



**CONNECTICUT
RESOURCES
RECOVERY
AUTHORITY**

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

FOR

**INDEPENDENT AUDITING SERVICES
(RFP Number FY12-FA-002)**

PROPOSAL DUE DATE: February 15, 2012

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

January 9, 2012

REQUEST FOR PROPOSALS
For
INDEPENDENT AUDITING SERVICES
(RFP Number FY12-FA-002)

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

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 - Exhibit G: Affidavit Concerning Nondiscrimination
 - Exhibit H: Affidavit Concerning Consulting Fees
 - Exhibit I: Contractor's Certification Concerning Gifts [to be executed by successful proposer]
 - Exhibit J: CRRRA President's Certification Concerning Gifts

**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

CRRA is a quasi-public entity, a body politic and corporate, created pursuant to C.G.S. Chapter 446e, Section 22a-261, as a public instrumentality and political subdivision of the State of Connecticut (the "State"). CRRA has the responsibility for developing and implementing environmentally sound solutions and best practices for solid waste disposal and recycling on behalf of, and in the best interests of the municipalities and residents of the State of Connecticut. CRRA oversees a statewide network of three regional waste-to-energy systems, a single-stream recycling facility, five transfer stations, and five landfills.

CRRA is requesting proposals from qualified firms to conduct annual audits of all of CRRA's basic financial statements for the fiscal years ending June 30, 2012, June 30, 2013 and June 30, 2014 and to provide other accounting services as specified. This agreement will commence June 1, 2012 and continue through March 31, 2015.

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, January 9, 2012**. 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 Roger Guzowski [(860) 757-7703] at least 24 hours in advance. There is a charge of \$25.00 for anyone picking up the documents at CRRA's office. Payment should be made by check payable to "Connecticut Resources Recovery Authority."

CRRA encourages firms and individuals interested in this RFP to submit a Notice Of Interest Form to CRRA **by 3:00 p.m., Friday, February 3, 2012**. 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., Wednesday, February 15, 2012. 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.

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.

All questions regarding this RFB must be submitted **in writing** to Roger Guzowski, Contract and Procurement Manager, by e-mail (rguzowski@crra.org) by fax (860) 757-7742), or by correspondence (CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103) no later than **Friday February 3, 2012**. Any firm considering submitting a proposal is prohibited from having any communications about this RPF or any resulting contract with any CRRA staff member or CRRA Board member except Mr. Guzowski.

**REQUEST FOR PROPOSALS
FOR
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**SECTION 2
INSTRUCTIONS TO PROPOSERS**

INSTRUCTIONS TO PROPOSERS

INDEPENDENT AUDITING SERVICES

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1. Introduction

CRRA is a quasi-public entity, a body politic and corporate, created pursuant to C.G.S. Chapter 446e, Section 22a-261, as a public instrumentality and political subdivision of the State of Connecticut (the "State"). CRRA has the responsibility for developing and implementing environmentally sound solutions and best practices for solid waste disposal and recycling on behalf of, and in the best interests of the municipalities and residents of the State of Connecticut. CRRA oversees a statewide network of three regional waste-to-energy systems, a single-stream recycling facility, five transfer stations, and five landfills.

CRRA is requesting proposals from qualified firms to perform independent auditing services for Fiscal Years 2012, 2013 and 2014. The contract period will be from April 1, 2012 through March 31, 2015.

2. RFP Projected Timeline

The following is the projected timeline for the RFP process:

ITEM	DATE
RFP Documents Available	Monday, January 9, 2012
Notice of Interest Forms Due at CRRA	3:00 p.m., Friday, February 3, 2012
Deadline for Written Questions	3:00 p.m., Friday, February 3, 2012
Response to Written Questions	No Later Than Wednesday, February 8, 2012
Proposals Due at CRRA	3:00 p.m., Wednesday, February 15, 2012
Interviews with Selected Proposers	Monday and Tuesday, March 5 and 6, 2012
Expected start date of agreement	April 1, 2012

