

**CONNECTICUT
RESOURCES
RECOVERY
AUTHORITY**

**REQUEST FOR PROPOSALS
FOR
INSURANCE CONSULTING AND BROKER SERVICES
(RFP Number 12-FA-001)**

**PROPOSAL DUE DATE
September 1, 2011**

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

July 25, 2011

REQUEST FOR PROPOSALS
For
INSURANCE CONSULTING AND BROKER SERVICES
(RFP Number 12-FA-001)

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

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**REQUEST FOR PROPOSALS
FOR
INSURANCE CONSULTING AND BROKER 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 agency 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 more than 100 municipalities in the state. CRRA has developed, constructed and now operates an integrated system of two resource recovery facilities, one regional recycling center, five landfills (all of which are closed or in the process of closing) and five transfer stations. At present, CRRA accepts more than 60% of the municipal solid waste ("MSW") generated in Connecticut. These facilities are operated by entities that are under contract to CRRA.

CRRA is responsible for providing property insurance on many of these facilities. In addition, CRRA provides workers' compensation insurance for its employees, and purchases various forms of financial and liability coverage. CRRA's staff is composed of management, clerical, accounting, engineering, environmental, legal, waste management and operations personnel.

CRRA is requesting proposals from qualified firms to perform insurance consulting and broker services for a three-year period from January 1, 2012 through December 31, 2014.

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, July 25, 2011**. 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 Lynn Martin (860-757-7780) 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 interested in this RFP to submit a Notice Of Interest Form to CRRA by 2:00 p.m., Friday, August 12, 2011. 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 2:00 p.m., Wednesday, September 1, 2011. CRRA reserves the right to reject proposals received after the time and date set forth above. 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 in response to this RFP is subject to Connecticut's 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 RFP must be submitted **in writing** to Lynn Martin, by e-mail (lmartin@crra.org), by fax (860-757-7740), or by correspondence (CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103) no later than 2:00 p.m., Friday, August 12, 2011. Subject to the discretion of CRRA, CRRA may decide to provide written responses to potential proposers no later than Friday, August 19, 2011. Any entity considering submitting a proposal is prohibited from having any ex-parte communications with any CRRA staff member or CRRA Board member except Ms. Martin.

**REQUEST FOR PROPOSALS
FOR
INSURANCE CONSULTING AND BROKER SERVICES**

**SECTION 2
INSTRUCTIONS TO PROPOSERS**

INSTRUCTIONS TO PROPOSERS

INSURANCE CONSULTING AND BROKER SERVICES

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1. Introduction

The Connecticut Resources Recovery Authority (“CRRA”) is a quasi-public agency 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 more than 100 municipalities in the state. CRRA has developed, constructed and now operates an integrated system of two resource recovery facilities, one regional recycling center, five landfills (all of which are closed or in the process of closing) and five transfer stations. At present, CRRA accepts more than 60% of the municipal solid waste (“MSW”) generated in Connecticut. These facilities are operated by entities that are under contract to CRRA.

CRRA is responsible for providing property insurance on many of these facilities. In addition, CRRA provides workers’ compensation insurance for its employees, and purchases various forms of financial and liability coverage. CRRA’s staff is composed of manage-

ment, clerical, accounting, engineering, environmental, legal, waste management and operations personnel.

CRRA is requesting proposals from qualified firms to perform insurance consulting and broker services for a three-year period from January 1, 2012 through December 31, 2014.

2. RFP Projected Timeline

The following is the projected timeline for the RFP process:

ITEM	DATE
RFP Documents Available	Monday, July 25, 2011
Notice of Interest Forms Due at CRRA	2:00 p.m., Friday, August 12, 2011
Deadline for Written Questions	2:00 p.m., Friday, August 12, 2011
Response to Written Questions	No Later Than Friday, August 19, 2011
Proposals Due at CRRA	2:00 p.m., Thursday, September 1, 2011
Interviews with Selected Proposers	Thursday, September 15, 2011
Selection and Notice of Award Issued	Friday, October 28, 2011
Effective Date of Agreement	January 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.

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) Insurance Consulting And Broker Services Agreement (the “Agreement”);
 - (2) RFP Package Documents (defined in (f) below);
 - (3) Addenda;
 - (4) Successful proposer’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; 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 insurance consulting and broker 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) Business Information Form;
- (7) Business Disclosure Form;
- (8) Personnel Background And Experience Form;
- (9) References Form;
- (10) Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety;
- (11) Affidavit Of Third Party Fees;
- (12) Affidavit Concerning Nondiscrimination;
- (13) Background Questionnaire;
- (14) SEEC Form 11, Notice To Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban;
- (15) Notice Of Award, with Contractor's Certification Concerning Gifts and Affidavit Concerning Consulting Fees attached [both to be executed by successful proposer]; and
- (16) Insurance Consulting And Broker Services Agreement, including:
 - A. Scope Of Services;
 - B. Request For Additional Services – Standard Format;
 - C. Compensation Schedule;
 - D. CRRA Travel And Expense Policy;
 - E. Quarterly Bill Format – Additional Services;
 - F. SEEC Form 11, Notice To Executive Branch State Contractors

And Prospective State Contractors Of Campaign Contribution
And Solicitation Ban;

- G. Affidavit Of Third Party Fees;
- H. Affidavit Concerning Nondiscrimination;
- I. Affidavit Concerning Consulting Fees;
- J. Contractor's Certification Concerning Gifts; and
- K. 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 may be rejected if any of the foregoing ex parte communications take place.

5. Reserved Rights

CRRA reserves the following rights at its sole and absolute discretion:

- (a) 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;
- (b) To republish this RFP after having rejected any or all of the proposals; and
- (c) To terminate this RFP process at any time prior to the execution of any Agreement.

6. Scope Of Services

CRRA is the owner or lessee of certain pieces and parcels of real property throughout the State (the "Properties") upon which Properties CRRA owns and operates various solid waste, electricity generating, and recycling facilities (the "Facilities"). CRRA is responsible for providing insurance on some of these Properties, Facilities, and general operations. Thus, CRRA is seeking proposals from qualified firms to provide certain independent insurance consulting and insurance broker services.

The services to be performed under the Agreement are more particularly described in Section 1 of **Exhibit A** of the Agreement (the "Services"). Specific instructions about how the Services are to be performed are included in the Agreement. The successful proposer will be compensated for the Services on a fixed fee basis.

If additional services as described in Section 2 of **Exhibit A** of the Agreement (the “Additional Services”) are required during the term of the Agreement, CRRA will issue Request(s) For Additional Services to the successful proposer for the specific Additional Services to be performed. The successful proposer will be compensated on a time and materials basis for any Additional Services.

Unless otherwise specifically indicated in a proposer’s proposal, CRRA will assume that such proposer is willing to perform all of the Services set forth in the Contract Documents.

7. Availability of RFP Package Documents

Complete sets of the RFP Package Documents may be obtained on the World Wide Web beginning Monday, July 25, 2011:

<http://www.crra.org> under the “Business Opportunities” page; select the “RFP: Insurance Consulting and Broker Services” link.

The RFP Package Documents are in PDF format. Many of the forms included in the documents are also available for downloading in Microsoft Word format on CRRA’s web site. Prospective proposers can fill the forms out by entering the answers using their computer’s keyboard and mouse. The forms can then be printed and submitted with the proposal. CRRA encourages firms to make use of the downloadable 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 Lynn Martin [(860) 757-7780] 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.”

8. Notice Of Interest

CRRA encourages firms interested in this RFP to submit a Notice Of Interest Form (Section 3 of the RFP Package Documents) to CRRA by **2:00 p.m., Friday, August 12, 2011**. The Notice Of Interest Form is available on CRRA’s web site along with the other RFP Package Documents. While not mandatory, CRRA will use the information provided on the Form to notify prospective proposers about the availability of addenda, including CRRA’s responses to written questions, and other information related to the RFP.

9. Addenda And Interpretations

CRRA may issue Addenda to the RFP Package Documents that shall, upon issuance, become part of the RFP Package Documents 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. CRRA reserves the right to not respond to any or all inquiries.

Any request for interpretation or clarification of any documents included in the RFP Package Documents must be submitted **in writing** to Lynn Martin using one of the following methods:

- (a) By e-mail to lmartin@crra.org;
- (b) By fax to 860-757-7740; or
- (c) By correspondence to CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722.

To be given consideration, any such written request must be received by CRRA by **2:00 p.m., Friday, August 12, 2011.**

Addenda, if any, issued prior to due date for Notice Of Interest Forms will be posted on CRRA's web site (<http://www.crca.org> on the "Business Opportunities" page under the "RFP: Insurance Consulting and Broker Services" heading).

Addenda, if any, issued after the due date for Notice Of Interest Forms will be mailed and/or e-mailed to all persons who submitted a Notice Of Interest Form (see Section 8 above) or who picked up or requested from CRRA a printed copy of the RFP package documents. Such addenda will also be posted on CRRA's web site (<http://www.crca.org> on the "Business Opportunities" page under the "RFP: Insurance Consulting and Broker Services" heading). Such addenda will be mailed/e-mailed and posted on the web site no later than Friday, August 19, 2011.

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.**

10. Proposal Submittal Procedures

Sealed proposals shall be submitted no later than 2:00 p.m., Eastern Time, Thursday, September 1, 2011 at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, Attn: Lynn Martin. Proposals received after the time and date set forth above shall be rejected.

Each proposer must submit one (1) original and four (4) copies of its proposal. The original proposal shall be stamped or otherwise marked as such.

While CRRA has no preference as to how the copies of the proposal are bound, the original of the proposal should be loose leaf and bound with a binder clip. In addition, tabs (numbered or lettered) should be used to delineate sections of the proposal.

Each proposal (the original and four copies) shall be enclosed in a sealed envelope that shall be clearly marked "Proposal for Insurance Consulting and Broker Services."

11. Period Proposals Shall Remain Open

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

12. Non-Negotiability Of The Agreement

The terms and conditions of the Agreement (Section 16 of the RFP Package Documents), as attached, are non-negotiable. Any potential proposer that would be unable to execute the Agreement, as attached, should not submit a proposal. This includes, but is not limited to, the insurance requirements (Article 6 of the Agreement).

13. Modification/Withdrawal Of 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 CRRA's office, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, Attn: Lynn Martin, at any time prior to the proposal due date.

14. 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 of the proposal (not the title page of the RFP), including the title of the project, the name of the proposer and the date the proposal is submitted;
- (b) Cover letter, signed by a person authorized to commit the proposer to the contractual arrangements with CRRA, which includes the following:
 - (1) The name of the proposer;
 - (2) The legal structure of the proposer (e.g., corporation, joint venture, etc.) and the state/commonwealth in which the proposer is organized; and
 - (3) A clear statement indicating that the attached proposal constitutes a firm and binding offer by the proposer to CRRA considering the terms and conditions outlined in the RFP and noting any technical exceptions taken thereto; and
 - (4) The proposer's promise, if any, to set aside a portion of the contract for legitimate minority business enterprises (see Section 16.2(c) of this Instructions To Proposers);
- (c) Table of Contents of the proposal (not the Table of Contents of the RFP);
- (d) The Proposal Form (Section 4 of the RFP Package Documents), with:

- (1) Addenda, if any, listed in the appropriate place (Page 3);
 - (2) The name and address of the contact for Notices listed in the appropriate place (Page 6); and
 - (3) 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 Business Information Form (Section 6 of the RFP Package Documents);
 - (g) The completed Business Disclosure Form (Section 7 of the RFP Package Documents);
 - (h) The completed Personnel Background And Experience Form (Section 8 of the RFP Package Documents);
 - (i) The completed References Form (Section 9 of the RFP Package Documents);
 - (j) The completed Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety form (Section 10 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;
 - (k) The completed Affidavit Of Third Party Fees (Section 11 of the RFP Package Documents) (subscribed and sworn before a Notary Public or Commissioner of the Superior Court);
 - (l) The completed Affidavit Concerning Nondiscrimination (Section 12 of the RFP Package Documents) (subscribed and sworn before a Notary Public or Commissioner of the Superior Court);
 - (m) The completed Background Questionnaire (Section 13 of the RFP Package Documents) (subscribed and sworn before a Notary Public or Commissioner of the Superior Court);
 - (n) A copy of the proposer's up-to-date certificate(s) of insurance showing all coverages required by Section 6.1 of the Agreement. [Please be advised that this is the area in which proposers seem to have the most difficulty. CRRA requires that the certificate(s) submitted show evidence of exactly the insurance requirements specified in the Agreement]; and
 - (o) As Appendix A to the proposal, a brief resume (i.e., no more than two pages) of each individual listed in the Personnel Background And Experience Form.

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.

15. Proposal Opening

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

16. Proposal Evaluation

The award of the contract for the Services will be made, if at all, to the proposer whose evaluation by CRRA results in CRRA determining that such award to such proposer is in the best interests of CRRA. **However, the selection of a proposer and the award of such contract, 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.

16.1 Evaluation Criteria

CRRA will base its evaluation of the proposals on the following criteria:

- (a) Payment rates;
- (b) Qualifications;
- (c) Demonstrated skill, ability and integrity of each proposer to perform the Services required by the Contract Documents;
- (d) Adequacy of insurance coverages as evidenced by a certificate or certificates of insurance showing, at a minimum, all coverages required by Section 6.1 of the Agreement (See Section 15(n) of this Instructions To Proposers); and
- (e) Any other factor or criterion that CRRA, in its sole discretion, deems or may deem relevant or pertinent for such evaluation.

16.2 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 10 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 10 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 10 of the RFP Package Documents));
- (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 14(j) of this Instructions To Proposers); and
- (e) The proposer's promise to set aside a portion of the contract for legitimate minority business enterprises (See Section 14(b)(4) of this Instructions To Proposers).

17. Interviews

To assist in the selection process, CRRA may decide to interview selected proposers. Such interviews, if they are conducted, will be held on Thursday, September 15, 2011.

18. Contract Award

If the contract is to be awarded, CRRA will issue to the successful proposer 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 clerical 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 the RFP Package Documents 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.

19. Requests For Services

Following the execution of the Agreement and the satisfaction of all other conditions by the successful proposer and if additional services as described in Section 2 of **Exhibit A** of

the Agreement (the “Additional Services”) are required during the term of the Agreement, CRRA will issue Request(s) For Additional Services (a “Request”) to the successful proposer for the specific Additional Services to be performed. In such a case, the successful proposer may be required to provide a detailed scope of services and estimates of the costs and time to perform such Additional Services. If CRRA chooses to have such proposer perform such Additional Services, such proposer will, at CRRA’s sole and absolute discretion, execute a Request in the form outlined in **Exhibit B** to the Agreement.

20. Contractor’s Certification Concerning Gifts

Pursuant to *Connecticut General Statutes* Section 4-252, the apparently successful proposer 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 does not execute the Certification, such proposer will be disqualified for the Agreement. The dates between which the proposer 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 Attachment A to Section 15 of the RFP Package Documents).

21. Affidavit Concerning Consulting Fees

Pursuant to *Connecticut General Statutes* Section 4a-81, the apparently successful proposer(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 contact with CRRA was expected or made. The affidavit is attached to the Notice Of Award included in the RFP Package Documents (see Attachment B to Section 15 of the RFP Package Documents).

22. 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.

23. 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
INSURANCE CONSULTING AND BROKER 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:	INSURANCE CONSULTING AND BROKER SERVICES
RFB/P/Q Number:	12-FA-001
Form Due Time/Date:	2:00 p.m., Friday, August 12, 2011

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 1:	
Mailing Address 2:	
City, State, Zip Code	
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:	Lynn Martin
E-Mail Address:	<u>lmartin@crra.org</u>
Fax Number:	(860) 757-7740
Correspondence Address:	Connecticut Resources Recovery Authority 100 Constitution Plaza, 6th Floor Hartford, CT 06103

**REQUEST FOR PROPOSALS
FOR
INSURANCE CONSULTING AND BROKER SERVICES**

**SECTION 4
PROPOSAL FORM**



PROPOSAL FORM

PROJECT: General
RFP NUMBER: 12-FA-001
CONTRACT FOR: Insurance Consulting And Broker 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) Execute and deliver to CRRA the Affidavit Concerning Consulting Fees;
- (d) Deliver to CRRA the requisite certificates of insurance;

- (e) 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
- (f) 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, if any, 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, if any, 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 14 [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 Business Information Form;
- (c) The completed Disclosure 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 completely filled out by the Proposer and signed before a Notary Public or Commissioner of the Superior Court;
- (h) The Affidavit Concerning Nondiscrimination that has been completely filled out by the Proposer and signed before a Notary Public or Commissioner of the Superior Court;
- (i) The completed Background Questionnaire that has been completely filled out by the Proposer and signed before a Notary Public or Commissioner of the Superior Court;
- (j) A copy of the Proposer's up-to-date certificate of insurance showing all coverages required by Article 6 of the Agreement; and
- (k) A brief resume (i.e., no more than two pages) for each individual listed in the Personnel Background And Experience Form.

