REQUEST FOR PROPOSALS
NEW YORK STATE DEPARTMENT OF TRANSPORTATION

CONTRACT AUDIT SERVICES FOR NYSDOT
Contract #C030871

Via the release of a Non Architectural/Engineering Best Value Request for Proposals, the New York State Department of Transportation (NYSDOT) is soliciting proposals from certified public accounting (CPA) firms to perform audit services related to business entities including, but not limited to: engineering firms; aviation, railroads, utilities, transit operators; contractors, and municipalities participating in NYSDOT programs.

This procurement may result in up to five (5) contract awards with up to five Prime audit firms. This project will be referred to as Contract No. C030871 (this will be the master contract number) and the title of the project is “Contract Audit Services for NYSDOT.” It is anticipated that each contract awarded as a result of this RFP will have a base term of 36 months with an option for two twelve month extensions.

While not indicative of a proposer’s individual merit (technical excellence, proposer’s ability, experience, etc.), NYSDOT encourages the participation of certified Minority Business Enterprises and Women-Owned Business Enterprises in this solicitation. The level of participation by Minority Business Enterprises (MBE) and Women-Owned Business Enterprises (WBE) will be relevant to the process of selecting proposals which will best achieve the overall goals of the Department.

NYSDOT has established an MBE participation contract goal of 15 percent and a WBE participation contract goal of 5 percent for this solicitation. These are separate participation goals. Each goal relates to the overall value of the resulting contract. Meaningful participation by either a certified MBE prime consultant or subconsultant (s) and meaningful participation by either a certified WBE prime consultant or
subconsultant(s) will count towards the contract goals. **Please refer to the RFP for specific information regarding the MBE and WBE participation contract goals.**

CPA firm’s selected to provide audit services under this solicitation must be licensed to provide professional auditing services in New York State and will be required to provide current quality assurance plans, documentation of internal quality control systems, and current peer review reports. The purpose of these services is to verify compliance with program requirements; allowability of costs proposed during NYSDOT contract negotiations; and/or allowability of costs submitted for reimbursement under NYSDOT agreements.

NYSDOT’s Contract Audit Bureau (CAB) is responsible for providing audit services to support NYSDOT’s contract negotiation, payment and close-out activities. These services are generally conducted in accordance with Government Auditing Standards promulgated by the United States Government Accountability Office and/or the auditing and attestation standards of the American Institute of Certified Public Accountants (AICPA). Failure to perform audits in a timely manner could result in additional expense to NYSDOT.

CAB requires the services of CPA firms licensed to practice in New York State to supplement its in-house staff. Selected firms are expected to provide quality audit services on a timely basis. Firms selected will work under the direction of an assigned CAB audit supervisor (manager).

**Responsive and responsible consultants** interested in submitting a proposal in response to the RFP should submit a brief, one-page, Letter of Interest (LOI) to the e-mail address of the contact person listed below. The **LOI should include the firm name, address, e-mail address, and telephone number of a contact person at the firm, as well as the contract title and contract number referenced above.**

**The RFP will be released on February 17, 2012 and can be found on NYSDOT’s website.**

The RFP will be electronically sent (via email) to all parties on the NYSDOT source list. All parties submitting an LOI in response to this announcement will be added to the source list and will be sent electronic notices/modifications to this RFP as well as future RFPs related to the same services.

The RFP will be posted to the NYSDOT website as indicated above and will contain all the information necessary for firms to submit a complete proposal. If the release of the RFP is delayed for any reason, the due date for proposals may be extended appropriately.

A full description of this project and its requirements will be provided in the RFP. The link to visit is: [https://www.nysdot.gov/business](https://www.nysdot.gov/business). Once the link has been accessed, click
Consulting Services; then click on Opportunities; and then click on the project line that represents C030871 “Contract Audit Services for NYSDOT.”

