



# **DEPARTMENT OF INFORMATION TECHNOLOGY**

**Contracts and Purchasing Division**

## **PROCUREMENT** **PROCEDURAL** **MANUAL**

**STATE OF CONNECTICUT  
DEPARTMENT OF INFORMATION TECHNOLOGY  
CONTRACTS AND PURCHASING DIVISION  
101 East River Drive  
East Hartford, CT 06108  
AUGUST, 2006**

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**DEPARTMENT OF INFORMATION TECHNOLOGY STATUTORY REFERENCE  
PERTAINING TO PURCHASING**

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**Sec. 4d-2. (Formerly Sec. 16a-110). Department of Information Technology. Chief Information Officer. Duties and Responsibilities.**

*The Chief Information Officer shall: (4) approve or disapprove, in accordance with guidelines established by the Chief Information Officer, each proposed state agency acquisition of hardware or software for an information or telecommunication system, except for (A) hardware or software having a cost of less than twenty thousand dollars or (B) hardware or software having a cost of twenty thousand dollars or more, but less than one hundred thousand dollars, which is for a project that complies with the agency's business systems plan as approved by the Chief Information Officer; (5) approve or disapprove, in accordance with guidelines established by the Chief Information Officer, all state agency requests or proposed contracts for consultants for information and telecommunication systems; (6) be responsible for purchasing, leasing and contracting for all information system and telecommunication system facilities, equipment and services for state agencies, in accordance with the provisions of subsection (a) of section 4d-8, except for the offices of the Governor, Lieutenant Governor, Treasurer, Attorney General, Secretary of the State and Comptroller;*

## **OVERVIEW - IT CONTRACTS AND PURCHASING DIVISION FUNCTIONS**

The IT Contracts and Purchasing Division (CPD) is responsible for the authorization or the direct purchase of all information technology and telecommunications goods and services for DOIT's 47 in-scope agencies. Additionally, numerous out-of scope entities such as Constitutional Offices, Municipalities, Higher Education and Political Subdivisions of the state, purchase from DOIT's broad array of contracts to the extent that such purchases do not conflict with the purchasing entity's own statutes or operating charters.

In order to meet its statutory obligations in the purchasing arena, CPD may undertake a variety of activities. Contracts for readily identifiable goods or services (i.e., those for which specifications may be developed) are established using an Invitation to Bid (ITB) process. At the conclusion of the ITB process, the award is made to the lowest, qualified responsible bidder. Bidders must offer only what is set forth in the ITB; the bidder whose price is the lowest among those found to be responsible and qualified receives the contract award. No negotiation is permitted.

For large projects that involve "solving" a business problem faced by an agency, a Request for Proposals (RFP) process is used. The RFP process is significantly more complex and lengthy than the ITB process, but allows for some additional flexibility during the procurement process. Vendors responding to an RFP must meet all of the mandatory requirements of the RFP, but may also be free to propose solutions to the agency's problem in alternative ways. Both Technical and Cost points are earned by responding vendors; various weights may be assigned to Technical and Cost factors. Technical Proposals are evaluated blind to cost issues. Only those proposals that achieve a predetermined level of technical excellence have any cost information considered. At the conclusion of the procurement, the most highly scored vendor is awarded the right to negotiate a Master Agreement with the state. Should negotiations with the selected vendor fail, the next highest scored vendor may be offered the opportunity to negotiate with the state.

When agencies are unclear as to potential solutions, CPD may be asked to develop a Request for Information (RFI). This type of information-gathering activity does not have dollars associated with it. Responding vendors are asked to respond to specific questions on a particular topic. The responses are used, without comment to the responders, to develop future ITB specifications or RFP requirements.

Agencies that wish to purchase from a Master Agreement or a Contract Award for Professional/Consulting Services must first obtain CPD's authorization. A requisition is sent to CPD by the agency. The request is reviewed for price accuracy as well as compliance with the Master Agreement's terms and conditions. In the case of IT Professional or Consulting Services, the request is also reviewed to ensure that the consultant selected is legally eligible to work in the United States and that the most economically priced consulting firm is being used.

Another critical function of CPD is contract management. While DOIT and successful responders are the parties to DOIT Master Agreements and Contract Awards, the contracts, as noted above, may be used by a variety of entities. If a contract user encounters difficulty in managing a contractor, CPD staff will intervene and force contract compliance. CPD has a Vendor Performance Report template on its web site and encourages all contract users to report performance in order to effectively monitor contracts and identify compliance trends.

CPD provides education as to appropriate procurement processes to a wide audience. Education is given to vendors and state agencies through open meetings. Meetings began in 2000 and were held monthly. Attendance began to diminish. Rather than discontinue these informational sessions, meetings are now offered on a quarterly basis. Procurement guidance is given to specific agencies (often for a specific project) on a regular/as needed basis.

CPD is responsible for the development of procurement policies and procedures as well as for ensuring that all agencies involved in the procurement process are aware of appropriate procurement practices.

The Director of CPD is involved in improving these policies and procedures on an ongoing basis to ensure the integrity of the process, eliminate superfluous steps and make process improvements. An example of process improvement is the newly-developed DOIT-10, which renders the requisition process paperless. Security features and workflow technology are used instead of a time-consuming, paper-driven system that relied on humans and in-baskets.

## IT CONTRACTS AND PURCHASING DIVISION STAFF - QUICK REFERENCE

The IT Contracts and Purchasing Division of the Department of Information Technology is currently headed by a Director and consists of six (6) Purchasing Services Officers (PSO's) and a Purchasing Assistant. Each PSO is responsible for oversight of particular Information Technology commodities and/or subject areas as follows:

<b>Name</b>	<b>Title</b>	<b>Primary Commodities</b>	<b>E-Mail</b>	<b>Telephone</b>
Jacqueline Shirley	Director	Authorizations, RFP's, RFI's, SOW's	<a href="mailto:Jacqueline.Shirley@ct.gov">Jacqueline.Shirley@ct.gov</a>	(860) 622-2327
Marcie Wilson	Purchasing Services Officer II	Software, Networking, Maintenance, RFP's	<a href="mailto:Marcie.Wilson@ct.gov">Marcie.Wilson@ct.gov</a>	(860) 622-2329
Paula Mitchell	Purchasing Services Officer II	IT Training, Personal Computers, Servers, Computer Hardware, RFP's	<a href="mailto:Paula.Mitchell@ct.gov">Paula.Mitchell@ct.gov</a>	(860) 622-2215
Elizabeth Basso	Purchasing Services Officer II	Laptops, IT Professional Services, Hardware Maintenance, Data Processing Services, Computer Peripherals, RFP's	<a href="mailto:Elizabeth.Basso@ct.gov">Elizabeth.Basso@ct.gov</a>	(860) 622-2037
Christine Wohlgemuth	Purchasing Services Officer II	Telecommunications, Radios, RFP's	<a href="mailto:Kris.Wohlgemuth@ct.gov">Kris.Wohlgemuth@ct.gov</a>	(860) 622-2246
Jean DelGreco	Purchasing Services Officer I	Contract Management	<a href="mailto:Jean.DelGreco@ct.gov">Jean.DelGreco@ct.gov</a>	(860) 622-2372
Daniel Melesko	Purchasing Services Officer I	Contract Management	<a href="mailto:Daniel.Melesko@ct.gov">Daniel.Melesko@ct.gov</a>	(860) 622-2351
Dawn Cole	Purchasing Assistant	Web Page Updating and Coordination; Affidavits, Maintain Contracts in CORE-CT, General Clerical Assistance	<a href="mailto:Dawn.Cole@ct.gov">Dawn.Cole@ct.gov</a>	(860) 622-2540

Fax Number (860) 610-0857

## **IT CONTRACTS AND PURCHASING DIVISION STAFF DUTIES**

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### **Jacqueline Shirley, Director**

- Responsible for the general oversight and supervision of procurement activities in the unit, as well as on-going training of division employees.
- Authorizes and oversees Requests for Proposals and Statements of Work, as well as approves contract awards, supplements and addendums.
- Responsible for the “final” approval of DOIT-10s.
- Researches and resolves agency procurement and contract issues as they arise.
- Acts as an overall state-wide resource for IT Procurement.
- Oversees functions as they relate to the IT Contracts and Purchasing staff.
- Assist state agencies with the development and implementation of Requests for Proposals, Requests for Information and Statements of Work. Also assist in the negotiation process with awarded vendors and agency personnel.
- Provide guidance and instruction to state agencies and vendors in the area of procurement rules and regulations, accordingly. Assist in preparation as well as review of invitation to bid specifications submitted by state agencies as part of the bid preparation process.
- Work closely with DOIT in-house counsel as well as with the State Attorney General’s office to stay current with contract language and statutory requirements, as they relate to statewide purchasing.
- Design and administer content and updates to the Department of Information Technology’s IT Contracts and Purchasing web site through the State portal. Have cross-trained the department’s Purchasing Assistant to handle these duties as well.

