



THE TOPEKA HOUSING AUTHORITY

2010 SE California Ave. ■ Topeka, KS 66607

Phone: 785-357-8842 ■ Fax: 785-357-2648 ■ www.tha.gov

REQUEST FOR PROPOSALS FOR AUDITING SERVICES

October 12, 2012



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I. NOTICE OF THE REQUEST FOR PROPOSALS

The Topeka Housing Authority is seeking proposals from qualified firms for an external financial and compliance audit of its books and records.

If your firm is considering submitting a proposal in response to this RFP we advise that you inform us of your interest and provide us a mailing address, email address or fax number. This will assist us in providing you with timely notification of any modifications to this RFP issued in the form of addenda.

Written proposals in response to this RFP may be delivered in person, or by mail (Topeka Housing Authority, 2010 SE California Ave, Topeka, Kansas 66607), fax (785-357-2648) or email attachment (Response@tha.gov) to arrive no later than 5:00 p.m. Central Time, November 9, 2012.

In selecting the successful proposer to perform these services, consideration will be given to qualifications and fees. All qualified firms including minority-owned and small businesses, and women's business enterprises are invited to submit proposals.

II. INSTRUCTIONS FOR SUBMITTING A PROPOSAL IN RESPONSE TO THIS RFP

- A. The Topeka Housing Authority will be awarding a two-year contract with the option to extend the agreement for additional years on a year-by-year basis. The first audit period in the two-year contract is January 1, 2012 through December 31, 2012 and the second audit period is January 1, 2013 through December 31, 2013. Proposers should propose a total price covering each year of the two-year contract and a separate price for the third year.
- B. The Topeka Housing Authority reserves the right to terminate the agreement by giving written notice to the successful proposer under the following circumstances:
 1. If the successful proposer fails to materially comply with any of the terms of the Contract.
 2. In the event of default, inability, or failure to perform on the part of the successful proposer.
 3. When the successful proposer and Topeka Housing Authority agree to terminate or suspend the Contract in whole or in part, for convenience.
- C. Proposers must include the following information in their proposals:
 1. Certification that the firm is not suspended or otherwise prohibited from practice by federal, state, or local governments.
 2. Evidence that their firm is licensed to conduct business in the state of Kansas.
 3. Evidence of worker's compensation, comprehensive general liability and automobile insurance.
 4. Basic information about their company, including the following:
 - a. Full legal name of the company;

- b. Name of Parent Company, if any;
 - c. Office address(es), telephone and fax number(s) and e-mail addresses of personnel who will be involved in the audit;
 - d. Legal structure of the company (e.g. sole proprietorship, partnership, corporation, etc.);
 - e. Number of years the company has been in business under its present name;
 - f. Primary types of services offered;
 - g. Number of employees; and
 - h. Names and titles of principals and key personnel. Key personnel are defined as those licensed accountants who will have primary responsibility for furnishing services to THA.
5. Qualifications and experience of key personnel. Please provide by name and title, the following information:
- a. Professional licenses (permits); certifications and training, to include GAGAS CPE requirements met for persons planning, directing, performing field work, or reporting on these audits, and evidence of Kansas licensure (permit) for one or more persons involved in the audit.
 - b. Experience in the accounting profession as an accountant (please include number of years in practice);
 - c. Number of governmental audits completed by the firm during the past two year (Oct. 2011 – Sept 20-12) .
 - d. References: Provide a contact name and phone number or email address for at least three governmental audit references for this period.
6. Experience of firm’s principals (if not key personnel) in providing accounting services to federally-subsidized housing agencies and Public Housing Authorities;
7. If the firm has been terminated for cause from a project within the last five years, explain the reasons and circumstances surrounding the termination;
8. Rate schedule including names, titles and hourly rates for all personnel who will be furnishing services under the contract. If one or more rates is anticipated to change during the term of this engagement, please provide additional schedules indicating changes and when they will become effective, and;
9. Completed “Certifications and Representations of Offerors” form (HUD-5369-C) along with Instructions to Offerors HUD 5369-B General Contract Conditions HUD-5370-C-1 (if applicable) available on the HUD website:
- <http://www.hud.gov/offices/adm/hudclips/forms/hud5a.cfm>
- D. Submit the proposal to the Topeka Housing Authority by the specified deadline. All proposers will be notified by mail approximately two weeks after the submittal deadline as to the outcome of the first stage of the selection process.

