

# TOWN OF WEST NEW YORK

## REQUEST FOR QUALIFICATIONS

Professional Auditing Services (2<sup>nd</sup> Occasion)

Qualification Period – February 22, 2013 – January 31, 2014

## SUBMISSION DEADLINE

10:00 A.M. February 7, 2013

### ADDRESS ALL PROPOSALS TO DESIGNATED CONTACT PERSON:

Ms. Carmela Riccie,  
West New York Town Clerk  
Municipal Building  
428 60<sup>th</sup> Street  
West New York, NJ 07093

**All proposals must indicate on the outside envelope: RFQ:  
Professional Auditing Services (2<sup>nd</sup> Occasion)**

**GENERAL INFORMATION & SUMMARY**

**ORGANIZATION REQUESTING STATEMENT OF QUALIFICATION**

Town of West New York  
Municipal Building  
428 60<sup>th</sup> Street  
West New York, NJ 07093

**CONTACT PERSON:**

Ms. Carmela Riccie  
West New York Town Clerk  
Municipal Building  
428 60<sup>th</sup> Street  
West New York, NJ 07093

**PURPOSE OF REQUEST**

The Town of West New York (Town) is requesting qualification statements from qualified individuals to provide Professional Auditing Services. Proposals will be evaluated in accordance with the criteria set forth in this Request for Qualifications (RFQ). One or more individuals/firms may be selected to provide all or part of the requested services, or no one may be selected. If a Respondent is selected, the governing body will approve a resolution awarding a contract to the Respondent based on a rate of compensation to be set by the Governing Body not to exceed an amount specified in the resolution without further action by the Governing Body.

**PERIOD OF QUALIFICATION**

February 22, 2013 through January 31, 2014.

**CONTRACT FORM**

If selected to provide services, the successful Respondent shall be required to execute a form contract, which may include indemnification, insurance, termination and licensing provisions.

It must also be agreed and understood that the acceptance by the respondent of the final payment shall be considered a release in full of all claims against the Town of West New York arising out of, or by reason of, the work done and materials furnished under a Contract.

### **CONTRACT PERIOD**

A contract for PROFESSIONAL AUDITING SERVICES (2<sup>nd</sup> Occasion) shall be from February 22, 2013 through January 31, 2014. The contract shall be for the amount of \$36,000.00. In the event that the services go beyond the threshold, it shall be approved by the Board of Commissioners.

### **GLOSSARY**

The following definitions shall apply to and are used in this Request for Qualifications (RFQ):

"Qualification Statement" - refers to the complete responses to this RFQ submitted by the Respondents.

"Qualified Respondent" - refers to those Respondents who (in the sole judgment of the Town) have satisfied the qualification criteria set forth in this RFQ.

"RFQ" - refers to this Request for Qualifications, including any amendments thereof or supplements thereto.

"Respondent" or "Respondents" - refers to the interested persons and/or firm(s) that submit a Qualification Statement.

"Town" – refers to the Town of West New York.

## SECTION 1

### INTRODUCTION AND GENERAL INFORMATION

#### **1.1. Introduction and Purpose.**

The Town is soliciting Qualification Statements from interested persons and/or firms for the provision of Services as more particularly described herein. Through a RFQ process described herein, persons and/or firms interested in assisting the Town of West New York with the provision of such services must prepare and submit a Qualification Statement in accordance with the procedure and schedule in this RFQ. The Town will review Qualification Statements only from those persons and/or firms that submit a Qualification Statement which includes all information required to be included as described herein (in the sole judgment of the Town).

The Town intends to qualify person(s) and/or firm(s) that:

- a. possess the professional, financial and administrative capabilities to provide the proposed services; and
- b. will agree to work under the compensation terms and conditions determined by the Town to provide the greatest benefit to the taxpayers of West New York.
- c. shall be a registered municipal accountant.

#### **1.2. Procurement Process and Schedule.**

The selection of Qualified Respondents is not subject to the Local Public Contracts Law, N.J.S.A. 40A: 11-1 et seq., as the services sought are “professional services” as defined therein. The selection is subject to the “New Jersey Local Unit Pay-to-Play” Law, N.J.S.A. 19:44A-20.5 et seq. The Town has structured a fair and open procurement process in accordance with N.J.S.A. 19:44A-20. et seq.\* that seeks to obtain the desired results described above, while establishing a competitive process to assure that each person and/or firm is provided an equal opportunity to submit a Qualification Statement in response to the RFQ. Qualification Statements will be evaluated in accordance with the criteria set forth in Section 5 of this RFQ, which will be applied in the same manner to each Qualification Statement received.