14. NOTICES

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

Proposer Name:	
Proposer Contact:	
Title:	
Address 1:	
Address 2:	
City, State, Zip Code	
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.

AGREED TO AND SUBMITTED ON _____, 20 11

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

**REQUEST FOR PROPOSALS
FOR
INSURANCE CONSULTING AND BROKER SERVICES**

**SECTION 5
PROPOSAL PRICE
AND
PAYMENT RATE SCHEDULE FORM**



<h2 style="margin: 0;">PROPOSAL PRICE AND PAYMENT RATE SCHEDULE FORM</h2>

Name of Proposer:	
Name of RFP	Insurance Consulting And Broker Services

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

CRRA expects to execute a fixed fee contract 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 Additional Services in the form specified in **Exhibit B** of the Agreement for such Additional 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. Proposer shall not accept any additional compensation for the Services specified in Section 1 of **Exhibit A** of the Agreement whether in the form of contingent commissions, management service agreement commissions or any other form of placement commissions given to the Proposer directly or to a third party by or at Proposer's request.

Period	Proposed Fixed Fee Annual Compensation (In numbers)
January 1, 2012 through December 31, 2012	\$
January 1, 2013 through December 31, 2013	\$
January 1, 2014 through December 31, 2014	\$

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. Additional 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:

- Word processing;
- Copying;
- Travel in firm-owned vehicle (per mile);
- Computer time;
- Any other services (excluding phones) for which the bidder routinely bills.

ANCILLARY SERVICE RATES
(Provide Rates Below)
 (Use Additional Sheets If Necessary)

Ancillary Service	Rate		
	Jan. 1, 2012 – Dec. 31, 2012	Jan. 1, 2013 – Dec. 31, 2013	Jan. 1, 2014 – Dec. 31, 2014
Word Processing (Per Hour)			
Copying (Per Page)			
Travel in Firm-Owned Vehicle (Per Mile)			
Any Other Services For Which You Routinely Bill (List Below)			

**REQUEST FOR PROPOSALS
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**SECTION 6
BUSINESS INFORMATION FORM**



BUSINESS INFORMATION FORM

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

1. CONSULTANT INFORMATION

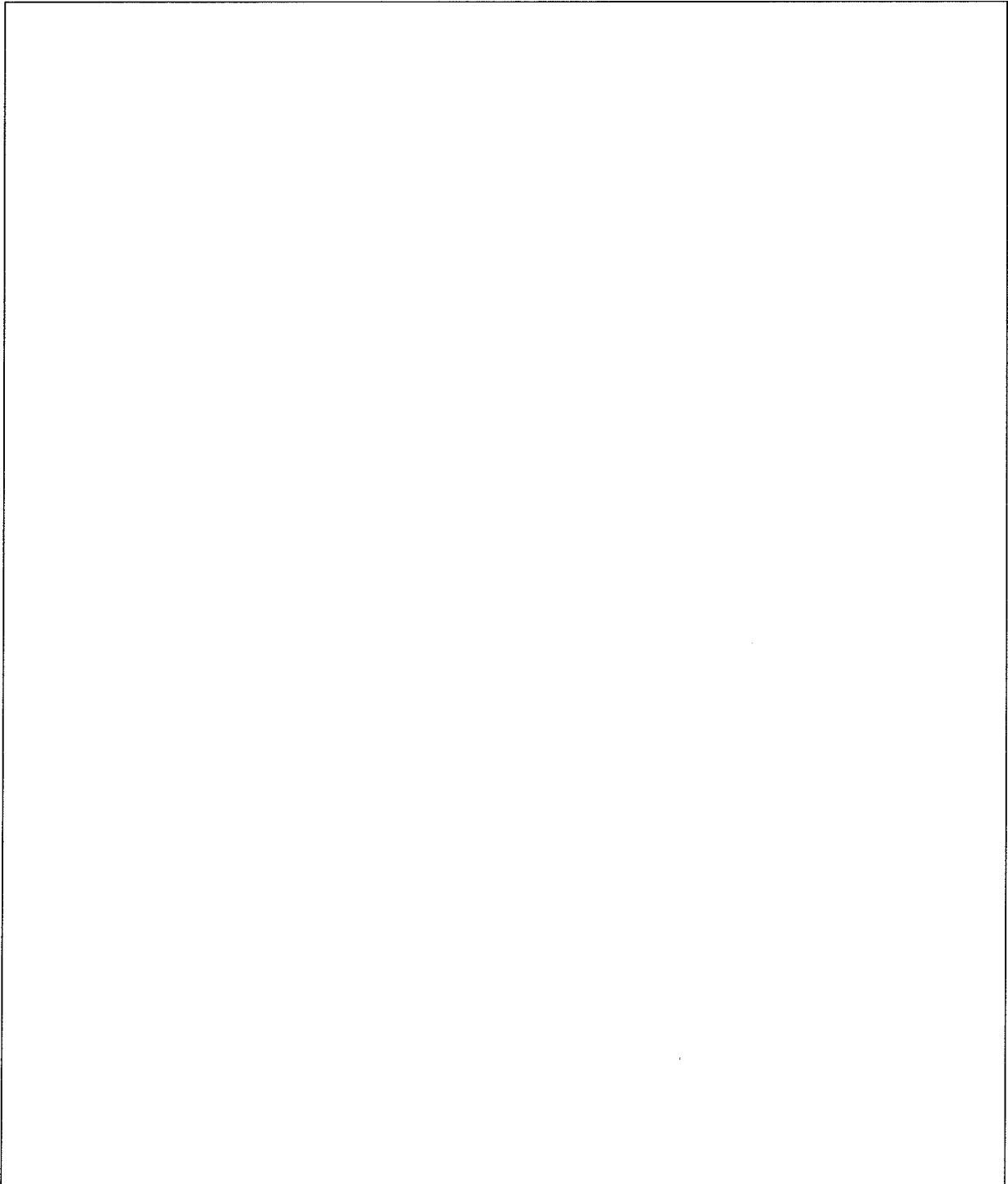
Name of Entity:					
Central Office/ Headquarters Address:	Address 1:				
	Address 2:				
	City, State, Zip Code:				
Servicing Office Address (if different than Central Office/ Headquarters Address):	Address 1:				
	Address 2:				
	City, State, Zip Code:				
Name of Parent Company (if any):					
Entity's Legal Structure:		<input type="checkbox"/> Corporation <input type="checkbox"/> Joint Venture <input type="checkbox"/> Partnership <input type="checkbox"/> Public Entity <input type="checkbox"/> Other (Please Specify) _____			
State in Which Entity is Legally Organized:					
Year Entity Started:		Number of Professional Employees:		Number of Offices:	
Location(s) of Offices (City and State)		# of Employees	Location(s) of Offices (City and State)		# of Employees
1.			5.		
2.			6.		
3.			7.		
4.			8.		

Brief History of the Entity:	
Overview of Entity's Principal Lines of Work:	

2. BACKGROUND AND EXPERIENCE

- (a) In the space below, describe the entity's knowledge, capability and experience providing services similar to the services addressed in this RFP, both the Fixed Annual Fee Services specified in Section 1 of **Exhibit A** to the Agreement and the Additional Services specified in Section 2 of **Exhibit A** of the Agreement.

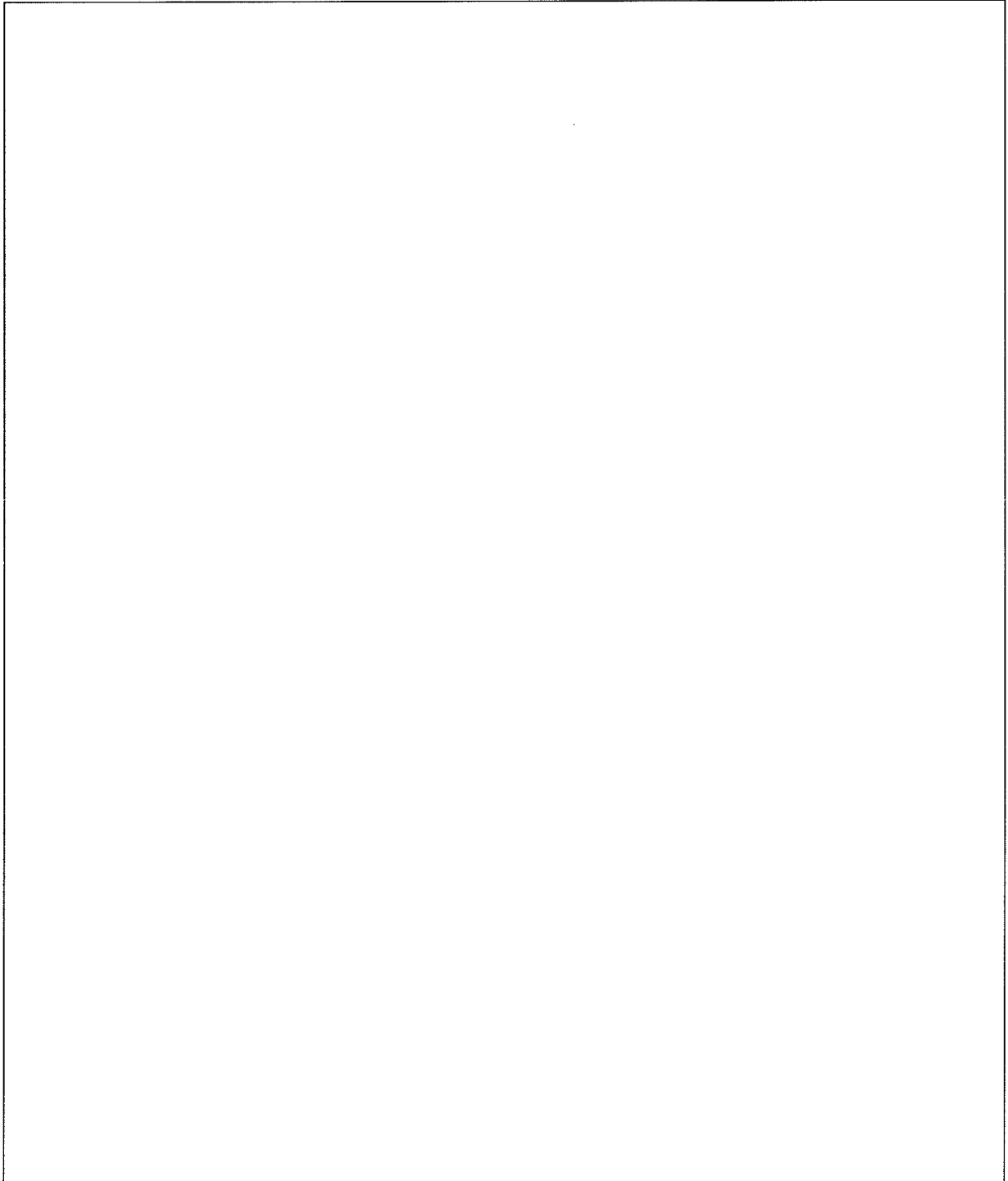
(b) In the space below, describe the entity's experience with municipalities, state agencies and organizations similar to CRRA.



- (c) In the space below, describe the servicing office's experience with municipalities, state agencies and organizations similar to CRRA.

A large, empty rectangular box with a thin black border, intended for the respondent to describe the servicing office's experience with municipalities, state agencies, and organizations similar to CRRA.

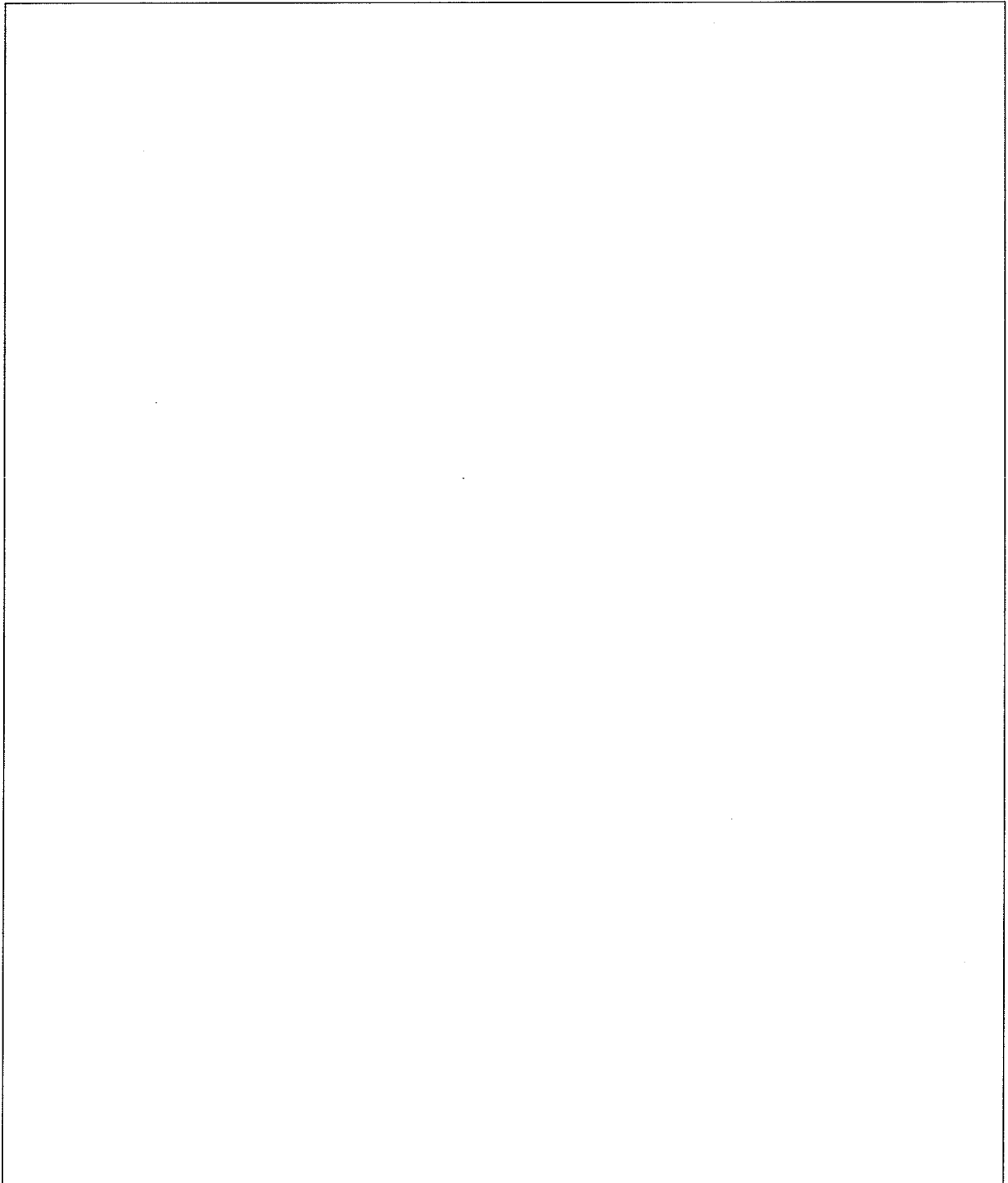
(d) In the space below, describe the entity's insurance marketing expertise.

A large, empty rectangular box with a thin black border, intended for the user to provide a detailed description of the entity's insurance marketing expertise.

