



**REQUEST FOR PROPOSAL
GHTD RFP #04 - 018**

**AUDITING SERVICES
GREATER HARTFORD TRANSIT DISTRICT
HARTFORD, CT**

September 27, 2017

NOTICE

REQUEST FOR PROPOSALS GHTD RFP #04-018 AUDITING SERVICES

The Greater Hartford Transit District (the "District"), Hartford, Connecticut is seeking proposals from qualified firms of certified public accountants to audit its financial statements. Proposal documents may be obtained by calling the District at 860.247.5329 Ext. 3004 or emailing to: mdeppe@ghtd.org. **A pre-proposal conference will not be held.**

Proposals shall be submitted to Mary Deppe, Greater Hartford Transit District, One Union Place, Hartford, CT. 06103, on or before **2:30 p.m. EST on Wednesday, October 25, 2017**. Proposals received after the deadline will not be considered and will be returned to the Proposer unopened. Any changes, or any requests for changes in the specifications, will not be recognized after sealed proposals are submitted to the District.

Any contract resulting from this request for proposals submitted is subject in part to a financial assistance contract between the District and the Connecticut Department of Transportation. All Proposers will be required to certify that they are not on the Comptroller General's list of ineligible contractors. Further, the contractor will be required to comply with all applicable equal employment opportunity laws and regulations.

The District hereby notifies all Proposers that in regard to any contract entered into pursuant to this Request for Proposals, advertisement or solicitation, small and/or minority business enterprises will be afforded full opportunity to submit proposals in response, and will not be subjected to discrimination on the basis of race, color, sex or national origin in consideration for an award.

The District reserves the right to reject any and all proposals as submitted by this Request for Proposals, and to waive informalities and irregularities, as it deems in its best interest.

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SECTION I - GENERAL INFORMATION

1. INTRODUCTION

The Greater Hartford Transit District (the "District") is a quasi-municipal corporation operating under the authority of Chapter 103a of the Connecticut General Statutes. There are currently sixteen member towns represented by appointees who collectively form the Board of Directors, the policy making body of the District. The District has broad powers to acquire, operate, finance, plan, develop, maintain and otherwise provide all forms of land transportation and related services including the development or renewal of transportation centers and parking facilities.

The District is eligible and authorized under state and local law to request, receive, and manage Federal Transit Administration (FTA) funds and to execute and administer FTA-funded projects. The District provides a variety of services in support of public transportation in the Capitol Region of Connecticut.

The District is also the owner and operator of Hartford's Union Station Transportation Center Complex, an intermodal hub of transportation that currently serves Amtrak rail, intercity and intra city bus service, taxi services, and public parking. The Complex includes the Spruce Street Parking Lot.

The District, under contract to the Connecticut Department of Transportation (ConnDOT), provides the complementary paratransit service required by the Americans with Disabilities Act of 1990 (ADA) in the Greater Hartford/Capitol Region area. The District contracts with First Transit Inc., a private operator for the provision of its paratransit service. Approximately 157 lift equipped vehicles are assigned to the service program. District-wide programs employ more than (200) employees with ridership exceeding 425,000 passenger trips per year.

The District also serves as Administrator of a Statewide Drug and Alcohol Testing Consortium and a Statewide Transit District Insurance Consortium.

The District is soliciting proposals through this Request for Proposals ("RFP") from qualified firms of certified public accountants interested and capable of conducting the comprehensive single audit of the District's financial operations for the fiscal years 2018, 2019, 2020, 2021 and 2022. The specifics of the services, and other documents relevant to this RFP, are set forth in the Scope of Services and in the Exhibits attached hereto and made a part hereof.

2. SUBMISSION OF PROPOSALS

Proposers shall submit four (4) hard copies (with one identified as the original) and one (1) electronic copy of the Proposal on or before **2:30 p.m. EST on Wednesday, October 25, 2017** to:

Mary Deppe
Manager of Grants and Planning
Greater Hartford Transit District
One Union Place
Hartford, Connecticut 06103-1409

(860) 247-5329

Proposals shall be enclosed in a sealed envelope and clearly marked "PROPOSAL FOR AUDITING SERVICES" on the front thereon. The Proposer's complete return address must be included on the outer envelopes.

Late submissions will not be accepted. It is the responsibility of the Proposer to ensure that its Proposal is delivered to the District by the date and time referred to hereinabove. Delivery by facsimile or any other electronic means will not be accepted.

All costs associated with the preparation and delivery of a Proposal is the sole responsibility of the applicable Proposer. Proposers shall not include any such expenses as part of the price proposed in response to the RFP.

A submission of a proposal will be considered by the District as constituting a legal offer by the Proposer to perform the required services at the proposed price.

3. PROPOSAL INQUIRIES

Communication by any Proposer with any agent or employee of the District on the subject of this RFP, or the pending process may result in the Proposer being deemed ineligible with regard to this RFP. All questions and requests for clarification regarding this RFP or this process must be submitted in writing to Mary Deppe on or before noon, on Friday, October 13, 2017. Any correction or changes to this RFP will be made by written addendum only and will be distributed to all known recipients of the RFP document.

4. PRE-PROPOSAL CONFERENCE

A pre-proposal conference will not be held.

5. COMMENCEMENT OF SERVICES

It is the intent of the District to execute an agreement with the successful Proposer, to commence January 1, 2018.

6. QUALIFICATION OF PROPOSERS

Prospective Proposers must meet the following minimum qualifications to be considered for selection. All Proposers to this RFP shall have demonstrated experience in supplying such services and shall meet all criteria and requirements identified in the RFP. The District is the sole judge in determining compliance with qualifications standards:

- Proposers must be qualified to perform independent audits of local governments of the State of Connecticut. The firm must have been engaged during the fiscal year ending June 30, 2017 as independent auditors for the purpose of rendering an opinion on the annual financial statements of a state or local government.
- The proposer must be a certified public accounting firm licensed to practice in the State of Connecticut and staff must be able to offer the full range of auditing services required by this Request for Proposals.

7. FEDERAL GRANT REQUIREMENTS

Exhibit - A, attached hereto and made a part hereof sets forth federal requirements placed upon vendors who are participating in a project funded in whole or in part with Federal grants. Its provisions are hereby included herein as an integral part of this RFP.

8. STATE GRANT REQUIREMENTS

Exhibit - B, attached hereto and made a part hereof sets forth state requirements placed upon vendors who are participating in a project funded in whole or in part with state grants. Its provisions are hereby included herein as an integral part of this RFP.

9. PROCUREMENT AND APPEALS PROCESS

The District's procurement procedures and appeals process are contained in Exhibit - C attached hereto and made a part hereof.

10. FUNDING

Any contract resulting from this request for proposals is subject in part to a financial assistance contract between the District and the State of Connecticut Department of Transportation and between the District and the Federal Transit Administration. All firms will be required to certify that they are not on the U.S. Department of Transportation's list of ineligible contractors. Further, the contractor will be required to comply with all applicable equal employment opportunity laws and regulations.

No proposal will be accepted from, or a Contract awarded to any person, firm, or corporation that is in arrears or is in default to the State of Connecticut upon any debt or contract or that is in default as a surety or in any other manner is in default of any obligation to the State. Additionally, no Contract shall be awarded to any person, firm, or corporation that has failed to perform on any prior or previous contract, agreement, or license with the State. Nor will any Contract be awarded to any firm that is not registered with the Secretary of State's Office to conduct business in the State of Connecticut.

11. SPECIAL PROVISION

It is the policy of the District that Small Contractor and Small Contractor Minority Business Enterprises ("SBE and MBE") be afforded the maximum opportunity to participate in the performance of all contracts let by the District in accordance with Section 4a-60g of the Connecticut General Statutes as revised and in accordance with regulations of the U.S. Department of Transportation (DOT), 49 CFR Part 26. This participation may be in the form of prime contracts, and/or sub-contracts, and/or direct or general overhead items procured from SBE and/or MBEs allocated to the Services.

For the purpose of this "Special Provision", the SBE/MBE named to satisfy this requirement must be certified by the Department of Administrative Services of the State of Connecticut (www.das.state.ct.us) as an SBE/MBE as defined by Section 4a-60g of the Connecticut General Statutes as revised or with the U.S. Small Business Administration.

Proposers will submit a statement indicating its own SBE/MBE status. Proposers shall indicate which subcontracts and/or overhead purchases related to this project they will lend to comply with the District's SBE/MBE goal.

If the Contractor is unable to achieve the specified contract goals for the Special Provision, the Contractor must submit written documentation to the District indicating his/her good faith efforts to satisfy goal requirements.

12. VALIDITY OF PROPOSALS

Proposers agree that their proposals remain valid for a period of a hundred and twenty (120) days after the above cited due date for submission of proposals and may be extended beyond that time by mutual agreement.

Proposers agree that the technical portion of their proposals (not including proprietary or pricing information) may be released to other bidders upon announcement of award, if requested by such other bidders

By responding to this RFP, the Proposer implicitly states that the proposal is not made in connection with any competing firm submitting a separate response to this RFP, and is in all respects fair and without collusion or fraud. It is further implied that the proposer did not participate in the District's RFP development process, had no knowledge of the specific contents of this RFP prior to its issuance, and that no employee of the District participated directly or indirectly in the firm's proposal preparation.

