

Hudson Valley Regional Council
Request for Proposals for Audit Services for the Hudson Valley Regional Council
May 8, 2026

Introduction

The Hudson Valley Regional Council is accepting proposals from Certified Public Accountants with relevant experience to provide independent audit services. For purposes of this Request for Proposals (RFP), the term “Respondent” refers to any firm submitting a proposal in response to this RFP.

Respondents must demonstrate sufficient expertise in nonprofit accounting, governmental funding, and related tax matters to competently perform the audit, though no separate accounting or tax services are being solicited under this RFP. You are invited to submit a proposal in response to this RFP by 4:00 P.M. on Monday, June 8, 2026, for consideration. A description of HVRC, the services requested, and other pertinent information follows.

Description of HVRC

A regional council is a public organization created to foster coordination among neighboring communities and to provide a regional approach to those concerns crossing local boundaries. Regional councils are multi-purpose organizations with legal status. Most are voluntary associations and do not have the power to regulate or tax. Primarily funded by local governments and with state and federal funds, the councils are responsible to the representatives of the communities in their regions. The governing bodies of regional councils are primarily composed of local government officials and/or appointed representatives of local and county government.

Nationwide there are more than 670 designated regional councils, representing almost all 50 states. In NYS, Articles 12-B and 5-G of the New York State General Municipal Law gives affiliated municipalities the legal authority to create regional or metropolitan planning boards and joint-purpose municipal corporations. Across the State, New York's regional councils provide comprehensive planning for the coordinated growth and development of their regions. This responsibility involves marketing the region, and providing services such as economic development, land-use, transportation, environmental and water resources management, human resources management, and regional data services. Many of the State's regional councils also offer technical assistance to communities within the region, including grant application and coordination, financial expertise, and information services.

The Hudson Valley Regional Council (HVRC) was established in 1977 as an organization of county governments comprising Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster and Westchester counties. Through communication, planning, policy making, coordination, advocacy, and technical assistance, HVRC serves the local governments and citizens in its region by dealing with issues and needs that cross city, town, county, and in some instances, state boundaries.

HVRC is incorporated as a NYS not-for-profit. HVRC’s annual budget is approximately \$1,600,000, of which \$114,000 is received from its member county governments as contributions towards the organization’s stated purposes. The remainder of the organization’s annual operating budget derives from programmatic grants from State, Federal, and municipal sources.

HVRC does not own any real property. The organization's assets consist primarily of cash, grants receivable, and a right-of-use asset related to its leased office space. Capitalized fixed assets are limited to office furniture and equipment used to support operations. HVRC has a staff of eleven full-time and two part-time employees.

Services to Be Performed

Proposals in response to this RFP are expected to include the following Services:

1. Preparation of the annual audit of the financial statements which shall be completed in accordance with the U.S. Generally Accepted Accounting Principles (GAAP) and Generally Accepted Auditing Standards, and in compliance with the New York State Department of State and any other relevant governing body or funding agency. The audit shall be conducted for the purpose of expressing an opinion on the fair presentation, in all material respects, of HVRC's financial statements in conformity with GAAP.
2. Participation in meetings with HVRC staff, the Officers of the Board or such other Committee as shall be designated by the Board of Directors to undertake the role of an Audit Committee, and the full Board of Directors as requested.
3. Preparation and submission to the Board of Directors of a Management Letter containing comments and recommendations with respect to financial, accounting, and administrative controls and performance.

Submission Requirements

This is an open and competitive solicitation for audit services. To be considered and evaluated for award, proposals must be clear and concise, with sufficient detail to facilitate effective evaluation. Proposals should not simply rephrase or restate the RFP requirements, but rather provide convincing rationale to address how your organization intends to provide the required services effectively and efficiently.

Elaborate brochures or boilerplate marketing materials, binding, detailed artwork or other embellishments are unnecessary and discouraged. Please limit your response to the specific items listed below:

- a) Experience of the firm, size of the firm, location(s), and areas of expertise.
- b) Identification of the engagement team to be assigned to the audit, including resumes of key personnel. Engagement team members identified in the proposal shall not be substantially changed without prior approval of HVRC.
- c) A description of the Respondent's approach to performing the audit and the nature of services to be provided.
- d) Fees, which shall be submitted in a separate sealed envelope, clearly labeled COST PROPOSAL, and must include i) the total annual fee for first audit year Fiscal Year Ending December 31, 2025 for Services 1-4 in the "Services to Be Performed" section above, and ii) the annual fees for Years 2 and 3 for Services 1-4 above.

