



**REQUEST FOR QUALIFICATIONS  
("RFQ")**

**FOR**

**HUMAN RESOURCES CONSULTING SERVICES  
(RFQ Number FY12-HR-001)**

**PROPOSAL DUE DATE: April 18, 2012**

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

**March 5, 2012**

**REQUEST FOR QUALIFICATIONS**  
**For**  
**HUMAN RESOURCES CONSULTING SERVICES**  
**(RFQ Number FY12-HR-001)**

Connecticut Resources Recovery Authority  
100 Constitution Plaza, 6<sup>th</sup> Floor  
Hartford, Connecticut 06103-1722

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**REQUEST FOR QUALIFICATIONS  
FOR  
HUMAN RESOURCES CONSULTING SERVICES**

**SECTION 1**

**NOTICE TO FIRMS  
REQUEST FOR QUALIFICATIONS**

# CONNECTICUT RESOURCES RECOVERY AUTHORITY

## NOTICE TO CONSULTANTS REQUEST FOR QUALIFICATIONS

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

CRRA is requesting Statements of Qualifications from qualified firms and individuals to provide human resources consulting services as specified. This agreement will commence July 1, 2012 and continue through June 30, 2015.

Request for Qualifications ("RFQ") package documents may be obtained on the World Wide Web at <http://www.crra.org> under the "Business Opportunities" page beginning **Monday, March 5, 2012**. The documents will also be available Monday through Friday, from 8:30 a.m. to 5:00 p.m. at the offices of CRRA, 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecticut 06103-1722, beginning on the same date. Anyone intending to pick up the documents at CRRA's offices must contact Roger Guzowski [(860) 757-7703] at least 24 hours in advance. There is a charge of \$25.00 for anyone picking up the documents at CRRA's office. Payment should be made by check payable to "Connecticut Resources Recovery Authority."

CRRA encourages firms and individuals interested in this RFQ to submit a Notice Of Interest Form to CRRA **by 3:00 p.m., April 6, 2012**. The Notice Of Interest Form is available on CRRA's web site along with the other RFQ documents. While not mandatory, CRRA will use the information provided on the form to notify prospective SOQ submitters about the availability of addenda and other information related to the RFQ.

**Sealed Statements of Qualifications must be received at the offices of CRRA, 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecticut 06103-1722 no later than 3:00 p.m., Wednesday, April 18, 2012.** Statements of Qualifications received after the time and date set forth above shall be rejected. All Statements of Qualifications shall remain open for one hundred twenty (120) days after the proposal due date.

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

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

All questions regarding this RFQ must be submitted **in writing** to Roger Guzowski, Contract and Procurement Manager, by e-mail ([rguzowski@crra.org](mailto:rguzowski@crra.org)) by fax (860) 757-7742), or by correspondence (CRRA, 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecticut 06103) no later than **Thursday, April 6, 2012**. Any firm considering submitting a statement of qualifications is prohibited from having any communications about this RFQ or any resulting contract with any CRRA staff member or CRRA Board member except Mr. Guzowski.

**REQUEST FOR QUALIFICATIONS  
FOR  
HUMAN RESOURCES CONSULTING SERVICES**

**SECTION 2**

**INSTRUCTIONS TO SOQ SUBMITTERS**

# INSTRUCTIONS TO HUMAN RESOURCES CONSULTANTS

## HUMAN RESOURCES CONSULTING SERVICES

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#### 1. Introduction

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

CRRA is requesting Statements of Qualifications ("SOQs") from qualified firms interested in providing certain human resources consulting services for CRRA for the three-year period from July 1, 2012 through June 30, 2015. Qualified SOQs will be accepted by CRRA for the following categories of human resources consulting services:

- (a) Temporary Staffing Services;
- (b) Recruiting Services; and
- (c) General/Miscellaneous Human Resources Consulting Services.

Human resources consulting firms may submit SOQs on any one, all, or a combination of the categories listed above. At its sole and absolute discretion, CRRA may select a firm for one or more of the above-listed categories for which the firm submitted an SOQ, and CRRA may choose one or more separate firms for any one or more of the above-listed categories.

Services will be provided only at the specific request of CRRA (pursuant to a Request For Services) and will be compensated in accordance with the rates established in the Agreement(s), if any, that results from this RFQ process.

## 2. RFQ Projected Timeline

The following is the projected timeline for the RFQ process:

| ITEM                                 | DATE   |
|--------------------------------------|--|
| RFQ Documents Available              | Monday, March 5, 2012                                    |
| Notice of Interest Forms Due at CRRA | 3:00 p.m., Friday, April 6, 2012                         |
| Deadline for Written Questions       | 3:00 p.m., Wednesday, April 6, 2012                      |
| Response to Written Questions        | No Later Than Friday, April 13, 2012                     |
| SOQs Due at CRRA                     | 3:00 p.m., Wednesday, April 18, 2012                     |
| Interviews with Selected Firms       | Expected to occur between April 20, 2012 and May 4, 2012 |
| Selection and Notice of Award Issued | Notice(s) of Award are expected to be sent out in June   |
| Effective Date of Agreement          | July 1, 2012   |

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

## 3. Definitions

As used in this Instructions To Firms 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 SOQ due date that clarify, correct or change any or all of the Contract Documents.



- (b) **Contract Documents:**
- (1) Human Resources Consulting Services Agreement (the “Agreement”);
  - (2) RFQ Package Documents (defined in (f) below);
  - (3) Addenda;
  - (4) Firm’s SOQ (including all documentation attached to or accompanying such SOQ, all other documentation submitted in connection with such SOQ, and all post-SOQ documentation submitted prior to the Notice Of Award);
  - (5) Notice Of Award, with Contractor’s Certification Concerning Gifts attached [to be executed by successful firm]; 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 SOQ submitter(s) that states that CRRA has accepted such SOQ submitter’s SOQ and sets forth the remaining conditions that must be fulfilled by such SOQ submitter before CRRA executes the Agreement.
- (e) **Project:** The provision by the successful SOQ submitter(s) of human resources consulting services for CRRA in accordance with the Contract Documents.
- (f) **RFQ Package Documents:**
1. Notice To Human Resource Consultants – Request For Qualifications;
  2. Instructions To Human Resource Consultants;
  3. Notice Of Interest Form;
  4. Required Statement of Qualification Forms;
    - 4.1. Statement Of Qualifications Form;
    - 4.2. Issues And Questions To Be Addressed;
    - 4.3. Price And Payment Rate Schedule Form;
    - 4.4. Firm Background And Experience Form;
    - 4.5. Personnel Background And Experience Form;
    - 4.6. References Form;
    - 4.7. Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety;
    - 4.8. Affidavit of Third Party Fees
    - 4.9. Business Disclosure Form
    - 4.10. Affidavit Concerning Nondiscrimination;
    - 4.11. Background Questionnaire;

- 4.12. SEEC Form 11, Notice To Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban
- 4.13. Business Exception Form
- 5. Sample Notice Of Award;
- 6. Form of Human Resource Consultant Services Agreement, including:
  - Exhibit A: Scope Of Services;
  - Exhibit B: Request For Services Standard Format;
  - Exhibit C: Compensation Schedule;
  - Exhibit D: CRRA Travel And Expense Policy;
  - Exhibit E: Monthly Bill Format;
  - Exhibit F: SEEC Form 11, Notice To Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban;
  - Exhibit G: Certification Concerning Nondiscrimination;
  - Exhibit H: Contractor’s Certification Concerning Gifts; and
  - Exhibit I: CRRA President’s Certification Concerning Gifts.

Terms used, but not defined, in this Instructions To Firms 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 Firms, during the period while the RFQ process is active (i.e., from the date CRRA issues the RFQ until the date the successful firm accepts the Notice Of Award), firms and individuals contemplating or preparing SOQs are prohibited from contacting CRRA staff or CRRA Board of Director members in an ex parte manner to discuss the RFQ submission process. A firm’s SOQ shall be rejected if any of the foregoing ex parte communications take place.

#### **5. Scope Of Services**

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

CRRA will assume that any SOQ submitter is willing to perform only the categories of Services from **Exhibit A** for which the SOQ submitter has requested consideration in the SOQ submitter’s SOQ.