13. ADDENDA AND PROPOSAL REJECTION

The District reserves the right to issue addenda to this RFP as a result of inquiries received, or to make adjustments to its project schedule if it is deemed in the District's best interest to do so. It is the Proposer's responsibility to assure receipt of all addenda. The Proposer should verify with the designated contact person prior to entering a proposal that all addenda have been received. Proposer are required to acknowledge the number of addenda received as part of their proposal.

The District reserves the right to reject any and all Proposals resulting from this RFP if the District deems that it is in the best interest of the District to do so. The District may elect to make an award of the subject contract as direct result of Proposals received or elect to negotiate with Proposers.

14. PROPOSAL WITHDRAWAL

The Proposer's authorized representative may, prior to the date and time set as the deadline for receipt of proposals, modify or withdraw a proposal in person, or by written or facsimile notice to the official listed in this document. If proposal are modified or withdrawn in person, the authorized representative shall make his or her identity known and shall sign a receipt for the proposal. Written or facsimile notices shall be received at the District's offices, One Union Place, Hartford, CT 06103 no later than the date scheduled as the proposal receipt deadline. After the proposal receipt deadline, proposal may not be withdrawn for one hundred and twenty (120) calendar days.

15. EXCEPTIONS TO RFP

All exceptions taken by Proposer must be specific. Proposer must clearly indicate what alternative is being offered to allow the District a meaningful opportunity to evaluate the Proposal. Submitting an alternative proposal does not relieve the Proposer from submitting the Minimum Requirements as stated in the RFP. The District is under no obligation to accept any proposed exceptions or alternatives.

16. INSURANCE REQUIREMENTS

The Contractor will be required to carry, for the term of the Contract and any amendment thereto, for the services performed under the terms of the Contract and those performed for the Contractor by its subcontractors, with the District being named as an additional insured party, the following minimum insurance coverage's. Copies of all insurance certificates, with the District et al. named as additional insured shall be supplied to the District prior to the commencement of service. This insurance will protect the Contractor and the District from claims that may arise from the successful Contractor acts or omissions.

A. Commercial General Liability

The Contractor shall carry Commercial General Liability Insurance, including premises/operations; contractual liability; personal injury; products/completed operations; property damage, providing for a per occurrence limit of One Million Dollars (\$1,000,000) for all damages arising out of bodily injuries to or death of all persons in anyone accident or occurrence, and for all damages arising out of injury to or destruction of property in anyone accident or occurrence, and, subject to that limit per accident, a total (or aggregate) limit of One Million Dollars (\$1,000,000) for all damages arising out of bodily injuries or death of all persons in all accidents or occurrences and out of injury to or destruction of property during the policy period.

B. Workers' Compensation Insurance

With respect to all services the Contractor performs and all those performed for the Contractor by its subcontractors, the Contractor and subcontractor(s) shall carry Workers' Compensation Insurance and, as applicable, insurance required in accordance with the U.S. Longshore and Harbor Workers' Compensation Act, in accordance with the requirements of the laws of the State of Connecticut, and of the laws of the United States, respectively.

C. Errors and Omissions

The contractor shall carry Errors and Omissions Insurance Policy in an amount not less than Five Million Dollars (\$5,000,000).

D. Certificate of Insurance

In conjunction with the above, the Contractor agrees to furnish to the District a Certificate of Insurance fully executed by an insurance company or companies satisfactory to the District/State for the insurance policy or policies required hereinabove which policy or policies shall be in accordance with terms of said Certificate of Insurance. For the Workers' Compensation Insurance and, as applicable, U.S. Longshore and Harbor Workers' Compensation Act coverage, the policy number(s) and term of the policy (ies) shall be indicated on the certificate. Each insurance policy shall state that the insurance company agrees to investigate and defend the insured against all claims for damages, even if groundless.

All such insurance coverage shall name the District as an additional insured except for Workers' Compensation Insurance coverage, provide a waiver of subrogation and such insurance shall be primary and non-contributory. Prior to the termination or lapse of any such insurance coverage, the Contractor shall submit a similar additional certificate of insurance to the District.

Contractor's failure to procure or maintain required insurance will constitute a material breach of the Contract.

17. ATTACHED EXHIBITS

The following exhibits are included in this RFP package:

- A. Federally Required Contract Clauses**
- B. State of Connecticut Grant Requirements**
- C. District Procurement Procedures and Appeals Process**
- D. General Information Form**
- E. Required Certifications**
 - Certificate of Eligibility
 - Certificate of Non-Collusion
 - Certificate of Restrictions on Lobbying
 - Certificate of SBE Participation
 - Certificate of DBE Participation
 - Certificate of Eligible Contractors
- F. Cost Proposal Form**
- G. List of Organizations Doing Business with the District**

SECTION II - TECHNICAL

1. STATEMENT OF WORK

The District is seeking qualifications and proposals from a professional firm or firms of certified public accountants to conduct the comprehensive single audit of the District's financial operations for the fiscal years 2018, 2019, 2020, 2021 and 2022.

These audits are to be performed in accordance with the provisions contained in this request for proposals.

The prospective proposer must prepare and submit a proposal that satisfies the needs of the District, pursuant to the Single Audit Act of 1984, P.L. 98-502, "the Act" and its Amendment in 1996. Specifically, the need is to acquire the services of an independent auditing firm or firms, having significant governmental accounting and auditing experience, to perform annual financial and compliance audits of the District's financial operations. Each fiscal year will be audited separately in accordance with Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance) and the provisions of Section 4-230 through 4-236 of the Connecticut General Statutes concerning the *State Single Audit Act*.

The proposed audit will be conducted in accordance with generally accepted Government Auditing Standards set forth for financial and compliance audits and in the General Accounting Office (GAO's) *Government Auditing Standards (1994)* and covers the entire operations of the District for each fiscal year. The audit is intended to result in the expression of an opinion of the District's general purpose combined financial statements of the various funds, including the accompanying notes to the financial statements, prepared in accordance with Generally Accepted Accounting Principles (GAAP). In addition, the audit shall result in an auditor's:

- Report on Internal Controls
- Schedule of expenditures of Federal and State awards
- Schedule of prior audit findings, with corrective action plan
- Declaration of the National Transit Database reports

2. BACKGROUND INFORMATION

A. Overview

The District is a municipal corporation formed under the provisions of Chapter 103a of the Connecticut General Statutes, Revision of 1958, as amended (the "Statutes"). There are currently 16 member towns: Bloomfield, East Hartford, East Windsor, Enfield, Farmington, Granby, Hartford, Manchester, Newington, Rocky Hill, Simsbury, South Windsor, Vernon, West Hartford, Wethersfield and Windsor. Each member town appoints one to four Directors according to population who collectively form the Board of Directors, which is the policy making body of the District. The day-to-day affairs of the District are managed by the Executive Director and his/her staff.

The District has broad powers to acquire, operate, finance, plan, develop, maintain, and otherwise provide all forms of land transportation and related services including the

development or renewal of transportation centers and parking facilities. It has the power to issue revenue and general obligation bonds. The District also serves as a pass-through function for Federal, State, and private grants for the purpose of acquiring transportation equipment or providing transportation services.

B. Budgetary Basis of Accounting

The District prepares its budgets of the General Fund and Special Revenue Fund on a basis consistent with generally accepted accounting principles. The budgets of the enterprise funds are prepared on an accrual basis, except for debt principal and capital improvements, which are budgeted for on a cash basis.

C. District Contact

The auditor's principal contact with the District will be Nhan Vo-le, Director of Fiscal and Administrative Services, who will coordinate the assistance to be provided by the District to the auditor. The Executive Director, Vicki L. Shotland, is responsible for oversight of District and Financial/Accounting activities.

D. Current Environment

1. Financial System

The District's Finance Department is responsible for:

- Designing and installing uniform accounting systems for the District
- Maintaining the District's general ledger
- Establishing controls over financial record-keeping
- Ensuring compliance with accounting policy and practice, and
- Producing the District's annual financial report.

2. Software

The District currently maintains its accounting records on a MAS 90 Version 5.30.3.0. The District operates on a Windows platform local area network. Microsoft Server 2012 R2.

E. Account Structure

The District uses a structure that complies with GAAP. For internal accounting and control purposes, the District tracks expenditures and revenues by source of funding. The major sources are Operating and Capital Grants, and rental revenue.

F. Cognizant Federal/State Agencies

The United States Department of Transportation's Federal Transportation Administration and the State of Connecticut's Department of Transportation are the cognizant federal and state agencies, respectively.

3. GENERAL RESPONSIBILITIES OF CONTRACTOR

A. SCOPE OF SERVICES

The District desires the auditor to express an opinion on the fair presentation of its basic financial statements. Each fiscal year ending June 30, 2018, 2019, 2020, 2021 and 2022 respectively, shall be audited separately in accordance with Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance) and the provisions of

Section 4-230 through 4-236 of the Connecticut General Statutes concerning the *State Single Audit Act*.

The auditor is not required to audit the supporting schedules contained in the comprehensive annual financial report. However, the auditor is to provide an “in-relation-to” report on the supporting schedules based on auditing procedures applied during the audit of the general purpose financial statements, and the combining and individual fund financial statements and schedules.

The auditor is not required to audit the statistical section of the report.

