



**CONNECTICUT
RESOURCES
RECOVERY
AUTHORITY**

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

FOR

**HEALTH AND WELFARE BROKER-OF-RECORD SERVICES
(RFP Number 11-HR-001)**

**PROPOSAL DUE DATE
OCTOBER 20, 2010**

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

September 20, 2010

REQUEST FOR PROPOSALS
For
HEALTH AND WELFARE BROKER-OF-RECORD
SERVICES
(RFP Number 11-HR-001)

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

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**REQUEST FOR PROPOSALS
FOR
HEALTH AND WELFARE BROKER-OF-RECORD SERVICES**

**SECTION 1
NOTICE TO FIRMS
REQUEST FOR PROPOSALS**

CONNECTICUT RESOURCES RECOVERY AUTHORITY

NOTICE TO FIRMS REQUEST FOR PROPOSALS

The Connecticut Resources Recovery Authority ("CRRA") is a quasi-public agency of the State of Connecticut that is responsible for implementing the State Solid Waste Management Plan and is currently providing solid waste disposal and recycling services to more than 100 municipalities in the state.

CRRA provides to its approximately 55 full- and part-time employees a health and welfare benefits package pursuant to CRRA's health and welfare policies. CRRA is requesting proposals from qualified firms to provide to CRRA certain health and welfare broker-of-record services for the three-year period February 1, 2011 through January 31, 2014.

Request For Proposals ("RFP") package documents may be obtained on the World Wide Web at <http://www.crra.org> under the "Business Opportunities" page beginning **Monday, September 20, 2010**. The documents will also be available Monday through Friday, from 8:30 a.m. to 5:00 p.m. at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, beginning on the same date. Anyone intending to pick up the documents at CRRA's offices must contact Ronald Gingerich (860-757-7703) at least 24 hours in advance.

CRRA encourages firms interested in this RFP to submit a Notice Of Interest Form to CRRA by 3:00 p.m., Wednesday, October 6, 2010. The Notice Of Interest Form is available on CRRA's web site along with the other RFP documents. While not mandatory, CRRA will use the information provided on the Form to notify prospective proposers about the availability of addenda and other information related to the RFP.

Sealed proposals must be received at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722 no later than 3:00 p.m., Wednesday, October 20, 2010. Proposals received after the time and date set forth above shall be rejected. All Proposals shall remain open for one hundred twenty (120) days after the proposal due date.

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

All questions regarding this RFP must be submitted **in writing** to Ronald Gingerich, by e-mail (rgingerich@crra.org), by fax (860-757-7742), or by correspondence (CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103) no later than 3:00 p.m., Wednesday, October 6, 2010. Subject to the discretion of CRRA, CRRA may decide to provide written responses to potential proposers no later than Wednesday, October 13, 2010. Any entity considering submitting a proposal is prohibited from having any ex-parte communications with any CRRA staff member or CRRA Board member except Mr. Gingerich.

**REQUEST FOR PROPOSALS
FOR
HEALTH AND WELFARE BROKER-OF-RECORD SERVICES**

**SECTION 2
INSTRUCTIONS TO PROPOSERS**

INSTRUCTIONS TO PROPOSERS

HEALTH AND WELFARE BROKER OF RECORD SERVICES

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1. Introduction

The Connecticut Resources Recovery Authority (“CRRA”) is a quasi-public agency of the State of Connecticut that is responsible for implementing the State Solid Waste Management Plan and is currently providing solid waste disposal and recycling services to more than 100 municipalities in the state.

CRRA has approximately 55 full- and part-time employees. CRRA provides to those employees a health and welfare benefits package pursuant to CRRA’s health and welfare policies. The benefits package includes health insurance (two PPS plans and one PPO plan), dental insurance, vision insurance, life/accidental death and dismemberment insurance, disability insurance (both short- and long-term) and flexible spending accounts (SEC 125 Plans).

CRRA is requesting proposals from qualified firms to provide to CRRA health and welfare broker-of-record services. The services will be provided for the three-year period from February 1, 2011 through January 31, 2014. The compensation for the successful proposer will be on a fixed fee basis. Compensation for additional services beyond those of the broker-of-record, if any, will be compensated pursuant to the Proposal Price And Payment Rate Schedule Form, as such form may be modified through negotiations between CRRA and the successful proposer.

