PROCUREMENT NOTICE

Department of Public Health
Public Health Initiatives Branch
Community, Family and Health Equity Section
Office of Oral Health

LEGAL NOTICE

Request for Proposal (RFP)

RFP#2016-0904 CT DPH SEAL CT!

School-based/School-Linked Dental Sealant Program

The Connecticut Department of Public Health (DPH or the Department) is seeking proposals, from public and non-profit organizations, to support the development and/or expansion of sustainable school-based/school-linked dental sealant programs. School -based dental sealant programs are evidence based preventive dental programs endorsed by the U.S. Centers for Disease Control and Prevention (CDC), the Task Force on Community Preventive Services, and the American Dental Association (ADA). Studies show school – based dental sealant programs are effective in decreasing dental caries on the chewing surfaces of children's teeth by 60%.

Up to $400,000 of funding is expected to be available to support up to seven (7) awards. Funding will be for a two (2) year period beginning approximately September 1, 2016 through August 31, 2018, **subject to the availability of funds** and satisfactory program performance.

The intent of the request is to fund community-based sustainable school based dental sealant programs with a focus on Dental Health Provider Shortage Areas (DHPSA) and /or schools with 50% or greater Free and Reduced Lunch Program (FRLP) participation.

The Request for Proposals (RFP) is available in electronic format on the
State Contracting Portal at: http://das.ct.gov/cr1.aspx?page=12 or from the Department's Official Contact:

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The RFP is also available on the Department's website at www.ct.gov/dph/rfp. A printed copy of the RFP can be obtained from the Official Contact upon request.

Deadline for submission of proposals is May 27, 2016

TABLE OF CONTENTS

Procurement Notice . . . . . .
Section I — GENERAL INFORMATION 1
A. Introduction. 2
B. Abbreviations / Acronyms / Definitions 3
C. Instructions 5
D. Proposal Format 9
E. Evaluation of Proposals 10
Section II — MANDATORY PROVISIONS 12
A. Personal Service Agreement 12
B. Assurances 12
C. Terms and Conditions 13
D. Rights Reserved to the State 14
E. Statutory and Regulatory Compliance 15
Section III — PROGRAM INFORMATION 16
A. Department Overview 16
B. Program Overview 16
C. Main Proposal Components 17
D. Cost Proposal Components 23
Section IV — PROPOSAL OUTLINE 24
Section V- ATTACHMENTS 26
A. Application Forms
1. Cover Sheet 27
2. Applicant Information Form (continuation) 28
3. Budget Summary Instructions 29
4. Budget Justification Schedule B. 30
5. Budget Summary 1 31
6. Position Schedule #2a Form 33
7. Subcontractor Schedule A-Detail Form. 34
8. School Eligibility Form 35
9. Work Plan Form 36
10. OPM Consulting Agreement Affidavit 38
11. Affirmative Action Contract Compliance Policy Statement. 42
12. Notification of Bidders 43
13. Workforce Analysis 44
B. Informational Attachments. 45
1. Nondiscrimination Certification Instructions 46
2. Nondiscrimination Certification - Affidavit by Entity 47
3. False Claims Act Compliance Notification 48
4. False Claims Act (Policy) 49
5. False Claims Act (Procedure) 52
6. SEEC Form 11- Campaign Contribution and Solicitation Limitation. . . . 55
7. Preliminary Review Team Technical Criteria Worksheet 58

I. GENERAL INFORMATION

A. INTRODUCTION

1. **RFP Name or Number: 2016-0904 SEAL CT! School-based/School-linked Dental Sealant Program (SBSP/SBLP)**

2. **Summary**: The Connecticut Department of Public Health (DPH or the Department) is seeking proposals, from public and non-profit organizations, to support the development and/or expansion of sustainable school-based/school-linked dental sealant programs. School -based dental sealant programs are evidence based preventive dental programs endorsed by the U.S. Centers for Disease Control and Prevention (CDC), the Task Force on Community Preventive Services, and the American Dental Association (ADA). Studies show school –based dental sealant programs are effective in decreasing dental caries on the chewing surfaces of children's teeth by 60%. Up to $400,000 of funding is expected to be available to support up to seven (7) awards. Funding will be for a two year (2) period beginning approximately September 1, 2016 through August 31, 2018, **subject to the availability of funds** and satisfactory program performance.

3. **Synopsis:** The prevalence and severity of dental decay and lack of access to oral health care for underserved populations are priority public health concerns in Connecticut (CT). Provision of dental screening and dental sealants in school based settings addresses many of the issues and obstacles to oral health care access for school based populations. These include: convenient location in the communities where individuals live; convenient location in sites where medical and other health and human services may be provided; reduced need for a parent or caregiver having to arrange for transportation, day-care for siblings, and time off from work to take a child to the dentist; fewer missed appointments; reduced time out of school; enhanced compliance and follow-up; and emphasis on oral health awareness/knowledge and disease prevention. A school based dental sealant program makes it possible to increase access to care, reduce caries experience, and integrate and reinforce oral health as an integral part of overall health and wellbeing. The SEAL CT! Program is created specifically for public and non-profit organizations, such as local health districts, local health departments, community health centers, Federally Qualified Health Centers (FQHCs), school-based health centers(SBHCs), school systems, and schools of dentistry and dental hygiene to support the development and/or expansion of sustainable school-based/school-linked dental sealant programs. The priority for SEAL CT! is CT's first and second grade students who have erupted first permanent molars with a secondary focus on sixth and seventh grade students who have erupted second permanent molars in schools with fifty percent (50%) or more student eligibility for the Federal Free and Reduced Lunch Program (FRLP) and/or in schools located in a Dental Health Professional Shortage Area (DHPSA).

   To learn more about how to establish a school-based dental sealant program, go to **Seal America: The Prevention Invention** at http://mchoralhealth.org/seal

4. **Commodity Codes:** The services that the DPH wishes to procure through this RFP are as follows:

   - 1000 Healthcare Services; Dentist Services; Dentist Support Staff Services
   - 2000 Community and Social Services
   - 3000 Education & Training Services; Employee Education
   - 5022 Information Technology Services
   - 0600 Services (Professional, Support, Consulting and Misc. Services)

5. **ABBREVIATIONS / ACRONYMS / DEFINITIONS**

   - **AAP- American Academy of Pediatric**
   - **AAPD- American Academy of Pediatric Dentistry**

- **ADA-American Dental Association**
- **BFO-Best and Final Offer**
- **CDC - Centers for Disease Control**
- **C.G.S.- Connecticut General Statutes**
- **CHRO-Commission on Human Rights and Opportunity**
- **CT-Connecticut**
- **DAS-Department of Administrative Services**
- **HRSA-Health Resource and Administration**
- **LOI-Letter of Intent**
- **OAG-Office of the Attorney General**
- **OOH-Office of Oral Health**
- **OPM -Office of Policy and Management**
- **OSAP- Organization for Safety, Asepsis, and Prevention**
- **OSC- CT Office of the State Comptroller (CT)**
- **POS-Purchase of Service**
- **P.A.-Public Act (CT)**
- **RFP-Request For Proposal**
- **SEALS - Sealant Efficiency Assessment for Local and States**
- **SEAL CT! Data- SEAL CT! Program data variables**
- **SEEC State Elections Enforcement Commission (CT) U.S. United States**
- **(CT) ESF-Extended Service Funds**
- **FOIA-Freedom of Information Act**
- **(CT) IRS-Internal Revenue Service(US)**

- **The U.S. Centers for Disease Control and Prevention (CDC)** is within the U.S. Department of Health and Human Services (HHS); HHS's Division of Oral Health (DOH) works to improve the oral health of the nation and reduce inequalities in oral health by:

  a. helping states improve their oral health programs,

  b. extending the use of proven strategies to prevent oral disease,

  c. encouraging the effective use of fluoride products and community water fluoridation,

  d. promoting greater use of school-based and –linked dental sealant programs,

  e. enhancing efforts to monitor oral diseases, such as dental caries (tooth decay) and periodontal infections (gum disease),

  f. contributing to the scientific knowledge-base regarding oral health and disease, and guiding infection control in dentistry.

  See http://www.cdc.gov/OralHealth/index.htm as this may be revised or updated from time to time.

- **Contractor*:*** A private provider organization, CT State agency, or municipality that enters into a POS contract with the Department as a result of this RFP

- **Connecticut Dental Sealant Advisory(CDSA):** The DPH is supported in decision-making and project guidance by a statewide Connecticut Dental Sealant Advisory (CDSA) which includes representation from state agencies, health care plans, hospitals, and community-based organizations. CDSA meets quarterly. The contractor(s) identified as a result of this RFP will participate in the CDSA and relevant workgroup meetings.

- **Connecticut Children's Dental Health Partnership:** Connecticut Dental Health Partnership (CTDHP) manages all of the dental health care services provided in the HUSKY Health program. CTDHP administers the HUSKY dental benefits on behalf of the Department of Social Services (DSS).

- **Dental Home:** A dental office where a child/ family goes for ongoing, regular dental care. The child/family will see the same dentist(s) there. It provides oral health care in a complete, always accessible, and coordinated way. It is person or family-centered. Dental Home Providers have a plan for providing emergency care after regularly scheduled office hours covering twenty-four hours a day, seven days per week. Other than simply providing a referral to the local hospital emergency room, the dental home provider will make referrals to dental specialists as appropriate and maintains documentation of communications and referrals.