### **Marcie Wilson, Purchasing Services Officer II**

- Handles statewide procurement of Software products and services, Networking and Maintenance. Oversees large over-arching software contracts designed to serve software needs on a statewide level.
- Review, research and recommend for final approval all DOIT-10s for software based products and services as well as those involving Networks and Maintenance.
- Assist state agencies with the development and implementation of Requests for Proposals and Statements of Work. Also assist in the negotiation process with awarded vendors and agency personnel.
- Assist in preparation as well as review of invitation to bid specifications submitted by state agencies as part of the bid preparation process.
- Provide guidance and instruction to state agencies and vendors in the area of procurement rules and regulations accordingly.
- Researches software products that state agencies express an interest in purchasing.

### **Paula Mitchell, Purchasing Services Officer II**

- Handles statewide procurement of IT hardware including, personal computers, servers, computer deployment services, tape drives, switches and maintenance. Also responsible for statewide procurement of IT Training courses and related services and RFP’s.
- Review, research and recommend for final approval all DOIT-10s for the above referenced commodities.
- Serves as a resource in the area of standard agency business office operations. Particularly knowledgeable of DOIT’s business office practices.
- Assist state agencies with the development and implementation of Requests for Proposals, including comprehensive review of all RFP documents prior to issuance and monitors RFP activities throughout the entire procurement process.

## **Elizabeth Basso, Purchasing Services Officer II**

- Handles statewide procurement of IT Professional/Consulting services, Computer Peripherals, Laptop Computers, Computer Hardware Maintenance, Data Processing Services and RFP's.
- Review, research and recommend for final approval all DOIT-10s for above referenced commodities.
- Assist state agencies with the development and implementation of Requests for Proposals and Statements of Work. Also assist in the negotiation process with awarded vendors and agency personnel.
- Assist in preparation as well as review of invitation to bid specifications submitted by state agencies as part of the bid preparation process.
- Provide guidance and instruction to state agencies and vendors in the area of procurement rules and regulations accordingly.
- Provides a level of insight into customer agency operations as they relate to IT purchasing. Particularly knowledgeable about CORE-CT functioning from the agency perspective.

## **Kris Wohlgemuth, Purchasing Services Officer II**

- Handles state-wide procurement of Telecommunications equipment and services, which includes conferencing, wireless equipment and services as well as pagers. Also responsible for Radios and RFP's.
- Involved in all aspects of the procurement and purchasing of telecommunications equipment and services including vendor negotiations, contract compliance and certain aspects of telecom billing.
- Assist state agencies with the development and implementation of Requests for Proposals and Statements of Work. Also assists in the negotiation process with awarded vendors and agency personnel.
- Provides a level of expertise in the area of past State practices in the procurement arena. Also very knowledgeable about Small Business operations as they relate to State requirements.

## **Jean Del Greco, Purchasing Services Officer I**

- Responsible for all aspects of contract management related to Master Agreements. Involved in creating contract management procedures and developing standards for contract oversight.
- Maintains database of Master Agreement information.
- Researches contract issues and assists customer agencies with contract language interpretation.
- Reviews, researches and recommends for approval, product schedule update requests made by master agreement vendors.
- Reviews master agreement file contents for purposes of organization and historical relevance.
- Prepares and distributes correspondence for extension and/or cancellation of Master Agreements.

## **Daniel Melesko, Purchasing Services Officer I**

- Responsible for all aspects of contract management related to Master Agreements. Involved in creating contract management procedures and developing standards for contract oversight.
- Maintains contract storage areas, including oversight of physical agreement file inventory.
- Researches contract issues and assists customer agencies with contract language interpretation.
- Reviews, researches and recommends for approval, product schedule update requests made by master agreement vendors.
- Reviews master agreement file contents for purposes of organization and historical relevance.
- Prepares and distributes correspondence for extension and/or cancellation of Master Agreements.
- Researches and recommends contract management vehicles to be implemented by the IT contracts and purchasing division.

## **Dawn Cole, Purchasing Assistant**

- Assist Purchasing Services Officers with various aspects of the Invitation to Bid, Statement of Work and Request for Proposal procurement processes, including attendance at public bid openings and vendor conferences. Responsible for placing advertisement of bid openings in local newspapers and keeping internal personnel abreast of bid opening activity as needed. Also assist in the administrative review and tabulation of bid responses.
- Maintain and update vendor and master agreement lists. Monitor expiration dates of master agreements and issue letters to vendors regarding expired agreements.
- Coordinate vendor conferences for various procurements, including but not limited to receiving and tracking attendance requests, preparing and copying handout materials, coordinating with the Department of Information Technology's (DOIT's) Facilities personnel to secure and set-up meeting spaces. Also prepare pre-registration security forms to expedite entrance into DOIT office building.
- Responsible for preparing reports, correspondence and performing related duties as required.
- Responsible for ordering and keeping inventory of division's office supplies.
- Responds to and directs group phone calls and emails pertaining to procurements and contracts.
- Design and administer content and updates to the Department of Information Technology's IT Contracts and Purchasing web site through the State portal.
- Performs clerical duties for the unit as needed.
- Processes vendor information changes that are handled by the Office of the State Comptroller, which involves request and receipt of W-9 information from vendors.
- Updates the CORE-CT system in the contracts and purchasing sections.
- Act as System Administrator for DOIT's paperless procurement requisitioning system known as the DOIT-10 system. Facilitates additions, deletions and other role change requests or requirements.

## DOIT-10 PROCESS AND PROCEDURES

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The DOIT-10 system is used by state agencies to submit procurement documents for review and approval through their agency and then to DOIT for procurement processing. The system is located at the following URL: <http://eww.cdpoit-10.state.ct.us>. Please refer to the **Procurement Checklist (Exhibit 1)** as a guide to documentation needed when completing/submitting a DOIT-10 to CPD.

### **I. Create DOIT-10 and Attach Back-up Documents.**

- 1) The Requesting Agency completes the following steps:
  - a) Logs in to the DOIT-10 production system with user name and password.  
*NOTE:* Contact Dawn Cole from DOIT's IT Contracts and Purchasing Division if you need a user name and password established.
  - b) Completes DOIT-10 and attaches back up documents as outlined in the Procurement checklist
  - c) Routes DOIT-10 through their agency approval process

Every agency has established roles and work flow that specify who needs to create, review, and approve DOIT-10s at their agency. Based on this work flow, the system routes documents to the correct people in an agency. Contact CPD if you need to alter the roles or work flow in your agency.