Qualification Statements will be reviewed and evaluated by the Town (the Mayor) and its legal and/or financial advisors on an advisory capacity only. The Qualification Statements will be reviewed to determine if the Respondent has met the minimum professional, administrative and financial areas described in this RFQ. Under no circumstances will an advisor to the Mayor will review responses to a RFQ for which they or their firm has submitted a response. Based upon the totality of the information contained in the Qualification Statement, including information about the reputation and experience of each Respondent, the Town will determine which Respondents are qualified (professionally, administratively and financially) to provide the services. Each Respondent that meets (in the sole judgment of the Town) the requirements of this RFQ will be designated as a

Qualified Respondent and will be given the opportunity to participate in the selection process determined by the Town.

The RFQ process commences with the issuance of this RFQ. The steps involved in the process and the anticipated completion dates are set forth in Table 1, Procurement Schedule. The Town reserves the right to, among other things, amend, modify or alter the Procurement Schedule upon notice posted on the Town's website, [www.westnewyorknj.org](http://www.westnewyorknj.org)

All communications concerning this RFQ or the RFQ process shall be directed to the Town's Designated Contact Person, in writing.

Qualification Statements must be submitted to, and be received by the Town Clerk, via mail or hand delivery, by **10:00 a.m. prevailing time on February 7, 2013**. Qualification Statements shall be

opened in public in the Town Clerk's Office located at 428 60 Street, Town of West New York, New Jersey.

All RFQs shall be submitted in sealed envelopes addressed to the Town Clerk of West New York, the envelope shall have marked conspicuously on its face on the top right-hand side in letters not less than one inch the word **"Request for Qualifications"** followed immediately below those words in letters not less than one half inch high: **"Request for Qualification for Professional Auditing Services (2<sup>nd</sup> Occasion)"** and underneath that **"To be received on February 7, 2013 at 10:00 a.m."** Qualification Statements will not be accepted by facsimile transmission or e-mail.

If RFQs responses are to be transmitted by mail or courier, the RFQ responses must be placed in an outer envelope, which on the top right-hand side shall clearly designate in the same manner as set forth above, the same size and information. The inner envelope shall have specifically placed in the center the same information as set forth above and on the bottom left-hand side the name and address of the Respondent.

The burden is upon the Respondent to comply specifically with the directions in this RFQ. The Respondents are put on notice that because of precautions resulting from terrorist's threats, packages may be opened if directed to the wrong office of the Town.

Any RFQ response not delivered in the manner shall be declared void unless the deviation is deemed to be a minor technical violation.

Subsequent to issuance of this RFQ, the Town (through the issuance of addenda to all persons and/or firms that have requested and received a copy of the RFQ) may modify, supplement or amend the provisions of this RFQ in order to respond to inquiries received from prospective Respondents or as

otherwise deemed necessary or appropriate by (and in the sole judgment of) the Town.

\* Qualified Respondents are advised that a for-profit business entity that has received \$50,000 or more through government contracts in a calendar year, must file an annual disclosure statement on political contributions with the New Jersey Election Law Commission pursuant to P.L. 2005 c. 271 by March 30. It is the Qualified Respondent's responsibility to determine if filing is necessary. Additional information on this requirement is available from ELEC at 888-313-3532 or at [www.elec.state.nj.us](http://www.elec.state.nj.us).

