

**CONNECTICUT
RESOURCES
RECOVERY
AUTHORITY**

**REQUEST FOR PROPOSALS
("RFP")**

FOR

**INDEPENDENT AUDITING SERVICES
(RFP Number FY09-FA-002)**

PROPOSAL DUE DATE: APRIL 2, 2009

**Connecticut Resources Recovery Authority
100 Constitution Plaza, 6th Floor
Hartford, Connecticut 06103-1722**

March 2, 2009

REQUEST FOR PROPOSALS
For
INDEPENDENT AUDITING SERVICES
(RFP Number FY09-FA-002)

Connecticut Resources Recovery Authority
100 Constitution Plaza, 6th Floor
Hartford, Connecticut 06103-1722

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**REQUEST FOR PROPOSALS
FOR
INDEPENDENT AUDITING SERVICES**

SECTION 1

**NOTICE TO FIRMS
REQUEST FOR PROPOSALS**

CONNECTICUT RESOURCES RECOVERY AUTHORITY

NOTICE TO FIRMS REQUEST FOR PROPOSALS

The Connecticut Resources Recovery Authority ("CRRA") is a quasi-public entity of the State of Connecticut that is responsible for implementing the State Solid Waste Management Plan and is currently providing solid waste disposal and recycling services to over half of the municipalities in the state. CRRA has developed, constructed, and now operates an integrated system of three resource recovery facilities, two regional recycling centers, four transfer stations and an electricity generating facility. CRRA is also responsible for five closed landfills. At present, CRRA accepts more than 65% of the municipal solid waste generated in the State. These facilities are operated by entities that are under contract with CRRA.

CRRA is requesting proposals from qualified firms to perform independent auditing services for the audits for Fiscal Years 2009, 2010 and 2011. The contract period will be from June 1, 2009 through March 31, 2012.

Request for Proposal ("RFP") package documents may be obtained on the World Wide Web at <http://www.crra.org> under the "Business Opportunities" page beginning **Monday, March 2, 2009**. The documents will also be available Monday through Friday, from 8:30 a.m. to 5:00 p.m. at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, beginning on the same date. Anyone intending to pick up the documents at CRRA's offices must contact Ronald Gingerich [(860) 757-7703] at least 24 hours in advance.

CRRA encourages firms and individuals interested in this RFP to submit a Notice Of Interest Form to CRRA by 3:00 p.m., Friday, March 13, 2009. The Notice Of Interest Form is available on CRRA's web site along with the other RFP documents. While not mandatory, CRRA will use the information provided on the form to notify prospective proposers about the availability of addenda and other information related to the RFP.

Sealed proposals must be received at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722 no later than 3:00 p.m., Thursday, April 2, 2009. Proposals received after the time and date set forth above shall be rejected. All proposals shall remain open for one hundred twenty (120) days after the proposal due date.

Proposals will be opened at CRRA's convenience on or after the proposal due date. Note that all information submitted by a proposer is subject to the Freedom of Information Act.

All questions regarding this RFP must be submitted in writing to Ronald Gingerich, by e-mail (rgingerich@crra.org), by fax [(860) 757-7742], or by correspondence (CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103) no later than **3:00 p.m. on Friday, March 20, 2009**. Any firm considering submitting a proposal is prohibited from having any ex-parte communications with any CRRA staff member or CRRA Board member except Mr. Gingerich.

**REQUEST FOR PROPOSALS
FOR
INDEPENDENT AUDITING SERVICES**

**SECTION 2
INSTRUCTIONS TO PROPOSERS**

INSTRUCTIONS TO PROPOSERS

INDEPENDENT AUDITING SERVICES

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1. Introduction

The Connecticut Resources Recovery Authority ("CRRA") is a quasi-public entity of the State of Connecticut that is responsible for implementing the State Solid Waste Management Plan and is currently providing solid waste disposal and recycling services to over half of the municipalities in the state. CRRA has developed, constructed and now operates an integrated system of three resource recovery facilities, two regional recycling centers and four transfer stations. CRRA is also responsible for five closed landfills. At present, CRRA accepts more than 65% of the municipal solid waste generated in the State. These facilities are operated by entities that are under contract with CRRA.

CRRA is requesting proposals from qualified firms to perform independent auditing services for Fiscal Years 2009, 2010 and 2011. The contract period will be from June 1, 2009 through March 31, 2012 with the option, at CRRA's sole and absolute discretion for a one-year extension from April 1, 2012 through March 31, 2013.

2. RFP Projected Timeline

The following is the projected timeline for the RFP process:

ITEM	DATE
RFP Documents Available	Monday, March 2, 2009
Notice of Interest Forms Due at CRRA	3:00 p.m., Friday, March 13, 2009
Deadline for Written Questions	3:00 p.m., Friday, March 20, 2009
Response to Written Questions	No Later Than Monday, March 30, 2009
Proposals Due at CRRA	3:00 p.m., Thursday, April 2, 2009
Interviews with Selected Proposers	Monday and Tuesday, May 4 and 5, 2009
Selection and Notice of Award Issued	Friday, May 29, 2009
Effective Date of Agreement	June 1, 2009

CRRA reserves the right at its sole and absolute discretion to extend any of the actual or proposed dates in the above Projected Timeline, and further reserves the right to reject any and all proposals and republish this RFP. CRRA also reserves the right, at its sole and absolute discretion, to terminate this RFP process at any time prior to the execution of any Agreement.

3. Definitions

As used in this Instructions To Proposers and in other Contract Documents (as defined herein), the following terms shall have the meanings as set forth below:

- (a) **Addenda:** Written or graphic documents issued prior to the proposal due date that clarify, correct or change any or all of the Contract Documents.
- (b) **Contract Documents:**
 - (1) Independent Auditing Services Agreement (the "Agreement");
 - (2) RFP Package Documents (defined in (f) below);
 - (3) Addenda;
 - (4) Firm's Proposal (including all documentation attached to or accompanying such Proposal, all other documentation submitted in connection with such Proposal, and all post-proposal documentation submitted prior to the Notice Of Award);
 - (5) Notice Of Award, with Contractor's Certification Concerning Gifts attached [to be executed by successful proposer]; and
 - (6) Any written amendments to the Agreement.
- (c) **Laws And Regulations:** Any and all applicable laws, rules, regulations, ordinances, codes, orders and permits of any and all federal, state and local

governmental and quasi-governmental bodies, agencies, authorities and courts having jurisdiction.

