



# **Request For Proposal**

**for**

**Prevention Link**

# **RFP-17-02**

**Key Response Date:**

**Submit Complete Information By: April 10, 2017 by 4:30 pm**

**Late responses will not be accepted or considered**

**RFP Checklist**

Deliver By email:

TO: [rhalpin@preventionlink.ca](mailto:rhalpin@preventionlink.ca) and [eramachandar@preventionlink.ca](mailto:eramachandar@preventionlink.ca)

**Include all RFP materials, in one (1) package.**

- One (1)** bid containing all documents and exhibits.

### Scope of Services

The Audit Firm will be required to provide independent financial audit services for Prevention Link in accordance with generally accepted auditing standards.

#### 1. REQUIRED SERVICES

In the provision of such services, the Audit Firm must be prepared to:

- Determine and issue an opinion on whether the financial statements fairly present the financial positions of the Prevention Link and the results of its operations for the year then ended for the audit, in conformity with the generally accepted accounting principles. The audit firm will report to the Executive Director/Administrator and the Executive Committee of the OFL (if required) and shall promptly report conditions, transactions, situations or circumstances encountered which would impede or impair the proper conduct of the audit.
- The audit shall include an examination of the records and reporting on the financial statements of the Prevention Link and such other statements as may be required.
- Deliver a management letter to the President & Secretary-Treasurer of the OFL. Such management letter shall set forth comments and recommendations concerning any matters of material concern and related internal controls which may have been discovered during the course of the audit.
- Appoint a senior level point of contact that shall be responsible for co-ordination, approval and review of all services performed for Prevention Link.
- Meet with the Administrator/Executive Director of Prevention Link to discuss and agree on a schedule for the completion and audit of the financial statements of Prevention Link for the current year.
- Provide the Administrator/Executive Director of Prevention Link with a draft post-audit Management Letter. The draft letter will contain recommendations for corrective actions as required with advice on implementation if required to do so. Final copies shall be provided by the auditors for submission to the Executive Committee and Executive Board.
- Any information communicated to or acquired by the auditor or disclosed by the Board in the course of carrying out the engagement is considered confidential.
- Shall not at any time before, during or after the engagement divulge any information communicated to or acquired by the auditor or disclosed by the Board in the course of carrying out the engagement without prior written approval.
- Rely on the work of actuaries on the valuation of Employee Future Benefits.
- Provide draft audited financial statement by the last Friday preceding the 23<sup>rd</sup> of June of each year of the proposal.

## Program Plan

Each Audit Firm is requested to include in its proposal a description of how the Audit Firm will provide the services which must include a program work plan and incorporate an organizational chart indicating how the Audit Firm intends to structure its working relationship with the Prevention Link. The program plan must include the following:

### Project Plan Milestones

Please provide a detailed project plan with description of activities and deliverables showing intermediate milestones and identified participants to achieve the deadlines.

## Guidelines for Audit Firm's Submission

The preferred format for an Audit Firm's "Offer of Service" or response to this RFP is as follows:

- **Project Understanding.** In narrative form, provide a summary of your understanding of the assignment, the major tasks to be completed and the skills required to do the project. Each Audit Firm is to include in its proposal a description of how the Audit Firm will provide the services outlined which must include a project work plan that includes milestones, methodology and approach; project main contacts; and, the process for managing and resolving any issues.
- **Qualifications.** Provide a detailed explanation of your firm's qualifications and the qualifications of the individuals you are proposing to undertake the project. See below.
- **Previous Experience.** Provide an outline of your firm's previous experience working on projects of this nature.
- **Audit Costs and Schedule.** Provide a complete listing of project pricing/costs including staff, expenses and any contingencies; together with an outline of the project plan and schedule.
- Please provide detailed pricing on all aspects of this project and indicate milestones.
  1. Fee schedule for the year-end audit for eight months ending March 31, 2017 and twelve-month year end March 31, 2018.
  2. Fee schedule of hourly rates for the various levels of staff that may be assigned to the annual audit and/or other special audit needs as required by the Executive Committee from time to time.
  3. Any out-of-pocket expenses should be clearly stated.
  4. Any assumptions incorporated in the proposal in establishing the proposed audit approach and fee proposal.
  5. Value-added services offered free of charge.
  6. Other services available through the firm and any other information that may support the proposal.