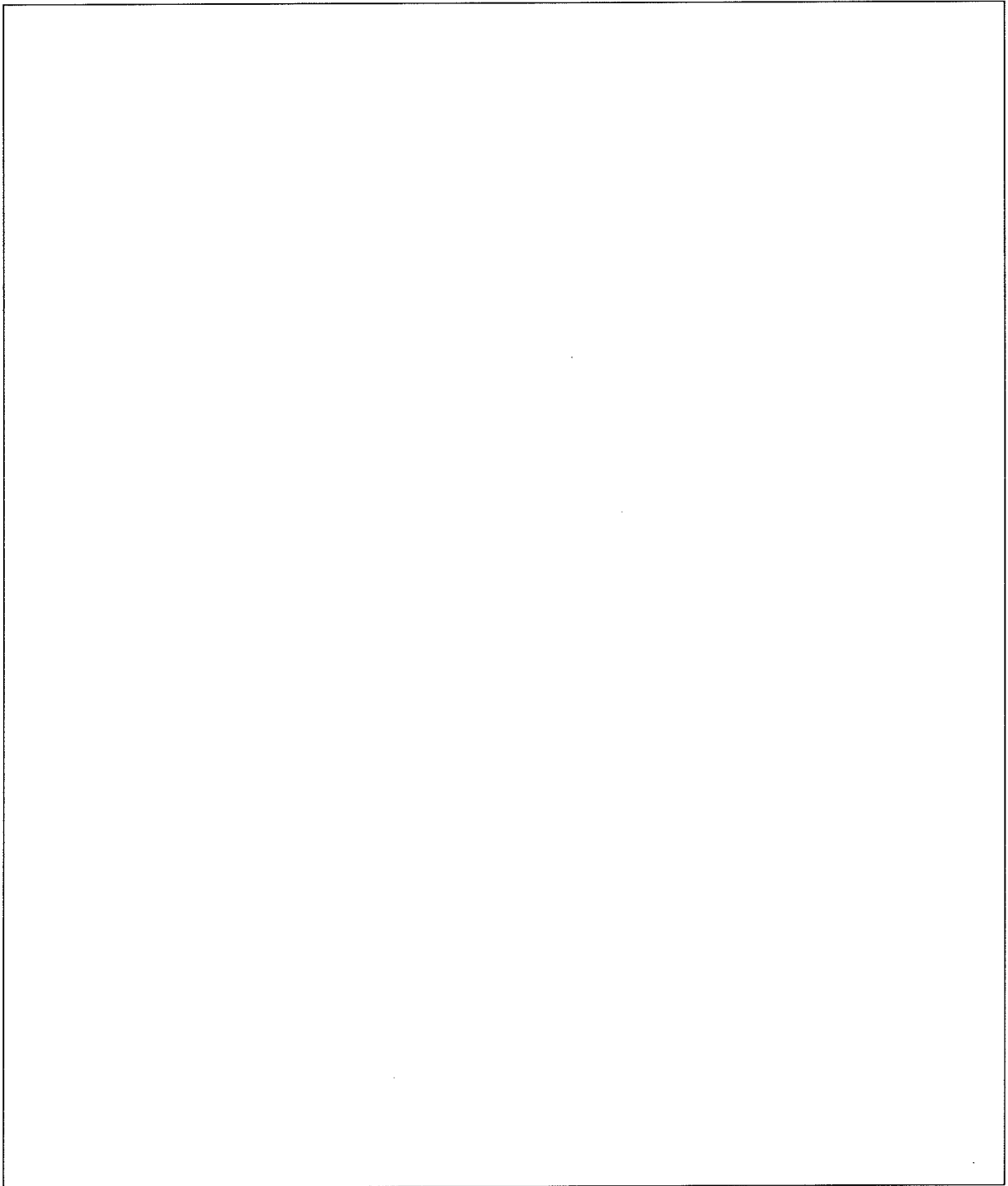
(e) In the space below, describe the servicing office's insurance marketing expertise.

A large, empty rectangular box with a thin black border, intended for the user to describe the servicing office's insurance marketing expertise. The box is currently blank.

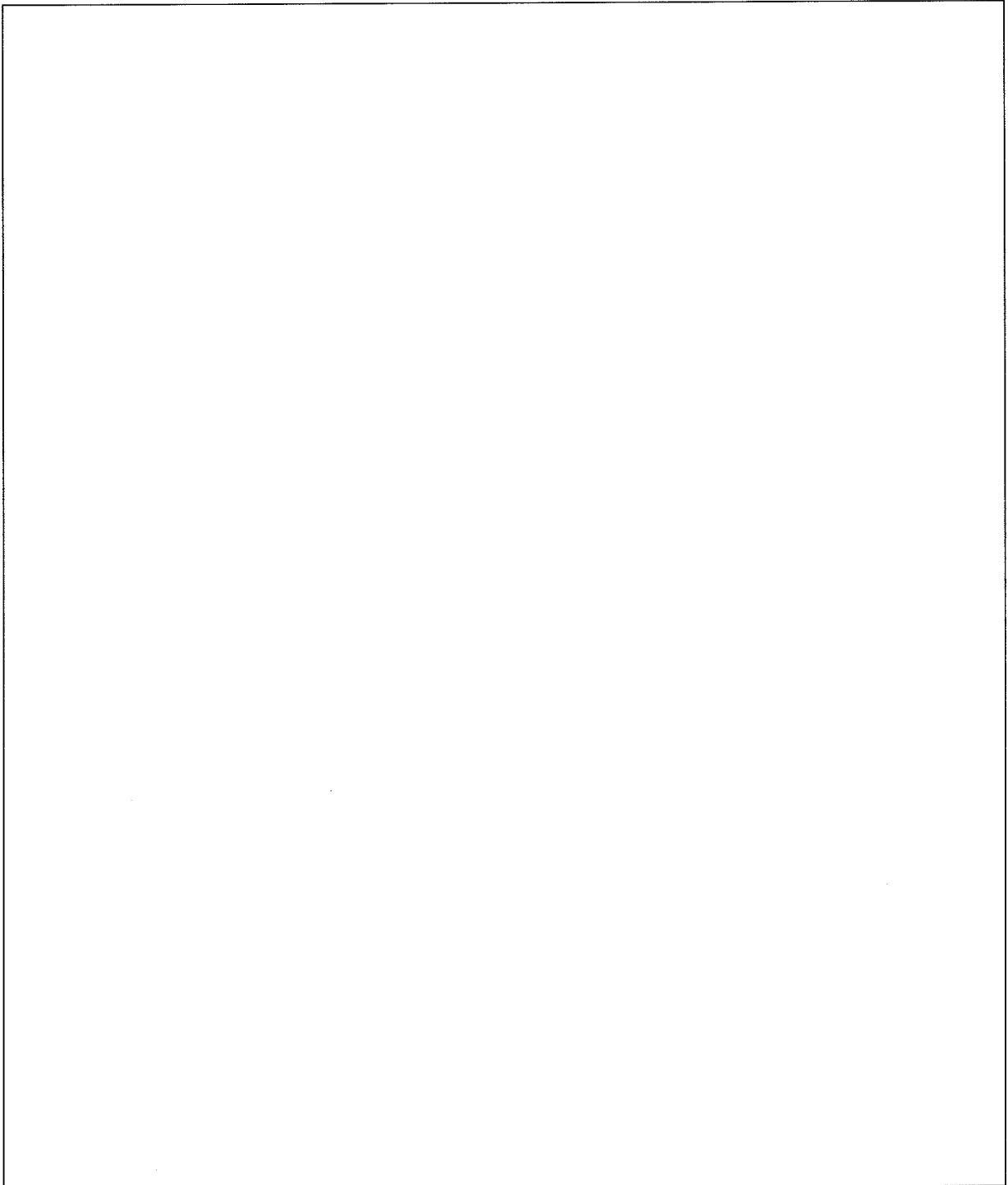
- (f) In the space below, describe the entity's experience with clients in the field of resources recovery and/or recycling, if any.



- (g) In the space below, describe the servicing office's experience with clients in the field of resources recovery and/or recycling, if any.

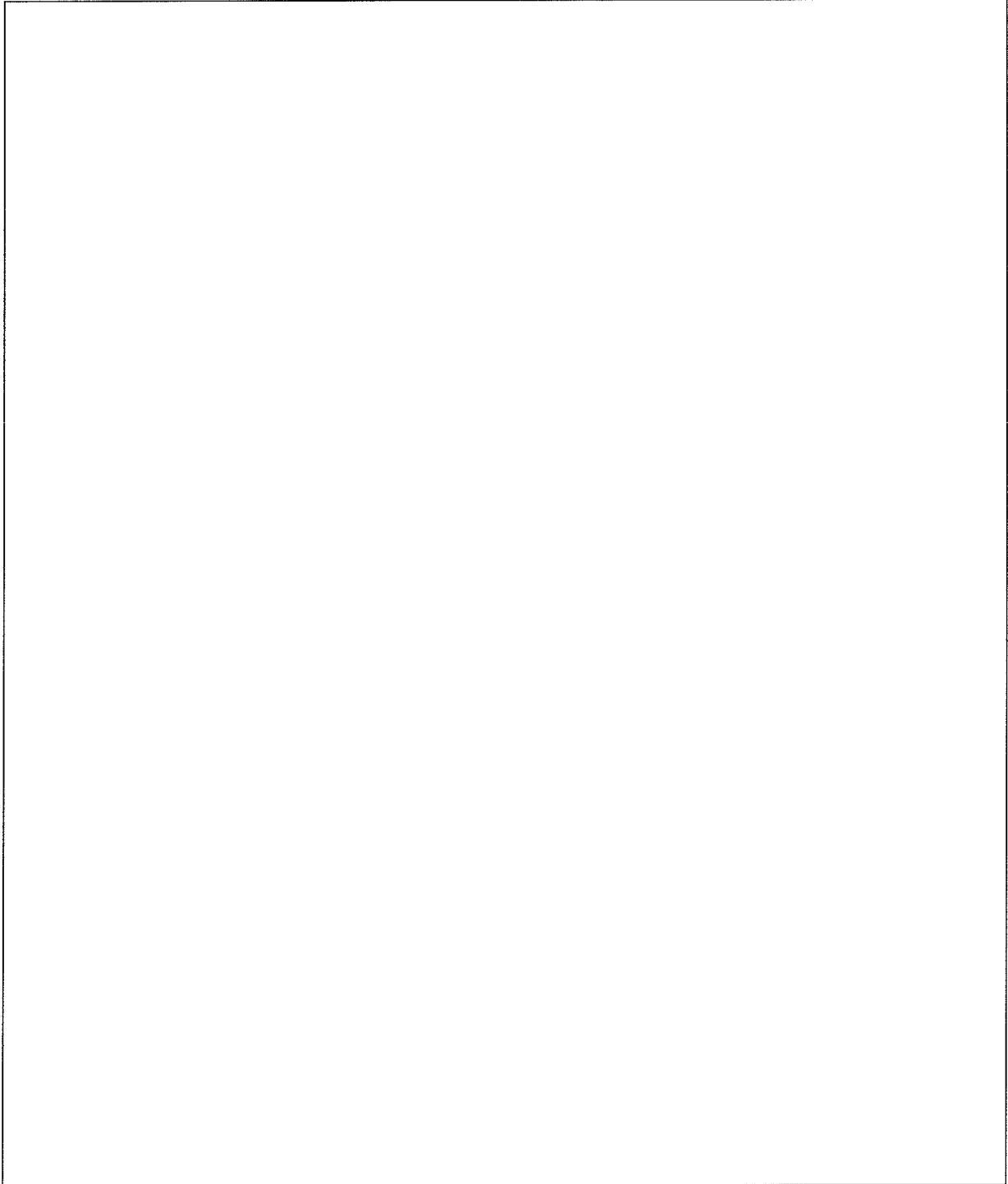


(h) In the space below, describe the entity's access to excess or surplus lines markets.

A large, empty rectangular box with a thin black border, intended for the user to provide a detailed description of the entity's access to excess or surplus lines markets.

- (i) In the space below, describe the entity's ability to provide loss control (property and life/safety) and claims management services. Indicate the offices/personnel that would provide these services. Such personnel must be listed in Personnel Background And Experience Form (Section 8 of the RFP Package Documents).

- (j) In the space below, describe the entity's ability to provide actuarial and risk management consulting services. Indicate the offices/personnel that would provide these services. Such personnel must be listed in the Personnel Background And Experience Form (Section 8 of the RFP Package Documents).



- (k) In the space below, indicate whether or not the entity provides materials to clients on a periodic basis that discuss items such as, but not limited to, loss control, market trends and specific lines of insurance. If the entity provides such materials, provide samples in Appendix B to the proposal.

--

- (l) In the space below, indicate the premium volume of the servicing office and the premium volume of the servicing office's three largest accounts.

	Premium Volume
Servicing Office Total	\$
Servicing Office Three Largest Accounts	\$

**REQUEST FOR PROPOSALS
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**SECTION 7
BUSINESS DISCLOSURE FORM**



**BUSINESS DISCLOSURE
FORM**

CONFLICTS OF INTEREST

In the table below, disclose any material assignments, relationships or other employment that the proposer or any employee of the proposer has with any member of CRRA's past or present Board of Directors, any CRRA employee, law firms, governmental entity, or other person or entities that may create a conflict of interest or the appearance of a conflict of interest in providing insurance consulting and broker services to CRRA.

[Attach Additional Pages If Necessary]

--

CONFLICT OF INTEREST MEASURES

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

[Attach Additional Pages If Necessary]

--

BUSINESS WITH MAJOR CRRA CONTRACTORS

In the table below, disclose any insurance consulting and/or broker services that the proposer has provided to any of the following major CRRA contractors. Place a check in the box for any such contractor for which the proposer has provided the services. If the proposer has provided any such services, provide a summary description of the services provided.

Having provided insurance consulting and/or broker services to one or more of the contractors listed below does not disqualify a proposer from consideration under this RFP.

[Attach Additional Pages If Necessary]

Entity	Summary Description of Services Provided
<input type="checkbox"/> Covanta	
<input type="checkbox"/> Copes Rubbish Service	
<input type="checkbox"/> CWPM, LLC	
<input type="checkbox"/> The Metropolitan District	
<input type="checkbox"/> NAES Corporation	
<input type="checkbox"/> Wheelabrator (Waste Management)	

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**SECTION 8
PERSONNEL BACKGROUND AND
EXPERIENCE FORM**



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. In completing the forms below, please note the following:

- The first individual listed should be the person who would be the account executive for the services for CRRA.
- In the "Staff Level" item, indicate the individual's staff level as specified on the Payment Rate Schedule Form (Section 5 of the RFP Package Documents).
- In the "% of Time Available" item, indicate the percentage of the individual's time that he/she would be available to provide services to CRRA.
- In the "Probable Areas of Responsibility" item, include an indication if the individual would provide loss control (property and life/safety) and claims management services and/or actuarial and risk management consulting services.

If more than 10 individuals would be assigned to work with CRRA, copy page 7 of this form and use it to provide the requested information for the additional individuals.

Provide a brief resume (i.e., no more than two pages) of each individual listed on this Form as Appendix A to the proposal.

