

Amendment #1 to the Request for Proposals (RFP)

Issued by:

The State of Connecticut Children's Trust Fund (CTF)

Parent Leadership Training (PLT)

Proposer's Authorized Representatives

Please complete the *Proposer's Authorized Representatives* form in response to section B of the RFP Instructions, *Proposer's Authorized Representatives*. The form is available at www.ct.gov/ctf under the "RFPs & Contracting" link.

Budget Narrative

Please complete the *Budget Narrative* form in response to Section 6 - Proposed Cost. The form is available at www.ct.gov/ctf under the "RFPs & Contracting" link.

Questions and Answers

General

1. Question: Are there any changes from the previous Parent Leadership Training RFP?

Answer: There are no significant differences between this RFP (CTF RFP December 28, 2007) and the previous RFP (CTF RFP August 20, 2007).

2. Question: How can proposers access the regional map?

Answer: The map is available on the Children's Trust Fund web site at www.ct.gov/ctf under the "RFPs and Contracting" link. Scroll down to "(3) Parent Trust Fund," "Resources," and click on "Forms."

3. Question: Must the proposer serve the entire region or only a designated area (city, neighborhood, etc.)?

Answer: The proposer may serve a designated area within a region.

4. Question: Is there an anticipated number of awards per region?

Answer: No

5. Question: How were the hourly rates referenced on page 3 of the RFP determined? And what if a proposer's actual program costs exceed the total award?

Answer: The hourly rates are comparable to current CTF parent leadership training awards. Actual program costs that exceed the total award would be considered in-kind contributions.

6. Question: Is the contract for the full year, 7/1/2008 to 6/30/2009?

Answer: Yes

7. Question: Is the signature required on page 5 of the Notification to Bidders form the only signature for this? (There was another signature page in the previous Parent Leadership Training RFP.)

Answer: The signature required on page 5 of the Notification to Bidders form is the only signature required for the Notification to Bidders form. The form has been revised since the previous Parent Leadership Training RFP.

8. Question: Is there a required format for the Letter of Intent?

Answer: No

9. Question: Can proposers still submit a proposal if they do not submit a Letter of Intent?

Answer: Yes; however, the purpose of the letter of intent is to enable CTF to send interested proposers new information concerning the RFP. Interested proposers that do not submit a letter of intent by February 27, 2008, will not be sent new information regarding the RFP.

10. Question: Can a proposer submit a maximum of two proposals for the same community, for a total of four statewide?

Answer: An organization can submit **one proposal** for either **one or two courses** in the **same region**, or **two proposals** for **one or two courses** in **each of two different regions**.

11. Question: Can an organization submit one proposal for a Parent Leadership Training Institute (PLTI) course (\$17,600) and another proposal for two PEP courses (\$8,000)?

Answer: An organization can submit **one proposal** for either **one or two courses** in the **same region**, or **two proposals** for **one or two courses** in **each of two different regions**.

12. Question: Can an organization submit two separate proposals for a Spanish People Empowering People (PEP) course and an English People Empowering People (PEP) course?

Answer: An organization can submit *one proposal* for either *one or two courses* in the *same region*, or *two proposals* for *one or two courses* in *each of two different regions*.

13. Question: If a proposer is applying for less than \$50,000, the Consulting Agreement Affidavit is not required, correct?

Answer: That is correct.

14. Question: Does the Consulting Agreement Affidavit (Form 5) apply to facilitators?

Answer: Yes, if the facilitators are not employees of the proposer.

15. Question: Must the Consulting Agreement Affidavit be notarized if the proposer completes the shaded area only?

Answer: Yes

16. Question: What is the nondiscrimination form referenced in Section T, on page 10 of the RFP and where is it located?

Answer: More information about this requirement and forms are available at www.ct.gov/opm, under the "Nondiscrimination Certification" link.

17. Question: Are the annual financial statements included in the 60-page limit?

Answer: No

18. Question: What is the difference between the organization chart referenced in paragraph c, *Organization Chart*, of Section 3 - Organizational Profile, on page 11, and the functional chart referenced in Section 4(B) - Statement of Work - Parent Leadership Training, on page 12 of the RFP?

Answer: The organizational chart referenced on page 11 should indicate the reporting relationship between the individual who will supervise the parent leadership training program staff and the organization's management. The functional chart referenced on page 12 should indicate the reporting relationships between the parent leadership training program supervisor and other parent leadership training program staff.

19. Question: Is it okay to submit one financial statement?
Answer: If a proposer has been in business for less than two years.
20. Question: Is there a form for the Conflict of Interest statement?
Answer: No form is provided.
21. Question: Will current CTF Parent Leadership Training contractors receive priority consideration for funding through this RFP?
Answer: No
22. Question: How can current Parent Leadership Training contractors obtain the ratings of their previous proposals prior to the submission deadline for this RFP?
Answer: Ratings of previous proposals are available on request.
23. Question: Which takes precedence if there is an inconsistency between the parameters of the contract and the requirements of the curriculum?
Answer: The contract.

Parent Leadership Training

24. Question: What is the continuous quality improvement (CQI) process referenced on page 2 of the RFP?
Answer: Continuous Quality Improvement (CQI) is an effort to monitor and track performance of the program sites.
25. Question: What are the pre-service and in-service training requirements referenced on page 2 of the RFP?
Answer: The proposer must meet the training requirements of the parent leadership training curriculum selected.
26. Question: What are the recognized parent leadership models referenced on page 3 of the RFP?
Answer: The parent leadership training models are available on the Children's Trust Fund web site at www.ct.gov/ctf under the "RFPs & Contracting" link.

27. Question: If a curriculum is used that is shorter in length, can more sessions be offered, for example, PDP 10 weeks (2) sessions PLTI 23 weeks (1 session)?

Answer: Yes, if it meets the requirements of the curriculum.