NOTE: Cost proposals must identify subtotal fees by each Service such that individual staff positions are broken out to include the hourly rate for each position. Fees proposed should be inclusive. If your price excludes certain fees or charges, you must provide a detailed list of excluded fees with an explanation as to the nature and basis for estimation of those fees.

- e) Timing of the services, including a detailed timeline by phase for d) i) and ii) that identifies the date of delivery of the financial statement and management letter.
- f) Three professional references, which shall identify the name of the organization, the nature of the work performed for the organization, and the name, title/position, phone number, and email address of the appropriate contact.
- g) Copy of the most recent peer review report.
- h) A list of clients similar to HVRC that have been served, with dates of services rendered.
- i) Proposals must contain the signature of a duly authorized officer or agent of the company submitting the proposal.
- j) Proposals must include all required RFP Forms, which are provided at the conclusion of this RFP document.

Proposals must be received by 4:00pm on June 8, 2026, by email. Late submissions will not be considered.

Proposals must be emailed to:

Financial & Administrative Director Robin Sattin at rsattin@hudsonvalleyrc.org.

Faxed proposals will not be accepted.

Evaluation Criteria

Only those proposals that contain complete information will be considered. All proposals will be evaluated and examined by HVRC's Executive Director and Officers of the Board. If HVRC deems it necessary, interviews may be scheduled with selected Respondents as soon as possible after the initial evaluation.

HVRC will evaluate proposals on a qualitative basis and reserves the right to accept or reject any and all proposals. Evaluations will include a review of the firm's peer review report and related materials, interviews with senior engagement personnel to be assigned to HVRC, results of discussions with other clients, and the firm's completeness and timeliness in its response.

Method of Award

It is the intention of HVRC that the award of this project will be made to the Respondent whose total proposal, in the opinion of HVRC, best meets the established criteria listed herein. All aspects of the evaluation will be taken into consideration in awarding the project.

Contract Period

HVRC intends to enter into a three-year professional services contract with the selected independent auditor for the completion of audits for the fiscal years ending December 31, 2025, December 31, 2026, and December 31, 2027, consistent with authorization granted by the HVRC Board of Directors. The contract shall commence upon execution and shall extend through completion and delivery of the audit for the fiscal year ending December 31, 2027.

It is understood by the parties that continuation of the contract is subject to the availability of funds and continued authorization by the HVRC Board of Directors. A notice of award will not be binding upon HVRC until the contract has been fully executed by both parties.

Termination

The contract shall include provisions allowing HVRC to terminate the agreement. HVRC may terminate the contract for cause upon written notice in the event of a material breach, failure to perform services in accordance with applicable professional standards, or other substantial non-performance, provided that the auditor has been given reasonable notice and an opportunity to cure such breach when appropriate. HVRC may also terminate the contract for its convenience upon written notice, in which event the auditor shall be entitled to payment for audit services satisfactorily performed through the effective date of termination.

Other Guidelines for Respondents

All proposals become the property of the HVRC upon receipt and will not be returned. Any information deemed confidential should be clearly noted; however, HVRC cannot guarantee that it will not be required to disclose part or all of a submission under New York's Freedom of Information Law.

Any cost or expense incurred by the Respondent associated with the preparation of the proposal shall be borne solely by the Respondent.

No oral interpretations as to the meaning of the RFP or revisions to the RFP will be made for any Respondent. Respondents may submit written questions concerning this RFP to:

Financial & Administrative Director Robin Sattin at rsattin@hudsonvalleyrc.org.

Questions must state "HVRC Audit RFP 2026 – Questions" in the subject and must be received by 4:00pm on May 25, 2026. Responses to questions will be posted on HVRC's website by May 26, 2026: <https://hudsonvalleyregionalcouncil.org/about-us/opportunities-at-hvrc/>.

Neither a Respondent's failure to request additional information or clarification nor a Respondent's failure to review responses to questions received shall be used as a basis by the Respondent to claim ambiguity, inconsistency, or error in this RFP.