- (d) **Notice Of Award:** Written notification from CRRA to the apparent successful proposer that states that CRRA has accepted such proposer's proposal and sets forth the remaining conditions that must be fulfilled by such proposer before CRRA executes the Agreement.
- (e) **Project:** The provision by the successful proposer of independent auditing services for CRRA in accordance with the Contract Documents.
- (f) **RFP Package Documents:**
 - (1) Notice To Firms – Request For Proposals;
 - (2) Instructions To Proposers;
 - (3) Notice Of Interest Form;
 - (4) Proposal Form;
 - (5) Proposal Price And Payment Rate Schedule Form;
 - (6) References Form;
 - (7) Background And Experience Form;
 - (8) Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety;
 - (9) Affidavit Of Third Party Fees;
 - (10) Certification Concerning Nondiscrimination;
 - (11) Proposer's Background Questionnaire;
 - (12) Issues And Questions To Be Addressed;
 - (13) SEEC Form 11, Notice To Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban;
 - (14) Notice Of Award, with Contractor's Certification Concerning Gifts attached [to be executed by successful proposer]; and
 - (15) Independent Auditing Services Agreement, including:
 - A. Scope Of Services;
 - B. Request For Services Standard Format;
 - C. Compensation Schedule;
 - D. CRRA's Travel And Expense Policy;
 - E. SEEC Form 11, Notice To Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban;
 - F. Affidavit Of Third Party Fees;
 - G. Certification Concerning Nondiscrimination;
 - H. Contractor's Certification Concerning Gifts; and
 - I. CRRA President's Certification Concerning Gifts.

Terms used, but not defined, in this Instructions To Proposers shall have the same respective meanings assigned to such terms in the Agreement.

4. Communications With CRRA Staff and Board Members

Except as otherwise authorized by this Instructions To Proposers, during the period while the RFP process is active (i.e., from the date CRRA issues the RFP until the date the successful proposer accepts the Notice Of Award), firms and individuals contemplating or preparing proposals are prohibited from contacting CRRA staff or CRRA Board of Director members in an ex parte manner to discuss the RFP submission process. A firm's proposal shall be rejected if any of the foregoing ex parte communications take place.

5. Scope Of Services

CRRA is requesting proposals from qualified firms to perform independent auditing services that will include annual audit services and may include additional specific auditing work. The annual audit services shall be compensated on a fixed fee basis. Any additional specific auditing work requested by CRRA shall be performed pursuant to a Request For Services and shall be compensated on a time-and-materials basis and pursuant to the cost estimate provisions of the Request For Services.

CRRA is requesting proposals from qualified firms to perform independent auditing services for the audits for Fiscal Years 2009, 2010 and 2011. The contract period will be from June 1, 2009 through March 31, 2012, with the option, at CRRA's sole and absolute discretion of a one-year extension from April 1, 2012 through March 31, 2013.

The Services to be performed under the Agreements are more particularly described in **Exhibit A** of the Agreement. Specific instructions about how the Services are to be performed are included in the Agreements.

6. Availability Of RFP Package Documents

Complete sets of the RFP Package Documents may be obtained on the World Wide Web beginning Monday, March 2, 2009 at:

<http://www.crra.org> under the "Business Opportunities" page; select the "RFP: Independent Auditing Services" link.

The RFP Package Documents are in PDF format. All of the forms included in the documents are also available for downloading in Microsoft Word format at the same place on CRRA's web site where the PDF of the RFP is located. Prospective proposers can fill the forms out by typing the answers on their computer's keyboard. The forms can then be printed and submitted with the proposal. CRRA encourages firms to make use of the downloaded Word forms.

The RFP Package Documents are also available Monday through Friday, from 8:30 a.m. to 5:00 p.m. at CRRA's offices, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, beginning on the same date. Anyone intending to pick up the documents at CRRA's offices must contact Ronald Gingerich [(860) 757-7703] at least 24 hours in advance.

7. Notice Of Interest

CRRA encourages prospective proposers to submit a Notice Of Interest Form to CRRA as early as they can (Section 3 of the RFP Package Documents). Forms should be submitted no later than **3:00 p.m., Friday, March 13, 2009**. While submittal of a Notice Of Interest Form is not mandatory, CRRA will use the information provided on the forms to notify interested firms about the availability of Addenda and any other information related to this RFP. Instructions for submitting the Form are included on the Form.

8. Addenda And Interpretations

CRRA may issue Addenda to the RFP Package Documents that shall, upon issuance, become part of this package and binding upon all potential or actual proposers for the Services. Such Addenda may be issued in response to requests for interpretation or clarification received from potential proposers. Any request for interpretation or clarification of any documents included in the RFP Package Documents must be **submitted in writing to Ronald Gingerich by e-mail rgingerich@crra.org, by fax ((860) 757-7742), or by correspondence (CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103) no later than 3:00 p.m. on Friday, March 20, 2009.**

Addenda, if any, will be mailed and/or e-mailed to all persons who submitted a Notice Of Interest Form (see Section 7, above) or who picked up or requested from CRRA a printed copy of the RFP Package Documents no later than three (3) business days before the proposal due date. Such addenda will also be posted on CRRA's web site (<http://www.crca.org> on the "Business Opportunities" page under the "RFP: Independent Auditing Services" heading).

Failure of any proposer to receive any such Addenda shall not relieve such proposer from any conditions stipulated in such Addenda. Only questions answered or issues addressed by formal written Addenda will be binding. **All oral and other written responses, statements, interpretations or clarifications shall be without legal effect and shall not be binding upon CRRA.**

9. Proposal Submittal Procedures

Sealed proposals shall be submitted no later than 3:00 p.m., Eastern Time, Thursday, April 2, 2009 at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, Attn: Ronald Gingerich. Proposals received after the time and date set forth above shall be rejected.

Each proposer must submit one (1) original and five (5) copies of its proposal. The original proposal shall be stamped or otherwise marked as such.

Each proposal (the original and five copies) shall be enclosed in a sealed envelope that shall be clearly marked "Proposal For Independent Auditing Services."

Proposals shall remain open and subject to acceptance for one hundred twenty (120) days after the proposal due date.

The terms and conditions of the Agreement (Section 15 of this RFP), as attached, are non-negotiable. Any potential proposer that will be unable to execute the Agreement, as attached, should not submit a proposal.

Proposals may be modified or withdrawn by an appropriate document duly executed (in the manner that a proposal must be executed) and delivered to the place where proposals are to be submitted at any time prior to the proposal due date.

10. Proposal Contents

Proposals shall be submitted on forms provided by CRRA as part of the RFP Package Documents, all of which forms must be completed with the appropriate information required and all blanks on such forms filled in.

A proposal must consist of the following and must be in the following order:

- (a) Title page, including the title of the solicitation, the name of the firm and the date the proposal is submitted;
- (b) Cover letter, signed by a person authorized to commit the firm to the contractual arrangements with CRRA, which includes the following:
 - (1) The name of the firm;
 - (2) The legal structure of the firm (e.g., corporation, joint venture, etc.) and the State in which the firm is organized; and
 - (3) A clear statement indicating that the attached proposal constitutes a firm and binding offer by the firm to CRRA considering the terms and conditions outlined in the RFP Package Documents;
- (c) Table of Contents;
- (d) The Proposal Form (Section 4 of the RFP Package Documents), with Addenda, if any, listed in the appropriate place (Page 2), the name and address of the contact for Notices listed in the appropriate place (Page 6) and the completed agreement section (Page 7);
- (e) The completed Proposal Price And Payment Rate Schedule Form (Section 5 of the RFP Package Documents);
- (f) The completed References Form (Section 6 of the RFP Package Documents). Listed clients should be similar in nature to CRRA and the scope of the engagement should be similar to that outlined by the Contract Documents;
- (g) The completed Background And Experience Form (Section 7 of the RFP Package Documents). Be sure to provide a brief description of the firm, including

main businesses, number of employees, number of office and locations, and financial information. Provide a brief description of the office designated to serve CRRA. Include services available at the office and number of employees. List and discuss your firm's experience with governmental entities, resource recovery entities or auditing for entities similar to CRRA during the past five years.