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. Required Proposal Forms (as follows);
 - 4.1. Proposal Form;
 - 4.2. Issues and Questions To Be Addressed Form;
 - 4.3. Proposal Price And Payment Rate Schedule Form;
 - 4.4. Firm Background And Experience Form;
 - 4.5. Personnel Background And Experience Form;
 - 4.6. References Form;
 - 4.7. Questionnaire Concerning Affirmative Action, Small Business Contractors, And Occupational Health And Safety;
 - 4.8. Affidavit of Third Party Fees;
 - 4.9. Business Disclosure Form;
 - 4.10. Affidavit Concerning Nondiscrimination
 - 4.11. Background Questionnaire
 - 4.12. SEEC Form 11, Notice To Executive Branch State Contractors And Prospective State Contractors of Campaign Contribution And Solicitation Ban
 - 5. Notice Of Award, with Contractor's Certification Concerning Gifts attached [to be executed by successful proposer]; and
 - 6. Independent Auditing Services Agreement, including:
 - Exhibit A: Scope Of Services;
 - Exhibit B: Request For Services Standard Format;
 - Exhibit C: Compensation Schedule;
 - Exhibit D: CRRA's Travel And Expense Policy;
 - Exhibit E: SEEC Form 11, Notice To Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban;
 - Exhibit F: Affidavit Of Third Party Fees;
 - Exhibit G: Affidavit Concerning Nondiscrimination;
 - Exhibit H: Affidavit Concerning Consulting Fees
 - Exhibit I: Contractor's Certification Concerning Gifts; and
 - Exhibit J: 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 Fiscal Years 2012, 2013 and 2014. The contract period will be from April 1, 2012 through March 31, 2015.

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, January 9, 2012 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 RFB Package Documents are also available Monday through Friday, from 8:30 a.m. to 4:30 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 Roger Guzowski [(860) 757-7703] at least 24 hours in advance. There is a charge of \$25.00 for anyone picking up the documents at CRRA's office. Payment should be made by check to "Connecticut Resources Recovery Authority."

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, February 3, 2012**. 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 Roger Guzowski by e-mail rguzowski@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, February 3, 2012.**

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, Wednesday, February 15, 2012 at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, Attn: Roger Guzowski. 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 three 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 6 of the RFP Package Documents), 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 4.3 of the RFP Package Documents);
- (f) The completed Firm Background And Experience Form (section 4.4 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;

- (g) The completed Personnel Background And Experience Form (section 4.5 of the RFB Package Documents);
- (h) The completed References Form (Section 4.6 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;
- (i) The completed Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety form (Section 4.7 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;
- (j) The completed Affidavit Of Third Party Fees form (subscribed and sworn before a Notary Public or Commissioner of the Superior Court) (Section 4.8 of the RFP Package Documents);
- (k) The completed Business Disclosure Form (Section 4.9 of the RFP Package Documents);
- (l) The completed Affidavit Concerning Nondiscrimination (Section 4.10 of the RFP Package Documents), with the Proposer's policies and procedures addressing nondiscrimination attached;
- (m) The completed Proposer's Background Questionnaire (subscribed and sworn before a Notary Public or Commissioner of the Superior Court) (Section 4.11 of the RFP Package Documents);
- (n) A copy of the proposer's up-to-date certificate of insurance showing all current insurance coverage;
- (o) 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 4.7 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 4.7 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 4.7 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, March 5 and 6, 2012 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. Affidavit Concerning Consulting Fees

Pursuant to *Connecticut General Statutes* Section 4a-81, the apparently successful Bid submitter(s) must submit an affidavit stating that, except as specified in the affidavit, it has not entered into any contract with a consultant in connection with the RFP whereby any duties of the consultant pursuant to the contract require the consultant to pursue communications concerning the business of CRRA, whether or not direct contract with CRRA was expected or made (see Exhibit H of the Agreement).

16. 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 Contractor's Certification Concerning Gifts (see Exhibit I of the Agreement).

17. 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.

18. 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 ("CRRA") solicitation listed below are encouraged to submit this Notice Of Interest Form to CRRA 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 CRRA related to the solicitation will be directly provided to those firms that have submitted this Form to CRRA by the Form Due Date.

Solicitation:	Independent Auditing Services
RFP Number:	FY12-FA-002
Form Due Date:	3:00 p.m., Friday, February 3, 2012

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 CRRA contact listed below via e-mail, fax or correspondence as listed below.

CRRA Contact:	Roger Guzowski
E-Mail Address:	<u>rguzowski@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
REQUIRED PROPOSAL FORMS**



PROPOSAL FORM

PROJECT: General
RFP NUMBER: FY12-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 Exhibit E of the Agreement [SEEC Form 11] in the Contract Documents.