### **II. Submission of DOIT-10s to DOIT Business Development Directors (BDD's) from Requesting Agencies**

- 1) DOIT-10's are routed through the Requesting Agency's hierarchical approval process and then forwarded to DOIT through the appropriate Business Development Director. See Business Development Division Operational overview for information on BDD roles and assignments: [http://www.ct.gov/doit/lib/doit/bdd\\_operational\\_overview.doc](http://www.ct.gov/doit/lib/doit/bdd_operational_overview.doc). The BDD reviews the DOIT-10 and back up documents to make sure that agency has included correct information. Refer to Procurement checklist for guidelines. It may be necessary for the BDD to demote the DOIT-10 back to the agency if information is missing, (i.e. Vendor Quote) otherwise the DOIT-10 will be routed through DOIT based on the commodity and system business rules.
- 2) DOIT-10s are received through the system by Purchasing Services Officers, based on commodities. It is necessary for a Requesting Agency to submit a DOIT-10 in the following situations:

**Request to purchase from a DOIT Master Agreement.** The following must be attached:

- a) Quote from Master Agreement Vendor
- b) Master Agreement Number must be indicated in space provided
- c) Reviewed and approved Project Profile if purchase is over \$20,000
- d) Reviewed and approved Project Plan if purchase is over \$100,000
- e) Statement of Work document if purchase is part of an agency project

**Request to purchase via Piggy-Back on an existing Contract Award that was done for another agency.** The following must be attached:

- a) Quote from Contract Award Vendor
- b) Requesting agency needs to make sure that the requested purchase quantity does not exceed 10% of the contract award quantity. For example, if the contract award was for 20 Tape Cartridges the Requesting Agency would only be able to purchase 2 Tape Cartridges. If their need exceeded that number the IT Contracts and Purchasing Division would have to put the Tape Cartridges out to Bid for the agency – See Invitation to Bid Process and Procedures.

**Request for an Invitation to Bid (ITB) to be issued.** The following must be attached:

- a) Bid Specifications, including any special requirements from the Requesting Agency
- b) Vendor Quote – if one has been obtained
- c) Reviewed and approved Project Profile if purchase is over \$20,000
- d) Reviewed and approved Project Plan if purchase is over \$100,000

**Request for a Request for Proposals (RFP) to be issued.** The following must be attached:

- a) Reviewed and approved Project Profile if purchase is over \$20,000
- b) Reviewed and approved Project Plan if purchase is over \$100,000

**Request for Sole Source Purchase.** The following must be attached:

- a) Reviewed and approved Project Profile if purchase is over \$20,000
- b) A letter from the Requesting Agency's Commissioner justifying/explaining the Sole Source.
- c) A letter from the Sole Source entity justifying/explaining that they are the only entity that can provide the products and/or services being sought.
- d) A quote from the Sole Source entity.

This information makes up the Sole Source Justification Package. Sole Source purchases with a total cost of less than or equal to \$50,000, can be approved the DOIT's Chief Information Officer (CIO). Sole Sources over \$50,000 must be submitted to the Standardization Committee for approval.

**Request to use DOIT's IT Professional Services Master Agreement for Consulting.**

The following must be attached:

- a) DOIT-2 Interview/Selection for Data Processing Consultant Form. Include the necessary documentation required for proof of eligibility to work in the United States.
- b) Reviewed and approved Project Profile if purchase is over \$20,000
- c) Reviewed and approved Project Plan if purchase is over \$100,000
- d) Master Agreement number must be indicated in the space provided

The Director of the IT Contracts and Purchasing Division is the final approver in the DOIT-10 System. When DOIT-10's have been "final approved" an e-mail is generated to the designated individual at the Requesting Agency. The agency can then generate a Purchase Order to the vendor.

### **III. Instances when a Doit-10 is Not Required to be Submitted:**

- 1) To make purchases from All Using State Agency contracts.
- 2) To make purchases from a Contract Award that was done specifically for the Requesting Agency.
- 3) When Direct Purchasing Authority is being used due to no existing contract award or Master Agreement - **See GL-71 Procedures (Exhibit 2).**
- 4) When requesting that DOIT issue a Request for Information (RFI) on the Requesting Agency's behalf.

- 5) When requesting to purchase Telecommunications Network Equipment or Services. All Telecommunications items are purchased via the Telecommunications Service Request (TSR) System through DOIT's Telecommunications Unit (TCU). Prior to submitting a TSR the Requesting Agency should verify that funds are available for the particular equipment and/or service being purchased and have detailed information available concerning the location where the equipment is to be installed or services are to be performed. The Telecommunications Procedure Guide and specific instructions concerning ordering Telecommunications Equipment/Services can be found on the DOIT web site at the following address:  
<http://www.ct.gov/doitservices/cwp/view.asp?a=1524&q=270320>

## **INVITATION TO BID PROCESS AND PROCEDURES**

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An Invitation to Bid (ITB) is issued when an agency knows the product and service solution needed and is looking for the lowest, qualified, responsible bidder that can deliver the required solution. The agency must have a thorough understanding of, and ability to articulate, the requisite specifications.

### **I. Submission of Invitation to Bid documents to DOIT by Requesting Agency**

- 1) Requesting Agency enters DOIT-10 information via the DOIT-10 paperless Purchase Requisitioning System.
- 2) Complete DOIT-10 form with all required information, attaching Bid Specifications and Vendor quote (a vendor quote should be obtained to ascertain the general dollar amount of the purchase.) An approved Project Profile is needed when a purchase will be in excess of \$20,000 (Profiles are not needed for the renewal of licenses, maintenance, support and subscriptions, or radios.)
- 3) Submit DOIT-10 for routing through requesting agency's hierarchical approval process. At the end of that routing process the DOIT-10 is submitted to the DOIT Business Development Director assigned to the agency. The DOIT-10 then routes through DOIT's hierarchical approval process and ultimately is sent to the queue of the Purchasing Services Officer (PSO) responsible for the commodity. The documentation is reviewed by the PSO and contact is made with the requesting agency for clarification, if necessary. The Invitation to Bid is then finalized and issued via the State Contracting Portal.

### **II. Receiving Bid Responses and Conducting Public Bid Openings by IT Contracts and Purchasing Division**

- 1) All Bid responses must be received by the IT Contracts and Purchasing Division by 2:00 PM (eastern time) on the Bid Due date. Any bids that come in after that designated time are deemed late and **cannot** be accepted.
- 2) Bid openings are open to the public and are often attended by vendors regularly doing business with the State of Connecticut in terms of IT.
- 3) Anyone wishing to attend the bid opening must enter the building and be checked in by Security. Attendees are allowed into the bid opening room at 2:00 pm.
- 4) Bid openings must be conducted by at least two (2) members of the IT Contracts and Purchasing staff.
- 5) All bids are opened and the bottom line figures are read out loud. Absolutely no determination of contract award is made at the time of the bid opening.

### **III. Conducting the Administrative and Technical Review of Bid Responses and Determining the "Lowest, Qualified, Responsible Bidder."**

- 1) The Bid response review process is two-fold. The first step being the Administrative Review which is conducted by the Purchasing Services Officer (PSO) that is responsible for the ITB. The second part of the review is the Technical Review which is conducted by the requesting agency.
- 2) In conducting the Administrative review the PSO, must complete the Administrative review checklist. This document can be found in the Bid Open sub-folder of the main ITB folder.
- 3) All required documents submitted as part of a Bid response must be reviewed and checked on the Administrative checklist in order for the response to "pass" the administrative review. The PSO may need to seek written clarification from vendors or other sources when reviewing bid responses and determining whether or not the bid response "passes" the Administrative Review.
- 4) Here are the main reasons why responses are rejected or "fail" the Administrative Review:
  - a) Bid response received after 2:00 PM on the Bid Closing date
  - b) The SP-26 is not signed (which invalidates the entire bid response package)

- c) On the Bid Schedule or pricing pages, white-out has been used, items have been written over or otherwise changed in writing but are not initialed as instructed.
- d) Contingent bids are submitted.
- e) Failure to submit any item that the ITB lists as mandatory.

**5)** Copies of all bid responses that “pass” the Administrative Review are forwarded to the requesting agency for performance of the Technical Review. (There are times when this process is deemed unnecessary by mutual agreement between the PSO and the requesting agency.) The requesting agency may need to seek written clarification from vendors or other sources, through CPD, when reviewing bid responses and determining whether or not the bid response “passes” the Technical Review. There should be no direct contact with vendors, by Requesting Agency staff during the bid review process.

## **CONTRACT AWARD PROCESS AND PROCEDURES**

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Contracts are awarded based on ITBs. The award is made to the vendor with the lowest bid who has been deemed qualified and responsible to provide the product or perform the work required.