PROFESSIONAL 1 – ACCOUNT EXECUTIVE

Name:		Staff Level:	
Title:		% of Time Available:	
Probable Areas of Responsibility:			
Background:			
List Three Other Accounts Managed by Account Executive			

PROFESSIONAL 2

Name:		Staff Level:	
Title:		% of Time Available:	
Probable Areas of Responsibility:			
Background:			

PROFESSIONAL 3

Name:		Staff Level:	
Title:		% of Time Available:	
Probable Areas of Responsibility:			
Background:			

PROFESSIONAL 4

Name:		Staff Level:	
Title:		% of Time Available:	
Probable Areas of Responsibility:			
Background:			

PROFESSIONAL 5

Name:		Staff Level:	
Title:		% of Time Available:	
Probable Areas of Responsibility:			
Background:			

PROFESSIONAL 6

Name:		Staff Level:	
Title:		% of Time Available:	
Probable Areas of Responsibility:			
Background:			

PROFESSIONAL 7

Name:		Staff Level:	
Title:		% of Time Available:	
Probable Areas of Responsibility:			
Background:			

PROFESSIONAL 8

Name:		Staff Level:	
Title:		% of Time Available:	
Probable Areas of Responsibility:			
Background:			

PROFESSIONAL 9

Name:		Staff Level:	
Title:		% of Time Available:	
Probable Areas of Responsibility:			
Background:			

PROFESSIONAL 10

Name:		Staff Level:	
Title:		% of Time Available:	
Probable Areas of Responsibility:			
Background:			

**REQUEST FOR PROPOSALS
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**SECTION 9
REFERENCES FORM**



REFERENCES FORM

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

REFERENCE 1

Name of Person:	
Title:	
Name of Business:	
Address:	
Telephone Number:	
Brief Description Of Work Performed/ Services Provided:	

REFERENCE 2

Name of Person:	
Title:	
Name of Business:	
Address:	
Telephone Number:	
Brief Description Of Work Performed/ Services Provided:	

REFERENCE 3

Name of Person:	
Title:	
Name of Business:	
Address:	
Telephone Number:	
Brief Description Of Work Performed/ Services Provided:	

**REQUEST FOR PROPOSALS
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SECTION 10

**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, Proposer or Statement of Qualifications Submitter, 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 Business Enterprise 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 certified by DAS as a Small Business Enterprise? ¹	<input type="checkbox"/>	<input type="checkbox"/>
3. Is the Contractor a Minority Owned 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 certified by DAS as a Minority Owned Business Enterprise? ¹	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the Contractor have an Affirmative Action Plan? ² <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

FOOTNOTES

- ¹ If the Contractor answered "yes" to Question 2A and/or 3A, Contractor must attach a copy of its DAS Set-Aside Certificate to this Questionnaire.
- ² If the Contract is a "public works contract" (as defined in Section 46a-68b of the Connecticut General Statutes), the dollar amount exceeds Fifty Thousand Dollars (\$50,000.00) in any fiscal year, and the Contractor has fifty (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 BUSINESS ENTERPRISE

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

1. Has been doing business under the same ownership or management and has maintained its principal place of business in the Connecticut for at least one year immediately prior to the issuance of the Request For Bids/ Proposals/Qualifications;
2. Has had gross revenues not exceeding fifteen million dollars (\$15,000,000) during its most recent fiscal year; and
3. At least 51% of the ownership of the Contractor is held by a person(s) who exercises the operational authority over daily affairs of the business and has the power to direct policies and management and receives beneficial interests of the business.

SCHEDULE B CRITERIA FOR A MINORITY OWNED BUSINESS ENTERPRISE

Contractor must meet all of the following criteria to qualify as a Minority Owned Business Enterprise:

1. Satisfies all of the criteria in Schedule A for a Small Business Enterprise;
2. At least 51% of the ownership of the Contractor by one or more minority person(s) who exercises operational authority over daily affairs of the business, has the power to direct management and policies and receives the beneficial interests of the business;
3. A minority is a person(s) who is American Indian, Asian, Black, Hispanic, has origins in the Iberian Peninsula, a woman, or an individual with a disability.

CONNECTICUT GENERAL STATUTES SECTION 46a-68b

As used in this section and sections 4a-60, 4a-60a, 4a-60g, 4a-62, 46a-56 and 46a-68c to 46a-68k, inclusive: "Public works contract" means any agreement between any individual, firm or corporation and the state or any political subdivision of the state other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the state, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

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**SECTION 11
AFFIDAVIT OF THIRD PARTY FEES**



AFFIDAVIT OF THIRD PARTY FEES (Form A2)

This Affidavit must be completed and properly executed by an individual or business entity submitting a bid/proposal/statement of qualifications to the Connecticut Resources Recovery Authority (such individual or business entity hereinafter referred to as the "Contractor"). The purpose of this Affidavit is to ascertain if the Contractor has made or promised any payment to a third party attributable to this Agreement. If no such payment has been made or promised, Contractor should write "None" in the first box in the table and execute this Affidavit. For purposes of the Affidavit, Contractor's subcontractors, if any, are not considered third parties.

I, _____, a duly authorized officer and/or representative of _____ (firm name) (the "Contractor"), 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. The Contractor seeks to enter into the "Insurance Consulting and Broker 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 _____

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
FOR
INSURANCE CONSULTING AND BROKER SERVICES**

**SECTION 12
AFFIDAVIT CONCERNING
NONDISCRIMINATION**



**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, 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 "Insurance Consulting and Broker Services Agreement" (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

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, 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, 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;

**REQUEST FOR PROPOSALS
FOR
INSURANCE CONSULTING AND BROKER SERVICES**

**SECTION 13
BACKGROUND QUESTIONNAIRE**



BACKGROUND QUESTIONNAIRE

This Questionnaire must be completed and properly executed by an individual or business entity submitting a bid/proposal/statement of qualifications to the Connecticut Resources Recovery Authority (such individual or business entity hereinafter referred to as the "Contractor").

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

	Yes	No
<p>1. Has the Contractor or any of the following ever been the subject of a criminal investigation?</p> <ul style="list-style-type: none"> (a) A principal of the Contractor; (b) An owner of the Contractor; (c) An officer of the Contractor; (d) A partner in the Contractor; (e) A director of the Contractor; or (f) A stockholder of the Contractor holding 50% or more of the stock of the Contractor. <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 1B 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>1B. Has any conviction arisen out of any such indictment?</p> <p><i>If you answered "Yes" to Question 1B, proceed to Question 2 and, on a separate sheet of paper, state the following: the name of the person or entity convicted, the sentence imposed and whether or not an appeal of the conviction is pending.</i></p> <p><i>If you answered "No" to Question 1B, proceed to Question 2.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>

<p>2. Has the Contractor or any of the following ever been the subject of a civil investigation¹?</p> <ul style="list-style-type: none"> (a) A principal of the Contractor; (b) An owner of the Contractor; (c) An officer of the Contractor; (d) A partner in the Contractor; (e) A director of the Contractor; or (f) A stockholder of the Contractor holding 50% or more of the stock of the Contractor. <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; the status of the investigation; and the outcome 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 any of the following has an ownership interest of 50% or more in such entity ever been the subject of a criminal investigation?</p> <ul style="list-style-type: none"> (a) A principal of the Contractor; (b) An owner of the Contractor; (c) An officer of the Contractor; (d) A partner in the Contractor; (e) A director of the Contractor; or (f) A stockholder of the Contractor. <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 3B 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>3B. Has any conviction arisen out of any such indictment?</p> <p><i>If you answered "Yes" to Question 3B, proceed to Question 4 and, on a separate sheet of paper, state the following: the name of the person or entity convicted, the sentence imposed and whether or not an appeal of the conviction is pending.</i></p> <p><i>If you answered "No" to Question 3B, proceed to Question 4.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>

¹ The phrase "civil investigation" means an investigation undertaken by a governmental entity (e.g., federal, state or municipal) that has investigative and enforcement authority (e.g., the Office of the Connecticut Attorney General, the Connecticut Ethics Commission, the Connecticut Elections Enforcement Commission, the federal Securities and Exchange Commission).

<p>4. Has any entity (e.g., corporation, partnership, etc.) in which any of the following has an ownership interest of 50% or more in such entity ever been the subject of a civil investigation¹?</p> <p>(a) A principal of the Contractor; (b) An owner of the Contractor; (c) An officer of the Contractor; (d) A partner in the Contractor; (e) A director of the Contractor; or (f) A stockholder of the Contractor.</p> <p><i>If you answered "Yes" to Question 4, proceed to Question 5 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; the identity of the person or entity involved; the status of the investigation; and the outcome of the investigation..</i></p> <p><i>If you answered "No" to question 4, proceed to Question 5.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>5. Has the Contractor or any of the following ever been debarred from bidding on, or otherwise applying for, any contract with the State of Connecticut or any other governmental authority?</p> <p>(a) A principal of the Contractor; (b) An owner of the Contractor; (c) An officer of the Contractor; (d) A partner in the Contractor; (e) A director of the Contractor; or (f) A stockholder of the Contractor holding 50% or more of the stock of the Contractor.</p> <p><i>If you answered "Yes" to Question 5, proceed to the Certification on the following page and, on a separate sheet of paper please explain.</i></p> <p><i>If you answered "No" to question 5, proceed to the Certification on the following page.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>

CERTIFICATION

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 Contractor herein, that he/she has provided answers to the foregoing questions on the Contractor's background, and, under the penalty of perjury, certifies that each and every answer is true.

Sworn to before me this _____ day of _____ 20 ____

Notary Public/Commissioner of the Superior Court

**REQUEST FOR PROPOSALS
FOR
INSURANCE CONSULTING AND BROKER SERVICES**

SECTION 14

**SEEC FORM 11
NOTICE TO EXECUTIVE BRANCH STATE
CONTRACTORS AND PROSPECTIVE STATE
CONTRACTORS OF CAMPAIGN
CONTRIBUTION AND SOLICITATION BAN**

SEEC FORM 11

NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (*italicized words* are defined on the following page):

Campaign Contribution and Solicitation Ban

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract* or *state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Duty to Inform

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

Penalties for Violations

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties—\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

Contract Consequences

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "State Contractor Contribution Ban."

Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

**REQUEST FOR PROPOSALS
FOR
INSURANCE CONSULTING AND BROKER SERVICES**

**SECTION 15
NOTICE OF AWARD**



NOTICE OF AWARD

TO: [NAME OF CONTACT FOR SUCCESSFUL PROPOSER]
[NAME OF SUCCESSFUL PROPOSER]
[ADDRESS 1 OF SUCCESSFUL PROPOSER]
[ADDRESS 2 OF SUCCESSFUL PROPOSER]

PROJECT: General Fund

RFQ NUMBER: 12-FA-001

CONTRACT: Insurance Consulting and Broker Services Agreement

The Connecticut Resources Recovery Authority (“CRRA”) has considered the Proposal submitted by you dated [DATE] in response to CRRA’s Notice To Firms – Request For Proposals for insurance consulting and insurance broker services, which services are more particularly described in the “Insurance Consulting and Broker Services Agreement” (the “Services”).

You are hereby notified that your Proposal has been accepted for performing the Services from time to time as the same may be requested by CRRA.

Within ten (10) days from the date of this Notice of Award you are required to:

- (a) Execute the two attached counterparts of the non-negotiable Agreement and deliver such executed counterparts to CRRA. Such execution includes:
 - (1) Entering the requested information in the “Notices” Section (Section 7.8, Page 20) of the Agreement,
 - (2) Signing the Agreement (Page 22),
 - (3) Printing the signer’s name under the signature line (Page 22) and
 - (4) Printing the signer’s title following the word “Its” (Page 22);
- (b) Execute the attached Contractor’s Certification Concerning Gifts and deliver such executed Certification to CRRA;
- (c) Execute the attached Affidavit Concerning Consulting Fees and deliver such executed Affidavit to CRRA;

- (d) Deliver to CRRA the requisite certificate(s) of insurance as specified in Article 6 of the Agreement [Please be advised that this is the area in which Consultants seem to have the most difficulty. CRRA requires that the certificate submitted show evidence of exactly the insurance requirements specified in the Agreement.];
- (e) Complete and deliver to CRRA the attached Form W-9, "Request for Taxpayer Identification Number and Certification;" and
- (f) If the remittance address/contact information for the Services is different from the address/contact information indicated on Page 1 of this "Notice of Award," provide such remittance address/contact information in the following table;

Consultant Name:	
Remittance Contact:	
Title:	
Street Address:	
Street Address:	
City, State, Zip Code	
Telephone Number:	
Fax Number:	
E-Mail Address:	

- (g) Satisfy all other conditions set forth herein.

As you have agreed, the terms and conditions of the Agreement, as attached, are non-negotiable.

If you fail within ten (10) days from the date of this Notice Of Award to perform and complete any of your obligations set forth in items (a) through (g) above, CRRA will be entitled to consider all your rights arising out of CRRA's acceptance of your Proposal as abandoned and terminated. CRRA will also be entitled to such other rights and remedies as may be granted at law or in equity.

You are required to acknowledge your receipt of this Notice Of Award by signing below and returning the same to CRRA at the following address:

Connecticut Resources Recovery Authority
 100 Constitution Plaza, 6th Floor
 Hartford, CT 06103
 Attention: __

Dated this [DAY] day of [MONTH], [YEAR].

Connecticut Resources Recovery Authority

By: _____
Lynn Martin
Title: Risk Manager

ACCEPTANCE OF NOTICE

Receipt of this NOTICE OF AWARD is hereby acknowledged this _____ day of _____, 20__.

By:

Signature: _____

Name (print/type): _____

Title: _____

ATTACHMENT A
To
NOTICE OF AWARD

CONTRACTOR'S CERTIFICATION
CONCERNING GIFTS



**CONTRACTOR'S CERTIFICATION
CONCERNING GIFTS**

INSURANCE CONSULTING AND BROKER SERVICES

(This CERTIFICATION is to be signed by an authorized officer of the Contractor or the Contractor's managing general partner.)

Section 4-252 of the *Connecticut General Statutes* requires that a Contractor (i.e., the successful bidder/proposer/statement of qualifications submitter for an Agreement) complete and properly execute this Certification Concerning Gifts at the same time that the Contractor executes the Agreement. If the Contractor fails to make the required certifications, the Contractor shall be disqualified for the Agreement.

I, _____, a duly authorized officer and/or representative of _____ (firm name) (the "Contractor"), 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; and
- 2. The Contractor has submitted a bid/proposal/statement of qualifications for the "Insurance Consulting and Broker Services Agreement" (the "Agreement") to the Connecticut Resources Recovery Authority ("CRRA"), has been selected by CRRA as the successful bidder/proposer/statement of qualifications submitter for the Agreement and is prepared to enter into the Agreement with CRRA; and
- 3. No gifts were made between January 1, 2011 and the date of execution of the Agreement, by
 - (a) The Contractor,
 - (b) Any principals and key personnel of the Contractor who participated substantially in preparing the Contractor's bid/proposal/statement of qualifications for or the negotiation of the Agreement, or
 - (c) Any agent of the Contractor or principals and key personnel who participated substantially in preparing the Contractor's bid/proposal/statement of qualifications for or the negotiation of the Agreement

to

- (1) Any public official or employee of CRRA who participated substantially in the preparation of the bid/proposal/qualifications solicitation for or the negotiation or award of the Agreement (such CRRA employees are listed in Table 2 below), or
- (2) Any public official or state employee of any state agency who has supervisory or appointing authority over CRRA (such public officials and state employees are listed in Table 3 below); and
- 4. No such principals and key personnel of the Contractor or agent of the Contractor or principals and key personnel knows of any action by Contractor to circumvent the prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the Contractor to provide a gift to any such public official or state employee; and

5. The Contractor made the bid/proposal/statement of qualifications for the Agreement without fraud or collusion with any person;
6. The information set forth herein is true, to the best of my knowledge and belief, subject to the penalties of false statement.

TABLE 2: CRRA Substantial Participants in the Preparation of the Request for Bids/Proposals for the Agreement

Lynn Martin, Risk Manager
James Bolduc, Chief Financial Officer

TABLE 3: Public Officials and State Employees of State Agencies Who Have Supervisory or Appointing Authority over CRRA

Governor Dannel P. Malloy
Senator Donald E. Williams, Jr., President Pro Tempore of the Senate
Senator John McKinney, Minority Leader of the Senate
Representative Christopher G. Donovan, Speaker of the House of Representatives
Representative Lawrence F. Cafero, Jr., Minority Leader of the House of Representatives

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

_____, being fully sworn, deposes and says that he/she is the _____ (Title) of _____ (Firm Name), the Contractor herein, that he/she has read the foregoing statement concerning gifts, and, under the penalty of perjury, certifies that each and every part of said statement is true to his/her best knowledge and belief.