**TABLE 1 ANTICIPATED PROCUREMENT SCHEDULE**

<b>ACTIVITY</b>	<b>DATE</b>
1. Issuance of Request for Qualifications	January 23, 2013
2. Receipt of Qualification Statements	February 7, 2013
3. Completion of Evaluation of Qualification Statements	no later than February 20, 2013
4. Designation of Qualified Respondents	no later than February 20, 2013

**1.3 Conditions Applicable to RFQ.**

Upon submission of a Qualification Statement in response to this RFQ, the Respondent acknowledges and consents to the following conditions relative to the submission and review and consideration of its Qualification Statement:

- 1.This document is an RFQ and does not constitute a Request for Proposals (RFP).
- 2.This RFQ does not commit the Town to issue an RFP nor to follow any other procurement or process for obtaining services.
- 3.All costs incurred by the Respondent in connection with responding to this RFQ shall be borne solely by the Respondent.
- 4.The Town reserves the right (in its sole judgment) to reject for any reason any and all responses and components thereof and to eliminate any and all Respondents responding to this RFQ from further consideration for this procurement.
- 5.The Town reserves the right (in its sole judgment) to reject any Respondent that submits incomplete responses to this RFQ, or a Qualification Statement that is not responsive to the requirements of this RFQ.
- 6.The Town reserves the right, without prior notice, to supplement, amend, or otherwise modify this RFQ, or otherwise request additional information.
- 7.All Qualification Statements shall become the property of the Town and will not be returned.
- 8.All Qualification Statements will be made available to the public at the appropriate time, as determined by the Town (in the exercise of its sole discretion) in accordance with law.
- 9.The Town may request Respondents to send representatives to the Town for interviews.
10. Any and all Qualification Statements not received by the Town by 10:00 a.m. prevailing time on February 7, 2013 will be rejected.

11. Neither the Town nor its officers, officials or employees shall be liable for any claims or damages resulting from the solicitation or preparation of the Qualification Statement, nor will there be any reimbursement to Respondents for the cost of preparing and submitting a Qualification Statement or for participating in this procurement process.

#### **1.4. Rights of Town.**

The Town reserves, holds and may exercise, at its sole discretion, the following rights and options with regard to this RFQ and the procurement process in accordance with the provisions of applicable law:

1. To determine that any Qualification Statement received complies or fails to comply with the terms of this RFQ.
2. To supplement, amend or otherwise modify the RFQ through issuance of addenda posted on the Town's website, [www.westnewyorknj.org](http://www.westnewyorknj.org)
3. To waive any technical non-conformance with the terms of this RFQ.
4. To change or alter the schedule for any events called for in this RFQ (upon the issuance of notice to all prospective Respondents who are known to have received a copy of this RFQ, if prior to the date set for receipt of Qualification Statements).
5. To conduct investigations of any or all of the Respondents, as the Town deems necessary or convenient, to clarify the information provided as part of the Qualification Statement and to request additional information to support the information included in any Qualification Statement.
6. To suspend or terminate the procurement process described in this RFQ at any time (in its sole discretion.) If terminated, the Town may determine to commence a new procurement process or exercise any other rights provided under applicable law without any obligation to the Respondents.
7. A response to this RFQ is not considered to be a binding "bid". This RFQ does not guarantee that a contract for Professional Auditing Services will be issued, or any set amount of compensation or limit on compensation if such a contract is issued. The Town of West New York disclaims any obligation to issue a contract pursuant to any compensation request contained in any Qualification Statement, even if a contract is issued in response to such Qualification Statement.
8. The Town shall be under no obligation to complete all or any portion of the procurement process described in this RFQ.

#### **1.5 Addenda or Amendments to RFQ.**

During the period provided for the preparation of responses to the RFQ, the Town may issue addenda, amendments or answers to written inquiries. Those addenda will be noticed by the Town and will constitute a part of the RFQ. All responses to the RFQ shall be prepared with full consideration of the addenda issued prior to the Qualification Statement submission date.

#### **1.6 Cost of Qualification Statement Preparation.**

Each Qualification Statement and all information required to be submitted pursuant to the RFQ shall be prepared at the sole cost and expense of the Respondent. There shall be no claims whatsoever

against the Town, its officers, officials or employees for reimbursement for the payment of costs or expenses incurred in the preparation of the Qualification Statement or other information required by the RFQ.

### **1.7 Qualification Statement Format.**

Qualification Statements must cover all information requested in this RFQ. Qualification Statements which in the judgment of the Town and/or Commission fail to meet the requirements of the RFQ or which are in any way conditional, incomplete, obscure, contain additions or deletions from requested information, or contain errors may be rejected.

## **SECTION 2**

### **SCOPE OF SERVICES**

It is the intent of the Town to solicit Qualification Statements from Respondents that have expertise in the provision of Professional Auditing Services for the Town. The Respondent must exhibit expertise to perform these services, Firms and/or persons responding to this RFP shall be able to demonstrate that they will have the continuing capabilities to perform auditing services for the Town as requested.