- **Dental Sealant:** Also referred to as Pit-and-fissure dental sealant, is a plastic coating bonded to susceptible tooth surfaces. Dental sealants have been approved for use for over forty (40) years, and are recommended by professional health associations and public health agencies. First permanent molars erupt into the mouth at about age six (6) years of age; placing sealants on these teeth shortly after their eruption protects them from the development of caries in areas of the teeth where food and bacteria are retained. Dental sealants are a proven safe and cost-effective intervention for caries prevention.

- **Dental Caries:** The single most common chronic disease of childhood, occurring five to eight times as frequently as asthma. Dental caries is a chronic, progressive, cumulative, infectious disease process that leads to tooth decay (cavities), nerve destruction in the tooth, tooth loss, abscess and systemic infection.

- **Dental Health Professional Shortage Area (DHPSA):** Designated by the U.S. Health Resources and Services Administration (HRSA) as having shortages of dental professionals; may be geographic (a county or service area); demographic (low income population); or institutional (comprehensive health center, federally qualified health center, or other public facility).

- **Federal Free and Reduced Lunch Program (FRLP):** Also referred to as the National Student Lunch Program (NSLP) is a federally assisted meal program operating in public and nonprofit private schools and residential child care institutions. The **FRLP** provides free or cost- reduced nutritionally balanced lunches to eligible children each school day.

- **Human Resources and Services Administration (HRSA):** The Health Resources and Services Administration (HRSA), an agency of the U.S. Department of Health and Human Services, is the primary Federal agency for improving access to health care by strengthening the health care workforce, building healthy communities, and achieving health equity. HRSA's programs provide health care to people who are geographically isolated, economically or medically vulnerable. The Bureau of Health Workforce grant funded programs help America build a health care workforce prepared and eager to improve the public health by expanding access to quality health services and working to achieve health equity.
  http://www.hrsa.gov/index.html

- **Information Systems Staff:** The staff person/s responsible for data management for an organization or agency.

- **Organization for Safety, Asepsis, and Prevention (OSAP):** this organization focuses on strategies to improve compliance with safe practices and on building a strong network of recognized infection control experts. OSAP offers an extensive online collection of resources, publications, FAQs, checklists and toolkits that help dental professionals deliver the safest dental visit possible for their patients. The purpose of the organization is to be the voice for leadership and compliance with science-based dental infection prevention and safety practices through quality education and information dissemination. http://www.osap.org/

- **Proposer:** A provider organization, CT state agency, or municipality that has submitted a proposal to the Department in response to this RFP.

- **Prospective proposer*:*** A private provider organization, CT state agency, or municipality that may submit a proposal to the Department in response to this RFP.

- **Safety Net Programs:** Programs that provide accessible, affordable medical and behavioral health services in communities (i.e. School Based Health Centers, Federally Qualified Health Centers).

- **Subcontractor:** An individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific health or human service as part of a POS contract with the Department as a result of this RFP.

- **School Based Sealant Coordinator (SBSC):** Oversees the contracted SEAL CT! SBSP/SBLP Dental Sealant Program, including the procurement and provision of dental sealant services to the children in the designated SEAL CT! school sites and overseeing of the SBSP/SBLP staff training, delivery of services, and professional requirements. SBSC ensures that there are necessary links for children and their families/care-givers to needed follow-up care, emergent services, and resources beyond the SBSP/SBLP program site.

- **SEALS (Sealant Efficiency Assessment for Local and States):** Software designed by the CDC to collect data about dental sealant programs including dental health information, cost, and logistics; to evaluate programs/events; provide data for internal program management and evaluation; to evaluate practices; provide data across programs to develop "best practices" (i.e. target age, delivery strategy, etc.); to provide support for funding justifications and document success; and return-on-investment.

- **SEAL CT! Data:** Uses child and event level variables as determined by SEAL CT! Program to allow school based dental sealant programs to capture sealant program data use in a form that allows the collection of data including, but not limited to dental health information, cost, and logistics; to evaluate programs/events; provide data for internal program management and evaluation; to evaluate practices; provide data across programs to develop "best practices" (i.e. target age, delivery strategy.); to provide support for funding justifications and document success; and return-on-investment.

C. INSTRUCTIONS

1. **Official Contact.** The Department has designated the individual below as the Official Contact for purposes of this RFP. The Official Contact is the **only authorized contact** for this procurement and, as such, handles all related communications on behalf of the Department. Proposers, prospective proposers, and other interested parties are advised that any communication with any other Department employee(s) (including appointed officials) or personnel under contract to the Department about this RFP is strictly prohibited. Proposers or prospective proposers who violate this instruction may risk disqualification from further consideration.

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Please ensure that e-mail screening software (if used) recognizes and accepts e-mails from the Official Contact.

2. **RFP Information.** The RFP, amendments to the RFP, and other information associated with this procurement are available in electronic format from the Official Contact or from the Internet at the following locations:

   - Department's Web Page: http://www.ct.gov/dph/rfp
   - State Contracting Portal: http://das.ct.gov/cr1.aspx?page12

It is strongly recommended that any proposer or prospective proposer interested in this procurement subscribe to receive e-mail alerts from the State Contracting Portal. Subscribers will receive a daily e-mail announcing procurements and addendums that are posted on the portal. This service is provided as a courtesy to assist in monitoring activities associated with State procurements, including this RFP.

Printed copies of all documents are also available from the Official Contact upon request.

3. **Contract Awards.** The award of any contract pursuant to this RFP is dependent upon the availability of funding to the Department. The Department anticipates the following:

   - Total Funding Available:$400,000
   - Number of Awards: Up to seven (7) Awards:
   - One (1) up to $50,000 for start-up (Pilot Program)
   - Five (5) X $30,000 for established program expansion
   - Contract Cost: To be negotiated with successful proposers
   - Contract Term: Two (2) years

4. **Eligibility.** Applications will be accepted from public and non-profit organizations, such as local health districts, local health departments, community health centers, FQHCs, SBHCs, school systems, and schools of dentistry and dental hygiene to support the development and/or expansion of sustainable school-based/school-linked dental sealant programs. Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

5. **Minimum Qualifications of Proposers.** To qualify for a contract award, a proposer must have the following minimum qualifications: Applications will be accepted from public and nonprofit organizations. Proposals will be screened for completeness and compliance with the requirements specified in the RFP. Applications who fail to follow instructions or to include all required elements will be deemed incomplete and removed from further review. In addition, applicants with long-standing, significant outstanding unresolved issues on current and prior year contracts with the Department may be removed from consideration for additional funding.

6. **Procurement Schedule.** See below. Dates after the due date for proposals ("Proposals Due") are target dates only (*). The Department may amend the schedule, as needed. Any change will be made by means of an amendment to this RFP and will be posted on the State Contracting Portal, and if available, the Department's RFP Web Page.

• RFP Released:	April 29, 2016
• Letter of Intent Due:	May 5, 2016
• Deadline for Questions:	May 5, 2016
• Answers Released (Round 1):	May 12, 2016
• RFP Conference:	Not applicable
• Answers Released (Round 2):	Not applicable
• Proposals Due:	May 27, 2016
• (*) Proposer Selection:	July 12, 2016
• (*) Start of Contract Negotiations:	July18, 2016
• (*) Start of Contract:	September 1, 2016

7. **Letter of Intent.** A Letter of Intent (LOI) is required by this RFP. The LOI is non-binding and does not obligate the sender to submit a proposal. The LOI must be submitted to the Official Contact by US mail, fax, or e-mail by the deadline established in the Procurement Schedule. The LOI must clearly identify the sender, including name, postal address, telephone number, fax number, and e-mail address. It is the sender's responsibility to confirm the Department's receipt of the LOI. Failure to submit the required LOI in accordance with the requirements set forth herein shall result in disqualification from further consideration.

8. **Inquiry Procedures.** All questions regarding this RFP or the Department's procurement process must be directed, in writing, to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or anonymous questions). Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. The Department reserves the right to answer questions only from those who have submitted a LOI. The Department may combine similar questions and give only one answer. All questions and answers will be compiled into a written amendment to this RFP. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such. The agency will release the answers to questions on the date(s) established in the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Department's Web Page (RFP link). At its discretion, the Department may distribute any amendments to this RFP to prospective proposers who submitted a LOI.

9. **RFP Conference.** A RFP conference will not be held.

10. Proposal Due Date and Time. The Official Contact is the **only authorized recipient** of proposals submitted in response to this RFP. Proposals must be **received** by the Official Contact on or before the due date and time:

- Due Date: May 27, 2016
- Time: 12:00 noon

Faxed or e-mailed proposals will not be evaluated. When hand-delivering proposals by courier or in person; allow extra time due to building security procedures. The Department will not accept a postmark date as the basis for meeting the submission due date and time. Proposals received after the due date and time may be accepted by the Department as a clerical function, but will not be evaluated. At the discretion of the Department, late proposals may be destroyed or retained for pick up by the submitters.