Sworn to before me this _____ day of _____ 20 ____

 Notary Public/Commissioner of the Superior Court

For the purposes of this Certification Concerning Gifts, the following terms are defined as follows:

"Gift" means anything of value, which is directly and personally received, unless consideration of equal or greater value is given in return. "Gift" shall not include:

- (1) A political contribution otherwise reported as required by law or a donation or payment as described in subdivision (9) or (10) of subsection (b) of section 9-333b of the *Connecticut General Statutes*;
- (2) Services provided by persons volunteering their time, if provided to aid or promote the success or defeat of any political party, any candidate or candidates for public office or the position of convention delegate or town committee member or any referendum question;
- (3) A commercially reasonable loan made on terms not more favorable than loans made in the ordinary course of business;
- (4) A gift received from (A) an individual's spouse, fiance or fiancée, (B) the parent, brother or sister of such spouse or such individual, or (C) the child of such individual or the spouse of such child;
- (5) Goods or services (A) which are provided to the state (i) for use on state property, or (ii) to support an event or the participation by a public official or state employee at an event, and (B) which facilitate state action or functions. As used in this Affidavit Concerning Gifts, "state property" means (i) property owned by the state, or (ii) property leased to an agency in the Executive or Judicial Department of the state;
- (6) A certificate, plaque or other ceremonial award costing less than one hundred dollars;
- (7) A rebate, discount or promotional item available to the general public;
- (8) Printed or recorded informational material germane to state action or functions;
- (9) Food or beverage or both, costing less than fifty dollars in the aggregate per recipient in a calendar year, and consumed on an occasion or occasions at which the person paying, directly or indirectly, for the food or beverage, or his representative, is in attendance;
- (10) Food or beverage or both, costing less than fifty dollars per person and consumed at a publicly noticed legislative reception to which all members of the General Assembly are invited and which is hosted not more than once in any calendar year by a lobbyist or business organization. For the purposes of such limit, (A) a reception hosted by a lobbyist who is an individual shall be deemed to have also been hosted by the business organization which he owns or is employed by, and (B) a reception hosted by a business organization shall be deemed to have also been hosted by all owners and employees of the business organization who are lobbyists. In making the calculation for the purposes of such fifty-dollar limit, the donor shall divide the amount spent on food and beverage by the number of persons whom the donor reasonably expects to attend the reception;
- (11) Food or beverage or both, costing less than fifty dollars per person and consumed at a publicly noticed reception to which all members of the General Assembly from a region of the state are

invited and which is hosted not more than once in any calendar year by a lobbyist or business organization. For the purposes of such limit, (A) a reception hosted by a lobbyist who is an individual shall be deemed to have also been hosted by the business organization which he owns or is employed by, and (B) a reception hosted by a business organization shall be deemed to have also been hosted by all owners and employees of the business organization who are lobbyists. In making the calculation for the purposes of such fifty-dollar limit, the donor shall divide the amount spent on food and beverage by the number of persons whom the donor reasonably expects to attend the reception. As used in this subdivision, "region of the state" means the established geographic service area of the organization hosting the reception;

- (12) Gifts costing less than one hundred dollars in the aggregate or food or beverage provided at a hospitality suite at a meeting or conference of an interstate legislative association, by a person who is not a registrant or is not doing business with the state of Connecticut;
- (13) Admission to a charitable or civic event, including food and beverage provided at such event, but excluding lodging or travel expenses, at which a public official or state employee participates in his official capacity, provided such admission is provided by the primary sponsoring entity;
- (14) Anything of value provided by an employer of (A) a public official, (B) a state employee, or (C) a spouse of a public official or state employee, to such official, employee or spouse, provided such benefits are customarily and ordinarily provided to others in similar circumstances; or
- (15) Anything having a value of not more than ten dollars, provided the aggregate value of all things provided by a donor to a recipient under this subdivision in any calendar year shall not exceed fifty dollars.

"Participated substantially" means participation that is direct, extensive and substantive, and not peripheral, clerical or ministerial.

"Principals and key personnel" means officers, directors, shareholders, members, partners and managerial employees.

ATTACHMENT B
To
NOTICE OF AWARD

AFFIDAVIT CONCERNING
CONSULTING FEES



**AFFIDAVIT CONCERNING
CONSULTING FEES**

Pursuant to Section 4a-81 of the Connecticut General Statutes, this Affidavit must be completed and properly executed under penalty of false statement by a chief official of the successful bidder/proposer/statement of qualifications submitter for an Agreement (the "Contractor"). Such chief official of the Contractor must be the person who is properly authorized to execute the Agreement on behalf of the Contractor. This Affidavit must be properly executed at the same time that the Contractor executes the Agreement. If the Contractor fails to execute this Affidavit, the Contractor shall be disqualified for the Agreement.

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 "Insurance Consulting and Broker Services Agreement" (the "Agreement") with the Connecticut Resources Recovery Authority ("CRRRA");
2. Except as disclosed in Table 1 below and except for a consulting agreement that is with a consultant who is registered under the provisions of Chapter 10 of the Connecticut General Statutes¹ as of the date this Affidavit is submitted, Contractor has not entered into any consulting agreement² in connection with the Agreement whereby any duties of the consultant pursuant to said consulting agreement² require that consultant pursue communications concerning business of CRRRA, whether or not direct contact with CRRRA, a CRRRA official, a CRRRA employee, a state agency, a state or public official, or a state employee was expected or made;
3. Contractor shall amend this Affidavit whenever Contractor enters into any new consulting agreement² during the term of the Agreement; and
4. The statements set forth herein are true, to the best of my knowledge and belief, subject to the penalties of false statement.

¹ Pursuant to Section 1-94 of Chapter 10 the Connecticut General Statutes, a lobbyist as defined in the Chapter is required to register with the Office of State Ethics.

² Pursuant to Section 41-81 of the Connecticut General Statutes, for the purposes of this Affidavit, "consulting agreement" means "any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the state, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the state, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information, or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of chapter 10 as of the date such affidavit is submitted in accordance with the provisions of this section.

TABLE 1: Disclosure of Consulting Agreements

(If Contractor has not entered into any consulting agreements² in connection with the Agreement, Contractor should enter "None" in the space provided for the "Name of Consultant.")

Name of Consultant:	
Name of Consultant's Firm:	
Description of the Basic Terms of the Consulting Agreement:	
Brief Description of the Services Provided:	
Is the Consultant a Former State Employee or Public Official?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If the answer to the question above concerning whether or not the consultant is a former state employee or public official is "Yes," the following information must be provided.	
Name of Former Agency:	
Date Employment Terminated:	

By (Signature): _____

Name (Print): _____

Title: _____

Sworn to before me this _____ day of _____ 20 _____

Notary Public/Commissioner of the Superior Court

Commission Expiration Date

**REQUEST FOR PROPOSALS
FOR
INSURANCE CONSULTING AND BROKER SERVICES**

**SECTION 16
INSURANCE CONSULTING
AND
BROKER SERVICES
AGREEMENT**

**INSURANCE CONSULTING
AND
BROKER SERVICES
AGREEMENT**

BETWEEN

**CONNECTICUT RESOURCES
RECOVERY AUTHORITY**

AND

[NAME OF CONSULTANT]

Dated as of _____, 2011

INSURANCE CONSULTING AND BROKER SERVICES AGREEMENT

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- EXHIBIT G: Affidavit Of Third Party Fees
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- EXHIBIT I: Affidavit Concerning Consulting Fees
- EXHIBIT J: Contractor's Certification Concerning Gifts
- EXHIBIT K: President's Certification Concerning Gifts

This **INSURANCE CONSULTING AND BROKER SERVICES AGREEMENT** (“Agreement”) is made and entered into as of this First day of January, 2012 (the “Effective Date”) by and between the **CONNECTICUT RESOURCES RECOVERY AUTHORITY**, a body politic and corporate, constituting a public instrumentality and political subdivision of the State of Connecticut, having its principal offices at 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103 (hereinafter “CRRA”) and [NAME OF CONSULTANT], having its principal offices at [ADDRESS OF CONSULTANT] (hereinafter “Consultant”).

PRELIMINARY STATEMENT

WHEREAS CRRA is the owner or lessee of certain pieces and parcels of real property located throughout the State of Connecticut (collectively, the “Properties”) upon which Properties CRRA owns and operates various solid waste management and/or disposal facilities (collectively, the “Facilities”).

WHEREAS CRRA now desires to enter into this Agreement with Consultant in order for Consultant to provide certain insurance consulting and broker services from time to time in accordance with the Contract Documents (the “Project”).

NOW, THEREFORE, in consideration of the mutual covenants, promises, and representations contained herein, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties hereto agree as follows.

1. DEFINITIONS, CONSTRUCTION AND INTERPRETATION

1.1. Definitions

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

- (a) **“Addenda”** means written or graphic documents issued prior to the proposal due date, which clarify, correct or change any or all of the Contract Documents.
- (b) **“Contract Documents”** means this Agreement (including all exhibits attached hereto), Notice To Firms – Request For Proposals, Instructions To Proposers, Addenda, Consultant’s proposal (including all documentation accompanying such proposal, all other documentation submitted in connection with such proposal, and all post-proposal documentation submitted prior to the Notice Of Award), Notice Of Award, any written amendments to any of the Contract Documents.
- (c) **“Effective Date”** means the date set forth above in this Agreement.

- (d) **“Laws And Regulations”** means any and all applicable current or future 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.
- (e) **“Notice Of Award”** means written notification from CRRA to the apparent successful proposer which 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.

1.2. Construction And Interpretation

For purposes of this Agreement:

- (a) Capitalized terms used herein shall have the meanings set forth herein;
- (b) Whenever nouns or pronouns are used in this Agreement, the singular shall mean the plural, the plural shall mean the singular, and any gender shall mean all genders or any other gender, as the context may require;
- (c) Words that have well-known technical or trade meanings are used herein in accordance with such recognized meanings unless otherwise specifically provided;
- (d) All accounting terms not otherwise defined herein have the meanings assigned to them in accordance with “generally accepted accounting principles,” and the term “generally accepted accounting principles” with respect to any computation required or permitted hereunder shall mean such accounting principles that are generally accepted as of the Effective Date of this Agreement;
- (e) The words “herein”, “hereof” and “hereunder” and words of similar import refer to this Agreement as a whole and not to any particular Article, Section or Subsection;
- (f) Reference to any particular party shall include that party’s employees and the authorized agents of that party;
- (g) All references to agreements are references to the agreements as the provisions thereof that may be amended, modified or waived from time to time; and,
- (h) The captions contained in this Agreement have been inserted for convenience only and shall not affect or be effective to interpret, change or restrict the terms of provisions of this Agreement.

2. SCOPE OF SERVICES

2.1. Consultant's Responsibilities

CRRA retains Consultant to render certain independent insurance consulting and broker services, including the Fixed Annual Fee Services described in Section 1 of **Exhibit A** attached hereto (the "Services") as such Services may be requested from time to time by an Authorized Representative of CRRA on the terms specified in this Agreement. CRRA also retains Consultant to render, at CRRA's sole and absolute discretion, certain additional independent services related to the insurance consulting and broker services, including the Additional Services detailed in Section 2 of **Exhibit A** (the "Additional Services").

2.2. Performance and Completion of Services

All Services and Additional Services shall be performed and completed by Consultant as an independent contractor and in a good workmanlike manner consistent and in accordance with:

- (a) Any and all instructions, guidance and directions provided by CRRA to Consultant;
- (b) The Contract Documents;
- (c) Sound insurance consulting and broker practices;
- (d) The highest prevailing industry standards applicable to Consultant and its performance of the Services and any Additional Services hereunder;
- (e) All Laws And Regulations; and
- (f) Any Request (as hereinafter defined) pursuant to which such Additional Services are rendered.

Items (a) through (f) above are hereinafter collectively referred to as the "Standards."

2.3. Authorized Representative Of CRRA

Consultant will only perform the Services and any Additional Services upon request from an Authorized Representative of CRRA. For purposes of this Agreement, the terms "Authorized Representative of CRRA" or "Authorized Representative" shall mean CRRA's President (the "President"), CRRA's Risk Manager or any person designated in writing to Consultant by the President or the Risk Manager. Any Services or Additional Services performed at the request of anyone who is not an Authorized Representative shall not be paid for by CRRA. CRRA and Consultant shall from time to time mutually agree on the method and manner of performing such Services and any Additional Services.

2.4. Direction of Services

CRRA and/or its Authorized Representative may, where necessary or desired, provide Consultant with instructions, guidance and directions in connection with Consultant's performance of the Services and any Additional Services hereunder. CRRA reserves the right to determine whether Consultant will, upon completion of any phase of the Services or Additional Services, proceed to any or all remaining phases of the Services or Additional Services. If CRRA determines that Consultant shall not proceed with the remaining Services or Additional Services, CRRA shall terminate this Agreement in accordance with Section 4.3 hereof.

2.5. Request For Additional Services

At its discretion, CRRA, through an Authorized Representative, may require that prior to undertaking Additional Services, Consultant and an Authorized Representative mutually agree in writing upon a detailed Scope of Services required for such task, together with an estimate of the time, cost, and expenses for such Additional Services. In such cases, CRRA will request performance of such Additional Services by means of a written request in accordance with the format of **Exhibit B** attached hereto and made a part hereof (a "Request"). Accordingly, upon receipt and acceptance of a written Request, Consultant will perform such Additional Services described in such Request in accordance with the terms of this Agreement and such Request.

If, during Consultant's performance of such Additional Services, there is a change in Consultant's estimate time, cost or expenses for such Additional Services, Consultant will promptly notify CRRA in writing of such change and shall not incur any costs or expenses exceeding those specified in the Request without prior written authorization from an Authorized Representative. CRRA shall not pay for any Additional Services rendered or expenses incurred by Consultant in excess of those included in such Request unless specifically authorized in advance and in writing by an Authorized Representative.

2.6. CRRA's Inspection Rights

Consultant's performance of the Services and any Additional Services hereunder, as well as Consultant's work products resulting from such performance, are subject to inspection by CRRA. Inspections may be conducted at any time by CRRA. In the event of an inspection, Consultant shall provide to CRRA any documents or other materials that may be necessary in order for CRRA to conduct the inspection. If, after any such inspection, CRRA is unsatisfied with Consultant's performance of the Services or any Additional Services hereunder or any of the work products resulting therefrom, Consultant shall, at the direction of CRRA, render such performance or work products satisfactory to CRRA at no additional cost or expense to CRRA and, with respect to Additional Services, without any extension of the Estimated Time of Performance, as specified in the Request for such Additional Services. For purpose of this Section 2.5, CRRA shall mean CRRA and/or its Authorized Representative.

2.7. Change in Scope of Services

In the event that CRRA determines during the term of this Agreement that any revisions, modifications or changes are necessary to the Scope Of Services as set forth in Section 2.1 hereof, then pursuant to CRRA's request, Consultant shall promptly commence and perform the services required for such revisions, modifications or changes, which services shall be performed in accordance with the Standards unless otherwise specifically agreed to in writing by CRRA and Consultant.

2.8. Access

In the event that Consultant required access to any Facility or Property in order to perform any of the Services or Additional Services hereunder, CRRA hereby grants to Consultant, during the Facilities' normal hours of operation, access to only those areas of the Properties necessary for Consultant to perform the Services or any Additional Services hereunder, provided that:

- (a) Consultant shall not interfere with any other operations or activities being conducted on the Properties by either CRRA or any other person or entity;
- (b) Consultant directly coordinates with CRRA on such access and Consultant's storage of any equipment or materials on the Properties; and
- (c) Consultant is in compliance with all of the terms and conditions of this Agreement.

CRRA reserves the right to revoke the access granted to Consultant herein if Consultant fails to comply with any of the foregoing conditions of access.

2.9. Lobbying And Paying Finder's Fees

Pursuant to the *Connecticut General Statutes*, CRRA is prohibited from retaining or hiring a lobbyist as defined in section 1-91 of the *Connecticut General Statutes* or paying a finder's fee for any Services or Additional Services provided to CRRA. Therefore, Consultant shall not provide CRRA any lobbying services, or receive, pay, or distribute any finder's fees under this Agreement.

2.10. Proprietary Information

Consultant shall not use, publish, distribute, sell or divulge any information obtained from CRRA by virtue of this Agreement for Consultant's own purposes or for the benefit of any person, firm, corporation or other entity (other than CRRA) without the prior written consent of CRRA. Any report or other work product prepared by Consultant in connection with the performance of the Services or Additional Services hereunder shall be owned solely and exclusively by CRRA and cannot be used by Consultant for any purpose beyond the scope of this Agreement without the prior written consent of CRRA. Any material designated by CRRA in accordance with applicable law as confidential shall not be disclosed to any third

parties without the prior written consent of CRRA. However, Consultant acknowledges that CRRA is subject to the Connecticut Freedom of Information Act and CRRA must disclose certain documents in accordance with said statutes.

Consultant may release to insurers and other financial institutions CRRA's information relevant to the underwriting and/or evaluation of CRRA's risks and the processing of its claims, provided that such insurers and financial institutions are informed of the confidential nature of such information.

Consultant retains all of its rights in its inventions, expressions, know how, techniques, skills, knowledge and experience and materials used by it generally or provided by it generally to clients, and Consultant shall not be restricted in any way with respect thereto. The restrictions and agreements set forth in this Section 2.10 shall not apply to any information:

- (a) Which at the time disclosed to or obtained by Consultant is in the public domain;
- (b) Which becomes part of the public domain through no act, omission or fault of Consultant;
- (c) Which Consultant's records demonstrate was developed independently by Consultant or was received by Consultant from a third party which Consultant had no reason to believe had any confidentiality or fiduciary obligation to CRRA with respect to such information;
- (d) Which is required to be disclosed by law, including, without limitation, pursuant to the terms of a subpoena or other similar document; provided, however, Consultant shall give prior timely notice of such disclosure to CRRA to permit CRRA to seek a protective order, and, absent the entry of such protective order, Consultant shall disclose only such Confidential Information that Consultant is advised by its counsel must be disclosed by law; or
- (e) Following the lapse of five years after disclosure of such information to Consultant.