## **SECTION 3**

### **SUBMISSION REQUIREMENTS**

#### **3.1 General Requirements.**

The Qualification Statement submitted by the Respondent must meet or exceed the professional, administrative and financial qualifications set forth in this Section 3 and shall incorporate the information requested below.

In addition to the information required as described below, a Respondent may submit supplemental information that it feels may be useful in evaluating its Qualification Statement. Respondents are encouraged to be clear, factual, and concise in their presentation of information.

#### **3.2 Administrative Information Requirements.**

The Respondent shall, as part of its Qualification Statement, provide the following information:

1. An executive summary (not to exceed two (2) pages) of the information contained in all the other parts of the Qualification Statement.
2. An executed Letter of Qualification.
3. Name, address and telephone number of the Respondent submitting a Qualification Statement pursuant to this RFQ, and the name of the key contact person.
4. A description of the business organization (i.e., corporation, partnership, joint venture, etc.) of

each Respondent, its ownership and its organizational structure.

a. Provide the names and business addresses of all Principals of the Respondent submitting the Qualification Statement. For purposes of this RFQ, "Principals" means persons possessing an ownership interest in the Respondent. If the Respondent is a corporation, "Principals" shall include each investor who has any operational control over the Respondent, and every stockholder having an ownership interest of 10% or more in the firm.

b. If a Respondent is a partially owned or a fully-owned subsidiary of another firm, identify the parent company and describe the nature and extent of the parents' approval rights over the activities of the Respondent submitting a Qualification Statement. Describe the approval process.

c. If the Respondent is a partnership or a joint venture or similar organization, provide comparable information as required in (b) above for each member of the partnership, joint venture or similar organization.

d. A statement that the Respondent has complied with all applicable affirmative action (or similar) requirements with respect to its business activities, together with evidence of such compliance.

5. The number of years Respondent has been in business under the present name.

6. The number of years Respondent has been under the current management.

7. Any judgments within the last three (3) years in which Respondent has been adjudicated liable for professional malpractice or breach of contract. If yes, please explain.

8. Whether the Respondent is now or has been involved in any bankruptcy or re-organization proceedings in the last ten (10) years. If yes, please explain.

9. Confirm appropriate federal and state licenses to perform activities.

10. Describe those portions of the Respondent's services, if any, that the Respondent presently anticipates subcontracting out to a subcontractor if awarded a contract for legal services. (A subcontractor means any business organization that is not a contractor that **knowingly** provides goods or performs services for a contractor or another subcontractor in the fulfillment of a contract issued by a contracting agency where the cost of the subcontractors work exceeds 15% of the contracting unit's bid threshold. Please note that **if** you identify any subcontractors in your Qualification Statement you must provide a copy of a Business Registration Certificate for such subcontractor; we are **not** asking you to identify subcontractors at this time) (See Item H. attached hereto).

10. An executed letter of intent.

### **3.3 Professional Information Requirements.**

1. Respondent shall submit a description of its overall experience in providing the type of services sought in the RFQ. At a minimum, the following information on past experience should be included as appropriate to the RFQ:

a. Description and scope of work by Respondent.

b. Name, address and contact information of reference to the RFQ.

c. Explanation of perceived relevance of the experience to the RFQ, including any Board Certification in relevant areas of practice.

2. Brief description of Respondent's relevant clients, including a listing of all municipal government

or other public entity clients, during the last three (3) years.