An acceptable submission must include the following:

- one (1) original printed proposal;
- Five (5) conforming printed copies of the original proposal; and
- one (1) conforming electronic copy of the original proposal.

The original proposal must carry original signatures and be clearly marked on the cover as "Original." Unsigned proposals will not be evaluated. The original proposal and each conforming copy of the proposal must be complete, properly formatted and outlined, and ready for evaluation by the Screening Committee.

The electronic copy of the proposal must be compatible with **Microsoft Office Word 2010.** For the electronic copy, required forms and appendices must be scanned and submitted in one completed Portable Document Format (PDF). The electronic version must be emailed to elizabeth.dowd@ct.gov . Please note the electronic version must be received by the Proposal Due Date and Time.

11. Multiple Proposals. The submission of multiple proposals is not an option with this procurement.

12. Declaration of Confidential Information. Proposers are advised that all materials associated with this procurement are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations and interpretations resulting from them. If a proposer deems that certain information required by this RFP is confidential, the proposer must label such information as CONFIDENTIAL. In Section C of the proposal submission, the proposer must reference where the information labeled CONFIDENTIAL is located in the proposal. *EXAMPLE: Section G.1.a.* For each subsection so referenced, the proposer must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the proposer that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).

13. Conflict of Interest - Disclosure Statement. Proposers must include a disclosure statement concerning any current business relationships (within the last three (3) years) that pose a conflict of interest, as defined by C.G.S. § 1-85. A conflict of interest exists when a relationship exists between the proposer and a public official (including an elected official) or State employee that may interfere with fair competition or may be adverse to the interests of the State. The existence of a conflict of interest is not, in and of itself, evidence of wrongdoing. A conflict of interest may, however, become a legal matter if a proposer tries to influence, or succeeds in influencing, the outcome of an official decision for their personal or corporate benefit. The Department will determine whether any disclosed conflict of interest poses a substantial advantage to the proposer over the competition, decreases the overall competitiveness of this procurement, or is not in the best interests of the State. In the absence of any conflict of interest, a proposer must affirm such in the disclosure statement. *Example: "[name of proposer] has no current business relationship (within the last three (3) years) that poses a conflict of interest, as defined by C.G.S. § 1-85."*

D. PROPOSAL FORMAT

1. **Required Outline.** All proposals must follow the required outline presented in Section IV – Proposal Outline. Proposals that fail to follow the required outline will be deemed non-responsive and not evaluated.

   Applicants with significant outstanding unresolved issues on current and/or prior year contracts with DPH or other state agencies may be removed from consideration for additional or future funding.

2. **Cover Sheet.** The Cover Sheet is Page 1 of the proposal. Proposals must complete and use the Cover Sheet form provided by the Department in Section V Attachments, A. Application Forms.

3. **Table of Contents.** All proposals must include a Table of Contents that conforms to the required proposal outline. (See Section IV.)

4. **Executive Summary.** Proposals must include a high-level summary, not exceeding 2 (two) pages, of the main proposal and cost proposal.

5. **Attachments.** Attachments, other than the required Appendices or Forms identified in Section IV Proposal Outline Section I, are not permitted and will not be evaluated. Further, the required Appendices or Forms must not be altered or used to extend, enhance, or replace any component required by this RFP. **Failure to abide by these instructions will result in disqualification.**

6. **Style Requirements.** Submitted proposals must conform to the following specifications:
   - Binding Type: Unbound, but fastened with binder clips
   - Dividers: None specified
   - Paper Size: 8.5" x 11"
   - Page Limit: Not to exceed 25 pages, excluding Budget
   - Print Style: 2-sided
   - Font Size: 12 Point type
   - Font Type: Arial, Times New Roman, or Verdana
   - Margins: 0.5" top, bottom, left and right margins
   - Line Spacing: 1.5 line spacing

7. **Pagination. The proposer's name must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.**

8. **Packaging and Labeling Requirements. All proposals must be submitted in sealed envelopes or packages and be addressed to the Official Contact.** The Legal Name and Address of the proposer must appear in the upper left corner of the envelope or package. The RFP Name or Number must be clearly displayed on the envelope or package. Any received proposal that does not conform to these packaging or labeling instructions will be opened as general mail. Such a proposal may be accepted by the Department as a clerical function, but it will not be evaluated. At the discretion of the Department, such a proposal may be destroyed or retained for pick up by the submitters.

E. EVALUATION OF PROPOSALS

1. **Evaluation Process.** It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful proposers, and awarding contracts, the Department will conform to its written procedures for POS procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85).

2. **Screening Committee.** The Department will designate a Screening Committee to evaluate proposals submitted in response to this RFP. The contents of all submitted proposals, including any confidential information, will be

shared with the Screening Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Screening Committee may result in disqualification of the proposer.

3. **Minimum Submission Requirements.** All proposals must comply with the requirements specified in this RFP. To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the proposal format requirements; (3) follow the required proposal outline; and (4) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Department will reject any proposal that deviates significantly from the requirements of this RFP.

   In addition, any applicants with long-standing significant unresolved issues on current or prior year contract with the DPH or other state agencies may be removed from consideration for additional funding.

4. **Evaluation Criteria (and Weights).** Proposals meeting the minimum submission requirements will be evaluated according to the established criteria. The criteria are the objective standards that the Screening Committee will use to evaluate the technical merits of the proposals. Only the criteria listed below will be used to evaluate proposals. The criteria are weighted according to their relative importance. The weights are disclosed below.
   - Organizational Requirements & Profile (10)
   - Scope of Services & Program Requirements (35)
   - Staffing Plan (5)
   - Data/ Information Management (10)
   - Work Plan (20)
   - Financial Profile (5)
   - Budget and Budget Narrative (10)
   - Appendices (5)

   Note: As part of its evaluation of the Staffing Plan, the Screening Committee will consider the proposer's demonstrated commitment to affirmative action, as required by the Regulations of CT State Agencies §46A-68j-30(10).

5. **Proposer Selection.** Upon completing its evaluation of proposals, the Screening Committee will submit the rankings of all proposals to the Department's head. The final selection of a successful proposer is at the discretion of the Department's head. Any proposer selected will be notified and awarded an opportunity to negotiate a contract with the Department. Such negotiations may, but will not automatically, result in a contract. Pursuant to Governor M. Jodi Rell's Executive Order No. 3, any resulting contract will be posted on the State Contracting Portal. All unsuccessful proposers will be notified by e-mail or U.S. mail, at the Department's discretion, about the outcome of the evaluation and proposer selection process.

6. **Debriefing.** Within ten (10) days of receiving notification from the Department, unsuccessful proposers may contact the Official Contact and request information about the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the ten (10) days. If unsuccessful proposers still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the evaluation process and their proposals. If held, the debriefing meeting will not include any comparisons of unsuccessful proposals with other proposals. The Department will schedule and hold the debriefing meeting within fifteen (15) days of the request. The Department will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.

7. **Appeal Process.** Proposers may appeal any aspect the Department's competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Department head. A proposer may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful proposers about the outcome of the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. The filing of an appeal shall not be deemed sufficient reason for the Department to delay, suspend, cancel, or terminate the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.

8. **Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Department's contracting procedures, which may include approval by the Office of the Attorney General.

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II. MANDATORY PROVISIONS

This section of the RFP provides information about the State's mandatory procurement and contracting requirements, including, the standard Purchase of Service contract, proper assurances, the terms and conditions of this RFP, the rights reserved to the State, and compliance with the statutes and regulations. The Department is solely responsible for rendering decisions in matters of interpretation of all mandatory provisions.

A. PURCHASE OF SERVICE AGREEMENT (POS)

By submitting a proposal in response to this RFP, the proposer implicitly agrees to comply with the provisions of Parts I and II of the State's "standard contract" for POS:

Part I of the standard contract is maintained by the Department and will include the scope of services, contract performance, quality assurance, reports, terms of payment, budget, and other program-specific provisions of any resulting POS contract. A sample of Part I is available from the Department's Official Contact upon request.

Part II of the standard contract is maintained by OPM and includes the mandatory terms and conditions of the POS contract. Part II is available on OPM's website at: http://www.ct.gov/opm/fin/standard_contract

Note:
Included in Part II of the standard contract is the State Elections Enforcement Commission's notice (pursuant to C.G.S. § 9-612(g)(2)) advising executive branch State contractors and prospective State contractors of the ban on campaign contributions and solicitations. If a proposer is awarded an opportunity to negotiate a contract with the Department and the resulting contract has an anticipated value in a calendar year of $50,000 or more, or a combination or series of such agreements or contracts has an anticipated value of $100,000 or more, the proposer must inform the proposer's principals of the contents of the SEEC notice. Part I of the standard contract may be amended by means of a written instrument signed by the Department, the selected proposer (contractor), and, if required, the Attorney General's Office. Part II of the standard contract may be amended only in consultation with, and with the approval of, the Office of Policy and Management and the Attorney General's Office.

B. ASSURANCES

By submitting a proposal in response to this RFP, a proposer implicitly gives the following assurances:

1. **Collusion.** The proposer represents and warrants that the proposer did not participate in any part of the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance. The proposer further represents and warrants that no agent, representative, or employee of the State participated directly in the preparation of the proposer's proposal. The proposer also represents and warrants that the submitted proposal is in all respects fair and is made without collusion or fraud.

