be, of this RFP PIN: 26007FASRFP; and

(2) If awarded a contract under Service Option IIA or IIB, conduct at least 200 audits per year.

(Signature of Principal)

(Print Name)

(Name of Proposer)

Date: ____/____/____

2. Description of the Proposer's Organizational Capability (Preferable page limit: 2 pages)

Describe the proposer's organizational capability to provide the work outlined in Section III of the RFP for Service Option I or Section IV of the RFP for Service Option II (IIA and IIB), as applicable, and to ensure that the auditing staff assigned to the contract understands DYCD's scope of services requirements.

3. Organizational Staff Profile and Availability of Personnel Chart

Complete the chart below.

Staff Position	No. of Staff in Organization	No. of Staff Committed to Non-DYCD Projects	No. of Staff Dedicated to DYCD Audits
Partner/Principal, CPA			
Manager, CPA			
Senior Accountant			
Staff Accountant			

4. Policies and Procedures to Ensure Proposer's Staff Meets Training Requirements

(Preferable page limit: ½ page)

Describe the proposer's policies and procedures for ensuring that staff responsible for directing, conducting and/or reporting on government audits meets the continuing education and training requirements established by the AICPA.

5. Documentation of Compliance With Education Requirements

As a hard-copy attachment, provide documentation (*i.e.*, CPE certificate) of compliance with the continuing education and training requirements established by the AICPA for each Principal/Partner, Manager and Senior Accountant position.

6. Peer Review

As a hard-copy attachment, provide a copy of the proposer's latest Peer Review Report, which must have expressed an Unqualified Opinion. Peer Review reports dated earlier than 2004 are unacceptable.

C. Proposed Audit Approach

1. Description of Work to Be Provided (Preferable page limit: ½ page)

Describe briefly how the proposer will provide the work described in Section III of the RFP for Option I or Section IV of the RFP for Service Option II (IIA and IIB), as applicable, and demonstrate that the proposer's approach will fulfill DYCD's goals and objectives.

2. Proposer's Work Plan

Describe how the proposer will plan, complete and deliver each audit report within the prescribed time-frame, pursuant to the requirements described in Section III (Service Option I) and IV (Service Option II) - Scope of Services - in the RFP. The Work Plan should specifically indicate the audit tasks to be performed by each level of staff to be assigned to the contract. The Work Plan should specifically address items 1-7:

1. Preliminary planning stage: (Preferable page limit: ½ page)

2. Audit plan: (Preferable page limit: ½ page)

3. Execution of audit plan: (Preferable page limit: ½ page)

4. Testing of accounting system: (Preferable page limit: ½ page)

5. Testing of compliance and internal controls: (Preferable page limit: ½ page)

6. Conclusion of fieldwork: (Preferable page limit: ½ page)

7. Report preparation for each contract year being proposed: (Preferable page limit: ½ page)

D. Price Proposal

1. Budget Justification (Preferable page limit: 2 pages)

Provide a brief Budget Justification of the Price Proposal, including proposed staff hours and hourly rate.

Note: Proposers should ensure that the price proposal and justification are consistent with the proposed audits.

FORM 4a

RFP TITLE: FISCAL AUDIT SERVICES

PIN: 26007FASRFP

2. Price Proposal Forms 4a for Service Option I, 4b for Competitions IIA & IIB of Service Option II

Complete the Price Proposal Form 4a or 4c, as applicable, according to the instructions given on the form.

PRICE PROPOSAL FORM FOR SERVICE OPTION I
Audit of the Fiscal Agent

Instructions: Please fill in the information requested below. Refer to Appendix A: Contracts Administered by the Fiscal Agent, FY 2002-FY 2006. Note that Appendix A does not include contract information for FY 2007. The proposer is to estimate costs for auditing FY 2007 contracts and include those costs as well in the Price Proposal.

Staff Position	Staff Hours	Hourly Rate	Price* (Staff Hours x Hourly Rate)
Partner			
CPA/Principal Manager		\$	\$
CPA Senior		\$	\$
Accountant Staff		\$	\$
Accountant		\$	\$
Total Price**			\$

FIRM NAME:

Authorized Signature: _____ **Date:** ____/____/____

* The price should reflect the costs associated with auditing DYCD's Fiscal Agent for all six fiscal years, FY2002 – 2007.

** This figure equals the price proposal. It should fall within the range of \$450,000 to \$510,000, based on an audit cost range of \$75,000 to \$85,000 for each of the six fiscal years.