1. Comprehensive Annual Financial Report:

The auditor is responsible for the preparation, printing and assembly of all financial statements, schedules and statistical information contained in the Comprehensive Annual Financial Report (the “CAFR”). The auditor will also assist in the preparation of the letter of transmittal to the required recipients.

The auditor shall prepare the submission for the Certificate of Excellence in Financial Reporting Program of the Government Finance Officers Association, including responses to prior year comments.

2. Cost Allocation Plan

The auditor will review all costs of the District with respect to their allocation under the District's Cost Allocation Plan. The District currently has approximately:

- 17 projects funded by FTA and/or the State of Connecticut,
- One (1) enterprise funds including 3 projects funded by FTA and/or the State of Connecticut, and
- One (1) general fund among which costs must be allocated. Additionally, the Transportation Center Enterprise Fund has both a private and a public cost center.

3. Corrective Action Plan

The auditor must provide specific recommendations for corrective action for all findings of material weaknesses in internal controls and of noncompliance with Federal laws and regulations. In addition, each finding must specify the relevant condition, criteria, cause and effect. The recommendations for corrective action must include the recipient department's comments on action planned or taken or an explanation describing the reason corrective action is not necessary. The auditor must also report on the status of corrective action taken on prior findings. The plan for corrective action shall be consistent with the audit resolution standard promulgated by the Comptroller General of the United States as part of the Standards for Internal Control in the Federal Government, 1983 Accounting Series.

4. Conferences and Management Meetings

Prior to beginning each fiscal year's audit, the firm and the District's Director of Finance and Administrative Services will meet to jointly negotiate and finalize an audit work plan. This work plan shall specify major audit tasks, responsible person(s), timeliness and milestones.

In addition to routine engagement entrance and exit conferences, the auditors are expected to schedule weekly briefings with the District's Director of Fiscal and Administrative Services to discuss the audit's status and progress in relation to the established audit work plan and milestones. At these meetings, the firm must present and discuss written status reports detailing items such as hours spent on potential findings and major audit issues. These written status reports must accompany the firm's invoices. As deadlines approach, more frequent meetings may be required. One such meeting should be scheduled to discuss and explain the draft report deliverables.

The auditors are expected to attend no less than three meeting(s) with the District's Audit Committee and/or Board of Directors to present the audit report and to review the management letter.

After the completion of the audit and the receipt and acceptance of all deliverables, a concluding briefing will be held with the firm for the purpose of critiquing the audit. The critique should cover all aspects of the audit discussing recommendations for streamlining and expediting the subsequent year's audit process. The briefing should cover recommendations to strengthen any internal control weaknesses or findings deemed appropriate.

B. AUDITING STANDARDS TO FOLLOW

1. Frequency and Coverage

Each audit shall be made annually and encompass the entirety of the financial operations of the District for the fiscal years ending June 30, 2018, 2019, 2020, 2021 and 2022.

2. Certification

The audit report shall state that the audit was made in accordance with Generally Accepted Government Auditing Standards (GAGAS) for financial and compliance audits, which incorporates by reference Generally Accepted Auditing Standards (GAAS), the provisions of the Single Audit Act and OMB Circular A-133 and the State Single Audit..

3. Deliverables and Deadlines for Reports

- Comprehensive Financial Report for the fiscal years ending June 30, 2018, 2019, 2020, 2021 and 2022.
- Report on the Audit of Federal Financial Assistance Programs in accordance with the Single Audit Act of 1984 for the fiscal year ending June 30, 2018, 2019, 2020, 2021 and 2022.
- A report on the internal control over compliance in accordance with the State Single Audit Act for the fiscal year ending June 30, 2018, 2019, 2020, 2021 and 2022.
- Report on Compliance and on Internal Control for the fiscal year ending June 30, 2018, 2019, 2020, 2021 and 2022.
- Report on Section 5307 Certifications and Agreed upon Procedures (and Financial Certification, if required) for the fiscal year ending June 30, 2018, 2019, 2020, 2021 and 2022.

C. REPORTS TO BE ISSUED

1. Financial Statements

The financial statements for each fiscal year to be audited are as prescribed by the Government Accounting Standards Board (GASB) and are generally understood to be:

- Balance Sheet
- Statement of Revenues, Expenses and Changes in Fund Equity
- Statement of Cash Flows
- Statistical Data
- Notes to the Financial Statements

2. Schedule of Expenditures of Federal Awards

This schedule identifies all Federal assistance received and expended for each Federal Assistance Program administered by the District. The auditor is expected to report on the Schedule of Federal Financial Assistance, showing the total expenditures for each Federal Assistance Program as identified in the Catalog of Federal Domestic Assistance. Federal Programs not identified in the Catalog will be classified as "other."

The District's Capital Improvement Program as of June 30, 2017, consisted of approximately nine (9) capital grants under contract with the Federal Transit Administration (FTA). These grants provide for the acquisition of equipment, construction of intermodal facilities and the improvement of facilities and equipment. This includes improvements and repairs necessary to maintain a state of good repair of the historic Union Station in Hartford. Under the terms of the contracts, FTA will fund up to 80% of the "Net Project Cost" as defined in the grant.

3. Schedule of Expenditures of State Awards

This schedule includes the state grant activity of the District under programs of the State of Connecticut. The Department of Transportation provides financial assistance to the District through grants and other authorizations in accordance with the General Statutes of the State of Connecticut. This financial assistance funds various transportation programs as well as for the improvements and repairs necessary to maintain a state of good repair of the historic Union Station in Hartford.

The District's Operating and Capital Improvement Program consisted of approximately eight (8) operating and capital grants under contract with the State of Connecticut Department of Transportation.

4. Internal Control Review and Reporting

In addition to expressing an opinion on the Financial Statements and the Schedule of Federal and State Financial Assistance, the auditors are expected to report on their study and evaluation of the District's system of controls, including internal accounting, internal administrative and Electronic Data Processing control (EDP).

The firm must conduct a review and evaluation of EDP controls, not a full EDP audit. As part of this review, the auditors shall:

- Test whether these internal control systems are functioning in accordance with prescribed procedures;
- Determine and report whether the District has internal accounting and other control systems to provide reasonable assurance that it is managing Federal Financial Assistance Programs in compliance with applicable laws and regulations.

5. Compliance Review and Reporting

Each major Federal Assistance Program must be audited to determine compliance with laws and regulations that may have a material effect on it. At a minimum, the auditor shall determine, for each major program, whether:

- tested transactions reported as expenditures were for allowable services;
- the records show that those who received services or benefits were eligible to receive them;
- matching requirements, levels of effort and grant limitations were met;
- federal financial reports and claims for advances and reimbursements contain information that is supported by the books and records from which the basic financial statements have been prepared;
- amounts claimed or used for matching were determined in accordance with OMB Circular A-87, "Cost Principles for State and Local Governments".

6. Section 5307 Funds Data Certification

National Transit Database ("NTD") Report:

In connection with the receipt of Section 5307 operating assistance funds, the District is required to file an NTD Report summarizing the financial and operational statistics of the program for the year.

This program was created to provide a comprehensive mass transit database to assist the transit industry and Federal government in providing public transit services. To meet a high standard of data quality, FTA requires the District to submit certifications attesting to the validity and reliability of the data being reported. There are three declarations: the Chief Executive Officer Form, the Independent Auditor Statement for Financial Data (IAS – FD) and the Independent Auditor Statement for Federal Funding Allocation Data (IAS – FFA)

The IAS – FFA declaration should discuss each item used in the Section 5307 Urbanized Formula program funding allocation. FTA provides a suggested list of procedures to satisfy the requirements of the IAS – FFA review. The procedures are an aid for an auditor to conduct in its review of data items used in the UAF and the Capital Program for Fixed Guideway Modernization allocations. These procedures allow the auditor to make the assurances about data collection, supervision and records retention specified in the suggested IAS–FFA.

There are suggested procedures for the review of federal funding allocation data. If any suggested procedure is not used, the auditor has to replace it with an alternative procedure which fully addresses the intent of the suggested procedure.

The Federal Funding Allocation Data Review suggested procedures can be found at: <https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/2017%20NTD%20Policy%20Manual.pdf>

7. Other Reports

All illegal acts or indications of such acts, including all related questioned costs that the auditors become aware of should be reported immediately to the District's Director of Fiscal and Administrative Services, Executive Director and/or Audit Committee Chair (as

appropriate) as well as be covered in a separate written report to the Director of Fiscal and Administrative Services, Executive Director and/or Audit Committee Chair. The Audit Committee Chair will determine who will be responsible for providing to Federal and State authorities and officials information pertaining to such Acts.

D. ANNUAL AUDIT SCHEDULE

1. Schedule

Entrance conference with Director of Fiscal and Administrative Services to commence year-end audit work	mid May
Audit Committee Meeting – Audit Planning Communication	June
Preliminary Fieldwork	mid June
Fieldwork begins	early to mid August
Draft CAFR and Single Audit Reports due	October 15 th
Audit Committee Meeting – Review of Annual Audit Report & Communications	October or November
Presentation of Annual Audit Report	November

2. Report Submissions

Copies of all reports shall be submitted to the Director of Fiscal and Administrative Services. The auditor shall submit copies of reports to the State of Connecticut Office of Policy and Management, the Transit and Ridesharing Administrator of the Connecticut Department of Transportation, the National Clearing House of Single Audit reports, and all regulatory and funding agencies, as required.