13. ATTACHMENTS

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

- (a) 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;
- (b) The completed Proposal Price And Payment Rate Schedule Form;
- (c) The completed Firm Background And Experience Form;
- (d) The completed Personnel Background And Experience Form;
- (e) The completed References Form;
- (f) The completed Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety;

- (g) The completed Affidavit Of Third Party Fees that has been signed before a Notary Public or Commissioner of the Superior Court;
- (h) The completed Business Disclosure Form;
- (i) The completed Affidavit Concerning Nondiscrimination, with the Proposer's nondiscrimination policies and procedures attached;
- (j) The completed Background Questionnaire that has been signed before a Notary Public or Commissioner of the Superior Court;
- (k) A copy of the proposer's up-to-date certificate of insurance showing all current insurance coverage; and
- (l) 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 _____, 2012

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



ISSUES AND QUESTIONS TO BE ADDRESSED FORM

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 12 Audit Schedule

Commencement of audit fieldwork	August 13, 2012
Audit fieldwork completed	Week of August 20, 2012
Deliver draft Audit Report to Finance Chairperson and CFO	September 17, 2012
Audit presentation for Finance Committee	September 20, 2012
Attend Board of Directors meeting	September 27, 2012
Delivery Audit Report to State Comptroller	October 1, 2012
Management Letter and discussion with Finance Committee	October 2012

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 (via RFP Exhibit 9: Business Disclosure Form)
 7. If your firm has advised or been engaged by any of the organizations on the list of “CRRA Vendors FY 2011” on pages 4 through 6 of RFP Exhibit 9: Business Disclosure Form (or their subsidiaries or affiliates), list the name of the organization and the matter(s) on which your firm represented the organization as detailed in section 3 of that Form. 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 you firm and make it appropriate to provide independent auditing services to CRRA.



**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 annual fee contracts for the Services outlined in Section 1 and Section 2 of the Scope Of Services (**Exhibit A** of the Agreement). CRRA anticipates that, in addition to the Services specified in Section 1 and Section 2 of **Exhibit A** of the Agreement, it may require the additional Services specified in Section 3 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 3 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 Annual Fee Services

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

Period	Proposed Fixed Fee Compensation
Fiscal Year 2012 Audit (April 1, 2012 through March 31, 2013)	\$
Fiscal Year 2013 Audit (April 1, 2013 through March 31, 2014)	\$
Fiscal Year 2014 Audit (April 1, 2014 through March 31, 2015)	\$

2. Other auditing Services for CRRA's Mid-Connecticut Project

In the form below, indicate the amount proposed as annual compensation to perform and complete all of the Services specified in Section 2 of **Exhibit A** of the Agreement.

Period	Fixed Fee Compensation
Stub Audit for CRRA's Mid-Connecticut Project (As of November 15, 2012)	\$
Review of Balance Sheet (As of April 30, 2013)	\$
Review of Balance Sheet (As of September 30, 2013)	\$

Proposer affirms that the total proposal price in Section 1 and Section 2 of this form respectively represents the entire cost to complete the Services specified in Section 1 and Section 2 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:	

3. Additional 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 3 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.

3.1 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.

3.2 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.



FIRM BACKGROUND AND EXPERIENCE FORM

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

[Attach Additional Pages If Necessary]

[Empty box for providing firm background and experience details]



PERSONNEL BACKGROUND AND EXPERIENCE FORM

In the tables on the following pages, provide the requested information on the professionals who would be assigned to work with CRRA regarding their background and experience that is of a similar nature to that specified in the Contract Documents. [Attach Additional Pages If Necessary]

Provide a brief resume (i.e., no more than two pages) of each individual listed on this and other Personnel Background And Experience Forms.

PROFESSIONAL 1

Name:		Staff Level:	
Title:		% of Time Available:	
Background:			

PROFESSIONAL 2

Name:		Staff Level:	
Title:		% of Time Available:	
Background:			

PROFESSIONAL 3

Name:		Staff Level:	
Title:		% of Time Available:	
Background:			



REFERENCES FORM

In space below, provide the names of three (3) references who can attest to the quality of work performed/services provided by 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:	



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.