## Experience & Qualifications

Each Audit Firm must provide as part of its proposal a summary outlining:

- Company history
- Personnel working on the project /audit with qualifications & experience
- Experience in public, non-profit organizations or health & safety associations projects/audits
- Specific accounting and auditing experience with Sage Accpac Accounting Program
- Any additional information that will support your proposal

## Evaluation of Offers

There is an Evaluation Team made up of two (2) members from the Prevention Link including the Executive Director that will review submissions, select the Audit Firm for the Prevention Link and recommend it to the Executive Committee for approval.

### **Evaluation Criteria will include:**

- Audit Firm's qualifications and relevant experience;
- Audit Firm's ability to meet Prevention Link's requirements;
- Audit Firm's references;
- Audit Firm's detail/itemized pricing information; and
- Any other considerations deemed relevant by the Prevention Link

The Prevention Link will not necessarily accept the lowest priced proposal or any proposal resulting from this RFP. While price is an important element in the selection process, Audit Firms should recognize that there are other criteria in this RFP that the Prevention Link will consider in evaluating proposals.

Prevention Link's evaluation team will base selection decisions on responses received and the best outcome for the Prevention Link. Each response will be carefully evaluated and scored by the evaluation team.

Each response will be scored in accordance with the relative importance weighting indicated in the table below. It is suggested you address these criteria in sufficient depth in your response.

1	Audit Firm's History & Executive Summary: ➤ Please provide a brief company history and executive summary.	5
2	Audit Firm's Public, Non-Profit Sector or Health & Safety Association Project/Audit Experience: ➤ Please provide a description of the services your firm has previously and/or is currently delivering in similar sized public, non-profit or HSA organizations.	25
3	Audit Firm's Proposed Project Team Experience: ➤ Please provide information on the roles and responsibilities of the proposed team who will be involved in performing the services and their respective experience.	15
4	Audit Firm's Financial and System Knowledge: ➤ Provide an explanation of the proposed team's financial and system audit knowledge.	10
5	Audit Firms Audit and Evaluation Methodology and Approach: ➤ Please describe in detail, your company's audit & evaluation methodology and approach. Explain in detail how your methodology and approach apply to this program.	10
6	Audit Firms References: ➤ Please provide three (3) references from clients for whom you have provided the same or similar services within the past three (3) years.	10
7	Audit Firm's Pricing Information	25
	Total Points	100

Points will be awarded based on the degree to which the material you have provided demonstrates your capability to perform and successfully carry out the work described. A minimum score of 70% must be achieved.

In the event of a tie score, the short-listed firms will be interviewed in-person by the Evaluation Team with standard questions and standard evaluation criteria.

**Negotiations:**

Prevention Link may, in its sole discretion, enter into negotiations with one or more Audit Firms. Prevention Link reserves the right to negotiate with more than one Audit Firm concurrently or consecutively, and to add to, expand, reduce or modify the scope of this RFP. If the Prevention Link and the selected Audit Firms are unable to negotiate an agreement, then the Prevention Link may begin or continue negotiations with any other Audit Firm, at any time. Negotiations may take place with selected Audit Firms without the obligation to re-call proposals or provide an opportunity for other Audit Firms to quote on the same changes. No Audit Firm shall have any rights against the Prevention Link arising from such negotiation.

## Confidentiality

All information contained in this Request for Proposal, and all information and material obtained during the course of this project is confidential and remains the property of the Prevention Link. The Audit Firm must agree to sign a confidentiality agreement. All outputs of the project will remain the property of the Prevention Link.

## Sub-contracting or Substitution

No sub-contracting or substitution on the part of the Audit Firm will be accepted without explicit agreement from the Prevention Link.

## References

Provide three (3) references from clients for whom your company has provided the same or similar services within the past three (3) years and include the following information for each reference: Name of Company, Address, Name of Contact, Title of Contact, Telephone Number of Contact, Date Work Undertaken and Brief Description of Assignment.

## Costs and Expenses

When providing complete pricing/costs, an Audit Firm must be aware of and affirm the following: On June 17, 2009, the Ontario government established new standards relating to the procurement of consulting services and management of consulting contracts for all government agencies including the Prevention Link. As a result, the Prevention Link will not pay for any hospitality, incidental and food expenses including but not limited to: meals, beverages, gratuities, personal telephone calls, etc. under the new rules.