The submission deadline for the various reports is:

CAFR and Federal and State Single Audits	December 31st
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Where an extension of time may be required, it will be the responsibility of the auditor to promptly notify the District, in writing and to secure all necessary approvals in a timely manner. The auditor shall promptly notify the District's Director of Fiscal and Administrative Services, Executive Director and/or Audit Committee Chair (as appropriate) of any suspicion of fraud, defalcation or misappropriation of funds. Such notice shall be in addition to any notice to grantors required by single audit legislation.

The final report and a "to be determined" number of signed copies should be delivered to Nhan Vo-Le, Director of Fiscal and Administrative Services at One Union Place, Hartford, Connecticut 06103.

E. PAPER RETENTION AND ACCESS TO WORKING PAPERS

1. Working Papers and Reports

Audit papers shall be prepared with due professional care in conformance with such standards and guidelines as established by the AICPA and GAGAS. Audit working

papers and reports will be retained for a minimum of three years from the date of the audit report or a period of one year from the date of resolution of audit findings and questioned costs whichever occurs last, unless notified in writing to extend the retention period.

Audit working papers shall be made available without charge, for review within ten days of a request by the Finance Department, the U. S. General Accounting Office, the Federal Cognizant Audit Agency or each of their designees, during and at the completion of the audit. All requests will be made by and coordinated through the Finance Department. All working papers will be the property of the District and the right to retain a copy is granted to the auditor(s). Prior audit work papers will be made available to the auditors upon the signing of a contract for single audit services.

Any items omitted from this specification which are clearly necessary for the successful completion of the required services shall be considered a portion of the services although not directly named in these specifications.

F. TERM OF CONTRACT

An initial three (3) year contract will be executed with the successful Proposer with an option of two (2) one-year successive renewals by the District upon mutual agreement by both parties.

SECTION III - RESPONSE CRITERIA

1. SUBMISSION REQUIREMENTS

All information shall be provided according to the following instructions in order to be considered a responsive Proposal.

Four (4) identical hard copies and one (1) electronic copy of the proposal shall be submitted in a sealed separate envelope. The proposal must include a cover letter, a table of contents and the General Information Form, as well as a plan to carry out the Scope of Services Specifications outlined in this RFP.

Each Proposal shall be typed and should be concise but comprehensive and not include any unnecessary elaborate or promotional materials. Appendices should provide information relevant to the proposal and not consist of Proposer's general marketing materials. The Proposal is limited to 20 - 8 ½ X 11 sheets or 40 pages of double sided prints. Font size 12 points. Required certifications are not considered part of the page limit.

Proposers shall provide a proposal which includes the required elements, both in content and sequence as set forth in this section. Proposal Forms must be completed and signed. All required certifications must be completed, signed and submitted with each Proposal.

2. GENERAL INFORMATION FORM

The Proposer must provide a completed and signed General Information Form as shown in Exhibit D.

3. COVER LETTER

Each Proposer shall submit a maximum two-page letter including the name and address of the organization submitting the proposal; a brief description of the Proposer's organization including whether the organization is an individual, partnership, corporation or joint venture.

4. TECHNICAL PROPOSAL

A. GENERAL REQUIREMENTS

The purpose of the technical proposal is to demonstrate the qualifications, competence and capacity of the firms seeking to undertake an independent audit of the Greater Hartford Transit District in conformity with the requirements of this request for proposals. The technical proposal should demonstrate the qualifications of the firm and of the particular staff to be assigned to this engagement. It should also specify an audit approach that will meet the request for proposal requirements.

The Proposer shall provide a narrative that addresses the services they are proposing as outlined in the Scope of Work. The narrative should show the Proposer's understanding of the District's needs and requirements and a detailed method of approach on how the Proposer will accomplish the requested scope of work. The narrative should indicate whether or not the Proposer can provide the services as described.

A Description of any additional services the Proposer provides or that it believes are necessary to the engagement described in this RFP.

In this section the Proposer shall also present the case for the selection of the Proposer as the District's auditing firm. Do not repeat the information provided above instead, use this opportunity to indicate the unique qualifications, experience, approach, background and other characteristics of the Proposer that make it the best choice for the District. Include any suggestions for innovative ideas or suggestions for ways to provide the Scope of Work in a convenient, efficient and cost-effective manner.

B. INDEPENDENCE

The firm should provide an affirmative statement that is independent of the District as defined by applicable auditing standards. The firm should identify any current clients from the listing of governmental units, businesses and organizations doing business with the District as listed in Attachment F of this proposal, with a statement explaining why such relationships do not constitute a conflict of interest relative to performing the proposed audit.

In addition, the firm shall give the District written notice of any professional relationships entered into during the period of this agreement.

C. LICENSE TO PRACTICE IN CONNECTICUT

An affirmative statement should be included indicating that the firm and all assigned key professional staff are licensed and qualified to practice in Connecticut.

D. STATEMENT OF QUALIFICATIONS

The Proposal must include a statement regarding the experience and performance of the Proposer in providing services similar in scope to those requested in this RFP. This statement should, at a minimum include a discussion of the availability of the resources necessary to perform the scope of work requirements by the Proposer's firm. This section should establish the ability of the Proposer to satisfactorily perform the services and indicate the Proposer's experience in performing services to a governmental entity especially a transit agency.

The Proposer must provide the following information:

- State whether the firm is local, national, or international.
- State the location of the office from which the work is to be managed.
- Describe the type of work performed by the office and the percentage of effort devoted to each type, the local office's capability to audit government activities and organization and computerized systems, including the number and classification of personnel skilled in the audit of automated information systems.
- Indicate the total staff available for this contract. Identify by title and name the individual who will represent the contractor for the day to day supervision of the audits.

For each participating firm, identify specific experience of the firm's partners, managers and on-site supervisors in performing relevant audit experience namely:

- Entity wide single audits of state or local governments (including A-133 audits);
- Single audits of individual departments at the state or local level;

- Audits of GAAP basis financial statements and/or budgetary basis financial statements at the state or local level;
- Knowledge of government programs;
- Financial/compliance audits of federal programs administered by state or local governments or government departments, specifying the name of the federal program(s); or
- Certifications of financial data and Section 5307 data as required by the Urban Mass Transportation Act of 1964.

The proposal must also include a list of references to which the Proposer has provided professional services similar in scope and complexity to that concerned with this RFP.

The proposal should describe the firm's local and/or regional office recent municipal or transit district experience and give the names and telephone numbers of client officials responsible for three of the audits listed. The proposal should also indicate the total number of clients serviced by the local office of the firm and which of its current clients were awarded the Certificate of Excellence in Financial Reporting by the Government Finance Officers Association. The most recent reference should be listed first, then others in reverse chronological order. Include the name of the reference, contact person, title of contact person, address, telephone number, period of performance of service, a short narrative describing the product and/or services use, and its present status. Proposer shall ensure that contact names/telephone numbers are accurate.

The firm should also describe previous experience in working with grants from the State and/or Federal Departments of Transportation.

The District reserves the right to seek references beyond those supplied by the Proposer, which may be used as part of the evaluation process.

E. STAFF QUALIFICATIONS AND EXPERIENCE

Key personnel shall include the principals/partners, managers and on-site supervisors; all other staff shall be considered non-key personnel. The Proposer must certify that all named key personnel in the proposal are the Proposer's employees or subcontractors and shall perform the Contract services.

The Proposer should identify the principal supervisory and management staff including engagement partners, managers, other supervisors and specialists, who would be assigned to the engagement and indicate whether each person is licensed to practice as a certified public accountant in Connecticut. The Proposer also should provide information on the government auditing experience of each person, including information on relevant continuing professional education for the past three (3) years and membership in professional organizations relevant to the performance of this audit. The Proposer should identify the audit team structure and planned supervision, including staff time from other than the local office. The Proposer also should indicate how the quality of staff over the term of the agreement will be assured.

Engagement partners, managers, other supervisory staff and specialists may be changed if those personnel leave the firm, are promoted or are assigned to another office. These personnel may also be changed for other reasons with the express prior written permission of the District. However, in either case, the District retains the right to approve or reject replacements.

Consultants and firm specialists mentioned in response to this request for proposals can only be changed with the express prior written permission of the District, which retains the right to approve or reject replacements.

Other audit personnel may be changed at the discretion of the proposer provided that replacements have substantially the same or better qualifications or experience.

Qualifications for key personnel should be in the following format:

- Provide relevant qualifications for all partners, managers and on-site supervisors for each participating firm.
- Contain a separate appendix of resumes for key personnel outlining certifications held, educational qualifications and complete government audit experience for the past three years.
- Indicate the responsibility and level of effort for all staff to be assigned to the audit.
- Identify other specialists and the functions they will perform during the audit.
- Indicate what resources or contingency resources are committed to replace or supplement assigned personnel should circumstances dictate at some stage of the multi-year duration.
- Identify by title and name the individual who will represent the Contractor for the day to day supervision of the single audit and the percentage of time and total hours that person will devote to the single audit.
- Key personnel should be listed in order of their position of seniority and responsibility in the firm.
- Qualifications and business experience (resume or narrative);

F. AUDIT APPROACH

This section of the proposal should establish the method that will be used by the Proposer to manage the proposed services offered as well as identify key personnel assigned to these services. The District requires that an account manager be designated who would take the lead role in communicating with the District.

