

REQUEST FOR PROPOSALS (RFP)
DEVELOPMENT OF FINANCIAL POLICIES & PROCEDURES

For the Town of Upton

Blythe C. Robinson, Town Manager/Chief Procurement Officer

March 28, 2016

Advertising Dates:
Goods & Services Bulletin – March 28, 2016
Milford Daily News, March 28, 2016

Response Due Date: ~~Friday, January 2~~ Tuesday, April 26, 2016 at 11:00 a.m.

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INTRODUCTION AND PROJECT DESCRIPTION

The Town of Upton (hereinafter, TOWN) is issuing this **Request for Proposal (RFP)** to solicit proposals from companies and firms interested in providing **services to develop a comprehensive set of financial policies and procedures** for the Town. Written responses to this RFP must be delivered to TOWN **no later than 11:00 a.m. EST on Tuesday, April 26, 2016**. No late submissions will be accepted.

The purpose of this Request for Proposal is to retain a **Consulting Firm** to assist the Town in developing a comprehensive set of financial policies and procedures for the Town of Upton. The Town has received a grant from the State to develop these policies as part of the Town participating in the Community Compact program. The Town has begun this process over the past few years and has developed several policies including a fraud policy, reserve policy and personnel bylaws. The Town's audit firm has included a recommendation in the Management Letter over the past three years that the Town develop a policies and procedures manual. Their specific recommendation is included below:

“We recommended that the Town develop and communicate a formal set of financial policies and procedures that focus on (i) purchasing, (ii) cash receipts, (iii) human resources, (iv) investment management, (v) fraud and (vi) fixed assets. As expected, this is a long-term project that the Town has informed us is underway. To that end, approximately thirty (30) administrative policies have been adopted by the Town including a fraud policy, reserve policy and personnel bylaws. The Town is in need of a departmental turn over policy for revenues not collected directly by the Town Collector, which we understand is in-process. As these policies are adopted by the Town, they are being placed on the Town's website for use by its personnel and for public inspection.”

The Town has been designated by the State as part of the Community Compact Program, and our first priority is to develop financial policies and procedures, and by doing so, to take a significant step towards strengthening the Town's overall financial operations. The State intends to award the Town a monetary grant to complete this project. The project must be completed by June 30, 2017.

Respondents are invited to propose other ideas or programs that would benefit a comprehensive financial policy and procedures manual and include that with their response to the scope of work defined in this document. Any and all ideas or programs proposed that deviate from those requested in this document must be explained in detail, and separated clearly in the proposal submittal. This RFP is **not an agreement or contract**, and represents a list of requirements only. Submitted proposals shall become property of the TOWN, and as such, the TOWN reserves the right to reject any or all proposals for any reason.

DATES:

- Advertising dates and venues:
 - March 28, 2016 - State Goods & Services Bulletin
 - March 28, 2016 - Milford Daily News

- Written proposals must be received by the office of the Town Manager/Chief Procurement Officer no later than 11:00 a.m. on Friday, January 29, 2016. Proposals **MUST** include an original and three (3) copies. Proposals submitted by fax or by electronic mail will not be considered. Postmarks will not be considered.

SUBMISSION DEADLINE AND INSTRUCTIONS

Sealed proposals must be received and registered by the Town Manager/Chief Procurement Officer, Upton Town Hall, 1 Main Street, Upton, MA 01568 by Tuesday, April 26, 2016 at 11:00 a.m. at which time and place the sealed proposals shall be publicly opened. Proposals **MUST** include an original and three (3) copies. No proposals will be accepted after the time and date noted. The Upton Town Hall is open to receive proposals from 8:00 a.m. – 4:00 p.m. Monday through Thursday, and Friday 8:00 am. - noon.

Request for Proposal documents may be obtained at the office of Town Manager/Chief Procurement Officer Blythe C. Robinson, 1 Main Street, Upton, MA 01568 or via email at brobinson@uptonma.gov.

Applicants must also execute, as required by law, and include in the sealed submission the Certificate of Non-Collusion, the Certificate of Corporate Authority and the Certificate of Tax Compliance, copies of which are attached. Proposers should provide one (1) signed original proposal and three (3) copies.

