

Amendment #2 to the Request for Proposals (RFP)

**Issued by:
The State of Connecticut Children's Trust Fund**

Research and Evaluation

Please note the following clarification of the "Funding" section and "Section 6 - Proposed Cost" of the RFP. The information below supersedes the information in the RFP.

FUNDING

CTF will award one contract with a maximum amount of \$550,000 per year for each of three years.

Section 6 - PROPOSED COST

Include a separate budget for each of three years using the following budget forms:

- 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: 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.

Amendment #1 to the Request for Proposals (RFP)

**Issued by:
The State of Connecticut Children's Trust Fund**

Research and Evaluation

Request for Proposals (RFP) and Contract Process

1. Question: If an organization is currently receiving funding from the Children's Trust Fund to provide Nurturing Families Network (NFN) services, is that organization eligible to apply in response to the CTF RFP on Research and Evaluation, which is due on February 7? This organization maintains a research department separate from its program departments.

Answer: No, as an independent contractor hired by the state, the organization is subject to Connecticut General Statutes Section 1-86e, which prohibits it from, among other things, accepting "another state contract which would impair the independent judgment of the person in the performance of the existing contract..."

2. Question: I've read through the details of the \$1.65 million contract to evaluate the Children's Trust Fund programs,
<http://www.das.state.ct.us/rfpdoc/CTF02/bids/ctf%20rfp%20research%20bundle.pdf>.

I can't attend the bidders meeting tomorrow, given a prior commitment. I'm not in a position to bid for the whole thing, but I could probably be helpful – in a focused, consulting way – to the eventual contractor, given my knowledge of these programs and my past prevention evaluation experience.

I'd really like for this evaluation to be good and helpful to CTF and the state.

If there is a legal, appropriate way for me to communicate to the bidders/eventual contractor my interest/availability to consult on this evaluation, please let me know. If not, that's OK...I understand.

Answer: Information concerning the selected proposer will be available after the contract has been awarded.

3. Question: During this Proposers' Conference, could you allow the attendees to introduce themselves and state what organization they are representing?

Answer: No

4. Question: Can the bidder contract out for specific services from other vendors/universities?

Answer: Yes

5. Question: Anticipated start of contract date is given on page 4 as of July 1, 2008. On page 6, paragraph O, the contract engagement can be initiated as soon as possible thereafter (March 4, 2008). Does this mean that the successful proposer might begin before July 1, 2008?

Answer: No

6. Question: How do affirmative action requirements affect the evaluation of the proposal if the contractor has no employees and is therefore legally not covered by affirmative action rules?

Answer: The Notification to Bidders posted on the Children's Trust Fund web site, www.ct.gov/ctf, under the "RFPs and Contracting" link must be completed and submitted with the proposal.

7. Question: The Bidder Contract Compliance Monitoring Report, page 4, Part IV, provides a chart for employment information. Can the bidder provide a Workforce Analysis that meets EEO-1 requirements that best represents the bidding organization?

Answer: The Notification to Bidders posted on the Children's Trust Fund web site, www.ct.gov/ctf, under the "RFPs and Contracting" link must be completed and submitted with the proposal.

8. Question: Is a proposed contractor required to fill out a Consulting Agreement Affidavit prior to the proposal application on February 7?

Answer: The Consulting Agreement Affidavit (Form 5) must be submitted with the proposal.

9. Question: Is it correct that the Gift and Campaign Contribution Certification is not required to be submitted with the proposal?

Answer: The Gift and Campaign Contribution Certification is not required to be submitted with the proposal; it is required to be submitted at contract execution.

10. Question: How will the authorized signatory expressly acknowledge receipt of the State Elections Enforcement Commission's notice in the proposal? See section S, page 9...

Answer: State Elections Enforcement Commission (SEEC) Form 11, Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Ban, is attached to the proposal. By signing the Children's Trust Fund Agreements and Assurances form (required to be submitted with the proposal) the proposer expressly acknowledges receipt of the notice.

11. Question: What is the requirement for line spacing?

Answer: The proposal should be single-spaced.

