



"Cedar Rapids is a vibrant urban hometown – a beacon for people and businesses that are invested in building a greater community now and for the next generation."

REQUEST FOR PROPOSAL

March 9, 2016

For
PROFESSIONAL AUDITING SERVICES
RFP #PUR0216-156

Prepared by
City of Cedar Rapids
Purchasing Services Division

TABLE OF CONTENTS

Section Number	Section Name	Page
1.0	Notice of Request for Proposals (RFP)	3
2.0	Instructions to Proposers	4
3.0	Special Terms and Conditions	6
4.0	Scope of Services	9
5.0	Proposal Evaluation and Award	14
6.0	Submittal Instructions	16

Attachment	Attachment Name
A	Standard Terms and Conditions
B	Insurance Requirements
C	Submittal Forms (General Company Information, Certification Regarding Ability to Obtain Required Insurance, Proposal Pricing Submittal Form, Signature Page Form, Buy Local Packet)
D	FMIS II (Financial Management Information System)
E	Schedule of Expenditures of Federal Awards

SECTION 1.0 – NOTICE OF REQUEST FOR PROPOSAL (RFP)

1.1 Notice of Request for Proposal

Notice is hereby given that sealed proposals will be received before 3:00 pm CDT on Friday, April 8, 2016, at the Office of the City Clerk, in City Hall, 101 First Street SE, Cedar Rapids, Iowa 52401 for Professional Auditing Services as requested by the City of Cedar Rapids Finance Department.

1.2 RFP Timeline

Name of the Proposal Professional Auditing Services, RFP #PUR0216-156

Date of Issuance March 9, 2016

Deadline for Questions Friday, March 18, 2016 at 3:00 pm CDT

Deadline for Proposal Submittal Friday, April 8, 2016 before 3:00 pm CDT
Proposals time stamped 3:00 pm or after are late

Recommendation for Award May 10, 2016

Submit Proposal to: →→→→→→→→
Submit in a sealed envelope.
Address exactly as stated.
City Clerk Office Hours 8 am to 5 pm, Mon-Fri

Sealed Proposal: Professional Auditing Services
Office of the City Clerk-City Hall
101 First Street SE
Cedar Rapids IA 52401

Submit one (1) original and three (3) copies of your proposal

Method of Submittal US Mail, Overnight Delivery or In Person
Electronic and fax proposals **are not** acceptable

Contact Person, Title Diane Muench, CPPB, Purchasing Agent
E-mail Address d.muench@cedar-rapids.org

Phone/ Fax Numbers Phone: 319-286-5023 Fax: 888-815-3659

1.3 The City is not responsible for delays occasioned by the U.S. Postal Service, the internal mail delivery system of the City, or any other means of delivery employed by the Proposer. Similarly, the City is not responsible for, and will not open, any proposal responses that are received on or after the time stated above. Late submittals will be retained in the RFP file, unopened. No responsibility will be attached to any person for premature opening of a proposal not properly identified.

1.4 Proposals will be publicly opened on Friday, April 8, 2016 at 3:00 pm CDT (our clock) in City Hall, 101 First Street SE, Cedar Rapids 52401. Only the names of companies who submitted proposals will be revealed. The main purpose of this opening is to reveal the name(s) of the Proposer(s), not to serve as a forum for determining the awarded proposal(s).

1.5 Proposals will be evaluated promptly after opening. After an award is made, a proposal summary will be sent to all companies who submitted a proposal. Proposal results will not be given over the telephone or prior to award. Proposals may be withdrawn any time prior to the scheduled closing time for receipt of proposals; no proposal may be modified or withdrawn for a period of sixty (60) calendar days thereafter.

----- End of Section 1.0 -----

SECTION 2.0 – INSTRUCTIONS TO PROPOSERS

2.1 FEDERAL FUNDING PROVISIONS

This Project is not federally funded.

2.2 NOTICE: INSURANCE IS REQUIRED FOR THIS PROJECT

SERVICES SHALL NOT BEGIN UNTIL THE CERTIFICATE OF INSURANCE AND ALL ENDORSEMENTS ARE RECEIVED AND APPROVED BY THE CITY.

At all times during the term of the Services and the Contract, and any extensions thereof, the Consultant shall purchase, at its own expense, and maintain with insurance companies in good standing and acceptable to the City. Such insurance will protect the Consultant from liability and claims for injuries and damages which may arise out of or result from the Consultant's operations under the Contract and for which the Consultant may be liable, whether such operations are by the Consultant or by a Subconsultant or by anyone directly or indirectly employed by any of them, or by anyone for whose acts any of them may be liable.

For the protection of the Consultant and the City, but without restricting or waiving any obligations of the Consultant herein contained, the Consultant shall insure the risks associated with the Services and the Contract with minimum coverages and limits as set forth in Attachment B, INSURANCE REQUIREMENTS.

2.3 Whenever used in this RFP the following terms shall have the meaning given as follows: City shall mean the City of Cedar Rapids, Iowa. Consultant shall mean the firm providing Professional Auditing Services for the Finance Department. Subconsultant shall mean any person, firm, or corporation who contracts with the Consultant to perform a service for which the basis of payment or Scope of Services is identified as a part of this RFP. Project Manager shall mean Andy Hoenig, Project Accountant Program Manager, who is the designated coordinator and administrator for the Services under this project.

2.4 A company representative who is authorized to bind the Company will sign on behalf of the company to indicate to the City that you have read, understand and will comply with the instructions and all terms and conditions stated in this Request for Proposal and all attachments.

2.5 Pre-Proposal Meeting

There is no Pre-proposal meeting for this Project.

2.6 This Request for Proposal does not commit the City to make an award, nor will the City pay any costs incurred in the preparation and submission of proposals, or costs incurred in making necessary studies for the preparation of proposals.

2.7 Addenda

Any matter of this proposal package that requires explanation or interpretation must be inquired into by the Proposer in writing by Friday, March 18, 2018 at 3:00 pm CDT. FAX or E-MAIL all questions to Diane Muench, 888-815-3659 or d.muench@cedar-rapids.org. Any and all questions will be responded to in the form of written addenda to all Proposers. All addenda that you receive shall become a part of the Contract Documents and shall be acknowledged and dated on the bottom of the Signature Page Form (Attachment C). All Addenda will be posted on the City's website. It is the Proposer's responsibility to check for addenda.

<http://www.cedar-rapids.org/government/departments/purchasing/Pages/currentbidopportunities.aspx>

2.8 Exceptions to Documents

The Proposer shall clearly state in the submitted proposal any exceptions to, or deviations from, the minimum proposal requirements, and any exceptions to the terms and conditions of this RFP. Such exceptions or deviations will be considered in evaluating the proposals. Proposers are cautioned that exceptions taken to this RFP may cause their proposal to be rejected.

2.9 Silence of Specifications

Commercially accepted practices shall apply to any detail not covered in the specification and to any omission of the specification. Any omission or question of interpretation of the specification that affects the performance or integrity of the service being offered shall be addressed in writing and submitted with the Proposal.

2.10 Incomplete Information

Failure to complete or provide any of the information requested in this Request for Proposal, including references, and/or additional information as indicated, may result in disqualification by reason of "non-responsiveness".

2.11 No responsibility will be attached to any person for premature opening of a proposal not properly identified.

2.12 In the event of conflict, the Special Terms and Conditions shall take precedence over the Standard Terms and Conditions, included herein.

Be advised that any conversations (in reference to this RFP) between proposers and any City employee, City official or City Project Manager, outside of the Purchasing Services Division, during the entire competitive proposal process is strictly prohibited. Such actions will result in removal of the Consultant from the vendors list and rejection of the Consultant's proposal. **The ONLY official position of the City is that position which is stated in writing and issued by the Purchasing Services Division.** No other means of communication, whether written or oral, shall be construed as a formal or official response statement.

----- End of Section 2.0 -----

SECTION 3.0 – SPECIAL TERMS AND CONDITIONS

3.1 Term of Contract

- 3.1.1 The initial term of the Contract shall be for three (3) years anticipated to be July 1, 2016 through June 30, 2019.
- 3.1.2 The City and the Consultant may renew the original Contract for two (2) additional one-year time periods by mutual agreement. A minimum of thirty (30) days' notice must be given to renew the contract for additional increments.
- 3.1.3 Authorization of your firm to commence any Audit work shall be required in the form of an Engagement Letter approved by the City Manager. Each Engagement Letter shall address the audit scope and the compensation for the Audit as outlined in your response to this RFP.
- 3.1.4 The City reserves the right to make changes to the Services to be provided which are within the Project. No assignment, alteration, change, or modification of the terms of the Contract shall be valid unless made in writing and agreed to by both the City and the Consultant. The Consultant shall not commence any additional services or change the Scope of Services until authorized in writing by the City. Consultant shall make no claim for additional compensation in the absence of a prior written approval and amendment of the Contract executed by both the Consultant and the City. The Contract may only be amended, supplemented or modified by a written document executed by the Consultant and the City Manager.

3.2 Contract Forms

- 3.2.1 If a Proposer intends to request that the City of Cedar Rapids enter into any agreement form in connection with the award of this project, the form must be submitted with the Proposal for review by the City's legal counsel during the evaluation of Proposals. If such agreement requires that payments be remitted to other than the Proposer, the Proposer shall indicate the name and address of the firm to whom Proposer would request payments to be made, and the firm's relationship to the Proposer.
- 3.2.2 Proposers are advised that in the event any such agreement contradicts the City of Cedar Rapids requirements, the proposal may be rejected due to the contradiction unless Proposer indicated deletion of such clauses. If agreement form indicated a firm other than the Proposer is Consultant, or payee, the proposed Consultant or payee must also indicate concurrence with the deletion of such clauses.
- 3.2.3 If no agreement form is included with the proposal, no such form will be approved by the City during the evaluation or award processes, or following award of contract. If the proposal does not indicate the proposed Consultant, vendor or payee to be a person or company other than the Proposer, (1) only the Proposer will be considered as Consultant and (2) payments will be made only to the Proposer to whom the contract is awarded.
- 3.2.4 The City of City Rapids will in no case agree to terms not submitted for review with the proposal submittal.

