



REQUEST FOR PROPOSALS
FOR
PROFESSIONAL AUDITING SERVICES

Pueblo City-County Library District
100 E. Abriendo Avenue
Pueblo, CO 81004

REQUEST FOR PROPOSAL DATE: April 1, 2013

PROPOSALS DUE NLT: 3:00 pm, May 8, 2013

RFP # 1304018015A

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I. INTRODUCTION

A. General Information

The Pueblo City-County Library District (PCCLD) is requesting proposals from qualified firms of certified public accountants to audit its financial statements for the fiscal year ending December 31, 2013, with the option of renewing the engagement for the audit for each of the four subsequent fiscal years. The firm will perform these audits in accordance with generally accepted auditing standards.

There is no expressed or implied obligation for PCCLD to reimburse responding firms for any expenses incurred in preparing proposals in response to this request.

To be considered, you must meet the qualifications and scheduled dates as outlined in this RFP package. Please submit your Technical Proposal and sealed dollar cost bid to arrive NLT 3:00 p.m. on Wednesday, May 8, 2013 to:

**Jane Carlsen, Executive Assistant
Pueblo City-County Library District
100 E. Abriendo Avenue
Pueblo, CO 81008**

Late or incomplete proposals will not be considered. PCCLD reserves the right to reject any or all proposals and to select the firm that, at the sole discretion of PCCLD, best satisfies its overall needs.

B. Term of Engagement

A five-year contract is contemplated, subject to the annual review and recommendation of the Audit Committee, the satisfactory negotiation of terms (including a price acceptable to both PCCLD and the selected firm), the concurrence of the Board of Trustees and the annual availability of an appropriation.

II. NATURE OF SERVICES REQUIRED

A. General

PCCLD is soliciting the services of qualified firms of certified public accountants to audit its financial statements for the fiscal year ending December 31, 2013, with the option to repeat the audit for each of the four subsequent fiscal years. The firm will perform these audits in accordance with generally accepted auditing standards.

B. Scope of Work to be Performed

PCCLD desires the auditor to express an opinion on the fair presentation of its Comprehensive Annual Financial Report in conformity with generally accepted accounting principles.

PCCLD also desires the auditor to express an opinion on the fair presentation of its combining and individual fund and account group financial statements and schedules in conformity with generally accepted accounting principles. The auditor shall also be responsible for performing certain limited procedures involving supplementary information required by the Governmental Accounting Standards Board as mandated by generally accepted auditing standards.

C. Auditing Standards To Be Followed

To meet the requirements of this request for proposal, the audit shall be performed in accordance with generally accepting auditing standards as set forth by the American Institute of Certified Public Accountants, the standards for financial audits set forth in the U.S. General Accounting Office's Government Auditing Standards, the provisions of the Single Audit Act of 1984 and the provisions of U.S. Office of Management and Budget (OMB) Circular A-128, Audits of State and Local Governments.

D. Reports to be Issued

Following the completion of the audit of the fiscal year's financial statements, the auditor shall issue a report on the fair presentation of the financial statements in conformity with generally accepted accounting principles.

The auditor shall communicate in a letter to management any reportable conditions found during the audit. A reportable condition shall be defined as a significant deficiency in the design or operation of the internal control structure, which could adversely affect the organization's ability to record, process, summarize, and report financial data consistent with the assertions of management in the financial statements.

Reporting to the audit committee. Auditors shall assure themselves that the PCCLD's audit committee is informed of each of the following:

1. The auditor's responsibility under generally accepted auditing standards
2. Significant accounting policies
3. Management judgments and accounting estimates
4. Significant audit adjustments
5. Other information in documents containing audited financial statements
6. Disagreements with management
7. Management consultation with other accountants
8. Major issues discussed with management prior to retention
9. Difficulties encountered in performing the audit

E. Special Considerations

1. As a 501(c)3 organization, PCCLD is required to annually file an IRS 990 form. It is anticipated that the auditor would prepare this form on behalf of PCCLD.