For the audits of the first fiscal year ending June 30th, the Proposer must submit a detailed audit plan, approach, methodology, and procedures for each phase of the audit to be accomplished. Indicate for each audit,

- All tasks within each phase;
- The auditors name and levels above senior.
- The expected hours for each level - partner, manager, on-site supervisor and staff.
- The total hours for each task.

The work-plan should follow the logical sequence of events in which the audit will be performed. Special attention should be given to describing the firm's approach to:

- Conducting the Single Audit;
- The study and evaluation of internal control, including tools and techniques;
- Sampling Techniques;
- Testing compliance with laws and regulations for major and non-major programs;
- The method of auditing financial statements including budgetary and GAAP for revenues and expenditures; and

- Certifying Section 5307 data and Agreed Upon Procedures as required by Reporting Manual and Sample Form.

The sequence of the audit events should follow the calendar, showing the timing of performance and demonstrating adherence to the milestones for deliverables.

G. IDENTIFICATION OF ANTICIPATED POTENTIAL AUDIT PROBLEMS

The proposal should identify and describe any anticipated potential audit problems, the firm's approach to resolving these problems and any special assistance that will be requested from the District.

H. PEER REVIEWS

Organizations conducting government audits should have an external quality control review at least once every 3 years by an organization not affiliated with the organization being reviewed. Please submit copies of quality control reviews conducted within the last three years as part of the proposal. The Proposer shall also provide information on the results of any federal or state desk reviews or field reviews of its audits during the past three (3) years. In addition, the Proposer shall provide information on the circumstances and the status of any disciplinary action taken or pending against the firm during the past three (3) years with state regulatory bodies or professional organizations.

5. AFFIRMATIVE ACTION PLAN

The Proposer shall include a copy of the Proposer's and any subcontractor's Affirmative Action Plan and a brief description of how the plan is implemented.

6. REQUIRED CERTIFICATIONS

The Proposal must submit the completed and signed certifications shown in Exhibit E. Failure to submit the certifications will result in the proposal not being evaluated.

7. COST PROPOSAL

This Section must describe the Proposers plans for compensation and how these amounts are calculated, including comparison to industry standards.

Proposer must specify all costs and fees to be charged to provide the auditing services as stated in this RFP. Cost information shall be completed for **each** service year. The cost information shall include all of the costs and expenses associated with the provision of the specifications as stated in the scope of work. This information should be presented in the format provided as Attachment F.

8. MISCELLANEOUS INFORMATION

The Proposer is encouraged to submit other information which may be pertinent to the evaluation of its Proposal.

SECTION IV - PROPOSAL EVALUATION

1. EVALUATION PROCEDURES

An award will be made to the most responsible and responsive firm in accordance with the evaluation criteria set forth in this RFP. All proposals received will be evaluated and scored by an Evaluation Review Committee. Proposal evaluation is an assessment of both the Proposal and the Proposer's ability to successfully accomplish the required services.

The Evaluation Review Committee shall review each Proposal submitted and may invite some or all of the Proposers to submit additional material to support or clarify their proposals. The Evaluation Review Committee will take all information provided into consideration in making its recommendation to award a contract to the successful proposer in the best interests of the District. The District shall select the highest rated Proposal subject to negotiation of fair and reasonable compensation.

If determined necessary, the Evaluation Review Committee may invite top Proposers found to be within the competitive range, or may be reasonably made to be within the competitive range for an interview. If interviews are conducted, the Evaluation Review Committee will be provided the opportunity to revise their original evaluation and score to accurately reflect any additional information that may have been obtained through the interview process.

The final score for each proposal will be obtained by summing the results from each section (Technical Proposal and Cost Proposal), with a perfect final score being 100 points. The Evaluation Committee will take the total score for each Technical Proposal and add to it the respective Cost Proposal evaluation score to rank the proposal and to determine the overall preferred proposals.

In the event that a proposal, which has been included in the competitive range, contains conditions, exceptions, reservations or understanding to any Contract requirements, said conditions, exceptions, reservations or understandings may be discussed during the interview or negotiation meetings. However, the District shall have the right to reject any and all conditions and/or exceptions, and instruct the Proposer to amend its Proposal and remove said conditions and/or exceptions; and any Proposer failing to do so may cause the District to determine such Proposal to be outside the competitive range.

The Proposer with the highest ranking Proposal may be contacted regarding any potential areas to be negotiated. If negotiations are determined not necessary, a contract will be awarded to that firm. If negotiations are conducted and not successful with the highest ranking Proposer then negotiations may be conducted with the next highest ranking Proposer and so on down the line until negotiations are successful.

The District reserves the right to contact Proposer(s) regarding an interview, areas of concern, areas to be negotiated and/or request to amend its proposal and to make its Best and Final Offer (BAFO). The District reserves the right to award on the basis of initial Proposal submitted without negotiations or discussions if such action is deemed to be in the best interest of the District.

2. TECHNICAL PROPOSAL

The Evaluation Review Committee shall evaluate and rank all technical proposals from responsible proposers for the purpose of determining any competitive range and to make a selection of a proposal for potential award. Any exceptions, conditions, reservations or understandings explicitly, fully and separately stated by a Proposer which do not caused the Committee to consider a Proposal outside of the competitive range, will be evaluated according to the respective evaluation criteria which they affect

The Evaluation Review Committee shall evaluate all technical Proposals to determine which meet the District's minimum requirements, without regard to price. The minimum requirements will be an initial cut off point for assessing minimum levels of financial capabilities. Compliance with each standard is required. The minimum requirements will be evaluated. The evaluation may, at the District's discretion, be augmented by verbal or written requests for clarification, or additional information as necessary to determine whether the technical requirements can be met.

The District will only consider those proposals that meet the minimum requirements for further evaluation based on the following criteria.

A. FIRM'S QUALIFICATIONS AND EXPERIENCE – 40 Points

Elements thereof include experience of Proposer providing auditing services similar to the one described in this RFP. The years of experience of the Proposer serving governmental institutions especially transit agencies conducting single audits. Availability of staff for this engagement. References provided to the District. Positive references on similar type audits, especially in the government area, are important.

B. KEY PERSONNEL – 25 Points

Experience and qualifications of key personnel; availability of staff and their responsibilities in the provision of this service; and adequacy, training and licenses of personnel assigned.

The experience of partners or principals in directing and leading large audits, especially audits to satisfy A-133, is important. Within the manager's complement of personnel, experience and specific knowledge of government accounting and reporting is desired. Since on-site supervisors are very important to a successful audit, a reasonable degree of management experience and a serious background and knowledge of federal and state laws, regulations and operating practices is essential. Also a commitment to stay on the job, so experience gained in one year is retained and applied in subsequent years, is desirable.

C. AUDIT WORKPLAN APPROACH – 15 Points

The Audit work plan should present in detail the procedures to be used to audit the financial statements. This plan should include time spent at the District, knowledge of budgetary and GAAP financial reporting requirements.

The work plan should also indicate specific plans for conducting compliance reviews for major and non-major federally funded programs and the certification of Section 5307 data. Knowledge of federal and state laws and regulations, including specific knowledge of federal programs is a key. Also, the work-plan must disclose the approach to internal control reviews, including innovative or efficient methods to accomplish this task. The

clarity of the audit program, training, supervision and follow-up are of utmost importance in this area. A fourth aspect of the work-plan should focus on sampling techniques; automated selections, the intended follow-up to individual items, and coordination with the District's Director of Finance and Administrative Service.

Coordination with federal agencies, especially the Federal Cognizant Agency and other parties participating, in the federal quality control review, is another important aspect of the work-plan. The methods by which findings are developed, with the related work of encouraging the creation of responses and corrective action plans to yield positive and real results, is also important.

The most essential aspect of the work-plan is the overall organization of tasks and resources, into time-frames that produce the deliverables within the required deadlines.

D. COST PROPOSAL – 20 Points

Proposals will be rated on the basis of the total cost of professional services. The Proposal asserting the lowest will receive 20 points. All other proposals will receive between 1 to 19 points based on the numerical relation of their cost to the amount asserted in the Proposal having the lowest cost amount. The formula is as follows:

- a) Divide lowest proposed cost by cost of relevant proposal
- b) Multiply result from step a) times 20 points to determined points to be awarded.

The final score for each proposal will be obtained by summing the results from each section, with a perfect final score being 100 points. The Committee will take the Technical Proposal score for each proposal and add to it the respective Cost Proposal evaluation score to rank the proposal and to determine the overall preferred proposals.

The top Proposers with the highest rating based by points upon the award criteria may be granted an interview with the Evaluation Committee as part of the review process.

***EXHIBIT A – FEDERAL CONTRACT
CLAUSES***

FEDERALLY REQUIRED CONTRACT CLAUSES

Fly America Requirements - The Contractor agrees to comply with 49 U.S.C. 40118 (the "Fly America" Act) in accordance with the General Services Administration's regulations at 41 CFR Part 301-10, which provide that recipients and subrecipients of Federal funds and their contractors are required to use U.S. Flag air carriers for U.S Government-financed international air travel and transportation of their personal effects or property, to the extent such service is available, unless travel by foreign air carrier is a matter of necessity, as defined by the Fly America Act. The Contractor shall submit, if a foreign air carrier was used, an appropriate certification or memorandum adequately explaining why service by a U.S. flag air carrier was not available or why it was necessary to use a foreign air carrier and shall, in any event, provide a certificate of compliance with the Fly America requirements. The Contractor agrees to include the requirements of this section in all subcontracts that may involve international air transportation.