12. Question: Is the three-page Agreements and Assurances form included in the 60-page proposal limit? Are resumes included in the 60-page proposal limit?

Answer: Yes, the maximum number of pages is 60 including all forms except the financial statements.

13. Question: Can the audited financial statements be considered one page if they are bound?

Answer: The financial statements are not included in the 60-page limit.

14. Are forms, resumes, other documentation to be included in each sub-section of the proposal, i.e., 1 (a), (2) b., etc., or placed in the appendices, assuming they are placed under the appropriate sub-section of the narrative?

Answer: Required documents may be placed in the appendices provided the proposal does not exceed 60 pages including the appendices.

15. To whom should the letters of reference be addressed?

Answer: Jacqueline Lewis

16. Question: Should the steps section of the work-plan be formatted in a grid or stated in a narrative form?

Answer: The steps section of the work plan should be formatted in a grid.

17. Question: Do we have to present a work-plan for the entire three-year period with timetable or just the first year?

Answer: The proposal must include a work plan for the entire three-year period with timetable.

18. Question: Do you post RFP rating scores for each proposal so the proposer can see their rating?

Answer: No, they will be available on request after the contract has been awarded.

Scope of Services

19. Question: Could you please describe the following programs: Parent Trust Fund, Family Empowerment, Preventing Shaken Baby Syndrome, The Stranger you Know...How many program sites represent these programs? Is there a web site that describes these programs?

Answer: See "RFP Instructions," paragraph H, "Resource Library."

20. Question: The contract is for three years, but the system should be tracking people for five years. Is the five-year time frame related solely to the systems capacity or is there an inconsistency in the two time frames?

Answer: The system should have the capacity to track program participants for at least five years. The Children's Trust Fund will issue another Request for Proposals for the research and evaluation project in three years. The selected proposer at that time will be required to take over responsibility for tracking program participants.

21. Question: What are the expectations around quarterly reports?

Answer: Quarterly Program Reports and Quarterly Expenditure Reports must be submitted, in the format required by the Children's Trust Fund, within 30 days after the end of each calendar quarter.

22. Question: Under of scope of services - would you elaborate on what is meant by the "three specifically defined research projects per year?" Could you provide an example of a research project that is consistent with your expectations? Is that three research projects each year across all programs or three projects for each program?

Answer: The annual evaluation or observations made about program implementation prompt questions that require further research and analysis. The specifically defined research projects would seek answers to these questions. Areas of study might include staffing patterns, referrals for certain types of services, patterns of involvement of fathers in the program or trends on certain outcome measures. The requirement is for three research projects in each of the three years.

Cost Proposal

23. Question: Will the grant be subject to state annual cost of living increases or do staff raises need to be budgeted based on the fixed price contract?

Answer: Staff raises may be included in the second- and/or third-year budgets. Cost of living adjustments are at the discretion of the Governor.

24. Question: Is there a policy on A&G costs? If yes, what is the percentage?

Answer: There is no established policy on A&G costs.

Miscellaneous

25. Question: What is currently in place for program evaluation with any or all CTF programs?

Answer: See "RFP Instructions," paragraph H, "Resource Library."

26. Question: Are the explicit goals and objectives of each CTF program clearly defined?

Answer: Yes

LEGAL NOTICE

Request for Proposals for Services

The State of Connecticut, Children's Trust Fund (CTF), is seeking proposals to conduct comprehensive research and evaluation of its programs. CTF programs provide funding for community-based services, training, and technical assistance to prevent child abuse and neglect and to ensure the positive growth and development of children.

In connection with this project, CTF is seeking to identify a public or private organization with the necessary expertise to conduct performance monitoring, process evaluation, outcome evaluation, and specifically designed research of CTF programs. The successful proposer will be responsible for establishing and maintaining an extensive research and evaluation system including but not limited to: data collection systems that track program participants for a minimum of five years; program site visits; training and technical assistance for CTF and funded program staff; and quarterly and annual research and evaluation reports.