Specific services will be provided under the Agreement only pursuant to a Request For Services for such services. When CRRA identifies specific services to be performed by a human resources consultant, it may, at its sole and absolute discretion, require that one or more of the successful SOQ submitters provide a detailed “scope of services” and estimates of the costs and time to perform such services. If CRRA chooses to have a success-

ful SOQ submitter perform such services, the successful SOQ submitter will execute a Request For Services for such services in the form specified in **Exhibit B** to the Agreement.

The term of the Agreement shall be from **July 1, 2012 to June 30, 2015**.

## **6. Availability Of RFQ Package Documents**

Complete sets of the RFQ Package Documents may be obtained on the World Wide Web beginning **Monday, March 5, 2012** at:

<http://www.crra.org> under the “Business Opportunities” page; select the “RFQ: Human Resources Consulting Services” link.

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

The RFQ Package Documents are also available Monday through Friday, from 8:30 a.m. to 4:30 p.m. at CRRA’s offices, 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecticut 06103-1722, beginning on the same date. Anyone intending to pick up the documents at CRRA’s offices must contact Roger Guzowski [(860) 757-7703] at least 24 hours in advance. There is a charge of \$25.00 for anyone picking up the documents at CRRA’s office. Payment should be made by check to “Connecticut Resources Recovery Authority.”

## **7. Notice Of Interest**

CRRA encourages prospective firms to submit a Notice Of Interest Form to CRRA as early as they can (Section 3 of the RFQ Package Documents). Forms should be submitted no later than **3:00 p.m., Friday, April 6, 2012**. While submittal of a Notice Of Interest Form is not mandatory, CRRA will use the information provided on the forms to notify interested firms about the availability of Addenda and any other information related to this RFQ. Instructions for submitting the Form are included on the Form.

## **8. Addenda And Interpretations**

CRRA may issue Addenda to the RFQ Package Documents that shall, upon issuance, become part of this package and binding upon all potential or actual SOQ submitters for the Services. Such Addenda may be issued in response to requests for interpretation or clarification received from potential SOQ submitters. Any request for interpretation or clarification of any documents included in the RFQ Package Documents must be **submitted in writing to Roger Guzowski, by e-mail ([rguzowski@crra.org](mailto:rguzowski@crra.org)), by fax [(860) 757-7742], or by correspondence (CRRA, 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecti-**

**cut 06103-1722). To be given consideration, any such written request must be received by CRRA by 3:00 p.m., on Thursday, April 13, 2012.**

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

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

## **9. SOQ Submittal Procedures**

**Sealed SOQs shall be submitted no later than 3:00 p.m., Eastern Time, Wednesday, April 18, 2012** at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, Attn: Roger Guzowski. CRRA reserves the right to reject SOQs received after the time and date set forth above.

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

Each SOQ (the original and four copies) shall be enclosed in a sealed envelope that shall be clearly marked "Statement Of Qualifications For Human Resources Consulting Services."

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

No joint SOQs shall be accepted.

**The terms and conditions of the Agreement (Section 6 of the RFQ Package Documents), as attached, are non-negotiable, other than as set forth on the Business Exception Form (Section 4.13 of the RFQ package documents). Any potential SOQ submitter that will be unable to execute the Agreement, as attached, should not submit an SOQ.**

SOQs may be modified or withdrawn by an appropriate document duly executed (in the manner that an SOQ must be executed) and delivered to CRRA's offices at any time prior to the SOQ due date.

## 10. Form of Agreement

The form of the Agreement that CRRA intends to sign with successful SOQ submitters is enclosed as Section 6 of the RFP documents.

While it intends to enter into an agreement with one or more selected SOQ submitters, CRRA makes no guarantees that any SOQ will result in an Agreement. Further, CRRA reserves the right to reject any or all SOQ submissions and to award any Agreements in a manner deemed to be in its best interests.

The terms and conditions of the Agreement (Section 6 of the RFQ Package Documents), as attached, are non-negotiable, other than as set forth on the Business Exception Form (Section 4.13 of the RFQ package documents). Any potential SOQ submitter that will be unable to execute the Agreement, as attached, should not submit an SOQ.

## 11. SOQ Contents

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

An SOQ must consist of the following and must be in the following order:

- (a) Title page, including the title of the solicitation, the name of the firm and the date the SOQ is submitted;
- (b) Cover letter, signed by a person authorized to commit the firm to the contractual arrangements with CRRA, which includes the following:
  - (1) The name of the firm;
  - (2) The legal structure of the firm (e.g., corporation, joint venture, etc.) and the State in which the firm is organized; and
  - (3) A clear statement indicating that the attached SOQ constitutes a firm and binding offer by the SOQ submitter to CRRA considering the terms and conditions outlined in the RFQ; and
  - (4) The SOQ submitter's promise, if any, to set aside a portion of the contract for legitimate minority business enterprises (see Section 13.3 of this Instructions To Property Appraisers);
- (c) Table of Contents;
- (d) The completed Statement Of Qualifications Form (Section 4.1 of the RFQ Package Documents), with each Category of Services for which the SOQ submitter wishes to be considered indicated in the appropriate place (Page 1), Addenda, if any, listed in the appropriate place (Page 3), the name and address of the contact for Notices listed in the appropriate place (Page 6) and the completed agreement section (Page 7);

- (e) The completed Issues and Questions Form (Section 4.2 of the RFQ Package Documents) in printed format;
- (f) The completed Rate Schedule Form for each category of Services for which the SOQ submitter wishes to be considered (Section 4.3 of the RFQ Package Documents);
- (g) A completed Firm Background And Experience Form for each category of services for which the firm wishes to be considered (Section 4.4 of the RFQ Package Documents);
- (h) A completed Personnel Background And Experience Form for each category of services for which the firm wishes to be considered (Section 4.5 of the RFQ Package Documents);
- (i) A completed References Form for each category of services for which the firm wishes to be considered (Section 4.6 of the RFQ Package Documents);
- (j) The completed Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety form (Section 4.7 of the RFQ Package Documents), with the SOQ submitter's most recent EEO-1 data attached if the SOQ submitter wishes such data to be considered in the evaluation of its SOQ;
- (k) The completed Affidavit of Third Party Fees (Section 4.8 of the RFQ Package Documents) (subscribed and sworn before a Notary Public or Commissioner of the Superior Court);
- (l) The completed Business Disclosure Form (Section 4.9 of the RFQ Package Documents)
- (m) The completed Affidavit Concerning Nondiscrimination (Section 4.10 of the RFQ Package Documents), with the SOQ submitter's nondiscrimination policies and procedures attached;
- (n) The completed Background Questionnaire (Section 4.11 of the RFQ Package Documents) (subscribed and sworn before a Notary Public or Commissioner of the Superior Court);
- (o) The completed Business Exception Form (Section 4.13 of the RFQ Package Documents).
- (p) A copy of the SOQ submitter's up-to-date certificate of insurance showing all current insurance coverage.

SOQ submitters should not include in their proposals other portions of the RFQ Package Documents (e.g., this Instructions To Firms or the Agreement).

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

## 12. SOQ Opening

SOQs will be opened at CRRA's convenience on or after the SOQ due date.

**CRRA reserves the right to reject any or all of the SOQs, or any part(s) thereof, and/or to waive any informality or informalities in any SOQ or the RFQ process.**

## 13. Additional Information And Interviews

CRRA reserves the right to request additional information from SOQ submitters and to request certain SOQ submitters to make oral presentations or further explanations of their SOQ. It is expected that any oral presentations/interviews will be conducted between April 20 and May 4, 2012. Oral presentations and/or interviews shall be scheduled at the sole discretion of CRRA.

## 14. SOQ Evaluation

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

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

### 14.1 Evaluation Criteria

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

- (a) Price;
- (b) In each Category of Services for which the SOQ submitter wishes to be considered, the qualifications of personnel including the experience and availability of the day-to-day staff and the breadth and depth of other partners, associates and other professionals available to provide services to CRRA;

- (c) In each Category of Services for which the SOQ submitter wishes to be considered, the experience of such SOQ submitter in serving as a human resources consultant for clients, including governmental entities and resource recovery entities;
- (d) Demonstrated skill, ability and integrity to perform the Services required by the Contract Documents;
- (e) Team organization and approach including the ability of the SOQ submitter to adequately staff and complete time-sensitive projects and transactions and to interact effectively with CRRA, and other professionals involved in CRRA's projects and transactions;
- (f) Willingness to negotiate hourly rates and to work as partners with CRRA to resolve CRRA human resources issues in the most cost efficient manner for CRRA;
- (g) Connecticut presence as evidenced by the number of offices the SOQ submitter maintains in Connecticut and the number of Connecticut residents employed in those offices;
- (h) Responsiveness in a timely manner to CRRA questions and work requests;
- (i) Corporate Citizenship policies of the SOQ submitter, including the charitable contribution of money and time; local procurement of goods and services; development of and participation in internship programs or scholarships; and policies with regard to the use of women-owned, minority-owned and small business enterprises; and
- (j) Any other factor or criterion that CRRA, in its sole discretion, deems or may deem relevant or pertinent for such evaluation.

