

**Associated Universities, Inc.  
REQUEST FOR PROPOSAL  
BROKERAGE SERVICES**

*Each broker is asked to submit one proposal. Each proposal should address the areas which follow in this document. No broker is authorized to approach any underwriter, carrier or other outside party, whether an incumbent on an AUI program or otherwise, for any purpose whatsoever in connection with said broker's response to this RFP. Any broker found to have violated this prohibition will be disqualified.*

# REQUEST FOR PROPOSAL

## I. Overview

Associated Universities, Inc., (AUI) is a 501(c)(3) not for profit organization with corporate offices in Washington, DC and Vienna, VA. AUI seeks to create a client-broker relationship to assist in the acquisition, management, and utilization of an insurance portfolio covering its worldwide operations.

AUI's primary business is the management and operation of the National Radio Astronomy Observatory (NRAO) and the Green Bank Observatory (GBO) on behalf of the National Science Foundation (NSF). Additionally, AUI continues to expand our portfolio into areas that fit broadly within the AUI vision, mission, and structure. This includes the pursuit of initiatives with the mid-to-long-term aim of managing and leading other large Federal agency Management and Operating (M&O) R&D Contracts. AUI further seeks to integrate and migrate our governance and operations structures, policies, and procedures to deliver on scalable future activity goals.

The NRAO and GBO are federally funded research and development centers (FFRDC). NRAO and GBO maintain a large (100) vehicle fleet and operate leading-edge, significant science installations on behalf of the federal government. In addition, activities also include a significant R&D component, a small but growing activity in building components & offering services to non-federal customers, residential education programs and public exhibits and tours.

The NRAO has its headquarters in Charlottesville, VA, on the grounds of the University of Virginia and also operates an R&D facility in Charlottesville, VA. It is also responsible for the Jansky Very Large Array (VLA) located outside Socorro, New Mexico and an associated Science Operations Center in Socorro. The NRAO's Very Long Baseline Array (VLBA) is a series of 10 telescopes that range from Mauna Kea, Hawaii to St. Croix, VI with 8 telescopes sited across the continental US. The NRAO is a partner in the Atacama Large Millimeter Array, an international observatory located in the Atacama Desert near San Pedro de Atacama, Chile. AUI also operates the Green Bank Telescope (GBT) and facility sited on 2700 acres in Pocahontas County, West Virginia.

AUI's current Astronomy & Space efforts are focused in three areas: Continuing and improving operations of existing facilities, Pursuing the next generation facilities, and Expanding space situational awareness capabilities. Working with the broader astronomical community, AUI, NRAO and GBO will help shape the next generation of radio astronomy facilities, opening new discovery space, and building on the dramatic advances in understanding.

AUI's other M&O efforts are focused in three areas: Portfolio Expansion; Portfolio Submission; and Collaboration. AUI will serve as an agent through which R&D institutions, companies and governments can better collaborate, and as an enabler for underserved, underrepresented communities to gain more access to unique research facilities and capabilities.

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AUI's Cybersecurity and Microelectronics efforts are focused in four areas: Operational Security, Information Security, Cyber Education, and Microelectronics. AUI offers advanced cybersecurity expertise in support of the nation's critical infrastructure sectors, including elections, defense, energy, and science. We are focused on opportunities that deliver customized cyber tools and training to underserved communities, and those with an acute need for an objective cybersecurity provider without institutional boundaries.

AUI's Education and Public Engagement efforts are focused in five areas: E-Learning, Astronomy/Space Science, Accessibility for All in STEM, Big Data Teaching and Learning in Earth/Space Sciences, and Special Opportunities. AUI manages OPEN, an agile E-Learning platform that delivers high-quality curriculum to educational institutions, companies, and individuals around the world. We will ensure peer review of new cross-cutting curriculum for workforce development and become a thought leader and enabler of independent R&D for learning in the 21<sup>st</sup> Century.

