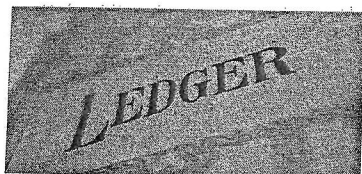


REQUEST FOR PROPOSALS

Financial Auditing Services

Due: Wednesday, November 10th, 2021, by 10:00 AM



Newton Housing Authority
32 Liberty Street
Newton, New Jersey 07860

REQUEST FOR PROPOSALS

The Housing Authority of the Town of Newton, New Jersey will accept proposals for its Annual Financial Audit for the fiscal year ending 12/31/2021. It is the Housing Authority's desire to retain and employ a duly qualified Independent Public Auditor (I.P.A.) to audit the books and accounts of the Authority. All services must be in accordance with the existing rules, orders, directives, regulations handbooks and laws as promulgated by the United States Department of Housing and Urban Development and the State of New Jersey under the Local Authorities Fiscal Control Act and the Fiscal Affairs Law (including N.J.A.C. 5:31-7). The services that are requested will be as follows and will encompass all the Housing Authority's programs (including, but not limited to-Public Housing Program, Capital Fund Program, etc.):

1) Audit the accounts and records of the Authority for the 12-month periods 1/1/2021 to 12/31/2021 in accordance with generally accepted government auditing standards (GAAS), Government Auditing Standards, the auditing and reporting provisions in OMB audit circular, and those auditing standards having been adopted by the Local Finance Board and the Division of Local Government Services, Dept. of Community Affairs, State of New Jersey. The audit performed should be sufficient in scope to enable the auditor to express an opinion on whether the financial statements fairly present the financial position of the Authority and are free of material misstatements. It must be acceptable by the U.S. Department of Housing & Urban Development and the State of New

Jersey. The report must include all statements necessary to present the audit in conformity with Generally Accepted Accounting Principles (GAAP).

2) The audit report must be in a format which is approvable by the United States Department of Housing and Urban Development as detailed in the HUD Audit Guide (7476.1 REV-1), the Single Audit Act of 1984 and the State of New Jersey under the Local Authorities Fiscal Control Act, N.J.A.C. 5:31-7 and GASBY.

3) The report must be completed and submitted to the Housing Authority and the State of New Jersey (Division of Local Government Services) within four (4) months of the end of the Authority's fiscal year.

4) The auditor will be required to utilize the state prescribed "Audit Questionnaire" as part of the auditor's working papers.

5) Upon completion of the report, sufficient certified copies should be made to provide each PHA Commissioner and Staff with a copy and other copies for the HUD office, State of New Jersey, Local Governing Body, and other applicable agencies as required by all applicable rules and regulations.

6) Must attend meetings, as requested, with Housing Authority Commissioners/staff, HUD Auditors/staff and must make work papers available for a period of time dictated by the government.

7) The auditor will be required to prepare and submit the state required "Synopsis of Audit" in a format that is acceptable for publication in a newspaper of general circulation.

8) The auditor must work with the fee accountant to prepare

the necessary schedules and forms to ensure compliance with GAAP, per instructions of the U.S. Dept. of HUD.

9) The FYE 12/31/2021 audit report shall commence immediately upon notification from the Housing Authority that the Financial Data Schedule (FDS) has been completed and submitted to HUD.

Qualifications:

- 1) Must be a Registered Municipal Accountant of New Jersey (RMA) or a Certified Public Accountant of New Jersey (CPA) as required by Title 40A:5A-15 of the Fiscal Control Law.
- 2) The selected Auditor must meet the standards specified in the Standards for Audit of Government Organizations, Programs, Activities and Functions.
- 3) Must have previous experience auditing Public Housing Authorities.
- 4) Must be approvable by the U.S. Department of Housing & Urban Development

Proposal Submission:

All persons interested in submitting a proposal for the Annual Audit should submit a proposal based upon a lump-sum fee. Proposals should be delivered to the Housing Authority of the Town of Newton, New Jersey on or before Wednesday, November 10th, 2021, by 10:00 AM. All proposals will be reviewed in accordance with the Housing Authority's rating system. The proposal rating system and the standard form of contract are attached to this Request for Proposals.

The following must be submitted with the proposal:

- 1) Listing of similar work that the firm has previously completed.
- 2) Listing of references.
- 3) New Jersey Business registration Form
- 4) Affirmative Action Compliance Notice
- 5) Stockholder Disclosure Certification
- 6) Non-Collusive Affidavit

This solicitation is being made as "Fair and Open" in accordance with N.J.S.A. 40A:19A-20.4 et seq.