#### **14.2 Affirmative Action Evaluation Criteria**

SOQs will also be rated on the SOQ submitter'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 SOQ submitter's success in implementing an affirmative action plan (See Question 4 of the Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety (Section 4.7 of the RFQ Package Documents));
- (b) The SOQ submitter'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 Question-



naire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety (Section 4.7 of the RFQ Package Documents));

- (c) The SOQ submitter's promise to develop and implement a successful affirmative action plan (See Question 4B of the Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety (Section 4.7 of the RFQ Package Documents)); and
- (d) The SOQ submitter's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area (See Section 10(h) of this Instructions To SOQ submitters).

## **15. Contract Award**

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

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

## **16. Affidavit Concerning Consulting Fees**

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

## **17. Contractor's Certification Concerning Gifts**

Pursuant to *Connecticut General Statutes* Section 4-252, the apparently successful SOQ submitter(s) must submit a document certifying that it has not given any gifts to certain individuals between the date CRRA started planning the RFQ and the date the Agreement is executed. If the apparently successful SOQ submitter(s) does not execute the Certification, it will be disqualified for the Agreement. The dates between which the SOQ submitter 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 this RFQ (see Exhibit J of the Agreement).

**18. SOQ Submitter's Qualifications**

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

**19. SOQ Preparation And Other Costs**

Each SOQ submitter shall be solely responsible for all costs and expenses associated with the preparation and/or submission of its SOQ, 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 QUALIFICATIONS  
FOR  
HUMAN RESOURCES CONSULTING SERVICES**

**SECTION 3  
NOTICE OF INTEREST FORM**



|                                |
|--------------------------------|
| <b>NOTICE OF INTEREST FORM</b> |
|--------------------------------|

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 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:  | <b>Human Resources Consulting Services</b> |
| RFP Number:    | <b>FY12-HR-001</b>                         |
| Form Due Date: | <b>3:00 p.m., April 6, 2012</b>            |

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

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

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

|                         |   |
|-------------------------|---|
| CRRA Contact:           | <b>Roger Guzowski</b>   |
| E-Mail Address:         | <a href="mailto:rguzowski@crra.org">rguzowski@crra.org</a>  |
| Fax Number:             | <b>(860) 757-7742</b>   |
| Correspondence Address: | <b>Connecticut Resources Recovery Authority<br/>100 Constitution Plaza, 6<sup>th</sup> Floor<br/>Hartford, CT 06103</b> |

**REQUEST FOR QUALIFICATIONS  
FOR  
HUMAN RESOURCES CONSULTING SERVICES**

**SECTION 4  
REQUIRED STATEMENT OF QUALIFICATIONS  
FORMS**



**STATEMENT OF QUALIFICATIONS FORM**

**PROJECT:** General

**RFP NUMBER:** FY12-HR-001

**CONTRACT FOR:** Human Resources Consulting Services

**STATEMENT OF QUALIFICATIONS SUBMITTED TO:** Connecticut Resources Recovery Authority  
100 Constitution Plaza, 6<sup>th</sup> Floor  
Hartford, Connecticut 06103-1722

**1. CATEGORY(IES) OF SERVICES FOR WHICH STATEMENT OF QUALIFICATIONS SUBMITTED**

In the table below, place a check mark in the box for each Category Of Services for which the entity submitting this Statement Of Qualifications (“SOQ”) wishes to be considered. (The Scope Of Services for each Category is described in **Exhibit A** of the Agreement and should be consulted before checking the box for any Category Of Services.)

|                          |  |
|--------------------------|--|
| <input type="checkbox"/> | <b>Temporary Staffing Services</b>                               |
| <input type="checkbox"/> | <b>Recruiting Services</b>                                       |
| <input type="checkbox"/> | <b>General/Miscellaneous Human Resources Consulting Services</b> |

**2. DEFINITIONS**

Unless otherwise defined herein, all terms that are not defined and used in this Statement Of Qualifications Form (“SOQ”) shall have the same respective meanings assigned to such terms in the Contract Documents.

**3. TERMS AND CONDITIONS**

The undersigned (the “SOQ Submitter”) accepts and agrees to all terms and conditions of the Request For Qualifications, Instructions To Human Resources Consultants, the Agreement and any Addenda to any such documents. This SOQ shall remain open and subject to acceptance for one hundred twenty (120) days after the SOQ due date.

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

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

#### **4. SOQ SUBMITTER'S OBLIGATIONS**

SOQ Submitter proposes and agrees, if this SOQ is accepted by CRRA and CRRA issues a Notice Of Award to SOQ Submitter, 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 SOQ 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 SOQ Submitter 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*.

#### **5. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING NON-NEGOTIABILITY OF THE AGREEMENT**

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

#### **6. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING EXAMINATION OF CONTRACT DOCUMENTS**

In submitting this SOQ, SOQ Submitter represents that:

- (a) SOQ Submitter has thoroughly examined and carefully studied the RFQ 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 SOQ 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) SOQ Submitter 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) SOQ Submitter has studied and carefully correlated SOQ Submitter's knowledge and observations with the Contract Documents and such other related data;
- (e) SOQ Submitter has given CRRA written notice of all conflicts, errors, ambiguities and discrepancies that SOQ Submitter has discovered in the Contract Documents and the written resolutions thereof by CRRA are acceptable to SOQ Submitter;
- (f) If SOQ Submitter has failed to promptly notify CRRA of all conflicts, errors, ambiguities and discrepancies that SOQ Submitter has discovered in the Contract Documents, such failure shall be deemed by both SOQ Submitter and CRRA to be a waiver to assert these issues and claims in the future;
- (g) SOQ Submitter is aware of the general nature of work to be performed by CRRA and others that relates to the Services for which this SOQ is submitted; and
- (h) The Contract Documents are generally sufficient to indicate and convey understanding by SOQ Submitter of all terms and conditions for performing, furnishing and completing the Services for which this SOQ is submitted.

**7. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING INFORMATION MADE AVAILABLE**

In submitting this SOQ, SOQ Submitter acknowledges and agrees that SOQ Submitter shall not use any information made available to it or obtained in any examination made by it in connection with this RFQ 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.



**8. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING STATE OF CONNECTICUT TAXES**

In submitting this SOQ, SOQ Submitter acknowledges and agrees that CRRA is exempt from all State of Connecticut taxes and assessments, including sales and use taxes. Accordingly, SOQ Submitter shall not charge CRRA any State of Connecticut taxes or assessments at any time in connection with SOQ Submitter's performance of this Agreement, nor shall SOQ Submitter include any State of Connecticut taxes or assessments in any rates, costs, prices or other charges to CRRA hereunder. SOQ Submitter 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 SOQ or other submittal to CRRA in connection with this RFQ.

**9. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING DISCLOSURE OF INFORMATION**

In submitting this SOQ, SOQ Submitter:

- (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 SOQ Submitter's SOQ is subject to disclosure if required by law or otherwise; and
- (b) Expressly waives any claim(s) that SOQ Submitter 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.

**10. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING NON-COLLUSION**

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

- (a) The prices in the SOQ 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 SOQ have not, directly or indirectly, been knowingly disclosed by the SOQ Submitter prior to "opening" to any other person or company;
- (c) No attempt has been made or will be made by the SOQ Submitter to induce any other person, partnership or corporation to submit, or not to submit, a SOQ for the purpose of restricting competition;
- (d) The SOQ Submitter has not directly or indirectly induced or solicited any other SOQ Submitter to submit a false or sham SOQ; and

- (e) SOQ Submitter has not sought by collusion to obtain for itself any advantage for the Services over any other SOQ Submitter for the Services or over CRRA.