28. Question: If a proposer requests funding for two separate courses and one of those courses uses a new curriculum, is it an all or nothing proposition? In other words, if the new curriculum is not deemed "good enough" would that disqualify the proposal?

Answer: No

29. Question: Can the proposer request funding for the People Empowering People (PEP) children's program if the proposer is providing activities for the children, but the proposer is not implementing a children's curriculum?

Answer: Proposers have the option to offer child care. Expenses for on-site child care and stipends for in-home child care may be included in the budget. Costs related to child care must be included in the hourly fee.

30. Question: Where should the proposer describe the actual programming? Section 4 (B) of the RFP just references a rationale explaining why the selected curriculum should be considered a recognized parent leadership training curriculum.

Answer: The proposer should describe the actual programming in Section 4 (B).

31. Question: How will CTF rate parent leadership training curricula that are not listed in the reference material on your website?

Answer: The proposer must provide a rationale explaining why the selected curriculum should be considered a recognized parent leadership training curriculum and include an outline of the curriculum.

32. Question: How strict is a timeline written in March 2008 and implemented in January 2009?

Answer: Any changes in the timeline during the course of the project must be approved by CTF.

33. Question: The facilitators are assigned by another agency. How should this be addressed in Section 5 - Personnel Resources?

Answer: The staffing plan should discuss how and when your organization will assign facilitators and orient them to your organization, the community, and their roles and responsibilities.

34. Question: Can a proposer submit a proposal before meeting the requirements for the parent leadership training model selected?

Answer: Proposers must agree to meet all requirements of CTF and the recognized parent leadership training curriculum. Some approved curricula are copyrighted and require permission to use. For example, the Parent Leadership Training Institute and Parent Seeking Educational Excellence (SEE) require a Memorandum of Agreement (MOA) from the copyrighter prior to use.

35. Question: What is the required number of workshop participants?

Answer: The proposer will not begin a course with fewer than eight participants or offer a course with more than 24 participants.

LEGAL NOTICE

Request for Proposals for Services

The State of Connecticut, Children's Trust Fund, is seeking proposals to support parent leadership training that offers participants an opportunity to develop advocacy skills.

The intent of this request is to identify public and private non-profit organizations with the necessary expertise to provide parent leadership training. Successful proposers will be responsible for providing parent engagement and leadership training in the State of Connecticut.

The request for proposals is available (1) on the State Contracting Portal at www.das.state.ct.us/Purchase/Portal/Portal_Home.asp; (2) on the Children's Trust Fund's website at www.ct.gov/ctf under the "RFPs & Contracting" link; or (3) from Jacqueline Lewis, Children's Trust Fund, 410 Capitol Ave., Hartford, Connecticut 06106. Telephone (860) 418-8765, Fax (860) 418-8780, E-Mail ctf@ct.gov. A proposers' conference will be held on February 14, 2008, from 1:00 to 3:00 P.M., at 470 Capitol Avenue, Conference Room C, Hartford, CT 06106. Deadline for submission of proposals is 12:00 P.M., March 27, 2008.

TO BE PUBLISHED

- CT Post
- Danbury News Times
- Hartford Courant
- Herald Press for Middletown, Bristol & New Britain
- Manchester Journal Inquirer
- New Haven Register
- New London Day
- Norwalk Hour
- Norwich Bulletin
- Stamford Advocate
- Torrington Register
- Waterbury Republican
- Willimantic Chronicle
- CTF WEBSITE
- State Contracting Portal

REQUEST FOR PROPOSALS (RFP)
BY
THE STATE OF CONNECTICUT
CHILDREN'S TRUST FUND
Parent Leadership Training

BACKGROUND

The State of Connecticut, Children's Trust Fund (CTF) is seeking proposals to support parent leadership training for parents to become skilled advocates and strong voices for children at the local, state or national level.

In connection with this program, CTF is seeking to identify public or private non-profit organizations with the necessary expertise to support parent leadership training. Successful proposers will be responsible for offering community-based training based on a recognized parent leadership training curriculum as outlined in the scope of services.

The funding for the parent leadership training program is authorized in accordance with Sec. 17a-50 of the Connecticut General Statutes provisions regarding the Parent Trust Fund. The requested services will be awarded through a competitive procurement process and funded by State dollars authorized through the Connecticut General Assembly and the Governor's Early Childhood Cabinet, and private funds from the William Casper Graustein Memorial Fund.

SCOPE OF SERVICES

- Provide a maximum of two parent leadership training courses in accordance with a recognized parent leadership-training curriculum within one established region. (See attached map.)
- Comply with all research and data collection requirements of the Children's Trust Fund.
- Participate in collaborative networks organized for these programs.
- Participate in the continuous quality improvement (CQI) process.
- Complete all pre-service and in-service training requirements based on the parent leadership training curriculum.

CONTRACTOR QUALIFICATIONS

Eligible proposers are public or private non-profit provider organizations. Proposers must have (1) experience and demonstrated success working with parents; (2) sufficient managerial and administrative support staff to implement the required training in the proposed service area(s), including the ability to meet data submission requirements (see Parent Trust Fund Program Report-www.ct.gov/ctf); (3) the ability to work cooperatively and collaboratively with other agencies; and (4) the capacity to provide their staff with access to training.

At time of contract, successful proposers will be required to show evidence of incorporation in the State of Connecticut, having obtained a Certificate of Authority from the Secretary of State, or other authorization to conduct business in the State of Connecticut in order to enter into a contract with the Children's Trust Fund for these purposes.

FUNDING

CTF will award up to \$530,000 in contracts to qualified proposers to offer parent leadership training courses. CTF intends to divide the funding equally between three regions. (See attached map.) CTF reserves the right to determine how funds will be distributed if one or more regions has excess funds available.

CTF will award contracts for a minimum of \$4,000 and a maximum of \$22,000 for one parent leadership course, or a minimum of \$8,000 and a maximum of \$44,000 for two courses.

The length of the course must correspond to the number of sessions required for the proposed curriculum. Examples are provided below.