- F. Working Paper Retention and Access to Working Papers
All working papers and reports must be retained, at the auditor's expense, for a minimum of five years, unless the firm is notified in writing by PCCLD of the need to extend the retention period. The auditor will be required to make working papers available, upon request, to the following parties or their designees:

PCCLD

Parties designated by the federal or state governments or by PCCLD as part of an audit quality review process

Auditors of entities of which PCCLD is a sub-recipient of grant funds

In addition, the firm shall respond to the reasonable inquiries of successor auditors and allow successor auditors to review working papers relating to matters of continuing accounting significance.

III. DESCRIPTION OF THE GOVERNMENT

- A. Name and Telephone Number of Principle Contact Person during the audit:

Chris Brogan, Chief Financial Officer (719.562.5652), or a designated representative, who will coordinate the assistance to be provided by PCCLD to the auditor.

- B. Background Information

PCCLD serves an area of 2,414 square miles with a population of approximately 161,000. PCCLD's fiscal year begins on January 1 and ends on December 31.

PCCLD provides public library service, and its operations are governed by the "Colorado Library Law," Article 90 of Title 24, C.R.S.

PCCLD has a total payroll of \$ 3,777,368 covering 128 employees.

PCCLD is organized into 16 departments and agencies. The accounting and financial reporting functions of PCCLD are centralized.

More detailed information on the government and its finances can be found in the 2011 Comprehensive Annual Financial Report and the 2013 Budget on the web site: www.pueblolibraries.org

- C. Fund Structure

PCCLD uses the following fund types and account groups in its financial reporting:

Fund Type/Account Group

General fund
Special revenue fund
Capital projects fund
Trust fund
General fixed assets account group
General long-term debt account group

- D. Budgetary Basis of Accounting

PCCLD prepares its budgets on a basis consistent with GAAP.

E. Pension Plans

PCCLD is a member of PERA, the Public Employees Retirement Association.

F. Component Units

PCCLD is defined, for financial reporting purposes, in conformity with the Governmental Accounting Standards Board's Codification of Governmental Accounting and Financial Reporting Standards, Section 2100.

PCCLD is also identified as a 501(c)3 non-profit organization.

G. Magnitude of Finance Operations

The finance department is headed by Chris Brogan, Chief Financial Officer, and consists of four employees. The principal functions performed and the number of employees assigned to each are as follows:

<u>Function</u>	<u>Number of Employees</u>
Accountant (AP, bank rec., GL mtce., financials)	1
Accounting Specialist (AP entry, payroll, reports)	1
Purchasing Specialist (Purchasing)	1

H. Computer Systems

Hardware

<u>Type of Equipment</u>	<u>Number</u>	<u>Make of Equipment</u>	<u>Networked</u>
P.C.	4	Lenovo	Yes
Printer	2	HP, Konica Minolta	Yes

Software

<u>Make</u>	<u>Vendor</u>	<u>Major Applications</u>
Sage ERP 100	BCS Prosoft	G/L, A/P, Purchasing
Sage ABRA	BCS Prosoft	HR, Payroll
TimeClock	TimeClock	Time & Attendance
Sage FAS	BCS Prosoft	Fixed Asset system

I. Availability of Prior Audit Reports and Working Papers

Interested proposers who wish to review prior years' management letters should contact Chris Brogan @ 719-562-5652. PCCLD will use its best efforts to make prior audit reports and supporting working papers available to proposers to aid their response to this request for proposals.

IV. TIME REQUIREMENTS

A. Proposal Calendar

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

Request for proposal issued	April 1, 2013
Due date to request information	April 29, 2013
Due date for proposals	May 8, 2013

B. Notification and Contract Dates

Selected firm notified	May 24, 2013
Contract date	By May 30, 2013

C. Date Audit May Commence

To be developed with auditors

D. Schedule for the 2013 Fiscal Year Audit (PCCLD will develop a similar time schedule for future audits if it exercises its option for additional audits).

The auditor is to complete each of the following no later than the dates indicated.

1. Detailed Audit Plan

The auditor shall provide PCCLD by September 1, 2013, a detailed audit plan and a list of all schedules for PCCLD to prepare

2. Fieldwork

The auditor shall complete all fieldwork by March 28, 2014.

3. Draft Reports

The auditor shall have drafts of the audit report[s] and recommendations to management available for review by the Audit Committee and the Chief Financial Officer by May 1, 2014. The Chief Financial Officer and the Audit Committee will complete their review of the draft report as expeditiously as possible. It is not expected that this process should exceed two weeks. During that period, the auditor should be available for any meetings that may be necessary to discuss the audit reports.