3.3 Payment Terms and Invoice Submittal

- 3.3.1 Monthly progress payments shall be billed as costs are incurred. These combined amounts can be no greater than 75% of the maximum allowable total fee for that fiscal year. Final payment will be due and payable thirty days after the final report is presented to the City Council.
- 3.3.2 Invoices shall include the following information:
- Consultant name and address
 - Date of Services
 - City PO number
 - Description of Services
 - The total amount being invoiced
 - The Project Number / Contract Number (#PUR0216-156)
- 3.3.3 Surcharges (i.e. fuel surcharges, restocking) shall NOT be allowed to be added to invoices as an additional line item.

3.3.4 All invoices and supporting documentation shall be submitted at the intervals as agreed upon:

- a) In a pdf format via e-mail to: accountspayable@cedar-rapids.org
or
- b) Via US mail to: City of Cedar Rapids, Finance Department – Accounts Payable,
101 First Street SE, PO Box 2148, Cedar Rapids, IA 52406-2148.

3.3.5 The City may withhold payment for reasons including, but not limited to the following:

- a) Services that are defective, inaccurate, flawed, unsuitable, nonconforming or incomplete due to negligence of the Consultant;
- b) Damage for which Consultant is liable under the Contract;
- c) Valid liens or claims of lien;
- d) Valid claims of Subconsultants or other persons;
- e) Delay in the progress or completion of the Services;
- f) Inability of Consultant to complete the Services;
- g) Failure of Consultant to properly complete or document any pay request or invoice;
- h) Any other failure of Consultant to perform any of its obligations under the Contract; or
- i) The cost to City, including attorneys' fees and administrative costs, of correcting any of the aforesaid matters or exercising any one or more of City's remedies set forth in the Contract.

3.3.6 Actual travel time to and from the work location is not reimbursable under the Contract.

3.4 Treatment of Documents and Records

3.4.1 Ownership

All Documents and other materials prepared by the Consultant in connection with this project are the City's sole property in which the Consultant has no proprietary or other rights or interests. All reports, documents, information, and any materials or equipment furnished to the Consultant by the City shall remain the sole property of the City. Nothing written in this paragraph, however, will be interpreted to forbid the Consultant from retaining a single copy of information for its files.

3.4.2 Confidentiality

Any individual subcontracted or employed by the Consultant with authorized access to personnel information documents, if any, is given access to use any personnel information in the documents solely for the purpose of performing the Services of the Contract and must not divulge this information to anyone without a need to know. Confidentiality of personnel information contained in the documents shall survive the completion or termination of the Contract subject to applicable state statutes.

3.4.3 Disposal

If at any time during the performance of the Contract or following completion or termination of the Contract, Consultant and/or its Subconsultants choose to dispose of Documents, disposal of Documents shall:

- a) comply with any retention requirements of the agreement, and
- b) be in a manner such that documents or information in the Documents is unable to be read, interpreted, reproduced, copied or duplicated in any fashion.

3.4.4 Access/Retention

During the term of the Contract or following completion or termination of the Contract the Consultant and its Subconsultants, if any, shall maintain all accounting records and other documentation generated in performing the Services under the Contract.

The City or any duly authorized representative of the City shall have access to all such information for the purpose of inspection, audit and copying during normal business hours. All such information shall be retained for five (5) years from the date of final payment and after all other pending matters under the Contract are closed.

This access shall be made available to the City or duly authorized agent and shall be considered incidental to the Scope of Services contained herein. As such, there shall be no additional compensation allowed the Consultant for maintaining this information and allowing the herein described access.

3.5 If Project is funded in any way utilizing Federal Funds the Consultant acknowledges that it may be required to submit to an audit of funds paid through the Contract and as may be conducted in accordance with provisions of the Office of Management and Budget Circular A-133 (Audit of States, Local Government and Non-Profit Organizations).

3.6 Expenditure of Service

The City does not guarantee any minimum or maximum hours of work for the Consultant. There is no guaranteed minimum amount of services that will be required throughout the contract period.

----- End of Section 3.0 -----

SECTION 4.0 – SCOPE OF SERVICES

4.1 Background

- 4.1.1 The City of Cedar Rapids is seeking Proposals from qualified firms of certified public accountants to audit its financial statements for the Fiscal Years Ending June 30, 2016, 2017 and 2018 with City options for 2019 and 2020. The audits are to be performed in accordance with generally accepted auditing standards which are set forth for financial audits in the U.S. General Accounting Office's (GAO) Government Auditing Standards (1988), the provisions of the federal Single Audit Act of 1984 and U.S. Office of Management and Budget (OMB) Circular A-133, Audits of State and Local Governments as well as Chapter 11 and other applicable provisions of the Code of Iowa. Further, the auditor is to be familiar with those parts of the Code of Iowa that affect the operations and financial reporting of the City.
- 4.1.2 The City of Cedar Rapids, Iowa serves an area of approximately 71 square miles with a population of approximately 129,195. The City's fiscal year begins on July 1 and ends on June 30. The City provides a broad range of services to its citizenry, including general government, public safety, streets and cultural and park facilities.
- 4.1.3 The City has a total payroll of \$85,000,000 covering 1,451 FTE employees. The City is organized into several departments and agencies. The accounting and financial reporting functions of the City are centralized. More detailed information on the government and its finances can be found in the annual financial report located at:
<http://www.cedar-rapids.org/government/departments/finance/financialreportinginformation/pages/default.aspx>

4.2 Scope of Services

- 4.2.1 The City of Cedar Rapids desires the Auditor to express an opinion on the fair presentation of its general purpose financial statements in conformity with generally accepted accounting principles.
- 4.2.2 Reports to be Issued - Following the completion of the audit of the fiscal year's financial statements, the Auditor shall issue:
- a) A report on the fair presentation of the City's financial statements in conformity with generally accepted accounting principles.
 - b) A report on the fairness of presentation of the City's Schedule of Expenditures of Federal Awards.
 - c) A report on the fairness of presentation of the City's financial statements and comparison to U.S. Department of Housing and Urban Development Real Estate Assessment Center (REAC).
 - d) Independent auditor's report on internal control over financial reporting and on compliance and other matters based on an audit of financial statements performed in accordance with Government Auditing Standards.
 - e) Independent auditor's report on compliance with requirements applicable to each major program and on internal control over compliance in accordance with OMB Circular A-133.
 - f) A schedule of findings and questioned costs and corrective action plan.
 - g) A report on the fair presentation of the Cedar Rapids/Linn County Solid Waste Agency's financial statements in conformity with generally accepted accounting principles.
 - h) A report on the fair presentation of the Corridor Metropolitan Planning Organization's financial statements in conformity with generally accepted accounting principles.
 - i) Required communications per Statement on Auditing Standards No. 114 between auditor and management.
 - j) Summary of significant accounting estimates.
 - k) Summary of uncorrected misstatements.
 - l) Independent auditor's report on compliance with policy and procedures concerning the use of Airport revenues and internal control over compliance.
 - m) Independent auditors report on compliance with requirements applicable to the Passenger Facility Charge Program and on internal control over compliance.
 - n) Other reports and related services as mutually agreed upon between the Consultant and the City.

- 4.2.4 In the required reports on internal controls, the Auditor shall communicate any significant deficiencies and material weaknesses found during the audit. A significant deficiency shall be defined as a deficiency, or combination of deficiencies, in internal control over financial reporting that is less severe than a material weakness, yet important enough to merit attention by those responsible for oversight of the City's financial reporting.
- 4.2.5 Significant deficiencies that are also material weaknesses shall be identified as such in the report.
- 4.2.6 Non-significant deficiencies discovered by the auditors shall be reported in a separate letter to the City, which shall be referred to in the report on internal controls.
- 4.2.7 The reports on compliance shall include all instances of non-compliance.
- 4.2.8 Working paper retention and access to working papers
 - a) All working papers and reports must be retained, at the Auditor's expense, for a minimum of five (5) years, unless the firm is notified in writing by the City 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:
 - 1) The City of Cedar Rapids
 - 2) U.S. General Accounting Office (GAO)
 - 3) Parties designated by the federal or state governments or by the City as part of an audit quality review process
 - 4) Auditors of entities of which the City is a sub-recipient of grant funds
 - 5) Auditors of entities of which the City is a component unit
 - b) In addition, the Auditor shall respond to reasonable inquiries of successor auditors and allow successor auditors to review working papers relating to matters of continuing accounting significance.