- (h) The completed Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety form (Section 8 of the RFP Package Documents), with the Proposer's most recent EEO-1 data attached if the Proposer wishes such data to be considered in the evaluation of its Proposal;
- (i) The completed Affidavit Of Third Party Fees form (subscribed and sworn before a Notary Public or Commissioner of the Superior Court) (Section 9 of the RFP Package Documents);
- (j) The completed Certification Concerning Nondiscrimination (Section 10 of the RFP Package Documents), with the Proposer's policies and procedures addressing nondiscrimination attached;
- (k) The completed Proposer's Background Questionnaire (subscribed and sworn before a Notary Public or Commissioner of the Superior Court) (Section 11 of the RFP Package Documents);
- (l) Answers to the Issues And Questions To Be Addressed (the answer to each question must begin on a new page) (Section 12 of the RFP Package Documents);
- (m) A copy of the proposer's up-to-date certificate of insurance showing all current insurance coverage;
- (n) A copy of the proposer's latest Peer Review.

Proposers should not include in their proposals other portions of the RFP Package Documents (e.g., this Instructions To Proposers or the Agreement).

A proposer may include additional information as an addendum/appendix to its proposal if the proposer thinks that it will assist CRRA in evaluating the proposer's proposal. A proposer should not include information that is not directly related to the subject matter of this solicitation.

11. Proposal Opening

Proposals will be opened at CRRA's convenience on or after the proposal due date.

CRRA reserves the right to reject any or all of the proposals, or any part(s) thereof, and/or to waive any informality or informalities in any proposal or the RFP process for this Project.

12. Proposal Evaluation

The award of the contracts for the Services will be made, if at all, to the proposer(s) whose evaluation by CRRA results in CRRA determining that such award to such proposer(s) is in the best interests of CRRA. **However, the selection of a proposer(s) and the award of such contracts, while anticipated, are not guaranteed.**

CRRA is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, contracting, or business practices. CRRA is committed to complying with the Americans with Disability Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.

12.1 Evaluation Criteria

CRRA will base its evaluation of the proposals on the following, which are not necessarily presented in order of importance:

- (a) Qualifications of the proposer and its personnel, including the experience and availability of day-to-day auditing staff assigned to CRRA and the breadth and depth of other associates and professionals available to provide services to CRRA;
- (b) Familiarity with quasi-public agencies or resource recovery systems;
- (c) Experience in serving as auditor for clients, including governmental entities and resource recovery entities;
- (d) Demonstrated skill, ability and integrity to perform the Services required by the Contract Documents;
- (e) Team organization and approach, including the ability of the proposer to adequately staff and complete time-sensitive projects and transactions and to interact effectively with CRRA and other professionals involved in CRRA's projects and transactions;
- (f) Price;
- (g) Reputation;
- (h) Responsiveness in a timely manner to CRRA questions and work requests;
- (i) Connecticut presence as evidenced by the number of offices and employees the proposer maintains in Connecticut; and
- (j) Any other factor or criterion that CRRA, in its sole discretion, deems or may deem relevant or pertinent for such evaluation.

12.2 Affirmative Action Evaluation Criteria

Proposals will also be rated on the proposer's demonstrated commitment to affirmative action. Sections 46a-68-1 to 46a-68-17 of the *Regulations of Connecticut State Agencies* require CRRA to consider the following factors when awarding a contract that is subject to contract compliance requirements:

- (a) The proposer's success in implementing an affirmative action plan (See Question 4 of the Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety (Section 8 of the RFP Package Documents));
- (b) The proposer's success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the *Regulations of Connecticut State Agencies*, inclusive (See Question 5 of the Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety (Section 8 of the RFP Package Documents));
- (c) The proposer's promise to develop and implement a successful affirmative action plan (See Question 4B of the Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety (Section 8 of the RFP Package Documents)); and
- (d) The proposer's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area (See Section 10(i) of this Instructions To Proposers).

13. Interviews

CRRA may, at its sole and absolute discretion, decide to interview one or more of the proposers for the Services. If CRRA does decide to interview any proposers, such interviews will be conducted on Monday and Tuesday, May 4 and 5, 2009 at CRRA's offices, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103.

14. Contract Award

If the contracts are to be awarded, CRRA will issue to the successful Proposer(s) a Notice Of Award within one hundred twenty (120) days after the proposal due date.

CRRA reserves the right to correct inaccurate awards resulting from CRRA's errors. This may include, in extreme circumstances, revoking a Notice Of Award already made to a proposer and subsequently awarding the Notice Of Award to another proposer. Such action by CRRA shall not constitute a breach of this RFP by CRRA since the Notice Of Award to the initial proposer is deemed to be void ab initio and of no effect as if no Agreement ever existed between CRRA and the initial proposer.

15. Contractor's Certification Concerning Gifts

Pursuant to *Connecticut General Statutes* Section 4-252, the apparently successful Proposer(s) must submit a document certifying that it has not given any gifts to certain individuals between the date CRRA started planning the RFP and the date the Agreement is executed. If the apparently successful Proposer(s) does not execute the Certification, it will be disqualified for the Agreement. The dates between which the Proposer(s) may not give gifts and the identities of those to whom it may not give gifts are specified in the attachment to the Notice Of Award included in the RFP Package Documents (see Section 14 of the RFP Package Documents).

16. Proposer's Qualifications

CRRA may make any investigation deemed necessary to determine the ability of any proposer to perform the Services required. Each proposer shall furnish CRRA with all such information as may be required for this purpose.

17. Proposal Preparation And Other Costs

Each proposer shall be solely responsible for all costs and expenses associated with the preparation and/or submission of its proposal, or incurred in connection with any interviews and negotiations with CRRA, and CRRA shall have no responsibility or liability whatsoever for any such costs and expenses.

**REQUEST FOR PROPOSALS
FOR
INDEPENDENT AUDITING SERVICES**

**SECTION 3
NOTICE OF INTEREST FORM**



NOTICE OF INTEREST FORM

Individuals and firms that have an interest in the Connecticut Resources Recovery Authority ("CRRRA") solicitation listed below are encouraged to submit this Notice Of Interest Form to CRRRA as early as they can. Forms should be submitted no later than the date specified below. Request For Bids/Proposals/Qualifications documents and other information released by CRRRA related to the solicitation will be directly provided to those firms that have submitted this Form to CRRRA by the Form Due Date.

Solicitation:	Independent Auditing Services
RFP Number:	FY09-FA-002
Form Due Date:	3:00 p.m., Friday, March 13, 2009

Provide the following information about the individual/firm and the contact person for the firm.

Name of Individual/Firm:	
Name of Contact Person:	
Title of Contact Person:	
Mailing Address:	
Telephone Number:	
Fax Number:	
E-Mail Address:	

Submit this form to the CRRRA contact listed below via e-mail, fax or correspondence as listed below.