Proposers must submit an application indicating a total grant request based on the following hourly rates: *

- The rate for any parent leadership training course is \$200 per hour of training.
- The rate for any parent leadership training course including a curriculum-based children's program is \$250 per hour of training.

Proposers must base the total budget on the hourly rate as applied to the course they are proposing. Proposals that exceed the hourly rate may not be considered.

Please use the table below as a guide:

Curriculum	Hours per session	Weeks	Total Hours	Cost per Hour	TOTAL
Parent Leadership Training Institute (PLTI)	4 (plus 1 day retreat)	20	88	\$200.00	\$17,600
Child Leadership Training Institute (CLTI)	4 (plus 1 day retreat)	20	88	\$50.00	\$4,400
People Empowering People (PEP)	2	10	20	\$200.00	\$4,000
Children's program – (PEP)	2	10	20	\$50.00	\$1,000
Parent Seeking Educational Excellence (SEE)	3 (plus 1 day retreat)	12	42	\$200.00	\$8,400
Children's program – (Parent SEE)	3 (plus 1 day retreat)	12	42	\$50.00	\$2,100

The above are examples. The choice of curriculum is limited to recognized parent leadership training models only.

* Note: Proposers have the option to offer child care. Cost related to child care must be included in the hourly fee.

CONTRACT PERIOD

Contracts will be awarded for a one year period. CTF anticipates that contracts will start on or about July 1, 2008 and end June 30, 2009.

SUBMISSION DEADLINE

The due date for proposals is 12:00 P.M. on March 27, 2008. Proposals must be received in the required packaging and labeling at the Children's Trust Fund, 410 Capitol Avenue, Hartford, CT 06106 (ATTN: Jacqueline Lewis) not later than the deadline. Late submissions will not be accepted. Faxed or e-mailed proposals will not be accepted.

No additions or changes to the original proposal will be allowed after submittal. While changes are not permitted, clarification of proposals may be required by CTF at the proposer's sole cost and expense.

Successful proposers will be notified on or around April 24, 2008.

REVIEW CRITERIA

A Screening Committee comprised of CTF staff or other designees as deemed appropriate will evaluate qualified proposals submitted in response to this RFP and recommend finalists for consideration. The Screening Committee shall evaluate all proposals that meet the Minimum Submission Requirements.

The following criteria shall be those utilized in the selection process. They are presented as a guide for the proposer in understanding CTF's requirements and expectations for this project and are not necessarily presented in order of importance.

1. *STATEMENT OF WORK.* Emphasis will be on grasp of the complexities involved, soundness of approach, and the quality of the overall proposal including the proposer's ability to complete the steps and produce the necessary products within the required time frame and within the budget as stated in the proposal.
2. *PROPOSED COST.*
3. *ORGANIZATIONAL PROFILE.*
4. *PERSONNEL RESOURCES.* Background, qualifications, and previous experience of personnel to be assigned to the project and their demonstrated competence, experience, and expertise in the type of work to be performed.
5. *DEMONSTRATED COMMITMENT TO AFFIRMATIVE ACTION.*

Regulations of Connecticut State Agencies Section 46a-68j-30(10) require an agency to consider the following factors when awarding a contract that is subject to contract compliance requirements:

- (a) the proposer's success in implementing an affirmative action plan;
- (b) the proposer's success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Regulations of Connecticut State Agencies, inclusive;
- (c) the proposer's promise to develop and implement a successful affirmative action plan;

- (d) the proposer's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and the proposer's promise to set aside a portion of the contract for legitimate minority business enterprises.

RFP INSTRUCTIONS

- A. *Official Agency Contact.* Proposers are required to limit their contact regarding this RFP to the person named herein. The Official Agency Contact for the purpose of this RFP is:
 Jacqueline Lewis
 Secretary
 Children’s Trust Fund
 410 Capitol Avenue
 Hartford, Connecticut 06106
 TEL. (860) 418-8765
 FAX: (860) 418-8780
 E-MAIL: ctf@ct.gov

CTF reserves the right to appoint an alternate Official Agency Contact if necessary. A formal amendment will be issued to provide contact information for the alternate Official Agency Contact. Proposers will be required to limit their contact regarding the RFP to the person named therein. The amendment will be posted on the State Contracting Portal at www.das.state.ct.us/Purchase/Portal/Portal_Home.asp. Proposers may also access the "RFPs & Contracting" link on the State of Connecticut Children's Trust Fund web site at www.ct.gov/ctf to view the amendment.

- B. *Proposer’s Authorized Representatives.* Proposers must designate an authorized representative and one (1) alternate. Provide the name, title, address, telephone and facsimile numbers, e-mail address, and normal working hours for each representative. This information must be submitted to the Official Agency Contact with the proposal.
- C. *Communications Notice.* All communications with CTF or any person representing CTF concerning this RFP are strictly prohibited, except as permitted by this RFP. Any violation of this prohibition by proposers or their representatives may result in disqualification or other sanctions, or both.
- D. *Timeline.* The following timeline, up to and including the deadline for submitting proposals, shall be changed only by an amendment to this RFP. Dates after the submittal deadline for proposals are target dates only.

December 28, 2007	RFP Released
February 14, 2008	Proposers’ Conference – Attendance is strongly encouraged.
February 20, 2008	Deadline for Inquiries
February 27, 2008	Letter of Intent must be submitted
March 5, 2008	Anticipated Release of Official Answers to Inquiries
March 27, 2008	Proposals Due
April 7 - April 11, 2008	Optional Meetings with Proposers
April 24, 2008	Anticipated Selection of Contractor
May 21, 2008	Anticipated Start of Contract Negotiations
July 1, 2008	Anticipated Start of Contract

- E. *Letter of Intent.* Any proposer intending to respond to this RFP must submit a Letter of Intent to the Official Agency Contact by U.S. mail, facsimile, or e-mail not later than February 27, 2008. The letter of intent is non-binding in that the proposer is not required to submit a proposal. The purpose of the letter of intent is to enable the agency to send interested proposers new information concerning this RFP.