4. Final Report

Once all issues for discussion are resolved, the auditors will deliver the final signed report to the Chief Financial Officer within five working days. It is anticipated that this process will be completed and the final report delivered by May 16, 2014.

V. ASSISTANCE TO BE PROVIDED TO THE AUDITOR AND REPORT PREPARATION

A. Finance Department and Clerical Assistance

The finance department staff and responsible management personnel will be available during the audit to assist the firm by providing information, documentation and explanations. The preparation of confirmations will be the responsibility of PCCLD.

B. Work Area, Telephones, Photocopying and FAX Machines

PCCLD will provide the auditor with reasonable work space, desks and chairs. The auditor will also be provided with access to telephones, photocopying facilities and FAX machines.

C. Report Preparation

Report preparation, editing and printing shall be the responsibility of the auditor.

Preparation, editing and printing of the Comprehensive Annual Financial Report shall be the responsibility of PCCLD.

VI. PROPOSAL REQUIREMENTS

A. General Requirements

1. Inquiries

Make your Inquiries concerning this request for proposal to:

Chris Brogan
719-562-5652
Email: chris.brogan@pueblolibrary.org

DURING THE SELECTION PROCESS (UNLESS NOTIFIED OTHERWISE)
YOU ARE TO LIMIT YOUR CONTACT WITH PCCLD PERSONNEL OTHER
THAN CHRIS BROGAN. FAILURE TO DO SO MAY BE GROUNDS FOR
YOUR ELIMINATION FROM THE SELECTION PROCESS.

2. Submission of Proposal

The following material is required from a proposing firm to be considered:

- a. An original (so marked) of your Technical Proposal, three paper copies, and one digital copy (flash drive or CD, no e-mailed copies will be accepted) to include the following:

i. Title Page

Title page showing the request for proposals subject; the firm's name; the name, address and telephone number of the contact person; and the date of the proposal.

ii. Table of Contents

iii. Transmittal Letter

A signed letter of transmittal briefly stating the proposer's understanding of the work to be done, the commitment to perform the work within the time period, a statement why the firm believes itself to be best qualified to perform the engagement and a statement that the proposal is a firm and irrevocable offer.

iv. Detailed Proposal

The detailed proposal should follow the order set forth in Section VI B of this request for proposals.

v. Executed copies of Proposer Guarantees and Proposer Warranties, attached to this request for proposal (Appendix B and Appendix C).

b. An original dollar cost bid and three copies. Put these in four separate sealed envelopes (mark each one as follows) with your four Technical Proposals into your primary mailing envelope:

SEALED DOLLAR COST BID
PROPOSAL FOR
Pueblo City-County Library District
FOR
PROFESSIONAL AUDITING SERVICES
2013

B. Technical Proposal

NOTE: THERE SHOULD BE NO DOLLAR UNITS OR TOTAL COSTS INCLUDED IN THE TECHNICAL PROPOSAL DOCUMENT.

1. General Requirements

The purpose of the Technical Proposal is to demonstrate the qualifications, competence, and capacity of the firms seeking to undertake an independent audit of PCCLD in conformity with the requirements of this request for proposal. As such, the substance of proposals will carry more weight than their form or manner of presentation. The Technical Proposal should demonstrate the qualifications of the firm and of the particular staff to be assigned to this engagement. It should also specify an audit approach that will meet the request for proposal requirements.

The Technical Proposal should address all the points outlined in the request for proposal (excluding any cost information which should only be included in the sealed dollar cost bid). The Proposal should be prepared simply and economically, providing a straightforward, concise description of the proposer's capabilities to satisfy the requirements of the request for proposal. While additional data may be presented, the following subjects, item Nos. 2 through 10, must be included. They represent the criteria against which the proposal will be evaluated.

2. Independence

The firm should provide an affirmative statement that is independent of PCCLD

as defined by generally accepted auditing standards/the U.S. General Accounting Office's Government Auditing Standards.

The firm also should provide an affirmative statement that it is independent of all of the component units of PCCLD as defined by those same standards.