## **11. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING RFQ FORMS**

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

## **12. SOQ SUBMITTER'S WAIVER OF DAMAGES**

SOQ Submitter and all its affiliates and subsidiaries understand that by submitting a SOQ, SOQ Submitter is acting at its and their own risk and SOQ Submitter 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 SOQs 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.

## **13. SOQ SUBMITTER'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 4.12 [SEEC Form 11] of the RFP Package Documents.

## **14. ATTACHMENTS**

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

- (a) The completed Payment Rate Schedule Form for each Category Of Services for which the SOQ Submitter wishes to be considered;

- (b) The completed Firm Background And Experience Form for each Category Of Services for which the SOQ Submitter wishes to be considered;
- (c) The completed Personnel Background And Experience Form for each Category Of Services for which the SOQ Submitter wishes to be considered;
- (d) The completed References Form for each Category Of Services for which the SOQ Submitter wishes to be considered;
- (e) The completed Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety;
- (f) The completed Affidavit Of Third Party Fees that has been signed before a Notary Public or Commissioner of the Superior Court;
- (g) The completed Business Disclosure Form;
- (h) The completed Affidavit Concerning Nondiscrimination, with the Proposer's nondiscrimination policies and procedures attached;
- (i) The completed Background Questionnaire that has been signed before a Notary Public or Commissioner of the Superior Court;
- (j) A copy of the SOQ Submitter's up-to-date certificate of insurance showing all current insurance coverage; and

**15. NOTICES**

Communications concerning this SOQ should be addressed to SOQ Submitter at the address set forth below.

|                        |  |
|------------------------|--|
| SOQ Submitter Name:    |  |
| SOQ Submitter Contact: |  |
| Title:                 |  |
| Address:               |  |
|                        |  |
|                        |  |
| Telephone Number:      |  |
| Fax Number:            |  |
| E-Mail Address:        |  |

**16. ADDITIONAL REPRESENTATION**

SOQ Submitter hereby represents that the undersigned is duly authorized to submit this SOQ on behalf of SOQ Submitter.

**AGREED TO AND SUBMITTED ON** \_\_\_\_\_, 2012

|  |  |
|--|--|
| Name of SOQ Submitter:                     |  |
| Signature of SOQ Submitter Representative: |  |
| Name (Typed/Printed):                      |  |
| Title (Typed/Printed):                     |  |

## **ISSUES AND QUESTIONS TO BE ADDRESSED**

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

1. For each category of services for which the SOQ submitter wishes to be considered, and utilizing the Personnel Background And Experience Form contained herein as section 4.5 of this RFQ, or as a supplement thereto, provide a brief description of the backgrounds of the individuals who would be assigned to work with CRRA. Please indicate their probable areas of responsibility and the percentage of their time that would be available to assist CRRA.
2. For each category of services for which the SOQ submitter wishes to be considered, and utilizing the Firm Background And Experience Form contained herein as section 4.4 of this RFQ, or as a supplement thereto, provide a summary of the key strengths and qualifications of your firm to serve as Human Resources Consulting Firm to CRRA. (Your response to this question should not exceed one page per category).
3. If you are submitting a Statement Of Qualification for the category of Temporary Staffing Services, please disclose your conversion fee schedule both in cost and duration utilizing Payment Rate Schedule Form contained herein as section 4.3 of this RFQ, or as a supplement thereto.



**RATE SCHEDULE FORMS**

|                        |  |
|------------------------|--|
| Name of SOQ Submitter: |  |
| Name of RFQ            | <b>Human Resources Consulting Services</b> |

Human Resources Consultants that submit a Statement Of Qualifications (“SOQ”) must include in such SOQ the Compensation Form for each Category of Services for which they want to be considered.

Complete the appropriate Compensation Forms that follow.



**RATE SCHEDULE FORM –  
TEMPORARY STAFFING SERVICES**

CRRA seeks qualified firms to provide temporary staffing services for a wide range of positions. Please submit your hourly rates and conversion fees (if applicable) for the following sample positions:

| Position                                       | Hourly Rates                    |                                |                                 |
|--|---------------------------------|--------------------------------|---------------------------------|
|  | July 1, 2012 –<br>June 30, 2013 | July 1, 2013 –<br>June 30 2014 | July 1, 2014 –<br>June 30, 2015 |
| Accounts Payable Specialist                    | \$                              | \$                             | \$                              |
| Customer Accounting and<br>Billing Coordinator | \$                              | \$                             | \$                              |
| Scale Operator/Enforcement<br>Specialist       | \$                              | \$                             | \$                              |
| Administrative Assistant                       | \$                              | \$                             | \$                              |
| General Accountant                             | \$                              | \$                             | \$                              |
| Entry-Level Engineer                           | \$                              | \$                             | \$                              |
| Managerial-Level Employee                      | \$                              | \$                             | \$                              |

| Position                                       | Conversion Fees                 |                                |                                 |
|--|---------------------------------|--------------------------------|---------------------------------|
|  | July 1, 2012 –<br>June 30, 2013 | July 1, 2013 –<br>June 30 2014 | July 1, 2014 –<br>June 30, 2015 |
| Accounts Payable Specialist                    | \$                              | \$                             | \$                              |
| Customer Accounting and<br>Billing Coordinator | \$                              | \$                             | \$                              |
| Scale Operator/Enforcement<br>Specialist       | \$                              | \$                             | \$                              |
| Administrative Assistant                       | \$                              | \$                             | \$                              |
| General Accountant                             | \$                              | \$                             | \$                              |
| Entry-Level Engineer                           | \$                              | \$                             | \$                              |
| Managerial-Level Employee                      | \$                              | \$                             | \$                              |

Attach additional pages as necessary



**COMPENSATION FORM –  
RECRUITING SERVICES**

CRRA seeks qualified firms to provide a range of recruiting services. CRRA may use firms to perform a full placement engagement to assist an internal placement process. Please submit price information for both a full recruiting engagement (e.g., percentage of salary, flat fee, etc.) and an hourly engagement assisting an internal recruitment process. Prices should be submitted for all levels of staff in firms who may participate in a CRRA engagement.

**Full Recruiting Engagement**

Provide price information for a full recruiting engagement (e.g., percentage of salary, flat fee, etc.).

| Method of Compensation | July 1, 2012 – June 30, 2013 | July 1, 2013 – June 30 2014 | July 1, 2014 – June 30, 2015 |
|------------------------|------------------------------|-----------------------------|------------------------------|
| Percentage of Salary   | %                            | %                           | %                            |
| Flat Fee               | \$                           | \$                          | \$                           |
| Other*                 |                              |                             |                              |

\* Specify other method: \_\_\_\_\_

**Hourly Engagement Assisting An Internal Recruitment Process**

Provide price information for an hourly engagement assisting an internal recruitment process. Prices should be provided for all levels of staff who may participate in a CRRA engagement.

| Staff Name | Staff Level | Hourly Rate                  |                             |                              |
|------------|-------------|------------------------------|-----------------------------|------------------------------|
|            |             | July 1, 2012 – June 30, 2013 | July 1, 2013 – June 30 2014 | July 1, 2014 – June 30, 2015 |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |



### Mark-Up Percentage

Provide information the percentage mark-up applied to travel, advertising and other expenses related to any engagement. If no mark-up is applied, enter "0%."

| Item        | Percentage of Mark-Up |
|-------------|-----------------------|
| Travel      | %                     |
| Advertising | %                     |
| Other       | %                     |



**COMPENSATION FORM –  
GENERAL/MISCELLANEOUS HUMAN  
RESOURCES CONSULTING SERVICES**

A wide range of human resources consulting services exist beyond the scope of the temporary staffing services and the recruiting services categories. These services include, but are not limited to, the following: outplacement services, salary consultation, team-building projects, employee development, development planning, coaching, position design, and other similar services. For any and all of such services for which you submit an SOQ, please indicate the typical per-engagement fee and/or hourly rates of any of your staff who would participate. If there are other services not enumerated herein, but for which you believe CRRRA may have a need, please list such services and your price arrangements.