Interested proposers that do not submit a letter of intent by February 27, 2008 will not be sent new information concerning this RFP.

- F. *Proposers' Conference.* A proposers' conference will be held on February 14, 2008, from 1:00 to 3:00 P.M., at 470 Capitol Avenue, Conference Room C, Hartford, CT 06106. For advance registration, please contact the Official Agency Contact. Attendance is strongly encouraged. Attendees will be allowed to ask oral questions at the conference. Oral answers given at the conference by CTF will be tentative and non-binding. Written responses to all questions asked at the proposers' conference will be posted on the Children's Trust Fund website at www.ct.gov/ctf under the "RFPs & Contracting" link not later than March 5, 2008. Written responses will also be sent to interested proposers who submit a letter of intent by February 27, 2008.
- G. *Inquiry Procedures.* All questions regarding this RFP must be directed, in writing, to the Official Agency Contact by 12:00 P.M. on February 20, 2008. **The early submission of questions is encouraged.** A formal amendment to this RFP will be issued not later than March 5, 2008 to provide answers to questions. The amendment will be posted on the State Contracting Portal at www.das.state.ct.us/Purchase/Portal/Portal_Home.asp. Proposers may also access the "RFPs & Contracting" link on the State of Connecticut Children's Trust Fund website at www.ct.gov/ctf to view the amendment. The amendment will also be sent to interested proposers who submit a letter of intent by February 27, 2008. Only general questions about the parent leadership training, the RFP, or the procurement process will be answered. Questions deemed inappropriate will not be addressed. CTF reserves the right to make this determination.
- H. *Resources.* CTF encourages proposers to read the following information related to this project:
- Parent Leadership Models
 - Parent Trust Fund Program Report
 - Course Start-Up Form
- To access the information:
 Go to: <http://www.ct.gov/ctf>
 Click on: RFP's & Contracting
 Click on: Parent Trust
 Click on desired resource link
- I. *Packaging and Labeling Requirements.* All proposals must be submitted in sealed packages. All proposals must be addressed to the Official Agency Contact. The name and address of the proposer must appear in the upper left hand corner of the envelope or package. An original (clearly identified as such) and four (4) copies of the proposal must be submitted. The proposer must sign the proposal. Unsigned proposals will be rejected. Proposals transmitted by facsimile or e-mail will not be accepted or reviewed.
- J. *Proposals Due.* An original and four (4) copies of the proposal must be received no later than 12:00 P.M. on March 27, 2008. **Postmark date will not be considered the basis for meeting any submission deadline.**
- K. *Minimum Submission Requirements.* At a minimum, proposals must be (1) submitted before the deadline, (2) satisfy the packaging and labeling requirements, (3) follow the required format, (4) be complete, (5) include all required documentation, and (6) be duly executed by signing CTF's Agreements and Assurances form. Proposals that fail to meet these minimum submission requirements may be disqualified and not reviewed further.
- L. *Multiple Submissions.* A proposer may submit a maximum of two (2) proposals for the same region or two different regions. Each proposal must be self-contained and packaged separately.

- M. *Screening Committee.* A Screening Committee comprised of CTF staff or other designees as deemed appropriate will evaluate qualified proposals submitted in response to this RFP and recommend finalists for consideration. The Screening Committee shall evaluate all proposals that meet the Minimum Submission Requirements. The Executive Director of the Children's Trust Fund will make the final selection.

- N. *Meetings with Proposers.* At its discretion, CTF may convene meetings with proposers in order to gain a fuller understanding of their proposals. The meetings may involve demonstrations, interviews, presentations or site visits. If CTF decides meetings are warranted, the Official Agency Contact will contact proposers to make an appointment. Any such meetings are tentatively scheduled for the week of April 7 – April 11, 2008. During such meetings, proposals may not be supplemented, changed or corrected in any way. No comments about other proposers or proposals will be permitted. Any and all costs associated with such meetings will be entirely at the proposer's expense.

- O. *Contractor Selection.* It is CTF's intention to notify the successful proposer(s) on or about April 24, 2008 and to initiate this engagement as soon as possible thereafter.

RFP CONDITIONS

All proposers must be willing to adhere to the following conditions and must positively state this in the proposal by completing the **Agreements and Assurances form**.

- A. The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to or operation of its programs, services or activities.
- B. All proposals in response to this RFP are to be the sole property of the State. Proposers are encouraged **NOT** to include in their proposals any information that is proprietary. All materials associated with this procurement process are subject to the terms of State laws defining freedom of information and privacy and all rules, regulations, and interpretations resulting from those laws. The Connecticut Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen unless the content of the document falls within certain categories of exemption. An example of an exemption is a "trade secret" as defined by Connecticut General Statutes Section 1-210(b)(5)(A). Confidential information must be separated and isolated from other material in the proposal, labeled **CONFIDENTIAL**, and enclosed in a separate envelope.

If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence, by specifically and clearly marking said documentation as **CONFIDENTIAL**, CTF will endeavor to keep said information confidential to the extent permitted by law. CTF, however, has no obligation to initiate, prosecute or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. As set forth below, the proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. In no event shall CTF or any of its staff have any liability for disclosure of documents or information in the possession of CTF which CTF or such staff believes to be required pursuant to the FOIA or other requirements of law.

IMPORTANT NOTE: If the information is not readily available to the public from other sources and the proposer submitting the information requests confidentiality, then the information generally is considered to be "given in confidence." A convincing explanation and rationale sufficient to justify each exemption from release consistent with Section 1-210(b) of the Connecticut General Statutes shall be prepared by the proposer and shall accompany the proposal. The rationale and explanation shall be simply stated in terms of the prospective harm to the competitive position of the proposer that would result if the identified information were to be released and the proposer shall state the reasons why it believes the materials are legally exempt from release pursuant to Section 1-210(b) of the Connecticut General Statutes.