### **I. Awarding Contracts as a result of an ITB**

- 1) The lowest, priced vendor that has passed both the Administrative and Technical Reviews is deemed to be the “Lowest, Qualified, Responsible Bidder,” and is awarded the contract.
- 2) Written confirmation from the Requesting Agency to the PSO handling the Bid that there is mutual agreement on who the awarded vendor will be is required. Via e-mail is sufficient. At this time the PSO will obtain the project or purchase planning date from the Requesting Agency. This information is mandatory and must be listed in the Gift Certification that accompanies State Contracts with a value of \$50,000 or more in a calendar or fiscal year.
- 3) The PSO will contact the successful vendor and provide the following Certifications to them for completion, signature and notarization for all Contract Awards with a value of \$50,000 or more in a calendar or fiscal year:
  - a) Gift Certification (OPM Form 1)
  - b) Campaign Contribution Certification (OPM Form 2)
  - c) Annual Contract Certification (OPM Form 4) – sent to awarded vendor on an Annual basis for multi-year awards totaling more than \$50,000 in a calendar or fiscal yearThe PSO responsible for awarding the contract must complete and have notarized the Certification By Agency Official or Employee Authorized to Execute Contracts (OPM Form 3) for all contracts with a value of \$50,000 or more in a calendar or fiscal year.
- 4) Upon receipt of the completed, notarized, Certifications the Contract Award documents are posted to the Contract Awards section of the DOIT website in the proper commodity area. The Contract Award documents are then sent via e-mail to the awarded vendor.
- 5) The Contract Award information is also added to the CORE-CT system at that point. In the event that the contracted vendor’s is not already existent in CORE-CT, the Vendor is asked to complete and return a W-9 form. When the completed form is received by CPD it is forwarded to the State Comptroller’s Office for entry into their system, which will then download into CORE.
- 6) The DOIT-10 that was submitted by the requesting agency must be updated to reflect the Contract Award information, including the vendor name. It is then forwarded via the DOIT-10 System to the Director of CPD for final approval.
- 7) When the Director approves the DOIT-10 an e-mail is automatically generated to the individual at the Requesting Agency who has been designated to receive those confirmations. When this process is completed the Requesting Agency will be able to issue a Purchase Order to the contracted vendor.

## **STANDARDIZATION/SOLE SOURCE PROCESS AND PROCEDURES**

Sole source purchases are an option when an emergency or unusual market condition exists; such as when a product or service is only available from one source. It is incumbent upon the Requesting Agency to perform due-diligence to substantiate the Sole Source/the waiver of competitive procurement. DOIT CPD will also perform research to ensure the Sole Source claim.

### **I. DOIT Sole Source Requirements**

- 1) A letter from the Requesting Agency's Commissioner/Agency Head addressed to DOIT's CIO explaining/justifying the Sole Source purchase as well as requesting a waiver from the competitive procurement process.
  - a) This letter must minimally include the following:
    - Why, in explicit terms, this product/service and only this product/service can satisfy the agency's functional requirements as well as meeting the unusual market conditions.
    - Why this procurement cannot follow the competitive bidding process and/or why doing so would be detrimental or harmful to the State of Connecticut.
    - What alternative sources were researched and why they are not appropriate in the situation.
    - A statement from the Agency's Commissioner/Head asserting that he/she has reviewed the request and is asking that the procurement be processed as a Sole Source.
- 2) Correspondence from the Sole Source entity asserting that they are the only entity that sells a particular product or provides a particular service.
  - a) The correspondence must include the following:
    - They are the proprietary owner of the requested product/service.
    - They are the sole distributor of the requested product/service.
    - A quote outlining the not to exceed cost for the State to purchase the requested product/service, including costs for support, maintenance, installation and delivery.

A DOIT-10 must be submitted from the Requesting Agency with the above listed items attached.

### **II. Standardization/Sole Source Processing by DOIT CPD**

- 1) Once DOIT CPD has received all necessary items listed above, the Standardization information/justification package is assembled and submitted to the State's Standardization Committee if the dollar value exceeds \$50,000. Those up to \$50,000 can be approved by DOIT's CIO. The Standardization Committee consists of seven (7) Commissioners/Deputy Commissioners from various State agencies. Approval of a Standardization/Sole Source request requires "yes" votes from a minimum of four (4) out of the seven (7) committee members. The requests are faxed to the committee and the votes are received by DOIT CPD in the same manner.
- 2) Standardization/Sole Source requests sometimes involve asking for the committee's "permission" to enter into contract negotiations with the Sole Source entity. Those negotiations, if approved, are handled by DOIT and can result in a Master Agreement between DOIT and the Sole Source entity for use by the Requesting Agency.

## **REQUEST FOR INFORMATION (RFI) PROCESS AND PROCEDURES**

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The “Request for Information” process is used when an agency requires information regarding what exists in particular industries in terms of solutions to the business problem that they have identified. Information received from vendors as the result of an RFI can help the Requesting Agency to determine which direction should be pursued in terms of future procurements.

### **I. Steps towards developing an RFI**

- 1) DOIT CPD will provide upon request a template RFI for the Requesting Agency’s information and reference. The Requesting Agency then develops a document that outlines the nature of the information being requested and the format in which vendors are to provide the information. The document may address the following areas:
  - a) Statement of Purpose
  - b) Background
  - c) A description of the current system or mode of agency operation
  - d) A description of equipment and/or services that information is being sought about
  - e) Special Requirements
  - f) Response Content requirements
  - g) Presentations
  - h) Disclaimer (notifying responding vendors that the RFI is in no way a “promise” of a future procurement.)

### **II. Processing of the RFI by DOIT CPD**

- 1) DOIT CPD receives the RFI document from the Requesting Agency and issues it on that agency’s behalf. A contact person is designated from the Requesting Agency and is responsible for the RFI from that point. DOIT CPD posts the RFI on the State Contracting Portal but does not designate a contact person for questions or responses to be submitted to. This is the responsibility of the Requesting Agency’s designated contact person.
- 2) The following are important dates related to an RFI:
  - a) Issue Date – *Date RFI is issued and posted to the State Contracting Portal*
  - b) Question Deadline Date – *Deadline date by which all questions regarding the RFI must be received by the RFI contact person*
  - c) Response Due Date – *Date RFI responses are due to the Requesting Agency*
- 3) Following the question deadline date, the Requesting Agency will forward to DOIT CPD the Question and Answer document which is then posted to the State Contracting Portal as an Amendment to the RFI.
- 4) The RFI responses are kept by the Requesting Agency for future use.

## ***STATEMENTS OF WORK (SOW) – AS A PROCUREMENT VEHICLE***

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The Department of Information Technology will issue a Statement of Work (SOW) as a procurement vehicle when the Requesting Agency has an E-Government/Web-based project to complete. The SOW is somewhat of a hybrid between an Invitation to Bid and a Request for Proposal. When an agency has an E-Government/Web-based project to complete, an SOW document outlining all the project requirements is developed; similar to an RFP. At the end of the process, however, unlike an RFP there is no negotiating with the vendor. Vendors wishing to respond to the SOW must also complete a “Qualifications document” where their prior E-Government/Web Development experience must be evidenced. All vendors meeting the E-Government qualifications are put on a list and do not have to submit the documentation again for future E-Government projects. Vendors only have the opportunity to qualify for participation in these projects when one is in development. SOW’s are a procurement vehicle that is seldom used. Any Requesting Agency with an E-Government/Web Based project to do should contact the Director of DOIT CPD for further instruction.

## ***STATEMENTS OF WORK – AS A WRITTEN DESCRIPTION OF WORK TO BE PERFORMED UNDER AN EXISTING CONTRACT***

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A Statement of Work is a written description of the work to be performed under a contract to satisfy particular needs of a state agency. A Statement of Work should outline in detail the work to be performed by the vendor, the agency project expectations and desired results as well as pricing for the project. If necessary, acceptance criteria should be established and explicitly noted in the Statement of Work. Statements of Work should be completed by the agency and submitted to the contracted vendor for review and agreement. Often times Statements of Work are developed by the contracted vendor and submitted to the agency for review and agreement. In this situation, vendors have been known to “add” Terms and Conditions or Stipulations to the Statement of Work, which is not allowed since these things have been pre-negotiated at the time of contract agreement. DOIT CPD must review Statements of Work that reference DOIT Master Agreements/Contracts prior to their approval by the Requesting Agency. When submitting DOIT-10’s for requests to make purchases from DOIT Master Agreements that involve projects, the Statement of Work must be attached. State agencies are cautioned not to “sign” Statements of Work without prior review and approval by DOIT.