| Service                | Typical Per-Engagement Fee      |                                |                                 |
|------------------------|---------------------------------|--------------------------------|---------------------------------|
|                        | July 1, 2012 –<br>June 30, 2013 | July 1, 2013 –<br>June 30 2014 | July 1, 2014 –<br>June 30, 2015 |
| Outplacement Services  | \$                              | \$                             | \$                              |
| Salary Consultation    | \$                              | \$                             | \$                              |
| Team-Building Projects | \$                              | \$                             | \$                              |
| Employee Development   | \$                              | \$                             | \$                              |
| Development Planning   | \$                              | \$                             | \$                              |
| Coaching               | \$                              | \$                             | \$                              |
| Position Design        | \$                              | \$                             | \$                              |
| Other (Specify Below)  |                                 |                                |                                 |
|                        | \$                              | \$                             | \$                              |
|                        | \$                              | \$                             | \$                              |
|                        | \$                              | \$                             | \$                              |
|                        | \$                              | \$                             | \$                              |
|                        | \$                              | \$                             | \$                              |
|                        | \$                              | \$                             | \$                              |

| Staff Name | Staff Level | Hourly Rate                  |                             |                              |
|------------|-------------|------------------------------|-----------------------------|------------------------------|
|            |             | July 1, 2012 – June 30, 2013 | July 1, 2013 – June 30 2014 | July 1, 2014 – June 30, 2015 |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |
|            |             | \$                           | \$                          | \$                           |



|  |
|--|
| <b>FIRM BACKGROUND AND EXPERIENCE FORM</b> |
|--|

|   |  |
|---|--|
| <b>CATEGORY OF SERVICES FOR WHICH THIS FORM IS SUBMITTED:</b> |  |
|---|--|

*If submitting SOQ's for more than one category of services, please include a separate form for each.*

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

[Attach Additional Pages If Necessary]

|  |
|--|
|  |
|--|



## **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 Category of Services for which the Individual will be assigned to provide services to CRRA.
- In the “Staff Level” item, indicate the individual’s staff level as specified in the Payment Rate Schedule Form (Section 4.3 of the RFQ 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.
- Any particular individual may be identified to be assigned to work with CRRA for more than one Category of Services. When such is the case, use the space labeled “Other Categories Of Services” to indicate all of the Categories Of Services for which the individual might be involved.

If more than 10 individuals would be assigned to work with CRRA for a particular Category Of Services, copy page 6 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 and other Personnel Background And Experience Forms, if any, as Appendix A to the SOQ. Please provide only one resume for each individual identified, regardless of how many Categories Of Services to which he/she might be assigned.

**PROFESSIONAL 1**

|                                   |  |                      |  |
|-----------------------------------|--|----------------------|--|
| Name:                             |  | Staff Level:         |  |
| Title:                            |  | % of Time Available: |  |
| Probable Areas of Responsibility: |  |                      |  |
| Other Categories Of Services:     |  |                      |  |
| Background:                       |  |                      |  |

**PROFESSIONAL 2**

|                                   |  |                      |  |
|-----------------------------------|--|----------------------|--|
| Name:                             |  | Staff Level:         |  |
| Title:                            |  | % of Time Available: |  |
| Probable Areas of Responsibility: |  |                      |  |
| Other Categories Of Services:     |  |                      |  |
| Background:                       |  |                      |  |

**PROFESSIONAL 3**

|                                   |  |                      |  |
|-----------------------------------|--|----------------------|--|
| Name:                             |  | Staff Level:         |  |
| Title:                            |  | % of Time Available: |  |
| Probable Areas of Responsibility: |  |                      |  |
| Other Categories Of Services:     |  |                      |  |
| Background:                       |  |                      |  |

**PROFESSIONAL 4**

|                                   |  |                      |  |
|-----------------------------------|--|----------------------|--|
| Name:                             |  | Staff Level:         |  |
| Title:                            |  | % of Time Available: |  |
| Probable Areas of Responsibility: |  |                      |  |
| Other Categories Of Services:     |  |                      |  |
| Background:                       |  |                      |  |

**PROFESSIONAL 5**

|                                   |  |                      |  |
|-----------------------------------|--|----------------------|--|
| Name:                             |  | Staff Level:         |  |
| Title:                            |  | % of Time Available: |  |
| Probable Areas of Responsibility: |  |                      |  |
| Other Categories Of Services:     |  |                      |  |
| Background:                       |  |                      |  |

**PROFESSIONAL 6**

|                                   |  |                      |  |
|-----------------------------------|--|----------------------|--|
| Name:                             |  | Staff Level:         |  |
| Title:                            |  | % of Time Available: |  |
| Probable Areas of Responsibility: |  |                      |  |
| Other Categories Of Services:     |  |                      |  |
| Background:                       |  |                      |  |



**PROFESSIONAL 7**

|                                   |  |                      |  |
|-----------------------------------|--|----------------------|--|
| Name:                             |  | Staff Level:         |  |
| Title:                            |  | % of Time Available: |  |
| Probable Areas of Responsibility: |  |                      |  |
| Other Categories Of Services:     |  |                      |  |
| Background:                       |  |                      |  |

**PROFESSIONAL 8**

|                                   |  |                      |  |
|-----------------------------------|--|----------------------|--|
| Name:                             |  | Staff Level:         |  |
| Title:                            |  | % of Time Available: |  |
| Probable Areas of Responsibility: |  |                      |  |
| Other Categories Of Services:     |  |                      |  |
| Background:                       |  |                      |  |

**PROFESSIONAL 9**

|                                   |  |                      |  |
|-----------------------------------|--|----------------------|--|
| Name:                             |  | Staff Level:         |  |
| Title:                            |  | % of Time Available: |  |
| Probable Areas of Responsibility: |  |                      |  |
| Other Categories Of Services:     |  |                      |  |
| Background:                       |  |                      |  |

**PROFESSIONAL 10**

|                                   |  |                      |  |
|-----------------------------------|--|----------------------|--|
| Name:                             |  | Staff Level:         |  |
| Title:                            |  | % of Time Available: |  |
| Probable Areas of Responsibility: |  |                      |  |
| Other Categories Of Services:     |  |                      |  |
| Background:                       |  |                      |  |



|                        |
|------------------------|
| <b>REFERENCES FORM</b> |
|------------------------|

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

**REFERENCE 1**

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

**REFERENCE 2**

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

**REFERENCE 3**

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



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

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

|  | Yes                      | No                       |
|--|--------------------------|--------------------------|
| 1. Is the Contractor an Individual?<br><i>If you answered "Yes" to Question 1, skip to Question 2.<br/>If you answered "No" to Question 1, proceed to Question 1A and then to Question 2.</i>  | <input type="checkbox"/> | <input type="checkbox"/> |
| 1A. How many employees does the Contractor have? <input type="text"/>  |                          |                          |
| 2. Is the Contractor a Small Contractor based on the criteria in Schedule A?<br><i>If you answered "Yes" to Question 2, proceed to Question 2A and then to Question 3.<br/>If you answered "No" to Question 2, skip to Question 3.</i>         | <input type="checkbox"/> | <input type="checkbox"/> |
| 2A. Is the Contractor registered with the DAS as a Certified Small Business?<br><i>If you answered "Yes" to Question 2A, please provide a copy of your Set-Aside Certificate.</i>  | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Is the Contractor a MWDP Business Enterprise based on the criteria in Schedule B?<br><i>If you answered "Yes" to Question 3, proceed to Question 3A and then to Question 4.<br/>If you answered "No" to Question 3, skip to Question 4.</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3A. Is the Contractor registered with DAS as a MWDP Small Business?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Does the Contractor have an Affirmative Action Plan?<br><i>If you answered "Yes" to Question 4, proceed to Question 4A and then to Question 5.<br/>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?<br><i>If you answered "Yes" to Question 9, proceed to Question 9A.<br/>If you answered "No" to Question 9, you are finished with the questionnaire.</i>  | <input type="checkbox"/> | <input type="checkbox"/> |
| 9A. How many subcontractors will be involved? <input type="text"/>   |                          |                          |

### LIST OF ACRONYMS

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

### FOOTNOTE

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

### SCHEDULE A CRITERIA FOR A SMALL CONTRACTOR

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

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

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

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

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

### CONNECTICUT GENERAL STATUTES SECTION 32-9n

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



## AFFIDAVIT OF THIRD PARTY FEES

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

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

1. I am over eighteen (18) years of age and believe in the obligations of an oath;
2. Consultant seeks to enter into the HUMAN RESOURCES CONSULTING SERVICES (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 <sup>1</sup> |
|---------------|--|-----------------|--|
|               |  |                 |  |
|               |  |                 |  |
|               |  |                 |  |

*(Attach additional copies of this page as necessary.)*

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

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

Signed: \_\_\_\_\_  
 Name (Print): \_\_\_\_\_  
 Title: \_\_\_\_\_

Sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_ 20 12

\_\_\_\_\_  
 Notary Public/Commissioner of the Superior Court

<sup>1</sup> Please attach documents evidencing the terms of the fee arrangement and services.