- C. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of the RFP is to be the sole property of CTF.
- D. Timing and sequence of events resulting from this RFP will ultimately be determined by CTF.
- E. The proposer's proposal shall remain valid for a period of 180 days after the closing date for the submission and may be extended beyond that time by mutual agreement.
- F. All proposed costs must be fixed through the period of the agreement. No cost submissions that are contingent on a State action will be accepted.
- G. CTF may amend or cancel this RFP, prior to the due date and time, if CTF deems it to be necessary, appropriate or otherwise in the best interests of CTF. All amendments to this RFP will be posted on the State Contracting Portal found at www.das.state.ct.us/Purchase/Portal/Portal_Home.asp. Proposers may also access the "RFPs & Contracting" link on the State of Connecticut Children's Trust Fund's web site at www.ct.gov/ctf to view the posted amendments. Failure to adapt a proposal in accordance with the instructions contained in the amendments may result in a proposal not being considered.

- H. The personnel identified in the proposer's response to this RFP will be the persons actually assigned to the project. Any additions, deletions or changes in personnel from the proposal during the course of the project must be approved by CTF with the exception of personnel who have terminated employment. Replacements for personnel who have terminated employment are subject to approval by CTF. At its discretion CTF may require the removal and replacement of any of the proposer's personnel who do not perform adequately regardless of whether they were previously approved by CTF.
- I. Any costs and expenses incurred by proposers in preparing or submitting proposals are the sole responsibility of the proposer.
- J. A proposer must be prepared to present evidence of experience, ability, service facilities, and financial standing necessary to satisfactorily meet the requirements set forth or implied in the proposal.
- K. No additions or changes to the original proposal will be allowed after submission. While changes are not permitted clarification of proposals may be required by CTF at the proposer's sole cost and expense.
- L. Proposers may be asked to give demonstrations, interviews, presentations or further explanation to the RFP Screening Committee.
- M. The proposer represents and warrants that the proposal is not made in connection with any other proposer and is in all respects fair and without collusion or fraud. The proposer further represents and warrants that the proposer did not participate in any part of the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no agent, representative or employee of CTF participated directly in the proposer's proposal preparation.
- N. All responses to the RFP must conform to instruction. Failure to include any required signatures, provide the required number of copies, meet deadlines, answer all questions, follow the required format or failure to comply with any other requirements of this RFP may be considered appropriate cause for rejection of the response.
- O. The proposer accepts CTF's standard contract language (Parts I & II) for the purchase of service (POS). The standard contract is available on the Children's Trust Fund's web site at www.ct.gov/ctf under the "RFPs & Contracting" link.
- P. The proposer will not be required to furnish a performance bond upon award of the contract.
- Q. This RFP is not an offer and neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of CTF or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and CTF and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. CTF shall assume no liability for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by CTF and by the Attorney General's Office. The contract may be amended only by means of a written instrument signed by CTF, the proposer, and the Attorney General's Office.
- R. Pursuant to Connecticut General Statutes § 4a-81, bids or proposals for State contracts with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall include a **Consulting Agreement Affidavit** (Form 5) attesting to whether any consulting agreement has been entered into in connection with the bid or proposal. Such affidavit shall be required if any duties of the consultant included communications concerning business of such State agency, whether or not direct contact with a State agency, State or public official or State employee was expected or made. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any

executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of Chapter 10 of the general statutes as of the date such affidavit is submitted in accordance with the provisions of Connecticut General Statutes § 4a-81.

NOTE: Upon contract execution, proposers are required to complete and submit a **Gift and Campaign Contribution Certification** (Form 1). A **Gift and Campaign Contribution Certification** (Form 1) is also required for each year that the contract is in place. More information about these requirements and forms is available at www.ct.gov/opm, under the "Ethics Affidavits" link.

- S. With regard to a State contract as defined in P.A. 07-1 having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this submission in response to the State's solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising prospective State contractors of State campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See SEEC Form 11 attached.
- T. Pursuant to Connecticut General Statutes Sections 4a-60(a)(1) and 4a-60a(a)(1), as amended by Public Act 07-245 and Sections 9 and 10 of Public Act 07-142, every Contractor is required to provide the State with documentation in the form of a company or corporate policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of such contractor to support the Contractor's nondiscrimination agreements and warranties which are included in such Contractor's contract pursuant to said statutes. Copies of two "nondiscrimination certification" forms (one for businesses and one for individuals) that will satisfy these requirements may be found at www.ct.gov/opm, under the "Nondiscrimination Certification" link. The applicable certification form must be signed by an authorized signatory of the Contractor (or, in the case of an individual contractor, by the individual) and submitted to the awarding State agency at the time of contract execution.

RIGHTS RESERVED TO CTF

CTF reserves the right to award in part, to reject any and all proposals in whole or in part for misrepresentation or if the proposer is in default of any prior State contract, or if the bid or proposal limits or modifies any of the terms and conditions and/or specifications of the RFP. CTF also reserves the right to waive technical defects, irregularities, and omissions if, in its judgment, the best interest of CTF will be served.

CTF reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on the part of CTF shall not constitute a breach of contract on the part of CTF since the contract with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between CTF and the proposer.

REQUIRED FORMAT FOR PROPOSALS

All proposals must follow the required format and address all requirements listed in the prescribed order using the prescribed numbering system. Failure to follow the required format may result in disqualification of a proposal.

- Page Size: 8 ½ x 11, Portrait
- Font Size: 12 pitch

- Font Type: Times New Roman
- Margins: 1" minimum on the top, bottom, and sides of all pages
- All pages must be numbered and single-sided.
- Maximum number of pages: sixty (60) including all required forms
- Do not use material dependent on color distinctions, animated electronics, etc., in proposals.
- Do not place proposals in notebooks or binders. Metal clips may be used to bind pages together.
- Do not include attachments other than those requested or required by this RFP.