2.11. Books and Records

Consultant shall maintain proper financial books and records containing complete and correct information on all Services and any Additional Services performed by Consultant pursuant to this Agreement in accordance with generally accepted accounting principles and practices. CRRA has the right to inspect and review all such books and records during Consultant's business hours.

2.12. Progress Reports

If requested by CRRA, Consultant agrees to provide a progress report to CRRA by the 10th day of each calendar month for the Services and/or Additional Services which Consultant is performing. The report is to contain the following information in the format given:

- (a) Title of task;
- (b) Description of task;
- (c) Original schedule;
- (d) Original estimated budget by month in dollars and hours;
- (e) Progress in preceding month;
- (f) Estimated dollars and hours spent in preceding month;
- (g) Dollars and hours spent monthly, to date;
- (h) Problem areas; and
- (i) Description of activities for the coming month and estimated hours and dollars for such activities.

2.13. Status of Consultant

CRRA and Consultant acknowledge and agree that Consultant is acting as an independent Consultant in performing any Services or Additional Services for CRRA hereunder and that Consultant shall perform such Services and any Additional Services in its own manner and method subject to the terms of this Agreement. Nothing in this Agreement shall be construed or interpreted as creating a partnership, a joint venture, an agency, a master-servant relationship, an employer-employee relationship or any other relationship between CRRA and Consultant other than that of an owner and an independent contractor. Consultant is expressly forbidden from transacting any business in the name of or on account of CRRA, and Consultant has no power or authority to assume or create any obligation or responsibility for or on behalf of CRRA in any manner whatsoever.

2.14. Subcontractors

Consultant shall consult with CRRA before hiring any subcontractors to perform any Services or Additional Services hereunder. Consultant shall require all of its subcontractors to abide by the terms and conditions of this Agreement. Moreover, Consultant's subcontracts with such subcontractors shall specifically provide that, in the event of a default by Consultant thereunder or under this Agreement, CRRA may directly enforce such subcontracts and make payments thereunder. Consultant shall provide CRRA with all contracts, amendments, books, records, accounts, correspondence and other materials

necessary to enforce such subcontracts. Also Consultant's subcontracts with its subcontractors shall specifically include CRRA as a third party beneficiary and shall provide that such subcontractors shall not be excused from any of their obligations under such subcontracts by reason of any claims, setoffs, or other rights whatsoever that they may have with or against Consultant other than through such subcontracts.

2.15. Consultant's Employees

All persons employed by Consultant shall be subject and responsible solely to the direction of Consultant and shall not be deemed to be employees of CRRA.

2.16. Restriction On Other Agreements

This Agreement shall not be construed to restrict either CRRA or Consultant from entering into other consulting agreements similar to this one with other parties provided however Consultant shall not render services to another which would either be in conflict with the interests of CRRA or prevent Consultant from performing hereunder. Consultant shall not assign this Agreement or subcontract any of the Services or Additional Services to be performed hereunder without the prior written consent of the Authorized Representative.

3. COMPENSATION AND PAYMENT

3.1. Compensation Schedule

Consultant shall be paid by CRRA for the services rendered and expenses incurred under this Agreement pursuant to Section 1 of Exhibit A of this Agreement on the basis set forth in Section 1 of Exhibit C of this Agreement (the "Fixed Fee Component"). Consultant shall not receive any other compensation for the performance of the Services specified in Section 1 of Exhibit A of the Agreement.

Consultant shall be paid by CRRA for any Additional Services rendered and expenses incurred under this Agreement pursuant to a Request issued pursuant to Section 2.5 of the Agreement, including those Additional Services specified in Section 2 of Exhibit A of this Agreement, on the basis set forth in Section 2 of Exhibit C of this Agreement (the "Time And Materials Component").

CRRA will not reimburse the costs of first-class travel and expects that travel arrangements will take advantage of any cost-effective discounts or special rates. Provided they are consistent with CRRA's Travel and Expense Reporting document attached hereto and made a part hereof as Exhibit D, Consultant's out-of-pocket expenses associated with Additional Services shall be reimbursed at cost. Consultant will be deemed to have met CRRA's "receipt" requirements of such document if Consultant provides to CRRA with each billing

- (a) Receipts for all items greater than or equal to \$25 and

- (b) Copies of the Consultant's expense forms itemizing expenses incurred in providing Services to CRRA.

Consultant shall not be compensated for any time spent preparing any billing documentation, or any information requested by CRRA's in-house accountants/auditors or outside auditors, State of Connecticut auditors, or CRRA in-house accounting department, or related materials.

3.2. Bill Format

3.2.1. Fixed Fee Component

Consultant shall render a bill to CRRA for the full amount of the Fixed Fee Component as specified in Section 1 of **Exhibit C** for any particular Contract Year within 15 days of the beginning of that Contract Year.

3.2.2. Time and Materials Component

Consultant shall render a bill to CRRA each quarter for all of the Additional Services performed and all of the costs and expenses incurred in the immediately preceding quarter, if any, pursuant to a Request(s) issued pursuant to Section 2.5 of this Agreement. Each quarterly bill shall contain at least the following information:

- (a) The name, title and billing rate for each person performing Additional Services for which payment is sought;
- (b) A description of the Additional Services performed by each person by task;
- (c) The time spent by each person;
- (d) Separate listing of all expenses incurred including copies of receipts or subcontractor invoices;
- (e) The project name and number to be charged;
- (f) The contract number for this Agreement (to be provided by CRRA); and
- (g) The Request identification number, if appropriate.

The format for all quarterly bills is attached hereto as **Exhibit E** and made a part hereof.

Consultant shall not carry forward balances. If a previous bill is unpaid, Consultant shall resubmit that periodic bill for payment. Group or block billing is not acceptable and bills with such billing will be returned unpaid to the Consultant for clarification and itemization.

Invoices shall be accompanied by an itemization of disbursements and costs (long-distance calls, photocopying, etc.) and travel expenses shall be itemized separately to indicate travel, lodging, business meeting, meals, taxis and other expenses (specially detailed). Disbursements will be reimbursed at the Consultant's cost. Consultant shall be solely responsible for the reporting of and payment of federal, state, and local income taxes, FICA and FUTA contributions and shall maintain any insurance coverage required by state or federal law in addition to any insurance required hereunder.

3.3. Payment Procedure

CRRA shall have no obligation under this Agreement to pay for any Services or Additional Services that CRRA determines have not been performed and/or completed in conformance with the Standards, and CRRA shall have no obligation to pay Consultant any amount due Consultant under this Agreement if Consultant is in default hereunder. If CRRA disputes the amount in any written request for payment submitted by Consultant, CRRA shall have the right to withhold the disputed amount until the dispute is settled. CRRA shall notify Consultant of any disputed amount and the reason(s) for disputing such amount.

Consultant's acceptance of an assignment from CRRA will be deemed as Consultant's agreement to conform to CRRA's billing policies and procedures.

3.3.1. Fixed Fee Component

In regard to the bill submitted to CRRA by Consultant for the Fixed Fee Component as specified in Section 3.2.1, if CRRA determines, in its sole discretion, that

- (a) Consultant is not in default hereunder,
- (b) CRRA does not dispute the amount of the payment requested, and
- (c) The bill contains all of the information required hereunder,

then CRRA shall pay the amount requested within forty five (45) calendar days after its receipt of such bill.

If, however,

- (a) Such bill does not contain all the requisite information, or
- (b) Consultant is in default hereunder,

then CRRA may, in its sole and absolute discretion, withhold all or a portion of the payment requested by Consultant and Consultant shall, if requested by CRRA, immediately take, at Consultant's sole cost and expense, all action necessary to render such bill in conformance with the Standards, or to cure such default.

3.3.2. Time and Materials Component

In regard to the bill submitted to CRRA by Consultant for the Time and Materials Component as specified in Section 3.2.2, If CRRA determines, in its sole discretion, that

- (a) The Additional Services for which Consultant is requesting payment have been properly performed and completed in conformance with the Standards,
- (b) Consultant is not in default hereunder,
- (c) CRRA does not dispute the amount of the payment requested, and
- (d) The bill contains all of the information required hereunder,

then CRRA shall pay the amount requested within forth five (45) calendar days after its receipt of such bill.

If, however,

- (a) CRRA determines that any of the Additional Services for which Consultant has requested payment are not in conformance with the Standards,
- (b) Such bill does not contain all the requisite information, or
- (c) Consultant is in default hereunder,

then CRRA may, in its sole and absolute discretion, withhold all or a portion of the payment requested by Consultant and Consultant shall, if requested by CRRA, immediately take, at Consultant's sole cost and expense, all action necessary to render such Additional Services and/or such bill in conformance with the Standards, or to cure such default.

3.4. **Contingent, Management Service And Placement Commissions**

Consultant warrants that during its performance under this Agreement it will not receive, or direct to any third parties, any contingent commissions, management service agreement commissions, or any other form of placement commissions, with the exception of wholesale commissions which are customary in the industry. Consultant warrants that it will disclose to CRRA any wholesale commissions it receives from third parties during and related to Consultant's performance of this Agreement.

3.5. **Accounting Obligations**

Consultant shall maintain books and accounts of the costs incurred by Consultant in performing the Services and any Additional Services pursuant to this Agreement by contract

number and in accordance with generally accepted accounting principles and practices. CRRA, during normal business hours, for the duration of this Agreement, shall have access to such books and accounts to the extent required to verify such costs incurred.

3.6. Audit

CRRA reserves the right to review the reasonableness of all bills and expenses as they are billed to CRRA by Consultant. Upon reasonable notice from CRRA, Consultant agrees to allow CRRA to audit Consultant's files pertaining to CRRA's Services and any Additional Services assigned to Consultant. Any such audit will be conducted on Consultant's premises and Consultant will be expected to produce any pertinent file information requested including Consultant's time and expense records.

For an audit, Consultant must provide the following:

- (a) Access to files, records, bills in electronic forms, electronic daily billing reports and summaries;
- (b) Each worker's original bills and time slips for the services. Consultant must retain bills and time slips for each file;
- (c) A list of hourly rates for each individual providing Services and/or Additional Services.
- (d) A detailed explanation of Consultant's billing methods.

CRRA reserves the right to seek reimbursement of inappropriately billed time or expenses.

3.7. Withholding Taxes And Other Payments

No FICA (social security) payroll tax, state or federal income tax, federal unemployment tax or insurance payments, state disability tax or insurance payments or state unemployment tax or insurance payments shall be paid or deposited by CRRA with respect to Consultant, nor be withheld from payment to Consultant by CRRA. No workers' compensation insurance has been or will be obtained by CRRA on account of the Services and any Additional Services to be performed hereunder by Consultant, or any of Consultant's employees or subcontractors. Consultant shall be responsible for paying or providing for all of the taxes, insurance and other payments described or similar to those described in this Section 3.6 and Consultant hereby agrees to indemnify CRRA and hold CRRA harmless against any and all such taxes, insurance or payments, or similar costs which CRRA may be required to pay in the event that Consultant's status hereunder is determined to be other than that of an independent contractor.

3.8. State of Connecticut Taxes

Pursuant to Section 22a-270 of the *Connecticut General Statutes* (as the same may be amended or superseded from time to time), CRRA is exempt from all State of Connecticut

taxes and assessments (“Connecticut Taxes”), and the payment thereof. Without limiting the generality of the preceding sentence, the sale of any services or tangible personal property to be incorporated into or otherwise consumed in the operation of a CRRA Project is exempt from Connecticut Taxes, including without limitation Connecticut sales and use taxes, wherever purchased. Accordingly, Consultant shall not include in the fees, and Consultant shall not charge or pass through any Connecticut Taxes to CRRA, including that portion of any combined tax or assessment representing any Connecticut Taxes, regardless of whether Consultant has incurred any Connecticut State Taxes in its performance of the Agreement.

CRRA expresses no opinion as to the eligibility for any tax exemption, or refund or other reimbursement, including without limitation any Connecticut Taxes, with respect to tangible personal property purchased at any location for use in the performance of Work contemplated by this Agreement.

Consultant should consult with its tax advisor and/or its attorney, and the Connecticut Department of Revenue Services (“DRS”) and any other applicable tax authority, with regard to such tax authorities’ policies, procedures, recordkeeping and filing requirements for reimbursement of any taxes, including without limitation Connecticut Taxes, paid in the performance of Services and any Additional Services contemplated by this Agreement, and whether or not there is a mechanism available to Consultant for the reimbursement of taxes, including without limitation Connecticut Taxes, paid on fuel purchased for use in the performance of the Services and any Additional Services contemplated by this Agreement.

Consultant and CRRA agree that Consultant is and shall act as an independent contractor. Notwithstanding Consultant’s status as an independent contractor, but without limiting Consultant’s obligation hereunder to pay, and be solely responsible for, any Connecticut taxes levied, imposed or applicable to the Services and any Additional Services, for the sole purpose of allowing CRRA to benefit from the aforesaid exemption, CRRA shall designate, and Consultant has agreed to act, as CRRA’s agent in purchasing services and equipment, machinery, parts, materials, supplies, inventories, fuel, and other items necessary to perform the Services and any Additional Services hereunder for the account of CRRA, and with funds provided as reimbursement therefor by CRRA.

4. TERM OF AGREEMENT

4.1. Term

The term of this Agreement shall commence upon the Effective Date and shall terminate, unless otherwise terminated or extended in accordance with the terms and provisions hereof, on December 31, 2014.

4.2. Time is of the Essence

CRRA and Consultant hereby acknowledge and agree that time is of the essence with respect to Consultant’s performance of the Services and any Additional Services hereunder.

Accordingly, upon the Effective Date, Consultant shall immediately commence performance of the Services and continue to perform the same during the term of this Agreement. Upon CRRA's issuance to Consultant of a Request (and Consultant's agreement thereto if required), Consultant shall immediately commence performance of the Additional Services requested and continue to perform the same during the term of this Agreement in order to complete all of the Additional Services requested by the completion date set forth in such Request.

4.3. Termination

This Agreement may be terminated by CRRA upon at least thirty (30) days advance written notice.

Upon receipt of such written notice from CRRA, Consultant shall immediately cease work on any and all CRRA matters, unless otherwise directed in writing by the Authorized Representative. Upon termination of this Agreement pursuant to this Section 4.3,

- (a) CRRA shall pay Consultant for all Services and any Additional Services performed by Consultant prior to the termination date, provided:
 - (1) CRRA has determined that such Services or Additional Services have been performed by Consultant in conformance with the Standards;
 - (2) Payment for such Services or Additional Services has not been previously made or is not disputed by CRRA;
 - (3) Consultant is not in default hereunder; and,
 - (4) Consultant has performed all its obligations under this Section 4.3 to CRRA's satisfaction;
- (b) With regard to the Services, Consultant shall reimburse CRRA for the Fixed Fee Component of its compensation paid to Consultant for any Contract Year in which termination occurs according to the following schedule:
 - (1) 50% at inception;
 - (2) 65% after four months;
 - (3) 75% after six months;
 - (4) 80% after nine months; and
 - (5) 100% after eleven months;
- (c) CRRA shall have no further liability for making payment hereunder.

Except for the payment that may be required pursuant to the preceding sentence, CRRA shall not be liable to Consultant in any other manner whatsoever in the event CRRA exercises its right to terminate this Agreement.

Consultant shall transmit to CRRA originals or copies of any and all material prepared, developed or obtained under this Agreement which constitutes deliverables or work in process in Consultant's possession within thirty (30) days of receipt of the written notice of termination unless otherwise directed by the Authorized Representative.

In the event of termination, Consultant will assist CRRA in arranging a smooth transition process. However, Consultant's obligation and the obligation of its affiliates to provide services to CRRA will cease upon the effective date of termination, unless otherwise agreed in writing, except for the obligation to deliver to CRRA insurance policies and marketing data relating to coverage placed by Consultant prior to termination.