2. **State Officials and Employees.** The proposer certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFP. The Department may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the proposer, contractor, or its agents or employees.

3. **Competitors.** The proposer assures that the submitted proposal is not made in connection with any competing organization or competitor submitting a separate proposal in response to this RFP. No attempt has been made, or will be made, by the proposer to induce any other organization or competitor to submit, or

not submit, a proposal for the purpose of restricting competition. The proposer further assures that the proposed costs have been arrived at independently, without consultation, communication, or agreement with any other organization or competitor for the purpose of restricting competition. Nor has the proposer knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.

4. **Validity of Proposal.** The proposer certifies that the proposal represents a valid and binding offer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto. The proposal shall remain valid for a period of 180 days after the submission due date and may be extended beyond that time by mutual agreement. At its sole discretion, the Department may include the proposal, by reference or otherwise, into any contract with the successful proposer.

5. **Press Releases:** The proposer agrees to obtain prior written consent and approval of the Department for press releases that relate in any manner to this RFP or any resultant contract.

C. TERMS AND CONDITIONS

By submitting a proposal in response to this RFP, a proposer implicitly agrees to comply with the following terms and conditions:

1. **Equal Opportunity and Affirmative Action.** 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.

2. **Preparation Expenses.** Neither the State nor the Department shall assume any liability for expenses incurred by a proposer in preparing, submitting, or clarifying any proposal submitted in response to this RFP.

3. **Exclusion of Taxes.** The Department is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Proposers are liable for any other applicable taxes.

4. **Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.

5. **Changes to Proposal.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Department may request and authorize proposers to submit written clarification of their proposals, in a manner or format prescribed by the Department, and at the proposer's expense.

7. **Supplemental Information.** Supplemental information will not be considered after the deadline submission of proposals, unless specifically requested by the Department. The Department may ask a proposer to give demonstrations, interviews, oral presentations or further explanations to clarify information contained in a proposal. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Department. At its sole discretion, the Department may limit the number of proposers invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per proposer.

8. **Presentation of Supporting Evidence:** If requested by the Department, a proposer must be prepared to present evidence of experience, ability, and data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. The Department may make onsite visits to an operational facility or facilities of a proposer to evaluate further the proposer's capability to perform the duties required by this RFP, At its discretion, the Department may also check or contact any reference provided by the proposer.

9. **RFP is not an offer:** This RFP, and any subsequent discussions, shall not give rise to any commitment on the part of the State or the Department, 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 the Department and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the proposer or 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 the Department and, if required, by the Attorney General's Office.

D. RIGHTS RESERVED TO THE STATE

By submitting a proposal in response to this RFP, a proposer implicitly accepts that the following rights are reserved to the State:

1. **Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the Department.

2. **Amending or Canceling RFP.** The Department reserves the right to amend or cancel this RFP on any date and at any time, if the Department deems it to be necessary, appropriate, or otherwise in the best interests of the State.

3. **No Acceptable Proposals.** In the event that no acceptable proposals are submitted in response to this RFP, the Department may reopen the procurement process, if it is determined to be in the best interests of the State.

4. **Award and Rejection of Proposals.** The Department reserves the right to award in part, to reject any and all proposals in whole or in part, for misrepresentation or if the proposal limits or modifies any of the terms, conditions, or specifications of this RFP. The Department may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Department reserves the right to reject the proposal of any proposer who submits a proposal after the submission date and time.

5. **Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The rights to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.

6. **Contract Negotiation.** The Department reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Department further reserves the right to contract with one or more proposer for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFO) on cost from proposers. The Department may set parameters on any BFOs received.

7. **Clerical Errors in Award.** The Department 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 the State shall not constitute a breach of contract on the part of the State 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 the State and the proposer.

8. **Key Personnel.** When the Department is the sole funder of a purchased service, the Department reserves

the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Department also reserves the right to approve replacements for key personnel who have terminated employment. The Department further reserves the right to require the removal and replacement of any of the proposer's key personnel who do not perform adequately, regardless of whether they were previously approved by the Department.

E. STATUTORY AND REGULATORY COMPLIANCE

By submitting a proposal in response to this RFP, the proposer implicitly agrees to comply with all applicable State and federal laws and regulations, including, but not limited to, the following:

1. **Freedom of Information, C.G.S. § 1-210(b).** The 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, as defined by C.G.S. § 1-210(b). Proposers are generally advised not to include in their proposals any confidential information. If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State 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. The proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a proposer may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.

2. **Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to insure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.

3. **Consulting Agreements, C.G.S. § 4a-81.** 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 attesting to whether any consulting agreement has been entered into in connection with the proposal. 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 C.G.S. Chapter 10 as of the date such affidavit is submitted in accordance with the provisions of C.G.S. § 4a-81. The Consulting Agreement Affidavit (OPM Ethics Form 5) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms .

   IMPORTANT NOTE: A proposer must complete and submit OPM Ethics Form 5 to the Department with the proposal.

4. **Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8 and No. 7C, Para. 10; C.G.S. § 9-612(g)(2**). If a proposer is awarded an opportunity to negotiate a contract with an anticipated value of $50,000 or more in a calendar or fiscal year, the proposer must fully disclose any gifts or lawful contributions made to campaigns of candidates for statewide public office or the General Assembly. Municipalities and CT State agencies are exempt from this requirement. **The gift and campaign contributions certification (OPM Ethics Form 1) is available on OPM's website at** http://www.ct.gov/opm/fin/ethics_forms .

IMPORTANT NOTE: The successful proposer must complete and submit OPM Ethics Form 1 to the Department prior to contract execution.

5. **Nondiscrimination Certification, C.G.S. §§ 4a-60(a)(1) and 4a-60a(a)(1).** If a proposer is awarded an opportunity to negotiate a contract, the proposer must provide the Department with *written representation* or *documentation* that certifies the proposer complies with the State's nondiscrimination agreements and warranties. A nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. **The nondiscrimination certification forms are available on OPM's website at** http://www.ct.gov/opm/fin/nondiscrim_forms

IMPORTANT NOTE: The successful proposer must complete and submit the appropriate nondiscrimination certification form to the awarding Department prior to contract execution.

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III. PROGRAM INFORMATION

A. DEPARTMENT OVERVIEW

The Connecticut Department of Public Health (DPH) is the state's leader in public health policy and advocacy. The agency is the center of a comprehensive network of public health services, and is a partner to local health departments for which it provides advocacy, training and certification, technical assistance and consultation, and specialty services such as risk assessment that are not available at the local level. The agency is a source of accurate, up-to-date health information to the Governor, the Legislature, the federal government and local communities. This information is used to monitor the health status of Connecticut's residents, set health priorities and evaluate the effectiveness of health initiatives. The agency is a regulator focused on health outcomes, maintaining a balance between assuring quality and administrative burden on the personnel, facilities and programs regulated. The DPH is a leader on the national scene through direct input to federal agencies and the United States Congress.

The mission of the Connecticut Department of Public Health is to protect and improve the health and safety of the people of Connecticut by:

- Assuring the conditions in which people can be healthy;
- Promoting physical and mental health, and;
- Preventing disease, injury, and disability.

B. PROGRAM OVERVIEW

The main goals of the SEAL CT! Programs are:

- To improve the oral health of Connecticut school-aged children by improving access to preventive dental services. The desired outcome is to expand upon current community or school-based dental sealant programs with a primary focus on second and third grade children and secondarily on sixth and seventh grade children who are at highest risk for dental disease.

- To focus on Connecticut Schools with 50% or more student eligibility in the **Free and Reduced School Lunch Program (FRLP) and/or Dental Health Professional Shortage Areas (DHPSA).**

- A list of eligible schools can be found at the following Internet links:

  1. http://datawarehouse.hrsa.gov/topics/shortageAreas.aspx

  2. https://ersrs.hrsa.gov/ReportServer?/HGDW_Reports/BCD_HPSA/BCD_HPSA_H6_Detail Quick_Access_HTML&rc:Toolbar=false

  3. http://sdeportal.ct.gov/Cedar/WEB/ct_report/CedarHome.aspx

- The applicant must demonstrate the capacity to sustain services beyond the funding cycle.

C. MAIN PROPOSAL COMPONENTS

Please Note: The Proposal Format components Section D.1-4 detailed on page nine (9) must precede the Main Proposal Components.

1. Organizational Requirements and Profile (10)

All proposals must address or comply with the following specifications:

a. The proposer must provide an overview of the history and structure of the organization. Information provided for the organization profile may include its purpose, mission or vision; entity type; parent organization; years of operation; location of clinics/satellites, governance system.

b. The proposer must explain how the proposal will fit into the organization's overall mission and meet the intent of this RFP to address health disparities through the development or expansion of coordinated, culturally sensitive, and developmentally appropriate school based/school linked dental sealant services in **Dental Health Professional Shortage Areas (DHPSAs**); and/or fifty percent or greater student eligibility in the **Federal Free and Reduced Lunch Program (FRLP)** designated schools.

c. The proposer must provide history, if any, of past affiliation with school- based/ school-linked dental sealant programs such as public and non-profit organizations, including local health districts, local health departments, community health centers, FQHCs, SBHCs, school systems, and schools of dentistry and dental hygiene.

d. The Proposer must demonstrate that the proposed schools are willing participants in the sealant program:

1. Each school identified must have a signed letter from school administrators (principal/superintendent) noting the commitment to participate in the sealant program.