Section 1 – TABLE OF CONTENTS

Proposers must include a Table of Contents that lists sections and subsections with page numbers that follow the organization and sequence for this proposal as required.

Section 2 – PROPOSER INFORMATION

Complete the following forms and include any other requested documentation that may pertain to your legal status. The forms are redundant in certain areas. However, each form satisfies a solicitation or contracting requirement of the State and the redundancy cannot be avoided at this time. All forms are available at www.ct.gov/ctf under the "RFPs & Contracting" link.

- a. State of Connecticut, Agency Vendor Form (SP-26NB)
- b. IRS, Request for Taxpayer Identification Number and Certification, Form W-9
- c. CHRO Notification to Bidders

Section 3 - ORGANIZATIONAL PROFILE

- a. *Qualifications.* Provide an overview of your organization including years in operation, mission, and the current range of services that the organization provides. Describe how your organization meets the required contractor qualifications of this RFP: (1) experience and demonstrated success working with parents; (2) sufficient managerial and administrative support to implement the parent leadership training required by this RFP in the proposed service area including the ability to meet data submission requirements (see Parent Trust Fund Program Report form at www.ct.gov/ctf); (3) the ability to work cooperatively and collaboratively with other agencies; and (4) the capacity to provide staff with professional development or training opportunities.
- b. *Summary of Relevant Experience.* Provide a listing of projects that your organization has completed within the last three (3) years in the subject area, with emphasis on activities relevant and related to the proposed project.
- c. *Organization Chart.* Provide a diagram showing the hierarchical structure of functions and positions within your organization. Indicate on the diagram where the parent leadership trainer and other support staff assigned to this project will be located. See Section 5(b), Key Personnel, for more information about the supervision function.
- d. *Financial Condition.* Include the two (2) most recent annual financial statements prepared by an independent Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (USA). If a proposer has been in business for less than two years, such proposer must include any financial statements prepared by a Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (USA) for the entire existence of such firm or corporation.
- e. *References.* Include three (3) letters of reference from recent clients. For the purpose of this RFP, "client" is defined as an individual or group of individuals, corporation, organization or government entity that has purchased, used, been served by or otherwise benefited from the proposer's services. Provide the following information for each reference: name, title, name of company, company address, and telephone number.

Section 4 (A) - STATEMENT OF WORK - General

- a. *Service Area:* Provide a rationale explaining why your organization is well suited to provide services in the proposed region.

- b. *Agreements and Assurances.* Proposers must agree to meet all requirements of the Children’s Trust Fund and the recognized parent leadership training curriculum. Requirements are listed on the Children’s Trust Fund’s Agreements and Assurances Form available at www.ct.gov/ctf under the “RFPs & Contracting” link. The form must be signed by the organization’s Chief Executive Officer or another official with signatory authority and submitted with the proposal. Proposals submitted without a signed form will be deemed incomplete and will not be considered.

Section 4 (B) - STATEMENT OF WORK – Parent Leadership Training

Parent Leadership Training. Please describe the depth of experience and expertise of your agency to successfully implement the curriculum you have chosen for this training. Include how your training is integrated into the continuum of services available to parents through your agency and in the community. If the training curriculum is not included among the examples listed in the chart on page two, the proposer must provide a rationale explaining why the selected curriculum should be considered a recognized parent leadership training curriculum. Attach a functional chart that identifies where the training falls within your agency structure.

Section 4 (C) - STATEMENT OF WORK – Work Plan

- a. *Work Plan.* Develop a work plan describing **what steps** (activities, actions, tasks) your organization will take to implement the parent leadership training curriculum.
- b. *Methods.* Describe **how** your organization will accomplish each step of the work plan, providing a detailed explanation of the procedures or processes that will be used to attain the expected outcomes.
- c. *Timetable.* Include a proposed timetable indicating **when** each step of your organization’s proposed work plan for parent leadership training will be accomplished. Identify any significant milestones or deadlines.

NOTE: The work plan, methods, and timetable must be submitted in the format below. The step, method, and timetable shown here are for illustrative purposes only.

a. Step:	Locate space for parent leadership training groups
b. Method:	<ul style="list-style-type: none"> (1) Determine how much space is needed for the adult & children’s groups (2) Establish criteria for selecting a location (3) Inventory space available within service area (4) Select and secure space
c. Timetable:	September 15, 2009.

Section 5 – PERSONNEL RESOURCES

- a. *Staffing Plan.* Submit a staffing plan that discusses how and when your organization will hire staff and orient them to your organization, the program, the community, and their roles and responsibilities.
- b. *Key Personnel.* Provide the name and job title of the individual within your organization who will supervise the parent leadership training personnel. Provide a copy of this individual’s resume.

On the organization chart required in Section 3, indicate this individual's location within your organization.

- c. *Advisory Board.* Provide a narrative explaining how your board or advisory committee will be kept informed and updated on your progress.

Section 6 - PROPOSED COST

Include a cost proposal using the following budget forms: Available at www.ct.gov/ctf, under the "RFPs & Contracting" link:

- a. Direct Services Salaries
- b. Administrative Support Salaries
- c. Expenses
- d. Income Allocation
- e. Budget Narrative (no form provided): Prepare a narrative on your organization's letterhead that explains how the budget calculations and allocations were determined.

NOTE 1: The State of Connecticut is exempt from the payment of excise, transportation, and sales taxes imposed by the Federal Government and/or the State. Such taxes must not be included in the proposed cost.

NOTE 2: All proposed costs are subject to the standards developed by the State's Office of Policy and Management for the purchase of service (POS). The cost standards must be incorporated into the provisions of all new State awards effective on or after January 1, 2007. Be advised that your organization's cost proposal is subject to revision prior to award in order to ensure compliance with the cost standards. For more information, go to www.ct.gov/opm, click on "Publications," then click on "Purchase of Service (POS) Cost Standards."