4.3 Fund Structure

The City of Cedar Rapids uses the following fund types and account groups in its financial reporting:

Fund Type/Account Group	No. of Funds	No. of Funds Budgeted
General Fund	1	1
Special Revenue Funds	13	13
Debt Service Funds	1	1
Capital Project funds	4	4
Enterprise Funds	12	12
Internal Service Funds	5	4
Agency Funds	4	0
Discretely Presented Component Units	3	3

4.4 Budgetary Basis of Accounting

- 4.4.1 The City budget is prepared and reported on a modified accrual basis; expenditures are recognized as incurred and encumbrances are not reported as resources used.
- 4.4.2 The City of Cedar Rapids adopts its budget by program within funds as prescribed by the State of Iowa, which must include the following:
 - a) Expenditures for each program
 - 1) Public Safety
 - 2) Public Works
 - 3) Culture and Recreation
 - 4) Community and Economic Development
 - 5) General Government
 - 6) Debt Service
 - 7) Capital Projects
 - 8) Business-type

- b) The amount to be raised by property taxation
- c) Income from sources other than property taxation

4.4.3 The City budget for the current fiscal year may be amended for any of the following purposes:

- a) To permit the appropriation and expenditure of unexpended, unencumbered cash balances on hand at the end of the preceding fiscal year
- b) To permit the appropriation expenditure of amounts anticipated to be available from sources other than property taxation
- c) To permit transfers between funds as prescribed by state law
- d) To permit transfers between programs

4.4.4 A budget amendment must be prepared and adopted in the same manner as the original budget.

4.4.5 Appropriations as adopted or amended lapse at the end of the fiscal year.

4.5 Federal and State Financial Assistance

See Attachment E for a listing of the City’s Schedule of Expenditures of Federal Awards, Fiscal Year ended June 30, 2015.

4.6 Pension Plans

The City participates in the following pension plans:

Plan	Multiple Employer	Single Employer Defined	
	Cost Sharing	Benefit	Contributions
Fire	X		
Police	X		
IPERS	X		

4.7 Discretely Presented Component Units

4.7.1 Component units are legally separate organizations for which the elected officials of the primary government are accountable; or if the primary government is not accountable, the nature and significance of the component unit’s financial relationship is such that to exclude it would cause the primary government’s financial statements to be misleading or incomplete. The component units of the City are as follows:

- a) Cedar Rapids/Linn County Solid Waste Agency (CRLCSWA) – to account for the disposal of solid waste into the combined City/County landfills in an integrated manner for the benefit of the public. The City entered into a Chapter 28E agreement under the Iowa Code creating the Cedar Rapids/Linn County Solid Waste Agency, formerly called Bluestem. The City has the authority to appoint the majority of CRLCSWA’s board of directors, and is able to impose its will on CRLCSWA’s operations. CRLCSWA publishes its own annual financial report, which is available at their office, 1954 County Home Road, Marion, Iowa 52302.
- b) The Eastern Iowa Airport – The Cedar Rapids Airport Commission, appointed by the Mayor with the approval of City Council, has the responsibility for managing and operating the City’s airport facility, the Eastern Iowa Airport, and related airport parking. The Commission, as provided by Iowa Law, has all the powers granted to the City except for the authority to sell the airport.
- c) The Cedar Rapids Public Library Foundation – a nonprofit corporation organized under the laws of the State of Iowa for the purpose of providing resources to be used for the benefit of the Cedar Rapids Public Library. The Foundation publishes its own annual financial report, using the not-for-profit reporting model, which is available at their office, 450 5th Avenue SE, Cedar Rapids, Iowa 52401.

4.8 Computer Systems

The City’s Financial Management Information system (FMIS II) provides a complete financial system operating in an integrated, on-line, real-time environment. Information about FMIS II can be found in Attachment D.

4.9 Assistance to be Provided to the Auditor and Report Preparation

4.9.1 Finance Department - Finance Department staff will be available during the audit to assist the Auditor by providing information, documentation and explanations. The preparation of confirmations will be the responsibility of the City.

4.9.2 The following statements and schedules will be prepared by City staff and provided to the Auditor. The dates are to be determined.

- a) Cash – to include reconciliation of bank accounts, receipts on-hand, change funds, and petty cash fund by department
- b) Investments – to include beginning cost, activity for year, ending costs, interest for year, interest receivable, and market values
- c) Accounts Receivable – to include inter-fund receivables and taxes receivable
- d) Debt service – to include long-term portion, interest reconciliation, amortization of premiums and discounts
- e) Grant revenue, receivables and deferred revenue
- f) Prepaid expenses – to include prepaid amount by area, account and department
- g) Inventories – to include listing of materials by item, cost and department
- h) Capital Assets – to include all capital assets, additions, deletions and depreciation schedules
- i) Vouchers Payables – to include inter-fund payables
- j) Contracts Payables – to include long-term portion
- k) Notes Payable – to include long-term portion
- l) Accrued Expenses – to include outstanding flex leave, sick leave, vacation and accrued payroll
- m) Revenues collected in advance
- n) Transfers In/Transfers Out
- o) Schedules per State Auditor’s requirements

4.10 Annual Financial Report Preparation

4.10.1 The City shall be responsible for the preparation and printing of the following annual financial reports:

- a) City of Cedar Rapids Comprehensive Annual Financial Report
- b) Cedar Rapids/Linn County Solid Waste Agency Annual Financial Report

4.10.2 The City of Cedar Rapids will send its comprehensive annual financial report to the Government Finance Officers Association of The United States and Canada for review in its Certificate of Achievement for Excellence in Financial Reporting program. It is anticipated that the Auditor will provide assistance to the City to meet the requirements of that program.

4.11 Work Area and Amenities

The City will provide the Auditor with reasonable work space, tables and chairs. The Auditor will also be provided with access to telephone, photocopying facilities and fax machine. The Auditor will be provided with access to internet as requested.

4.12 Schedule

The following schedule is the timeline for a typical audit. Modifications to these dates may be made in writing and agreed to by both the City and the Auditor.

Interim work	Month of July
Single audit records ready	Last Monday of September
Solid Waste Agency audit	Month of September
City audit work papers ready	First Monday of October
Field work completed	October 31
Annual financial reports ready for review	First Monday of December
Final report due to the City	December 15

4.13 Other Considerations

- 4.13.1 The City’s financial statements will be prepared in accordance with generally accepted accounting principles applicable to governmental units promulgated by the Governmental Accounting Standards Board (GASB). Business type activities will apply all applicable GASB pronouncements as well as Financial Accounting Standard Board Statements and Interpretation, Accounting Principle Board Options and Accounting Research Bulletins issued on or before November 30, 1989 (the GASB jurisdiction determination date) which do not conflict with or contradict GASB pronouncements. GASB has issued several statements not yet implemented by the City. As additional statements are issued and become applicable to the City, the City’s financial statements will be prepared accordingly.
- 4.13.2 The City anticipates it will prepare one or more official statements in connection with the sale of debt securities which will contain the general purpose financial statements and the Auditor’s report thereon. The Auditor shall be required, if requested by the financial advisor and/or underwriter, to issue a “consent and citation of expertise” as the Auditor and any necessary “comfort letters” for an additional fee to be determined.
- 4.13.3 The schedule of federal financial assistance and related Auditor’s report, as well as the reports on the internal control structure and compliance are to be issued as part of the comprehensive annual financial report.

4.14 Items to be Included with Submittal

- 4.14.1 Auditor shall provide an affirmative statement that it is independent of the City of Cedar Rapids as defined by generally accepted auditing standards, U.S. General Accounting Office’s Government Auditing Standards, 1988.
- 4.14.2 Provide a list describing Auditor’s professional relationships involving the City or any of its agencies, component units or oversight unit for the past five (5) years, together with a statement explaining why such relationships do not constitute a conflict of interest relative to performing the proposed audit.
- 4.14.3 Auditor must be licensed to practice in Iowa.
- 4.14.4 Consultant shall submit a copy of the its most recently external quality control review report, with a statement of whether that quality control review included a review of specific government engagements.
- 4.14.5 Provide information on the results of any federal or state desk review or field reviews of audits during the past three (3) years. Additionally, Consultant shall provide information on the circumstances and status of any disciplinary action taken or pending against the firm during the past three (3) years with state regulatory bodies or professional organizations.
- 4.14.6 Consultant shall provide a work plan, including an explanation of its audit methodology, to include the following items:
 - 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 sizes and the extent to which statistical sampling is to be used in the engagement
 - d) Extent of use of EDP software and analytical procedures
- 4.14.7 Submit a copy of the most recent external quality control review report.

----- End of Section 4.0 -----

SECTION 5.0 – PROPOSAL EVALUATION AND AWARD

5.1 Award

Any award(s) made by the City of Cedar Rapids is subject to prior approval by the City of Cedar Rapids City Council.

5.1.1 Award shall be made to the responsible Proposer submitting the most responsive proposal which offers the greatest value to the City with regard to the criteria detailed and the specifications set forth herein. The City reserves the right to accept or reject any or all proposals; to resolicit the project; to use both primary and secondary consultants; to award proposals by groups; and to waive technicalities and formalities where it is deemed advisable in protection of the best interests of the City.

5.1.2 If the evaluation team determines that the project should be awarded, the process shall be as follows:

- a) The evaluation team shall determine which Proposer has submitted the most responsive and responsible proposal.
- b) For projects equal to or greater than \$50,000, the City Council shall consider a resolution awarding the Contract and authorizing the City Manager to sign the Engagement Letter on behalf of the City. **Note**, as provided for by Section 4.03 of the Cedar Rapids Municipal Code, no Contract shall be deemed to be created and exist, unless and until the City Council adopts a resolution awarding the project and authorizing the City Manager to sign the Contract.
- c) The City Manager executes the Engagement Letter.
- d) The City issues a purchase order to the Consultant. The purchase order shall constitute authorization for the Consultant to commence the Services.

5.1.3 If the evaluation team determines that all the proposals received shall be rejected, the Proposers will be notified by the Purchasing Services Division accordingly. At that point, the City may, or may not, resolicit the project.

5.2 Proposal Evaluation Criteria

Financial terms will not be the sole determining factor in the award. In general, the proposals will be evaluated based on, but not limited to, the general evaluation criteria stated below and the completeness, clarity and content of the proposal.