AFFIDAVIT OF THIRD PARTY FEES

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 _____ 20 12

 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.



**BUSINESS DISCLOSURE
FORM**

Bidder/Proposer/Statement of Qualifications Submitter (hereinafter collectively referred to as "Consultant") must provide the information requested in the following sections/tables.

1. CONFLICTS OF INTEREST

In the table below, disclose any material assignments, relationships or other employment that the Consultant or any employee of the Consultant has with any member of CRRA's past or present Board of Directors, any CRRA employee, governmental entity, or other person or entities that may create a conflict of interest or the appearance of a conflict of interest in providing to CRRA the Services that are the subject of this solicitation.

[Attach Additional Pages If Necessary]

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2. CONFLICT OF INTEREST MEASURES

In the table below, discuss any measures that the Consultant either has in place or would take to identify, disclose and resolve any possible conflicts of interest.

[Attach Additional Pages If Necessary]

--

3. BUSINESS WITH MAJOR CRRA CONTRACTORS

Using the form of the table below, if your firm has advised or been engaged by any of the organizations listed on the attached "CRRA Vendors FY 2011" (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.

[Attach Additional Pages If Necessary]

Entity	Summary Description of Services Provided

FY2011 VENDORS PAID \$5,000 OR MORE

A J BELLIVEAU RAILROAD CONSTRUCTION INC	CONN COMMUNITY PROVIDERS ASSOC
ABM JANITORIAL NE INC	CONN CONSTITUTION ASSOCIATES LLC
ACE USA	CONN INTERLOCAL RISK MGMT AGCY
ADP INC	CONN NATURAL GAS CORPORATION
AFLAC WORLD HEADQUARTERS	CONN RIVER ESTUARY REGL PLANNING AGENCY
AIR COMPRESSOR ENGINEERING, INC.	CONNECTICARE, INC.
ALL WASTE INC	COPEES RUBBISH REMOVAL
AMERICAN CARTING COMPANY, INC	COVANTA MID-CONN INC
AMERICAN EXPRESS TRAVEL RELATED SERVICES	COVANTA PROJECTS OF WALLINGFORD LP
AMERITAS LIFE INSURANCE CORP	COVANTA SOUTHEASTERN CT
ANCHOR ENGINEERING SERVICES INC	CRRA MID CONNECTICUT PROJECT
AON RISK SERVICES INC OF WASHINGTON DC	CRRA PROPERTY DIVISION
ARTIC TRUCKING SERVICES, INC.	CWPM LLC
ASSOCIATED ELECTRO-MECHANICS, INC	CYTEC INDUSTRIES INC
AT&T	DARIEN TOWN OF
AVT CONSTRUCTION, INC.	DAVID G. ROACH & SONS, INC.
B G MECHANICAL SERVICE INC	DELL MARKETING LP
BANK OF AMERICA	DIME OIL COMPANY
BCI, INC.	EARTHCARE SERVICES
BEAULIEU COMPANY, LLC	EAST GRANBY TOWN OF
BEEBE LANDSCAPE SERVICE, INC.	EAST HAVEN, TOWN OF
BLUE RIVER ENGINEERING, LLC	ECO INTERNATIONAL, LLC
BODE EQUIPMENT COMPANY	EPICOR SOFTWARE CORPORATION
BOLLAM, SHEEDY, TORANI AND CO. LLP, CPA	EPLUS TECHNOLOGY, INC.
BOROUGH OF NAUGATUCK	FAIRFIELD, TOWN OF
BOTTICELLO INC	FCR INC
BROWN RUDNICK BERLACK ISRAELS LLP	FEDERAL EXPRESS CORP
C K ENVIRONMENTAL INC	FIDELITY INVESTMENTS
CANTON TOWN OF	FORTISTAR METHANE GROUP LLC
CAPITOL CLEANING CONTRACTORS INC	FUSS AND ONEILL INC
CARLIN CHARRON & ROSEN LLP	GEORGE E. SANSOUCY, PE, LLC
CDW GOVERNMENT INC	GERAGHTY & BONNANO, LLC
CENTRAL MECHANICAL SERVICES, LLC	GRAINGER
CENTRAL PARKING SYSTEM	GRANBY TOWN OF
CERIDIAN BENEFIT SERVICES	GRAPHIC IMAGE, INC
CHESHIRE TOWN OF	GUARDIAN, THE
CITY OF BRIDGEPORT	GZA GEOENVIRONMENTAL
CITY OF HARTFORD	H O PENN MACHINERY CO INC
CITY OF HARTFORD TREASURER	HALLORAN AND SAGE LLP
CITY OF MILFORD	HAMDEN TOWN OF
CITY OF SHELTON	HANNA PAPER RECYCLING INC
CITY OF WATERBURY	HARTFORD COURANT ADV LGL NTC
COHN BIRNBAUM & SHEA	HDR ENGINEERING INC
COLONIAL PAVING CO.	HINCKLEY, ALLEN & SNYDER, LLP
COMM REVENUE SERVICES, ST OF CT	HOOKER & HOLCOMBE INVESTMENT ADVISORS,