2. Each school identified must be ≥ 50% FRLP and/or located in DHPSA areas.

3. Every school in your SBSP/SLSP program must have a current DPH outpatient facilities license, or plans to obtain such license must be clearly described if dental services are not currently being provided by your SBSP/SLSP in the proposed schools.

e. Provide the name, title, address, telephone and FAX number of staff persons responsible for the completion and submittal of:

1. Contract and legal documents/forms
2. Program progress reports
3. Financial expenditure reports

f. Please indicate whether or not the agency is incorporated, the type of agency applying for funding, the fiscal year for the applicant agency, the agency's federal employer ID number and/or town code number, the applicant's Medicaid provider status and Medicaid number, if any, and if the applicant agency is registered as a Connecticut Minority Business Enterprise and/or Women Business Enterprise.

2. Scope of Services & Program Requirements (35)

All proposals must address or comply with the following scope of service specifications:

a. The proposal must describe the project in its entirety. Submitted proposals must clearly describe services and activities that will be provided, and how the funding for the project will increase or improve the oral health of the children served.

b. The contractor shall demonstrate program policies that support cultural competence. This means that all human services POS contractors with DPH must provide culturally and linguistically appropriate services to clients and must have in place administrative policies that promote such services.

c. The proposer must provide the following services and the proposer's approach must be addressed in the proposal:

- The Proposer must include a description of the range of services provided, and experience or qualifications relevant to this application, including discussion of success and challenges in serving these populations. Services are to include: coordination of dental sealant services for children with a primary focus on children in first and second grades with erupted first molars and sixth and seventh grades with erupted second molars that include: risk assessment screenings, the application of dental sealants, evaluation of dental sealant retention, dental health promotion/education, referral for follow-up and urgent dental care needs, documentation of designated SEAL CT! data variables, and participation in the Connecticut Dental Sealant Advisory. **Application of fluoride varnish is highly recommended, but will not be eligible for funding under this proposal.**

d. Applicants must address how they will offer education on the value of sealants in the prevention of dental disease to encourage positive permission for dental sealant placement to all parties. Programs must improve access to oral health prevention measures notably through education for:

- educational administrators/teachers;
- Parents/guardians; and
- students.

e. Fluoride Varnish:

- Fluoride varnish applications are highly recommended; **however, funds may not be budgeted for the treatments**. In the narrative, state if your program intends to apply varnish and how it will be provided.

- Additional points may be awarded to those programs that are a combination program of sealants and fluoride/varnish.

- Successful applicants who indicate in their proposal a commitment to place varnish financed through other funds will be required to provide fluoride for the duration of the funding period. Failure to fulfill their commitment to apply fluoride varnish may negatively impact compliance with the terms of the contract resulting from this competitive process.

f. Program Requirements:

1. **Emergency Service Plan:** One of the many benefits of a dental sealant program is to have the opportunity to screen children who might otherwise go un-screened**.** If and when a child presents in need of immediate dental treatment, the grantee will be required to notify the parent/guardian and school nurse to provide a follow-up care plan for emergent care.

- Describe a plan that provides a sound referral and follow-up care plan, to provide emergency dental services for children referred through the SEAL CT! Program. Attach a Memorandum of Understanding (MOU), contract, or similar agreement with a FQHC, community clinic, dental school, or other dental provider that demonstrates a commitment to provide emergency dental services for children referred through the SEAL CT! Program. The dental services should be available within a 20 mile radius of the school(s), thus more than one MOU may be needed. This plan can include a referral process to the Connecticut Dental Health Partnership Care Coordination system for children who are participants in the Connecticut Medicaid/CHIP program if no other option is available for the child to receive emergent dental care.

- Include a sound plan for facilitating linkages and/or coordinated services and referrals with other Safety Net Programs (e.g. SBHCs, FQHCs) in order to improve service delivery, and to facilitate the provision of dental services beyond those provided by the program, such as restorative dental care and the establishment of a dental home.

2. **Quality Assurance/Performance Improvement Plan:** Describe your organization's plan to measure quality, including clinical and infection control quality assurance measures and benchmarks for participation and outreach. The plan should include, but not be limited to: staff training and calibration, retention screening and data methods, addressing parent and school staff satisfaction, cultural competency, effectiveness of care coordination services and outreach to school staff, children, and parents, follow up care referral and evaluation plans.

3. **Professional Standards:** Programs must adhere to professional standards as outlined in the State of Connecticut Dental/Dental Hygiene Practice Acts and Connecticut DPH School Based Sealant Program Manual:

    - Dental Hygiene Practice Act: http://www.ct.gov/dph/cwp/view.asp?a=3121&q=389268
    - Dental Assistant: http://www.ct.gov/dph/cwp/view.asp?a=3121&q=397864&dphNav_GID=1821
    - Dental Practice Act: http://www.ct.gov/dph/cwp/view.asp?a=3121&q=389290
    - DPH Facilities Licensing: http://www.ct.gov/dph/cwp/view.asp?a=3115&q=468182&dphNav=%7C
    - Connecticut Seal CT! SBSP/SBLP Manual will be provided to Grantees.

4. **SEAL CT! Training:** Guidelines for SEAL CT! Programs will be covered in the SEAL CT! training offered by Connecticut DPH Office of Oral Health. This course will be available via Train CT and is required to be taken by all program staff prior to dental sealant placement by October 15 of the first grant year and subsequently new staff as hired with in the first thirty days of hire. Directions for the online program access will be sent directly upon funding approval to ensure sufficient time is available to review and complete the entire course.

5. **Dental Sealant Material:** Programs must assure dental sealant material is approved by the ADA and applied according to manufacturer's specifications. Due to the inability to adjust dental sealants in school based settings, **SEAL CT! Program recommends using dental sealant materials with 10% or less of filler.**

6. **Techniques:** The four-handed sealant placement technique is encouraged, or the Isolite/Iso- dry system to assist in maintaining a dry field.

7. **Evaluation requirements: Programs must evaluate their dental sealant program and provide the results to CT DPH OOH by October 15th of each grant year**:

- Provide your evaluation process in writing and forms to be used within the application package.
- Evaluations such as satisfaction surveys must be distributed to school administrators (teachers, principals, nurses, etc.) and parents or guardians of students who received dental sealants.
- Evaluation of patient/child education must also be provided (i.e. pre/post-test questionnaires, etc.).

8. **Retention checks:**

- Programs must perform a sealant retention check on no less than 20% of children within a 7-12 month range initially and if applicable, subsequent evaluations.
- If the same provider is used and the same materials are used at all sites then 20% of students in the program must have retention checks, not necessarily 20% in each specific school.
- The target goal is to maintain sealant retention rates of 90% or better on occlusal surfaces and 65% or better in buccal and lingual grooves.
- **The full 20% of retention checks must be performed and tracked at 7-12 months following the sealant placement**.
- Any students (dental hygiene/dental) used to place sealants within the program must have 100% of sealants checked at time of placement and subsequent visits.
- When dental sealants have not been retained on retention check 12 months or less, then they must be immediately replaced free of charge for the student. **Acknowledge the understanding of these requirements within your grant proposal.**

9. **Billing requirements**:

- Medicaid and third party payers must be billed, when applicable.
- Enrollment assistance must be provided to families without coverage who are eligible. This can be satisfied through a flyer with information or through other avenues such as the Connecticut Dental Health Partnership: https://www.ctdhp.com/default.asp

10. **Program sustainability:** Programs must identify plans on sustaining their dental sealant program after the funding period.

11. **Quarterly meetings:**

- CT DPH OOH will meet with grantees quarterly either in person or via conference call.
- CT DPH OOH will perform a minimum of two scheduled site visits, at program location, throughout the grant year.
- The site visits will take place while sealants are being placed on children through the school-based school-linked sealant program.
- The purpose of the visits is to review work plans and have face-to-face dialogue about the progress, challenges and successes of the grantees sealant program.

12. **Memberships**: **Current membership in the Connecticut Dental Sealant Advisory is required. Please note any additional relevant memberships that your organization currently holds.**

13. **Location: Services must be conducted within the State of Connecticut**.

14. **Logo:** The Seal CT! logo will be placed on all brochures, forms, etc. that are provided to schools, parents and students**.** The logo will be provided by the CT DPH OOH upon funding.

15. **Infection control:** Programs must adhere to the Occupational Safety and Health Administration (OSHA); Connecticut Department of Public Health Dental Practice Act standards; Organization for Safety, Asepsis, and Prevention (OSAP);and Centers for Disease Control and Prevention (CDC) guidelines on infection control including hand washing, spore testing, and mobile dental units:

    - Superior sterilization and infection control must be maintained at all times, by all persons. Barriers must be utilized. Cross contamination must be avoided at all times.

    - Spore testing reports will be maintained and records made available to CT DPH OOH during site visits.