The Prevention Link will not be responsible for any travel expenses.

The fees quoted for services or goods shall not include applicable taxes (i.e. HST, GST, PST). All fees for services shall be quoted in Canadian Funds.

## Review Representative

All contact and questions with regard to this RFP must be made through the Project Representative selected for this initiative, by e-mail. For the purposes of this RFP, the Project Representative is:

**Name: Rob Halpin, Executive Director**

**Email: rhalpin@preventionlink.ca**

## Additional Information

The Prevention Link may request additional data, discussions, presentations or on-site visits in support of the response to this RFP, all without obligation to provide other RFP recipients with similar information or notice of such communication. Additionally, Prevention Link reserves the right to implement the appropriate due diligence processes to organize or clarify any information provided, or to collect more evidence of managerial, financial and technical abilities including but not limited to meetings and visits with current customers served by the Audit Firm.

- **THE DEADLINE FOR SUBMISSION OF AN OFFER IS APRIL 10, 2017.**
- THE AUDITING PERIODS ARE FOR:  
AUDIT 1, SEPTEMBER 1, 2016 TO MARCH 31, 2017  
AUDIT 2, APRIL 1, 2017 TO MARCH 31, 2018
- THE SUCCESSFUL AUDIT FIRM WILL DO EVERYTHING POSSIBLE TO EXCEED DELIVERY EXPECTATIONS.

## Other Considerations

Circumstances may arise in which additional billable work or services may be required by the Prevention Link that cannot be currently determined for this RFP. The Audit Firm will provide in their response their lowest hourly or unit pricing and/or highest discount structure that will be extended to the Prevention Link if additional work/service outside the scope of this RFP is approved by the Prevention Link. This pricing may be used as further consideration by the Prevention Link during the evaluation of offer stage.

## RFP Terms

By submitting a proposal, the Audit Firm agrees the following terms and conditions shall apply:

### A. Information Gathering Process

This RFP is being issued for information gathering purposes only. The Prevention Link shall not be bound or obligated in any manner as a result of issuing this RFP to enter into contract negotiations, or to conclude a contract. Without limiting the generality of the foregoing, The Prevention Link expressly reserves the right, at its sole discretion, (i) to initiate any form of procurement process including without limitation direct negotiations with any Audit Firm regardless of whether such Audit Firm responded to this RFP; or (ii) to elect not to procure the good or service that is the subject of this RFP.

### B. Cost of RFP Response

All work undertaken by any Audit Firm in preparation of its Proposal is performed on a speculative basis. The Prevention Link accepts no responsibility for costs of proposal preparation, benchmarking, piloting, interviews, meetings or other activities related to proposal preparation or any contract negotiations. All proposals submitted will be regarded as the personal property of the Prevention Link and will not be returned.

### C. Use of Prevention Link Names or Logos

The Audit Firm shall not use Prevention Link name or logo or associated names or logos or make reference to this RFP in any advertising copy or other promotional materials or messages without prior written consent.

### D. Explanation of Information Evaluation

The Prevention Link is not bound to explain how any proposal was evaluated nor it is bound to explain any decision it makes based upon the subject matter of the proposal.

### E. Restriction on Prevention Link Contacts

All contacts, written and oral, concerning this RFP in any respect, should be made through the Representative named in this RFP. Discussion of this RFP with any other parties within the Prevention Link may result in your organization's proposal not being considered.

## **F. Confidentiality of Audit Firm's Information**

Information provided by an Audit Firm and all or a portion of the proposal itself, even if identified as being confidential, may be used, reproduced and disclosed by Prevention Link and, on a confidential basis, to third parties retained by the Prevention Link in connection with the subject matter of this RFP including without limitation, for the purposes of evaluating the information.

Information provided by an Audit Firm is subject to disclosure in accordance with the *Freedom of Information and Protection of Privacy Act*, R.S.O. 1990, and c.F.31, as amended. Each Audit Firm is requested to identify in its proposal any information it wishes the Prevention Link to keep confidential. Audit Firms are advised that the information provided by an Audit Firm and all or a portion of the proposal itself may be disclosed by the Prevention Link to third parties where an order by the Information and Privacy Commissioner or a court requires Prevention Link to do so.