Energy Conservation - The contractor agrees to comply with mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act.

Clean Water - (1) The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et seq . The Contractor agrees to report each violation to the Purchaser and understands and agrees that the Purchaser will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

(2) The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by FTA.

Lobbying - Byrd Anti-Lobbying Amendment, 31 U.S.C. 1352, as amended by the Lobbying Disclosure Act of 1995, P.L. 104-65 [to be codified at 2 U.S.C. § 1601, et seq.] - Contractors who apply or bid for an award of \$100,000 or more shall file the certification required by 49 CFR part 20, "New Restrictions on Lobbying." Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier shall also disclose the name of any registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contacts on its behalf with non-Federal funds with respect to that Federal contract, grant or award covered by 31 U.S.C. 1352. Such disclosures are forwarded from tier to tier up to the recipient.

APPENDIX A, 49 CFR PART 20--CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

(To be submitted with each bid or offer exceeding \$100,000)

The undersigned [Contractor] certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form--LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, *et seq.*)]

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

[Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Contractor, _____, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, *et seq.*, apply to this certification and disclosure, if any.

_____ Signature of Contractor's Authorized Official

_____ Name and Title of Contractor's Authorized
Official

_____ Date

Access to Records - The following access to records requirements apply to this Contract:

1. Where the Purchaser is not a State but a local government and is the FTA Recipient or a subgrantee of the FTA Recipient in accordance with 49 C. F. R. 18.36(i), the Contractor agrees to provide the Purchaser, the FTA Administrator, the Comptroller General of the United States or any of their authorized representatives access to any books, documents, papers and records of the Contractor which are directly pertinent to this contract for the purposes of making audits, examinations, excerpts and transcriptions. Contractor also agrees, pursuant to 49 C. F. R. 633.17 to provide the FTA Administrator or his authorized representatives including any PMO Contractor access to Contractor's records and construction sites pertaining to a major capital project, defined at 49 U.S.C. 5302(a)1, which is receiving federal financial assistance through the programs described at 49 U.S.C. 5307, 5309 or 5311.

2. Where the Purchaser is a State and is the FTA Recipient or a subgrantee of the FTA Recipient in accordance with 49 C.F.R. 633.17, Contractor agrees to provide the Purchaser, the FTA Administrator or his authorized representatives, including any PMO Contractor, access to the Contractor's records and construction sites pertaining to a major capital project, defined at 49 U.S.C. 5302(a)1, which is receiving federal financial assistance through the programs described at 49 U.S.C. 5307, 5309 or 5311. By definition, a major capital project excludes contracts of less than the simplified acquisition threshold currently set at \$100,000.

3. Where the Purchaser enters into a negotiated contract for other than a small purchase or under the simplified acquisition threshold and is an institution of higher education, a hospital or other non-profit organization and is the FTA Recipient or a subgrantee of the FTA Recipient in accordance with 49 C.F.R. 19.48, Contractor agrees to provide the Purchaser, FTA Administrator, the Comptroller General of the United States or any of their duly authorized representatives with access to any books, documents, papers and record of the Contractor which are directly pertinent to this contract for the purposes of making audits, examinations, excerpts and transcriptions.

4. Where any Purchaser which is the FTA Recipient or a subgrantee of the FTA Recipient in accordance with 49 U.S.C. 5325(a) enters into a contract for a capital project or improvement (defined at 49 U.S.C. 5302(a)1) through other than competitive bidding, the Contractor shall make available records related to the contract to the Purchaser, the Secretary of Transportation and the Comptroller General or any authorized officer or employee of any of them for the purposes of conducting an audit and inspection.

5. The Contractor agrees to permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed.

6. The Contractor agrees to maintain all books, records, accounts and reports required under this contract for a period of not less than three years after the date of termination or expiration of this contract, except in the event of litigation or settlement of claims arising from the performance of this contract, in which case Contractor agrees to maintain same until the Purchaser, the FTA Administrator, the Comptroller General, or any of their duly authorized representatives, have disposed of all such litigation, appeals, claims or exceptions related thereto. Reference 49 CFR 18.39(i)(11).

Federal Changes - Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the [Master Agreement](#) between Purchaser and FTA, as they may be amended or promulgated from time to time during the term of this contract. Contractor's failure to so comply shall constitute a material breach of this contract.

Clean Air - (1) The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. §§ 7401 et seq . The Contractor agrees to report each violation to the Purchaser and understands and agrees that the Purchaser will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

(2) The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by FTA.

No Obligation by the Federal Government - (1) The Purchaser and Contractor acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the underlying contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this contract and shall not be subject to any obligations or liabilities to the Purchaser, Contractor, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying contract.

(2) The Contractor agrees to include the above clause in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.

Program Fraud and False or Fraudulent Statements or Related Acts -

(1) The Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. § § 3801 et seq . and U.S. DOT regulations, "Program Fraud Civil Remedies," 49 C.F.R. Part 31, apply to its actions pertaining to this Project. Upon execution of the underlying contract, the Contractor certifies or affirms the truthfulness and accuracy of any statement it has made, it makes, it may make, or causes to be made, pertaining to the underlying contract or the FTA assisted project for which this contract work is being performed. In addition to other penalties that may be applicable, the Contractor further acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the Contractor to the extent the Federal Government deems appropriate.

(2) The Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. § 5307, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307(n)(1) on the Contractor, to the extent the Federal Government deems appropriate.

(3) The Contractor agrees to include the above two clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.

Termination for Convenience or Default - The District may terminate this contract in whole or in part, for the Recipient's convenience or because of the failure of the Contractor to fulfill the contract obligations. The District shall terminate by delivering to the Contractor a Notice of Termination specifying the nature, extent, and effective date of the termination. Upon receipt of the notice, the Contractor shall (1) immediately discontinue all services affected (unless the notice directs otherwise), and (2) deliver to the Contracting Officer all data, drawings, specifications, reports, estimates, summaries, and other information and materials accumulated in performing this contract, whether completed or in process.

If the termination is for the convenience of the Recipient, the Contracting Officer shall make an equitable adjustment in the contract price but shall allow no anticipated profit on unperformed services.

If the termination is for failure of the Contractor to fulfill the contract obligations, the Recipient may complete the work by contract or otherwise and the Contractor shall be liable for any additional cost incurred by the Recipient.

If, after termination for failure to fulfill contract obligations, it is determined that the Contractor was not in default, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of the Recipient.

Suspension and Debarment - This contract is a covered transaction for purposes of 49 CFR Part 29. As such, the contractor is required to verify that none of the contractor, its principals, as defined at 49 CFR 29.995, or affiliates, as defined at 49 CFR 29.905, are excluded or disqualified as defined at 49 CFR 29.940 and 29.945.

The contractor is required to comply with 49 CFR 29, Subpart C and must include the requirement to comply with 49 CFR 29, Subpart C in any lower tier covered transaction it enters into.

By signing and submitting its bid or proposal, the bidder or proposer certifies as follows:

The certification in this clause is a material representation of fact relied upon by the **District**. If it is later determined that the bidder or proposer knowingly rendered an erroneous certification, in addition to remedies available to the **District**, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment. The bidder or proposer agrees to comply with the requirements of 49 CFR 29, Subpart C while this offer is valid and throughout the period of any contract that may arise from this offer. The bidder or proposer further agrees to include a provision requiring such compliance in its lower tier covered transactions.

Civil Rights - The following requirements apply to the underlying contract:
(1) **Nondiscrimination** - In accordance with Title VI of the Civil Rights Act, as amended, 42 U.S.C. § 2000d, section 303 of the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6102, section 202 of the Americans with Disabilities Act of 1990, 42 U.S.C. § 12132, and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. In addition, the Contractor agrees to comply with applicable Federal implementing regulations and other implementing requirements FTA may issue.

(2) **Equal Employment Opportunity** - The following equal employment opportunity requirements apply to the underlying contract:

(a) Race, Color, Creed, National Origin, Sex - In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e, and Federal transit laws at 49 U.S.C. § 5332, the Contractor agrees to comply with all applicable equal employment opportunity requirements of U.S. Department of Labor (U.S. DOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," 41 C.F.R. Parts 60 et seq ., (which implement Executive Order No. 11246, "Equal Employment Opportunity," as amended by Executive Order No. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," 42 U.S.C. § 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect construction activities undertaken in the course of the Project. The Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, national origin, sex, or age. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

(b) Age - In accordance with section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. § § 623 and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

(c) Disabilities - In accordance with section 102 of the Americans with Disabilities Act, as amended, 42 U.S.C. § 12112, the Contractor agrees that it will comply with the requirements of U.S. Equal Employment Opportunity Commission, "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630, pertaining to employment of persons with disabilities. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

(3) The Contractor also agrees to include these requirements in each subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.

Disputes - Disputes arising in the performance of this Contract which are not resolved by agreement of the parties shall be decided in writing by the authorized representative of District's Executive Director. This decision shall be final and conclusive unless within ten (10) days from the date of receipt of its copy, the Contractor mails or otherwise furnishes a written appeal to the Executive Director. In connection with any such appeal, the Contractor shall be afforded an opportunity to be heard and to offer evidence in support of its

position. The decision of the Executive Director shall be binding upon the Contractor and the Contractor shall abide by the decision.