5.2.1 Qualifications and Experience

- a) Relevant experience of key personnel, including assigned Project Manager
- b) On-going training proposed
- c) Relevance of references, including performance on other city projects
- d) Knowledge, experience and demonstrated success with providing similar services
- e) Technical support proposed
- f) Financial responsibility/stability

5.2.2 Financial Proposal

5.2.3 Company Responsiveness to RFP

- a) Total scope of services proposed, including audit approach
- b) Demonstrated understanding of the project
- c) Proposed timeline and approach to project
- d) Responses to overall proposal and compliance with submission guidelines
- e) Proposal presentation (completeness, organization, appearance, etc.)

5.3 The Company must not have any unresolved performance issues with the City of Cedar Rapids. The Company's performance as a prime Consultant or Subconsultant in previous City contracts shall be taken into account when evaluating the Company's submittal for this Request for Proposal.

5.4 The City may check the references provided and survey other local agencies during the proposal evaluation period to ensure the Company does not have any unresolved or unsatisfactory performance issues. The City

reserves the right to reject the Company's submittal based on its assessment of the Company's prior performance.

5.5 Proposal Evaluation Procedures

Proposals will be evaluated by a proposal evaluation team (hereinafter referred to as Team) using the following procedure.

- 5.5.1 Team members will read each proposal and will evaluate based on their experience and judgment of how well the proposal addresses the City's requirements. Each prospective company is assured that any proposal submitted will be evaluated using the best available information and without any forgone conclusions.
- 5.5.2 The team members will convene to discuss the proposals. At this point, some firms may be eliminated from further consideration based on their overall response to the RFP.
- 5.5.3 Consideration will also be given to written clarification provided during the evaluation process and input from staff or other persons judged to have useful expertise that should be considered in a responsible, fair assessment of the relative merits of a proposal. References, as deemed appropriate, may be checked at any time during the process.
- 5.5.4 The team may arrange interviews, demonstrations and/or presentations with representatives of the top firms.
- 5.5.5 The team meets again for further discussion and then scores the top proposals based on the criteria stated in section 5.2.
- 5.5.6 At the discretion of the evaluation team, the top proposer(s) may be invited to submit a "best and final offer" to negotiate cost or deliverables.
- 5.5.7 The City would then enter into contract negotiations with the top Proposer.

5.6 A Proposer's submission of a proposal constitutes its acceptance of this evaluation technique and its recognition and acceptance that subjective judgments will be used by the evaluators in the evaluation.

5.7 Buy Local Program

The Cedar Rapids City Council has passed a resolution adopting a Buy Local Program for the procurement of goods and/or Services by competitive bid or proposal. Preference shall be applied to acceptable proposals from businesses located within Linn County who have submitted a notarized Local Business Certificate. See Attachment C for details. If your company is already registered, or if this does not apply to your business, do not complete the form.

----- End of Section 5.0 -----

SECTION 6.0 – SUBMITTAL INSTRUCTIONS

6.1 Financial Proposal

This portion of the proposal shall include ONLY the proposed cost. Corridor Metropolitan Planning Organization (MPO) is not part of the City of Cedar Rapids audit; however, the City maintains the MPO's financial information and is soliciting pricing for the MPO audit. Consultant shall complete the Proposal Pricing Submittal Form, Attachment C.

6.2 Non-Financial Proposal

6.2.1 In order to facilitate the analysis of responses to this RFP, Consultants are required to prepare their proposals in accordance with the instructions outlined in this section. Consultants whose proposals deviate from these instructions may be considered non-responsive and may be disqualified at the discretion of the City of Cedar Rapids.

6.2.2 Proposals shall be prepared as simply as possible and provide a straightforward, concise description of the Consultant's capabilities to satisfy the requirements of the RFP. Expensive bindings, color displays, promotional materials, etc., are not necessary or desired. Emphasis shall be concentrated on accuracy, completeness, and clarity of content.

- a) Each of the five (5) sections listed below shall be tabbed and labeled.
- b) Each page shall be numbered on the bottom right hand corner.
- c) Submit one (1) original proposal and three (3) copies.
- d) The proposal shall be organized as follows:

Proposal Tab Section	Title
1.0	Cover Letter and Executive Summary
2.0	Company Background and Experience
3.0	Response to Scope of Services
4.0	Items to be Included with Submittal
5.0	Submittal Forms

6.2.3 Tab 1.0 - The Consultant shall provide a Cover Letter on corporate letterhead, signed by an authorized representative of the company and an Executive Summary which will be limited to a brief narrative highlighting the Consultant's proposal. The Executive Summary should not include cost quotations.

6.2.4 Tab 2.0 - Consultants shall provide information about their company and the individuals assigned to provide the Services so the City of Cedar Rapids can evaluate the Consultant's stability and ability to support the commitments set forth in the RFP. The City of Cedar Rapids, at its option, may require a Consultant to provide additional documentation and/or clarify requested information.

- a) Brief description of the company including company size and organization, past history, present status, future plans, etc.
- b) Provide the name of the principal or project manager in your firm, including his/her office location, who will have direct and continued responsibility for the services provided to the City. This person will serve as the firm's first point-of-contact on all matters dealing with services and the handling of day-to-day activities through the duration of the project.
- c) Identify other individuals who will be assigned to this project by name, job classification and office location.
- d) Describe the professional experience of each individual proposed to be assigned to this project, including the project manager, and provide a detailed listing of the projects they have worked on for other clients.

6.2.5 Tab 3.0 - Consultants shall provide their response to the Scope of Services, including an outline for project management and task implementation. The work plan must detail the firm's services to be performed and a schedule that the firm proposes for completing the project. Please note that timely completion of this project is critical.

6.2.6 Tab 4.0 - Items to be Included with Submittal as requested in Item 4.14 (Page 13)

- 6.2.7 Tab 5.0 – Submittal Forms (Attachment C, includes General Company Information Form, Certification Regarding Ability to Obtain Required Insurance, Proposal Pricing Page, Signature Page Form and Buy Local Packet, if applicable)
- 6.2.8 All offers and other work products submitted in response to this RFP shall become the property of the City of Cedar Rapids.

----- End of Section 6.0 -----

ATTACHMENT A – STANDARD TERMS AND CONDITIONS

ACCELERATED PAY DISCOUNTS - Accelerated discounts should be so stated on the Signature Page. If quick pay discounts are offered, the City reserves the right to include that discount as part of the award criteria. Prices proposed must, however, be based upon payment in net forty-five (45) days after receipt, inspection and acceptance. In all cases, quick pay discounts will be calculated from the date of the invoice or the date of acceptance, whichever is later.

ASSIGNMENT - The City and the Consultant each is hereby bound and the partners, successors, executors, administrators and legal representatives of the City and the Consultant are hereby bound to the other Party to the Contract and to the partners, successors, executors, administrators and legal representatives (and said assigns) of such other Party, in respect of all covenants, agreements and obligations of the Contract. Any assignment or attempt at assignment made without prior written consent of the City shall be void.

PROPOSAL CURRENCY/LANGUAGE - All proposal prices shall be shown in US Dollars (\$). All prices must remain firm for the duration of the contract regardless of the exchange rate. All Proposal responses must be submitted in English.

PROPOSAL FORM - Each Proposer must submit an original proposal and additional copies as required on the forms attached. The Proposer shall correctly sign the proposal, and the proposal may be rejected if it shows any omissions, alterations of the form, additions not called for in the proposal, or any irregularities of any kind. In case of a discrepancy between the unit price and the extended price, the unit price shall prevail.

PROPOSAL INFORMATION IS PUBLIC - All documents submitted with any proposal shall become public documents and subject to Iowa Code Chapter 22, which is otherwise known as the "Iowa Open Records Law". By submitting any document to the City of Cedar Rapids in connection with a proposal, the submitting party recognizes this and waives any claim against the City of Cedar Rapids and any of its officers and employees relating to the release of any document or information submitted. Each submitting party shall hold the City of Cedar Rapids and its officers and employees harmless from any claims arising from the release of any document or information made available to the City of Cedar Rapids arising from any opportunity.

PROPOSAL REJECTION OR PARTIAL ACCEPTANCE - The City reserves the right to accept or reject any or all proposals or parts thereof. The City further reserves the right to waive technicalities and formalities in proposals, as well as to accept in whole or in part such proposals where it is deemed advisable in protection of the best interests of the City.

CONFLICT OF INTEREST - Consultant represents, warrants, and covenants that no relationship exists or will exist during the Contract period between the Consultant and the City that is a conflict of interest. No employee, officer or agent of the Consultant shall participate in the selection or in the award if a conflict of interest, real or apparent, exists. The provisions of Iowa Code ch. 68B shall apply to the Contract. If a conflict of interest is proven to the City, the City may terminate the Contract, and Consultant shall be liable for any excess costs to the City as a result of the conflict of interest. The Consultant shall establish safeguards to prevent employees, consultants, or members of governing bodies from using their positions for purposes that are, or give the appearance of being, motivated by the desire for private gain for themselves or others with whom they have family, business, or other ties. The Consultant shall report any potential, real, or apparent conflict of interest to the City.

DISPUTES - Should any disputes arise with respect to the Contract; the Parties agree to act immediately to resolve such disputes. Time is of the essence in the resolution of disputes. The Consultant agrees that, the existence of a dispute notwithstanding, it will continue without delay to carry out all of its responsibilities under the Contract that are not affected by the dispute and the City shall continue to make payment for all Services properly performed. Should the Consultant fail to continue to perform its responsibilities regarding all non-disputed Services, without delay, any additional costs incurred by the City or the Consultant as a result of such failure to proceed shall be borne by the Consultant. The unintentional delayed payment by the City to the Consultant of one or more invoices not in dispute in accordance with the terms of the Contract will not be cause for Consultant to stop or delay Services.

FOB POINT AND FREIGHT/DELIVERY CHARGES – The FOB point, in terms of loss or damage, as well as where title to the goods is passed, shall be FOB-Destination. Freight/delivery charges are to be included in the quoted price of the goods, rather than as a separate line item.