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

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

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

***Attach additional pages as necessary.***





# **BUSINESS DISCLOSURE FORM**

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

**1. CONFLICTS OF INTEREST**

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

[Attach Additional Pages If Necessary]

**2. CONFLICT OF INTEREST MEASURES**

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

[Attach Additional Pages If Necessary]

|  |
|--|
|  |
|--|

**3. BUSINESS WITH MAJOR CRRA CONTRACTORS**

In the table below, disclose any services similar to the Services that are the subject of this solicitation that the Consultant has provided to any of the following major CRRA contractors. Place a check in the box for any such contractor for which the Consultant has provided the services. If the Consultant has provided any such services, provide a summary description of the services provided.

Having provided the services similar to the Services that are the subject of this solicitation to one or more of the contractors listed below does not disqualify a Consultant from consideration under this solicitation.

[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) |  |
| <input type="checkbox"/> ReCommunity/ FCR, LLC           |  |



**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 statement of qualifications to the Connecticut Resources Recovery Authority that certifies such business entity complies with the nondiscrimination agreement and warranties contained in Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended, regarding nondiscrimination against persons on account of their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, mental retardation, mental disability, physical disability or sexual orientation.

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

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

1. Contractor seeks to enter into the "HUMAN RESOURCES CONSULTING SERVICES" (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, gender identity or expression, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut; and the contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved;

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

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



**SOQ SUBMITTER'S BACKGROUND QUESTIONNAIRE**

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

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

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

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

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

Sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_ 2012 \_\_\_\_

\_\_\_\_\_  
 Notary Public/Commissioner of the Superior Court

**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](http://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.



**BUSINESS EXCEPTION  
FORM**

Using this form (add additional sheets of paper as needed), Statement of Qualifications Submitter (hereinafter collectively referred to as “Consultant”) shall identify any portion of the Services required or described in the RFQ Package Documents or any provision of the Agreement that Consultant desires to take exception to, including insurance, if any.

Consultant shall be specific regarding any exceptions listed. Consultant shall describe in detail the portion(s) of the Services or Agreement terms that the Consultant is taking exception to and why. Consultant shall also describe what, if any, alternative Services, terms, or conditions Consultant is willing to provide or accept as a substitution for the Services or business terms to which Consultant has taken exception, if any.

If Consultant does not take exception to any portion of the Services required or described in this RFQ Package Documents or to any terms of the Agreement, Consultant shall simply indicate below that Consultant “takes no exceptions”, and submit this form along with the other SOQ forms as part of its SOQ submittal.

Note that CRRA will negotiate with Consultant on only those items identified by Consultant on this Business Exception Form. Also note that revisions to the services or Agreement will be at CRRA’s sole discretion. Also note that pursuant to State of Connecticut statutes and regulations, the Agreement contains a number of provisions that CRRA, as a quasi-public entity, is required to incorporate in all of its contracts and are, therefore, non-negotiable.

|    | Description of Exception Item | Reason for Exception | Proposed Alternative |
|----|-------------------------------|----------------------|----------------------|
| 1. |                               |                      |                      |
| 2. |                               |                      |                      |

|    | <b>Description of Exception Item</b> | <b>Reason for Exception</b> | <b>Proposed Alternative</b> |
|----|--------------------------------------|-----------------------------|-----------------------------|
| 3. |                                      |                             |                             |
| 4. |                                      |                             |                             |
| 5. |                                      |                             |                             |
| 6. |                                      |                             |                             |
| 7. |                                      |                             |                             |

**REQUEST FOR QUALIFICATIONS  
FOR  
HUMAN RESOURCES CONSULTING SERVICES**

**SECTION 5  
NOTICE OF AWARD**



## NOTICE OF AWARD

**TO:** [NAME OF SUCCESSFUL SOQ SUBMITTER CONTACT]  
[NAME OF SUCCESSFUL SOQ SUBMITTER]  
[ADDRESS OF SUCCESSFUL SOQ SUBMITTER]

**PROJECT:** General Fund

**RFQ NUMBER:** FY12-HR-001

**CONTRACT:** Human Resources Consulting Services

The Connecticut Resources Recovery Authority (“CRRA”) has considered the Statement Of Qualifications (“SOQ”) submitted by you dated [DATE] in response to CRRA’s Notice To Property Appraisers – Request For Qualifications for the above-referenced Services, which Services are more particularly described in the Human Resources Consulting Services Agreement (the “Services”).

You are hereby notified that your SOQ has been accepted for 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 the attached counterparts of the non-negotiable Agreement and deliver such executed counterparts to CRRA;
- (b) Execute the attached Contractor’s Certification Concerning Gifts and deliver such executed Certification to CRRA;
- (c) Deliver to CRRA the requisite certificates of insurance; and
- (d) 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 (d) above, CRRA will be entitled to consider all your rights arising out of CRRA’s acceptance of your SOQ 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.

Dated this [DAY] day of [MONTH], 2012.

Connecticut Resources Recovery Authority

By: \_\_\_\_\_  
[NAME OF CRRA OFFICIAL]  
Title: [TITLE OF CRA OFFICIAL]

**ACCEPTANCE OF NOTICE**

Receipt of this NOTICE OF AWARD is hereby acknowledged this \_\_\_\_\_ day of \_\_\_\_\_, 2012.

By:

Signature: \_\_\_\_\_  
Name (print/type): \_\_\_\_\_  
Title: \_\_\_\_\_

**REQUEST FOR QUALIFICATIONS  
FOR  
HUMAN RESOURCES CONSULTING SERVICES**

**SECTION 6  
HUMAN RESOURCES CONSULTING SERVICES  
AGREEMENT**

# HUMAN RESOURCES CONSULTING SERVICES AGREEMENT

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This **HUMAN RESOURCES CONSULTING SERVICES AGREEMENT** (“Agreement”) is made and entered into as of \_\_\_\_\_, 2012 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, 6<sup>th</sup> 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 render certain independent human resources consulting services for CRRA 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 bid 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 Property Appraisers – Request For Qualifications, Instructions To Property Appraisers, Addenda, Consultant’s Statement Of Qualifications (“SOQ”) (including all documentation accompanying such SOQ, all other documentation submitted in connection with such SOQ, and all post-SOQ 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 SOQ submitter which states that CRRA has accepted such SOQ submitter’s SOQ and sets forth the remaining conditions that must be fulfilled by such SOQ submitter 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**

Consultant shall be responsible for furnishing all labor, materials, supplies, tools, equipment and incidentals thereto to provide HUMAN RESOURCES CONSULTING SERVICES including, but not limited to, the Services described in **Exhibit A** attached hereto (collectively, 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.

### **2.2 Performance and Completion of Services**

All Services shall be performed and completed by Consultant as an independent consultant 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 human resources consulting practices;
- (d) The highest prevailing industry standards applicable to Consultant and its performance of the Services hereunder;
- (e) All Laws And Regulations; and
- (f) Any Request (as hereinafter defined) pursuant to which such Services are rendered.

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

Consultant shall obtain any locally required building or other permits required for the Services, and Consultant shall also assist and fully cooperate with CRRA in obtaining any other applicable permits necessary to begin and complete the Services.

### **2.3 Authorized Representative Of CRRA**

Consultant will only perform 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 Human Resources Manager or any person designated in writing to Consultant by the President or the Human Resources Manager. Any 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.

## **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 hereunder. CRRA reserves the right to determine whether Consultant will, upon completion of any phase of the Services, proceed to any or all remaining phases of the Services. If CRRA determines that Consultant shall not proceed with the remaining Services, CRRA shall terminate this Agreement in accordance with Section 4.3 hereof.

## **2.5 CRRA's Inspection Rights**

Consultant's performance of the 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 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 without any extension of the Project Schedule for the remaining Services. For purpose of this Section 2.5, CRRA shall mean CRRA and/or its Authorized Representative.