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 web site at www.ct.gov/ctf under the "RFPs & Contracting" link; or (3) from Jacqueline Lewis, Children's Trust Fund, 410 Capitol Avenue, Hartford, Connecticut 06106, Telephone (860) 418-8765, Fax (860) 418-8780, E-Mail jacqueline.lewis@ct.gov. Deadline for submission of proposals is 12:00 noon, February 7, 2008.

TO BE PUBLISHED IN:

CONNECTICUT POST
DANBURY NEWS TIMES
HARTFORD COURANT
HERALD PRESS (Bristol, Middletown, New Britain)
MANCHESTER JOURNAL INQUIRER
NEW HAVEN REGISTER
NEW LONDON DAY
NORWALK HOUR
NORWICH BULLETIN
STAMFORD ADVOCATE
TORRINGTON REGISTER
WATERBURY REPUBLICAN
WILLIMANTIC CHRONICLE
STATE CONTRACTING PORTAL
CTF WEB SITE

**REQUEST FOR PROPOSALS (RFP)
BY THE
STATE OF CONNECTICUT
CHILDREN'S TRUST FUND
RESEARCH AND EVALUATION**

BACKGROUND

The State of Connecticut, Children's Trust Fund (CTF), is seeking proposals to conduct comprehensive research and evaluation of its programs. CTF programs provide funding for community-based services, training, and technical assistance to prevent child abuse and neglect and to ensure the positive growth and development of children.

In connection with this project, CTF is seeking to identify a public or private organization with the necessary expertise to conduct performance monitoring, process evaluation, outcome evaluation, and specifically designed research of CTF programs. The successful proposer will be responsible for establishing and maintaining an extensive research and evaluation system including but not limited to: data collection systems that track program participants for a minimum of five years; program site visits; training and technical assistance for CTF and funded program staff; and quarterly and annual research and evaluation reports.

The requested services will be awarded through a competitive procurement process and funded by State dollars.

SCOPE OF SERVICES

- Establish a research and evaluation design to evaluate the effectiveness of CTF programs using the most appropriate and validated instruments and tools.
- Conduct annual process evaluation, outcome evaluation, and specifically designed research for 50 Nurturing Families Network (NFN) and Family School Connection community-based program sites with multiple components statewide, and the statewide Help Me Grow system.
- Conduct annual performance monitoring and participant satisfaction research for 50 Parent Trust Fund (PTF), Family Empowerment, Preventing Shaken Baby Syndrome, and The Stranger You Know community-based program sites statewide.
- Develop, implement, and maintain data collection systems for established and new program sites that track program participants for at least five years.
- Establish and manage a centralized database to evaluate individual sites and specific program components.
- Work with CTF to extract data from the Help Me Grow and Department of Children and Families databases to enhance research efforts.
- Analyze data and prepare quarterly narrative and statistical reports on program performance including but not limited to individual site ratings of research compliance.
- Conduct program site visits.
- Provide training and technical assistance for CTF and funded program staff on research methodology and procedures and data collection, analysis, and application.
- Actively participate on Continuous Quality Improvement Teams and Research Committees for CTF programs.
- Prepare midyear and annual reports to the state legislature and other parties on the establishment, implementation, and progress of CTF programs using Results Based

Accountability (RBA), particularly as it relates to Connecticut state agencies and the Connecticut General Assembly.

- Prepare and deliver presentations to multiple stakeholders and participate in decision-making to improve program implementation and effects and to inform program and policy development.
- Design and implement at least three specifically defined research projects per year.
- Prepare special reports on request.
- Submit bills for third party reimbursement in accordance with the policies, procedures, and timetable in the Children's Trust Fund agreement with the Department of Social Services for this purpose. The draft agreement is available at www.ct.gov/ctf; click on the "RFPs & Contracting" link.

For detailed information on CTF programs please see *Resoure Library* below.

CONTRACTOR QUALIFICATIONS

Eligible proposers are public or private organizations with principal office located in Connecticut. Proposers must have (1) a rationale for the proposed research design including experience and demonstrated success providing similar services; (2) sufficient staff including managerial and administrative support to implement the required services including the ability to meet reporting requirements; and (3) the ability to engage and support multiple stakeholders within and served by the project.