FORCE MAJEURE - Force majeure shall be any of the following events: acts of God or the public enemy; compliance with any order, rule, regulation, decree, or request of any governmental authority or agency or person purporting to act therefore; acts of war, public disorder, rebellion, terrorism, or sabotage; floods, hurricanes, or other storms; strikes or labor disputes; or any other cause, whether or not of the class or kind specifically named or referred to herein, not within the reasonable control of the Party affected. A delay in or failure of performance of either Party shall not constitute a default hereunder nor be the basis for, or give rise to, any claim for damages, if and to the extent such delay or failure is caused by force majeure. The Party who is prevented from performing by force majeure shall be obligated, within a period not to exceed fourteen (14) days after the occurrence or detection of any such event, to give notice to the other Party setting forth in reasonable detail the nature thereof and the anticipated extent of the delay, and shall remedy such cause as soon as reasonably possible, as mutually agreed between the Parties.

INDEMNIFICATION - The Consultant shall, and hereby agrees to, protect, defend, indemnify and hold harmless the City of Cedar Rapids, its officers and employees from any and all claims, settlements, judgments, and damages of every kind and nature made, to include all costs associated with the investigation and defense of any claim, rendered or incurred by or on behalf of the City, its officers, and employees, that may arise, occur, or grow out of any errors, omissions, or acts, done by the Consultant, its employees, or any independent Consultants working under the direction of either the Consultant in the performance of the Contract.

LAWS AND REGULATIONS - The Contract shall be governed, interpreted and enforced in accordance with all applicable federal, State of Iowa, and local laws, ordinances, licenses and regulations of a governmental body having jurisdiction and shall apply to the Contract throughout, as the case may be. The Consultant certifies that in performing the Contract they will comply with all applicable provisions of the federal, state, and local laws, regulations, rules, and orders.

NO GIFT STANDARD - The City of Cedar Rapids is committed to upholding the highest ethical standards in all of its business practices. This standard recognizes the need to avoid even the perception of improper gifts or favors to employees. Therefore, all suppliers have been asked to abide by the City's "No Gift" standard. The "No Gift" standard also applies to all offers of discounts or free items at any place of business targeted toward a City employee and not available to the general public, regardless of the value.

NON-COLLUSION STATEMENT – Neither the Consultant, nor anyone in the employment of the Consultant, has employed any person to solicit or procure the Contract nor will the Consultant make any payment or agreement for payment of any compensation in connection with the Contract. There is no contract, agreement or arrangement, either oral or written, expressed or implied, contemplating any division of compensation for Services rendered under the Contract or participation therein, directly or indirectly, by any other person, firm or corporation, except as documented in the Contract. Neither the Consultant, nor anyone in the employment of the Consultant, has either directly or indirectly entered into any agreement, participated in any collusion or otherwise taken any action in restraint of free competitive procurement in connection with the Contract.

NON-DISCRIMINATION AND EQUAL OPPORTUNITY - All Consultants that engage in contracts with the City of Cedar Rapids, Iowa agree as follows: The Consultant will not discriminate against any employee or applicant for employment because of race, sex, color, creed, ancestry, national origin, marital status, families with children, religion, age, disability, sexual orientation, gender identity, genetic information, status with regard to public assistance, status as a veteran or any classification protected by federal, state, or local law, (Protected Classes) except where age and sex are essential bona fide occupational requirements, or where disability is a bona fide occupational disqualification. Such action shall include, but not be limited to the following; (a) Employment, (b) Upgrading, (c) Demotion or transfer, (d) Recruitment and advertising, (e) Layoff or termination, (f) Rate of pay or other forms of compensation, and (g) Selection for training, including apprenticeship. The Contractor further assures that managers and employees comply with both the spirit and intent of federal, state, and local legislation, government regulation, and executive orders in providing affirmative action as well as equal opportunity without regard to the protected classes, as stated above. The Consultant will include, or incorporate by reference, the provisions of the nondiscrimination clause in every contract or subcontract unless exempt by the rules, regulations or orders of the City's Affirmative Action Program and will provide in every contract or subcontract that said provision will be binding upon each Consultant.

REGULATORY AGENCY COMPLIANCE - Compliance with laws and regulations set forth by regulatory agencies is required. These agencies include, but are not limited to, OSHA – Occupational Safety & Health Agency, EPA – Environmental Protection Agency, ICC – Interstate Commerce Commission, DNR – Department of Natural Resources, and DOT – Department of Transportation. The City of Cedar Rapids expects that Consultants will offer expertise on conformance of regulations applying to the services they provide.

RIGHT TO PROTEST - Anyone wishing to file a protest concerning (1) the specifications, (2) the proposal procedure or (3) the award of the contract must do so in writing in accordance with the City's Protest Procedure which is posted on the City's website at http://cedar-rapids.org/government/departments/purchasing/Documents/Protest%20Procedure_14.pdf

SUBCONTRACTING – The Services relating to this Project, or any portion thereof, may not be subcontracted without written approval from the City. All approved Subcontractors shall be listed in the resulting contract or in a written amendment to the contract.

SUSPENSIONS AND DEBARMENT - The Consultant hereby certifies, pursuant to 48 CFR Part 9, that neither it nor its principles are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in the Contract by any federal agency. The Consultant further certifies that it is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in any contracts with the City of Cedar Rapids or the State of Iowa.

TAXES - The City of Cedar Rapids is exempt from sales tax and certain other use taxes. Any charges for taxes from which the City is exempt will be deducted from invoices before payment is made. The Cedar Rapids Tax ID number is 42-6004336.

TERMINATION OF CONTRACT FOR CONVENIENCE - The City may terminate the Contract at any time by giving written notice to the Consultant of such termination and specifying the effective date thereof, at least thirty (30) calendar days before the effective date of such termination. In that event, all finished or unfinished Services, reports, materials(s) prepared or furnished by the Consultant under the Contract shall, at the option of the City, become its property. If the Contract is terminated by the City as provided herein, the Consultant shall be paid for all Services which has been authorized, provided, and approved up to the effective date of termination. The City will not be subject to any termination fees from the Consultant.

TERMINATION FOR CAUSE AND DEFAULT - If through any cause, the Consultant shall fail to fulfill in a timely and proper manner its obligations or if the Consultant shall violate any of the terms or conditions of the Contract, the City shall thereupon have the right to terminate the Contract by giving written notice to the Consultant of such termination and specifying the effective date of termination. In that event, and as of the time notice is given by the City, all completed Services, reports, and delivered materials shall, at the option of the City, become its property, and the Consultant shall be entitled to receive compensation for any satisfactory Services completed. Notwithstanding the above, the Consultant shall not be relieved of liability to the City for damage sustained by the City by virtue of breach of the Contract by the Consultant and the City may withhold any payments to the Consultant for the purpose of set off until such time as the exact amount of damages due the City are determined.

WARRANTIES – INTELLECTUAL PROPERTY - Consultant represents and warrants that all the materials, goods and services produced, or provided to the City pursuant to the terms of the Contract shall be wholly original with the Consultant or that the Consultant has secured all applicable interests, rights, licenses, permits or other intellectual property rights in such materials, goods and services. The Consultant represents and warrants that the materials, goods and services, and the City’s use of same, and the exercise by the City of the rights granted by the Contract shall not infringe upon any other services or violate the rights of publicity or privacy of, or constitute a libel or slander against, any person, firm, or corporation. Consultant further represents and warrants that the materials and services do not infringe upon the copyright, trademark, trade name, trade dress patent, statutory, common law or any other rights of any person, firm or corporation or other entity. The Consultant represents and warrants that it is the owner of or otherwise has the right to use and distribute the goods and services contemplated by the Contract.

WARRANTIES -PROFESSIONAL SERVICES - The Consultant shall perform Services for, and furnish deliverables to, the City pertaining to the Project as set forth in this Contract. The Consultant shall possess a degree of learning, care and skill ordinarily possessed by reputable professionals, practicing in this area under similar circumstances. The Consultant shall use reasonable diligence and professional judgment in the exercise of skill and application of learning.

Consultant represents that the Services and all of its components shall be free of defects; shall be performed in a manner consistent with the standard of care of other professional service providers in a similar industry and application; shall conform to the requirements of this Contract; and shall be sufficient and suitable for the purposes expressed in this Contract.

Consultant shall be responsible for the quality, technical accuracy, completeness and coordination of all Documents and other items and Services under this Contract. Consultant shall, promptly and without charge, provide all corrective Services necessary as a result of Consultant’s acts, errors, or omissions with respect to the quality and accuracy of Services and documents.

Consultant shall be responsible for any and all damages to property or persons as a result of Consultant’s acts, errors, or omissions, and for any losses or costs to repair or remedy any services undertaken by City based upon the services as a result of any such acts, errors, or omissions.

Consultant’s obligations shall exist without regard to, and shall not be construed to be waived by, the availability or unavailability of any insurance, either of City or Consultant.

----- End of Attachment A -----

ATTACHMENT B – INSURANCE REQUIREMENTS

Section I – Basic Insurance Requirements

Consultant, at its own expense, shall procure and maintain during the life of this Contract, the following insurance so as to cover all risk which shall arise directly or indirectly from Consultant's obligations and activities.

General Liability Insurance with limits of at least \$1,000,000 per occurrence and \$2,000,000 general aggregate Bodily Injury and Property Damage. Coverage shall include the following extensions: Premises and Operations, Products and Completed Operations, Personal and Advertising Injury, Independent Consultant Coverage and Contractual Liability.

Automobile Liability Insurance with a combined single limit of at least \$1,000,000 per occurrence for bodily injury and property damage. Coverage shall include all owned, hired, and non-owned motor vehicles used in the performance of this contract by the Consultant or its employees.