Performance During Dispute - Unless otherwise directed by the District, Contractor shall continue performance under this Contract while matters in dispute are being resolved.

Claims for Damages - Should either party to the Contract suffer injury or damage to person or property because of any act or omission of the party or of any of his employees, agents or others for whose acts he is legally liable, a claim for damages therefor shall be made in writing to such other party within a reasonable time after the first observance of such injury of damage.

Remedies - Unless this contract provides otherwise, all claims, counterclaims, disputes and other matters in question between the District and the Contractor arising out of or relating to this agreement or its breach will be decided by arbitration if the parties mutually agree, or in a court of competent jurisdiction within the State in which the District is located.

Rights and Remedies - The duties and obligations imposed by the Contract Documents and the rights and remedies available thereunder shall be in addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by law. No action or failure to act by the (Recipient), (Architect) or Contractor shall constitute a waiver of any right or duty afforded any of them under the Contract, nor shall any such action or failure to act constitute an approval of or acquiescence in any breach thereunder, except as may be specifically agreed in writing.

Disadvantaged Business Enterprises - a. This contract is subject to the requirements of Title 49, Code of Federal Regulations, Part 26, *Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs*. The national goal for participation of Disadvantaged Business Enterprises (DBE) is 10%. The agency's overall goal for DBE participation is **5.6%**.

b. The contractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of this DOT-assisted contract. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the **District** deems appropriate. Each subcontract the contractor signs with a subcontractor must include the assurance in this paragraph (see 49 CFR 26.13(b)).

The successful bidder/offeror will be required to report its DBE participation obtained through race-neutral means throughout the period of performance.

d. The contractor is required to pay its subcontractors performing work related to this contract for satisfactory performance of that work no later than 30 days after the contractor's receipt of payment for that work from the **District**. In addition, the contractor may not hold retainage from its subcontractors.

e. The contractor must promptly notify the **District**, whenever a DBE subcontractor performing work related to this contract is terminated or fails to complete its work, and must make good faith efforts to engage another DBE subcontractor to perform at least the same amount of work. The contractor may not terminate any DBE subcontractor and perform that work through its own forces or those of an affiliate without prior written consent of the **District**.

Incorporation of Federal Transit Administration (FTA) Terms - The preceding provisions include, in part, certain Standard Terms and Conditions required by DOT, whether or not expressly set forth in the preceding contract provisions. All contractual provisions required by DOT, as set forth in [FTA Circular 4220.1F](#) are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The Contractor shall not perform any act, fail to perform any act, or refuse to comply with any District's requests which would cause the District to be in violation of the FTA terms and conditions.

***EXHIBIT B – STATE GRANT
REQUIREMENTS***

CONNECTICUT REQUIRED CERTIFICATIONS

All contract certifications required by the State of Connecticut must be included with the proposal. The instructions and affidavits forms are available at the State of Connecticut, Office of Policy and Management Internet site at:

http://www.ct.gov/opm/cwp/view.asp?a=2982&q=386038&opmNav_GID=1806

Gift Certification – Form 1

Consulting Agreement Affidavit – Form 5

Check this site immediately before you submit your proposal in case of any recent changes to the State's contractual requirements for State contracts for goods and services with a value of \$50,000 or more. It is the responsibility of the proposer to ensure that any and all up-to-date contract certification forms are properly filled out and submitted with your proposal.

***EXHIBIT C – Procurement and Appeals
Process***

GHTD Procedures and Appeals Process

These appeal procedures cover pre-award, award, and post award phases of the procurement as described below.

The District reserves the right to postpone bid opening for its own convenience and to reject any or all bids and to waive any irregularities.

The District will establish a formal, complete record of the dispute resolution process. The Board of Directors of the District is the final decision maker for the District.

Any changes to specifications or scope of services will be made by written addendum.

1. Pre-Award

Proposers may make appointments with the Executive Director to discuss the scope of services. This, however, does not relieve proposers from written, documented requests for changes or clarifications as described below.

Requests for clarification of or changes in the Scope of Services, and protest of any part of the Scope of Services must be received by the District in writing not less than 18 full days before the date of Response Date. Any request for a change in the Scope of Services must be fully supported with pertinent information.

The District's replies to requests under the above paragraph will be postmarked at least 10 full days before the Response Date. The District in its reply will respond specifically to each material issue raised in the protest.

2. Award

Each proposer will be notified by first class mail of the decision of the District as to the selection of a security firm under this procurement. Included in that notification will be a proposed effective date of engagement which will be no less than 15 days following the date of notification of award.

Any proposer may protest the proposed award of contract in writing submitted to the Executive Director of the District no later than 5 days prior to the proposed effective date of engagement. Any such award protest must be fully supported with pertinent information as evidence that the accepted technical proposal does not meet the RFP requirements or Scope of Services, or that the District violated its procurement procedures. Upon advice of counsel and the FTA, the District is not obligated to transmit any proprietary or pricing information transmitted to the District in confidence under the provisions of this RFP. The Executive Director will attempt to resolve the issues raised by protesters prior to the effective date of engagement. If resolution is reached, the Executive Director will issue a decision in the matter and the procurement process will continue. If resolution is not reached, then the issue will be referred to the Board of Directors of the District for a determination and the award of engagement will be delayed until a decision is rendered by the Board. The Board's decision is the final District determination and will take effect not less than five working days therefrom to permit a protester to appeal the decision to the FTA. Should such appeal be taken, no award will be made until FTA has issued its ruling.

It is the policy of the District not to proceed with the award phase of any procurement if there is a pending protest.

3. Post-Award

Due to the extensive opportunity offered proposers to protest the pre-award and award phases of the procurement process, post-award protests will only be accepted concerning the alleged failure of a successful bidder or proposer to deliver the procured services pursuant to the Scope of Services.

The District will respond to any such concerns in writing to any such protester. If the District cannot resolve any legitimate issue with its successful proposer, then legal recourse would be pursued. Should the engagement be terminated as a result of such legal action, a re-bid of the procurement would take place.

4. Appeals to FTA

A protest may be filed at any time during the procurement process with FTA as set forth below. FTA, under the provisions of its Circular 4220.1B, will only review protests regarding the alleged failure of the District to have written protest procedures or alleged failure to follow such procedures. Any such appeal to FTA must be in writing and received by FTA not later than five government working days following a final decision rendered by the District or after the District has failed to render a final decision on the protest. Such protest shall be filed with FTA's Region I Office at 55 Broadway, Cambridge, MA 02142 with a copy to the District and must include: the name and address of the protestor; cite the District as the grantee, the number of the RFP; a statement of the grounds for protest and any supporting documentation; and include a copy of the local protest filed with the District and a copy of the District's decision, if any. In any protested bid, the District shall not award any contract until it verifies with FTA (after 5 days) that no bid protest has been received by FTA. The District will furnish FTA copies of all relevant documents pertaining to the bid.

Upon receipt of a notice that an appeal has been submitted to FTA, the District will immediately contact the appropriate FTA official to determine if the Response Date should be postponed. If the Response Date is postponed, the District will telegraph all proposers or firms who have been furnished a copy of the RFP that an appeal has been filed and that the Response Date is postponed until FTA has issued its decision. Appropriate addenda will be issued rescheduling the Response Date.

Any appeal to FTA may be withdrawn at any time before FTA has issued its decision.

FTA's decision on any appeal will be final. No further appeals will be considered by FTA

***EXHIBIT D – GENERAL INFORMATION
FORM***

General Information Form

Name of
Organization: _____
Organization's
Address: _____
Telephone Number: _____
Years in Business: _____
Years in business Providing Auditing Services: _____

Organization is (check one):

Corporation Partnership Association
 Joint Venture Sole Proprietorship Public Agency
 Quasi-Public Agency Other: (Explain): _____

If the organization is a corporation indicate the following:

Date of
Incorporation: _____

State of Incorporation: _____
President's Name: _____
Vice-President's Name: _____
Secretary's Name: _____

If the organization is an individual or a partnership indicate the following:

Date of Organization: _____
Name and address of all partners: _____

Name and Title of the Organization's Authorized Representatives:

Contact for Questions about Proposal: _____

Officer responsible for Contract Performance: _____

Acknowledgment of received Addenda No(s): _____

The undersigned, being cognizant of the pages, documents and attachments concerned herewith agrees to provide the District with the services described in the Request for Proposal dated October 18, 2017. The stated Proposal shall be firm for 120 days from the due date for this Proposal.

The Contractor hereby affirms that this Proposal is genuine, not a sham or collusive, and is not made in the interest of any person not therein named.

Authorized Signature: _____

Title: _____

Date: ____ / ____ / ____

**PROPOSAL SUBMISSION PAGE
FOR AUDITING SERVICES**

SUBMITTED BY: _____

TO: Greater Hartford Transit District

The undersigned hereby declares that he/she has carefully read and examined the Advertisement and the Request and has decided to provide services and systems in conformance to the specifications and requirements of the RFP and any addendum thereto at the price stated in the attached proposal and or any final offers.

I additionally certify that we are fully licensed, insured and have the proper equipment, systems personnel to handle the project as documented in this procurement document.