Proposals are to be sealed and properly identified on the outer envelope as Proposal for Development of Financial Policies & Procedures with the applicant's name and address and delivered to:

Blythe C. Robinson, Town Manager
Town of Upton
1 Main Street, Box 1
Upton, MA 01568
508-529-6901

The following information is specifically required:

1. Name and address of applicant, telephone/fax numbers and e-mail address.
2. Brief résumé of principals and of the staff to be assigned to the Project.
3. List of completed projects that would best illustrate qualifications for the Project.
4. Three references for projects of a similar or larger scope, with contact name, title and telephone number.
5. Names and qualifications of any outside vendors that may be used for the Project.
6. Statement of the scope and type of services proposed for the Project. The applicant should describe the process and methodology to be used in the completion of services with specific reference to examples of similar projects in which this methodology has been used.

7. Statement of any legal or administrative proceedings, pending or concluded adversely, to the applicant within the past five (5) years which relate to the applicant's performance of this type of work.
8. Appropriate certifications of insurance.
9. Evidence of financial stability.
10. A current firm brochure may be submitted with the proposal.

INSURANCE AND IDEMNIFICATION

As a condition of application, each applicant agrees to carry, if selected for this project, professional malpractice or an errors and omissions insurance policy with limits of at least \$1,000,000 per claim and \$2,000,000 aggregate, with a deductible of no more than \$25,000 per claim. Additionally, the selected contractor shall obtain and maintain at its own expense, general liability and motor vehicle liability insurance policies protecting the Town of Upton in connection with any operations included in the contract, and shall have the Town of Upton listed as additionally insured on the policies. General coverage shall be in the amount of \$1,000,000 per occurrence and \$2,000,000 aggregate for bodily injury and property damage liability. Workers' compensation insurance, in accordance with the requirements of Massachusetts law, will also be required.

Indemnification: The successful applicant shall agree to indemnify and hold harmless the Town of Upton and its officers, boards and employees, and the Board of Selectmen, from and against all claims, causes of action, suits, damages and liability of any kind which arise out of the negligence or willful misconduct of the successful applicant or its officers, employees, agents and representatives regarding the project manager services performed.

Proposals must be signed as follows:

1. If the proposer is an individual, by her/him personally.
2. If the proposer is a partnership, by the name of the partnership, followed by the signature of each general partner.
3. If the proposer is a corporation, by the authorized officer, whose signature must be attested to by the Clerk/Secretary of the corporation and corporate seal affixed.

The Upton Board of Selectmen, as the awarding authority, reserves the right to accept any proposal in whole, and to reject any and all proposals if it shall be deemed in the best interests of the Town of Upton to do so.

QUESTIONS, ADDENDUM, OR PROPOSAL MODIFICATION

Questions concerning this request must be submitted in writing to the Town Manager/Chief Procurement Officer. All inquiries received 5 or more days prior to the opening will be considered. Questions may be delivered, mailed, emailed or faxed (508-529-1010). Written responses will be mailed or faxed to all applicants on record as having received the RFP.

If any changes are made to the RFP, an addendum will be issued. Addenda will be mailed, emailed or faxed to all applicants on record as having received the RFP.

All proposals submitted in response to this RFP shall remain firm for ninety (90) days following the proposal opening. The contract will be awarded within 90 days after the proposal opening. The time for award may be extended for up to 45 additional days by mutual agreement between the Town Manager/Chief Procurement Officer and the highest ranked applicant, on the basis of the selection criteria stated below.

An applicant may correct, modify, or withdraw a proposal by written notice received by the Town Manager/Chief Procurement Officer prior to the time of proposal opening. Proposal modifications must be submitted in a sealed envelope clearly labeled “**Modification No. ____**”. Each modification must be numbered in sequence, and must reference the RFP.

After the opening of proposals, an applicant may not change any provision of the proposal in a manner prejudicial to the interests of the Town of Upton or fair competition. Minor informalities may be waived or the applicant may be allowed to correct them.

I. TECHNICAL PROPOSAL AND SCOPE OF WORK

A. Scope of Work

Scope of Work activity categories and requirements of each category as part of this RFP.