I	PULLMAN AND COMLEY LLC
HORIZON STAFFING SERVICES	R BATES AND SONS INC AND
HRP ASSOCIATES INC	R L ROGERS AND SONS INC
ING LIFE INSURANCE AND ANNUITY CO.	RAILWORKS TRACK SERVICES, INC.
IRON MOUNTAIN INCORPORATED	REGIONAL REFUSE DISPOSAL DISTRICT ONE
ISO NEW ENGLAND INC	REGISTER CITIZEN, THE
JOSEPH BURGIO	ROCKWELL COMMUNICATIONS
KAINEN ESCALERA & MCHALE PC	RYAN BUSINESS SYSTEMS INC
KNAPP ENGINEERING PC	SALISBURY TOWN OF
LA VOZ HISPANA	SCHINDLER ELEVATOR CORPORATION
LATELLA RUBBISH REMOVAL, LLC	SCS ENGINEERS PC
LAUREN STAFFING SERVICES	SCS FIELD SERVICES
LEGGETTE, BRASHEARS & GRAHAM, INC.	SEBBENS LAWN SERVICE
LINCOLN NATIONAL LIFE INSURANCE CO	SHRED-IT, CT
LYDON MILLWRIGHT SERVICES, INC.	SIGN PRO INC
M I HOLZMAN & ASSOCIATES LLC	SIGNATURE MARKETING, LLC
MAINTENANCE TECHNOLOGIES	SIR SPEEDY BLOOMFIELD
INTERNATIONAL	SNI COMPANIES
MALCOLM PIRNIE INC	SONITROL
MATRIX POWER SERVICES INC	SONITROL
MCCARTER & ENGLISH LLP	SOUND ENVIRONMENTAL SOLUTIONS
MCELROY, DEUTSCH, MULVANEY &	SOUTHEASTERN CT REG RESOURCES RECOV
MDC	AUTH
MERIDEN CITY OF	SOUTHERN CONNECTICUT GAS CO
MERRITT CONTRACTORS INC	SOUTHWEST CONNECTICUT REGIONAL
METROPOLITAN LIFE INSURANCE COMPANY	STAFFING NOW, INC.
METTLER TOLEDO INC	STATE OF CONN DEPT OF ENVIRONMENTAL
NAUGATUCK VALLEY LAWN MAINTENANCE,	THE HANOVER INSURANCE GROUP
INC.	TMC SERVICES, INC.
NELS CONSULTING SERVICES, INC.	TOCE BROTHERS, INC.
NEW ENGLAND MASONRY & ROOFING CO.	TOWN OF AVON
NEWINGTON ELECTRIC COMPANY INC	TOWN OF BLOOMFIELD
NEXTEL COMMUNICATIONS INC	TOWN OF COVENTRY
NORTH HAVEN TOWN OF	TOWN OF CROMWELL
NORTHEAST GENERATION SERVICES CO	TOWN OF EAST HAMPTON
NORTHEAST RECYCLING COUNCIL	TOWN OF EAST HARTFORD
NORTHEAST UTILITIES/CL&P	TOWN OF EASTON
NORWALK CITY OF	TOWN OF ELLINGTON
NZYMSYS INC	TOWN OF ELLINGTON
OFFICEMAX - CONTRACT INC.	TOWN OF ENFIELD
OREILLY TALBOT & OKUN	TOWN OF ESSEX COLLECTOR
PITA COMMUNICATIONS LLC	TOWN OF FARMINGTON
PITNEY BOWES	TOWN OF GLASTONBURY
PITNEY BOWES POSTAGE BY MAIL	TOWN OF GREENWICH
POWER ADVISORY, LLC	TOWN OF GUILFORD
PRIMARY LANDSCAPING, LLC	TOWN OF MADISON
PRODUCT STEWARDSHIP INSTITUTE INC.	TOWN OF MANCHESTER
PSC ENVIRONMENTAL SERVICES, INC.	