4.4. Records And Documents

Consultant shall retain and maintain accurate records and documents relating to the performance of Services and any Additional Services under this Agreement for a minimum of three (3) years after final payment by CRRA and shall make them available for inspection and audit by CRRA. Consultant's obligations under this Section 4.4 shall survive the termination or expiration of this Agreement.

5. INDEMNIFICATION

5.1. Consultant's Indemnity

Consultant shall at all times protect, defend, indemnify and hold harmless CRRA and its board of directors, officers, agents and employees from and against any all liabilities, actions, claims, damages, losses, judgments, workers' compensation payments, costs and expenses (including but not limited to attorneys' fees) arising out of injuries to the person (including death), damages to property or other damages alleged to have been sustained by: (a) CRRA or any of its directors, officers, agents or employees, or (b) Consultant or any of its directors, officers, employees, agents or sub-consultants, or (c) any other person, to the extent any such injuries, damages or damages are caused or alleged to have been caused in whole or in part by the acts, omissions or negligence of Consultant or any of its directors, officers, employees, agents or sub-consultants. Consultant further undertakes to reimburse CRRA for damages to property of CRRA caused by Consultant or any of its directors, officers, employees, agents or sub-consultants. The existence of insurance shall in no way limit the scope of this indemnification. Consultant's obligations under this Section 5.1 shall survive the termination or expiration of this Agreement.

6. INSURANCE

6.1. Required Insurance

At all times during the term of this Agreement, Consultant shall, at its sole cost and expense, procure and maintain for the duration of the contract, insurance against claims for injuries to

persons or damages to property which may arise from or in connection with the performance of the work hereunder performed by the Consultant, its agents, employees or subcontractors.

6.1.1. Minimum Scope of Insurance

Coverage shall be at least as broad as:

- (a) Commercial General Liability written on an Occurrence policy form;
- (b) Automobile Liability insurance Combined Single Limit;
- (c) Workers' Compensation insurance as required by the State in which work is being done;
- (d) Employers' Liability insurance;
- (e) Excess/Umbrella Liability insurance; and
- (f) Professional Liability insurance.

6.1.2. Minimum Limits of Insurance

Consultant shall maintain limits no less than:

- (a) General Liability:
 - \$1,000,000 Each Occurrence;
 - \$2,000,000 General Aggregate;
 - \$2,000,000 Products-Completed Operations Aggregate; and
 - \$1,000,000 Personal and Advertising Injury.
- (b) Automobile Liability:
 - \$1,000,000 per accident for bodily injury and property damage; include Owned, Hired, and Non-Owned Auto Liability.
- (c) Workers' Compensation:
 - Statutory Limits.
- (d) Employers' Liability:
 - \$1,000,000 Each Accident;
 - \$1,000,000 Disease-Policy Limit; and
 - \$1,000,000 Disease-Each Employee.
- (e) Excess/Umbrella:

\$5,000,000 Each Occurrence/Aggregate; schedule the General Liability, Automobile Liability, and Employers Liability and follow form with the underlying terms.

(f) Professional Liability:

\$2,000,000 Each Occurrence.

6.2. Deductibles and Self-Insured Retentions

Any deductibles or self-insured retentions must be declared to and approved by CRRA. If any person is owed, pursuant to any policy required hereunder, any sum which is subject to a deductible, Consultant shall pay such deductible.

6.3. Other Insurance Provisions

All policies are to contain, or be endorsed to contain, the following provisions:

- (a) CRRA shall be included as additional insured on all liability insurance including General Liability, Excess Liability and Automobile Liability. The General Liability Additional Insured endorsement must include “on-going operations” and “completed operations” coverage for the additional insured.
- (b) It shall be an affirmative obligation upon Consultant to advise CRRA’s Risk Manager by fax (860-757-7741), by e-mail (lmartin@crra.org), or by correspondence (CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, Attn: Risk Manager) within two days of the cancellation or substantive change of any insurance policy set out herein, and failure to do so shall be construed to be a breach of this Agreement.
- (c) Consultant’s insurance must be primary and no contributions shall be permitted from any insurance or self-insurance of CRRA.
- (d) Consultant waives, and requires their insurers to waive by endorsement, subrogation rights against CRRA for losses and damages incurred under the insurance policies required by the subcontract agreement.

6.4. Acceptability of Insurance

Insurance companies must be rated A-VII or better by A.M. Best. Insurance carriers should be lawfully authorized to do business in the jurisdiction where the work is being performed, unless otherwise approved by CRRA.

CRRA shall not, because of accepting, rejecting, approving, or receiving any certificate of insurance required hereunder, incur any liability for:

- (a) The existence, non-existence, form or legal sufficiency of the insurance described on such certificate,
- (b) The solvency of any insurer, or
- (c) The payment of losses.

6.5. Verification of Coverage

No work will be performed by Consultant until a certificate of insurance is submitted complying with all these insurance requirements.

6.6. Subcontractors

Consultant shall include all subcontractors as insureds under its policies or shall furnish separate certificates and endorsements for each subcontractor. All coverages for subcontractors shall be subject to all the requirements stated herein.

7. MISCELLANEOUS

7.1. Non-Discrimination

Consultant agrees to the following:

- (a) Consultant agrees and warrants that in the performance of the Agreement Consultant 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, sexual orientation, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by Consultant that such disability prevents performance of the Services involved, in any manner prohibited by the laws of the United States or of the State of Connecticut; and the Consultant 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, sexual orientation, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by Consultant that such disability prevents performance of the Services involved;
- (b) Consultant agrees, in all solicitations or advertisements for employees placed by or on behalf of Consultant, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the Connecticut Commission on Human Rights and Opportunities (the "Commission");

- (c) Consultant agrees to provide each labor union or representative of workers with which Consultant has a collective bargaining agreement or other contract or understanding and each vendor with which Consultant has a contract or understanding, a notice to be provided by the Commission, advising the labor union or workers' representative of Consultant's commitments under Sections 4a-60 and 4a-60a of the Connecticut General Statutes and to post copies of the notice in conspicuous places available to employees and applicants for employment;
- (d) Consultant agrees to comply with each provision of Sections 4a-60, 4a-60a, 46a-68e, and 46a-68f, inclusive, of the Connecticut General Statutes and with each regulation or relevant order issued by the Commission pursuant to Sections 46a-56, 46a-68e, and 46a-68f of the Connecticut General Statutes; and
- (e) Consultant agrees to provide the Commission with such information requested by the Commission, and permit access to pertinent books, records and accounts concerning the employment practices and procedures of Consultant as relate to the provisions of Sections 4a-60, 4a-60a and 46a-56 of the Connecticut General Statutes.
- (f) If this Agreement is a public works contract, Consultant agrees and warrants that it will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials in such public works project.

7.2. Entire Agreement

This Agreement constitutes the entire agreement and understanding between the parties hereto and concerning the subject matter hereof, and supersedes any previous agreements, written or oral, between the parties hereto and concerning the subject matter hereof.

7.3. Governing Law

This Agreement shall be governed by, and construed, interpreted and enforced in accordance with the laws of the State of Connecticut as such laws are applied to contracts between Connecticut residents entered into and to be performed entirely in Connecticut.

7.4. Assignment

This Agreement may not be assigned in whole or in part by either party without the prior written consent of the other party or such assignment shall be void.

7.5. No Waiver

Failure to enforce any provision of this Agreement or to require at any time performance of any provision hereof shall not be construed to be a waiver of such provision, or to affect the validity of this Agreement or the right of any party to enforce each and every provision in accordance with the terms hereof. No waiver of any provision of this Agreement shall affect

the right of CRRA or Consultant thereafter to enforce such provision or to exercise any right or remedy available to it in the event of any other default involving such provision or any other provision. Making payment or performing pursuant to this Agreement during the existence of a dispute shall not be deemed to be and shall not constitute a waiver of any claims or defenses of the party so paying or performing.

7.6. Modification

This Agreement may not be amended, modified or supplemented except by a writing signed by the parties hereto that specifically refers to this Agreement. Any oral representations or letters by the parties or accommodations shall not create a pattern or practice or course of dealing contrary to the written terms of this Agreement unless this Agreement is formally amended, modified or supplemented.

7.7. Notices

All notices, requests, demands and other communications hereunder shall be in writing and shall be deemed to have been duly given if mailed via certified first class mail return receipt requested postage prepaid or overnight express mail service to the pertinent address below.

(a) If to CRRA:

Connecticut Resources Recovery Authority
100 Constitution Plaza, 6th Floor
Hartford, Connecticut 06103
Attention: Risk Manager

With a copy to:

Connecticut Resources Recovery Authority
100 Constitution Plaza, 6th Floor
Hartford, Connecticut 06103
Attention: President

(b) If to Consultant:

Attention: _____

7.8. Benefit and Burden

This Agreement shall inure to the benefit of and be binding upon the heirs, personal representatives, successors and assigns of the parties hereto.

7.9. Severability

CRRA and Consultant hereby understand and agree that if any part, term or provision of this Agreement is held by any court to be invalid, illegal or in conflict with any applicable law, the validity of the remaining portions of this Agreement shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if this Agreement did not contain the particular part, term or provision held to be invalid, illegal or in conflict with any applicable law.

7.10. Small Contractors Application

At the request of CRRA and if Consultant qualifies, Consultant shall 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 *Connecticut General Statutes* Section 4a-60g.

7.11. Whistleblower Protection

If any officer, employee or appointing authority of the Consultant takes or threatens to take any personnel action against any employee of the Consultant in retaliation for such employee's disclosure of information to the Auditors of Public Accounts or the Attorney General under the provisions of *Connecticut General Statutes* Section 4-61dd, the Consultant shall be liable for a civil penalty of not more than five thousand dollars for each offense, up to a maximum of twenty per cent of the value of the contract. Each violation shall be a separate and distinct offense and in the case of a continuing violation each calendar day's continuance of the violation shall be deemed to be a separate and direct offense. The Consultant shall post a notice in a conspicuous place which is readily available for viewing by employees of the provisions of *Connecticut General Statutes* Section 4-61dd relating to large state contractors.

7.12. Counterparts

This Agreement may be executed in any number of counterparts by the parties hereto. Each such counterpart so executed shall be deemed to be an original and all such executed counterparts shall constitute but one and the same instrument.

7.13. Campaign Contribution And Solicitation Prohibitions

For all State contracts 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 agreements or contracts having a value of \$100,000 or more, the authorized signatory to this Agreement expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See **Exhibit F** [SEEC Form 11].

7.14. Affidavit Of Third Party Fees

At the time the Consultant submitted its proposal to CRRA, it simultaneously executed a document entitled Affidavit Of Third Party Fees and said document is attached hereto and made a part of this Agreement as Exhibit G.

7.15. Affidavit Concerning Nondiscrimination

At the time the Consultant submitted its proposal to CRRA, it simultaneously executed a document entitled Affidavit Concerning Nondiscrimination and said document is attached hereto and made a part of this Agreement as Exhibit H.

7.16. Affidavit Concerning Consulting Fees

At the time of Consultant's execution of this Agreement, Consultant simultaneously executed a document entitled Affidavit Concerning Consulting Fees and said document is attached hereto and made a part of this Agreement as Exhibit I.

7.17. Contractor's Certification Concerning Gifts

At the time of Consultant's execution of this Agreement, Consultant simultaneously executed a document entitled Contractor's Certification Concerning Gifts and said document is attached hereto and made a part of this Agreement as Exhibit J.

7.18. President's Certification Concerning Gifts

At the time of the President of CRRA's execution of this Agreement, the President of CRRA simultaneously executed a document entitled President's Certification Concerning Gifts and said document is attached hereto and made a part of this Agreement as Exhibit K.

[REMAINDER OF PAGE INTENTIONALLY LEFT BLANK]
[SIGNATURE PAGE FOLLOWS]

IN WITNESS WHEREOF, the parties hereto have set their hands and seals as of the day and year first written above.

CONNECTICUT RESOURCES RECOVERY AUTHORITY

By: _____
Thomas D. Kirk
Its President
Duly Authorized

[CONSULTANT]

By: _____
Its
Duly Authorized

**INSURANCE CONSULTING AND BROKER SERVICES
AGREEMENT**

EXHIBIT A

SCOPE OF SERVICES

SCOPE OF SERVICES

1. Fixed Annual Fee Services

Consultant shall provide to CRRA fixed annual fee insurance consulting and broker services (the "Services"), including but not limited to, the following:

- (a) Prepare marketing specifications, and/or negotiate renewals of insurance policies or new insurance policies not currently purchased, as needed for all coverage required or desired by CRRA.
- (b) Upon request, assist CRRA with insurance language, insurance contract reviews, and make recommendations regarding lines and limits of insurance to be required by CRRA.
- (c) Evaluate insurance provisions in bids or negotiated proposals for consideration by CRRA.
- (d) Provide technical services personnel to work with CRRA, as needed, in developing and reviewing loss control programs.
- (e) Review loss experience reports from insurers, identify trends and make recommendations to CRRA for controlling claim costs.
- (f) Provide claims management services, including consultation to CRRA regarding claims handling by carriers or Third Party Administrator ("TPA"), and audit such claims handling on CRRA's behalf.
- (g) As directed by CRRA, provide background information regarding insurance markets relative to CRRA's insurance programs and recommend placements to CRRA's management, contractors, and/or Board of Directors.
- (h) Provide an annual stewardship report, including time and expense calculations, insurance schedule, policy summaries, review of past year's activities, and outlook for coming year's market conditions.
- (i) Provide budget estimates and premium allocations for use by CRRA, as needed.
- (j) Provide 50 hours per year of loss control (property/life safety) to CRRA to use as desired.
- (k) Participate in meetings at least semi-annually with CRRA staff and attend all other meetings as requested with CRRA Finance Committee (March, June, October) or Board of Directors to review insurance.

- (l) Perform all normal and usual functions of an insurance broker, including but not limited to, the following:
 - (1) Checking wording and conformity of each policy, binder, certificate, endorsements or other document received from insurers against negotiated terms and seeking to obtain revisions in such documents when needed;
 - (2) Verifying all rates and premiums charged;
 - (3) Following receipt, promptly submitting originals of all policies and endorsements to CRRA;
 - (4) Being available to answer questions from CRRA personnel;
 - (5) Obtaining answers from underwriters to policy coverage questions, reviewing CRRA's operations and loss exposures on a regular basis, and making any appropriate coverage recommendations;
 - (6) Preparing insurance certificates and endorsements as requested/required by CRRA; and
 - (7) Monitoring published financial information of CRRA's current insurers and alerting CRRA when the status of one or more of such insurers falls below Consultant's minimum financial guidelines (no lower than A-). Consultant will not, however, be responsible for the solvency or ability to pay claims of any insurance carrier. Insurers with whom CRRA's risks are placed will be deemed acceptable to CRRA, in the absence of contrary instructions from CRRA.
- (m) Perform other miscellaneous services within the expertise of Consultant that CRRA may request from time to time.
- (n) Provide information and advice regarding surety instruments as requested by CRRA.
- (o) Any other related insurance and/or broker services that CRRA shall deem necessary.

These Services shall not include the underwriting of insurance policies for CRRA.

Consultant shall be required to represent and assist CRRA in all discussions and transactions with all insurers, provided that Consultant shall not place any insurance on behalf of CRRA unless so authorized in writing by CRRA. Consultant shall not speak or represent any insurer, is not bound to utilize any particular insurer, and does not have the authority to make binding commitments on behalf of any insurer. In Consultant's work to obtain/place insurance for CRRA, Consultant shall work in the best interest of CRRA to

obtain the appropriate and most cost-effective insurance for CRRA's needs. Consultant shall not direct or select insurance for CRRA that is driven by any other interest but CRRA's best interests.

Consultant may utilize the services of other intermediaries to assist in the marketing of CRRA's insurance (including brokers in the London and other markets), when in Consultant's professional judgment those services are necessary or appropriate. Such intermediaries may be affiliates of Consultant or not related to Consultant. The compensation of such intermediaries is not included in Consultant's compensation under this Agreement and will be paid by insurers out of paid premiums. Consultant shall disclose to CRRA any such commissions.

Effective upon the renewal or placement by Consultant of CRRA's excess insurance program, unless the CRRA gives the Consultant client executive contrary instructions in writing, whenever the Consultant client executive is informed by CRRA that a claim has been notified to the primary carrier, Consultant will notify all applicable excess carriers.