2. RFP Projected Timeline

The following is the projected timeline for the RFP process:

ITEM	DATE
RFP Documents Available	Monday, September 20, 2010
Notice of Interest Forms Due at CRRA	3:00 p.m., Wednesday, October 6, 2010
Deadline for Written Questions	3:00 p.m., Wednesday, October 6, 2010
Response to Written Questions	No Later Than Wednesday October 13, 2010
Proposals Due at CRRA	3:00 p.m., Wednesday, October 20, 2010
Interviews with Selected Proposers	Wednesday, November 3, 2010
Selection and Notice of Award Issued	Friday, November 19, 2010
Effective Date of Agreement	February 1, 2011

CRRA reserves the right at its sole and absolute discretion to extend any of the actual or proposed dates in the above Projected Timeline.

3. Definitions

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

- (a) **Addenda:** Written or graphic documents issued prior to the proposal due date that clarify, correct or change any or all of the Contract Documents.
- (b) **Contract Documents:**
 - (1) Health And Welfare Broker-Of-Record Services Agreement (the "Agreement");
 - (2) RFP Package Documents (defined in (f) below);
 - (3) Addenda;

- (4) Successful proposer's proposal (including all documentation attached to or accompanying such proposal, all other documentation submitted in connection with such proposal, and all post-proposal documentation submitted prior to the Notice Of Award);
 - (5) Notice Of Award, with Contractor Certification Concerning Gifts attached [to be executed by successful proposer]; and
 - (6) Any written amendments to the Agreement.
- (c) **Laws And Regulations:** Any and all applicable laws, rules, regulations, ordinances, codes, orders and permits of any and all federal, state and local governmental and quasi-governmental bodies, agencies, authorities and courts having jurisdiction.
- (d) **Notice Of Award:** Written notification from CRRA to the apparent successful proposer that states that CRRA has accepted such proposer's proposal and sets forth the remaining conditions that must be fulfilled by such proposer before CRRA executes the Agreement.
- (e) **Project:** The provision by the successful proposer of broker-of-record services for CRRA's health and welfare policies in accordance with the Contract Documents.
- (f) **RFP Package Documents:**
- (1) Notice To Firms – Request For Proposals;
 - (2) Instructions To Proposers;
 - (3) Notice Of Interest Form;
 - (4) Proposal Form;
 - (5) Payment Rate Schedule Form;
 - (6) Business Information Form;
 - (7) Personnel Background And Experience Form;
 - (8) References Form;
 - (9) Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety;
 - (10) Affidavit Concerning Nondiscrimination;
 - (11) Background Questionnaire;
 - (12) SEEC Form 11, Notice To Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban;
 - (13) Notice Of Award, with Contractor's Certification Concerning Gifts and Affidavit Concerning Consulting Fees attached [to be executed by successful proposer]; and
 - (14) Health And Welfare Broker-Of-Record Services Agreement, including:
 - A. Scope Of Services;
 - B. Request For Services – Standard Format;
 - C. Compensation Schedule;
 - D. CRRA Travel And Expense Policy;

- E. Monthly Bill Format – Additional Services;
- F. SEEC Form 11, Notice To Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban;
- G. Affidavit Concerning Nondiscrimination;
- H. Affidavit Concerning Consulting Fees;
- I. Contractor’s Certification Concerning Gifts; and
- J. CRRRA President’s Certification Concerning Gifts.

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

4. Communications With CRRRA Staff and Board Members

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

5. Reserved Rights

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

- (a) To reject any or all of the proposals, or any part(s) thereof, and/or to waive any informality or informalities in any proposal or the RFP process for this Project;
- (b) To republish this RFP after having rejected any or all of the proposals; and
- (c) To terminate this RFP process at any time prior to the execution of any Agreement.

6. Scope Of Services

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.

CRRRA currently has 56 full- or part-time employees who are eligible for CRRRA health and welfare benefits program. Of the 56 employees who are eligible, 44 are enrolled in the medical benefits plans. CRRRA does not provide retirees with medical or other post-retirement health and welfare benefits. Currently, 54 employees are eligible to participate in Flexible Spending Accounts and 23 actually participate (medical – 20; dependent care – 3). CRRRA staff is not unionized.

The current benefits vendors and approximate monthly premiums are as follows:

Type	Vendor	Monthly Premium
Health	ConnectiCare	\$53,688
Life/AD&D, LTD, STD	Lincoln Financial	\$4,146
Voluntary Life	Lincoln Financial	\$549
Dental	Guardian	\$5,579
Vision	Ameritas	\$1,019
FSA	Ceridian	-

CRRA's current health and welfare broker of record is R. C. Knox and Company ("Knox"). Knox has been the broker of record since 2004. CRRA is statutorily required to bid its services such as the health and welfare broker-of-record services every three years.

The health and welfare broker of record will be compensated for the Services on a fixed-fee basis.

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

If additional services are required during the term of the Agreement, CRRA will issue Requests For Additional Services to the successful proposer for the specific additional services to be performed. The successful proposer will be compensated on a time and materials basis for any Additional Services.

7. Availability of RFP Package Documents

Complete sets of the RFP Package Documents may be obtained on the World Wide Web beginning Monday, September 20, 2010:

<http://www.crra.org> under the "Business Opportunities" page; select the "RFP: Health and Welfare Broker-of-Record Services" link.

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

The RFP Package Documents are also available Monday through Friday, from 8:30 a.m. to 5:00 p.m. at CRRA's offices, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, beginning on the same date. Anyone intending to pick up the documents at

CRRA's offices must contact Ronald Gingerich [(860) 757-7703] at least 24 hours in advance.

8. Notice Of Interest

CRRA encourages firms interested in this RFP to submit a Notice Of Interest Form (Section 3 of the RFP package documents) to CRRA by **3:00 p.m., Wednesday, October 6, 2010**. The Notice Of Interest Form is available on CRRA's web site along with the other RFP documents. While not mandatory, CRRA will use the information provided on the Form to notify prospective proposers about the availability of addenda, including CRRA's responses to written questions, and other information related to the RFP.

9. Addenda And Interpretations

CRRA may issue Addenda to the RFP Package Documents that shall, upon issuance, become part of the RFP Package Documents and binding upon all potential or actual proposers for the Services. Such Addenda may be issued in response to requests for interpretation or clarification received from potential proposers. CRRA reserves the right to not respond to any or all inquiries.

Any request for interpretation or clarification of any documents included in the RFP package documents must be submitted **in writing** to Ronald Gingerich using one of the following methods:

- (a) By e-mail to rgingerich@crra.org;
- (b) By fax to 860-757-7742; or
- (c) By correspondence to CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722.

To be given consideration, any such written request must be received by CRRA by **3:00 p.m., Wednesday, October 6, 2010**.

Addenda, if any, will be mailed and/or e-mailed to all persons who submitted a Notice Of Interest Form (see Section 8 above) or who picked up or requested from CRRA a printed copy of the RFP package documents. Such addenda will also be posted on CRRA's web site (<http://www.crca.org> on the "Business Opportunities" page under the "RFP: Health and Welfare Broker-of-Record Services" heading). Such addenda will be mailed/e-mailed and posted on the web site no later than Wednesday, October 13, 2010.

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

10. Proposal Submittal Procedures

Sealed proposals shall be submitted no later than 3:00 p.m., Eastern Time, Wednesday, October 20, 2010 at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, Attn: Ronald Gingerich. Proposals received after the time and date set forth above shall be rejected.

Each proposer must submit one (1) original and three (3) copies of its proposal. The original proposal shall be stamped or otherwise marked as such.

While CRRA has no preference on how the copies of the proposal are bound, the original of the proposal should be loose leaf and bound with a binder clip.

Each proposal (the original and three copies) shall be enclosed in a sealed envelope that shall be clearly marked "Proposal For Health And Welfare Broker-Of-Record Services."

11. Period Proposals Shall Remain Open

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

12. Non-Negotiability Of The Agreement

The terms and conditions of the Agreement (Section 14 of the RFP Package Documents), as attached, are non-negotiable. Any potential proposer that will be unable to execute the Agreement, as attached, should not submit a proposal. This includes, but is not limited to, the insurance requirements (Article 6 of the Agreement).

13. Modification/Withdrawal Of A Proposal

Proposals may be modified or withdrawn by an appropriate document duly executed (in the manner that a proposal must be executed) and delivered to CRRA's office, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, Attn: Ronald Gingerich, at any time prior to the proposal due date.

14. Proposal Contents

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

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

- (a) Title page of the proposal (not the title page of the RFP), including the title of the project, the name of the proposer and the date the proposal is submitted;

- (b) Cover letter, signed by a person authorized to commit the proposer to the contractual arrangements with CRRA, which includes the following:
 - (1) The name of the proposer;
 - (2) The legal structure of the proposer (e.g., corporation, joint venture, etc.); and
 - (3) A clear statement indicating that the attached proposal constitutes a firm and binding offer by the proposer to CRRA considering the terms and conditions outlined in the RFP and noting any technical exceptions taken thereto; and
 - (4) The proposer's promise, if any, to set aside a portion of the contract for legitimate minority business enterprises (see Section 16.2(c) of this Instructions To Proposers);
- (c) Table of Contents;
- (d) The Proposal Form (Section 4 of the RFP Package Documents), with:
 - (1) Addenda, if any, listed in the appropriate place (Page 3);
 - (2) The name and address of the contact for Notices listed in the appropriate place (Page 6); and
 - (3) The completed agreement section (Page 7);
- (e) The completed Proposal Price And Payment Rate Schedule Form (Section 5 of the RFP Package Documents);
- (f) The completed Business Information Form (Section 6 of the RFP Package Documents);
- (g) The completed Personnel Background And Experience Form (Section 7 of the RFP Package Documents);
- (h) The completed References Form (Section 8 of the RFP Package Documents);
- (i) The completed Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety form (Section 9 of the RFP Package Documents), with the Proposer's most recent EEO-1 data attached if the Proposer wishes such data to be considered in the evaluation of its Proposal;
- (j) The completed Affidavit Concerning Nondiscrimination (Section 10 of the RFP Package Documents) (subscribed and sworn before a Notary Public or Commissioner of the Superior Court);
- (k) The completed Background Questionnaire (Section 11 of the RFP Package Documents) (subscribed and sworn before a Notary Public or Commissioner of the Superior Court);

- (l) A copy of the proposer's up-to-date certificate(s) of insurance showing all coverages required by Section 6.1 of the Agreement. [Please be advised that this is the area in which proposers seem to have the most difficulty. CRRA requires that the certificate(s) submitted show evidence of exactly the insurance requirements specified in the Agreement (e.g., if Section 6.1 of the Agreement requires Business Automobile Liability insurance covering any automobile or vehicle, the certificate of insurance must have the "any" box checked)]; and
- (m) As Appendix A to the proposal, a brief resume (i.e., no more than two pages) of each individual listed in the Personnel Background And Experience Form.

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

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

15. Proposal Opening

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

16. Proposal Evaluation

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

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

16.1 Evaluation Criteria

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

- (a) Payment rates;
- (b) Qualifications;
- (c) Demonstrated skill, ability and integrity of each proposer to perform the Services required by the Contract Documents;

- (d) Adequacy of insurance coverages as evidenced by a certificate or certificates of insurance showing, at a minimum, all coverages required by Section 6.1 of the Agreement (See Section 15(l) of this Instructions To Proposers); and
- (e) Any other factor or criterion that CRRA, in its sole discretion, deems or may deem relevant or pertinent for such evaluation.

16.2 Affirmative Action Evaluation Criteria

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

- (a) The proposer's success in implementing an affirmative action plan (See Question 4 of the Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety (Section 9 of the RFP Package Documents));
- (b) The proposer's success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the *Regulations of Connecticut State Agencies*, inclusive (See Question 5 of the Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety (Section 9 of the RFP Package Documents));
- (c) The proposer's promise to develop and implement a successful affirmative action plan (See Question 4B of the Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety (Section 9 of the RFP Package Documents));
- (d) The proposer's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area (See Section 14(i) of this Instructions To Proposers); and
- (e) The proposer's promise to set aside a portion of the contract for legitimate minority business enterprises (See Section 14(b)(4) of this Instructions To Proposers).

17. Interviews

To assist in the selection process, CRRA may decide to interview proposers. Such interviews, if they are conducted, will be held on Wednesday, November 3, 2010.

18. Contract Award

If the contract is to be awarded, CRRA will issue to the successful proposer a Notice Of Award within one hundred twenty (120) days after the proposal due date.

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

19. Requests For Services

Following the execution of the Agreement and the satisfaction of all other conditions by the successful proposer, the successful proposer may be required on an as-needed basis to provide a detailed scope of services and estimates of the costs and time to perform such services as to specific projects occurring during the term of the Agreement. If CRRA chooses to have such proposer perform such services, such proposer will, at CRRA's sole and absolute discretion, execute a Request in the form outlined in **Exhibit B** to the Agreement.

20. Contractor's Certification Concerning Gifts

Pursuant to *Connecticut General Statutes* Section 4-252, the apparently successful proposer must submit a document certifying that it has not given any gifts to certain individuals between the date CRRA started planning the RFP and the date the Agreement is executed. If the apparently successful Proposer does not execute the Certification, it will be disqualified for the Agreement. The dates between which the proposer may not give gifts and the identities of those to whom it may not give gifts are specified in the attachment to the Notice Of Award included in the RFP Package Documents (see Attachment A to Section 13 of the RFP Package Documents).

21. Affidavit Concerning Consulting Fees

Pursuant to *Connecticut General Statutes* Section 4a-81, the apparently successful proposer(s) must submit an affidavit stating that, except as specified in the affidavit, it has not entered into any contract with a consultant in connection with the RFP whereby any duties of the consultant pursuant to the contract require the consultant to pursue communications concerning the business of CRRA, whether or not direct contract with CRRA was expected or made. The affidavit is attached to the Notice Of Award included in the RFP Package Documents (see Attachment B to Section 13 of the RFP Package Documents).

22. Proposer's Qualifications

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

23. Proposal Preparation And Other Costs

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

**REQUEST FOR PROPOSALS
FOR
HEALTH AND WELFARE BROKER-OF-RECORD SERVICES**

**SECTION 3
NOTICE OF INTEREST FORM**



NOTICE OF INTEREST FORM

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

Solicitation:	Request for Proposal for Health and Welfare Broker-of-Record Services
RFB/P/Q Number:	11-HR-001
Form Due Date:	October 6, 2010

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

Name of Individual/Firm:	
Name of Contact Person:	
Title of Contact Person:	
Mailing Address 1:	
Mailing Address 2:	
City, State, Zip Code	
Telephone Number:	
Fax Number:	
E-Mail Address:	

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

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

**REQUEST FOR PROPOSALS
FOR
HEALTH AND WELFARE BROKER-OF-RECORD SERVICES**

**SECTION 4
PROPOSAL FORM**



PROPOSAL FORM

PROJECT: General

RFP NUMBER: 11-HR-001

CONTRACT FOR: Health and Welfare Broker-of-Record Services

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

1. DEFINITIONS

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

2. TERMS AND CONDITIONS

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

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

- (a) Execute and deliver to CRRA the two attached counterparts of the non-negotiable Agreement;
- (b) Execute and deliver to CRRA the Contractor's Certification Concerning Gifts;
- (c) Execute and deliver to CRRA the Affidavit Concerning Consulting Fees;
- (d) Deliver to CRRA the requisite certificates of insurance;

- (e) Execute and deliver to CRRA all other Contract Documents attached to the Notice Of Award along with any other documents required by the Contract Documents; and
- (f) Satisfy all other conditions of the Notice Of Award.

3. PROPOSER'S OBLIGATIONS

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

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

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

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

5. PROPOSER'S REPRESENTATIONS CONCERNING EXAMINATION OF CONTRACT DOCUMENTS

In submitting this Proposal, the Proposer represents that:

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

Addendum Number	Date Issued

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

6. PROPOSER'S REPRESENTATIONS CONCERNING INFORMATION MADE AVAILABLE

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

7. PROPOSER'S REPRESENTATIONS CONCERNING STATE OF CONNECTICUT TAXES

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

8. PROPOSER'S REPRESENTATIONS CONCERNING DISCLOSURE OF INFORMATION

In submitting this Proposal, the Proposer:

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

9. PROPOSER'S REPRESENTATIONS CONCERNING NON-COLLUSION

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

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

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

10. PROPOSER'S REPRESENTATIONS CONCERNING RFP FORMS

By submission of this Proposal, the Proposer, together with any affiliates or related business entities or persons, the guarantor, if any, and any joint ventures, hereby represents that, under risk of termination of the Agreement, if awarded, all of the forms included in the RFP Package Documents that are submitted to CRRA as part of its Proposal are identical in form and content to the preprinted forms in the RFP Package Documents except that information requested by the forms has been inserted in the spaces on the forms provided for the insertion of such requested information.

11. PROPOSER'S WAIVER OF DAMAGES

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

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

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

With regard to a State contract as defined in P.A. 07-1 having a value in a calendar year of \$50,000 or more or a combination or series of such agreements 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 12 [SEEC Form 11] of the RFP Package Documents.

13. ATTACHMENTS

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

- (a) A completed Proposal Price And Payment Rate Schedule Form;

- (b) A completed Business Information Form;
- (c) A completed Personnel Background And Experience Form;
- (d) A completed References Form;
- (e) The Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety that has been completely filled out by the Proposer;
- (f) The Affidavit Concerning Nondiscrimination that has been completely filled out and signed by the Proposer and signed before a Notary Public or Commissioner of the Superior Court;
- (g) The Background Questionnaire that has been completely filled out by the Proposer and signed before a Notary Public or Commissioner of the Superior Court;
- (h) A copy of the Proposer's up-to-date certificate of insurance showing all coverages required by Article 6 of the Agreement; and
- (i) A brief resume (i.e., no more than two pages per individual) of each individual listed in the Personnel Background And Experience Form.

14. NOTICES

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

Proposer Name:	
Proposer Contact:	
Title:	
Address 1:	
Address 2:	
City, State, Zip Code	
Telephone Number:	
Fax Number:	
E-Mail Address:	

15. ADDITIONAL REPRESENTATION

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

AGREED TO AND SUBMITTED ON _____, 20 10

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

**REQUEST FOR PROPOSALS
FOR
HEALTH AND WELFARE BROKER-OF-RECORD SERVICES**

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



PROPOSAL PRICE AND PAYMENT RATE SCHEDULE FORM

Name of Proposer (Firm):	
Name of RFP	Health and Welfare Broker of Record Services

Each proposer must submit the information requested on the forms on the following pages.

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

1. Fixed Fee Services

In the form below, proposer must indicate the amount proposed as annual compensation to perform, furnish and complete all of the Services specified in **Exhibit A** of the Agreement. Proposer shall not accept any additional compensation for the Services specified in **Exhibit A** of the Agreement whether in the form of contingent commissions, management service agreement commissions or any other form of placement commissions given to the proposer directly or to a third party by or at proposer's request.

	Contract Year 1 (02/01/11 – 01/31/12)	Contract Year 2 (02/01/12 – 01/31/13)	Contract Year 3 (02/01/13 – 01/31/14)
Proposal Price:	\$	\$	\$

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

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

2. Work Governed By A Request For Additional Services

Additional Services provided as a result of a Request For Additional Services shall be reimbursed on a time and materials basis. CRRA makes no commitment that any such Additional Services will be undertaken. In any event, these Additional Services will be separate from those Services covered by the annual Fixed Fees.

2.1 Personnel Billing Rates

Proposer must provide in the Billing Rates Table on Page 3 the requested information. The proposer must list staff level, name, title and hourly billing rate for each professional who would be assigned to work with CRRA on the Additional Services. Only the professionals listed here will be authorized to work on CRRA matters unless other professionals are specifically authorized by CRRA. If the proposer has discounted rates for government entities, such as CRRA, those rates should be listed.

In the "Staff Level" column, proposer should indicate the pay grade of the individual listed in that column under the pay grade system used by the proposer.

2.2 Ancillary Services Rates

Proposer must provide in the Ancillary Services Rates Table on Page 4 the requested information. The proposer must provide the rate at which applicable ancillary services are billed, including, but not limited to:

- Drafting;
- Work processing;
- Copying (per page)
- Computer time; and
- Any other services (excluding telephones) for which the proposer routinely bills.

ANCILLARY SERVICES RATES
(Provide Rates Below)

(Use Additional Sheets If Necessary)

Ancillary Service	Rates		
	Contract Year 1 (02/01/11 – 01/31/12)	Contract Year 2 (02/01/12 – 01/31/13)	Contract Year 3 (02/01/13 – 01/31/14)
Drafting			
Word Processing			
Copying (Per Page)			
Computer Time			
Travel in Proposer-Owned Vehicle (Per Mile)			
Any Other Services For Which You Routinely Bill (List Below)			

**REQUEST FOR PROPOSALS
FOR
HEALTH AND WELFARE BROKER-OF-RECORD SERVICES**

**SECTION 6
BUSINESS INFORMATION FORM**



BUSINESS INFORMATION FORM

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

1. CONTRACTOR INFORMATION

Name of Entity:			
Central Office/ Headquarters Address:	Address 1:		
	Address 2:		
	City, State, Zip Code:		
Servicing Office Address (if different than Central Office/ Headquarters Address):	Address 1:		
	Address 2:		
	City, State, Zip Code:		
Name of Parent Company (if any):			
Entity's Legal Structure:		<input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Other	<input type="checkbox"/> Joint Venture <input type="checkbox"/> Public Entity
State in Which Entity is Legally Organized:			
Year Entity Started:		Number of Employees:	Number of Offices:
Location(s) of Offices (City and State):			
Brief History of the Entity:			

Overview of Entity's Principal Lines of Work:	
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2. HEALTH AND WELFARE BROKER OF RECORD EXPERIENCE

In the space below, describe your firm's experience as a Health and Welfare Broker of Record. In particular, describe your firm's experience as a Health and Welfare Broker of Record for governmental entities in Connecticut.

3. DESCRIPTION OF SERVICES

In the space below, describe the services your firm will provide as part of its designation as CRRRA's health and welfare broker of record (e.g., plan design, annual renewals, problem resolution with carriers, COBRA administration, etc.).

A large, empty rectangular box with a thin black border, intended for the user to describe the services their firm will provide as part of its designation as CRRRA's health and welfare broker of record. The box is currently blank.

**REQUEST FOR PROPOSALS
FOR
HEALTH AND WELFARE BROKER-OF-RECORD SERVICES**

**SECTION 7
PERSONNEL BACKGROUND AND EXPERIENCE
FORM**



<h2>PERSONNEL BACKGROUND AND EXPERIENCE FORM</h2>

In the space below, provide the requested information on the professionals who would be assigned to work with CRRA.

In completing the forms below, please note the following:

- In the "Staff Level" item, indicate the individual's staff level as specified on the Proposal Price And Payment Rate Schedule Form (Section 5 of the RFP Package Documents).
- In the "% of Time Available" item, indicate the percentage of the individual's time that he/she would be available to provide services to CRRA.

If more than five individuals would be assigned to work with CRRA, copy page 3 of this form and use it to provide the requested information for the additional individuals.

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

PROFESSIONAL 1

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Background:			

PROFESSIONAL 2

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Background:			

PROFESSIONAL 3

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Background:			

PROFESSIONAL 4

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Background:			

PROFESSIONAL 5

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Background:			

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**SECTION 8
REFERENCES FORM**



REFERENCES FORM

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

REFERENCE 1

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

REFERENCE 2

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

REFERENCE 3

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

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SECTION 9

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



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

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

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

LIST OF ACRONYMS

RCSA	–	Regulations of Connecticut State Agencies
CHRO	–	State of Connecticut Commission on Human Rights and Opportunities
DAS	–	State of Connecticut Department of Administrative Services

FOOTNOTES

- ¹ If the Contractor answered "yes" to Question 2A and/or 3A, Contractor must attach a copy of its DAS Set-Aside Certificate to this Questionnaire.
- ² If the Contract is a "public works contract" (as defined in Section 46a-68b of the Connecticut General Statutes), the dollar amount exceeds Fifty Thousand Dollars (\$50,000.00) in any fiscal year, and the Contractor has fifty (50) or more employees, the Contractor, in accordance with the provisions of Section 46a-68c of the Connecticut General Statutes, shall develop and file an affirmative action plan with the Connecticut Commission on Human Rights and Opportunities.

SCHEDULE A CRITERIA FOR A SMALL BUSINESS ENTERPRISE

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

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

SCHEDULE B CRITERIA FOR A MINORITY OWNED BUSINESS ENTERPRISE

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

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

CONNECTICUT GENERAL STATUTES SECTION 46a-68b

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

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



**AFFIDAVIT CONCERNING
NONDISCRIMINATION**

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

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

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

1. Contractor seeks to enter into the "Health and Welfare Broker-of-Record Services Agreement" (the "Agreement") with the Connecticut Resources Recovery Authority; and
2. Contractor has in place a company or corporate policy that complies with the nondiscrimination agreements and warranties required under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended, and the said company or corporate policy is in effect as of the date hereof.

By (Signature): _____

Name (Print): _____

Title: _____

Sworn to before me this _____ day of _____ 20 _____

Notary Public/Commissioner of the Superior Court

Commission Expiration Date

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



BACKGROUND QUESTIONNAIRE

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

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

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