## **REQUEST FOR PROPOSAL (RFP) PROCESS AND PROCEDURES**

The “Request for Proposal” procurement process begins when a detailed Business Needs Analysis is done by an agency and reveals insufficient information technology resources are available to satisfy departmental needs. A business problem has been identified and the agency is looking for “proposed” solutions from vendors.

### **I. Steps towards developing an RFP**

- 1) A Project Profile is completed and submitted to the DOIT (Business Development Director) BDD that is assigned to the Requesting Agency.
- 2) A DOIT-10 is completed and submitted to DOIT.
- 3) If needed DOIT CPD provides the Requesting Agency with an RFP template that can be customized for their use. Resources from DOIT CPD are also available to meet with the Requesting Agency to review procedures and provide overall guidance throughout the RFP process.
- 4) An Agency Project Manager is assigned to manage the acquisition process.
- 5) The RFP document is submitted to DOIT CPD for review and comment.
- 6) DOIT CPD will schedule the procurement action based on the information provided by the Requesting Agency, the magnitude of the procurement and competing DOIT priorities.
  - a) When more than one (1) type of product (i.e., hardware, software, maintenance, or consultant services) is required, different approaches can be taken:
    - i. Issue separate RFP documents to the vendor community for each type or product and make individual awards for each product.
    - ii. Issue one (1) RFP in which the winning vendor will be totally responsible for all hardware, software, services, maintenance, etc.
- 7) The RFP document will detail the Business and Technical requirements as well as specify the manner in which responding vendors are to structure their responses. The document will also offer a high level listing of the Evaluation Criteria along with the relative importance and weighting of the requirements. This document is reviewed by the Agency and DOIT setting the sole point of contact, the rules and process for vendor inquiries, the assignment of resources (or allocation of funds for consultants) and the final decision-makers. DOIT CPD will post the finalized RFP in pdf format on the State Contracting Portal.

### **II. RFP Evaluation Roles and Responsibilities**

- 1) All proposals submitted to the State of Connecticut in response to a Request for Proposal (RFP) that are received within the allotted time frame, will be evaluated by a Proposal Review Team (PRT) designated by the Requesting Agency, comprised of departmental representatives from the major divisions, sections or other selected individuals. This group is charged with, among other responsibilities, the establishment of evaluation criteria, the evaluation and scoring of business and technical functionality as well as recommending a potential awardee. One of the first things the PRT should do is elect or designate a Chairperson. The Chairperson will be responsible for the following:
  - establishing and adhering to the dates and times for meetings and a projected timetable, determining whether a Vendor Conference should be scheduled
  - acting as liaison with management informing them on the status of the Teams progress and/or problems
  - issuing individual assignments to team members according to specific expertise
  - discussing evaluation procedures and scoring criteria. The merits of mandatory versus desirable requirements should be disclosed and fully understood by all team members. (This is an extremely important phase of the overall procurement process.)

- ensuring that the evaluation criteria is clearly representative of the mandatory and desirable requirements that are part of the RFP document

The evaluation of vendor proposal responses must be conducted in accordance with the established Evaluation Procedures and Scoring Criteria. (See **RFP Evaluation and Selection Procedures: A Guide for State Agencies - Exhibit 3**). Representatives from DOIT will review the technical infrastructure requirements of the RFP prior to issuance. Individual members of the PRT are to have no dealings with the respondents to this RFP during the evaluation process. (See **Vendor Contact Restrictions - Exhibit 4**). Necessary communications will be directed through DOIT's (CPD) designated representative. The following outlines the Roles and Responsibilities regarding the Evaluation of Vendor Proposals:

a) **RFP Due Date:**

On the RFP due date, the proposals will be received by DOIT – CPD, but will NOT be opened. The names of the proposers will NOT be publicly read.

**Responsibility: CPD**

b) **Opening of Proposal Submissions:**

A designee of CPD will open the sealed proposals with a witness who is not a member of the PRT. The witness ensures that the proposals were sealed and then opened in his/her presence and a copy of each proposal was put in a secured location. The witness will also attest to the fact that the Cost Sheets have been submitted separately and not released to the PRT.

**Responsibility: CPD, Witness**

c) **Administrative Screen:**

Screen proposals received to verify that the vendors seem to have responded to the mandatory as well as basic RFP submittal requirements. The team Chairperson is notified with the names of the firms that pass the Administrative Screen. At this time all members of the PRT must complete, sign and have witnessed an Ethics Statement. (See **Proposal Review Team Member Ethics Statement – Exhibit 5**). All proposals passing this Administrative Screen will be released for evaluation to the PRT.

**Responsibility: CPD**

d) **Evaluation (general):**

Analyze released proposals for compliance with mandatory items and pre-defined Evaluation Criteria. Detailed Evaluation Criteria must be pre-defined, reviewed and agreed to by the PRT. Agreement with the process is confirmed by each team member's signature. (See **RFP Evaluation Criteria Cover Sheet – Exhibit 6**). The Evaluation Criteria is then submitted to the Director of CPD for approval, prior to the release of responses to PRT. Any proposal not meeting all the mandatory and other requirements outlined in the Evaluation Criteria, will not be considered for further evaluation. The Proposal Review Team will indicate to CPD the specific requirement(s) not met, including explanatory remarks as necessary.

**Responsibility: PRT**

e) **Business and Technical Evaluation:**

Analyze proposals in detail for compliance with the evaluation scoring worksheets. Scoring is limited to that identified in the RFP. Those proposals with an aggregate score of less than the pre-determined percentage points will not be considered for further evaluation. The PRT will provide their evaluation summary sheets and scoring with applicable notes.

- i. **Reference Checks.** Conduct detailed reference checks for proposals. A script for questions should be used to ensure that all references are asked the same questions. Strong and weak points will be recorded on each check. After all reference checks are made, the team will evaluate the

results and rate the vendor. Any particular issues may be addressed to validate/clarify vendor claims made in their proposal through the designated CPD representative. Demonstrations may be requested of the Vendor for clarification. Those evaluated as unacceptable will not be considered for further evaluation and noted as such.

**Responsibility: PRT**

ii. **Interviews:**

Interviews may be conducted for the highest rated business and technical proposal(s) for verification of Project Manager/Lead Consultant qualifications and experience. If an interview or interviews results in findings significantly different from the original ratings, those vendors will be re-ranked and a new composite ranking established. The team will then, by consensus, decide the number of points for each vendor in each category.

**Responsibility: PRT**

iii. **Clarifications:**

At this point or at any time during the course of the evaluations, the PRT may request that the vendor provide clarification of points deemed “unclear” by the PRT. These requests for clarification are to be funneled through the CPD point of contact from the PRT. Clarification information will be given to the CPD point of contact from the proposing vendor and communicated to the PRT. CPD will make all contacts with the prospective vendors.

**Responsibility: PRT, CPD**

f) **RFP Evaluation Interim Report:**

Once all proposals have been evaluated for business and technical merit, the PRT must forward to the Director of CPD an RFP Evaluation Interim Report (**See attached format – Exhibit 7**) summarizing the RFP activities up to that point and requesting to open Costs for all responding vendors whose responses have met or exceeded the pre-defined Business and Technical threshold point value. Once the report is reviewed and approved by the Director of CPD, an administrative screen of the Cost proposals will be conducted by CPD.

**Responsibility: PRT, CPD**

g) **Cost Proposal Evaluation:**

Copies of all cost proposals passing the administrative screen will be given to the PRT for evaluation and scoring against the pre-defined cost proposal criteria. Once all cost proposals are scored, the Business and Technical scores are added to the Cost scores to arrive at an overall score for each proposer. The proposer with the highest overall score is offered the right to negotiate a contract with the State of Connecticut. The PRT makes this recommendation to the Director of CPD and the State’s CIO as part of the RFP Final Evaluation Report (**See attached format – Exhibit 8**) for authorization to proceed into final contract negotiations.