- E. Requests for any information concerning this solicitation should be referred to John Johnston, President and Chief Executive Officer, at (785) 357-8842. To review any records prior to submitting a proposal, please call for an appointment.
- F. Any modifications to the Request for Proposals will be in the form of addenda which will be available at the Topeka Housing Authority office at least seven calendar days before the submittal deadline. Addenda will be mailed, faxed or emailed to each proposer who has previously informed us of their interest in receiving such notification, but it shall be the proposer's responsibility to make inquiry as to addenda issued. All proposers will be bound by such addenda, whether or not received.
- G. Protests concerning the Request for Proposals shall be made in writing, and delivered to Topeka Housing Authority's Contracting Officer at least ten working days prior to the submittal deadline. Protests concerning the outcome of the selection process must be made in writing to the Contracting Officer within ten working days of the selection of the successful firm. Although Topeka Housing Authority will endeavor to notify each proposer regarding the outcome of the selection process, it shall be the responsibility of each proposer to determine if it was successful.

III. SCOPE OF SERVICES

- A. The accounts and records of Topeka Housing Authority include the following. (See summary sheet for details.)
 - 1. Low Rent Public Housing
 - 2. Section 8 (Housing Choice Vouchers)/ VASH program
 - 3. Capital Funds Program
 - 4. Mainstream
 - 5. The Topeka Housing Authority may obtain additional grants and contracts during the contract period in addition to the above.
- B. The successful proposer shall initially audit the accounts and records of Topeka Housing Authority for the 12-month period beginning January 1, 2012 and ending December 31, 2012 in accordance with generally accepted accounting principles for state and local governments, the auditing and compliance supplement provisions of PIH Handbook 74761, Rev. 1, CHG.2, the Single Audit Act of 1984 and OMB Circular A-133 and Compliance Supplement.
- C. The Capital Fund Program will be treated as a major program.
- D. The audit performed shall be sufficient in scope to enable the Independent Certified Public Accountant to express an opinion in the audit report on the financial statements of Topeka Housing Authority. All audit reports required by OMB Circular A-133 are to be issued in hard copy to Topeka Housing Authority.
- E. The Independent Certified Public Accountant shall issue a hard copy report on the Financial Data Schedule in accordance with Statement on Auditing Standards No. 29 and a hard copy of the A-133 audit report.

- F. All audits will begin on or after April 1 of each year and be completed by June 30 of each year. Compliance testing may begin earlier by mutual agreement between the Independent Certified Public Accountant and Topeka Housing Authority. Final reports will be issued by July 31 of each year.
- G. The Independent Certified Public Accountant shall complete the electronic submission of the auditor's report to the U.S. Department of Housing and Urban Development (HUD) and will include the transmission of the Management Discussion and Analysis. The electronic submission will be successfully completed by August 31 of each year. The Independent Certified Public Accountant will provide the Topeka Housing Authority with electronic files of the required auditor's reports.

IV. PROGRAM SUMMARY

Topeka Housing Authority

The table below shows audited prior year expenditures and current year estimated expenditures for the named programs.

A. Low Rent Public Housing		
Prior Year Audited Expenditures		\$6,013,778
Current Year Estimated Expenditures		\$6,000,000
B. Section 8 Housing Choice Voucher/VASH Program		
Prior Year Audited Expenditures		\$6,246,414
Current Year Estimated Expenditures		\$6,000,000
C. Capital Funds Program		
2010 Capital Funds Program expended in 2012 (est.)		\$448,756
2011 Capital Funds Program expended in 2012 (est.)		\$550,000
D. Mainstream		
Prior Year Audited Expenditures		\$101,969
Current Year Estimated Expenditures		\$80,000

V. METHOD FOR EVALUATING PROPOSALS:

- A. Evaluation of proposals will be made using the following factors:
 - 1. Qualifications of key personnel
 - 2. Reasonableness of fees
- B. At the discretion of THA, the three firms submitting the highest-rated proposals may be interviewed and may also be asked to submit final proposals.