    - A completed Organization for Safety, Asepsis, and Prevention (OSAP) checklist for mobile programs must be maintained and updated annually, or more often if needed. The following links will provide guidance for your plan:

        1. http://c.ymcdn.com/sites/www.osap.org/resource/resmgr/Checklists/OSAP.checklist.portabledenta.pdf

        2. http://www.cdc.gov/oralhealth/infectioncontrol/guidelines/index.htm

    - A Connecticut specific training will be provided by the Department and participation will be required of grantees.

3. Staffing Plan (5)

All proposals must address or comply with the following staffing specifications:

a. Staffing Requirements:

- The proposal must describe the staff assigned to this project including job descriptions, number of hours of week, and hourly rates must be provided for all staff funded through this project. The proposal must include the extent to which staff has the appropriate training and experience to perform assigned duties. Resumes must be provided for all professional staff assigned to this project. The profile of staff who will be working on this project is clear, and adequate time is allocated to manage the services to be provided.

b. Key Personnel / Managers / Staff Assigned:

- The proposer must describe the administrative structure and oversight for the project. Identify the Project Manager and the individuals that will comprise the Project Team responsible for managing the project(s) and the staff assigned to this project, including the extent to which they have the appropriate training and experience to perform assigned duties. The Proposer must complete and attach the Position Schedule 2a, Attachments Section V. A. 6 **(Attach resumes and job descriptions for all staff assigned to this project as appendices).**

c. Staffing Level and Demographics of Organization Work Force:

- The proposer must complete and attach an organizational Work Force Analysis in Attachments Section V. A. 12 Application Forms. The proposer must also provide evidence that the applicant will utilize small and minority businesses whenever feasible and appropriate in the purchase of supplies and services.

d. Staff Qualifications/Experience:

- The proposer must describe staff qualifications and experience including any credentials or licensure. Describe the Project Team's ability to manage risk and take corrective action as necessary.

- If **dental hygiene students** are utilized by the program to place dental sealants, a faculty member must be on site at all times. All (100%) sealants placed by students must have retention checks performed and documented.

e. Organizational Chart:

- The proposer must include an organizational chart in Proposal Outline Section IV. H.C. Appendices.

f. Subcontractors:

If subcontractors will be used in the proposed project, specify the following information for each one:

- Legal Name of Agency, Address, FEIN
- Contact Person, Title, Phone, Fax, E-mail
- Services Currently Provided
- Services To Be Provided Under Subcontract
- Subcontractor Oversight
- Subcontract Cost and Term
- Subcontractor Qualifications (see Staffing Requirements above)

NOTE: The proposal must include a completed Subcontractor Schedule A—Detail Form for each subcontractor proposed (If known at application time, otherwise, will be required to submit during contract negotiations; see Attachments Section V. A. 7. Application Forms).

4. Data/Information Management (10)

Successful applicants will clearly describe experience in the following criteria:

a. The Proposer must demonstrate the ability to collect, store, and report **SEAL CT! Dental Sealant Program Data (Data variables will be made available upon request)**.

b. SEAL CT! data requirements will include, but not be limited to, establishment of an automated system to enable collection, storage and transmission of data electronically to DPH; and capacity to develop reports per DPH specifications, which support documentation of delivered services. Applicants must have computer hardware and software for collecting, storing, and managing data.

5. Work Plan (20)

Successful applicants will clearly address the following specifications:

a. The proposal must contain a comprehensive and realistic work plan with SMART objectives, describing the proposed project(s), activities, expected outcomes, measures of success and timelines using the Work Plan form provided. (See Section V. 9. Application Forms). SMART objectives are objectives that are Specific, Measurable, Achievable, Realistic, and Time-bound. The work plan must be consistent with the RFP and the project's goals and objectives. The work plan shall include a comprehensive description of the:

- Goals and measurable objectives
- Activities (include staff responsible)
- Outcome Measures
- Timeframe
- The detailed Work Plan form shall be completed in Landscape and provided in the required format. Abbreviations and acronyms must be spelled out the first time they appear. Complete sentences should be used.

b. The purpose of the newly available funds is to expand/enhance the delivery of dental sealants in school-based/school-linked dental sealant programs. The following funding parameters must be met and demonstrated in your work plan:

- The priority for the use of these funds is Connecticut's 1st and 2nd grade students with a secondary focus on 6th and 7th grade students.

- The expansion or enhancement must be in Connecticut schools with 50% or more student participation in the FRLP and/or those located in DHPSA designated areas. Please indicate the schools on the designated form in this packet. The following links will assist you in determining this information:
  1. http://datawarehouse.hrsa.gov/topics/shortageAreas.aspx
  2. http://datawarehouse.hrsa.gov/geoAdvisor/ShortageDesignationAdvisor.aspx
  3. http://sdeportal.ct.gov/Cedar/WEB/ct_report/CedarHome.aspx .

D. COST PROPOSAL

1. Financial Profile (5)

The applicant's approach must be addressed as to the extent to which a cost effective budget correlates to the services provided in each line item and follows eligibility guidelines.

a. Fiscal Competitiveness:
The Proposer must describe how the proposal is fiscally competitive, including how staffing and service delivery costs are competitive with similar organizations in order to attract and maintain qualified staff and provide services in a cost efficient manner. The proposer must also define fiscal stability as indicated in the organization's most recent fiscal audit. The proposer must have financial control procedures in place and documented and must provide periodic financial status reports and year-end final reports as per Department provided reporting format. The Contractor will be responsible for funding for audits.

2. Budget and Budget Narrative (10)

The proposal must contain an itemized budget with justification for each line item on the budget forms included in the Application.

a. All costs (travel, printing, supplies, etc.) must be included in the proposal. Competitiveness of the budget will be considered as part of the proposal review process (Please note: lower levels of Administrative and General Costs will be looked upon more favorably during the proposal evaluation process.)

b. Please complete and attach the budget summary and budget justification forms in Attachments Section V. A. 4.and 5. Application Forms. Add pages to the required forms as needed in the format provided.

c. The State of Connecticut is exempt from the payment of excise, transportation and sales taxes imposed by the Federal and/or state government. Such taxes must not be included in contract prices.

d. The maximum amount of the bid may not be increased after the proposal is submitted. All cost estimates will be considered as "not to exceed" quotations against which time and expenses will be charged.

e. The proposed budget is subject to change during the contract award negotiations.

f. The selected Contractor must provide DPH with five copies of the subcontract to be submitted once the grant is awarded. **All information required of the contractor must be applied to the subcontractor.**

g. Copies of state set aside certifications for small and/or minority business must also be provided**.**

h. Payments will be negotiated based on time frames and deliverables described in Section III.C.2

i. Total available funding is $400,000 for a two-year period, beginning September 1, 2016 through August 31, 2018. Third party reimbursement, either through public or private entities, should be actively pursued.

j. Funds available under this announcement must be focused on costs for implementing or enhancing the school based/school linked dental sealant program, and only dental sealant based. If any other treatments are being performed (such as prophylaxis, fluoride or varnish treatments, radiographs, exams, etc.), they **may not** be expended through these funds.

k. **Fluoride varnish**: Fluoride varnish applications are highly recommended, however funds provided through this initiative may not be budgeted for these treatments.

l. This proposal may include the following expenses**:**

1) Professional staff compensation, including costs for coordination, attending Connecticut Dental Sealant Advisory meetings and workshops, clinical services (risk assessment, dental sealant placement, retention checks, and data collection), IT staff (data collection systems development), data collection for dental sealants (SEAL CT! data variables), oral health instruction (students, parents, and school teachers, nurses, and administrators);
2) uncompensated care for uninsured or underinsured children only (this applies to dental sealants only and needs to be captured in the SEAL CT ! data submission);
3) transportation expenses for staff, including expenses to attend Connecticut Dental Sealant Advisory meetings and workshops;
4) equipment items at $5,000 or less;
5) dental materials such as disposable materials; clinical supplies and instruments (for dental sealant placement only), and dental sealant materials; and
6) computer software or hardware.

m. This proposal may not include the following expenses**:**

1) Any costs that are not directly related to the coordination and delivery of dental sealants may not be included in this application for funding. For example, prophylaxis, fluoride varnish, dental exam, fluoride treatments, radiography, etc. (including professional staff compensation to perform these services and staff coordination for these services, etc.);
2) Endowment Funds;
3) Volunteers and Volunteer gifts;
4) Diagnodent or similar caries detection device.

E. APPENDICES (5)

a. Job Descriptions
b. Staff CVs/Resumes
c. Organizational Chart
d. Letters of Support (Applicants should provide *three* letters of support). One letter of support should be obtained from a stakeholder within the community with whom the proposed contractor has a collaborative relationship.)