**Responsibility: PRT, CPD**

h) **Contract/Master Agreement Negotiations:**

DOIT CPD will notify the successful proposer as well as the non-successful proposers of the contingent award that will be made pending consummation of a mutually satisfactory agreement between the State and the successful vendor. Contract negotiations commence at this point in the procurement process with the potential awardee. These negotiations are handled by DOIT’s In-House Counsel and the Director of CPD in conjunction with the potential awardee’s designee(s). If needed, the Requesting Agency representatives are called upon to assist in the negotiations. When the terms and conditions have been finalized by mutual agreement, said agreement is printed in final form and must be signed by the vendor and the State’s CIO. The agreement, referred to commonly in the State as a Master Agreement, is then forwarded to the Office of the Attorney General for approval as to form. If the potential awardee and the State are unable to reach a contractual agreement, the vendor will be notified that the State has no other option but to consider another vendor. At this point the PRT would have to repeat the procedure to

recommend that the next proposer in line, if any, be awarded the right to negotiate a contract with the State. This process would have to be repeated until such time as an agreement is arrived at.

**Responsibility: CPD, DOIT Legal Counsel**

i) **Contract/Master Agreement Management:**

DOIT, as the Issuing Authority of the RFP, has the responsibility of managing the Master Agreement. Purchases made from the Master Agreement have to be approved by DOIT CPD. Ensuring that the contracted vendor adheres to the terms and conditions set forth in the contract as well as compliance with the contractual Product/Pricing schedule is also a DOIT responsibility.

**Responsibility: CPD**

# **Exhibit 1 - PROCUREMENT CHECKLIST**

(A guide to documentation needed when completing/submitting procurement requests to DOIT CPD.)

## **When requesting to make a purchase from a DOIT Master Agreement**

- 1) DOIT-10 State Purchase Requisition with Master Agreement number referenced
- 2) Reviewed and approved Project Profile if purchase is over \$20,000
- 3) Quote from vendor that is less than one (1) month old

## **When hiring a Consultant through the IT Professional Services Master Agreement**

- 1) DOIT-10 State Purchase Requisition with Master Agreement number referenced
- 2) Reviewed and approved Project Profile if the consulting request is over \$20,000
- 3) Reviewed and approved Project Plan if the consulting request is over \$100,000
- 4) Interview/Selection form (DOIT-2)
- 5) Necessary documentation required for Proof of Eligibility to Work in the United States for the consultant being hired

## **When requesting to make a “PiggyBack” purchase from a Contract Award**

- 1) DOIT-10 State Purchase Requisition with Contract Award number referenced
- 2) Reviewed and approved Project Profile if purchase is over \$20,000
- 3) Quote from contracted vendor

## **When requesting the issuance of an Invitation to Bid (ITB)**

- 1) DOIT-10 State Purchase Requisition State with Bid Specifications attached, including any special requirements from the Requesting Agency
- 2) Reviewed and Approved Project Profile if the request is over \$20,000
- 3) Reviewed and Approved Project Plan if the request is over \$100,000

## **When requesting the issuance of a Request for Information (RFI)**

- 1) The completed Request for Information document

## **When requesting the issuance of a Request for Proposal (RFP)**

- 1) DOIT-10 State Purchase Requisition
- 2) Reviewed and approved Project Profile if the request is over \$20,000
- 3) Reviewed and approved Project Plan if the request is over \$100,000

## **When requesting a Standardization/Sole Source Purchase**

- 1) DOIT-10 State Purchase Requisition
- 2) Reviewed and Approved Project Profile if the sole source request is over \$20,000
- 3) Letter from the Commissioner of the Requesting Agency addressed to the CIO of DOIT that addresses the following:
  - a) justification of the sole source and requesting a waiver of the competitive procurement process
  - b) why, in explicit terms, this product/service and only this product/service can satisfy the functional requirements as well as meeting the unusual of market condition sole source requirement
  - c) why this procurement cannot follow the RFP of ITB process and why following either
  - d) would be detrimental to the State of Connecticut what alternative sources were researched and why they are not appropriate for the Requesting Agency

- 4) Letter from the Sole Source vendor that states:
  - a) They are the proprietary owner of the requested product/service
  - b) They are the sole distributor of the requested product/service
  - c) A quote outlining the cost to the State for the purchase of the requested product/service. Including costs for support, maintenance, installation, delivery as well as a not to exceed, bottom-line figure

## **Exhibit 2 - GENERAL LETTER NUMBER: 71**

**Authorization** Pursuant to the authority granted in Title 4a, Chapter 58, of the Connecticut General Statutes, as it may be amended from time to time, purchases of goods and/or services costing less than \$50,000.00 may be made, subject to the limitations set forth below, without prior and specific approval of the Department of Administrative Services (DAS) or Department of Information Technology (DOIT), as appropriate, provided that a DAS or DOIT contract does not exist for the goods and/or services being acquired. Non-competitive purchases, as defined in section “d” below, are not subject to the \$50,000 limitation. The authority granted by this General Letter 71 TO AGENCIES is permissive, NOT MANDATORY; DAS AND DOIT WILL SOLICIT QUOTATIONS, BIDS OR PROPOSALS ON BEHALF OF ANY AGENCY UPON REQUEST.

**Application** a) Direct purchases of any type of goods or services up to \$2,500.00 (also known as open market purchases) may be made without obtaining quotations or bids. No Annual limits or restrictions are established.

b) Purchases over \$2,500.00 and up to \$10,000.00 (annually) must be based upon, when possible, at least three written quotations (utilizing Form STO-93) or bids, from responsible and qualified sources of supply.

c) Purchases over \$10,000.00 and less than \$50,000.00 (annually) must be based upon, when possible, at least three written quotations or bids, from responsible and qualified sources of supply. Agencies must also publish their request for quotation (Form STO-93) or bid notice on the State Bid/Contracting Portal at [http://www.das.state.ct.us/Purchase/Portal/Portal\\_Home.asp](http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp) in accordance with the provisions in Executive Order #3 of Governor M. Jodi Rell, promulgated December 15, 2004.

d) “Non-competitive purchases” are purchases that may be made without obtaining quotations or bids for the following items only: employee training and certification, workshops, publications, subscriptions (including electronic subscriptions), advertising, dues, fees, certain public utility services (electric generation services, electric distribution services and water services), postage, licenses (excluding software licenses), eyeglasses, dentures, hearing aids and hearing aid supplies, transportation of persons and freight, prosthetics, media, rehabilitation technology and placement equipment; donations to charitable organizations and scholarship funds; railroad flagging services required by the Department of Transportation; reimbursements to educational institutions (i.e., regional education service centers) for student training services required by the Department of Education; and purchases by the Board of Education and Services for the Blind (BESB) and Department of Correction Enterprise Program of commodities for resale to BESB and DOC Enterprise customers. No annual limits or restrictions are established. Upon the request of one or more agencies, DAS and DOIT, as appropriate, may supplement on a case-by-case basis the above categories of items and issue a revised General Letter 71 evidencing the change.

e) Emergency repairs and emergency purchases costing up to \$10,000.00 may be made without obtaining quotations or bids (excluding real property). An “emergency” exists where the normal operation of an agency (or portions thereof), the health or safety of any person, or the preservation of property would be seriously impaired, threatened or jeopardized if immediate action were not taken to correct the situation. All emergency purchases exceeding \$10,000.00 must be directed to DAS or DOIT for processing through a Standardization Transaction Request, or a waiver of the competitive procurement process. Such emergency requests must be submitted to DAS or DOIT for approval utilizing form SP-10 or DOIT-10, State Purchase Requisition.