FORM 4b

RFP TITLE: FISCAL AUDIT SERVICES

PIN: 26007FASRFP

PRICE PROPOSAL FORM FOR COMPETITIONS

IIA and IIB OF SERVICE OPTION II

Independent Audits of DYCD Contracts

Instructions: Please complete each of the sections given below. The sections are organized by the dollar value category of contracts. The number of organizations in each category is given in the header box of each section.

Dollar Value Category of Contracts: \$75,000 to \$249,999

Option IIA: Price for Auditing 253 Organizations

Option IIB: Price for Auditing 163 Organizations

Staff Position	Staff Hours	Hourly Rate	Price (Staff Hours x Hourly Rate)
Partner			
CPA/Principal		\$	\$
Manager			
CPA		\$	\$
Senior			
Accountant		\$	\$
Staff			
Accountant		\$	\$
Total			
Price*			\$

* Based on a cost range per organization of \$2,000 - \$4,000, this figure should fall within the range of \$506,000 - \$1,012,000 for Option IIA and within the range of \$326,000 and \$652,000 for Option IIB.

Dollar Value Category of Contracts: \$250,000 to \$399,999**Option I: Price for Auditing 51 Organizations****Option II: Price for Auditing 47 Organizations**

Staff Position	Staff Hours	Hourly Rate	Price (Staff Hours x Hourly Rate)
Partner			
CPA/Principal		\$	\$
Manager			
CPA		\$	\$
Senior			
Accountant		\$	\$
Staff			
Accountant		\$	\$
Total			
Price*			\$

* Based on a cost range per organization of \$2,500 - \$5,000, this figure should fall within the range of \$127,500 - \$255,000 for Option IIA and within the range of \$117,000 and \$235,000 for Option IIB.

Dollar Value Category of Contracts: \$400,000 to \$750,000**Option IIA: Price for Auditing 57 Organizations****Option IIB: Price for Auditing 43 Organizations**

Staff Position	Staff Hours	Hourly Rate	Price (Staff Hours x Hourly Rate)
Partner			
CPA/Principal		\$	\$
Manager			
CPA		\$	\$
Senior			
Accountant		\$	\$
Staff			
Accountant		\$	\$
Total Price*			\$

* Based on a cost range per organization of \$3,000 - \$6,000, this figure should fall within the range of \$171,000 - \$342,000 for Option IIA and within the range of \$129,000 and \$258,000 for Option IIB

Dollar Value Category of Contracts: over \$750,000
Option IIA: Price for Auditing 39 Organizations
Option IIB: Price for Auditing 35 Organizations

Staff Position	Staff Hours	Hourly Rate	Price (Staff Hours x Hourly Rate)
Partner			
CPA/Principal		\$	\$
Manager			
CPA		\$	\$
Senior			
Accountant		\$	\$
Staff			
Accountant		\$	\$
Total			
Price*			\$

* Based on a cost range per organization of \$4,000 - \$8,000, this figure should fall within the range of \$156,000 - \$312,000 for Option IIA and within the range of \$140,000 and \$280,000 for Option IIB.

TOTAL PRICE SUMMARY
BY DOLLAR VALUE CATEGORY OF CONTRACTS

Dollar Value Category of Contracts per Organization	Total Price
Over \$750,000	\$
Between \$400,000 and \$750,000	\$
Between \$250,000 and \$399,999	\$
Between \$75,000 and \$249,999	\$
OVERALL TOTAL = Price Proposal	\$

FIRM NAME:

Authorized Signature: _____ **Date:** ____/____/____

ACKNOWLEDGEMENT OF ADDENDA**Proposer:****PIN#: 26007FASRFP**

The Acknowledgment of Addenda (Form 5) serves as the proposer's acknowledgment of the receipt of addenda to this RFP, which may be issued by DYCD prior to the Proposal Due Date and Time, as set forth in Section I (C). The proposer should complete this form per the instructions.

COMPLETE PART I OR PART II, WHICHEVER IS APPLICABLE.

PART I: List below the dates of issuance for **each addendum received** in connection with this RFP:

ADDENDUM #1 DATED: ____/____/____, 2007

ADDENDUM #2 DATED: ____/____/____, 2007

ADDENDUM #3 DATED: ____/____/____, 2007

ADDENDUM #4 DATED: ____/____/____, 2007

ADDENDUM #5 DATED: ____/____/____, 2007

PART II: Check, if applicable.

☐ NO ADDENDUM WAS RECEIVED IN CONNECTION WITH THIS RFP.

PROPOSER (NAME): _____

PROPOSER (SIGNATURE): _____