WILLIAM F. SNYDER
Interim Executive Director

COMPETITIVE PROPOSAL EVALUATION SYSTEM

Prepared by:

Type of Service: Auditing

Name/Address of Respondent:

- 1) Demonstrated experience and competence in this type of work (20 Points).
- 2) Familiarity with the Housing Authority's Programs in specific and HUD rules and regulations in general (25 Points).
- 3) Capability and capacity to accomplish work within the required time (15 Points).
- 4) Geographic location of the firm relative to the proximity to the Housing Authority (5 Points).
- 5) Specialized experience of key personnel in Housing Authority Programs (20 Points).
- 6) Firm's Equal Opportunity Policy. Each bidder must ensure that all employees and applicants for employment are not discriminated against because of race, color, religion, sex or national original (5 Points).
- 7) Price (10 Points)

Total Point Score (100):

Narrative Review of Proposal:

Legal Advertisement

Request for Proposal

The Housing Authority of the Town of Newton will receive Proposals for Audit Services of an Independent Public Accountant to audit the financial records of the Authority for the period ending December 31st, 2021, in accordance with general accepted and government auditing standards, the auditing and reporting provisions of OMB Circular A-133 and HUD notice PIH 97-30 and in conformance with the State of New Jersey Statutes and Regulations, New Jersey Administrative Code 5:31.7. The authority reserves the right to reject any and all proposals submitted and to waive any information thereto, and to request additional information from all auditors. The proposal package can be obtained at the Newton Housing Authority office, 32 Liberty Street, Newton, New Jersey and returned there on or before Wednesday, November 10th, 2021, by 10:00 AM. This solicitation is being undertaken in accordance with NJSA 19:44A-29.4 et seq. as a "fair and open" competitive process and in compliance with the rules & restrictions set forth by the State's Local Unit Pay-to-Play law.

William F. Snyder
Interim Executive Director

STANDARD BID DOCUMENT REFERENCE	
	Reference: VII-A
Name of Form:	AFFIRMATIVE ACTION COMPLIANCE NOTICE
Statutory Reference:	N.J.S.A. 10:5-31 (P.L 1975, c.127) and N.J.A.C 17:27-1 et seq.
Instructions Reference:	Statutory and Other Requirements VII-A-1
Description:	To assure vendor compliance with State affirmative action requirements.

Each contractor shall submit to the public agency, after notification of award but prior to execution of a goods and services contract, one of the following three documents:

1. A photocopy of a valid letter that the contractor is operating under an existing Federally approved or sanctioned affirmative action program (good for one year from the date of the letter); or
2. A photocopy of a Certificate of Employee Information Report approval, issued in accordance with N.J.A.C. 17:27-4; or
3. A photocopy of an Employee Information Report (Form AA302) provided by the Division and distributed to the public agency to be completed by the contractor in accordance with N.J.A.C. 17:27-4.

This form provides the bidder guidance on the requirements. It is advisory in nature only and is a non-mandatory, waiveable form.

For information on the requirements of the Affirmative Action Law, contact:

Division of Contract Compliance & Equal Employment Opportunity in Public Contracting
Department of the Treasury
State of New Jersey
P.O. Box 209
Trenton, NJ 08625-0209
609-292-5473

E-mail: www.state.nj.us/treasury/contract_compliance/ccmail.shtml

Agency website: www.state.nj.us/treasury/contract_compliance

AFFIRMATIVE ACTION COMPLIANCE NOTICE
N.J.S.A. 10:5-31 and N.J.A.C. 17:27

GOODS AND SERVICES CONTRACTS
(INCLUDING PROFESSIONAL SERVICES)

This form is a summary of the successful bidder's requirement to comply with the requirements of N.J.S.A. 10:5-31 and N.J.A.C. 17:27-1 et seq.

The successful bidder shall submit to the public agency, after notification of award but prior to execution of this contract, one of the following three documents as forms of evidence:

(a) A photocopy of a valid letter that the contractor is operating under an existing Federally approved or sanctioned affirmative action program (good for one year from the date of the letter);

OR

(b) A photocopy of a Certificate of Employee Information Report approval, issued in accordance with N.J.A.C. 17:27-4;

OR

(c) A photocopy of an Employee Information Report (Form AA302) provided by the Division and distributed to the public agency to be completed by the contractor in accordance with N.J.A.C. 17:27-4.

The successful vendor may obtain the Affirmative Action Employee Information Report (AA302) from the contracting unit during normal business hours.

The successful vendor(s) must submit the copies of the AA302 Report to the Division of Contract Compliance and Equal Employment Opportunity in Public Contracts (Division). The Public Agency copy is submitted to the public agency, and the vendor copy is retained by the vendor.

The undersigned vendor certifies that he/she is aware of the commitment to comply with the requirements of N.J.S.A. 10:5-31 and N.J.A.C. 17:27.1 et seq. and agrees to furnish the required forms of evidence.

The undersigned vendor further understands that his/her bid shall be rejected as non-responsive if said contractor fails to comply with the requirements of N.J.S.A. 10:5-31 and N.J.A.C. 17:27-1 et seq.

COMPANY: _____

SIGNATURE: _____

PRINT NAME: _____

TITLE: _____

DATE: _____

STATEMENT OF OWNERSHIP DISCLOSURE

N.J.S.A. 52:25-24.2 (P.L. 1977, c.33, as amended by P.L. 2016, c.43)

This statement shall be completed, certified to, and included with all bid and proposal submissions. Failure to submit the required information is cause for automatic rejection of the bid or proposal.