Specific activity categories will include:

i. Review the Existing Policies & Meet with the Financial Team

Hold meetings with the Town Manager, Town Accountant and Treasurer/Collector to review the policies that are already in place. Also hold meetings with the Board of Selectmen and Finance Committee to discuss the community’s goals and priorities.

ii. Recommend Model Policies and Procedures

Develop a set of policies and procedures that would be considered best practices for the Town of Upton. Advise the Town of standards and guidelines such as the Governmental Accounting Standards Board (GASB), Government Finance Officers Association (GFOA), and State Associations for Town Accountants and Treasurer/Collectors that are relevant to this process. Meet with various stakeholders to review those and how they will impact the operations of the Town. Modify policies and procedures to ensure the final product is in keeping with the Town’s preferences. Final product must be in a format so the Town can submit it to bond rating agencies such as Standard & Poors. Review draft policies with the Town’s outside auditors.

iii. Public Meetings

Attend several public meetings of various Town Boards to review the process, discuss the priorities of the Town, and make a final presentation to the Board of Selectmen and Finance Committee.

B. Work Plan

The technical proposal must contain all work or project requirements necessary to accomplish the scope of work defined in this RFP. Include a complete description of the proposed approach and methodology for the project, all project requirements, and the tasks required to accomplish the project. Vendors should estimate the number of work hours required for the project.

The plan must be in sufficient detail to convey to members of the evaluation team the Bidder's knowledge of the subjects and skills necessary for the project. Include any required involvement of the Town or its participating elected and appointed officials.

The Bidder may present any creative approaches that might be appropriate. The Bidder may also provide supporting documentation that would be pertinent to this RFP.

Provide a separate schedule indicating when the elements of the work will be completed and when services will be provided.

FEE

The fee for this project is to be negotiated **upon selection**. The fee will include all expenses, direct and indirect, for this project. Payments for services resulting from this RFP are subject to available funds. All proposals shall belong to the Town of Upton. The successful applicant shall agree to comply with all applicable federal, state and local laws in its performance of its contract with the Town of Upton. The Town reserves the right to negotiate mutually acceptable amendments to the contract arising from the RFP and in particular with respect to additional services.

EVALUATION & MINIMUM CRITERIA

Proposals will be uniformly evaluated by the Town of Upton. Based on the review of the proposals up to three finalists will be short-listed and interviewed by the Town. All firms or individuals short-listed will be notified at least three business days prior to their scheduled interview. All firms or individuals submitting proposals will be notified by the Town.

The Town will rate the firm as submitting a responsible and responsive proposal if it fulfills the following minimum criteria:

1. Firm/Individual Name, Contact Name, Address, Telephone and Fax Numbers.
2. Firm/Individual History including length of time the firm/individual has been in business.
3. Names and Titles of firm partners and/or officers. Key personnel that will be employed as part of the Financial Policies & Procedures team including: resumes, professional designations, licenses held, information on experience with similar projects, and each person's level of involvement in, and the organizational structure of the staffing for this project.
4. A listing of current and past public and private projects of a similar nature with the names and telephone numbers of references to contact. Photos may be provided.
5. Submission of 1) a Certificate of Non-Collusion; 2) a Certification of Tax Compliance.
6. Any other information that the applicant considers relevant for the purpose of evaluating its qualifications for the.
7. Adequate financial stability and proof of professional liability insurance. The Town of Upton must also be able to be named an "additional insured". Other town insurance requirements for comprehensive, etc. will be included in the contract for services.

The Town of Upton reserves the right to reject any proposal which does not demonstrate compliance with each of the foregoing minimum qualifications.

EVALUATION OF NON-PRICE PROPOSALS COMPARATIVE CRITERIA

The Town will evaluate proposals and assign the rank of "highly advantageous," "advantageous," "not advantageous," or "unacceptable." Any proposal that receives an "unacceptable" rating for any of the criteria may be rejected. In addition to the material submitted within the proposal for all firms deemed to have submitted responsive and responsible proposals, the Committee will likely contact the listed references and may ask for additional information or a clarification of any responses.