**Designated Contact Person:**

Under the requirements of the State Procurement Act, all communications regarding advertised projects are to be channeled through Contract Management (*Designated NYSDOT Contact). Until a contract is approved by the State Comptroller, contact with any other NYSDOT employee concerning this project should not be made unless otherwise directed by NYSDOT Contract Management. Communications made contrary to this policy and deemed an attempt to influence the outcome, may result in disqualification. The designated NYSDOT contact person is:

Ms. Patricia Rowe  
NYSDOT Contract Management  
Contract Management Specialist 1  
50 Wolf Road, Suite 1CM  
Albany, NY 12232  
E-mail prowे@dot.state.ny.us  
Voice (518) 457-2600  
Fax (518) 457-8475

**NYS Procurement Lobbying Law Information for Contract #C030871**

**Required Forms:**

The consultant shall sign and mail/e-mail/fax the following forms (as instructed in the RFP). **Submission of these forms is required** either with the RFP Response form (found in the RFP) or if you do not submit an RFP Response form (submission of the RFP Response form is strongly encouraged), than the PLL forms must be submitted with the Proposal.

a) “Offerer’s Affirmation of Understanding of and Agreement pursuant to State Finance Law §139-j (3) and §139-j (6) (b)”

b) “Offerer Disclosure of Prior Non-Responsibility Determinations”.

**NYSDOT Guidelines and Procedures:**

As written above, under the requirements of the State Procurement Act all communications regarding advertised projects are to be channeled through Contract Management (*Designated NYSDOT Contacts). Until a designation is made, communication with any other NYSDOT employee concerning this project that is determined to be an attempt to influence the procurement may result in disqualification.
Refer to “NYSDOT PROCUREMENT LOBBYING LAW GUIDELINES AND PROCEDURES” – see the following NYSDOT web site: https://www.dot.ny.gov/main/business-center/consultants/non-architectural-engineering/active-solicitations

Contacts Prior To Designation:
Any communications involving an attempt to influence the procurement are only permitted with the following Designated Contact Persons:

- Contract Management Specialist*
- Contract Management Non-Architectural/Engineering Unit Supervisor
- Contract Management Civil Rights Unit Supervisor
- Contract Management Assistant Directors
- Contract Management Director

These are some communications exempted from this restriction:

- Participation in a pre-proposal conference
- Submittal of written questions when written responses will be provided to all offerers
- Protests, complaints of improper conduct or misrepresentation

If any other NYSDOT employee is contacted and they believe a reasonable person would infer that the communication was intended to influence the procurement, the contact must be reported by the NYSDOT employee. If the Department determines an impermissible contact was made, that offerer cannot be awarded the contract. A second violation would lead to a four-year bar on the award of public contracts to the offerer.

Contacts After Designation:
NYSDOT has identified its primary negotiation contacts. The designated contacts include:

- Contract Management Specialist*
- Contract Management Non-Architectural/Engineering Unit Supervisor
- Contract Management Civil Rights Unit Supervisor
- Contract Management Assistant Directors
- Contract Management Director
- Consultant Management Bureau consultant job manager
- Consultant Management Bureau consultant job manager’s immediate supervisor
- Individual(s) that the Department may identify at or after designation

The law does not limit who may be contacted during the negotiation process. However, if any NYSDOT employee is contacted and they believe a reasonable person would infer that the communication was intended to influence the procurement, the contact must be reported by the NYSDOT employee.
Information Required from Offerers that Contact NYSDOT staff, Prior to Contract Approval by the Office of the State Comptroller:

The individuals contacting NYSDOT should refer and shall be prepared to provide the following information, either by e-mail or fax as directed by NYSDOT:

Person’s name, firm person works for, address of employer, telephone number, occupation, firm they are representing, and whether owner, employee, retained by or designated by the firm to appear before or contact NYSDOT.

Applicability to an Executed Contract:

Restrictions similar to those described above apply to approval or denial of an assignment, amendment (other than amendments that are authorized and payable under the terms of the procurement contract as it was finally awarded or approved by the comptroller, as applicable), renewal or extension of a procurement contract, or any other material change in the procurement contract resulting in a financial benefit to the offerer. The staff noted above as well as the project manager and consultant manager are considered designated contact persons. The Department may identify other contact persons for each of these processes.

Rules and Regulations and For More Information on This Law, Please Visit:

http://www.ogs.state.ny.us/aboutogs/regulations/advisoryCouncil/Faq.htm (Advisory Council FAQs)
http://www.nylobby.state.ny.us/ (New York State Lobbying Act)
http://www.ogs.state.ny.us/aboutOgs/regulations/defaultAdvisoryCouncil.html