## **2.6 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.

## **2.7 Specific Services Request For Services**

At its discretion, CRRA, through an Authorized Representative, may require that prior to undertaking work on a specific task, Consultant and CRRA 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 Services. In such cases, CRRA will request performance of such 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 Services described in such Request in accordance with the terms of this Agreement and such Request.

If, during Consultant's performance of such Services, there is a change in Consultant's estimate time, cost or expenses for such 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 Services rendered or expenses incurred by Consultant in excess of those included in such Request unless specifically authorized in advance and in writing by CRRA.

## **2.8 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 provided to CRRA. Therefore, Consultant shall not provide CRRA any lobbying services, or receive, pay, or distribute any finder's fees under this Agreement.

## **2.9 Access**

In the event that Consultant requires access to any Facility or Property in order to perform any of the 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 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.

## **2.10 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 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 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 books and records containing complete and correct information on all 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 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 for CRRA hereunder and that Consultant shall perform such 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 consultant. 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 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 the employees of Consultant providing services hereunder shall not render services to another which would either be in conflict with the interests of CRRA or prevent Consultant from performing hereunder.



### 3. COMPENSATION AND PAYMENT

#### 3.1 Compensation Schedule

Consultant shall be paid by CRRA for any services rendered and expenses incurred under this Agreement on the basis set forth in Exhibit C attached hereto and made a part hereof. All Services provided by Consultant to CRRA must be approved in advance by CRRA. Any Services rendered by Consultant that were not approved in advance by the Authorized Representative shall not be paid by CRRA even if said Services were requested by other CRRA staff.

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 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

Consultant shall render a bill to CRRA each quarter for all of the Services performed and all of the costs and expenses incurred in the immediately preceding quarter pursuant to this Agreement. Each quarterly bill shall contain at least the following information:

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

- (g) The request for services identification number, if appropriate.

The format for all monthly 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**

If CRRA determines, in its sole discretion, that

- (a) The 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 thirty (30) calendar days after its receipt of such bill.

If, however,

- (a) CRRA determines that any of the 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 Services and/or bill in conformance with the Standards, or to cure such default.

CRRA shall have no obligation under this Agreement to pay for any 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.

### **3.4 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 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 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.
- (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 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 consultant.

### **3.8 State of Connecticut Taxes**

Pursuant to Section 22a-270 of the *Connecticut General Statutes* (as the same may be amended or superceded 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 Work 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 Work contemplated by this Agreement.

Consultant and CRRA agree that Consultant is and shall act as an independent consultant. Notwithstanding Consultant's status as an independent consultant, but without limiting

Consultant's obligation hereunder to pay, and be solely responsible for, any Connecticut taxes levied, imposed or applicable to the Work, 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 hereunder for the account of CRRA, and with funds provided as reimbursement therefore 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 June 30, 2015.

### **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 hereunder. Accordingly, upon Consultant's receipt and acceptance of a Request, Consultant shall immediately commence performance of the Services requested and continue to perform the same during the term of this Agreement in order to complete all of the Services requested by the completion date set forth in such Request, if any.

### **4.3 Termination**

This Agreement may be terminated by either CRRA or Consultant upon at least thirty (30) days' advance written notice except that Consultant shall have no right to terminate until all ongoing Services or tasks (other than Services and tasks which are continuous) have been completed to the satisfaction of CRRA.

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 performed by Consultant prior to the termination date, provided:
  - (1) CRRA has determined that such Services have been performed by Consultant in conformance with the Standards;
  - (2) Payment for such 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, and

(b) CRRA shall have no further liability 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 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 defend, indemnify and hold harmless CRRA and its board of directors, officers, agents and employees from and against any and all claims, damages, losses, judgments, liability, workers' compensation payments and expenses (including but not limited to attorneys' fees) arising out of injuries to the person (including death), damage to property or any other damages alleged to have been sustained by: (a) CRRA or any of its directors, officers, agents, employees or other consultants, or (b) Consultant or any of its directors, officers, agents, employees, subcontractors or materialmen, or (c) any other person, to the extent any such injuries, damage 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, agents, employees, subcontractors or materialmen. Consultant further undertakes to reimburse CRRA for damage to property of CRRA caused by Consultant or any of its directors, officers, agents, employees, subcontractors or materialmen, or by faulty, defective or unsuitable material or equipment used by it or any of them. 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 Insurance

At all times during the term of this Agreement, Consultant shall, at its sole cost and expense, procure and maintain the insurance coverages described below for claims which may arise from or in connection with the work set forth in the scope of work hereunder (the “Work”) performed by the Consultant and those for whom they are legally responsible.

Prior to execution of a Specific Request for Services (a “Request”) pursuant to Section \_\_\_ of this Agreement, CRRA may elect to require additional lines of insurance, increase or decrease the dollar amounts of some or all of the insurance, or make other changes to the insurance provisions based upon the specific scope of services outlined in a Request. In such event, Consultant shall be required to comply with the specific Request requirements.

#### (a) Minimum Scope of Insurance

Coverage shall be at least as broad as:

1. Commercial General Liability insurance as specified by the most recent version of ISO Form Number CG 001 (occurrence).
2. Automobile Liability insurance as specified by the most recent edition of ISO Form Number CA 0001, Symbol 1 (any auto). An MCS 90 Endorsement and a CA 9948 Endorsement shall be attached **if any hazardous materials are transported by the Consultant during its performance of the Work.**
3. Workers’ Compensation insurance as required by all states in which the Work is being done and Employer’s Liability insurance.
4. Professional Liability insurance if the Consultant or any subcontractor to them is providing engineering and/or design services. The Professional Liability insurance should include coverage for all professional services related to the Work (including design work that preceded this Agreement) and should be kept in force for a completed operations period of at least five years after final completion of the Work.

### 6.2 Minimum Limits of Insurance

Consultant shall maintain the following limits of liability for the insurance described above:

1. Commercial General Liability:
  - a. \$1,000,000 Each Occurrence for Bodily Injury & Property Damage.
  - b. \$2,000,000 General Aggregate
  - c. \$2,000,000 Products & Completed Operations Aggregate
  - d. \$1,000,000 Personal & Advertising Injury

2. Automobile Liability:
  - a. \$1,000,000 Combined Single Limit Each Accident for Bodily Injury and Property Damage.
  - b. Include Owned, Hired and Non-Owned Auto Liability
3. Workers' Compensation: Statutory limits.
4. Employer's Liability:
  - a. \$500,000 Each Accident
  - b. \$500,000 Disease – Policy Limit
  - c. \$500,000 Disease – Each Employee
5. Professional liability
  - a. \$1,000,000 Each Claim

(a) Deductibles, Self-insured Retentions and Uninsured Losses

The Consultant shall be responsible for payment of all deductibles and self-insured retentions on any of the insurance policies required under this Agreement. The Consultant is also responsible for the payment of all losses arising out of its performance of the Work that may not be covered by the insurance policies required under this Agreement.

(b) Other Insurance Provisions

All policies required under this Agreement shall contain the following provisions:

1. CRRA, its subsidiaries, officials and employees are to be covered as additional insureds on a primary and non-contributing basis on the following insurance policies purchased by the Consultant:
  - a. Commercial General Liability
  - b. Automobile Liability
2. The Consultant agrees to notify CRRA at least thirty (30) days in advance of any cancellation or change to insurance coverages required under this Agreement. Notice of cancellation or change in coverage shall be provided to CRRA's Risk Manager by fax to 860-757-7740, or by e-mail to [lmartin@crra.org](mailto:lmartin@crra.org), or by correspondence to CRRA, 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecticut 06103-1722.
3. The Consultant should waive (and require their insurers to waive) subrogation rights against CRRA for losses and damages incurred under the insurance policies required by this Agreement.



4. The Consultant's/Consultant's insurance shall apply separately to each insured against whom claim is made or suit is brought, except with respect to the limits of the insurer's liability.

(c) Acceptability of Insurance

Insurance is to be placed with insurers with current A.M. Best ratings of not less than A-VIII, and be lawfully authorized to conduct business in the state(s) or jurisdiction(s) where the Work is being performed, unless otherwise approved by CRRA.