1. Ability to demonstrate a high degree of qualifications and experience in performance of services on projects of a similar nature.
2. Thorough knowledge of the Massachusetts State Laws as they pertain to this project, and all other pertinent standards and guidelines (GASB, Government Finance Officers Association, etc.) related to the successful completion of the project.
3. Ability to work with municipal officials, state officials, and elected and appointed committee members on behalf of the Owner in providing relevant information and facilitating decisions and actions of the various participants with the goal of advancing the progress of the Project on a timely basis.
4. Ability to commit the resources necessary to complete the services outlined in this RFP and the ability to sustain that commitment for the entire duration of the Project.
5. Evaluation of references for similar projects.

6. The qualifications and educational backgrounds of those assigned to the project, including past relevant experience in all aspects of public finance work. Identification of the primary contact is required, and the primary contact shall not be changed during the engagement without permission of the TOWN.
7. Experience in providing consulting services for municipalities in Massachusetts similar in structure to the Town of Upton. List references by community, relevant project, contact name, and daytime telephone number. List and contact information for all Massachusetts projects within the past five years would be beneficial.
8. Familiarity and experience of firm with public bidding
9. List all experiences with public contracts in the past ten years that required some form of arbitration or legal action in the state or federal court systems to complete the contract work and the role your firm played in the resolution of these disputes, if any.

The Town of Upton Board of Selectmen, as the awarding authority, may request that applicants provide additional information during the review and selection process.

TOWN OF UPTON

TAX COMPLIANCE CERTIFICATION

Pursuant to M.G.L. c.62C, §49A, I certify under the penalties of perjury that, to the best of my knowledge and belief, the below named business is in compliance with all laws of the Commonwealth relating to taxes, reporting of employees and contractors, and withholding and remitting child support.

(Date)

(Signature of individual submitting bid or proposal)

(Printed name of person signing bid or proposal)

(Name of business)

(Business address)

(Business phone number)

MUST BE RETURNED SIGNED WITH THE SEALED BID PACKET

TOWN OF UPTON

CERTIFICATE OF CORPORATE AUTHORITY

The principal, officer or person to sign below pledges under penalties of perjury, that he or she has been designated by the owner(s) or the Board of Directors of the below named firm as an authorized representative.

(Date)

(Signature of individual submitting bid or proposal)

(Printed name and title of person signing bid or proposal)

(Name of business)

(Business address)

(Business phone number)

MUST BE RETURNED SIGNED WITH THE SEALED BID PACKET

TOWN OF UPTON

NON-COLLUSION STATEMENT
CONTRACTOR'S CERTIFICATION IN BID/PROPOSAL TO BE ATTACHED TO CONTRACT

Any person submitting a Bid or Proposal for the procurement or disposal of supplies and services to any governmental body shall certify in writing, on the Bid or Proposal, as follows:

“The undersigned certifies under penalties of perjury that this Bid or Proposal has been made and submitted in good faith and without collusion or fraud with any other person. As used in this certification, the word “person” shall mean any natural person, business, partnership, corporation, union, committee, club, or other organization, entity or group of individuals.”

(Date)

(Signature of person signing bid or proposal)

(Printed name of person signing bid or proposal)

(Title)

(Name of Business)

(Business address)

(Business Phone Number)

MUST BE RETURNED SIGNED WITH THE SEALED PROPOSAL PACKET

SIGNATURE PAGE

The applicant hereby certifies that:

1. The applicant has not given, offered, or agreed to give any gift, contribution, or offer of employment as an inducement for, or in connection with, the award of contract for these services.
2. No consultant to, or subcontractor for the applicant has given, offered, or agreed to give any gift, contribution or offer of employment to the applicant, or to any other person, corporation, or entity as an inducement for, or in connection with, the award to the consultant or subcontractor of a contract by the applicant.
3. That no person, corporation, or, other entity other than a bona fide full-time employee of the applicant has been retained or hired to solicit for, or in any way assist the applicant in obtaining the contract for services upon an agreement or understanding that such person, corporation, or entity be paid a fee or other compensation contingent upon the award of the contract to the applicant.

I hereby attest with full knowledge of the penalties for perjury, as in accordance with Massachusetts G.L. C.7, S.38E that all information provided in this application for services is correct.

Firm

Signee (written)

Signee (typed/printed)

Title

Date

MUST BE RETURNED SIGNED WITH THE SEALED PROPOSAL PACKET