

# NOTICE TO VENDORS

The Board of Education of Oneida-Herkimer-Madison Board of Cooperative Educational Services (BOCES), in accordance with Section 103 of Article 5-A of the General Municipal Law and Article 119-O of the General Municipal Law, will receive proposals on:

## INTERNAL AUDITING SERVICES RFP #22-03-11

for the use of said district. Proposals will be received until 10:00 a.m. on the 25<sup>th</sup> day of March, 2022 at the **Support Services Office** in the **Oneida-Herkimer-Madison BOCES**, 4747 Middle Settlement Road, New Hartford, NY 13413 at which time and place they will be publicly opened and read. The Board of Education reserves the right to reject any or all proposals in whole or in part. Any proposal submitted will be binding for 45 days subsequent to the date of opening. Proposal forms and specifications are available at the Support Services Office in the Oneida-Herkimer-Madison BOCES from 9:00 a.m. to 4:00 p.m., Monday through Friday.

**Complete proposal forms are also available on our website at:**

**[HTTPS://www.oneida-boces.org/internalauditRFP](https://www.oneida-boces.org/internalauditRFP)**

Oneida-Herkimer-Madison BOCES  
Support Services Office  
PO Box 70, 4747 Middle Settlement Rd.  
New Hartford, NY 13413  
(315) 793-8572  
FAX: (315) 793-8652  
Email: smorris@oneida-boces.org

Date: March 11, 2022

Deborah Kimball, District Clerk

Bidder's Name: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Contact Person: \_\_\_\_\_ E-Mail: \_\_\_\_\_

**Oneida-Herkimer-Madison BOCES**  
**Request for Proposal - Internal Claims Auditing Services**  
**RFP# 22-03-11**

**I. INTRODUCTION**

**A. *General Information***

The Oneida-Herkimer-Madison BOCES (hereafter known as the "OHM BOCES") is requesting Proposals from Firms or individuals (hereafter known as "Firm") who are qualified to provide Internal Auditing Services for the OHM BOCES for the fiscal years ending June 30, 2022, 2023 and 2024.

There is no expressed or implied obligation for OHM BOCES to reimburse responding Firms for any expenses incurred in preparing Proposals in response to this Request for Proposals.

During the evaluation process, the OHM BOCES reserves the right, where it may serve the OHM BOCES' best interest, to request additional information or clarifications from the Firm, or to allow corrections of errors or omissions. At the discretion of the OHM BOCES, Firms submitting Proposals may be requested to make oral presentations as part of the evaluation process.

The OHM BOCES reserves the right to retain all Proposals submitted and to use any ideas in a Proposal regardless of whether that Proposal is selected. Submission of a Proposal indicates acceptance by the Firm of the conditions contained in this Request for Proposals, unless any and all such exceptions are clearly and specifically noted in the Proposal submitted and confirmed in the contract between the OHM BOCES and the Firm selected.

Following the notification of the selected Firm, it is expected a contract will be executed between both parties. The selected Firm will be known hereafter as the "Internal Auditor."

**B. *Contract Terms***

Any agreement resulting from this RFP shall be governed by and construed under the laws of the State of New York.

**II. SCOPE OF WORK**

The OHM BOCES maintains an Internal Audit function that operates in conformance with Section 2116-b of the Education Law.

**A. *The Internal Audit function shall include, at a minimum:***

1. The development of risk assessment (including a review of financial policies, procedures and practices and testing of internal controls) of the OHM BOCES operations based on, at a minimum, a review of the OHM BOCES' financial policies and procedures, and a test and evaluation of the OHM BOCES internal controls.
2. An annual review and update of such risk assessment.

3. Annual testing and evaluation of one (1) or more areas of the OHM BOCES' internal controls, as selected by the respective Audit Committee(s), taking into account risk, control weaknesses, size and complexity of operations.
4. Preparation of reports, at least annually or more frequently as the Board(s) of Education may direct, which analyze significant risk assessment findings, recommend changes for strengthening controls and reducing identified risks, and specify timeframes for implementation of such recommendations. These reports shall be made at least annually, and more frequently if requested by the Board(s) of Education.
5. The regulations of the Commissioner of Education in this regard must be understood and followed.

**B. Conduct of Internal Audit function:**

1. Personnel or entities conducting internal audits, reviews or risk assessments shall, for purposes of this section, be referred to as the Internal Auditor and shall:
  - a) *Follow generally accepted accounting standards.*
  - b) *Be independent of the OHM BOCES business operations.*
  - c) *Have the requisite knowledge and skills to complete the work.*
2. The Internal Auditor must meet professional auditing standards for independence between the Auditor and the OHM BOCES and comply with all applicable provisions of this subdivision.
3. The results of the work of the Internal Audit function shall be reported directly to the Board(s) of Education.

**C. Annual Audit Time Requirements**

The Internal Audit Function must be completed (Risk Assessment, updates, recommendations, report(s) and a timeframe for implementation) by June 30, of each fiscal year that such an audit is requested.

**D. Internal Auditor's Report**

The firm will type and make copies of all reports on its premises and deliver 15 copies of all reports to the Board of Education.

