



ALAMEDA COUNTY SOURCE REDUCTION
AND RECYCLING BOARD

“FIVE YEAR FINANCIAL COMPLIANCE AUDIT”

Phase I FY 2016/17 through 2018/19

Phase II FY 2019/20 through 2020/21

Request for Proposals

Alameda County Waste Management Authority
Alameda County Source Reduction and Recycling Board
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www.stopwaste.org

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ALAMEDA COUNTY SOURCE REDUCTION & RECYCLING BOARD
“FIVE YEAR AUDIT”:
COMPREHENSIVE FINANCIAL COMPLIANCE REVIEW
Phase I FY 2016/17 through 2018/19
Phase II FY 2019/20 through 2020/21

REQUEST FOR PROPOSALS

I. INTRODUCTION

This Request for Proposals is issued by the Alameda County Source Reduction and Recycling Board (Recycling Board, or “Board”) to identify qualified proposals and consultants to perform a comprehensive financial review of funds raised and spent in fiscal years 2016/17 through 2020/21 as mandated by Alameda County Waste Reduction and Recycling Initiative Charter Amendment, popularly referred to as “Measure D”, and to monitor and report on compliance by the appropriate various agencies. This review will be performed in two phases: Phase I - to be performed in late calendar year 2019/early 2020 covering FY 2016/17 through 2018/19 (3 years); and Phase II - to be performed in late 2021/early 2022 covering FY 2019/20 and 20/21 (2 years). A final report will be compiled for all five years. The Agency’s fiscal year runs from July 1 – June 30.

About the Source Reduction & Recycling Initiative Charter Amendment (Measure D)

The Alameda County Source Reduction and Recycling Initiative Charter Amendment (Measure D) was adopted by the voters in November 1990. [Measure D](#) sets forth countywide goals for the reduction and diversion of non-hazardous solid wastes from landfill, creates a framework for comprehensive source reduction and recycling programs, establishes a [Source Reduction and Recycling Board](#) to oversee the distribution of funds and the conduct of countywide programs and currently imposes a \$8.23 per ton surcharge on wastes landfilled in the unincorporated county to fund these programs. Pursuant to the Measure D Initiative, the Recycling Board is mandated to establish recycling programs necessary to meet the recycling policy goals set forth in the Initiative which parallel and then exceed those mandated by State law. In addition, the initiative requires that "audits" be conducted to determine compliance and degree of progress with the recycling policy goals. Two audits were completed in 1997 and 2002 and included both the financial and programmatic components.

As a result of recommendations produced by the two audits, the Recycling Board elected to solicit proposals for future financial audits to be conducted separately from the programmatic element. Additionally, the financial five year audit period was divided into two phases of 3 years and 2 years, so as to make records review of the municipalities less onerous. A copy of the two most recent Five Year Financial and Compliance Audit reports may be downloaded from this [link](#).

The eleven member Recycling Board is made up of five elected public officials from the Alameda County Waste Management Authority, and six professional experts in specified areas of waste reduction, appointed by the Alameda County Board of Supervisors. Funding for the Recycling Board is derived from the \$8.23 per ton disposal fee surcharge at the Altamont and Vasco Road landfills 50% of the

surcharge revenues are distributed to participating municipalities for the maintenance and expansion of municipal recycling programs, 5% are earmarked for the County of Alameda to implement specified Recycled Product Procurement programs and 45% are budgeted and spent by the Board in the prescribed areas of grants to non-profits, source reduction, market development, recycled product procurement and administration.

About the Agency

StopWaste helps Alameda County’s businesses, residents, and schools waste less, recycle properly, and use water, energy, and other resources efficiently.

II. BACKGROUND

Measure D requires a comprehensive financial, statistical and programmatic audit and analysis to be performed within four years of the effective date of the Act and every five years thereafter. The first “four year” audit covered the period through fiscal year 1995/1996, and subsequent “five year” audits covered FY 1996/97 through 2000/01, FY2001/02 through 2005/06, FY 2006/07 through 2010/11 and FY 11/12 through 15/16.

Following is the text from Measure D relating to the comprehensive audit:

SUBSECTION 64.040: RECYCLING POLICY GOALS AND RECYCLING PLAN

C. The Recycling Board shall contract, not more than four (4) years after the effective date of this Act, and then every five (5) years thereafter, for an audit to determine compliance with the Recycling Plan and the degree of progress toward the recycling policy goal then in effect. Said audits shall be conducted by an independent auditor (or auditors) with experience in source reduction and recycling. The reports of said audits shall be completed within one (1) year and issued to each municipality, the Board of Supervisors and the Authority. Said reports shall include at least the following:

- 1. A narrative and analytical evaluation of all recycling programs within Alameda County, whether funded through this Act or not, both Alameda County-wide and within each municipality;*
- 2. A statistical measure of the progress toward the recycling policy goal then in effect;*
- 3. An evaluation of the Recycling Board's activities, including, but not limited to, an accounting of the monies spent by the Recycling Board; and*
- 4. Recommendations to the Recycling Board, the Board of Supervisors, the Authority and the municipal governing bodies for the maintenance and expansion of recycling programs, and any necessary resulting amendments to the Recycling Plan.*

* Note - “Municipalities” under Measure D refers to both incorporated cities and to sanitary districts that provide solid waste and recycling services. This financial audit for FY 16/17 through FY 20/21 will cover fourteen cities and two sanitary districts.