(d) Verification of Coverage

Consultant shall furnish CRRA with a Certificate of Insurance evidencing the coverages required under this Agreement. All certificates are to be received and approved by CRRA before the Work commences. Consultant shall provide new Certificates of Insurance upon renewal, replacement or addition of any insurance required under this Agreement.

(e) Subcontractors

Consultant shall either include all subcontractors as insureds under its insurance policies or shall require subcontractors to provide their own insurance subject to all of the requirements stated herein.

### **6.3 Other Conditions**

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.

## **7. MISCELLANEOUS**

### **7.1 Non-Discrimination**

Consultant agrees to the following:

- (a) Consultant agrees and warrants that in the performance of the Services for CRRA 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, gender identity or expression mental retardation 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. 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, gender identity or expression, 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, workers’ representative and vendor 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 applicable 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 related to the applicable provisions of Sections 4a-60, 4a-60a and 46a-56 of the *Connecticut General Statutes*. 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.

CRRA reserves the right to assign a CRRA Purchase Order and Purchase Order number to this agreement for internal accounting purposes. However, the terms, and conditions of this Agreement supersede the Terms of Purchase of any such Purchase Order.

## **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 Bankruptcy**

In the event of any proceedings, voluntary or involuntary, in bankruptcy or insolvency by or against the Consultant, the inability of the Consultant to meet its debts as they become due, or in the event of the appointment, with or without Consultant's consent, of an assignee for the benefit of creditors or of a receiver, then CRRA shall be entitled, at its sole option, to cancel any unfilled part of this Agreement without any liability whatsoever to CRRA.

## **7.6 Intellectual Property**

Consultant warrants that it has a full, unconditional, and irrevocable right and title to sell, transfer, deliver or perform the goods or services, or to practice the methods, which are the subject of this Agreement. To the extent that such goods, services, methods or other deliverables are or may be protected by or subject to any laws, regulations, statutes, codes, or other provisions relating to any intellectual property or related rights (including but not limited to patents, trademarks, trade dress, trade secrets, logos, brand names, copyrights and other intellectual property rights) (hereinafter the "Intellectual Property"), Consultant further warrants that it is either (i) the sole and exclusive owner of and has the exclusive right to use (free and clear of any obligation to pay royalties or any similar obligation and free and clear of all mortgages, liens or other encumbrances) the Intellectual Property; or (ii) it has valid and effective licenses permitting it to make, use, sell, transfer, practice, or otherwise use, the Intellectual Property. Consultant further warrants that it has the right to grant any licenses or sublicenses necessary for it or CRRA to perform under this Agreement and/or for CRRA to receive, purchase or use the goods, services or deliverables which are the subject of this Agreement. There is no claim or

demand of any person or entity pertaining to, and there is no pending or threatened action, suit, proceeding or investigation relating to, or the outcome of which could affect, the rights of the Consultant or CRRA with respect to the Intellectual Property. Without limiting any right of CRRA contained in Section 5.1 (Consultant's Indemnity) Consultant shall hold harmless and indemnify CRRA (including for all attorneys fees and costs) in the event that Consultant breaches any of the warranties set forth in this Section 7.7, or if in any other respect, any claims (including but not limited to claims for infringement) are asserted by any third-party with respect to Intellectual Property or other rights with respect to the goods, services, methods or other deliverables which are the subject of this Agreement.

## **7.7 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.

## **7.8 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.

## **7.9 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, 6<sup>th</sup> Floor  
Hartford, Connecticut 06103  
Attention: Human Resources Manager

With a copy to:

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

(b) If to Consultant:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Attention: \_\_\_\_\_

**7.10 Binding Effect**

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

**7.11 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.

**7.12 Small Contractor 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 (SBE) and/or Minority/Women/Disabled Person Business Enterprise (MBE) in accordance with *Connecticut General Statutes* Section 4a-60g.

**7.13 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.

**7.14 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].

#### **7.15 Affidavit Of Third Party Fees**

At the time of Consultant's execution of this Agreement, Consultant 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.**

#### **7.16 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.**

#### **7.17 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.**

#### **7.18 Consultant's Certification Concerning Gifts**

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

#### **7.19 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

## **SCOPE OF SERVICES**

The following are the Categories of Human Resources Consulting Services for which CRRA is requesting RFQ Submissions.

### **1. Temporary Staffing Services**

Qualified Human Resources Consulting Firms will be required to provide to CRRA temporary staffing services for a wide range of positions, including, but not limited to, the following positions:

- (a) Clerical
- (b) Administrative/Secretarial
- (c) Accountant
- (d) Professional-level employee
- (e) Managerial-level employee.

### **2. Recruiting Services**

Qualified Human Resources Consulting Firms will be required to provide a range of recruiting services to CRRA. Such services may range from full placement engagements to assisting in an internal placement process.

### **3. General (Miscellaneous) Human Resources Consulting Services**

From time to time, CRRA requires the services of qualified Human Resources Consulting Firms for a wide range of human resources consulting services beyond the scope of the categories discussed above. These services include, but are not limited to, the following:

- (a) Outplacement services,
- (b) Salary consultation,
- (c) Team-building projects,
- (d) Employee development,
- (e) Development planning,
- (f) Coaching,
- (g) Position design, and
- (h) Other similar services.





## REQUEST FOR SERVICES

[Date]

[NAME OF CONSULTANT]  
[ADDRESS OF CONSULTANT]

**Re: Human Resources Consulting Services  
Request for Services**

Dear \_\_\_\_\_:

This Request will authorize you to provide the Services described below in accordance with the terms and conditions of the Human Resources Consulting Services, dated \_\_\_\_\_, 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  
Human Resources Consulting Services  
dated \_\_\_\_\_, 2012.

[NAME OF CONSULTANT]

By: \_\_\_\_\_  
Title: \_\_\_\_\_

STANDARD FORMAT

## **COMPENSATION SCHEDULE**

[The successful SOQ Submitter's Rate Schedule Form (that was submitted with the successful Submitter's SOQ) will be added by CRRA.]



# **TRAVEL POLICY AND EXPENSE REPORTING**

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

**APPROVED BY CRRA 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.

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### **ORIGINAL**

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

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### **REVISION 1**

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

**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](http://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.

## **AFFIDAVIT OF THIRD PARTY FEES**

[The successful Proposer's Affidavit Of Third Party Fees (that was submitted with the successful Proposer's Proposal) will be added by CRRRA.]

## **AFFIDAVIT CONCERNING NONDISCRIMINATION**

[The successful Proposer's Affidavit Concerning Nondiscrimination (that was submitted with the successful Proposer's Proposal) will be added by CRRA.]



**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 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 "Human Resources Consulting Services" (the "Agreement") with the Connecticut Resources Recovery Authority ("CRRA");
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 Statutes<sup>1</sup> as of the date this Affidavit is submitted, Contractor has not entered into any consulting agreement<sup>2</sup> in connection with the Agreement whereby any duties of the consultant pursuant to said consulting agreement<sup>2</sup> require that consultant pursue communications concerning business of CRRA, whether or not direct contact with CRRA, a CRRA official, a CRRA 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 agreement<sup>2</sup> 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.

<sup>1</sup> 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.

<sup>2</sup> 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 agreements<sup>2</sup> 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 |
| <b>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.</b> |  |
| 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





**CONTRACTOR'S CERTIFICATION  
CONCERNING GIFTS**

**HUMAN RESOURCES CONSULTING 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 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 for the Human Resources Consulting Services Agreement (the "Agreement") to the Connecticut Resources Recovery Authority ("CRRA"), has been selected by CRRA as the successful bidder/proposer for the Agreement and is prepared to enter into the Agreement with CRRA; and
3. No gifts were made between January, 2012 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 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 for or the negotiation of the Agreementto
  - (1) Any public official or employee of CRRA who participated substantially in the preparation of the bid/proposal 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 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**

|  |
|--|
| Eric Womack, Human Resources Manager             |
| Roger Guzowski, Contract and Procurement Manager |
|  |
|  |
|  |

**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 12

\_\_\_\_\_  
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.



**PRESIDENT'S CERTIFICATION  
CONCERNING GIFTS**

**HUMAN RESOURCES CONSULTING SERVICES**

**Awarded To**

**[NAME OF 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 Human Resources Consulting Services 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 \_\_\_\_\_ 2012\_\_

\_\_\_\_\_  
Notary Public/Commissioner of the Superior Court