CRRRA Contact:	Ronald Gingerich
E-Mail Address:	<u>rgingerich@crra.org</u>
Fax Number:	(860) 757-7742
Correspondence Address:	Connecticut Resources Recovery Authority 100 Constitution Plaza, 6th Floor Hartford, CT 06103

**REQUEST FOR PROPOSALS
FOR
INDEPENDENT AUDITING SERVICES**

**SECTION 4
PROPOSAL FORM**



PROPOSAL FORM

PROJECT: General

RFP NUMBER: FY09-FA-002

CONTRACT FOR: Independent Auditing Services

**PROPOSALS
SUBMITTED TO:** Connecticut Resources Recovery Authority
100 Constitution Plaza, 6th Floor
Hartford, Connecticut 06103-1722

1. DEFINITIONS

Unless otherwise defined herein, all terms that are not defined and used in this Proposal Form (a "Proposal") shall have the same respective meanings assigned to such terms in the Contract Documents.

2. TERMS AND CONDITIONS

The undersigned (the "Proposer") accepts and agrees to all terms and conditions of the Request For Proposals, Instructions To Proposers, the Agreement and any Addenda to any such documents. This Proposal shall remain open and subject to acceptance for one hundred twenty (120) days after the proposal due date.

If CRRA issues a Notice Of Award to Proposer, Proposer shall within ten (10) days after the date thereof:

- (a) Execute and deliver to CRRA the two attached counterparts of the non-negotiable Agreement;
- (b) Execute and deliver to CRRA the Contractor's Certification Concerning Gifts;
- (c) Deliver to CRRA the requisite certificates of insurance;
- (d) Execute and deliver to CRRA all other Contract Documents attached to the Notice Of Award along with any other documents required by the Contract Documents; and

- (e) Satisfy all other conditions of the Notice Of Award.

3. PROPOSER'S OBLIGATIONS

Proposer proposes and agrees, if this Proposal is accepted by CRRA and CRRA issues a Notice Of Award to Proposer, to the following:

- (a) To perform, furnish and complete all the Services as specified or indicated in the Contract Documents and Agreement for the applicable prices, rates and/or costs set forth in this Proposal and in accordance with the terms and conditions of the Contract Documents and Agreement; and
- (b) At the request of CRRA and if the successful Proposer qualifies, to apply with the State of Connecticut Department of Administrative Services, and do all that is necessary to make itself qualify, as a Small Contractor and/or Minority/Women/Disabled Person Business Enterprise in accordance with Section 4a-60g of the *Connecticut General Statutes*.

4. PROPOSER'S REPRESENTATIONS CONCERNING NON-NEGOTIABILITY OF THE AGREEMENT

In submitting this Proposal, Proposer acknowledges and agrees that the terms and conditions of the Agreement (including all Exhibits thereto), as included in the RFP Package Documents, are non-negotiable, and Proposer is willing to and shall, if CRRA accepts its Proposal for the Services and issues a Notice Of Award to Proposer, execute such Agreement. However, CRRA reserves the right to negotiate with Proposer over Proposer's rates for the Services submitted on its Proposal Price And Payment Rate Schedule Form.

5. PROPOSER'S REPRESENTATIONS CONCERNING EXAMINATION OF CONTRACT DOCUMENTS

In submitting this Proposal, Proposer represents that:

- (a) Proposer has thoroughly examined and carefully studied the RFP Package Documents and the following Addenda, receipt of which is hereby acknowledged (list Addenda by Addendum number and date):

Addendum Number	Date Issued

- (b) Without exception the Proposal is premised upon performing, furnishing and completing the Services required by the Contract Documents and applying the specific means, methods, techniques, sequences or procedures (if any) that may be shown, indicated or expressly required by the Contract Documents;
- (c) Proposer is fully informed and is satisfied as to all Laws and Regulations that may affect cost, progress, performance, furnishing and/or completion of the Services;
- (d) Proposer has studied and carefully correlated Proposer's knowledge and observations with the Contract Documents and such other related data;
- (e) Proposer has given CRRA written notice of all conflicts, errors, ambiguities and discrepancies that Proposer has discovered in the Contract Documents and the written resolutions thereof by CRRA are acceptable to Proposer;
- (f) If Proposer has failed to promptly notify CRRA of all conflicts, errors, ambiguities and discrepancies that Proposer has discovered in the Contract Documents, such failure shall be deemed by both Proposer and CRRA to be a waiver to assert these issues and claims in the future;
- (g) Proposer is aware of the general nature of work to be performed by CRRA and others that relates to the Services for which this Proposal is submitted; and
- (h) The Contract Documents are generally sufficient to indicate and convey understanding by Proposer of all terms and conditions for performing, furnishing and completing the Services for which this Proposal is submitted.

6. PROPOSER'S REPRESENTATIONS CONCERNING INFORMATION MADE AVAILABLE

In submitting this Proposal, Proposer acknowledges and agrees that Proposer shall not use any information made available to it or obtained in any examination made by it in connection with this RFP in any manner as a basis or grounds for a claim or demand of any nature against CRRA arising from or by reason of any variance which may exist between information offered or so obtained and the actual materials, conditions, or structures encountered during performance of any of the Services.

7. PROPOSER'S REPRESENTATIONS CONCERNING STATE OF CONNECTICUT TAXES

In submitting this Proposal, Proposer acknowledges and agrees that CRRA is exempt from all State of Connecticut taxes and assessments, including sales and use taxes. Accordingly, Proposer shall not charge CRRA any State of Connecticut taxes or assessments at any time in connection with Proposer's performance of this Agreement, nor shall Proposer include any State of Connecticut taxes or assessments in any rates, costs, prices or other charges to CRRA hereunder. Proposer represents and warrants that no State of Connecticut taxes or

assessments were included in any rates, costs, prices or other charges presented to CRRA in any Proposal or other submittal to CRRA in connection with this RFP.

8. PROPOSER'S REPRESENTATIONS CONCERNING DISCLOSURE OF INFORMATION

In submitting this Proposal, Proposer:

- (a) Recognizes and agrees that CRRA is subject to the Freedom of Information provisions of the *Connecticut General Statutes* and, as such, any information contained in or submitted with or in connection with Proposer's Proposal is subject to disclosure if required by law or otherwise; and
- (b) Expressly waives any claim(s) that Proposer or any of its successors and/or assigns has or may have against CRRA or any of its directors, officers, employees or authorized agents as a result of any such disclosure.

9. PROPOSER'S REPRESENTATIONS CONCERNING NON-COLLUSION

By submission of this Proposal, the Proposer, together with any affiliates or related persons, the guarantor and any joint ventures, hereby represents that, under risk of termination of the Agreement, if awarded, to the best of its knowledge and belief:

- (a) The prices in the Proposal have been arrived at as the result of an independent business judgment without collusion, consultation, communication, agreement or otherwise for the purpose of restricting competition, as to any matter relating to such prices and any other person or company;
- (b) Unless otherwise required by law, the prices that have been quoted in this Proposal have not, directly or indirectly, been knowingly disclosed by the Proposer prior to "opening" to any other person or company;
- (c) No attempt has been made or will be made by the Proposer to induce any other person, partnership or corporation to submit, or not to submit, a Proposal for the purpose of restricting competition;
- (d) Proposer has not directly or indirectly induced or solicited any other Proposer to submit a false or sham Proposal; and
- (e) Proposer has not sought by collusion to obtain for itself any advantage for the Services over any other Proposer for the Services or over CRRA.