Required RFP Forms

Completed and executed copies of the forms appearing on the subsequent pages must be submitted along with proposals prior to the due date listed above in the "Submission Requirements" section.

**THE FOLLOWING SHEETS MUST BE
COMPLETED AND RETURNED
WITH YOUR PROPOSAL**

RESPONSE RETURN FORM

VENDOR NAME:	
CONTACT NAME:	
CONTACT TITLE:	
CONTACT PHONE NUMBER:	
CONTACT E-MAIL:	
VENDOR ADDRESS:	
NAME OF AUTHORIZED SIGNATORY:	
TITLE OF AUTHORIZED SIGNATORY:	
AUTHORIZED SIGNATURE:	

INSURANCE STATEMENT

Respondent certifies that Certificates of Insurance for commercial liability, professional liability, automobile, disability and/or workers compensation coverage, as may be required by HVRC as a condition of selection, can be supplied if awarded a contract.

FAILURE TO PROVIDE REQUIRED INSURANCE MAY, AT HVRC'S SOLE DISCRETION, DISQUALIFY RESPONDENT FROM AWARD

AUTHORIZED SIGNATURE & TITLE

DATE

RESPONDENT ORGANIZATION INFORMATION

RESPONDENT NAME: _____

TYPE OF ENTITY: CORP.____ PARTNERSHIP____ INDIVIDUAL____ OTHER____

FEDERAL EMPLOYER ID #: _____ OR SOCIAL SECURITY #: _____

DATE OF ORGANIZATION: _____

IF APPLICABLE: DATE FILED: _____ STATE FILED: _____

If a non-publicly owned corporation:

CORPORATION NAME: _____

LIST PRINCIPAL STOCKHOLDERS: (owning 5% or more of outstanding shares)

LIST OFFICERS AND DIRECTORS:

NAME	TITLE
_____	_____
_____	_____

If a partnership:

PARTNERSHIP NAME: _____

LIST PARTNERS NAME(S):

AFFIDAVIT OF NON-COLLUSION

NAME OF RESPONDENT: _____ PHONE _____

NO.: _____ EXT: _____

BUSINESS ADDRESS: _____ FAX NO.: _____

I hereby attest that I am the person responsible within my firm for the final decision as to the price(s) and amount of this proposal or, if not, that I have written authorization, enclosed herewith, from that person to make the statements set out below on his or her behalf and on behalf of my firm.

I further attest that:

1. The price(s) and amount of this proposal have been arrived at independently, without consultation, communication or agreement for the purpose of restricting competition with any other contractor, Respondent, or potential Respondent.
2. Neither the price(s), nor the amount of this proposal, have been disclosed to any other firm or person who is a Respondent or potential Respondent on this project, and will not be so disclosed prior to proposal opening.
3. No attempt has been made or will be made to solicit, cause or induce any firm or person to refrain from responding to this RFP, or to submit a proposal higher than the proposal of this firm, or any intentionally high or non-competitive proposal or other form of complementary proposal.
4. The proposal of my firm is made in good faith and not pursuant to any agreement or discussion with, or inducement from any firm or person to submit a complementary proposal.
5. My firm has not offered or entered into a subcontract or agreement regarding the purchase of materials or services from any other firm or person, or offered, promised or paid cash or anything of value to any firm or person, whether in connection with this or any other project, in consideration for an agreement or promise by a firm or person to refrain from responding to this RFP or to submit a complementary proposal on this project.
6. My firm has not accepted or been promised any subcontract or agreement regarding the sale of materials or services to any firm or person, and has not been promised or paid cash or anything of value by any firm or person, whether in connection with this or any project, in consideration for my firm's submitting a complementary proposal, or agreeing to do so, on this project.
7. I have made a diligent inquiry of all members, officers, employees, and agents of my firm with responsibilities relating to the preparation, approval or submission of my firm's proposal on this project and have been advised by each of them that he or she has not participated in any communication, consultation, discussion, agreement, collusion, act or other conduct inconsistent with any of the statements and representations made in this affidavit.
8. By submission of this proposal, I certify that I have read, am familiar with, and will comply with any and all segments of these specifications.

The person signing this proposal, under the penalties of perjury, affirms the truth thereof.

Signature & Company Position

Date Signed

Print Name & Company Position

Company Name

Federal ID Number