The firm should also list and describe the firm's professional relationships involving PCCLD or any of its component units for the past five years, together with a statement explaining why such relationships do not constitute a conflict of interest relative to performing the proposed audit.

In addition, the firm shall give PCCLD written notice of any professional relationships entered into during the period of this agreement.

3. License to Practice in Colorado

An affirmative statement should be included that the firm and all assigned key professional staff are properly licensed to practice in Colorado.

4. Firm Qualifications and Experience

The proposer should state the size of the firm, the size of the firm's governmental audit staff, the location of the office from which the work on this engagement is to be performed, and the number and nature of the professional staff to be employed in this engagement on a full-time basis, and the number and nature of the staff to be so employed on a part-time basis.

If the proposer is a joint venture or consortium, the qualifications of each firm comprising the joint venture or consortium should be separately identified and the firm that is to serve as the principal auditor should be noted, if applicable.

The firm is also required to submit a copy of the report on its most recent external quality control review, with a statement whether that quality control review included a review of specific government engagements.

The firm shall also provide information on the results of any federal or state desk reviews or field reviews of its audits during the past three years. In addition, the firm shall provide information on the circumstances and status of any disciplinary action taken or pending against the firm during the past three years with state regulatory bodies or professional organizations.

5. Partner, Supervisory and Staff Qualifications, and Experience

Identify the principal supervisory and management staff, including engagement partners, managers, and other supervisors and specialists, who would be assigned to the engagement. Indicate whether each such person is registered or licensed to practice as a certified public accountant in Colorado. Provide information on the government auditing experience of each person, including information on relevant continuing professional education for the past three years and membership in professional organizations relevant to the performance of this audit.

Provide as much information as possible regarding the number, qualifications, experience and training, including relevant continuing professional education, of the specific staff to be assigned to this engagement. Indicate how the quality of staff over the term of the agreement will be assured.

The proposer should identify the extent to which staff to be assigned to the audit reflect PCCLD's commitment to Affirmative Action.

Engagement partners, managers, other supervisory staff, and specialists may be changed if those personnel leave the firm, are promoted, or are assigned to another office. These personnel may also be changed for other reasons with the express prior written permission of PCCLD. However, in either case, PCCLD retains the right to approve or reject replacements.

Consultants and firm specialists mentioned in response to this request for proposal can only be changed with the express prior written permission of PCCLD, which retains the right to approve or reject replacements.

Other audit personnel may be changed at the discretion of the proposer provided that replacements have substantially the same or better qualifications or experience.

6. Prior Engagements with PCCLD

List separately all engagements within the last five years, ranked on the basis of total staff hours, for PCCLD by type of engagement (i.e., audit, management advisory services, other). Indicate the scope of work, date, engagement partners, total hours, the location of the firm's office from which the engagement was performed, and the name and telephone number of the principal client contact.

7. Similar Engagements with Other Government Entities

For the firm's office that will be assigned responsibility for the audit, list the most significant engagements (five maximum) performed in the last five years that are similar to the engagement described in this request for proposal.

These engagements should be ranked on the basis of total staff hours. Indicate the scope of work, date, engagement partners, total hours, and the name and telephone number of the principal client contact.

8. Specific Audit Approach

The proposal should set forth a work plan, including an explanation of the audit methodology to be followed, to perform the services required in Section II of this request for proposal. In developing the work plan, reference should be made to such sources of information as PCCLD's budget and related materials, organizational charts, manuals and programs, and financial and other management information systems.

Proposers will be required to provide the following information on their audit approach:

- a. Proposed segmentation of the engagement
- b. Level of staff and number of hours to be assigned to each proposed segment of the engagement
- c. Sample size and the extent to which statistical sampling is to be used in

the engagement

- d. Extent of use of EDP software in the engagement
- e. Type and extent of analytical procedures to be used in the engagement
- f. Approach to be taken to gain and document an understanding of PCCLD's internal control structure
- g. Approach to be taken in determining laws and regulations that will be subject to audit test work
- h. Approach to be taken in drawing audit samples for purposes of tests of compliance

9. Identification of Anticipated Potential Audit Problems

The proposal should identify and describe any anticipated potential audit problems, the firm's approach to resolving these problems and any special assistance that will be requested from PCCLD.