## **G. Data Validity**

All data and information included in this RFP have been extracted from sources which the Prevention Link considers to be reliable. However, Prevention Link makes no warranties and accepts no responsibility for inaccurate data contained herein.

## **I. Errors and Omissions**

The Prevention Link shall not be held liable for any errors or omissions in any part of this RFP. While the Prevention Link has used considerable effort to ensure an accurate representation of information in this RFP, the information contained in the RFP is supplied solely as a guideline for potential companies. This information is not necessarily comprehensive or exhaustive. Nothing in the RFP is intended to relieve the company from forming their own opinions and conclusions with respect to the matters addressed in the RFP.

## **J. Indemnification**

The Audit Firm shall indemnify and hold harmless the Prevention Link, its Officers, Executive Committee members, partners, agents and employees from and against all actions, claims, demands, losses, costs, damages, suits or proceedings whatsoever which may be brought against or made upon the Prevention Link and against all loss, liability, judgments, claims, suits, demands or expenses which Prevention Link may sustain, suffer or be put to resulting from or arising out of the Audit Firm's failure to exercise reasonable care, skill or diligence or omissions in the performance or rendering of any work or service required hereunder to be performed or rendered by the company, its agents, officials and employees.

## **K. Conflict of Interest**

Audit firms that respond to this RFP must identify any real or perceived situations where a conflict of interest, past, current or future exists.

## **L. Right to Termination**

The Prevention Link may, in its sole discretion, cancel this RFP or revise the scope of this RFP at any time.

## **Audit Firm Qualifications**

Please provide concise responses to all of the following questions. Where you do not provide a response, please explain why.

Please review all Appendix materials before completing this questionnaire.

## General Audit Firm Information

### Contact Information

<i>Please provide the following information: (Name one person to be the contact for this RFP response and for any clarifications that might be necessary)</i>	
<i>Full Organization Legal Name:</i>	
<i>Street Address:</i>	
<i>City, Province/State:</i>	
<i>Postal Code:</i>	
<i>Phone Number:</i>	
<i>Fax Number:</i>	
<i>Organization Website (if one exists):</i>	
<i>Organization Ownership (specify private or public company):</i>	
<i>Parent Organization Name (if any):</i>	
<i>RFP Contact Person and Title:</i>	
<i>E-mail Address for RFP Contact Person:</i>	

### Conflict of Interest

<i>Provide a declaration to the Prevention Link of any situation that may be either a conflict of interest or a potential or perceived conflict of interest with other contractual obligations of the Audit Firm.</i>
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**RFP-17-03**

**Financial Audit Services**

(Please complete the following information)

**Respondent's Registered Legal Business Name:**

**Mailing Address:**

**Name of Contact Person:**

**Title:**

**Contact Person Tel.#:**

**Facsimile Tel.#:**

**E-mail Address:**

**The respondent hereby acknowledges**

- (i) that the information it is providing is, to the best of its knowledge, complete and accurate;
- (ii) that the information it is providing, and all or a portion of the proposal itself, even if identified as being confidential, may be used, reproduced, and disclosed by Prevention Link on a confidential basis to third parties retained by Prevention Link in connection with the subject matter of this RFP, including without limitation, for the purposes of evaluating the information;
- (iii) that the information it is providing is subject to disclosure in accordance with the *Freedom of Information and Protection of Privacy Act*, R.S.O. 1990, c.F.31, as amended, that notwithstanding that the respondent has identified in its proposal any information it wishes Prevention Link to keep confidential, the information provided by an Audit Firm and all or a portion of the proposal itself, may be disclosed by Prevention Link to third parties where an order by the Information and Privacy Commissioner or a court requires the Prevention Link to do so.
- (iv) that Prevention Link shall not be liable for any costs incurred by the respondent in the preparation of its proposal;
- (v) that all materials submitted to the Prevention Link by the respondent shall become the personal property of Prevention Link and shall not be returned;
- (vi) that, as elaborated upon in the paragraph "Information Gathering Process" this RFP is for information gathering purposes only and does not create any legal obligations or restrict the Prevention Link's rights regarding the procurement of any good or service.

Signature of Witness:

Signature of Respondent representative:

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\_\_\_\_\_

Name of Witness:

(I have authority to bind the Respondent).  
(corporate seal)

Name:

Title:

Date: