

State of Connecticut  
State Employees Retirement Commission  
Request for Information  
For

**Legal Services for the State Employees Retirement  
Commission**

**Issue Date:**

February 25, 2013

**Vendor Questions Cut-Off Date:**

March 8, 2013

**Question and Answer Publish Date:**

No later than March 15, 2013

**RFI Response Due Date:**

March 28, 2013

**Oral Presentations:**

April 12, 2013

**Issued by:**

State of Connecticut  
State Employees Retirement Commission  
55 Elm St.  
Hartford, CT 06106

## **1. Requirements and Deadlines for Inspections, Questions and Responses**

This Request for Information (RFI) outlines the information being solicited from vendors and includes guidelines for content and format of responses.

### **Questions:**

All questions must be in written form, submitted using electronic mail and addressed to: **Osc.rfp@po.state.ct.us**

Written questions must be submitted no later than 1:00 PM Eastern Daylight Time on March 8, 2013

Questions and answers will be published no later than 1:00 pm on March 15, 2013 on the OSC website <http://www.osc.state.ct.us/vendor/>

### **Responses:**

All RFI Responses are due March 28, 2013, no later than 1:00 PM Eastern Daylight Time

The postal address for RFI responses is:

State of Connecticut  
State Employees Retirement Commission  
C/o Management Services Division  
Attn: Sarah Ormerod  
55 Elm St.  
Hartford, CT 06106

Vendors desiring to respond to this RFI must do so in writing, providing one original and ten copies of the submitted response. Vendors must include a brief summary of their qualifications and work history as it relates to the Scope of Work contained herein along with three references.

All vendors responding to the RFI must provide contact information (name of contact, title, phone number, email, address). Responses will be reviewed by the State Employees Retirement Commission Subcommittee on Personnel and Legal Issues ("Subcommittee") and, depending on the results of that review, additional information or product/service demonstrations may be requested. Late responses may or may not be considered, and it will be up to the Subcommittee's discretion to accept or reject late responses.

No contract will result directly from this RFI. Following the review of submitted information, the Subcommittee will recommend the best course of action to the State Employees Retirement Commission ("Commission"). This RFI process is intended to help the Subcommittee research a variety of available services so that the Subcommittee can recommend the best strategy for legal services.

Costs of developing the information package, oral presentations, site visits, or any other such costs are entirely the responsibility of the respondent and shall not be reimbursed in any manner by the Commission. The Commission is not liable for any cost incurred by the respondent.

## **2. Freedom of Information Act**

Due regard will be given for the protection of proprietary information contained in all proposals received; however, vendors should be aware that all materials associated with the this proposal are subject to the terms of the Freedom of Information Act (FOIA) and all rules, regulations and interpretations resulting there from. It will not be sufficient for vendors to merely state in general terms that the proposal is proprietary in nature and, therefore, not subject to release to third parties. Any proposal that makes such a general or overarching claim may be subject to disqualification. **Those particular sentences, paragraphs, pages or sections which a vendor believes to be exempt from disclosure under the Act must be specifically identified as such.**

## **3. General Requirements**

### **3.1 Background**

The Commission is statutorily responsible for the general supervision of several public retirement systems including but not limited to the State Employees Retirement System (SERS), the Alternate Retirement Program (ARP) and the Municipal Employee Retirement System (MERS). The Retirement Services Division of the Office of the State Comptroller (OSC) is the administrative arm of the Commission, and the Commission is responsible for the day to day operation of the SERS. The Commission is the client for the purpose of the services requested in this RFI although selected counsel will interact with Division and OSC staff at the direction of the Commission regarding the requested services and must work cooperatively with the Attorney General. It will be necessary for the selected counsel to hold office hours in the Retirement Services Division from time to time.

### **3.2 Scope of this RFI**

The Commission is soliciting responses to RFI from qualified law firms or individual attorneys to provide a full range of legal services to the Commission and to act as its General Counsel. Interested parties are asked to provide

information regarding their qualifications as well as their availability to provide the services required.

The legal services described below are intended to provide general guidance concerning the scope of work to be provided by the Contractor and are not intended to be all inclusive.

- Attend meetings (including Commission meetings which are generally held 12 times per year) of the Retirement Commission and as requested prepare agendas and minutes for the meetings and assist in the conduct of executive sessions and deliberations for the Commission.
- Provide advice and counsel in resolving disputes or questions arising under the Plans, including the rights of persons applying for or receiving benefits from the Plans.
- With the Office of the Attorney General, represent the Retirement Commission in administrative and judicial proceedings involving the Plans.
- Manage all Freedom of Information requests for the commission and represent the Commission if necessary in front of the FOIC.
- Research and advise Retirement Commission on matters pertaining to its fiduciary duties, litigation, legislation, regulations and policy.
- Render primary legal assistance to Retirement Commission on all relevant legal issues; draft commission decisions and prepare final decisions (declaratory rulings) of the Retirement Commission in contested cases.
- Act as liaison to the Attorney General's Office (formal and informal opinions) on behalf of the commission

## **4. Responses to RFI**

### **4.1 Scope of RFI**

Responses to this RFI will be used by the Commission to assess the viability of various alternatives. No contract will result directly from the RFI process. The responses to this RFI may be used to determine whether an RFP should be issued.

### **4.2 Quality of Responses**

Well-organized and concise responses are encouraged in order to facilitate the Commission's assessment. Each RFI response will be reviewed for completeness and conformance to the minimum requirements of the Project.

The Commission has the option of requesting vendors to submit missing information or to clarify those issues deemed incomplete, or to disqualify the RFI response.

#### **4.3 Service Availability**

The Commission expects that the services described in response to this request for information are generally available as of the date that responses are due. Responders must explain any exceptions.

#### **4.4 Oral Presentations**

Each responder may be invited to give an oral presentation on April 12, 2013.

#### **5. References: Existing Customers**

The respondent must provide at least three references similar in size to the scope of the work being proposed. For each reference, provide:

- The reference organization's name
- Contact person name
- Address
- Telephone number
- Electronic mail address
- A brief description of the project

Name of Company

\_\_\_\_\_

List three projects in which similar work to that specified herein was successfully completed.

1. Customer name \_\_\_\_\_ Project name \_\_\_\_\_

Date of completion of work: \_\_\_\_\_ Owner of project \_\_\_\_\_

Owner's representative \_\_\_\_\_ Phone # \_\_\_\_\_

Brief description of work:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Customer name \_\_\_\_\_ Project name \_\_\_\_\_

Date of completion of work: \_\_\_\_\_ Owner of project \_\_\_\_\_

Owner's representative \_\_\_\_\_ Phone # \_\_\_\_\_

Brief description of work:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Customer name \_\_\_\_\_ Project name \_\_\_\_\_

Date of completion of work: \_\_\_\_\_ Owner of project \_\_\_\_\_

Owner's representative \_\_\_\_\_ Phone # \_\_\_\_\_

Brief description of work:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_