Workers Compensation and Employers Liability Insurance meeting the requirements of the Iowa Workers Compensation Statutes. The coverage limits shall include \$500,000 each accident for Bodily Injury by Accident, \$500,000 each employee for Bodily Injury by Disease, and \$500,000 policy limit for Bodily Injury by Disease.

Professional Liability Insurance with limits of at least \$1,000,000 per occurrence covering all work performed by the Consultant, its employees, Subconsultants, or independent Consultants. If this coverage is written on a claims made policy form, the certificate of insurance must clearly state coverage is claims made and coverage must remain in effect for at least two years after final payment with the Consultant continuing to furnish the City certificates of insurance.

THREE (3) ENDORSEMENTS REQUIRED:

1. Additional Insured Endorsement:

Except for Workers' Compensation and Professional Liability, the policies shall include the City Additional Insured Endorsement of: The City of Cedar Rapids, Iowa, including all its elected and appointed officials, all its employees and volunteers, all its boards, commissions and/or authorities and their board members, employees, and volunteers, are included as additional insureds with respect to liability arising out of the Insured's Services provided for the City of Cedar Rapids, Iowa. This coverage shall be primary to the additional insureds, and not contributing with any other insurance or similar protection available to the additional insureds, whether available coverage be primary, contributing, or excess.

2. Non-Waiver of Governmental Immunities Endorsement (Iowa):

a. **Non-waiver of Government Immunity** The insurance carrier expressly agrees and states that the purchase of this policy and the including of the City of Cedar Rapids, Iowa as an Additional Insured does not waive any of the defenses of governmental immunity available to the City of Cedar Rapids, Iowa under Code of Iowa Section 670.4 as it now exists and as it may be amended from time to time.

b. **Claims Coverage** The insurance carrier further agrees that this policy of insurance shall cover only those claims not subject to the defense of governmental immunity under the Code of Iowa Section 670.4 as it now exists and as may be amended from time to time.

c. **Assertion of Government Immunity** The City of Cedar Rapids, Iowa shall be responsible for asserting any defense of governmental immunity, and may do so at any time and shall do so upon the timely written request of the insurance carrier. Nothing contained in this endorsement shall prevent the carrier from asserting the defense of governmental immunity on behalf of the City of Cedar Rapids, Iowa.

d. **Non-Denial of Coverage** The insurance carrier shall not deny coverage under this policy and the insurance carrier shall not deny any of the rights and benefits accruing to the City of Cedar Rapids, Iowa under this policy for reasons of governmental immunity unless and until a court of competent jurisdiction has ruled in favor of the defense(s) of governmental immunity asserted by the City of Cedar Rapids, Iowa.

e. **No Other Change in Policy** The insurance carrier and the City of Cedar Rapids, Iowa agree that the above preservation of governmental immunities shall not otherwise change or alter the coverage available under the policy.

3. Cancellation and Material Changes Endorsement

Thirty (30) days Advance Written Notice of Cancellation, Non-Renewal, Reduction in insurance coverage and/or limits and ten (10) days written notice of non-payment of premium shall be sent to:

City of Cedar Rapids
Finance Department – Purchasing Services Division
101 First Street SE, Cedar Rapids IA 52401

(Please note that the City does accept a signed letter on the agent's letterhead, from the insured's insurance agent, confirming that the agent will provide notice as indicated above.)

Section II – Conditions of Contract

The Consultant is required to purchase and maintain insurance coverage to protect the Consultant and City of Cedar Rapids throughout the duration of this Contract as enumerated above in the minimum limits above written and the requirement shall be a part of the Contract. Failure on the part of the Consultant to maintain this insurance in full effect will be treated as a failure on the part of the Consultant to comply with these requirements and be considered sufficient cause to suspend the work, withhold payment(s), and/or be disqualified in the future.

The insurance policies shall be issued by insurers authorized to do business in the State of Iowa and currently having an A.M. Best Rating of "B+" or better. All policies shall be occurrence form. If Professional Liability coverage is written on a claims made policy form, the certificate of insurance must clearly state coverage is claims made and coverage must remain in effect for at least two years after final payment with the Consultant continuing to furnish the CITY certificates of insurance.

The Consultant shall be responsible for deductibles and self-insured retentions in the Consultant's insurance policies.

The Consultant is required to give the City notice of any change in coverage, specifically, any reduction in coverage and cancellation of coverage no less than thirty (30) days prior to the effective date of any non-renewal or cancellation of any policies required by the Contract.

The City intends to be an Additional Insured with coverage being primary and not contributing with any other insurance or similar protection available to the City whether any other coverage is primary, contributing or excess.

In the case of any work sublet, the Consultant shall require Subconsultants and independent Consultant working under the direction of either the Consultant or a Subconsultant to carry and maintain the same workers compensation and liability insurance required of the Consultant.

Section III – Contract Approval

A Certificate of Insurance is required evidencing all required insurance coverage as provided above with any required endorsements attached so as to evidence their inclusion in the coverage. The Certificate of Insurance is due before the Contract can be approved. The following format is required:

List Professional Auditing Services, RFP #PUR0216-156, as the Scope of Services the certificate covers in the Description of Operations section.

The following address must appear in the Certificate Holder section:

City of Cedar Rapids
Finance Department – Purchasing Services Division
101 First Street SE
Cedar Rapids IA 52401

The Producer's contact person's name, phone number and e-mail address is required.

Endorsements, as required in Section I, shall be included with the Certificate of Insurance to evidence that the policy has been endorsed.

Certificates may be sent by e-mail (d.muench@cedar-rapids.org), fax (888-815-3659), mail or delivery to the attention of Diane Muench.

ATTACHMENT C

PROPOSAL SUBMITTAL FORMS

For

PROFESSIONAL AUDITING SERVICES

RFP #PUR0216-156

FORM NAME	Page
General Company Information Form.....	24
Certification Regarding Ability to Obtain Required Insurance.....	25
Proposal Pricing Submittal Form.....	26
Signature Page Form.....	31
Buy Local Packet (submit only if applicable).....	32

GENERAL COMPANY INFORMATION FORM

Company Name _____

Company Address _____

General Description of the Company: _____

Type of Organization (franchise, corporation, partnership, etc.) _____

Number of years in business: _____

References

List three (3) customers who are current or have been served by your company within the last three (3) years with projects of similar scopes. (Name of firm, address, contact person, phone number)

Reference #1 - Name: _____

Address: _____

Contact Person & Phone: _____

Date & Description of Job: _____

Contract Value: _____

Reference #2 - Name: _____

Address: _____

Contact Person & Phone: _____

Date & Description of Job: _____

Contract Value: _____

Reference #3 - Name: _____

Address: _____

Contact Person & Phone: _____

Date & Description of Job: _____

Contract Value: _____

Personnel

Name and title of person overseeing the City account: _____

Office Phone: _____ Mobile: _____ Email: _____

Names, titles and years of experience of persons expected to service the City account:

Safety Record

Has your company received an OSHA violation in the past five (5) years? Yes No

If yes, please attach copies of the citations and an explanation of how they have been resolved.

CERTIFICATION REGARDING ABILITY TO OBTAIN REQUIRED INSURANCE

CERTIFICATION BY PROPOSER'S INSURANCE AGENT/BROKER REGARDING PROPOSER'S ABILITY TO OBTAIN REQUIRED INSURANCE COVERAGE AND ENDORSEMENTS

I hereby certify that my client, as identified below, will be able to meet all of the insurance requirements of Attachment B, has been advised of any additional costs associated with doing so, and has agreed to obtain such coverage and endorsements if selected as the successful proposer of the RFP to which my client has responded:

Project Name and Number: _____

Legal Name of Proposer: _____

Name/Address of Insurance Agency:

Phone: _____ Fax: _____

Email: _____

Name of Agent/Broker (Print): _____

Signature of Agent/Broker: _____

Date of Signature: _____

PROPOSAL PRICING SUBMITTAL FORM

The Consultant shall, at its sole cost and expense, provide, perform and complete in the manner described and specified in this Request for Proposal all necessary labor, services, transportation, equipment, materials, apparatus, information, data, freight and other items necessary to accomplish the Project as defined below, in accordance with the Scope of Services as described in Section 4.0. The Services will also include procuring and furnishing all approvals and authorizations, permits, and certificates and policies of insurance as specified herein necessary to complete the Project.