2. Additional Services

The following services will be undertaken at CRRA's sole and absolute discretion and only if requested through a properly executed Request For Additional Services (the "Additional Services"). These Additional Services will be separate from the Services covered by the Fixed Annual Fee as specified in Section 1 above and will require additional compensation as detailed in Section 2 of **Exhibit C** herein. Examples of Additional Services include the following:

- (a) Preparation of formal, written reports/recommendations relative to the insurance program currently in place and governed by bond indentures or various CRRA projects;
- (b) Performance of actuarial studies (e.g., environmental exposures); and
- (c) Performance of other special assignments within the expertise of Consultant as required by CRRA.

**INSURANCE CONSULTING AND BROKER SERVICES
AGREEMENT**

EXHIBIT B

**REQUEST FOR ADDITIONAL SERVICES
STANDARD FORMAT**



**REQUEST FOR
ADDITIONAL SERVICES**

[DATE]

[NAME OF CONTACT FOR CONSULTANT]
[NAME OF CONSULTANT]
[ADDRESS 1 OF CONSULTANT]
[ADDRESS 2 OF CONSULTANT]

**Re: Insurance Consulting and Broker Services Agreement
Request for Additional Services**

Dear _____:

This Request will authorize you to provide the Additional Services described below in accordance with the terms and conditions of the "Insurance Consulting and Broker Services Agreement" dated January 1, 2012 between CRRA and you.

The Scope of Services, Estimated time of Performance and Estimated Costs set forth below will become a part of the above-referenced Agreement and will be incorporated therein, as an amendment, upon your acceptance of this Request, to be indicated below. The Scope of Services is the product of consultation between CRRA and you and the Estimated Time of Performance and Estimated Costs have been provided by you and deemed acceptable by CRRA.

1. Scope of Services

[PROVIDE DETAILS]

2. Estimated Time of Performance

[PER CONSULTANT]

3. Estimated Costs

[PER CONSULTANT]

These costs are not to be exceeded without CRRA's prior written consent. CRRA shall not pay for any services rendered or expenses incurred by Consultant in excess of those included in this Request unless specifically authorized in advance and in writing by CRRA.

Sincerely,

CONNECTICUT RESOURCES RECOVERY AUTHORITY

By: _____
Title: _____

Accepted and agreed to under the terms of the
Insurance Consulting and Broker Services Agreement
dated January 1, 2012

[CONSULTANT NAME]

By: _____
Title: _____

**INSURANCE CONSULTING AND BROKER SERVICES
AGREEMENT**

EXHIBIT C

COMPENSATION SCHEDULE

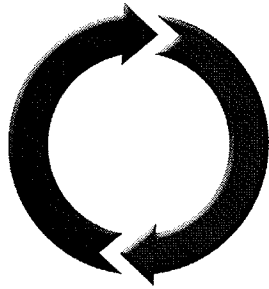
COMPENSATION SCHEDULE

[The Consultant's "Proposal Price and Payment Rate Schedule Form" that was submitted to CRRA by the Consultant with the Consultant's Proposal, as such Form may be modified based on negotiations between CRRA and Consultant over prices, will be added by CRRA.]

**INSURANCE CONSULTING AND BROKER SERVICES
AGREEMENT**

EXHIBIT D

**CRRA'S TRAVEL AND EXPENSE
REPORTING POLICY AND PROCEDURE**



CONNECTICUT
RESOURCES
RECOVERY
AUTHORITY

TRAVEL POLICY AND EXPENSE REPORTING

**BOARD OF DIRECTORS POLICY AND PROCEDURE
NUMBER 032**

**APPROVED BY CRRRA BOARD OF DIRECTORS
SEPTEMBER 29, 2005**

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CONNECTICUT RESOURCES RECOVERY AUTHORITY

TRAVEL POLICY AND EXPENSE REPORTING

1. GENERAL STATEMENT

This Travel Policy and Expense Reporting guide presents the policies that all CRRA employees (hereafter “employee(s)”) must adhere to in the planning and conducting of their business travel and their reimbursement requests. CRRA requires that all travel expenditures and their accountings meet the Internal Revenue Service requirements of “ordinary, necessary and reasonable” and should be conservative and consistent with the nature of the business assignment. These policies safeguard CRRA and protect the employee from being assessed additional taxable income. All employees are expected to fully comply with the policies and instructions in this guide. Reimbursements for actual and necessary expenses made to Directors of CRRA shall be made consistent with the provisions of this Travel Policy And Expense Reporting guide; however, as stated in the Connecticut General Statutes, Directors shall not be required to obtain pre-approval from the President for any expenses.

2. APPROVALS

Prior written approval by the President or the employee’s Division Head at least one (1) week in advance is required for all overnight trips out of state, except in an emergency. It is the obligation of the employee to obtain this prior approval and no reimbursement will be made without this approval.

Prior written approval by the President or the employee’s Division Head at least one (1) week in advance is required for all employee trips that are for educational seminars, professional conferences, vendor-initiated field trips, and industry organization events.

To obtain written approval, the employee must complete the overnight travel form, and, if a cash advance is requested, complete a cash advance form that estimates the out-of-pocket expenses, and submit the completed form(s) to the appropriate Division Head or President in as far in advance as possible of departure date.

3. TRANSPORTATION

Transportation expenses should be kept to a minimum. The most direct and practical route should be selected.

3.1 Rental Automobile

Rental car expenses will be paid by CRRA and whenever possible should be billed directly to CRRA to take advantage of CRRA's tax-exempt status and any other discounts available to CRRA.

3.1.1 Insurance

3.1.1.1 Business Use Of A Rental Automobile

Employees on business do not need to purchase additional insurance coverage (collision damage waiver or excess liability) from the rental company. The Corporate Insurance Program covers these risks. Please note that all vehicles must be rented in CRRA's name to have CRRA's policy cover the employee.

3.1.1.2 Personal Use Of A Rental Automobile

Employees are prohibited from using a CRRA rental automobile for personal use. Personal use that is incidental to CRRA business use will be covered by the CRRA insurance policy as long as the vehicle was rented in CRRA's name. Incidental usage is defined as usage of the vehicle that is directly related to business usage (e.g. mileage to get meals on a business trip).

3.2 Business Use Of Employee's Car

3.2.1 Reimbursement Rate

The reimbursement rate for an employee's use of their personal automobile for CRRA business is the IRS approved rate, as adjusted from time to time by the IRS, for employee use of their personal car on business. The above mileage reimbursement allowance for business use of an employee's vehicle is calculated in a manner that takes into account all auto-related expenses, including the cost of carrying insurance (without a deductible). Therefore, CRRA will not reimburse an employee for vehicle damage or personal liability that occurs while a personal automobile is being used on CRRA business if the employee drives their personal vehicle 2,500 miles per year or more. This includes any deductible that may apply. However, if an employee's vehicle is driven on company business 2,500 miles or less annually, and is involved in a motor vehicle accident, CRRA will reimburse the employee through the normal expense reimbursement process for their physical damage deductible up to a maximum of \$500.00 per accident. Evidence of the payment of the deductible by the employee must be provided to CRRA in order to receive reimbursement. (Traveling on business does not include any travel involved in commuting to or from work, lunch time errands or anything other than authorized business use). Before an employee seeks the foregoing reimbursement for the use of his personal automobile, the

employee shall provide CRRA with written evidence of his personal automobile insurance with limits as required by the Connecticut General Statutes. The foregoing written proof shall be kept on file in the CRRA Finance Division.

3.2.2 Mileage Calculation

In all travel away from the CRRA office, the employee will be reimbursed using the shortest distance between points. For travel from Hartford to a CRRA facility, the President shall cause the shortest distance to be determined and the President shall cause such determination to be made available to employees. Unless approved by an employee's Division Head, employees shall use the distances determined by the President in all requests for reimbursement for travel from Hartford to a CRRA facility. An employee may request and the employee's Division Head may approve distances other than those determined by the President in extraordinary circumstances when, for reasons beyond the control of the employee, the route of the shortest distance was not reasonably available for use.

In calculating mileage, the normal commute mileage to and from the employee's home to the employee's assigned place of work must be deducted from the total trip mileage. For example, if the total trip mileage equals 100 miles, and normal commute mileage equals 20 miles, CRRA will reimburse the employee for 80 miles. This is in accordance with Internal Revenue Service and State of Connecticut policy.

3.2.3 Tolls/Parking

No receipts are necessary for tolls or parking unless they exceed five (\$5.00) dollars.

3.3 Air Travel

All air travel requires prior approval from the CRRA President. For approved travel, CRRA will reimburse employees only for coach accommodations. Employees are encouraged to inquire about discount packages and to take advantage of the least costly route whenever possible. When an employee plans a trip, the reservations should be made as far in advance as practical to obtain the lowest rate. All approved air travel for the previous month shall be reported to the CRRA Board of Directors at its next Board Meeting.

3.4 Taxis

Taxi service may be used when no other form of public transportation is available or when the cost of a taxi is close to the cost of public transportation. Employees are encouraged to use courtesy cars, airport limousines, or buses whenever possible. Since some taxi services do not provide receipts, you should have the back of your business card signed, dated, and the amount of the fare indicated by the driver.

3.5 CRRA Owned Automobiles

Please refer to the CRRA Vehicle Usage Policy adopted by the CRRA Board of Directors at its November 21, 2003, Board of Directors Meeting.

4. MEALS

Permissible expenditures for meals and tips depend on location and circumstances. Only reasonable and customary charges will be allowed and reimbursed by CRRA. An exception may be granted by the President in unusual circumstances. In-state breakfast, lunch, and dinner will not be reimbursed unless they involve a business meeting.

5. LODGING

Lodging accommodations in reasonable and economically priced single occupancy rooms, including customary tips, are reimbursable if the employee has to stay away from home overnight because of unfinished business or an early morning business meeting.

Employees should request government rates at the time of making reservations.

6. INCIDENTALS

The incidentals allowance encompasses such things as gratuities and one telephone call a day of reasonable duration to the employee's home. It is anticipated that the cost of such calls generally will appear on the employee's hotel bill.

7. PERSONAL EXPENSES

Some travel expenses are considered personal and CRRA will not reimburse them. The following, while not all inclusive, lists examples of such personal expenses that are not reimbursable expenses: amusements, athletic events, barbers, books for personal reading, athletic court or gym costs, damage to luggage, fines, hair stylists, magazines, newspapers, movies, and saunas.

8. OTHER BUSINESS EXPENSES

With prior approval of the President, CRRA will reimburse an employee for the incidental costs necessary to further an important CRRA business purpose. Any foregoing expense must be reported to the Board at the Board's next Board of Directors meeting. Any such expense must be documented by showing the following:

- The name(s) of the person or persons and the location and nature of the expense.
- The business relationship with CRRA.
- The specific business reason for the expense.
- The actual business conducted.

CRRA will not reimburse the cost of home entertaining.

9. EXPENSE REPORTING

All expense reporting must be submitted to CRRA using the CRRA expense reimbursement form(s) within twenty working days after the day the employee returns from his/her trip.

10. RECEIPTS

Employees shall obtain receipts for all travel expenses, exclusive of mileage reimbursement. This includes receipts for all meals, airfare, bus fare, taxi, toll or parking charges in excess of \$5.00 dollars, limousine, hotel, and registration fees. Travel expenses in excess of the stated guidelines herein will be reimbursed only if all receipts accompany expense vouchers. Expenses submitted without a receipt, except for gratuity and certain transfer charges, may not be reimbursed.

Original receipts are required for all entertainment.

11. EXCEPTIONS

Exceptions to these travel and expense guidelines will be authorized only upon the prior authorization of President when the circumstances warrant. Any such exception to these travel and expense guidelines should be documented and the President should notify the CRRA Board of Directors of such exception at the Board's next Board Meeting.

ORIGINAL

Approved by: Board of Directors
Effective Date: 05/20/04

REVISION 1

Prepared by: Jim Bolduc, Chief Financial Officer
Approved by: Board of Directors
Effective Date: 09/29/05

**INSURANCE CONSULTING AND BROKER SERVICES
AGREEMENT**

EXHIBIT E

QUARTERLY BILL FORMAT

QUARTERLY BILL FORMAT

Name of Consultant:	
Contract Number:	
Billing Period:	
Project Name:	Insurance Consulting and Broker Services
Purchase Order Number:	
Request For Services Number:	

TASK (Insert Task Number and Name; Use a separate set of tables for each task.)

Personnel	Title	Work Performed	Hours	Rate	Amount
(Insert Name of Person who worked on Task)					
(Insert Name of Person who worked on Task)					
(Insert Name of Person who worked on Task)					
Subtotal Personnel					
Ancillary Services/Equipment			Units	Rate	Amount
(Insert Name of Ancillary Services/Equipment used for Task)					
(Insert Name of Ancillary Services/Equipment used for Task)					
(Insert Name of Ancillary Services/Equipment used for Task)					
Subtotal Ancillary Services/Equipment					

Subtotal for Task (Insert Task Number)	
---	--

TOTAL (Insert billing period for which bill is being submitted)	
--	--

**INSURANCE CONSULTING AND BROKER SERVICES
AGREEMENT**

EXHIBIT F

**SEEC FORM 11
NOTICE TO EXECUTIVE BRANCH STATE
CONTRACTORS AND PROSPECTIVE STATE
CONTRACTORS OF CAMPAIGN
CONTRIBUTION AND SOLICITATION BAN**

SEEC FORM 11

NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the following page):

Campaign Contribution and Solicitation Ban

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Duty to Inform

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

Penalties for Violations

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

Contract Consequences

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "State Contractor Contribution Ban."

Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

**INSURANCE CONSULTING AND BROKER SERVICES
AGREEMENT**

EXHIBIT G

AFFIDAVIT OF THIRD PARTY FEES

AFFIDAVIT OF THIRD PARTY FEES

[The Consultant's "Affidavit of Third Party Fees" that was submitted to CRRRA by the Consultant with the Consultant's SOQ will be added by CRRRA.]

**INSURANCE CONSULTING AND BROKER SERVICES
AGREEMENT**

EXHIBIT H

**AFFIDAVIT CONCERNING
NONDISCRIMINATION**

AFFIDAVIT CONCERNING NONDISCRIMINATION

[The Consultant's "Affidavit Concerning Nondiscrimination" that was submitted to CRRA by the Consultant with the Consultant's Proposal will be added by CRRA.]

**INSURANCE CONSULTING AND BROKER SERVICES
AGREEMENT**

EXHIBIT I

**AFFIDAVIT CONCERNING
CONSULTING FEES**

AFFIDAVIT CONCERNING CONSULTING FEES

[The Consultant's "Affidavit Concerning Consulting Fees" that was submitted to CRRA by the Consultant with the Consultant's "Notice of Award" will be added by CRRA.]

**INSURANCE CONSULTING AND BROKER SERVICES
AGREEMENT**

EXHIBIT J

**CONTRACTOR'S CERTIFICATION
CONCERNING GIFTS**

CONTRACTOR'S CERTIFICATION CONCERNING GIFTS

[The Consultant's "Contractor's Certification Concerning Gifts" that was submitted to CRRRA with the Consultant's "Notice of Award" will be added by CRRRA.]

**INSURANCE CONSULTING AND BROKER SERVICES
AGREEMENT**

EXHIBIT K

**CRRA PRESIDENT'S CERTIFICATION
CONCERNING GIFTS**



**PRESIDENT'S CERTIFICATION
CONCERNING GIFTS**

INSURANCE CONSULTING AND BROKER SERVICES AGREEMENT

Awarded To

[NAME OF CONTRACTOR/CONSULTANT]

(This CERTIFICATION is to be signed by the President of CRRA
at the time the Agreement is executed by him/her.)

By submission of this Certification, the President of the Connecticut Resources Recovery Authority ("CRRA") hereby certifies that the selection of the most qualified or highest ranked person, firm or corporation for the "Insurance Consulting and Broker Services Agreement" was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

Signature: _____

Name: **Thomas D. Kirk**

Title: **President**

State Of: **Connecticut**

County Of: **Hartford**

Thomas D. Kirk, being fully sworn, deposes and says that he is the President of the Connecticut Resources Recovery Authority, that he has read the forgoing statement concerning collusion, the giving of gifts or the promise of gifts, compensation, fraud or inappropriate influence and, under the penalty of perjury, certifies that each and every part of said statement is true.

Sworn to before me this _____ day of _____ 20 ____

Notary Public/Commissioner of the Superior Court