3. Resumes of key employees, and an indication of which employees would be directly working with the Town.
4. A narrative statement of the Respondent's understanding of the Town's needs and goals.
5. List all immediate relatives of Principal(s) of Respondent who are Town employees or elected officials of the Town. For purposes of the above, "immediate relative" means a spouse, parent, stepparent, brother, sister, child, stepchild, direct-line aunt or uncle, grandparent, grandchild and in-laws.
6. Limits of Malpractice/liability insurance coverage and name of insurance carrier.
7. A listing of all other engagements where services of the type proposed were provided in the past five (5) years. This should include other municipal governments and other levels of government, including the Town of West New York. Contact information for the recipients of the similar services must be provided. The Town may obtain references from any of the parties listed.
8. Demonstration of ability with appropriate personnel or other arrangements to perform the required tasks in a timely fashion, including the attendance at meetings, as necessary.
9. Demonstration of ability to properly perform the services of Professional Auditing Services.
10. A listing of all professional organization memberships.
11. Respondents must list all cases where they have been adverse to the Town or in which they sued the Town or in which they represented a client that sued the Town in cases filed within the last five calendar years.
12. A listing of all employment positions with the Town, its Boards, Agencies and subordinate entities, including both salaried positions and/or professional service or other contracts of Respondent, stating the period of time and position held.
13. A detailed statement of whether potential conflicts exist that would preclude the issuance of a contract for the legal services herein described.

## SECTION 4

### INSTRUCTIONS TO RESPONDENTS

#### **4.1. Submission of Qualification Statements.**

Respondents must submit an original and three (3) copies of their Qualification Statement to the Designated Contact Person:

Qualification Statements must be received by the Town no later than **10:00 a.m.** prevailing time on **February 7, 2013**, and must be mailed or hand-delivered. Qualification Statements forwarded by facsimile or e-mail will not be accepted.

To be responsive, Qualification Statements must provide all requested information, and must be in strict conformance with the instructions set forth herein. Qualification Statements and all related information must be bound, and signed and acknowledged by the Respondent.

## SECTION 5

## EVALUATION

The Town's objective in soliciting Qualification Statements is to enable the Town to select a Respondent that will provide high quality and cost effective services to the citizens of the Town of West New York. The Town will consider Qualification Statements only from Respondents that, in the Town's 's sole judgment, have demonstrated the capability and willingness to provide high quality services to the citizens of the Town in the manner described in this RFQ.

Qualification statements will be evaluated by the Town and Qualified Respondents will be selected based on the evaluation factors set forth below:

1. Experience and reputation in the field;
2. Knowledge of the Town and the subject matter of the pertinent contract;
3. Availability to accommodate the required meetings of the Town ;
4. Experience in the areas of law described in Section 2 of this RFQ;
5. Pertinent government experience; and
6. Other factors demonstrated to be in the best interests of the Town .

Each Qualification Statement must satisfy the objectives and requirements detailed in this RFQ. The Town will select the most advantageous Qualification Statements based on all of the evaluation factors set forth in this RFQ.

Each Qualification Statement must satisfy the objectives and requirements detailed in this RFQ. Successful Respondents shall be determined by an evaluation of the total content of the Qualification Statement submitted. The Town reserves the right to:

1. not select any of the Qualification Statements;
2. award a contract for the requested services at any time within the qualification period;
3. award one or more contracts to qualified respondents for all or any part or parts of the services (in any manner provided for under the Local Public Contracts Law, N.J.S.A. 40A:11-1 et seq., or other law) such that more than one respondent may be engaged for the entire scope of work, multiple respondents may be engaged for various portions of the needed work, and any respondent may be obligated to work with others in connection with the provision of the requested services.

Every Qualification Statement should be valid through the entire qualification period.

The Town shall not be obligated to explain the results of the evaluation process to any Respondent.

## **SECTION 6**

### **GENERAL TERMS AND CONDITIONS**

1. The Town reserves the right to reject any or all Qualification Statements, if necessary, or to waive any informalities in the Qualification Statements, and, unless otherwise specified by the Respondent, to accept any item, items or services in the Qualification statement should it be deemed in the best interest of the Town to do so.
2. Each Qualification Statement must be signed by the person authorized to do so.
3. Qualification Statements may be hand delivered or mailed consistent with the provisions of the legal notice to Respondents. In the case of mailed Qualification Statements, the Town assumes no responsibility for Qualification Statements received after the designated date and time and will return late Qualification Statements unopened. Qualification Statements will not be accepted by facsimile or e-mail.
4. No Respondent shall influence, or attempt to influence, or cause to be influenced, any Town officer or employee to use his/her official capacity in any manner which might tend to impair the objectivity or independence of judgment of said officer or employee.
5. No Respondent shall cause or influence, or attempt to cause or influence, any Town officer or employee to use his/her official capacity to secure unwarranted privileges or advantages for the respondents or any other person.
6. Should any difference arise between the contracting parties as to the meaning or intent of these instructions or specifications, the Town Attorney's decision shall be final and conclusive.
7. The Town shall not be responsible for any expenditure of monies or other expenses incurred by the

Respondent in making its proposal.