III. OBJECTIVES AND SCOPE OF SERVICES

The Objectives of this audit is:

1. Confirm the statutory requirements of Measure D have been met.
2. Assess compliance of all recipients of Recycling Fund monies with the requirements and restrictions of the Initiative.

The Scope of Services for the overall Five Year Audit has been divided into two primary elements:

1. Financial and statistical review, and monitor for statutory compliance; and
2. Programmatic evaluation.

This RFP is only for the financial component of the required audit including the financial and compliance review

(A separate RFP will be let for work to begin after the close of FY 2020/21 to perform and produce a broad overview and evaluation of recycling, source reduction, market development, and public education waste reduction programs within Alameda County, per the requirements of Measure D.)

For Fiscal Years 2016/17, 2017/18, and 2018/19 in Phase I; and Fiscal Years 2019/20 and 2020/21 in Phase II, the consultant shall incorporate the following activities:

- Review audited financial statements, recycling budgets and program descriptions of the 16 municipalities receiving Recycling Fund administrative disbursements to determine compliance with Measure D fiscal requirements. Please note as of FY 16/17, the Agency instituted an on-line Portal for member agencies to submit Measure D reports and supporting documentation electronically through a web-based interface. This interface will allow the opportunity for auditors to evaluate and test Measure D transactions via desk audits.
- Review audited financial statements County of Alameda General Services Agency for 5% Recycled Product Purchase Preference Program (RPPP) and of the Recycling Board to determine compliance with Measure D fiscal requirements.
- For all of the above, develop recommendations for improvements, if any, indicated in current policies, procedures and practices.

Additionally, the Board has compiled the following checklist of various mandates contained in Measure D that the selected consultant shall review for compliance by the appropriate agencies: the Board itself, the municipalities, and/or County of Alameda General Services Agency (GSA).

COMPLIANCE CHECKLIST OF MEASURE D MANDATES – FINANCIAL AUDIT

RECYCLING BOARD COMPLIANCE

- Compliance with Fund allocations - amounts and uses Subsection 64.060(B)
- Waste Characterization Study funding compliance Subsection 64.060(C)
- Compliance with Source Reduction Program fund disbursement requirements Subsection 64.080
- Compliance with Recycled Product Market Development Program fund disbursement requirements Subsection 64.110
- Compliance with limits on Board member compensation Subsection 64.130(M)

MUNICIPAL COMPLIANCE (16 Agencies - The cities of Alameda, Albany, Berkeley, Dublin, Emeryville, Fremont, Hayward, Livermore, Newark, Oakland, Piedmont, Pleasanton, San Leandro and Union City, and the Castro Valley and Oro Loma Sanitary Districts)

- Reqt. for local refuse hauler surcharge reimbursement Subsection 64.070(A)
- Residential Recycling Program requirements in place Subsection 64.090
- Commercial Recycling Program requirements in place Subsection 64.100

AGENCY COMPLIANCE

- Collection of Measure D per-ton surcharge Subsection 64.050(A-C)
- Recycled Product Purchase Preference Program Requirements/ use of funds Subsection 64.120

GENERAL COMPLIANCE - All Entities Receiving Fund Monies

- Compliance with restriction against use of Fund monies for contracts longer than 5 years without competitive re-bidding (or 5-10 years, with specific Board allowance) Subsection 64.060(D)

IV SCHEDULE

Following is the proposed timeline for this project:

September 30	Release of RFP
November 4	Proposals Due – 5 p.m.
November 5-14	Staff Evaluation/Ranking
November 15	Notification of Short List; Scheduling of Interviews
November 20	Interviews of Short-Listed Proposers (2-3)
December 12	Recommendation on Contract Award to Board
By January 12	Contract Executed
By August 31, 2020	Phase I Final Report submitted for Financial/Statistical/Compliance element

Any questions related to any aspect of this RFP should be directed to the Project Manager -

Meri Soll, Senior Program Manager
Phone - (510) 891-6500
E-mail – msoll@stopwaste.org

Deadline for responding to this RFP is **Monday, November 4, 2019 at 5 p.m.** Proposals to be delivered via PDF electronically to msoll@stopwaste.org (PDF size must be 10 MB or less) it is the responsibility of the proposer to confirm receipt of the file prior to the deadline. The proposals must be signed by a contracting authority of the firm. A signed, original hard copy must follow and be delivered within two working days to:

StopWaste
1537 Webster Street
Oakland, Ca 94612
ATT Meri Soll

(Postmarks will not be accepted).

V. RESPONSE REQUIREMENTS

Responses to this RFP must consist of one electronic file and one reproducible original document. Any hard copies must be printed double sided, on paper with a specified, significant post-consumer recycled content. Proposals must include the following:

- a) A cover letter identifying the consultant team, including the name of the applicant and the applicant's principal place of business. The letter is to be signed by an officer of the contracting firm authorized to contract with the Board.
- b) A description of the abilities, qualifications, and experience of persons who would be involved in providing the requested service, including resumes for key individuals.