Purchases for repairs, changes or renovations to real property must be made in accordance with the Department of Public Work's guidelines and procedures for Agency Administered Projects.

f) Purchase transactions between or among State agencies do not require competitive quotes and are not subject to annual limits or restrictions.

g) Agencies may purchase goods or contractual services from the United States Government, a federal agency, and any state government or any of their political subdivisions (including cooperative purchase agreements and use of federal contracts without obtaining quotes or competitive bids and without being subject to annual limits or restrictions. Agencies may not purchase from persons or entities who have contracts with any department, agency or instrumentality of the federal government without first obtaining the approval from DAS or DOIT, as appropriate. Agencies must make these requests to DAS or DOIT utilizing form SP-10 or DOIT-10, State Purchasing Requisition.

### **Review**

An agency's failure to follow any of the terms or conditions in this General Letter 71 may result in DAS and/or DOIT rescinding the agency's authority to purchase under this General Letter until such time as DAS and DOIT are satisfied that the failure is not likely to recur. DAS and DOIT may review any purchases made under this authority at any time. Agencies must retain copies of their request for quotations (Form STO-93) or invitations to bids, purchase orders, specifications, proposals and all corresponding documentation for the normal legal retention period or as otherwise provided for in Connecticut General Statutes Sections 11-8 and 11-8a. Agencies should not send to DAS or DOIT copies of these documents unless otherwise requested. Agencies shall comply with Connecticut General Statute Section 4a-52a(e), as it may be amended from time to time, and all other applicable statutes, regulations and procedures and shall submit reports quarterly to the Commissioner of Administrative Services on its purchase orders issued under this authority. These reports can be formulated in Core-CT through the use of EPM Reporting Tools.

### **Limitations**

Agencies may not use the authority granted by this General Letter to purchase goods and contractual services that are already the subject of existing DAS or DOIT contracts. Those goods and contractual services must be purchased against those existing contracts.

1. Agencies may not use the authority granted by this General Letter to enter into Personal Services Agreements or Purchase of Services Agreements.
2. Agencies may not issue Requests for Proposals ("RFPs") to make purchases of goods and contractual services unless previously so authorized in writing by DAS or DOIT for each particular purchase.
3. As used in this General Letter, the terms "purchase" and "purchases" shall also mean "rent" and "rentals" (excluding purchases and rentals of real property).
4. When issuing bids or RFPs, agencies must follow all of the applicable requirements found in the DAS and DOIT statutes, regulations and procedures governing purchases.

### **Other Information:**

To obtain instructions and assistance in publishing your bid or RFP notices under the authority of this General Letter, please contact DAS Procurement Services at 860-713-5095.

# **Exhibit 3 - RFP EVALUATION AND SELECTION PROCEDURES**

## **( A Guide for State Agencies)**

### **GENERAL CONSIDERATIONS**

All proposals which are properly submitted will be accepted by DOIT. However, DOIT reserves the right to request necessary amendments, reject any or all proposals received, or cancel this RFP, according to the best interest of the State or RFP project.

Only those proposals which are determined to be sufficiently responsive will be evaluated. Failure to comply with the instructions or failure to submit a complete proposal may deem a proposal not sufficiently responsive. DOIT may reject any proposal that is incomplete, non-responsive, or in which there are significant inconsistencies or inaccuracies.

DOIT also reserves the right to waive minor irregularities in proposals, providing such action is in the best interest of the State or RFP Project. Where DOIT does waive minor irregularities, such waiver shall in no way modify the RFP requirements or excuse the Proposer from full compliance with RFP specifications and other contract requirements if the Proposer is awarded the contract.

DOIT shall consider unacceptable and may reject without further review proposals not containing the minimum mandatory proposal requirements or proposals that do not meet these requirements.

**Minimum** Mandatory Proposal Requirements are as follows:

- Proposals must be submitted no later than the proposal due date and time as specified in this RFP.
- The Technical Proposal transmittal letter shall be submitted as defined in this RFP.
- The Proposer must have followed the proposal submission requirements defined in this RFP.
- Mandatory forms identified in this RFP must be included in the proposal.
- The proposed system must meet all requirements specified in this RFP.
- The Proposer must assume Prime Contractor responsibilities for all project activities.

### **EVALUATION METHODOLOGY**

Each proposal will be evaluated and scored by a Proposal Review Team (PRT) composed of designees from the Requesting Agency. Team members should have knowledge in regards to the specific areas involved in the RFP project. The PRT will conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this procurement. The Team members are required to approve the pre-defined evaluation criteria. Approval is confirmed by the PRT member's signature on the RFP Evaluation Criteria Cover Sheet which accompanies the Evaluation Criteria document submitted to the Director of Contracts and Purchasing for approval prior to proposals being released to the PRT for review. PRT members are also required to complete, sign and have witnessed a Proposal Review Team Member Ethics Statement.

DOIT or the PRT may designate other professional staff to assist in the evaluation phases. Other designated persons may act as observers during the evaluation and selection process. The following evaluation criteria categories will be used to develop more detailed criteria which will be used during the evaluation process:

- The Proposer's general approach and plans to meet the requirements of this RFP.
- The Proposer's detailed approach and plans to perform the services required by the scope of work of this RFP.
- The Proposing firm's documented experience in successfully completing projects of a similar size and scope to those required by the RFP.

- Qualifications and experience of personnel assigned to the project with emphasis on documented experience in successfully completing work on projects of a similar size and scope to those required by this RFP. A Prime Contractor core team for the project must be identified and resumes must be submitted as specified in the RFP.
- Corporate and personnel reference checks may be made as part of the evaluation process. Reference checks may not be limited to specific customer references cited in the proposal.
- The overall ability of the Proposing firm, as judged by the Department, to begin and successfully complete the project within the proposed schedule. This judgment will include, but will not be limited to, such factors as staff commitment to the project, project management and control plan, project organization and availability of staff.
- The Proposer's cost for the project.

**EVALUATION OF BUSINESS AND TECHNICAL PROPOSALS**

Only proposals that meet the minimum mandatory proposal requirements will be considered for evaluation. During the evaluation process, the PRT reserves the right to initiate discussions through DOIT with Proposers who submit responsive or potentially responsive proposals for the purpose of clarifying aspects of the proposals; however, proposals may be accepted and evaluated without such discussion.

**Sample Evaluation Scenario:**

The evaluation of qualified submitted Proposals will involve the point scoring of each proposal in each of the areas identified in the table below. While a maximum score of 7,000 is possible; proposals must achieve a minimum score of 4,900 points (70%) to be considered responsive. Any Proposal not achieving the minimum score will not receive further consideration.

Qualifications	600 Points
Financial and Legal Stability	400 Points
Staffing Qualifications	600 Points
Management and Work Plans	1,500 Points
Understanding Requirements	700 Points
Proposed System Solution	3,200 Points

After completing independent evaluations, the PRT members will meet as a total team to score the proposals. At this time, the technical evaluation points given by each evaluator will be summed and proposals ranked accordingly.

**EVALUATION OF COST PROPOSALS**

The evaluation of the Cost Proposal shall be worth a total of 3,000 points. The sample below shows how the points could be allocated:

- 900 points for the costs from Project Initiation through the Start of the Pilot
- 700 points for the cost of Pilot Operations
- 700 points for the cost of Roll-out and Statewide Operations
- 700 points for One-Time Fees and Labor Rates

**COMBINED TECHNICAL AND COST EVALUATION**

Proposal scores on the cost and technical evaluations will be summed and ranked accordingly. The proposal receiving the highest score will be selected as the successful Vendor and offered the right to negotiate a contract with the State of Connecticut.

## **GENERAL CONTRACT NEGOTIATION AND AWARD PROCESS**

### **ORAL PRESENTATIONS/SYSTEM DEMONSTRATIONS**

Proposers who submit a proposal in response to the RFP may be required to give an oral presentation of their proposal to the PRT. The purpose of such presentations is to provide an opportunity for Proposers to clarify or elaborate on their proposal.

Original proposal submissions cannot be supplemented, changed, or corrected in any way. No comments regarding other Proposers or proposals are permitted, and Proposers may not attend the presentations of their competitors.

Oral Presentations have no intrinsic point value in the proposal evaluation process. However, on the basis of a demonstration of its proposed system, the score for a proposed client data and/or retail solution may decrease, based on the judgment of the PRT .