10. PROPOSER'S REPRESENTATIONS CONCERNING RFP FORMS

By submission of this Proposal, the Proposer, together with any affiliates or related business entities or persons, the guarantor and any joint ventures, hereby represents that, under risk of termination of the Agreement, if awarded, all of the forms included in the RFP Package Documents that are submitted to CRRA as part of its Proposal are identical in form

and content to the preprinted forms in the RFP Package Documents except that information requested by the forms has been inserted in the spaces on the forms provided for the insertion of such requested information.

11. PROPOSER'S WAIVER OF DAMAGES

Proposer and all its affiliates and subsidiaries understand that by submitting a Proposal, Proposer is acting at its and their own risk and Proposer does for itself and all its affiliates, subsidiaries, successors and assigns hereby waive any rights any of them may have to receive any damages for any liability, claim, loss or injury resulting from:

- (a) Any action or inaction on the part of CRRA or any of its directors, officers, employees or authorized agents concerning the evaluation, selection, non-selection and/or rejection of any or all Proposals by CRRA or any of its directors, officers, employees or authorized agents;
- (b) Any agreement entered into for the Services (or any part thereof) described in the Contract Documents; and/or
- (c) Any award or non-award of a contract for the Services (or any part thereof) pursuant to the Contract Documents.

12. PROPOSER'S REPRESENTATION REGARDING THE CONNECTICUT CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

With regard to a State contract as defined in P.A. 07-1 having a value in a calendar year of \$50,000 or more or a combination or series of such agreement or contracts having a value of \$100,000 or more, the authorized signatory to this submission in response to CRRA's solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising prospective state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See Section 13 [SEEC Form 11] of the Contract Documents.

13. ATTACHMENTS

The following documents are attached hereto and made a part of this Proposal:

- (a) The completed Proposal Price And Payment Rate Schedule Form;
- (b) The completed References Form;
- (c) The completed Background And Experience Form;
- (d) The completed Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety;
- (e) The completed Affidavit Of Third Party Fees that has been signed before a Notary Public or Commissioner of the Superior Court;

- (f) The completed Certification Concerning Nondiscrimination, with the Proposer's nondiscrimination policies and procedures attached;
- (g) The completed Background Questionnaire that has been signed before a Notary Public or Commissioner of the Superior Court;
- (h) Answers to the Issues And Questions To Be Addressed, with a written answer provided to each question and each answer beginning on a new page;
- (i) A copy of the proposer's up-to-date certificate of insurance showing all current insurance coverage; and
- (j) A copy of the proposer's latest Peer Review.

14. NOTICES

Communications concerning this Proposal should be addressed to Proposer at the address set forth below.

Proposer Name:	
Proposer Contact:	
Title:	
Address:	
Telephone Number:	
Fax Number:	
E-Mail Address:	

15. ADDITIONAL REPRESENTATION

Proposer hereby represents that the undersigned is duly authorized to submit this Proposal on behalf of Proposer.

[REMAINDER OF PAGE INTENTIONALLY LEFT BLANK]

[SIGNATURE PAGE FOLLOWS]

AGREED TO AND SUBMITTED ON _____, 2009

Name of Proposer (Firm):	
Signature of Proposer Representative:	
Name (Typed/Printed):	
Title (Typed/Printed):	

**REQUEST FOR PROPOSALS
FOR
INDEPENDENT AUDITING SERVICES**

SECTION 5

**PROPOSAL PRICE AND PAYMENT RATE
SCHEDULE FORM**



PROPOSAL PRICE AND PAYMENT RATE SCHEDULE FORM

Name of Proposer:	
Name of RFP	Independent Auditing Services

Each Proposer must submit the information requested on the forms on this and the following pages.

CRRA expects to execute fixed fee contracts for the Services outlined in Section 1 of the Scope Of Services (**Exhibit A** of the Agreement). CRRA anticipates that, in addition to the Services specified in Section 1 of **Exhibit A** of the Agreement, it may require the additional Services specified in Section 2 of **Exhibit A** of the Agreement. If CRRA, at its sole and absolute discretion, determines that it does require the additional Services specified in Section 2 of **Exhibit A** of the Agreement, it will issue a Request For Services in the form specified in **Exhibit B** of the Agreement for such Services.

1. Fixed Fee Services

In the form below, indicate the amount proposed as annual compensation to perform, furnish and complete all of the Services specified in Section 1 of **Exhibit A** of the Agreement.

Period	Proposed Fixed Fee Compensation
Fiscal Year 2009 Audit (June 1, 2009 through March 31, 2010)	\$
Fiscal Year 2010 Audit (April 1, 2010 through March 31, 2011)	\$
Fiscal Year 2011 Audit (April 1, 2011 through March 31, 2012)	\$

Proposer affirms that the total proposal price above represents the entire cost to complete the Services specified in Section 1 of **Exhibit A** of the Agreement in accordance with the Contract Documents, and that no claim will be made on account of any increase in wage scales, material prices, delivery delays, taxes, insurance, cost indexes or any other rates affecting this Project, and that each and every such claim is hereby expressly waived by Proposer.

Name of Proposer (Firm):	
Signature of Proposer Representative:	
Name (Type/Print):	
Title:	
Date:	

2. Work Governed By Requests For Services

Services provided as a result of a Request For Services shall be reimbursed on a time and materials basis. CRRA makes no commitment that the Services specified in Section 2 of **Exhibit A** of the Agreement or any other services provided pursuant to a Request For Services will be undertaken. In any event, these services will be separate from those services covered by the annual Fixed Fees.

2.1 Personnel Billing Rates

On Page 3 of this Form, Proposer must list the staff level, title and hourly billing rates for each staff level of personnel in its firm who will be assigned to work with CRRA on the project.

2.2 Ancillary Service Rates

On Page 4 of this Form, Proposer must provide the rates at which ancillary services are billed, including, but not limited to:

- Travel in firm-owned vehicle (per mile);
- Any other services (excluding telephones) for which the bidder routinely bills.

**REQUEST FOR PROPOSALS
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**SECTION 6
REFERENCES FORM**



REFERENCES FORM

In space below, provide the names of three (3) references who can attest to the quality of work performed/services provided by Bidder/Proposer. Include job title, affiliation, address, phone number and a brief description of the work performed/services provided for each reference.

REFERENCE 1

Name of Person:	
Title:	
Name of Firm:	
Address:	
Telephone Number:	
Description Of Work Performed:	

REFERENCE 2

Name of Person:	
Title:	
Name of Firm:	
Address:	
Telephone Number:	
Description Of Work Performed:	

REFERENCE 3

Name of Person:	
Title:	
Name of Firm:	
Address:	
Telephone Number:	
Description Of Work Performed:	

**REQUEST FOR PROPOSALS
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**SECTION 7
BACKGROUND AND EXPERIENCE FORM**



BACKGROUND AND EXPERIENCE FORM

In the space below, summarize work performed/services provided of a similar nature to that specified in the Contract Documents which has been performed by the bidder/proposer and which will enable CRRA to evaluate the experience and professional capabilities of the bidder/proposer.