AUI's Technology Transfer efforts are focused in two areas: Prototyping Science and Incubation Services. AUI will increase the transition of early-stage R&D to the engineering-prototype stage through our PLUS model by soliciting funds from private investors and distributing funding to researchers; providing systems engineering support, market insights, and adaptive management and administrative support; and by applying our workforce development capabilities to the general field of entrepreneurship.

AUI's Communications & Public Engagement efforts are focused in two areas: Enhancing Credibility and Broadening the Depth and Breadth of Engagement. AUI's public engagement programs create intentional, meaningful, interactions which provide educational opportunities for the public in partnership with the research and scientific staff at our facilities.

AUI's Operational, Administration and Support Services efforts are focused in three areas: Software Implementation, Financial Consolidation and Documentation Improvements, and Facilities and Workforce Development Planning. To balance growth and stability, AUI must ensure consistent, high-quality administrative and operational outcomes. AUI is galvanizing its governance and internal controls; increasing strategic alignment; improving accountability; promoting ethics, integrity, diversity and inclusion; better defining roles and responsibilities, and managing risk effectively at the corporate and business unit levels.

AUI's annual revenues are just over \$115M per year. The combined US payroll for all operations is approximately \$48M in 18 states, but concentrated in VA, WVA, NM and DC. AUI also conducts significant activities in Chile.

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### II. Scope of Services

- A. Risk Assessment:** The broker will assist AUI in identifying and evaluating existing and emerging exposures to risk. This risk assessment work will be used to guide existing, or to develop new, risk control and risk financing programs. AUI wishes to be proactive rather than reactive, and thus expects its broker to understand its risks and to generate ideas that add value.
- B. Risk Control:** The broker will assist AUI in designing the most cost-effective risk financing program. This will include reviewing the appropriateness of assumed retention levels and insurance limits. Also, the broker should advise on strengthening AUI's internal risk management processes to continue to improve its controls and risk mitigation efforts.
- C. Insurance Renewal:** The broker will assist AUI in developing an annual renewal strategy and then, market and negotiate a broad, cost-effective program, including all policy terms, conditions, premium rates, etc. on AUI's behalf. As part of this process, the broker will collaborate with AUI in developing appropriate underwriting submissions. The AUI year runs from Dec. 1 – Nov. 30 with the next renewal scheduled for November 30, 2020.
- D. Insurance Program Administration:** The broker will assist AUI in the overall administration of the insurance program, including
- Issuing binders and checking policy accuracy;
  - Timely preparation and issuance of policy endorsements;
  - Analysis of experience modification factors, paid loss billings, and retrospective rating adjustments;
  - Auditing invoices for retrospective premium payments;
  - Reviewing insurance market for capacity, pricing and coverage terms; and
  - Responding to coverage questions.
- E. Claims Management:** The broker will assist AUI by participating in claims review meetings and interfacing with carriers as an advocate on AUI's behalf. This may include assisting AUI in the resolution of coverage issues, including coverage interpretations, disputes, and reservation of rights letters. The broker will also ensure that time and complete loss runs are issued to AUI by the carriers.
- F. Program Assessment:** The broker will conduct a comprehensive review and assessment of AUI's existing insurance and risk financing program and, if necessary, provide resources to design, develop and maintain an improved comprehensive and strategic program. This assessment should include appropriate comparative analyses of the insurance programs for organizations similar to the AUI's.

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**G. Geographic Coverage:** The broker shall demonstrate its ability to provide services for AUI's worldwide operations which currently includes the United States and the Republic of Chile.

### III. RFP Terms, Requirements and Instructions

This RFP will cover the following types of insurance products:

**AUI currently maintains a variety of policies including the following:**

- Worker's Compensation
- Auto Liability
- Commercial General Liability
- Property Insurance (covering the corporate offices & general activities, but excluding government owned property and the scientific assets)
- Travel & Accident Insurance (both foreign & domestic)
- Employment Practices Liability
- Director's & Officers Liability
- Fiduciary Liability
- Commercial Crime
- Kidnap & Ransom
- Cyber Liability

AUI may wish to hear formal broker presentations. It is our preference to have smaller meetings at AUI's offices in Charlottesville to discuss the RFP responses, AUI's program and expectations, and the broker's resources and expertise.