10. Report Format

The proposal should include sample formats for required reports.

C. Sealed Dollar Cost Bid

1. Total All-Inclusive Maximum Price

The sealed dollar cost bid should contain all pricing information relative to performing the audit engagement as described in this request for proposal. The total all-inclusive maximum price to be bid is to contain all direct and indirect costs including all out-of-pocket expenses.

PCCLD will not be responsible for expenses incurred in preparing and submitting the technical proposal or the sealed dollar cost bid. Such costs should not be included in the proposal.

The first page of the sealed dollar cost bid should include the following information:

- a. Name of Firm
- b. Certification that the person signing the proposal is entitled to represent the firm, empowered to submit the bid, and authorized to sign a contract with PCCLD.
- c. A Total All-Inclusive Maximum Price for the 2013 engagement.

2. Rates by Partner, Specialist, Supervisory and Staff Level Personnel Times Hours Anticipated for each

The second page of the sealed dollar cost bid should include a schedule of professional fees and expenses, presented in the format provided in the attachment (Appendix D), that supports the total all-inclusive maximum price. The cost of special services described in Section II E for proposal should be disclosed as separate components of the total all-inclusive maximum price.

3. Out-of-pocket Expenses Included in the Total All-Inclusive Maximum Price and Reimbursement Rates

Out-of-pocket expenses for firm personnel (e.g., travel, lodging and subsistence) will be reimbursed at the rates used by PCCLD for its employees. All estimated out-of-pocket expenses to be reimbursed should be presented on the second page of the sealed dollar cost bid in the format provided in the attachment (Appendix D). All expense reimbursements will be charged against the total all-inclusive maximum price submitted by the firm.

In addition, a statement must be included in the sealed dollar cost bid stating the firm will accept reimbursement for travel, lodging and subsistence at the prevailing PCCLD rates for its employees.

4. Rates for Additional Professional Services

If it should become necessary for PCCLD to request the auditor to render any additional services to either supplement the services requested in this RFP or to perform additional work as a result of the specific recommendations included in any report issued on this engagement, then such additional work shall be performed only if set forth in an addendum to the contract between PCCLD and the firm. Any such additional work agreed to between PCCLD and the firm shall be performed at the same rates set forth in the schedule of fees and expenses included in the sealed dollar cost bid.

5. Manner of Payment

Progress payments will be made on the basis of hours of work completed during the course of the engagement and out-of-pocket expenses incurred in accordance with the firm's dollar cost bid proposal. Interim billing shall cover a period of not less than a calendar month. Ten percent (10%) will be withheld from each billing pending delivery of the firm's final reports.

VII. EVALUATION PROCEDURES

A. Audit Committee

An Audit Committee consisting of three members of the Board of Trustees, working with the Chief Financial Officer, will evaluate the proposals. During the evaluation process, the Audit Committee and PCCLD reserve the right, where it may serve PCCLD's best interest, to request additional information or clarifications from proposers, or to allow corrections of errors or omissions. PCCLD or the Audit Committee at its discretion may request firms submitting proposals to make oral presentations as part of the evaluation process.

PCCLD 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 clearly and specifically noted in the proposal submitted and confirmed in the contract between the PCCLD and the selected firm.

B. Review of Proposals

The Audit Committee will use a point formula during the review process to score proposals. Each member of the Audit Committee will first score each technical proposal by each of the criteria described in Section VII C below. The full Audit Committee will then convene to review and discuss these evaluations and to combine the individual scores to arrive at a composite technical score for each firm. At this point, firms with an unacceptably low technical score will be eliminated from further consideration. Additional evaluation of proposals may be performed through telephone inquiries made by the Chief Financial Officer of government officials identified in Section VI.B.7. Qualified firms will be fully identified and pre-selected through this process.

After the composite technical qualification has been made, the sealed dollar cost bid will be opened and the pre-selected firm offering the lowest total all-inclusive maximum price will be selected. Per policy, the District will accept the best and lowest bid.

PCCLD reserves the right to retain all proposals submitted and use any idea in a proposal regardless of whether that proposal is selected.