[Attach Additional Pages If Necessary]

[Empty space for bidder/proposer to provide background and experience information]

**REQUEST FOR PROPOSALS
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**SECTION 8
QUESTIONNAIRE CONCERNING AFFIRMATIVE
ACTION, SMALL BUSINESS CONTRACTORS
AND OCCUPATIONAL HEALTH AND SAFETY**



**QUESTIONNAIRE CONCERNING AFFIRMATIVE
ACTION, SMALL BUSINESS CONTRACTORS AND
OCCUPATIONAL HEALTH AND SAFETY**

Because CRRA is a political subdivision of the State of Connecticut, it is required by various statutes and regulations to obtain background information on prospective contractors prior to entering into a contract. The questions below are designed to assist CRRA in procuring this information. Many of the questions are required to be asked by RCSA 46a-68j-31. For the purposes of this form, "Contractor" means Bidder or Proposer, as appropriate.

	Yes	No
1. Is the Contractor an Individual? <i>If you answered "Yes" to Question 1, skip to Question 2. If you answered "No" to Question 1, proceed to Question 1A and then to Question 2.</i>	<input type="checkbox"/>	<input type="checkbox"/>
1A. How many employees does the Contractor have? <input type="text"/>		
2. Is the Contractor a Small Contractor based on the criteria in Schedule A? <i>If you answered "Yes" to Question 2, proceed to Question 2A and then to Question 3. If you answered "No" to Question 2, skip to Question 3.</i>	<input type="checkbox"/>	<input type="checkbox"/>
2A. Is the Contractor registered with the DAS as a Certified Small Business? <i>If you answered "Yes" to Question 2A, please provide a copy of your Set-Aside Certificate.</i>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is the Contractor a MWDP Business Enterprise based on the criteria in Schedule B? <i>If you answered "Yes" to Question 3, proceed to Question 3A and then to Question 4. If you answered "No" to Question 3, skip to Question 4.</i>	<input type="checkbox"/>	<input type="checkbox"/>
3A. Is the Contractor registered with DAS as a MWDP Small Business?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the Contractor have an Affirmative Action Plan? <i>If you answered "Yes" to Question 4, proceed to Question 4A and then to Question 5. If you answered "No" to Question 4, skip to Question 4B and then to Question 5.</i>	<input type="checkbox"/>	<input type="checkbox"/>
4A. Has the Affirmative Action Plan been approved by the CHRO?	<input type="checkbox"/>	<input type="checkbox"/>
4B. Will the Contractor develop and implement an Affirmative Action Plan?	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the Contractor have an apprenticeship program complying with RCSA 46a-68-1 through 46a-68-17?	<input type="checkbox"/>	<input type="checkbox"/>
6. Has the Contractor been cited for three or more willful or serious violations of any occupational safety and health act?	<input type="checkbox"/>	<input type="checkbox"/>
7. Has the Contractor received one or more criminal convictions related to the injury or death of any employee in the three-year period preceding the issuance of this Request For Bids/Proposals/Qualifications?	<input type="checkbox"/>	<input type="checkbox"/>
8. Has the Contractor been the recipient of one or more ethical violations from the State of Connecticut Ethics Commission during the three-year period preceding the issuance of this Request For Bids/Proposals/Qualifications?	<input type="checkbox"/>	<input type="checkbox"/>
9. Will subcontractors be involved? <i>If you answered "Yes" to Question 9, proceed to Question 9A. If you answered "No" to Question 9, you are finished with the questionnaire.</i>	<input type="checkbox"/>	<input type="checkbox"/>
9A. How many subcontractors will be involved? <input type="text"/>		

LIST OF ACRONYMS

RCSA	–	Regulations of Connecticut State Agencies
CHRO	–	State of Connecticut Commission on Human Rights and Opportunities
DAS	–	State of Connecticut Department of Administrative Services
MWDP	–	Minority/Women/Disabled Person

FOOTNOTE

- ¹ If the Contract is a "public works contract" (as defined in Section 46a-68b of the Connecticut General Statutes), the dollar amount exceeds \$50,000.00 in any fiscal year, and the Contractor has 50 or more employees, the Contractor, in accordance with the provisions of Section 46a-68c of the Connecticut General Statutes, shall develop and file an affirmative action plan with the Connecticut Commission on Human Rights and Opportunities.

SCHEDULE A CRITERIA FOR A SMALL CONTRACTOR

Contractor must meet all of the following criteria to qualify as a Small Contractor:

1. Has been doing business and has maintained its principal place of business in the State for a period of at least one year immediately preceding the issuance of the Request For Bids/Proposals/Qualifications;
2. Has had gross revenues not exceeding ten million dollars in the most recently completed fiscal year;
3. Is headquartered in Connecticut; and,
4. At least 51% of the ownership of the Contractor is held by a person or persons who are active in the daily affairs of the business and have the power to direct the management and policies of the business.

SCHEDULE B CRITERIA FOR A MINORITY/WOMAN/DISABLED PERSON BUSINESS ENTERPRISE

Contractor must meet all of the following criteria to qualify as a Minority/Woman/Disabled Person Business Enterprise:

1. Satisfies all of the criteria in Schedule A for a Small Contractor;
2. 51% or more of the business and/or its assets must be owned by a person or persons who are minorities as defined in Connecticut General Statutes Section 32-9n (please see below) or is an individual with a disability;
3. The Minority/Woman/Disabled Person must have the power to change policy and management of the business; and,
4. The Minority/Woman/Disabled Person must be active in the day-to-day affairs of the business.

CONNECTICUT GENERAL STATUTES SECTION 32-9n

Sec. 32-9n. Office of Small Business Affairs. (a) There is established within the Department of Economic and Community Development an Office of Small Business Affairs. Such office shall aid and encourage small business enterprises, particularly those owned and operated by minorities and other socially or economically disadvantaged individuals in Connecticut. As used in this section, minority means: (1) Black Americans, including all persons having origins in any of the Black African racial groups not of Hispanic origin; (2) Hispanic Americans, including all persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race; (3) all persons having origins in the Iberian Peninsula, including Portugal, regardless of race; (4) women; (5) Asian Pacific Americans and Pacific islanders; or (6) American Indians and persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identification.

**REQUEST FOR PROPOSALS
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**SECTION 9
AFFIDAVIT OF THIRD PARTY FEES**



**AFFIDAVIT OF THIRD PARTY FEES
(Form A2)**

All Bidders/Proposers must complete and properly execute this Affidavit of Third Party Fees. The purpose of this Affidavit is to ascertain if the Bidder/Proposer has made or promised any payment to a third party attributable to this Agreement. If no such payment has been made or promised, Bidder/Proposer should write "None" in the first box in the table and execute this Affidavit. For purposes of the Affidavit, Bidder's/Proposer's subcontractors, if any, are not considered third parties.