- c) A list of other contracts completed by the proposer under which services similar to the required services were performed. This list is to include the dates the services were provided, and the name and telephone number of a contact person at the client who would be most familiar with the services provided.
- d) A description of the scope of services to be provided, including: the proposer's approach to the background and objectives of the project; the methodology to be employed for each task; a list of work products to be developed; and any changes to the scope listed in this RFP. Proposers should plan on a total of at least two meetings with the Recycling Board in order to present their findings.
- e) If subcontractors are to be used, provide similar information about them and the part of the contract they will perform.
- f) A description of the proposer's management structure and how this contract will be managed within that structure, including an organizational chart indicating key individuals and lines of responsibility.
- g) A schedule/time line for the work. Per the mandate in Measure D, the project shall be completed within one year (of the close of the 5 year period, or within one year of August 30, 2020).
- h) Full disclosure of any and all perceived or possible conflicts of interest including, but not limited to, all contracts, grants or work performed involving Alameda County, any of the 16 "municipalities" (as defined by Measure D) in Alameda County, the Authority or the Recycling Board, local waste or recycling companies, or any financial interest in any projects or companies doing business in Alameda County or in other counties which may raise a conflict. Proposers must describe measures that will be taken to ensure objectivity in performance of the scope of work for this project.
- i) A cost proposal listing the hours and hourly rates of personnel, cost by task and by Phase, total not-to-exceed project costs for the total scope of work addressed in the proposal, separate costs for any additional proposed tasks, estimate of monthly billings, and how the proposer plans to manage the phased scope of work and ensure the completion of the project by August, 2020.
- j) A signed copy of document titled "Required Contract Elements: Insurance Policies and Statement of Economic Interest" found on page 10.

Proposers are encouraged to contact staff or visit the agency website at www.stopwaste.org in order to obtain relevant information to respond to the RFP. Documents and policies specifically pertinent to this RFP can be found [here](#). The appropriate contact person is Meri Soll (510) 891-6500; or via email at msoll@stopwaste.org.

VI. REVIEW PROCESS/BUDGET

Selection of consultant will be on the basis of the proposal submitted and interviews. Staff may request additional clarifying information from any or all proposers and request interviews at its discretion. Proposers should reserve **Thursday, November 20, 2019** as a possible interview date. The staff recommendation will be forwarded to the Recycling Board on Thursday, December 12, 2019 at 4 p.m. at the StopWaste offices in Oakland at their regular monthly meeting.

A total of \$110, 000 has been budgeted in FY19/20 for this project. It is expected that this will cover costs of Phase I of the scope of work. There is no predetermined cost breakdown between the two phases, although it is expected that the budget for Phase II will not exceed the cost of Phase I. Assuming satisfactory completion of Phase I, funds for Phase II will be approved and allocated in Fiscal Year 2021/22. If staff does not find the performance of selected contractor satisfactory, the Agency retains the right to conduct a second request for proposal for Phase II of the five year financial audit.

VII. CONTRACT AND PAYMENT PROCESS

The proposer(s) selected will be expected to enter into a written agreement for services with the Recycling Board. Please review link to [Agency Standard Contract and Insurance Requirements](#). Upon successful execution of a written agreement for services, the consultant(s) will be paid upon regular submittal of an invoice and acceptable project progress and review reports. Ten percent (10%) of the Phase I contract award will be withheld pending completion of Phase I. Ten percent (10%) of the Phase II contract award will be withheld pending completion of Phase II and acceptance by the Recycling Board of a Final Report covering all five years.

VIII. ACTION BY THE BOARD

This Request for Proposals does not commit nor obligate the Board to fund any proposals received. The Board reserves the right to cancel this Request for Proposals in whole or in part at its sole discretion, and/or to accept or reject any proposal received based upon the review of proposals. Each proposer understands in submitting their proposal that the decision of the Board will be final. In addition, proposals submitted become the property of the Board and will not be returned. The Board reserves the right to request additional clarifying information and to meet with any or all proposers at its discretion.

Please sign the Required Contract Elements statement on page 10 to indicate that you and your firm understands and will comply with the Alameda County Waste Management Authority’s and the Source Reduction and Recycling Board required contract and insurance policies and will submit a [Statement of Economic Interest Form](#) if requested by staff. Include a scanned copy of the signed statement in your proposal.



IX. REQUIRED CONTRACT ELEMENTS

I have reviewed the [“Required Contract Elements”](#) information and certify that my firm has the ability to obtain the required insurance policies and submit the [Statement of Economic Interest Form](#) if requested.

The professional fee schedule submitted to the Agency includes any costs associated with complying with these insurance requirements.

I understand that failure to comply with any of these requirements will result in the Agency’s refusal to enter into a contract for services with my firm.

Signature: _____

Date: _____

Name: _____

Title: _____

Firm/Team Name: _____