My Company also agrees and understands that in the event that the **District** is required to purchase such services from another Vendor for any reason due to my company's failure to perform in accordance with the terms and conditions of this contract, my company will be charged the total cost of the other vendor(s) to perform the service, plus \$100.00 (per occurrence) to cover administrative fees and costs.

The Contractor hereby agrees to pay the afore stated amounts as fixed, agreed and liquidated damages, and not by way of penalty, to the **District** and further authorizes the **District** to deduct the amount of the damages from money due the Contractor under the Contract, computed as aforesaid. If the monies due the Contractor are insufficient or no monies are due the Contractor, the Contractor shall pay the **District** the difference or the entire amount, whichever may be the case, within 30 (thirty) calendar days after receipt of a written demand by the Director of Finance and Administrative Services.

Under no circumstances shall this provision be interpreted or extended to mean a relinquishment of rights for a claim for any other damages that the **District** may have against the Contractor for any other reason whatsoever.

Firm Name: _____

Address: _____

Authorized by: _____

Signature: _____

Title: _____

Date: _____

EXHIBIT E – REQUIRED CERTIFICATIONS

Certification of Eligibility

_____ hereby certifies that neither
(Name of Proposer)
it nor its "principals" is included on the U.S. Comptroller General's Debarred Bidders List.

Signature: _____

Firm: _____

The Proposer certifies to the best of its knowledge and belief that it and its principals
Are not presently debarred, suspended, proposed for debarment, declared ineligible, or
voluntarily excluded from participating in this transaction by any Federal department or agency.

Have not, within a three-year period preceding the date of this Proposal, been convicted of or had
a civil judgment rendered against it for commission of fraud or a criminal offense in connection
with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or
contract under a public transaction, violation of Federal or State anti-trust statutes or commission
of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false
statement, or receiving stolen property.

Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity
(Federal, State or local) with commission of any of the offenses enumerated in Paragraph B of
this Certification.

Have not, within a three-year period preceding the date of this Proposal, had one or more public
transactions (Federal, State or local) terminated for cause or default.

Where the Proposer is unable to certify to any of the statements in this certification, such
Proposer shall include an explanation in such regard with its Proposal.

(Check One)

_____ I DO CERTIFY

_____ I DO NOT CERTIFY

SIGNATURE: _____

TITLE: _____

DATE: ____ / ____ / ____

Certification of Non-Collusion

The Undersigned certifies, under penalties of perjury:

That this Proposal has been made by the Proposer independently, and has been submitted without collusion, and without any agreement, understanding, or planned common course of action with any other vendor of materials, supplies, equipment , or services described in this procurement document, designed to limit independent bidding or competition;

That the contents of the proposal have not been communicated by the Proposer or it's employees or agents to any person not an employee or agent of the Proposer or it's surety or any bond furnished with the proposal, and will not be communicated to any such person prior to the official awarding of this procurement.

That I have fully informed myself regarding the accuracy of the statement made in the certificate.

SIGNATURE: _____

NAME: _____

FIRM: _____

TITLE: _____

DATE: ____ / ____ / ____

Certification of Restrictions of Lobbying

I, _____, of _____,
Name & Title Name of Firm

hereby certify that:

No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form, "Disclosure Form to Report Lobbying," in accordance with its instruction as amended.

The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements), and that all subrecipients shall certify and disclose accordingly.

The undersigned acknowledges that this certification is a material representation of fact, upon which reliance is placed at the time that the transaction concerned herewith was made or entered into, and that submission of this certification is a prerequisite for making or entering into such transaction imposed by Section 1352, Title 31, U.S. Code as amended. Any person who fails to file the required certification shall be subject to civil penalty of not less than \$10,000, and not more than \$100,000 for each such failure.

The undersigned certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the undersigned understands and agrees that the provisions of 31 US Code A3801, et seq., apply to this certification and disclosure, if any.

Executed this _____ day of _____, 20_____.

By: _____
Signature & Title of Authorized Official

Certification For Small Business Enterprise

It is the policy of the Greater Hartford Transit District that small business enterprises as defined in Section 4a-60 of the Connecticut General Statutes and U.S. Small Business Administration shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with State and/or Federal funds under this agreement.

The supplier or Contractor agrees to ensure that small business enterprises as defined above have the maximum opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with State and/or Federal funds provided under this agreement. In this regard all recipients or contractors shall take necessary and reasonable steps in accordance with Section 4a-60 of the Connecticut General Statutes to ensure that small business enterprises have the maximum opportunity to compete and perform contracts. Recipients and their contractors shall not discriminate on the basis of race, creed, color, national origin, age or sex in the award of federal assisted contracts.

The Contractor hereby agrees to subcontract a minimum of _____% of the contract to small business enterprises.

SIGNATURE: _____

NAME: _____

FIRM: _____

TITLE: _____

DATE: ____ / ____ / ____

Please attach the names and addresses of any and all SBE eligible subcontractors who will perform work on this project, and the approximate dollar amounts to be paid to them. If there is no participation then this must be indicated in the form.

Eligible Contractors Certificate

I, _____, of _____,
Name & Title Name of Firm

hereby certify that it **IS / IS NOT** (circle one) included on the List of Parties Excluded from Federal Procurement and Non-Procurement Programs.

SIGNATURE: _____

NAME: _____

FIRM: _____

TITLE: _____

DATE: ____ / ____ / ____

EXHIBIT F – COST PROPOSAL FORM

COST PROPOSAL FORM

The within Form will be used with respect to the cost aspect evaluation of Proposals. In addition to the contents of this Form, the Proposer may suggest other potential cost factors, which must be specifically identified. As a result thereof, the Proposer may be asked to provide additional detailed cost information.

Name of Organization: _____

Name of Authorized Representative: _____

Authorized Signature _____ Date _____

Services	2018	2019	2020	2021	2022
Comprehensive Audit Financial Statements including preparation of management letter.	\$	\$	\$	\$	\$
Audit and Federal Financial Assistance	\$	\$	\$	\$	\$
National Transit Database Declarations	\$	\$	\$	\$	\$
Report on internal controls over compliance State Single Audit Act	\$	\$	\$	\$	\$
Other (Specify)	\$	\$	\$	\$	\$
Subtotal	\$	\$	\$	\$	\$
Direct Costs					
Supplies and Copying	\$	\$	\$	\$	\$
Telephone/Postage	\$	\$	\$	\$	\$
Travel	\$	\$	\$	\$	\$
Subtotal	\$	\$	\$	\$	\$
Total Costs	\$	\$	\$	\$	\$

***EXHIBIT G – ORGANIZATIONS DOING
BUSINESS WITH THE DISTRICT***

**LIST OF MAJOR GOVERNMENTAL UNITS, BUSINESSES AND ORGANIZATIONS
DOING BUSINESS WITH THE GREATER HARTFORD TRANSIT DISTRICT**

GOVERNMENTAL

Capitol Region Council of Governments, Hartford, CT
The City of Hartford
The Connecticut Department of Transportation, Newington, CT
The Town of Bloomfield
The Town of East Granby
The Town of East Hartford
The Town of East Windsor
The Town of Enfield
The Town of Farmington
The Town of Manchester
The Town of Mansfield
The Town of Newington
The Town of Rocky Hill
The Town of Simsbury
The Town of South Windsor
The Town of Vernon
The Town of West Hartford
The Town of Wethersfield
The Town of Windsor

Federal Transit Administration, Region I, Cambridge, MA

PROFESSIONAL SERVICES

Blum, Shapiro and Company, P.C., West Hartford, CT
Day, Pitney, LLC, Hartford, CT
ProPark, Inc., Hartford, CT
People's United Bank, Hartford, CT
Lexington Group, West Springfield, MA
Occupational Drug Testing, New Hartford, CT

TRANSPORTATION PROVIDERS

First Transit Inc., Cincinnati, OH
Peter Pan Bus, Springfield, MA

MISCELLANEOUS VENDORS

Accurate Pest & Termite Control, Wilbraham, MA
Associated Electronic Services, East Hartford, CT
Control Systems Inc., West Hartford, CT
East River Energy, Guilford, CT
Hartford Sprinkler, Hartford, CT
International Display Systems, Dayton, OH
NeoPost New England, Farmington,
Marcus Communications, Inc. Manchester, CT
Matthews Buses, Inc., Tolland, CT
Shepard Brothers, Canandaigua, NY
EMCOR/New England Mechanical Services, Vernon, CT

Independent Elevators LLC, Coventry, CT
Trans-AD LLC, Guilford, CT
Security Services of Connecticut, Hartford, CT
SMG, Sheldon, CT
Patterson Enterprises, Bristol, CT
SimplexGrinnell, Windsor, CT
Kone, Rocky Hill, CT
Winterberry Landscaping and Garden Center, Southington, CT

FINANCIAL INSTITUTIONS

Bank of America, Hartford, CT
Citizens Bank, Middletown, CT

TENANTS

Capital Workforce Partners, Hartford, CT
Great American Donut, Plainville, CT
Greyhound Lines, Inc., Dallas, TX
Chango Rosa, Hartford, CT
Peter Pan Bus Lines, Springfield, MA
Propark, Inc., Hartford, CT
Subway, Wethersfield, CT
Union Station News & Gifts, Hartford, CT