I, _____, a duly authorized officer and/or representative
of _____ (firm name)
(the "Consultant"), being duly sworn, hereby depose and say that:

1. I am over eighteen (18) years of age and believe in the obligations of an oath;
2. Consultant seeks to enter into the Independent Auditing Services Agreement (the "Agreement") with the Connecticut Resources Recovery Authority; and
3. All third party fees and agreements to pay third party fees attributable to the "Agreement" are as follows:

Name Of Payee	Dollar Amount Paid Or Value Of Non-Cash Compensation <u>AND</u> Date	Fee Arrangement	Specific Services Performed Or To Be Performed By Payee ¹

(Attach additional copies of this page as necessary.)

NOTE: For each third party fee arrangement described above (if any), complete the attached Form A2a.

4. The information set forth herein is true, complete and accurate to the best of my knowledge and belief under penalty of perjury.

Signed: _____
 Name (Print): _____
 Title: _____

Sworn to before me this _____ day of _____ 200 9

Notary Public/Commissioner of the Superior Court

¹ Please attach documents evidencing the terms of the fee arrangement and services.



**ADDENDUM TO
AFFIDAVIT OF THIRD PARTY FEES
(Form A2a)**

For each third party fee arrangement disclosed in the attached Affidavit, please explain whether and how each such payment falls within one or more of the following categories of compensation:

- (1) Compensation earned for the rendering of legal services when provided by an attorney while engaged in the ongoing practice of law;
- (2) Compensation earned for the rendering of investment services, other than legal services, when provided by an investment professional while engaged in the ongoing business of providing investment services;
- (3) Compensation for placement agent, due diligence or comparable tangible marketing services when paid to a person who is an investment professional (i) engaged in the ongoing business of representing providers of investment services, or (ii) in connection with the issuance of bonds, notes or other evidence of indebtedness by a public agency;
- (4) Compensation earned by a licensed real estate broker or real estate salesperson while engaging in the real estate business on an ongoing basis; or
- (5) Payments for client solicitation activities meeting the requirements of Rule 206(4)-3 under the Investment Advisers Act of 1940.

Attach additional pages as necessary.

**REQUEST FOR PROPOSALS
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**SECTION 10
CERTIFICATION CONCERNING
NONDISCRIMINATION**



**CERTIFICATION CONCERNING
NONDISCRIMINATION**

(This certification must be executed by an individual or business entity submitting a bid/proposal to the Connecticut Resources Recovery Authority regarding support of nondiscrimination against persons on account of their race, color, religious creed, age, marital or civil union status, national origin, ancestry, sex, mental retardation, physical disability or sexual orientation.).

I, _____, a duly authorized officer and/or representative
of _____ (firm name)
(the "Consultant"), hereby certify that:

1. Consultant seeks to enter into the Independent Auditing Services Agreement (the "Agreement") with the Connecticut Resources Recovery Authority; and
2. In carrying out its obligation under the Agreement, Consultant will abide by the nondiscrimination agreements and warranties required under Connecticut General Statutes Sections 4a-60(a)(1) and 4a-60a(a)(1), as amended in State of Connecticut Public Act 07-245 and Sections 9(a)(1) and 10(a)(1) of Public Act 07-142; and
3. Attached are the policies and procedures concerning nondiscrimination, which have not been modified or rescinded, adopted by the appropriate governing body or management of Consultant; and
4. The information set forth herein is true, complete and accurate to the best of my knowledge and belief.

IN WITNESS WHEREOF, the undersigned has executed this certificate this

_____ day of _____ 200 9

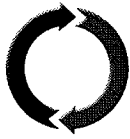
By (Signature): _____

Name (Print): _____

Title: _____

**REQUEST FOR PROPOSALS
FOR
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**SECTION 11
BACKGROUND QUESTIONNAIRE**



**BIDDER'S/PROPOSER'S BACKGROUND
QUESTIONNAIRE**

Please answer the following questions by placing an "X" in the appropriate box.

	Yes	No
<p>1. Has the Bidder/Proposer or any of its principals, owners, officers, partners, directors or stockholders holding more than 50% of the stock of the Bidder/Proposer ever been the subject of a criminal investigation?</p> <p><i>If you answered "Yes" to Question 1, proceed to Question 1A and, on a separate sheet of paper, state the following: the court in which the investigation is taking or took place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; and the identity of the person or entity involved.</i></p> <p><i>If you answered "No" to Question 1, proceed to Question 2.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>1A. Has any indictment arisen out of any such investigation?</p> <p><i>If you answered "Yes" to Question 1A, proceed to Question 2 and, on a separate sheet of paper, state the following: the name of the person or entity indicted; and the status of any such indictment.</i></p> <p><i>If you answered "No" to Question 1A, proceed to Question 2.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>2. Has the Bidder/Proposer or any of its principals, owners, officers, partners, directors or stockholders holding more than 50% of the stock of the Bidder/Proposer ever been the subject of a civil investigation?</p> <p><i>If you answered "Yes" to Question 2, proceed to Question 3 and, on a separate sheet of paper, state the following: the court or other forum in which the investigation took or is taking place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; the identity of the person or entity involved; and the status of the investigation.</i></p> <p><i>If you answered "No" to Question 2, proceed to Question 3.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>3. Has any entity (e.g., corporation, partnership, etc.) in which a principal, owner, officer, partner, director or stockholder of the Bidder/Proposer has an ownership interest in excess of 50% in such entity ever been the subject of a criminal investigation?</p> <p><i>If you answered "Yes" to Question 3, proceed to Question 3A and, on a separate sheet of paper, state the following: the court in which the investigation is taking or took place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; and the identity of the person or entity involved.</i></p> <p><i>If you answered "No" to Question 3, proceed to Question 4.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>3A. Has any indictment arisen out of any such investigation?</p> <p><i>If you answered "Yes" to Question 3A, proceed to Question 4 and, on a separate sheet of paper, state the following: the name of the person or entity indicted; and the status of any such indictment.</i></p> <p><i>If you answered "No" to question 3A, proceed to Question 4.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>4. Has any entity (e.g., corporation, partnership, etc.) in which a principal, owner, officer, partner, director or stockholder of the Bidder/Proposer has an ownership interest in excess of 50% in such entity ever been the subject of a civil investigation?</p> <p><i>If you answered "Yes" to Question 4, on a separate sheet of paper state the following: the court in which the investigation is taking or took place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; the identity of the person or entity involved; and the status of the investigation.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
5. Has the Bidder/Proposer or any of its principals, owners, officers, partners, directors or stockholders holding more than 50% of the stock of the Bidder/Proposer ever been debarred from bidding on, or otherwise applying for, any contract with the State of Connecticut or any other governmental authority? <i>If you answered "Yes" to Question 5, on a separate sheet of paper please explain.</i>	<input type="checkbox"/>	<input type="checkbox"/>

Signature: _____
 Name (print/type): _____
 Title: _____
 State Of: _____
 County Of: _____

_____, being fully sworn, deposes and says that he/she is the _____ (Title) of _____ (Firm Name), the Bidder/Proposer herein, that he/she has provided answers to the foregoing questions on the Bidder's/Proposer's background, and, under the penalty of perjury, certifies that each and every answer is true.