**END OF GENERAL INSTRUCTIONS**

**TOWN OF WEST NEW YORK**

**VENDOR:** \_\_\_\_\_

**RESPONDENT'S CHECKLIST**

Item	Respondent Initials
A. Letter of Qualification	
B. Letter of Intent	
C. Non-Collusion Affidavit properly notarized	
D. Public Disclosure Statement	
E. Mandatory Affirmative Action Language	
F. Americans with Disabilities Act	
G. Affirmative Action Compliance Notice	
H. MWBE Questionnaire (2 Copies)	
I. Form AA302 – Employee Information Report, (Note: See Affirmative Action Compliance Notice, Item E) <b>or</b> you may additionally include a copy of your Certificate of Employee Information Report)	
J. Copy of Business Registration Certificate of Respondent <b>and</b> of any subcontractor identified in Qualification Statement-Proposal.	
K. Original signature(s) on all required forms.	



APPENDIX A

LETTER OF QUALIFICATION

**(To be Typed on Respondent's Letterhead. NO MODIFICATIONS MAY BE MADE TO THIS LETTER)**

Ms. Carmela Riccie  
Municipal Building  
428 60<sup>th</sup> Street (Room #2)  
West New York, NJ 07093

Dear Mrs. Riccie:

The undersigned have reviewed our Qualification Statement submitted in response to the Request for Qualifications (RFQ) issued by the Town of West New York ("Town"), dated (*Insert Date*) in connection with the Town's need for Professional Auditing Services.

We affirm that the contents of our Qualification Statement (which Qualification Statement is incorporated herein by reference) are accurate, factual and complete to the best of our knowledge and belief and that the Qualification Statement is submitted in good faith upon express understanding that any false statement may result in the disqualification of (*Insert Name of Respondent*)

\_\_\_\_\_  
CHIEF EXECUTIVE OFFICER

\_\_\_\_\_  
CHIEF FINANCIAL OFFICER

Dated: \_\_\_\_\_ Dated: \_\_\_\_\_

**Respondent shall sign and complete the spaces as provided above. If a joint venture, partnership or other formal organization is submitting a Qualification Statement, each participant must execute this Letter of Qualification**

**APPENDIX B LETTER OF INTENT**

STATE OF NEW JERSEY  
TOWN OF WEST NEW YORK ss:

I \_\_\_\_\_ certify that I am the \_\_\_\_\_

of the firm of \_\_\_\_\_, the Respondent

submitting Qualifications in response to a Request for same from the Town in regards to Professional Auditing Services. I further certify that:

1. I executed said Proposal with full authority so to do; and
2. All statements contained in the Submission and in this affidavit are accurate, factual and complete, and made with full knowledge that the Town of West New York is relying upon the truth of the statements contained in the Submission and the statements contained in this affidavit in evaluating Respondent's Qualifications; and
3. Respondent has not, directly or indirectly, entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free, competitive bidding in connection with the above named project through participation with any other person, firm or party; and
4. Respondent agrees to participate in good faith in the procurement process as described in the RFQ and to adhere to the Town's procurement schedule;
6. Respondent acknowledges that all costs incurred by it in connection with the preparation and submission of the Qualification Statement and any proposal prepared and submitted in response to the RFQ, or any negotiation which results there from, shall be borne exclusively by the Respondent. In no event shall the Town have any liability to Respondent for any costs incurred by the Respondent for the Qualification Statement.
7. Respondent acknowledges and agrees that the Town may modify, amend, suspend and/or terminate the procurement process in its sole judgment.
8. Respondent is aware that any contract executed with respect to the services referred to in the RFQ must comply with the applicable affirmative action and similar laws, and agrees to take such actions as may be required to comply with such applicable laws in the event that a contract is formed.

(Signature of Respondent) \_\_\_\_\_

SUBSCRIBED AND SWORN TO BEFORE ME THIS \_\_\_\_\_ DAY OF 20\_\_\_\_ NOTE: THIS FORM MUST BE COMPLETED, NOTARIZED AND RETURNED WITH THIS PROPOSAL.