C. Evaluation Criteria

Proposals will be evaluated using three sets of criteria. Firms meeting the mandatory criteria will have their proposals evaluated and scored for both technical qualifications and price. The following represent the principal selection criteria which will be considered during the evaluation process.

1. Mandatory Elements [Maximum points - 35]

- a. The audit firm is independent and licensed to practice in Colorado
- b. The firm has no conflict of interest with regard to any other work performed by the firm for PCCLD
- c. The firm adheres to the instructions in this request for proposal on preparing and submitting the proposal
- d. The firm submits a copy of its last external quality control review report and the firm has a record of quality audit work

2. Technical Qualifications: [Maximum Points - 65]

a. Expertise and Experience

- (i) The firm's past experience and performance on comparable government engagements
- (ii) The quality of the firm's professional personnel to be assigned to the engagement and the quality of the firm's management support personnel to be available for technical consultation

b. Audit Approach

- (i) Adequacy of proposed staffing plan for various segments of the engagement
- (ii) Adequacy of sampling techniques
- (iii) Adequacy of analytical procedures

D. Oral Presentations

During the evaluation process, the Audit Committee may, at its discretion, request any one or all firms to make oral presentations. Such presentations will provide firms with an opportunity to answer any questions the Audit Committee may have on a firm's proposal. Not all firms may be asked to make such oral presentations.

E. Final Selection

The Board of Trustees will take action to make the final selection of a firm.

It is anticipated that a firm will be selected by May 24, 2013. Following notification of the firm selected, it is expected a contract will be executed between both parties by May 30, 2013.

F. Right to Reject Proposals

Submission of a proposal indicates acceptance by the firm of the conditions contained in this request for proposal unless clearly and specifically noted in the proposal submitted and confirmed in the contract between PCCLD and the firm selected.

PCCLD reserves the right without prejudice to reject any or all proposals.

APPENDIX A

- 2011 Pueblo City-County Library District Financial Statements including Auditor opinion - access at http://www.pueblolibrary.org/sites/default/files/Pueblo_Library_District_2011_CAFR_Final.pdf

APPENDIX B

PROPOSER GUARANTEES

The proposer certifies it can and will provide and make available, as a minimum, all services set forth in Section II, “Nature of Services Required.”

Signature of Official:

Name (printed):

Title:

Firm:

Date:

APPENDIX C

PROPOSER WARRANTIES

- A. Proposer warrants that it is willing and able to comply with State of Colorado laws with respect to foreign (non-state of Colorado) corporations.
- B. Proposer warrants that it is willing and able to obtain an errors and omissions insurance policy providing a prudent amount of coverage for the willful or negligent acts, or omissions of any officers, employees or agents thereof.
- C. Proposer warrants that it will not delegate or subcontract its responsibilities under an agreement without the prior written permission of the Pueblo City-County Library District.
- D. Proposer warrants that all information provided by it in connection with this proposal is true and accurate.

Signature of Official:

Name (printed):

Title:

Firm:

Date:

SCHEDULE OF PROFESSIONAL FEES AND EXPENSES
FOR THE AUDIT OF THE 2013 FINANCIAL STATEMENTS: District

	<u>Hours</u>	<u>Standard Hourly Rates</u>	<u>Total</u>
Partners	_____	_____	\$ _____
Managers	_____	_____	\$ _____
Supervisory Staff	_____	_____	\$ _____
Staff	_____	_____	\$ _____
Other (specify):	_____	_____	\$ _____
Total			\$ _____

SERVICES DESCRIBED IN SECTION II E OF THE RFP (DETAIL ON SUBSEQUENT PAGES)

Out-of-pocket expenses:

Meals and lodging	\$ _____
Transportation	\$ _____
Other (specify):	\$ _____
Total	\$ _____

Total all-inclusive maximum price for 2013 audit: \$ _____

Note: The rate quoted should not be presented as a general percentage of the standard hourly rate or as a gross deduction from the total all-inclusive maximum price.

SCHEDULE OF PROFESSIONAL FEES AND EXPENSES
FOR THE AUDIT OF THE 2013 FINANCIAL STATEMENTS:
COMBINING SCHEDULE - ALL SERVICES
DESCRIBED IN RFP SECTION II E

<u>Nature of Service To Be Provided</u>	<u>Total Price</u>	<u>Schedule</u>
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