TOWN OF MONROE
TOWN OF NEWINGTON
TOWN OF OLD SAYBROOK
TOWN OF ORANGE
TOWN OF PRESTON
TOWN OF ROCKY HILL
TOWN OF SIMSBURY
TOWN OF SOUTH WINDSOR
TOWN OF SOUTHBURY
TOWN OF STRATFORD
TOWN OF SUFFIELD
TOWN OF TORRINGTON
TOWN OF TRUMBULL
TOWN OF VERNON
TOWN OF WALLINGFORD
TOWN OF WESTON
TOWN OF WETHERSFIELD
TOWN OF WINDSOR LOCKS
TOWN OF WOODBRIDGE
TRC ENVIRONMENTAL CORP
TYLER EQUIPMENT CORPORATION
UNION IRONWORKS, INC.
UNITED ILLUMINATING COMPANY
URS CORPORATION
USDA WILDLIFE SERVICES
VAN HORST GENERAL CONTRACTORS LLC
VERIZON WIRELESS
WALKER SYSTEMS SUPPORT
WALLINGFORD TOWN OF
WARNOCK FLEET
WASTE MANAGEMENT OF MASSACHUSETTS, INC.
WASTE TECH LLC
WATERTOWN TOWN OF
WEST GROUP
WEST HARTFORD TOWN OF
WESTPORT TOWN OF
WHEELABRATOR BRIDGEPORT LP
WHEELABRATOR TECHNOLOGIES INC
WILTON TOWN OF
WTE RECYCLING INC



**AFFIDAVIT CONCERNING
NONDISCRIMINATION**

This Affidavit must be completed and properly executed under penalty of false statement by a chief executive officer, president, chairperson, member or other corporate officer duly authorized to adopt company, corporate or partnership policy of the business entity submitting a bid/proposal/statement of qualifications to the Connecticut Resources Recovery Authority that certifies such business entity complies with the nondiscrimination agreement and warranties contained in Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended, regarding nondiscrimination against persons on account of their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, mental retardation, mental disability, physical disability or sexual orientation.

I, the undersigned, am over the age of eighteen and understand and appreciate the obligation of an oath. I am _____ (title) of _____ (firm name), an entity duly formed and existing under the laws of _____ (name of state or commonwealth) ("Contractor").

I certify that I am authorized to execute and deliver this affidavit on behalf of Contractor, as follows:

- 1. Contractor seeks to enter into the "INDEPENDENT AUDITING SERVICES AGREEMENT FOR FISCAL YEARS 2012, 2013, AND 2014 AUDITS" (the "Agreement") with the Connecticut Resources Recovery Authority; and
- 2. Contractor has in place a company or corporate policy that complies with the nondiscrimination agreements and warranties required under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended, and the said company or corporate policy is in effect as of the date hereof.

By (Signature): _____
Name (Print): _____
Title: _____

Sworn to before me this _____ day of _____ 20 _____

Notary Public/Commissioner of the Superior Court

Commission Expiration Date

RFP Exhibit 10 (the selected proposer's affidavit to be incorporated into the final Agreement as Exhibit G)

Sections 4a-60(a)(1) and 4a-60a(a)(1) of the Connecticut General Statutes follow.

Sec. 4a-60. (Formerly Sec. 4-114a). Nondiscrimination and affirmative action provisions in contracts of the state and political subdivisions other than municipalities.

- (a) Every contract to which the state or any political subdivision of the state other than a municipality is a party shall contain the following provisions:
 - (1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut; and the contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved;

Sec. 4a-60a. Contracts of the state and political subdivisions, other than municipalities, to contain provisions re nondiscrimination on the basis of sexual orientation.

- (a) Every contract to which the state or any political subdivision of the state other than a municipality is a party shall contain the following provisions:
 - (1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the state of Connecticut, and that employees are treated when employed without regard to their sexual orientation;