IV. PROPOSAL OUTLINE

*This section presents the **required** outline that must be followed when submitting a proposal in response to this RFP. Proposals must include a Table of Contents that exactly conforms to the required proposal outline (below). Proposals must include all the components listed below, in the order specified, using the prescribed lettering and numbering scheme. Incomplete proposals will not be evaluated.*

	Page
A. Cover Sheet	**1**
B. Table of Content	**2**
C. Declaration Confidential Information	**Cont.**

(See I. General Information, C. Instructions, 12. Declaration of Confidential Information)

D. Conflict of Interest - Disclosure Statement

(See I. General Information, C. Instructions, 13. Conflict of Interest-Disclosure Statement)

E. Executive Summary

(See I. General Information, D. Proposal Format, 4. Executive Summary)

F. Main Proposal:

(See III. Program Information, C. Main Proposal Components)

1. Organizational Requirements and Profile (10 points)

a. Overview of the history and structure of the organization

b. How this proposal will fit into the organization's overall mission and meet the intent of this RFP

c. History of past affiliation with school-based/school-linked sealant programs

d. Demonstrate that the proposed schools are willing participants in the sealant program:

1. a signed commitment letter from an administrator of each identified school
2. statement of schools which are $\geq$ 50% FRLP and /or DHPSA areas
3. demonstrate that each school in your program has a current DPH outpatient license or plans to obtain one

e. Name, title, address, telephone, and fax numbers of staff persons responsible for the completion and submittal of:

1. contract and legal documents/forms
2. program progress reports
3. financial expenditure reports

f. Indicate whether or not the agency is incorporated, the type of agency applying for funding, the fiscal year for the applicant agency, federal ID number and/or town code, Medicaid provider status and, if applicable, Medicaid number, and if registered as a Connecticut Minority Business Enterprise and /or Women Business Enterprise

2. Scope of Services & Program Requirements (35 points)

a. Describe the project in its entirety. Describe activities that will be provided, and how the funding for the project will increase or improve the oral health of the children being served.

b. Establish and/or implement program policies that support cultural competence through culturally and linguistically appropriate services to clients and have in place administrative mechanisms that promote such services.

c. Description of the range of services provided, and experience or qualification relevant to this application.

d. Address how you will offer education on the value of sealants in the prevention of dental disease and encourage positive permission for dental sealant placement to all parties (educational administrators/teachers; parents/guardians; and students).

e. State whether your program intends to apply fluoride varnish and how it will be provided (funds may not be budgeted).

f. Describe Emergency Service Plan.

g. Describe Quality Assurance/Performance Improvement Plan.

h. Provide your evaluation process in writing and forms to be used within the application package. (See Section III.f.7)

i. Program Sustainability (See Section III.f.10): Identify plans on sustaining dental sealant program after the funding period.

j. Infection control (See Section III.f.15): Include a completed OSAP plan for mobile programs and commitment to updating it annually and more often if needed.

3. Staffing Plan (5 points)

4. Describe the staff assigned to this project including job description, number of hours per week, hourly rates, extent to which staff has the appropriate training and experience to perform assigned duties. Resumes must be attached for all staff assigned to this project. Attach resumes and job descriptions for all staff as appendices.

5. Describe the administrative oversight for the project. Identify the Project Manager, Project Team responsible for managing the project, and the staff assigned to this project including job description, number of hours per week, hourly rates, extent to which staff has the appropriate training and experience to perform assigned duties. Resumes must be attached for all staff assigned to this project. Attach completed Position Schedule 2a, in Attachments Section V.A.6

6. Include completed organizational Workforce Analysis in Attachments Section V.A. 13 Application forms. Evidence that the applicant will utilize small and minority businesses whenever feasible and appropriate in the purchase of supplies and services.

7. Describe staff qualifications and experience including any credentials or licensure.

8. Describe the Project Team's ability to manage risk and take corrective action as necessary. Include an organizational chart in Section IV, H.c. Appendices.

9. If subcontractors are used, specify legal name of agency, address, FEIN, contact person phone, fax, and email address; services currently provided, serves to be provided with subcontract, subcontractor oversight, subcontractor cost and term, and subcontractor qualifications (Please refer to staffing requirements).

10. Include a completed Subcontractor Schedule A-Detail Form for each subcontractor proposed (If known at application time, otherwise, will be required to submit during contract negotiations. See Attachments Section V.A.7 Application Forms).

11. Data/Information Management (10 points)

12. Demonstrate the ability to collect, store, and report SEAL CT! Dental Sealant Program Data including establishment of an automated system to enable collection, storage, and transmission of data electronically to DPH; and capacity to develop reports per DPH specifications, which support documentation of delivered services.

5. Work Plan (20 points)

a. Include a comprehensive work plan with SMART objectives (See Section V. 8 Application Forms). The work plan must be consistent with the RFP and shall include a comprehensive description of goals and objectives, activities (include staff responsible), outcome measures, time frame, and be in the format as outlined in Section III.5.a.).

b. Demonstrate the priority for the use of these funds in Connecticut's 1st and 2nd grade students with a secondary focus on 6th and 7th grade students.

c. Demonstrate the expansion or enhancement in Connecticut's schools with 50% FRLP and /or those located in DHPSA designated areas (See links III.5.b).

G. Cost Proposal (See III. Program Information, D. Cost Proposal Components)

1. Financial Profile (5 points)

a. Fiscal competiveness:
1. Staffing and service delivery costs are competitive with similar organizations.
2. Fiscal stability as indicated in the organization's most recent fiscal audit.

2. Budget and Budget Narrative (10 points)

a. Include itemized budget. Complete and attach the budget summary and justification forms (See Attachments Section V.A. 4 and 5).
b. Include copies of state set aside certifications for small and/or minority business.

H. Appendices (5 points)

a. Job descriptions
b. Staff CVCs/ Resumes
c. Organizational Chart
d. Three (3) Letters of Support

I. Forms

1. Department

a. Cover Sheet
b. Applicant Information
c. Budget Summary
d. Budget Justification
e. Position Schedule 2a
f. Subcontractor Schedule- Detail
g. School Eligibility Form
h. Work plan
i. Consulting Agreement Affidavit
j. Affirmative Action
k. Notification to Bidders
l. Workforce Analysis

V. ATTACHMENTS

A. APPLICATION FORMS: *The following forms must be completed and included in the proposal submission as applicable and directed.*

1. Cover Sheet 27
2. Applicant Information Form (continuation) 28
3. Budget Summary Instructions 29
4. Budget Justification Schedule B Form 30
5. Budget Summary 1 Form 31
6. Position Schedule #2A Form 33
7. Subcontractor Schedule A- Detail Form 34
8. School Eligibility Form 35
9. Work Plan Form 36
10. OPM Consulting Agreement Affidavit 37
11. Affirmative Action Contract Compliance Policy Statement 38
12 Notification to Bidders. 39
13. Workforce Analysis 40
14. Informational Attachments List. 41

B. INFORMATIONAL ATTACHMENTS: *The following attachments are for your information only. These attachments will be used for applicants awarded funding and will be requested during the contract development process.*

1. Nondiscrimination Certification Instructions 46
2. Nondiscrimination Certification - Affidavit By Entity 47
3. False Claims Act Compliance Notification 48
4. False Claims Act (Policy) 49
5. False Claims Act (Procedure) 52
6. SEEC Form 11- Campaign Contribution and Solicitation Limitations 55
7. Preliminary Review Team Technical Criteria Worksheet 58

CONNECTICUT DEPARTMENT OF PUBLIC HEALTH
COVER SHEET

SEAL CT! SBSP/SBLP Dental Sealant Program
DPH RFP 2016-0904 REQUEST FOR PROPOSAL

Applicant Information

Applicant Agency: _____
Legal Name

_____
Address

_____
City/Town State Zip Code

_____ _____ _____
Telephone No. FAX No. Email Address

Contact Person: _____ Title: _____

Telephone No: _____

TOTAL PROGRAM COST: $_____

I certify that to the best of my knowledge and belief, the information contained in this application is true and correct. The application has been duly authorized by the governing body of the applicant, the applicant has the legal authority to apply for this funding, the applicant will comply with applicable state and federal laws and regulations, and that I am a duly authorized signatory for the applicant.

_____ _____
Signature of Authorizing Official: Date

_____
Typed Name and Title

The applicant agency is the agency or organization, which is legally and financially responsible and accountable for the use and disposition of any awarded funds. Please provide the following information:

- Full legal name of the organization or corporation as it appears on the corporate seal and as registered with the Secretary of State
- Mailing address
- Main telephone number
- Fax number, and email address, if any
- Principal contact person for the application (person responsible for developing application)
- Total program cost

The funding application and all required submittals must include the signature of an officer of the applicant agency who has the legal authority to bind the organization. The signature, typed name and position of the authorized official of the applicant agency must be included as well as the date on which the application is signed.

Applicant Information Form (continuation)

PLEASE LIST THE AGENCY CONTACT PERSONS RESPONSIBLE FOR COMPLETION AND SUBMITTAL OF:

Contract and Legal Documents/Forms:

Name	Title	Tel. No.
Street	Town	Zip Code
Email		Fax No.

Program Progress Reports:

Name	Title	Tel. No.
Street	Town	Zip Code
Email		Fax No.