Sworn to before me this _____ day of _____ 200 9

 Notary Public/Commissioner of the Superior Court

**REQUEST FOR PROPOSALS
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**SECTION 12
ISSUES AND QUESTIONS TO BE ADDRESSED**

ISSUES AND QUESTIONS TO BE ADDRESSED

INSTRUCTIONS: Complete, written answers must be provided to each of the following issues/questions and each answer must begin on a new page.

1. Comment on your ability to commit to the following Audit Schedule.

FY 09 Audit Schedule

Commencement of audit fieldwork	August 10, 2009
Audit fieldwork completed	Week of August 17, 2009
Deliver draft Audit Report to Finance Chairperson and CFO	September 7, 2009
Audit presentation for Finance Committee	September 17, 2009
Attend Board of Directors meeting	September 24, 2009
Delivery Audit Report to State Comptroller	September 30, 2009
Management Letter and discussion with Finance Committee	October 2009

2. Provide a brief description of the background and experience of the individuals in your firm who would be assigned to work with CRRA. Indicate their probable areas of responsibility and the percentage of their time which would be available to assist CRRA.
3. Describe your firm's experience with governmental entities, resource recovery entities or organizations similar to CRRA during the past five years.
4. Provide an outline of your firm's research and analytical capabilities.
5. Provide the following information on your firm's audit approach:
 - (a) Proposed segmentation of the engagement;
 - (b) Level of staff and number of hours to be assigned to each proposed segment of the engagement;
 - (c) Extent of use of computer software in the engagement;
 - (d) Approach to be taken in determining laws and regulations that will be subject to the audit test work;
 - (e) Ability to meet required filing deadlines; and
 - (f) Ability to provide electronic versions of audited financial statements.

6. Disclose and describe in detail any potential or actual conflicts of interest that your firm may or does have with CRRA.
7. If your firm has advised or been engaged by any of the organizations listed on the attached "CRRA Vendors FY 2008" (or their subsidiaries or affiliates), list the name of the organization and the matter(s) on which your firm represented the organization. Representation of these clients will not necessarily result in disqualification from work with CRRA. The nature and extent of the representation of such clients, appropriate conflict of interest rules and the nature and extent of proposed representation of CRRA will be considered.
8. Indicate what particular or special qualifications distinguish your firm and make it appropriate to provide independent auditing services to CRRA.

FISCAL YEAR 2008 VENDORS PAID \$5,000 OR MORE

A & A OFFICE SOLUTIONS
A J BELLIVEAU RAILROAD CONSTRUCTION INC
AAD ASSOCIATES LLC
AAF INTERNATIONAL
ABM JANITORIAL NE INC
ADP INC
AFLAC WORLD HEADQUARTERS
ALL WASTE INC
ALTERNATIVE RESOURCES, INC
AMANDI SERVICES
AMERICAN EXPRESS
AMERICAN INDUSTRIES, INC.
AMERICAN ROTOR CO., INC.
AMERITAS LIFE INSURANCE CORP
ANCHOR ENGINEERING SERVICES INC
AON RISK SERVICES INC OF WASHINGTON DC
AT&T
B G MECHANICAL SERVICE INC
BALLARD SPAHR ANDREWS & INGERSOLL, LLP
BANK OF AMERICA
BERGERON RUBBISH & TRASH SERVICE
BODE EQUIPMENT COMPANY
BOTTICELLO INC
BROWN RUDNICK BERLACK ISRAELS LLP
BRRFOC
BUSCH SYSTEMS INTERNATIONAL, INC.
C K ENVIRONMENTAL INC
CAPITOL CLEANING CONTRACTORS INC
CARLIN CHARRON & ROSEN LLP
CDW GOVERNMENT INC
CENTRAL CONSTRUCTION INDUSTRIES LLC
CERIDIAN BENEFIT SERVICES
CITY CARTING INC
CITY OF BRIDGEPORT
CITY OF HARTFORD
CITY OF NORWALK
CITY SIGN INC
CME ASSOCIATES, INC.
COHN BIRNBAUM & SHEA
COLONIAL PAVING CO. OF EAST HARTFORD
CONN COMMUNITY PROVIDERS ASSOC
CONN CONSTITUTION ASSOCIATES LLC
CONN DEPT OF ENVIRONMENTAL
CONN INTERLOCAL RISK MGMT AGCY
CONN NATURAL GAS CORPORATION
CONN POST ADV LGL NTC
CONN RIVER ESTUARY REGL PLAN. AGENCY
CONN ST OF COMM REVENUE SERVICES
CONNECTICARE, INC.
CONSTRUCTION NETWORK SERVICES, INC.
COPE RUBBISH REMOVAL
COVANTA MID-CONN INC
COVANTA PROJECTS OF WALLINGFORD LP
COVANTA SOUTHEASTERN CT
CRAIN COMMUNICATIONS INC
CUBITT JACOBS & PROSEK LLC
CWPM LLC
D W TRANSPORT AND LEASING INC
DELL MARKETING LP
DHL EXPRESS (USA) INC
DIVERSIFIED ENVIRONMENTAL SERVICES, INC
DIVERSIFIED TECHNOLOGY CONSULT., INC.
DMJM+HARRIS INC
DVIRKA & BARTILUCCI CONSULT. ENGINEERS
E. T. & L. CORPORATION
EAST COAST LINER CO
ECO INTERNATIONAL, LLC
ECO OPERATIONS INC
ENVIRONMENTAL CAPITAL LLC
ENVIRONMENTAL SERVICES INC
EPICOR SOFTWARE CORPORATION
FCR INC
FEDERAL EXPRESS CORP
FIDELITY INVESTMENTS
FINN DIXON & HERLING LLP
FUSS AND ONEILL INC
G. L. CAPASSO, INC.
GEORGE E. SANSOUCY, PE, LLC
GRAINGER
GRAPHIC IMAGE, INC
GRILLO ENGINEERING CO
GZA GEOENVIRONMENTAL
H O PENN MACHINERY CO INC
HALLORAN AND SAGE LLP
HARTFORD COURANT ADVERT LEGAL NOTICE
HAZ-PROS INC.
HDR ENGINEERING INC
HENEGHAN KENNEDY & DOYLE LLC
HERB HOLDEN TRUCKING INC
HOOKER & HOLCOMBE INVESTMENT ADVISORS
HORTON INTERNATIONAL LLC
HRP ASSOCIATES INC
I & C SYSTEMS ENGINEERING
INFINITY CONSTRUCTORS, INC.
IRON MOUNTAIN INCORPORATED
ISO NEW ENGLAND INC
JKL TECHNOLOGIES, LLC
JOHN WATTS ASSOCIATES
JV III CONSTRUCTION, INC.
KAINEN ESCALERA & MCHALE PC
KINNEY/CENTRAL PARKING SYSTEM OF CT INC
KLEINSCHMIDT ASSOCIATES
KNAPP ENGINEERING PC
LA VOZ HISPANA
LANDSEN CONSTRUCTION CORP
LAUREN STAFFING SERVICES
LEGGETTE, BRASHEARS & GRAHAM, INC.
LINDA COHAN, MSW, CSC
LYDON MILLWERIGHT SERVICES, INC.
M FRANK HIGGINS & CO, INC
MAINTENANCE TECHNOLOGIES INTERN'L
MALCOLM PIRNIE INC