

**ALBANY CSO POOL COMUNITIES CORPORATION  
REQUEST FOR PROPOSALS  
AUDIT AND TAX ACCOUNTANT SERVICES  
RFP# 2016-001**

The Albany CSO Pool Communities Corporation (the "Corporation") located in Albany, New York, is soliciting proposals from firms to provide audit and tax services annually for a three year period. This request for proposal contains background information on the Corporation and specific information that must be included in the proposals submitted.

The Six Communities (the cities of Albany, Troy, Cohoes, Rensselaer, Watervliet, and the Village of Green Island) joined together and created the Corporation to lessen the burdens on local governments and provide a vehicle to jointly administer construction, finance, operation, and maintenance of certain public utilities that will be repaired and constructed as part of a Combined Sewer Overflow (CSO) abatement program mandated by a New York State Department of Environmental Conservation enforcement order.

The Corporation operates exclusively for the specific purpose of reducing discharges of wastewater and stormwater from combined sewer overflows within the municipalities that are the members of the Corporation in order to protect the quality of the waters therein and to achieve compliance with all federal, state, and local laws, regulations, and permits applicable to the management of combined sewer overflows in the municipalities that are the Corporation's members; and acting in the public interest and performing essential government functions by lessening the burdens of the governments of the municipalities that are the Corporation's members by achieving and maintaining compliance with applicable laws, regulations, and permits relating to combined sewer overflows and wastewater management.

The Corporation also assists the member communities by applying for, obtaining and contracting with any federal, state, or local governmental agency or foundation, organization, or natural person for the purpose of obtaining grants, loans, or other forms of financial assistance, and expending or authorizing the expenditure of such funds in furtherance of the purposes of the Corporation. The Corporation is staffed by CDRPC

The Corporation received its certificate of incorporation in July, 2015 and has filed for 501(c) tax exempt status. The Corporation operates on the Federal fiscal year, beginning October 1 and ending September 30. The Corporation is staffed by CDRPC. The selected applicant will need to coordinate with CDRPC's audit team during the first audit to coordinate a transition from CDRPC's accounts to the Corporation's.

To read more about the Corporation please visit <http://cdrpc.org/programs/water-quality/combined-sewer-overflow-cso/albany-cso-pool-communities-corporation/>.

## Request for Proposals for Audit Services

---

Organizational documents, governance, and policies of the Board can be found on the Corporation's website.

### 1. PROPOSAL GUIDELINES AND REQUIREMENTS

This is an open and competitive process for audit and tax services for fiscal years one, two, and three.

Proposals received after **4:00pm, April 22, 2016** will not be considered.

Proposals must contain the signature of a duly authorized officer or agent of the company submitting the proposal.

Prices quoted 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 of those fees.

All proposals become the property of the Corporation upon receipt and will not be returned. Any information deemed confidential should be clearly noted; however, the Corporation 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.

Respondents may submit written questions concerning this RFP to:

Martin R. Daley, Project Director  
Albany CSO Pool Communities Corporation  
C/o Capital District Regional Planning Commission  
One Park Place, Suite 102  
Albany, NY 12205

Or

[mdaley@cdrpc.org](mailto:mdaley@cdrpc.org)

Questions should be submitted by **April 1, 2016** with a subject heading that reads "Albany CSO Pool Communities Corporation Audit and Tax Services RFP." Questions submitted and the Corporation's response will be posted on the Corporation's website <http://cdrpc.org/programs/water-quality/combined-sewer-overflow-cso/albany-cso-pool-communities-corporation/>

## Request for Proposals for Audit Services

---

A Responders failure to request additional information or clarification shall preclude the Responder from subsequently claiming ambiguity, inconsistency or error.

### 2. TIME AND PLACE FOR SUBMISSION OF PROPOSAL

Proposals must be received by **4:00pm, April 22, 2016**. Postmarks will not be considered. Late submissions will not be considered.

Proposals may be delivered in person to:  
Albany CSO Pool Communities Corporation  
C/o Capital District Regional Planning Commission  
One Park Place, Suite 102  
Albany, NY 12205

or mailed to:

Martin R. Daley, Project Director  
Albany CSO Pool Communities Corporation  
c/o Capital District Regional Planning Commission  
One Park Place, Suite 102  
Albany, NY 12205

or emailed to:

Martin R. Daley, Project Director  
[mdaley@cdrpc.org](mailto:mdaley@cdrpc.org)

***Faxed proposals will not be accepted.***

### 3. PROPOSAL REQUIREMENTS

Please limit your responses to the specific items below:

- a) **Experience of the firm, size, location, and area of expertise.**
- b) **Engagement team assigned.** Provide name(s) and experience of each individual that would be assigned to this account.
- c) **Approach.**
  - i. **Overall audit approach.** Description of the overall audit philosophy and how it benefits the Corporation, including firm's philosophy on communications with clients throughout the year, scheduling of engagements, and continuity of staff on audit.

## Request for Proposals for Audit Services

---

- ii. **Specific audit approach.** Description of specific audit approach used in the audit.
  - iii. **Audit effort.** Description of where the engagement team will focus their attention.
- d) **Timing of the services.** Detailed timetable by phase, including the expected delivery of the financial statements, management letter, and tax returns. The above must be completed within **60 days** of the end of each fiscal year, in order for our Board to review each document prior to its submission to the appropriate recipients.
- e) **Nature of services.**
- f) **Fees.** For year one, identify fees by service and by staff and hours, including professional fees and out of pocket expenses. Hourly rates by level of professional should be provided as well. For years two and three, provide only the total fee amount for each year.
- g) **Three (3) references**
- h) **Copy of most recent peer review report.**
- i) **A client list of entities similar to the Corporation**
- j) **Please highlight if your firm is a Minority or Women-Owned Enterprise**

### Scope of the Services Needed

- a) Annual financial statement audit.
- b) Federal Single Audit (*if applicable*).
- c) Preparation of IRS form 990
- d) Preparation of Charitable Organization Annual Report for the New York State Attorney General
- e) Management letter

In addition, the Corporation requires that a meeting of the auditors and selected Corporation board and staff members be held to discuss a draft version of the financial statements and that the auditors meet at least one time annually with the Board of Directors' audit committee. Audited financial statements will need to be prepared in a format acceptable for submission via the Authority Budget Office's Public Accountability Reporting Information System (PARIS).