Section 7 – CONFLICT OF INTEREST

Include a disclosure statement concerning any current business relationships (within the last three (3) years) that pose a conflict of interest as defined by Connecticut General Statutes Section 1-85.

Section 8 – AFFIDAVITS (Consulting Agreement Affidavit)

Complete and submit a **Consulting Agreement Affidavit** (Form 5) attesting to whether any consulting agreement has been entered into in connection with the proposal. The affidavit is available online at www.ct.gov/opm, under the "Ethics Affidavits" link.

CHECKLIST OF REQUIRED DOCUMENTATION

Section 1 – TABLE OF CONTENTS

Table of Contents (no form provided)

Section 2 – PROPOSER INFORMATION

Contact Information for Authorized Representative and One Alternate (no form provided)

Agency Vendor Form (SP-26NB)

(U.S.) Internal Revenue Service Form W-9

Notification to Bidders

Section 3 – ORGANIZATIONAL PROFILE

Organization Chart

Financial Statement(s)

Letters of Reference (3)

Section 4 – STATEMENT OF WORK

CTF Agreements and Assurances Form

Section 5 – PERSONNEL RESOURCES

Resumes

Section 6 – PROPOSED COST

Direct Services Staff Salaries 100A Budget Form

Administrative Support Staff Salaries 100B Budget Form

Expenses Budget Form (2 pages)

Income Allocation Budget Form

Budget Narrative (on your organization's letterhead)

Section 7 – CONFLICT OF INTEREST

Disclosure Statement

Section 8 – AFFIDAVITS

Consulting Agreement Affidavit Form (Form 5)

CHILDREN'S TRUST FUND

Parent Leadership Training RFP Issue Date: December 28, 2007

RATING INSTRUCTIONS

A Screening Committee comprised of CTF staff or other designees as deemed appropriate will evaluate qualified proposals submitted in response to this RFP and recommend finalists for consideration. The Screening Committee shall evaluate all proposals that meet the Minimum Submission Requirements.

Members of the Screening Committee must read the following documents in their entirety before rating proposals:

- Rating instructions
- Request for Proposals (and referenced documents)
- Parent Leadership Models

Committee members must direct any questions about the rating instructions, the RFP, and referenced documents to the Chair of the Screening Committee *prior to completing the rating sheet*.

A two-phase process will be used to review the proposals. A description of each step and instructions follows:

Phase 1: Minimum Submission Requirements

The first step of the review is to determine whether the proposal meets the minimum submission requirements. Any proposal that does not meet these requirements must be returned to the proposer and must not be considered for funding. The Screening Committee must specify in writing the reason(s) for returning the proposal, noting the specific requirements that were not met.

NOTE: The Chair may instruct the Official Agency Contact to contact any proposer who submitted a deficient proposal and allow the proposer one (1) business day to correct the deficiency. Failure to correct the deficiency within the one (1) business day allowed shall disqualify a proposal from further review.

Phase 2: Quality

Proposals that meet the minimum submission requirements will then be reviewed for quality. The quality review includes the demonstrated commitment to affirmative action, organizational profile, statement of work, personnel resources, and proposed cost.

See the RFP for the requirements of each section of the proposal. Rate each item in each section using the following scale:

- 0 = not rated (information is missing or incomplete)
- 1 = unsatisfactory
- 2 = fair
- 3 = satisfactory
- 4 = good
- 5 = excellent

Once all of the committee members have completed their individual rating sheets, committee members may meet to discuss their individual ratings. Members may present their rationale for a particular rating or ask other members to explain or clarify the reasons for their ratings. At the end of the discussion, committee members may amend their original rating sheets to reflect any changes they would like to make. Committee members may, but are not required to change their ratings as a result of the discussion.

For each proposal, the subtotals given by the individual committee members for each section must be added together and averaged [that is, sum of individual subtotals / number of committee members]. Any proposal with an average rating of two (2) or less in any section is not eligible for further consideration.

The weights for each section are then applied to each proposal. For each proposal, the weighted ratings of all subsections are then totaled. This total is the final rating of the proposal. The proposals must be rank ordered based on their final ratings.

NOTE: The weights will be determined by the CTF's Executive Directive prior to issuing the RFP and will be kept confidential until this point in the process, that is, when weights are applied to the proposals.

NOTE: Following the rating of proposals, the Screening Committee may invite proposers to meetings for the purpose of clarifying the contents of proposals. The introduction of supplemental or new information is not permitted. After holding any such meetings, Committee members may review their individual ratings of the proposals and may make any changes they deem necessary.

CHILDREN'S TRUST FUND

**Parent Leadership Training
RFP Issue Date: December 28, 2007**

RATING SHEET

Phase 1: MINIMUM SUBMISSION REQUIREMENTS

Check Yes or No for each requirement listed in the table below.
If No is checked for any requirement, stop the review and notify the Chair of Screening Committee.

Yes	No	Requirement
		Proposal received before deadline
		Proposal meets packaging and labeling requirements: <ul style="list-style-type: none"> - addressed to official state contact - submitted in sealed package - name & address of proposer appears on package - includes signed original - includes four copies
		Proposal follows the required format: <ul style="list-style-type: none"> - page size, font size, font type, margins & pagination - maximum number of pages - no material dependent on color distinctions or animations - no binders or notebooks - no prohibited attachments
		Proposal is complete (includes all eight sections)
		Proposal includes required documentation: <ul style="list-style-type: none"> - Table of Contents (see Section 1) - Contact Information for Authorized Representative and One Alternate - Agency Vendor Form (see Section 2) - IRS Form W-9 (see Section 2) - Notification to Bidders (see Section 2) - 2 Financial Statements (see Section 3) - 3 Letters of Reference (see Section 3) - Agreements and Assurances Form (see Section 4) - Direct Services Staff Salaries Budget (see Section 6) - Administrative Support Salaries Budget (see Section 6) - Expenses Budget (see Section 6) - Income Allocation Budget (see Section 6) - Budget Narrative (see Section 6) - Conflict of Interest Disclosure Statement (see Section 7) - Consulting Agreement Affidavit Form 5 (see Section 8)
		Total request does not exceed \$44,000

Phase 2: QUALITY

Using the rating sheets (below), rate each proposal on the following criteria: (1) Demonstrated Commitment to Affirmative Action; (2) Organizational Profile; (3) Statement of Work; (4) Personnel Resources; and (5) Proposed Cost. The criteria are not necessarily presented in order of importance. When done, calculate subtotals and total for each section.