At time of contract, the successful proposer 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 one contract with a maximum amount of \$1,650,000 for a three-year term.

CONTRACT PERIOD

CTF anticipates that the successful proposer will commence work on or about July 1, 2008 and continue until June 30, 2011. Ongoing funding is contingent upon the continued availability of funds to the Children's Trust Fund for this project and the performance of the awarded contractor.

SUBMISSION DEADLINE

The due date for proposals is 12:00 noon, on February 7, 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.

The successful proposer will be notified on or around March 4, 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, CT 06106
 TEL. (860) 418-8765
 FAX: (860) 418-8780
 E-MAIL: jacqueline.lewis@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 18, 2007	RFP Released
January 3, 2008	Proposers' Conference – Attendance is strongly encouraged.
January 10, 2008	Deadline for Inquiries
January 17, 2008	Letter of Intent Due
January 24, 2008	Anticipated Release of Official Answers to Inquiries
February 7, 2008	Proposals Due
February 19, 2008	Optional Meetings with Proposers (through February 22, 2008)
March 4, 2008	Anticipated Selection of Contractor
March 11, 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 or facsimile not later than January 17, 2008. As an original signature is required, a letter of intent sent by e-mail will not be accepted. 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 in a timely manner.
- F. *Proposers' Conference.* A proposers' conference will be held on January 3, 2008, from 9:00 to 11:00 A.M., at 470 Capitol Avenue, Hartford, Room A/B. 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 January 24, 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 January 10, 2008. **The early submission of questions is encouraged.** A formal amendment to this RFP will be issued not later than January 24, 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 web site at www.ct.gov/ctf to view the admendment. Only general questions about the CTF research and evaluation project, 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. *Resource Library.* CTF requires proposers to read the following information related to this project:

- Family School Connection Final Report 2006
- Help Me Grow 2007 Annual Evaluation Report
- Nurturing Families Network 2007 Annual Outcome Summary Report

Go to: www.ct.gov/ctf

Click on: Research

- Children's Trust Fund Year End Report 2006-2007
- Connecticut Appropriations Committee RBA Templates
- Family School Connection Policy Manual [2007 Edition]
- Nurturing Families Network Policy Manual [2007 Edition]
- Parent Leadership Training Models

Go to: www.ct.gov/ctf

Click on: Publications

- Nurturing Families Network Evaluation Forms

Go to: www.ct.gov/ctf

Click on: Forms

- For detailed information on CTF programs, go to www.ct.gov/ctf, click on "Programs and Services."

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 proposal must be signed by the proposer. 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 noon on February 7, 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 (see Checklist of Required Documentation below), 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 eliminated from further review.
- L. *Multiple Submissions.* A proposer may submit one proposal in response to this RFP.
- 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 final selection will be made by the Executive Director of the Children's Trust Fund.
- 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 February 18, 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 by March 4, 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**, the

State will endeavor to keep said information confidential to the extent permitted by law. The State, 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 the State or any of its staff have any liability for disclosure of documents or information in the possession of the State, which the State 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 for a personal service agreement (PSA). The standard contract is available on the Children's Trust Fund's web site at www.ct.gov/ctf under the "RFPs and 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 Attachment 1 [SEEC Form 11]
- 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 proposal limits or modifies any of the terms and conditions and/or specifications of the RFP. CTF also reserves the right to waive technical defect, 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 the organization provides. Describe how your organization meets the required contractor qualifications of this RFP: (1) a rationale explaining the proposed research design including experience and demonstrated success providing similar services; (2) sufficient staff including managerial and administrative support to implement the services required by this RFP including the ability to meet reporting requirements; and (3) the ability to engage and support multiple stakeholders within and served by the project. Explain why your organization is well suited to implement the services required by this RFP.
- b. *Summary of Relevant Experience.* Provide a list 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 following functions related to this project will be located: project director or principal investigator, research staff, contract management, and administrative support.
- 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 - *Agreements and Assurances*

Proposers must agree to meet all requirements listed on the Children's Trust Fund's Agreements and Assurances form. The form is 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 – *Research Design*

Explain the proposed research design including research methodology, techniques, and procedures; data collection instruments and procedures; and principles and methods of statistical analysis.