Following are the key dates for this proposal:

1/22/2020	RFP sent by email
1/28/2020	Clarification questions due to AUI by 5 pm.
1/31/2020	Bidders Conference, 2-3 pm
2/3/2020	Questions responses complete.
2/14/2020	Emailed Proposals due to AUI by 5 pm.
2/17 – 2/28/2020	AUI reviews proposals and schedules meetings with finalists
3/3-3/5/2020	Meetings with finalist brokers and team members
3/9/2020	AUI decision regarding broker(s)
3/16/2020	Broker(s) agreements effective

Proposals should be sent via email to Sr. Contracts Specialist Daphne Anderson at [danderso@nrao.edu](mailto:danderso@nrao.edu).

If brokers have any questions regarding this RFP or desire other information not provided herein, please contact Daphne Anderson at [danderso@nrao.edu](mailto:danderso@nrao.edu) or by phone at 434-296-0264.

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AUI reserves the right to make the award to one, multiple or none of the bidders.

### **IV. Questions**

**Proposals will be evaluated based on the responses to the following questions in addition to the more general material addressing the scope of services. Please discuss with specificity the following items in your proposal:**

1. Give a brief description of the history of your firm, detailing information about your local, national and international support network.
2. Explain why your organization is well suited to handle AUI's program, including features of your organization that distinguish you from other respondents. Detail any specializations within your firm which you feel would be of value to AUI.
3. Describe measures your firm takes, or tools used, to proactively stay abreast of changes in the marketplace. How do you keep your clients informed of developments in the insurance markets that affect them?
4. Describe how you bring value to your customers through your own technology and/or technology of your carriers and vendors.
5. List the proposed team members who would be assigned to the account. Define each team member's pertinent experience and responsibilities. Please attach an organizational chart that shows the reporting structure of the team members and where they are based.
8. Describe how you think the current marketplace will affect AUI on the upcoming renewal. Provide any suggestions or recommendations in this area.
9. Describe specific techniques and procedures, which may be used to assist AUI in identifying current and anticipated new exposures.
10. In your opinion, what are AUI's five most significant risks and how would you address them?
11. Briefly describe your firm's insurance program marketing process. How do you ensure you are getting the most competitive price during the renewal process? Will our account team members be the ones directly representing AUI in the marketplace with the insurers? Please describe any advantages your firm has in regard to speed of access to insurance company decision makers.
12. Describe how you would improve AUI's current programs.

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13. What other types of clients do you serve? Provide an overview of any specific experience in the research industry.
14. Please describe your process surrounding the generation of certificates of insurance and how quickly requests can be processed. Does your firm have a system that allows clients to issue their own certificates of insurance? If so, please describe.
15. Describe your claims consulting and advice structure.
16. Provide a proposed annual fixed service fee and detailed description of services specifically included and excluded from such remuneration for both a one year and three year time frame.
17. How would you propose to manage a comprehensive, efficient, timely and smooth transition of broker support services to your firm? Please discuss your plan for transition without disruption to our business.
18. Provide a list of key performance indicators by which we would assess your services.
19. Provide the contact information for three firms similar in size and if possible in our industry that are clients of your company. Please identify any of these accounts that are currently serviced by any of the proposed members of our service team.

### **V. Bidder's Conference**

A bidder's conference will be held at the NRAO Headquarters on January 31 from 2-3 pm EST. Firms seeking additional information about AUI and this RFP may attend in person or by video/phone.

#### Venue Location & Link Instructions:

NRAO Headquarters  
Room 230  
520 Edgemont Road  
Charlottesville, VA

Video Connection: [video.nrao.edu##226516](https://video.nrao.edu/join/226516)

Phone Connection: 434-817-6468 ext: 226516#

Please notify Daphne Anderson of your intent to participate by close of business on January 30.