(1) DEMONSTRATED COMMITMENT TO AFFIRMATIVE ACTION

Rate each item using the following scale:

- 0 = not rated (information is missing or incomplete)
- 1 = unsatisfactory
- 2 = fair
- 3 = satisfactory
- 4 = good
- 5 = excellent

RFP Section 2						Proposer Information
						d. Contract Compliance:
0	1	2	3	4	5	Success in implementing affirmative action plan
0	1	2	3	4	5	Success in developing an apprenticeship program
0	1	2	3	4	5	Promise to develop and implement affirmative action plan
0	1	2	3	4	5	Employment statistics indicating composition of workforce
0	1	2	3	4	5	Promise to set aside a portion of contract for minority businesses
						Subtotals for Section 2

(2) ORGANIZATIONAL PROFILE

Rate each item using the following scale:

- 0 = not rated (information is missing or incomplete)
- 1 = unsatisfactory
- 2 = fair
- 3 = satisfactory
- 4 = good
- 5 = excellent

RFP Section 3						Organizational Profile
						a. Qualifications:
0	1	2	3	4	5	Overview of organization
0	1	2	3	4	5	Experience and demonstrated success working with parents.
0	1	2	3	4	5	Sufficient managerial and administrative support
0	1	2	3	4	5	Ability to work cooperatively and collaboratively with other agencies
0	1	2	3	4	5	Capacity to provide staff with professional development and training
						b. Summary of Relevant Experience:
0	1	2	3	4	5	Projects completed within last 3 years in subject area
						c. Organization Chart:
0	1	2	3	4	5	Diagram showing hierarchical structure of functions and positions
0	1	2	3	4	5	Identification of specified functions
						d. Financial Condition:
0	1	2	3	4	5	Financial statements
						e. References:
0	1	2	3	4	5	Letters of reference (3)
						Subtotals for Section 3
						Total for Section 3

(3) STATEMENT OF WORK

Rate each item using the following scale:

- 0 = not rated (information is missing or incomplete)
- 1 = unsatisfactory
- 2 = fair
- 3 = satisfactory
- 4 = good
- 5 = excellent

RFP Section 4						Statement of Work
						(A) General
						a. Service Area:
0	1	2	3	4	5	Rationale why organization is well suited to serve area
						b. Agreements & Assurances Form
						(B) Parent Leadership Training Curriculum
0	1	2	3	4	5	Statement concerning training requirements, rationale for curriculum, methods, and timetable
						(C) Work Plan
						a. Work Plan:
0	1	2	3	4	5	Specified steps to implement parent leadership training requirements
						b. Methods:
0	1	2	3	4	5	Procedures or processes used to implement work plan
						c. Timetable:
0	1	2	3	4	5	Schedule for implementing work plan
0	1	2	3	4	5	Significant milestones or deadlines
						Subtotals for Section 4
						Total for Section 4

(4) PERSONNEL RESOURCES

Rate each item using the following scale:

- 0 = not rated (information is missing or incomplete)
- 1 = unsatisfactory
- 2 = fair
- 3 = satisfactory
- 4 = good
- 5 = excellent

RFP Section 5						Personnel Resources
						a. Staffing Plan:
0	1	2	3	4	5	Includes adequate staffing requirements
0	1	2	3	4	5	Staffing plan for hiring and orienting staff
						b. Key Personnel:
0	1	2	3	4	5	Name and job title of individual supervising trainer
0	1	2	3	4	5	Resume of individual supervising trainer
0	1	2	3	4	5	Organizational location of individual supervising trainer
						c. Advisory Board:
0	1	2	3	4	5	Narrative explaining how your board or committee will be kept informed
						Subtotals Section 5
						Total for Section 5

(5) PROPOSED COST

Rate each item using the following scale:

- 0 = not rated (information is missing or incomplete)
- 1 = unsatisfactory
- 2 = fair
- 3 = satisfactory
- 4 = good
- 5 = excellent

RFP Section 6						Proposed Cost
						a. Hourly rate formula
0	1	2	3	4	5	Proposal budget is accurately based on hourly rate formula
						b. Direct Services Salaries:
0	1	2	3	4	5	Completeness of listed expenses
0	1	2	3	4	5	Realistic projections
0	1	2	3	4	5	Effective use of funds
						c. Administrative Support Salaries:
0	1	2	3	4	5	Completeness of listed expenses
0	1	2	3	4	5	Realistic projections
0	1	2	3	4	5	Effective use of funds
						d. Expenses:
0	1	2	3	4	5	Completeness of listed expenses
0	1	2	3	4	5	Realistic projections
0	1	2	3	4	5	Effective use of funds
						e. Income Allocation:
0	1	2	3	4	5	Completeness of listed income
0	1	2	3	4	5	In-Kind Contributions
0	1	2	3	4	5	Other Funds
						f. Budget Narrative
0	1	2	3	4	5	Explanation of calculations and allocations
						Subtotals for Section 6
						Total for Section 6



STATE OF CONNECTICUT
STATE ELECTIONS ENFORCEMENT COMMISSION
20 Trinity Street Hartford, Connecticut 06106–1628

SEEC FORM 11

**NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF
CAMPAIGN CONTRIBUTION AND SOLICITATION BAN**

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined below):

Campaign Contribution and Solicitation Ban

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract* or *state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Duty to Inform

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

Penalties for Violations

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

Contract Consequences

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "State Contractor Contribution Ban."

Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.