FY16 Audit (Contract period 07/01/16 - 06/30/17)				
Comprehensive Annual Financial Report (include 3-4 hours training on new accounting standards/reporting, GFOA, Airport PFC and other compliance reports)				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Comprehensive Annual Financial Report				\$
Single audit per major program report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for single audit for one (1) major program report			\$	
Assume four major programs (4 x subtotal)				\$
Cedar Rapids/Linn County Solid Waste Agency audit and report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Cedar Rapids/Linn County Solid Waste Agency				\$
Corridor Metropolitan Planning Organization audit and report (evaluated each year whether audit will be performed)				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Corridor Metropolitan Planning Organization				\$
HUD's REACT audit				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for HUD's REACT				\$
Total not-to-exceed amount for FY16 audits				\$

Name of Company: _____ Authorized Signature: _____

FY17 Audit (Contract period 07/01/17 - 06/30/18)				
Comprehensive Annual Financial Report (include 3-4 hours training on new accounting standards/reporting, GFOA, Airport PFC and other compliance reports)				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Comprehensive Annual Financial Report				\$
Single audit per major program report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for single audit for one (1) major program report				\$
Assume four major programs (4 x subtotal)				\$
Cedar Rapids/Linn County Solid Waste Agency audit and report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Cedar Rapids/Linn County Solid Waste Agency				\$
Corridor Metropolitan Planning Organization audit and report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Corridor Metropolitan Planning Organization				\$
HUD's REACT audit				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for HUD's REACT				\$
Total not-to-exceed amount for FY17 audits				\$

Name of Company: _____ Authorized Signature: _____

FY18 Audit (Contract period 07/01/18 - 06/30/19)				
Comprehensive Annual Financial Report (include 3-4 hours training on new accounting standards/reporting, GFOA, Airport PFC and other compliance reports)				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Comprehensive Annual Financial Report				\$
Single audit per major program report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for single audit for one (1) major program report				\$
Assume four major programs (4 x subtotal)				\$
Cedar Rapids/Linn County Solid Waste Agency audit and report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Cedar Rapids/Linn County Solid Waste Agency				\$
Corridor Metropolitan Planning Organization audit and report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Corridor Metropolitan Planning Organization				\$
HUD's REACT audit				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for HUD's REACT				\$
Total not-to-exceed amount for FY18 audits				\$

Name of Company: _____ Authorized Signature: _____

FY19 Audit (Contract period 07/01/19 - 06/30/20)				
Comprehensive Annual Financial Report (include 3-4 hours training on new accounting standards/reporting, GFOA, Airport PFC and other compliance reports)				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Comprehensive Annual Financial Report				\$
Single audit per major program report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for single audit for one (1) major program report				\$
Assume four major programs (4 x subtotal)				\$
Cedar Rapids/Linn County Solid Waste Agency audit and report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Cedar Rapids/Linn County Solid Waste Agency				\$
Corridor Metropolitan Planning Organization audit and report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Corridor Metropolitan Planning Organization				\$
HUD's REACT audit				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for HUD's REACT				\$
Total not-to-exceed amount for FY19 audits				\$

Name of Company: _____ Authorized Signature: _____

FY20 Audit (Contract period 07/01/20 - 06/30/21)				
Comprehensive Annual Financial Report (include 3-4 hours training on new accounting standards/reporting, GFOA, Airport PFC and other compliance reports)				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Comprehensive Annual Financial Report				\$
Single audit per major program report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for single audit for one (1) major program report				\$
Assume four major programs (4 x subtotal)				\$
Cedar Rapids/Linn County Solid Waste Agency audit and report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Cedar Rapids/Linn County Solid Waste Agency				\$
Corridor Metropolitan Planning Organization audit and report				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for Corridor Metropolitan Planning Organization				\$
HUD's REACT audit				
Job Classification	Firm Fixed Hourly Rate	Number of Hours by Classification	Extended Price	Subtotal
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
Subtotal for HUD's REACT				\$
Total not-to-exceed amount for FY20 audits				\$

Name of Company: _____

Authorized Signature: _____

Date: _____

SIGNATURE PAGE FORM

The undersigned, having examined these documents and having full knowledge of the condition under which the Services described herein must be provided, hereby proposes fulfillment of the obligations contained herein in accordance with all insurance documents, instructions, terms, conditions, and specifications set forth; and that all required Services be furnished and that all incidental costs be paid in strict conformity with these documents, for the stated prices as payment in full.

Submitting Firm: _____

Address: _____

City: _____ County: _____ State: _____ Zip: _____

Authorized Representative (print): _____ Title: _____

Authorized Signature: _____

Date: _____ E-mail: _____

Phone # () _____ Fax # () _____

Federal ID Number _____

Iowa Department of Labor Registration Number, if applicable _____

The State of Iowa requires that all individual contractors and businesses performing "construction" work within Iowa be registered with the Division of Labor and renew that registration annually. More information about this law can be found at <http://www.iowaworkforce.org/labor/contractor.htm>

FIRM PRICING

Offered pricing shall remain firm for a minimum of sixty (60) days after the due date of this solicitation unless indicated otherwise. Accepted pricing shall remain firm for the duration of the contract.

ADDENDA {It is the Proposer's responsibility to check for issuance of any addenda}

The above-signed hereby acknowledges receipt of the following addenda:

Addenda Number: _____ Date: _____ Addenda Number: _____ Date: _____

Addenda Number: _____ Date: _____ Addenda Number: _____ Date: _____

PAYMENT METHOD

Do you accept a credit card for payment of purchases? Yes No

QUICK PAY DISCOUNT

If you provide a discount for quick payment, please state the discount and terms: _____ % _____ days

Does this discount apply to payments made by MasterCard? Yes No

PROPOSED SUB-CONSULTANTS (Reference General Terms and Conditions, section titled *Subcontracting*).

If awarded this project, do you plan to use any sub-consultants? Yes No If yes, list information below.

Sub-consultant Company Name	Address	IA Contractor Registration # (if applicable)

We choose not to bid at this time. We would like to be considered for future solicitations.

BUY LOCAL PACKET

The Cedar Rapids City Council adopted the Buy Local Purchasing Policy through City Council Resolution No. 1239-10-10.

1. Who is local?

- a. Businesses located within Linn County, Iowa who have paid Linn County property taxes on a plant, office or store occupied by the business for the past year; or
- b. Businesses located within Linn County, Iowa who have paid rent for the past year to a landlord or owner who has paid Linn County property taxes for the past year on the plant, office or store occupied by the business.

2. How do I apply for local preference status?

- a. Complete a "Local Business Certificate". (See page 3 of this packet)
- b. Mail the notarized, completed certificate to:
City of Cedar Rapids – Purchasing Division
101 First Street SE
Cedar Rapids, IA 52401

3. After I return the notarized certificate, how do I know if my business is on the list?

A list of certified businesses can be viewed on the City's website:

www.cedar-rapids.org/government/departments/purchasing

Please allow up to 10 days for processing of the certificate before the business is listed.

4. Will the local preference policy be applied to all purchases for goods and services?

No, the following types of purchases are excluded:

- a. Purchases subject to the competitive laws of the State of Iowa
- b. Purchases subject to federal, state or county grant stipulations
- c. Purchases from the State of Iowa or other national contracts
- d. Sole source purchases

5. Do you have questions or feedback about the Buy Local Program?

Please send questions via email to buylocal@cedar-rapids.org

6. If I work out of my home, and my home is in Linn County, am I eligible to become a certified local business?

In order to qualify as local business your business must pay commercial property taxes related to the business being certified as local business. Residential property taxes paid for a home business do not qualify for the buy local certification.

7. How does the Buy Local Program work?

Preference shall be applied to acceptable quotes, bids and proposals greater than \$1,000 from businesses within Linn County, Iowa who have submitted a notarized "Local Business Certificate".

Example A: Preference shall be given in the procurement of goods and/or services by bid or quote when a local Contractor's bid or quote exceeds the acceptable low bid by no more than:

10% for bids less than \$25,000

5% for bids equal to or greater than \$25,000 but less than \$200,000

1% for bids equal to or greater than \$200,000

Bid Tabulation for a 20' Enclosed Trailer			
	Contractor A	Contractor B	Contractor C
	Marion, IA	Des Moines, IA	Davenport, IA
BID PRICE	\$ 15,147.99	\$ 14,770.55	\$ 18,250.00

- This bid is less than \$25,000 so the preference is 10%
- Contractor B submitted the lowest bid of \$14,770.55
- Contractor B is not a local business
- Contractor A submitted the next lowest bid of \$15,147.99
- Contractor A is a certified local business
- $\$15,147.99 - \$14,770.55 = \$377.44 / 14,770.55 = 2.56\%$
- The difference between the two bids is 2.56% which is within 10% so the local preference applies
- The bid is awarded to the local Contractor A for \$15,147.99

Example B: Preference shall be given in the procurement of goods and/or services by Request for Proposal (RFP) by awarding additional points to the evaluation scores of proposals received from certified local businesses as follows:

10% of all available points for proposals less than \$25,000

5% of all available points for proposals equal to or greater than \$25,000 but less than \$200,000

1% of all available points for proposals equal to or greater than \$200,000

Proposal Summary			
	Contractor A	Contractor B	Contractor C
	Iowa City, IA	Cedar Rapids, IA	Hiawatha, IA
Points	976.7	723	636.8
Points for Local Preference	0	50	50
TOTAL POINTS	976.7	773	686.8

- This proposal is greater than \$25,000 but less than \$200,000 so the preference is 5%
- The total available points are 1,000 (5% of 1,000 points = 50 points)
- The proposal received from Contractor A was given 976.7 points by the evaluation team
- Contractor B and Contractor C each received 50 additional points per the local preference policy
- After the additional points were applied, Contractor A remained the highest ranked proposal
- Local preference did not change the award in this case



STATEMENT OF POLICY

CITY OF CEDAR RAPIDS LOCAL BUSINESS CERTIFICATE

Pursuant to Cedar Rapids City Council Resolution 1239-10-10, in conducting the procurement of goods and/or services by competitive solicitation, the City of Cedar Rapids shall give preference to a responsive bid or proposal from a business located within the limits of Linn County, Iowa over an acceptable bid or proposal submitted by a business located outside of Linn County.

Preference shall be given in conducting procurement of goods and/or services by bid or quote when a local bidder's bid or quote exceeds the acceptable low bid by no more than:

- 10% for bids less than \$25,000
- 5% for bids equal to or greater than \$25,000 but less than \$200,000
- 1% for bids equal to or greater than \$200,000

Preference shall be given in conducting procurement of goods and/or services by request for proposal by awarding additional points to each proposal where the business is located in Linn County as follows:

- 10% of all available points for proposals less than \$25,000
- 5% of all available points for proposals equal to or greater than \$25,000 and less than \$200,000
- 1% of all available points for proposals equal to or greater than \$200,000

The local preference is not applicable to goods and services purchased with the assistance of federal, state or county grants or funds, or pursuant to the competitive laws of the State of Iowa.