**III. QUALIFICATIONS OF FIRM'S STAFF**

The OHM BOCES is interested in the level and type of government auditing experience of those persons to be assigned as senior auditor(s) and/or manager. Brief resumes and a listing of BOCES and of governmental contracts to attest to their experience should be included. The Board of Education of the OHM BOCES reserves the right to reject staff who they feel do not have appropriate experience or qualifications to conduct the audit.

#### IV. QUALIFICATIONS AND EXPERIENCE OF THE FIRM

Firms submitting proposals should be of a sufficient size to ensure stability and responsiveness during the engagement. Firms submitting proposals shall provide information about their size as well as their local government and BOCES experience. A listing of BOCES, school district and local government references is requested.

#### V. PROPOSAL REQUIREMENTS

All proposals must be received by the Support Services office at the address below no later than 10 a.m. March 25, 2022. Any proposals received after this deadline will be returned unopened to the firm.

Scott Morris  
Support Services Office  
Oneida-Herkimer-Madison BOCES  
4747 Middle Settlement Rd  
PO Box 70  
New Hartford, NY 13413

**The envelope must be labeled “Internal Auditing Services.”**

All proposals and accompanying documentation become the property of the OHM BOCES.

- **Inquiries:** Inquiries concerning the Request for Proposals and the subject of the Request for Proposals must be made via email to:

Scott Morris, Support Services Office, Oneida-Herkimer-Madison BOCES,  
[smorris@oneida-boces.org](mailto:smorris@oneida-boces.org)

- **Proposal - Please include the following in your Proposal:**
  - Each proposal will clearly state the total annual cost of services to be charged to the OHM BOCES for the Internal Auditing Function.
  - The fee should clearly state what costs it includes (copying, mileage etc).
  - Clearly state any additional charges.
  - Briefly describe scope of work intended.
  - Names and resumes of personnel to be assigned to this audit, including the partner(s) in charge.
  - It is fully expected that the personnel indicated will be those assigned to the project. Please provide an affirmation statement that those assigned have met all the continuing professional education (CPE) requirements necessary to satisfy the United States General Accounting Office (GAO) standards. Also, provide the name(s) of individuals in the firm that will be available throughout the term of the contract for continuing advice and counsel.
  - A listing of experience in the performance of the requested services for school districts, BOCES and municipalities in New York State and the years of such experience.
  - To facilitate the evaluation process, the applicant is required to submit two (2) copies of the proposal.
- **Board of Education Process:** THE BOARD OF EDUCATION RESERVES THE RIGHT TO ACCEPT OR REJECT ANY OR ALL PROPOSALS OR ANY PARTS OF PROPOSALS.
- **Notification of Award:** After evaluation and selection of the successful applicant, all applicants will be notified, in writing, of the acceptance or rejection of their proposals. The name of the successful applicant may be disclosed.

## BID PROPOSAL CERTIFICATIONS

Firm Name:

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Business Address:

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Telephone Number: \_\_\_\_\_ Date of Bid: \_\_\_\_\_

Bid Price: \$ \_\_\_\_\_

### I. General Bid Certification

The bidder certifies that he will furnish, at the prices herein quoted, the materials, equipment, and/or services as proposed on this bid.

### II. Non-Collusive Bidding Certification

By submission of this bid proposal, the bidder certifies that he is complying with Section 103-d of the General Municipal Law as follows:

Statement of non-collusion in bids and proposals to political subdivision of the state. Every bid or proposal here-after made to a political subdivision of the state or any public department, agency or official thereof where competitive bidding is required by statute, rule, regulation, or local law, for work or services performed or to be performed or goods sold or to be sold, shall contain the following statement subscribed by the bidder and affirmed by such bidder as true under the penalties of perjury: Non-collusive bidding certification.

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

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

**B.** A bid shall not be considered for award nor shall any award be made where A. (1) (2) and (3) above have not been complied with; provided, however, that if in any case the bidder shall so state and shall furnish with the bid a signed statement which set forth in detail the reasons therefore. Where A. (1) (2) and (3) above have not been complied with, the bid shall not be considered for award nor shall any award be made unless the head of the purchasing unit of the political subdivision, public department, agency or official thereof to which the bid is made, or his designee, determines that such disclosure was not made for the purpose of restricting competition.

1. The fact that a bidder (a) has published price lists, rates, or tariffs covering items being procured, (b) has informed prospective customers of proposed or pending publication of new or revised price lists for such items, or (c) has sold the same items to other customers at the same prices being bid, does not constitute, without more, a disclosure within the meaning subparagraph one (a).
2. Any bid hereafter made to any subdivision of the state or any public department, agency or official thereof by a corporate bidder for work or services performed or to be performed or goods sold or to be sold, where competitive bidding is required by statute, rule, regulation, or local law, and where such bid contains the certification referred to in subdivision one of the section, shall be deemed to have been authorized by the board of directors of the bidder, and such authorization shall be deemed to include the signing and submission of the bid and the inclusion therein of the certificate as to non-collusion as the act and deed of the corporation.

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

Title \_\_\_\_\_