



**Westchester Community Program, Inc. (WestCOP)**

**Request for Proposal – Internal Fiscal Auditor Services**

**Issue date: OCTOBER 27, 2020**

**Due Date: Friday, November 13, 2020 at 4:00PM.**

**Goal:**

Westchester Community Opportunity Program, Inc. (WestCOP) is seeking proposals from reputable and qualified accounting or financial services firms to conduct internal fiscal audit. The goal is to an internal comprehensive assessment of the agency’s compliance with internal and external policies and compliance with contractual obligations.

**Basic Functions:**

The Internal Audit Services may include, but is not limited to:

- Review, determine and verify compliance with Generally Accepted Auditing Standards (GAAS); Integrated Framework issued by the Committee on Sponsoring Organizations (COSO) of the Treadway Commissions or any other financial management systems framework.
- Gain an understanding of and apply the relevant rules and regulations required to internal processes and procedures to ensure WestCOP’s compliance with its obligations under its Federal, State and local government contracts.
- Provide independent, objective assurance, recommendations and advice relating to evaluating potential risk, control measures and governance processes.
- Identify potential areas of vulnerability, risk and/or fraud and recommend preventive measures to uphold the highest standards of integrity and business conduct.

Objectivity, independence, fairness, detail-orientation and experience in GAAS practices and techniques will be key attributes of the Internal Auditor.

**Primary Duties & Responsibilities:**

- 1) Develop a risk-based test plan by selecting appropriate audit approaches, test procedures and sampling criteria resulting from professional judgement and departmentally defined audit methodology.
- 2) Evaluate the effectiveness of WestCOP’s policies, controls and procedures for all departments. Identify weaknesses, deficiencies and loopholes and recommend risk countermeasures.



- 3) Perform audit tests and prepare for the annual fiscal audit in accordance with professional audit standards including risk management over operations, financial reliability and compliance with directives and regulations.
- 4) Obtain and analyze necessary documentation for completion of all audits – the fiscal audit as well as other audits required by funding sources and government entities. Address all questions and follow up on any concerns that result from these audits.
- 5) Clearly identify any fraud, noncompliance and any short-term and strategic risks to the agency.
- 6) Review all forms, documents & contracts to ensure full compliance with external and internal guidelines.
- 7) Present final reports and findings to the Board of Directors, CEO, COO, CFO and Finance Committee on a quarterly basis or as directed.

**Requirements:**

- 1) Proven working experience as a fiscal auditor; preferably in nonprofit sector; and specifically, with Head Start and Community Services block grant funding. Respondent must clearly describe its experience conducting fiscal audits for the named program or similar program. (35 points)
- 2) Hands on experience with Head Start and CSBG grants is preferable. (xx Points). Respondent must describe its work specific work on these two programs with the last five years. to these two programs. (20 points)
- 3) Advanced knowledge of financial systems that include Financial Edge and MIP is preferable. Respondent must clearly describe its experience with these two financial systems and or similar system financial management systems. (20 Points)
- 4) Proven Experience of auditing standards and procedures, best practices, laws and regulations. Respondent must clearly describe its work as a fiscal auditor; the plan, approach and outcomes. (10 Points)
- 5) Present audit reports and findings in a well-written format that is clear, concise and user-friendly. Respondent must describe the product that will result from its audit. (5 Points)
- 6) Budget must be reasonable and include detail of cost items. (10 Points)

**WestCOP's Profile:**

WestCOP is a private not-for-profit, multipurpose social service agency operating community programs to combat poverty and its adverse effects in Westchester and the Lower Hudson Valley Region. Chartered in 1965, the organization each year receives more than 60 grants from corporations,



government, foundations and individuals to sponsor numerous programs essential to the well-being of the community's residents. These programs include 23 Head Start centers, 11 Community Action Programs (CAPs), Family living program, Homeless prevention and Assistance programs, Emergency food pantries, Surplus food distribution, Energy conservation and Weatherization programs and numerous employment and training programs. WestCOP services include a variety of special projects, such as the Foster Grandparents Programs, an Emergency Homeless Men's Shelter, Seniors in Community Services, Victims Assistance Services, Rape Crisis Services, a Rape Hotline, Adolescent Pregnancy Prevention and Community Services to the Elderly.

The nucleus of the agency's operations is its neighborhood services centers (CAPs) which act as advocates for the poor and minorities by helping their constituencies to organize for the purpose of exerting influence on the larger community's allocation of resources and keeping their interests before local governments, and public and private agencies. The CAP's help the poor and the minorities to meet the needs, which they themselves identify, provide resources to neighborhood and community groups to secure professional and technical assistance and provide direct services to individuals who have nowhere else to turn.

Our agency's mission is to mobilize and effectively manage resources that will help the low income and at-risk populations in Westchester and Putnam Counties become more self-sufficient. The main office of WestCOP is centrally located in Westchester with a staff of 50 employees who handle the complex administration details for more than 70 programs operating under the agency's umbrella. WestCOP employs nearly 600 employees. These workers are supplemented by a number of volunteers that are dedicated to our goals and mission. The employees of WestCOP as well as the Board of Directors reflect the population they serve. The agency is guided by a Board primarily composed of concerned members of the community with representation from government, civic, business, and target residents themselves. WestCOP has serviced the community for over 53 years. The agency's years of involvement and experience in community work have gained it the respect of government, business and community leadership. WestCOP has been able to adapt to the changing needs in the County and so target Its work more effectively.

There is an established working relationship of community people, government, business, civic leaders and service professionals. Such working relationships are found in operation at every level of WestCOP. As WestCOP is a multi-service agency, it is able to provide a more comprehensive approach to serving individuals and families and address interrelated concerns.



**Requirements:**

Each respondent must submit a detailed written proposal as outline under proposal Requirements. The written proposals will be reviewed by our Audit Committee and Senior Administration. The firm selected will be based on a number of criteria that include, but not limited to, responses and qualifications, fee schedule, experience with non-profits that have such diverse funding streams, meeting MWBE's guidelines and references.

Your response to this solicitation must be received on **Friday, November 13, 2020 no later than 4:00PM.**

Your response must be clearly marked "**Response to Internal Auditor RFP**" and addressed to the attention of:

**Internal Fiscal Audit Services  
Westchester Community Opportunity Program, Inc. (WestCOP)  
2 Westchester Plaza  
Elmsford, NY 10523**