WRITTEN STATEMENT REQUESTING LOCAL BUSINESS STATUS

I, _____, am an authorized representative of _____ (name of business) and on behalf of the business request that it be deemed to be a local business for purposes of the City of Cedar Rapids "Buy Local" program. Answering yes to question 1 **and** either question 2 or 3 listed below will qualify the business as a local business. In support of this request I certify the following information as being true and correct:

Name of Business Here →→→		
(1) Is your business located within the limits of Linn County, Iowa?	<input type="checkbox"/> Yes <input type="checkbox"/> No	No. of Years: _____
(2) Did your business pay Linn County property taxes on a plant, office or store occupied by the business for the past year?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Street address of property: _____ Is this your home residence? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, see page 1, #6
(3) Did your business pay rent for the past year to a landlord or owner who has paid Linn County property taxes for the past year on a plant, office or store occupied by your business?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Street address of property: _____ Is this your home residence? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, see page 1, #6

I understand that misrepresentation of any facts in connection with this request may be cause for removal from the certified local business list. I also agree the business is required to notify the City in writing should it cease to qualify as a local business.

Signature _____	Title _____	Date _____
Address _____	City/State _____	Zip _____
Phone _____	Email _____	County _____

Subscribed and sworn to this _____ day of _____, 20____ before the undersigned Notary Public.

NOTARY PUBLIC, STATE OF IOWA

To confirm your status, check the certified local business list which is posted on the City's website:

www.cedar-rapids.org/government/departments/purchasing.

Questions about the Buy Local program may be emailed to buylocal@cedar-rapids.org.

Mail the notarized, completed certificate to →→→ City of Cedar Rapids
Finance Department – Purchasing Services Division
101 First Street SE
Cedar Rapids, IA 52401

Internal Use Only:

Contractor ID: _____ Contractor Location ID: _____ Updated by: _____

Attachment D - FMIS II (Financial Management Information System)

The Finance Department administrates the City's Financial and HRMS systems (FMIS II). FMIS II utilizes PeopleSoft's suite of fully integrated software to support financial operations.

HP Net servers, using the NT operating system and Oracle database, host the PeopleSoft software in a web services environment. Users are connected through the City Network that is administrated by the Information Technology Department. Remote users are connected using a Citrix/Mataframe server.

FMIS II consists of two (2) database servers, three (3) application servers and two (2) web servers. Development, testing and production databases are maintained for each application.

Financial applications in production are the general ledger, budget, accounts payable, purchasing, billing and accounts receive and asset management modules. HRMS applications in production include human resources, benefits, payroll and time and labor modules. Reporting tools in use include PeopleSoft Query, SQR, MS Excel nVision and Crystal.

Attachment E - Schedule of Expenditures of Federal Awards

CITY OF CEDAR RAPIDS, IOWA
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
 FISCAL YEAR ENDED JUNE, 30, 2015

Federal Grantor / Pass Through Grantor and Program Title	CFDA Number	Grant Number	Program Expenditures
U.S. Department of Agriculture:			
Iowa Department of Public Health:			
WIC Grant	10.557	588-1P-I01	\$ 30,622
FSNE Grant	10.561	588-1P-I01	16,264
			46,886
Total U.S. Department of Agriculture			46,886
U.S. Department of Housing and Urban Development:			
Direct:			
Community Development Block Grant	14.218	B-13/14-MC-190001	1,151,304
HOME	14.239	B-13/14-MC-19-0204	334,178
Fair Housing Assistance Program	14.401	FF207K137012	118,504
	14.401	FF207K147012	49,030
	14.401	N/A	5,859
			173,393
Leased Housing Authority Grant	14.871	IA024VO	5,055,383
	14.871	IA024FSH197A014	70,482
			5,125,865
Lead Based Paint Hazard Control/HUD	14.900	IALHB0548-13	310,714
			7,095,454
Iowa Department of Economic Development:			
Community Development Block Grant - Housing Disaster Recovery	14.228	08-DRH-008	4,141,180
	14.228	08-DRH-208	12,112,066
Community Development Block Grant - Disaster Recovery Infrastructure	14.228	08-DRI-216CR	64,423
	14.228	08-DRIEF-297	155,908
	14.228	08-DRIEF-200CR	883,809
	14.228	08-DRIEF-202CR	22,997
	14.228	08-DRIEF-293	299,650
	14.228	08-DRIEF-295	83,187
Community Development Block Grant - Property Acquisition	14.228	08-DRHB-229	7,779,026
	14.228	08-DRI106-201	31,182
	14.228	08-DRPG-206	4,290
			25,577,718
Total U.S. Department of Housing and Urban Development			32,673,172
U.S. Department of Interior			
State Historical Society of Iowa			
Historic Preservation Fund Grants-In-Aid	15.904	2014-03	10,000
Total U.S. Department of Interior			10,000
U.S. Department of Justice:			
Direct:			
US Marshall's Task Force	16.111	M-14 D29-0-00039	2,833
	16.111	M-15-D29-0-000037	15,471
			18,304
Equitable Sharing Program	16.922	N/A	141,609
			159,913
Governor's Office:			
Interdiction	16.710	10-HotSpots/Interdiction-06	2,000
Linn County, Iowa:			
JAG	16.738	2013-H4138-IA-DJ	19,658
	16.738	2014-H1677-IA-DJ	13,081
			32,739

Federal Grantor / Pass Through Grantor and Program Title	CFDA Number	Grant Number	Program Expenditures
Iowa Department of Public Safety: Internet Crimes Against Children	16.543	NA	2,307
Total U.S. Department of Justice			196,959
U.S. Department of Transportation: Direct:			
Airport Improvement Program	20.106	3-19-0012-46	3,003,651
	20.106	3-19-0012-47	2,545,771
	20.106	3-19-0012-48	1,291,175
			<u>6,840,597</u>
Bus Department Grants	20.500	IA-03-0096-00	697,740
	20.507	IA-90-X505-00	2,604,986
			<u>3,302,726</u>
Iowa Department of Transportation: Highway Planning and Construction	20.205	HDP-1187(711)--71-57	105,715
	20.205	STP-U-1187(703)--70-57	4,559
	20.205	STP-U-1187(772)--70-57	64,870
	20.205	NHSX-100-1(55)--8S-57	252,243
	20.205	NHSX-100-1(56)--8S-57	130,741
	20.205	HDP-100-1(73)--71-57	45,354
	20.205	STP-A-1187(765)--86-57	29,721
	20.205	SRTS-U-1187(755)-8U-57	953
	20.205	SRTS-U-1187(760)-8U-57	94,451
	20.205	SRTS-U-1187(766)--8U-57	3,384
	20.205	SRTS-U-1187(774)--8U-57	89,522
	20.205	BROS-1187(767)8J-57	19,245
	20.205	STP-U-1187(775)--70-57	834,000
	20.205	ER-1187(720)--8R-57	2,451
	20.205	ER-1187(722)--8R-57	201
	20.205	ER-1187(724)--8R-57	252
	20.205	ER-1187(725)--8R-57	199
	20.205	ER-1187(732)--8R-57	123
	20.205	ER-1187(735)--8R-57	47
	20.205	ER-1187(738)--8R-57	1,702
			<u>1,679,733</u>
Bus Department Grants	20.509	IA-95-X018-194-13	690,650
	20.509	IA-95-X018-118-13	160,503
			<u>851,153</u>
	20.513	IA-16-X005-118-15	112,054
	20.521	IA-57-X009-118-14	70,117
	20.526	IA-34-X002-118-13	491,181
			<u>1,524,505</u>
Iowa Department of Public Safety: Alcohol Incentive Grant	20.600	15-405d-M6OT, Task 12	23,498
	20.600	14-405d-M6OT, Task 12	8,036
			<u>31,534</u>
Total U.S. Department of Transportation			13,379,095
National Endowment for the Arts Promotion of the Arts - Grants to Organizations and Individuals	45.024	14-4100-7070	20,000
Total National Endowment for the Arts			20,000

Federal Grantor / Pass Through Grantor and Program Title	CFDA Number	Grant Number	Program Expenditures
U.S. Department of Health and Human Services:			
Iowa Department of Public Health:			
Disease Control & Prevention Grants	93.283	588-1P-I01	5,459
Drug Abuse Information Grant	93.959	588-1P-I01	219,592
STD Grant	93.977	588-1P-I01	1,007
Diabetes	93.988	588-1P-I01	510
Dental Grant	93.994	588-1P-I01	11,876
			<u>238,444</u>
Division of Health Protection:			
Health Protection Grant/Immunization	93.268	588-1P-I01	21,419
Health Protection Grant/Immunization	93.940/93.917	588-1P-I01	2,465
			<u>23,884</u>
Total U.S. Department of Health and Human Services			<u>262,328</u>
U.S. Department of Homeland Security:			
Iowa Homeland Security & Emergency Management:			
State Homeland Security Program	97.067	EMW-2012-SS-00028-13	5,212
	97.067	HSGP-13-SHSP-11	151,163
	97.067	HSGP-13-SHSP-14	202,252
	97.067	Video Project Part 1	50,000
	97.067	HSGP-14-SHSP-30-001	45,361
			<u>453,988</u>
Iowa Department of Economic Development:			
FEMA	97.036	FEMA-IA-DR1763	10,747,066
	97.036	FEMA-IA-DR4126	245,304
	97.036	FEMA-IA-DR4187	111,926
			<u>11,104,296</u>
Hazard Mitigation Grant Program	97.039	HMGP-DR-1763-0150-01	2,784,727
			<u>13,889,023</u>
Total U.S. Department of Homeland Security			<u>14,343,011</u>
Total Expenditures of Federal Awards			<u>\$ 60,931,451</u>