Proposers must clearly understand that it is the PRT's sole option to determine which Proposers, if any, will be invited to make an oral presentation or system demonstration. Proposers shall not construe the list of firms invited, if any, to imply acceptance or rejection of any proposal(s).

### **BEST AND FINAL OFFER**

The PRT may determine if it is in the best interest of the State or RFP Project to seek a "Best and Final Offer" from all Proposers submitting acceptable or potentially acceptable proposals. The "Best and Final Offer" would provide a Proposer the opportunity to amend or change its original proposal to make it more acceptable to the project's purpose. The PRT reserves the right whether or not to exercise this option.

### **AWARD OF THE RIGHT TO NEGOTIATE A CONTRACT WITH THE STATE OF CONNECTICUT**

If the PRT awards the right to negotiate a contract as a result of this procurement, the successful Prime Contractor shall be advised of the award intention by letter. The successful Prime Contractor must then indicate agreement to enter into a contract with DOIT.

The contract awarded for the core services as a result of this RFP will be originated by DOIT. The contract shall incorporate in its provisions the RFP, the successful Prime Contractor's proposal, and any other pertinent documents.

## **Exhibit 4 - DOIT-5 VENDOR CONTACT RESTRICTION**

Date: \_\_\_\_\_

RFP Title: \_\_\_\_\_

RFP Number: \_\_\_\_\_

### **VENDOR CONTACT RESTRICTIONS**

Adherence to the RFP Administrative Requirements is essential to insure an open and fair procurement process. Particular attention should be paid to the requirements in the “Restrictions on Contacts with State Personnel” section.

No information concerning the specifics of the RFP should be disclosed to potential proposers. Once the RFP has been issued, all inquiries must be directed to the Department of Information Technology (DOIT) Contracts and Purchasing contact person listed below.

In the event a vendor representative contacts you to request specific information concerning the RFP, you are advised to take the following actions:

1. Do not answer the question or provide the requested information.
2. Refer the person to the DOIT Contracts and Purchasing contact person below.

DOIT’s Contract and Purchasing contact person will respond to all requests in a timely manner.

Compliance with this procedure is essential to meet the State of Connecticut’s ethical and statutory mandates. Your cooperation is appreciated.

#### **DOIT CONTRACTS AND PURCHASING CONTACT PERSON:**

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

**Exhibit 5 – PROPOSAL REVIEW TEAM MEMBER ETHICS STATEMENT**

**RFP # \_\_\_\_\_**

**(Name or RFP Project)  
Proposal Review Team Member  
Ethics Statement**

I, \_\_\_\_\_, by my signature below,

(Please print)

declare and affirm that neither I nor any of my family relations have any personal, professional or financial interest in any firm that has responded to the above-noted Request for Proposal, including but not limited to any training, consulting or other special relationship; nor do I nor any of my family relations have any personal or financial interest in the outcome of this Professional Services Administration system evaluation process for the Connecticut Department of Information Technology.

I further state that I have not been subject to any outside influence that would affect my fair, honest and objective evaluation of the responses submitted pursuant to the issued RFP.

I believe in good faith that my participation in this evaluation process will not raise a question of conflict of interest or a breach of ethics issue under the provisions of the State Ethics Code, specifically §§1-84 and 1-85 of the Connecticut General Statutes.

I am also aware that I may not participate in any *ex parte* communications with any of the manufacturers, dealers or other respondents who are participating in this Request for Proposal process unless permitted by the Chief Information Officer or her designee.

Any questionable relationships are listed below under "Comments."

COMMENTS: \_\_\_\_\_  
\_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Witness: \_\_\_\_\_

APPROVED FOR  
PARTICIPATION: \_\_\_\_\_  
Jacqueline Shirley, Director, IT Contracts and Purchasing

Proposals were received from the following firms: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

# Exhibit 6 – RFP EVALUATION CRITERIA COVER SHEET

## DEPARTMENT OF INFORMATION TECHNOLOGY

### RFP Evaluation Criteria Cover Sheet

Request for Proposal RFP # \_\_\_\_\_

Evaluation

for

\_\_\_\_\_ (RFP Project Name)

The attached process has been reviewed by the Proposal Review Team:

Name \_\_\_\_\_

Proposal Review Team Chairman

SIGNATURE:

DATE:

Name, Area representing

\_\_\_\_\_

\_\_\_\_\_

Approved:

\_\_\_\_\_

Jacqueline Shirley, Director

DOIT – IT Contracts and Purchasing Division

## Exhibit 7 - RFP EVALUATION INTERIM REPORT

DATE: \_\_\_\_\_

FROM: (RFP Project Title) \_\_\_\_\_ Proposal Review Team

TO: DOIT - Director, Contracts and Purchasing

AGENCY NAME: \_\_\_\_\_

RFP #: \_\_\_\_\_

RFP Project Title: \_\_\_\_\_

On (date of RFP release) the Department of Information Technology issued a Request for Proposal for a (Name of RFP Project) on behalf of the (name of Requesting Agency). The response due date was (date RFP responses were due). (# of responses rec'd) responses were received. DOIT's IT Contracts and Purchasing division conducted an Administrative review of the responses. As a result of that review (# of responses disqualified administratively, if any) of responses were disqualified administratively. Leaving (# of responses passing administratively review) to be reviewed based on Business and Technical merit and against the pre-defined evaluation criteria.

The Proposal Review team members evaluated the responses from the Business and Technical standpoint against a threshold of (# of points designated as the Business and Technical threshold) points. The following represents the results of that evaluation:

\_\_\_\_\_  
(name of firm passing B & T threshold)      ( # of B & T points rec'd )

\_\_\_\_\_  
(name of firm passing B & T threshold)      ( # of B & T points rec'd )

\_\_\_\_\_  
(name of firm passing B & T threshold)      ( # of B & T points rec'd )

Based on the information above, the Proposal Review Team respectfully requests that DOIT, IT Contracts and Purchasing area release to them copies of the cost proposals from the above referenced vendors.

Sincerely,

\_\_\_\_\_  
Proposal Review Team Chairperson

APPROVED: \_\_\_\_\_  
Jacqueline Shirley, Director Contracts and Purchasing

# Exhibit 8 - RFP EVALUATION FINAL REPORT

DATE: \_\_\_\_\_

FROM: (Name of RFP Project)\_\_\_\_\_ Proposal Review Team

TO: DOIT - Director, Contracts and Purchasing

AGENCY NAME: \_\_\_\_\_

RFP #: \_\_\_\_\_

RFP Project Title: \_\_\_\_\_

On (date of RFP Evaluation Interim Report) the Proposal Review Team for the (RFP Project Title) submitted an RFP Evaluation Interim Report requesting to open Costs for (names of all Vendors that costs were requested to be opened for.) The report was approved by the Director of Contracts and Purchasing. An administrative review of the costs was performed by DOIT CPD. As a result of that review (# of responses disqualified administratively, if any) were disqualified administratively. Leaving (#of cost proposals passing administrative review) costs proposals to be reviewed against the pre-defined Cost Proposal evaluation criteria. Copies of Cost proposals were given to (name of Proposal Review Team Chairperson). The Proposal Review Team evaluated the costs based on the pre-defined cost review criteria. The maximum number of cost points available were (# points available for cost proposal scoring). The following represents the results of that evaluation:

_____	_____	_____	_____
(name of firm)	(# of Cost points rec'd)	(# of B & T points rec'd)	(Total Score)
_____	_____	_____	_____
(name of firm)	(# of Cost points rec'd)	(# of B & T points rec'd)	(Total Score)
_____	_____	_____	_____
(name of firm)	(# of Cost points rec'd)	(# of B & T points rec'd)	(Total Score)

Based on the information above, the Proposal Review Team respectfully requests that DOIT, IT Contracts and Purchasing offer (name of highest overall scoring vendor) the right to negotiate a contract with the State of Connecticut.

Sincerely,

\_\_\_\_\_  
Proposal Review Team Chairperson

APPROVED: \_\_\_\_\_  
Jacqueline Shirley, Director Contracts and Purchasing