Name of Organization: _____

Organization Address: _____

Part I Check the box that represents the type of business organization:

- ☐ Sole Proprietorship (skip Parts II and III, execute certification in Part IV)
- ☐ Non-Profit Corporation (skip Parts II and III, execute certification in Part IV)
- ☐ For-Profit Corporation (any type) ☐ Limited Liability Company (LLC)
- ☐ Partnership ☐ Limited Partnership ☐ Limited Liability Partnership (LLP)
- ☐ Other (be specific): _____

Part II

- ☐ The list below contains the names and addresses of all stockholders in the corporation who own 10 percent or more of its stock, of any class, or of all individual partners in the partnership who own a 10 percent or greater interest therein, or of all members in the limited liability company who own a 10 percent or greater interest therein, as the case may be. **(COMPLETE THE LIST BELOW IN THIS SECTION)**

OR

- ☐ No one stockholder in the corporation owns 10 percent or more of its stock, of any class, or no individual partner in the partnership owns a 10 percent or greater interest therein, or no member in the limited liability company owns a 10 percent or greater interest therein, as the case may be. **(SKIP TO PART IV)**

(Please attach additional sheets if more space is needed):

Name of Individual or Business Entity	Home Address (for Individuals) or Business Address

Part III DISCLOSURE OF 10% OR GREATER OWNERSHIP IN THE STOCKHOLDERS, PARTNERS OR LLC MEMBERS LISTED IN PART II

If a bidder has a direct or indirect parent entity which is publicly traded, and any person holds a 10 percent or greater beneficial interest in the publicly traded parent entity as of the last annual federal Security and Exchange Commission (SEC) or foreign equivalent filing, ownership disclosure can be met by providing links to the website(s) containing the last annual filing(s) with the federal Securities and Exchange Commission (or foreign equivalent) that contain the name and address of each person holding a 10% or greater beneficial interest in the publicly traded parent entity, along with the relevant page numbers of the filing(s) that contain the information on each such person. Attach additional sheets if more space is needed.

Website (URL) containing the last annual SEC (or foreign equivalent) filing	Page #'s

Please list the names and addresses of each stockholder, partner or member owning a 10 percent or greater interest in any corresponding corporation, partnership and/or limited liability company (LLC) listed in Part II other than for any publicly traded parent entities referenced above. The disclosure shall be continued until names and addresses of every noncorporate stockholder, and individual partner, and member exceeding the 10 percent ownership criteria established pursuant to N.J.S.A. 52:25-24.2 has been listed. Attach additional sheets if more space is needed.

Stockholder/Partner/Member and Corresponding Entity Listed in Part II	Home Address (for Individuals) or Business Address

Part IV Certification

I, being duly sworn upon my oath, hereby represent that the foregoing information and any attachments thereto to the best of my knowledge are true and complete. I acknowledge: that I am authorized to execute this certification on behalf of the bidder/proposer; that the **<name of contracting unit>** is relying on the information contained herein and that I am under a continuing obligation from the date of this certification through the completion of any contracts with **<type of contracting unit>** to notify the **<type of contracting unit>** in writing of any changes to the information contained herein; that I am aware that it is a criminal offense to make a false statement or misrepresentation in this certification, and if I do so, I am subject to criminal prosecution under the law and that it will constitute a material breach of my agreement(s) with the, permitting the **<type of contracting unit>** to declare any contract(s) resulting from this certification void and unenforceable.

Full Name (Print):		Title:	
Signature:		Date:	

STANDARD BID DOCUMENT REFERENCE

Reference: VII-H

Name of Form:

NON-COLLUSION AFFIDAVIT

Statutory Reference:

No specific statutory reference
State Statutory Reference N.J.S.A. 52:34-15

Instructions Reference:

Statutory and Other Requirements VII-H

Description:

The Owner's use of this form is optional. It is used to ensure that the bidder has not participated in any collusion with any other bidder or Owner representative or otherwise taken any action in restraint of free and competitive bidding.

NON-COLLUSION AFFIDAVIT

State of New Jersey

County of _____

ss:

I, _____ (name of affiant) residing in _____ (name of municipality)
in the County of _____ and State of _____ of full age,
being duly sworn according to law on my oath depose and say that:

I am _____ (title or position) of the firm of _____ (name of firm)

_____ the bidder making this Proposal for the bid
entitled _____ (title of bid proposal), and that I executed the said proposal with

full authority to do so that said bidder has not, directly or indirectly entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free, competitive bidding in connection with the above named project; and that all statements contained in said proposal and in this affidavit are true and correct, and made with full knowledge that the _____ (name of contracting unit) relies upon the truth of the statements contained in said Proposal

and in the statements contained in this affidavit in awarding the contract for the said project.

I further warrant that no person or selling agency has been employed or retained to solicit or secure such contract upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee, except bona fide employees or bona fide established commercial or selling agencies maintained by _____.

Subscribed and sworn to

before me this day

Signature

_____, 2 _____

(Type or print name of affiant under signature)

Notary public of _____

My Commission expires _____

Seal)