Describe how you would establish a research and evaluation design to evaluate the effectiveness of CTF programs using the most appropriate and validated instruments and tools including but not limited to:

- Conduct annual process evaluation, outcome evaluation, and specifically designed research for 50 Nurturing Families Network (NFN) and Family School Connection community-based program sites with multiple components statewide, and the statewide Help Me Grow system.
- Conduct annual performance monitoring and participant satisfaction research for 50 Parent Trust Fund (PTF), Family Empowerment, Preventing Shaken Baby Syndrome, and The Stranger You Know community-based program sites statewide.

Provide a rationale explaining why the proposed research design was selected. What distinguishes the proposed research design from other research designs? How will the design inform CTF about program participants? What products or processes will result that will enable CTF to improve program effectiveness and enhance program development? Describe any other benefits to the proposed approach.

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

- a. *Steps.* Develop a work plan describing **what steps** (activities, actions, tasks) your organization will take to implement the project.
- 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 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: Design evaluation for Parent Trust Fund program
- b. Method:
 - (1) Work with stakeholders to determine information to be collected to best assess effectiveness of program
 - (2) Develop data collection instruments and procedures
 - (3) Establish data collection system to track program participants
- c. Timetable: 7/1/2008-9/30/2008

Section 5 – PERSONNEL RESOURCES

Staffing Plan. Describe the staff assigned to this project including the extent to which they have the appropriate experience and training to perform assigned duties. Provide job descriptions for all staff assigned to this project. **Provide resumes for all research staff assigned to this project.**

Provide an organization chart showing anticipated lines of authority (reporting relationships) of the project staff. Submit a staffing plan that discusses how and when your organization will hire staff and orient them to your organization, the project, and their roles and responsibilities.

Section 6 - PROPOSED COST

Include a cost proposal using the following budget forms:

- 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: 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.

Section 7 – CONFLICT OF INTEREST

Include a disclosure statement concerning any current business relationships (within the past 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

Research and Evaluation
RFP Issue Date: December 18, 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)

Committee members must direct any questions about the rating instructions, and 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 may be disqualified and eliminated from further review. The Screening Committee must specify in writing the reason(s) for disqualifying a 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 the proposal and eliminate it 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 CTF's Executive Director 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. A proposer's rating may only be reduced following a meeting if the clarification process resulted in an inconsistency from the information provided in the written proposal. Scores cannot be improved.

CHILDREN'S TRUST FUND**Research and Evaluation
RFP Issue Date: December 18, 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"> - submitted in sealed package - addressed to official agency contact - 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 notebooks or binders - 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)

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
						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
						Total 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 providing similar services
0	1	2	3	4	5	Sufficient staff including managerial and administrative support
0	1	2	3	4	5	Ability to engage and support multiple stakeholders
0	1	2	3	4	5	Rationale why organization is well suited to implement services
						b. Summary of Relevant Experience:
0	1	2	3	4	5	Projects completed within past 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 statement(s)
						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
						(B) Research Design
0	1	2	3	4	5	Methodology, techniques, and procedures
0	1	2	3	4	5	Data collection instruments and procedures
0	1	2	3	4	5	Principles and methods of statistical analysis
0	1	2	3	4	5	Rationale for research design
						(C) Work Plan
						a. Steps:
0	1	2	3	4	5	Specified steps to implement project
						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
						Staffing Plan:
0	1	2	3	4	5	Job descriptions for all staff
0	1	2	3	4	5	Resumes for research staff
0	1	2	3	4	5	Organization chart shows anticipated lines of authority
0	1	2	3	4	5	Staffing plan for hiring and orienting staff
						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. 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
						b. 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
						c. 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
						d. 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
						e. 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.