Financial Expenditure Reporting Forms:

Name	Title	Tel. No.
Street	Town	Zip Code
Email		Fax No,

Incorporated: ☐ YES ☐ NO **Agency Fiscal Year:**

Type of Agency: ☐ Public ☐ Private ☐ Other, Explain: _____

☐ Profit ☐ Non-Profit

Federal Employer I.D. Number: _____ **Town Code No:**

Medicaid Provider Status: ☐ ☐ **Medicaid Number:**

Minority Business Enterprise (MBE): ☐ ☐

Women Business Enterprise (WBE): ☐ ☐

A. **Budget Summary Instructions**

1. **Position Schedule #2a**
   a. Complete the schedule for all positions to be funded even if currently vacant.
   b. Complete one Position Schedule #2a for each Program/Fund to be included in the Budget.
2. **Personnel** (lines #1 - #2)
   a. Line #1 **Salary and Wages:** Enter the total salary charged, as listed on Position Schedule 2a.
   b. Line #2 **Fringe Benefits Line:** Enter the total fringe benefits charged, as listed on Position Schedule 2a.
3. Line #8 **Contractual (Subcontracts):** Provide the total of all subcontracts and complete Subcontractor Schedule.
4. Lines #3 - #7, #9, and #10: Complete categories as appropriate,
5. Line #11: Other Expenses are any other types of expense that do not fit into the categories listed.

   For example: Equipment. Please note that the state's definition of equipment is tangible personal property with a normal useful life of at least one year and a value of at least $5,000 or more.
6. **Audit Costs:** The cost of audits made in accordance with OMB Circular A133 (Federal Single Audit) are allowable charges to Federal awards. The cost of State Single Audits (CGS 4-23 to 4-236) are allowable charges to State awards. Audit costs are allowable to the extent that they represent a pro-rata share of the cost of such audit. Audit costs charged to Department of Public Health contracts **must be budgeted, reported and justified as an audit cost line item within the Administrative and General Cost category.**
7. **Administrative and General Costs,** Line Item #12
   a. Are defined as those costs that have been incurred for the overall executive and administrative offices of the organization or other expenses of a general nature that do not relate solely to any major cost objective of the overall organization. Examples of A&G costs include salaries of executive directors, administrative & financial personnel, accounting, auditing, management information systems, proportional office costs such as building occupancy, telephone, equipment, and office supplies. Please review the OPM website on Cost Standards for more information at: http://www.opm.state.ct.us/finance/pos_standards/coststandards.htm.
   b. **Administrative and General Costs** must be itemized on the Budget Justification Schedule. Costs that have a separate line item in the Budget Summary may not be duplicated as an Administrative and General Cost. For example, if the Budget Summary includes an amount for telephone costs, this cannot also be included as an Administrative and General Cost.
8. **Other Program Income** list any other program income, if appropriate, such as in-kind contributions, fees collected, or other funding sources and include brief explanation on Budget Justification.
9. **Multiple Funding Period Contracts:** Please complete a full budget for each Funding Period of the contract, clearly indicating the Period on each form. Absent other instructions, assume level funding for the second year.

B. **Budget Justification Schedule B**

1. Please provide a brief explanation for each line item listed on the Budget Summary. This must include a detailed breakdown of the components that make up the line item and any calculation used to compute the amount.

Line Item (Description)	Amount	Justification - Breakdown of Costs
Travel	$730	1,659 miles @ .44 = $730.00 outreach workers going to meetings and site visits.

2. For contractors who have subcontracts, a brief description of the purpose of each subcontract must be provided. Use additional sheets as necessary.

****Please note: If Laboratory Services is a line item on the primary or subcontract budget, please supply a justification as to why a private laboratory is being used as opposed to the Connecticut State Laboratory.*

C. **Subcontractor Schedule A--Detail**

1. All subcontractors used by each program must be included, if it is not known who the subcontractor will be, an estimated amount and whatever budget detail is anticipated should be provided. (Submit the actual detail when it is available). A separate subcontractor schedule must be completed for each program included in the contract. For example: The contract is providing both a Needle Exchange program and an AIDS Prevention Education Program and Subcontractor "A" is providing services to both program there must be a separate budget for Subcontractor "A" for each.

2. Detail of Each Subcontractor:

   a. Choose a category below for each subcontract using the basis by which it is paid:

      ☐ A. Budget Basis ☐ B. Fee for Service ☐ C. Hourly Rate.

   b. Choose whether the subcontractor is a minority or woman owned business:

   c. ☐ MBE ☐ WBE ☐ Neither

   d. Provide the detail for each subcontract just as for the primary contract budget referencing the corresponding program of the contract. Detail must be provided for each subcontractor listed in the Summary.

      Note: If space allowed is not sufficient for large or complex subcontract budgets, the primary Budget Summary format may be copied and used instead.

Contractor Name, Contract Number

FUNDING PERIOD: 99/99/9999 to 99/99/9999

Contract Period: Contract Start Date to Contract End Date
Budget Summary 1

Program:	**Name**		**Name**		Total
Fund:	**SID 1**	**SID 2**	**SID 3**	**SID 4**	
1. Salaries & Wages					
2. Fringe Benefits					
3. Travel					
4. Training					
5. Educational Materials					
6. Office Supplies					
7. Medical Materials					
8. Contractual (Sub-Contracts)**					
9. Telephone					
10. Advertising					
11. Other Expenses (list)					
a.					
b.					
c.					
d.					
e.					
f.					
g.					
h.					
i.					
12. Administrative and General Costs					
Total DPH Grant					
Other Program Income					

**Complete Sub-contractor Schedule A

Contractor Name, Contract Number

FUNDING PERIOD: 99/99/9999 to 99/99/9999

Contract Period: Contract Start Date to Contract End Date
Budget Justification Schedule B
Program/Site:

Line Item (Description)	Amount	Justification including Breakdown of Costs

Contractor Name, Contract Number

FUNDING PERIOD: 99/99/9999 to 99/99/9999

Contract Period: Contract Start Date to Contract End Date
Position Schedule #2a
Program/Fund

Position Description and Staff Person Assigned	Site/ Location	Hours wk/ wks per Year	Hourly Rate	Total Salary Charged	Fringe Benefit Rate %	Total Fringe Benefits
1.Position: Name:		/			%	
2.Position: Name:		/			%	
3.Position: Name:		/			%	
4.Position: Name:		/			%	
5.Position: Name:		/			%	
6.Position: Name:		/			%	
7.Position: Name:		/			%	
8.Position: Name:		/			%	
9.Position: Name:		/			%	
10.Position: Name:		/			%	
11.Position: Name:		/			%	
12.Position: Name:		/			%	
13.Position: Name:		/			%	
14.Position: Name:		/			%	
15.Position: Name:		/			%	
16.Position: Name:		/			%	
Totals						

***Attach resumes and job descriptions for all Professional Staff**

Subcontractor Schedule A-Detail
Contractor Name, Contract Number

BUDGET PERIOD: 99/99/9999 to 99/99/9999
Contract Period: Contract Start Date to Contract End

#1

Subcontractor Name:
Address:
Telephone: ( ) (-)
Select One: A ☐ Budget Basis B ☐ Fee-for-Service C ☐ Hourly Rate
Indicate One: ☐ MBE ☐ WBE ☐ Neither

Program:	Name		Name		Total
Fund:	SID 1	SID 2	SID 1	SID 2	
Line Item(s)					
Total Subcontract Amount:					

#2

Subcontractor Name:
Address:
Telephone: ( ) (-)
Select One: A ☐ Budget Basis B ☐ Fee-for-Service C ☐ Hourly Rate
Indicate One: ☐ MBE ☐ WBE ☐ Neither

Program:	Name		Name		Total
Fund:	SID 1	SID 2	SID 1	SID 2	
Line Item(s)					
Total Subcontract Amount:					

#3

Subcontractor Name:
Address:
Telephone: ( ) (-)
Select One: A ☐ Budget Basis B ☐ Fee-for-Service C ☐ Hourly Rate
Indicate One: ☐ MBE ☐ WBE ☐ Neither

Program:	Name		Name		Total
Fund:	SID 1	SID 2	SID 1	SID 2	
Line Item(s)					
Total Subcontract Amount:					

Connecticut DPH SEAL CT! SBSP/SBLP Dental Sealant Program School Eligibility (Type)

Connecticut Town/City	Name of School	*Indicate New Schools	HPSA Y=Yes N=No	% Free & Reduced School Lunch Program	Total # 1st Grade Students	Total # 2nd Grade Students	Total # 6th Grade Students	Total # 7th Grade Students

- Attach additional sheets, as needed. Calculate estimated students according to current school year.
- ☐ A map of HPSA County Designation can be found at: http://datawarehouse.hrsa.gov/topics/shortageAreas.aspx
- ☐ Memorandum of Understanding or Agreement, contract, letter or other documentation must accompany this application.
- ☐ Free and Reduced School Lunch Link: http://sdeportal.ct.gov/Cedar/WEB/ct_report/CedarHome.aspx

Work Plan (Use as many pages as you need) **DPH #2016-0904 SEAL CT! SBSP/SBLP Dental Sealant Program**

Goals	**SMART Objectives**(Specific, Measureable, Achievable, Realistic, and Time–bound)	**Activities**	**Staff Position(s) Responsible**	**Outcome Measure(how you will measure your objective)**	**Timeframe for Completion**

STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a State contract for the purchase of goods and services with a value of $50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b)

INSTRUCTIONS:

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b) (1): Complete all sections of the form. If the bidder or contractor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. **If the bidder or contractor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1):** Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: _____]

I, the undersigned, hereby swear that I am a principal or key personnel of the bidder or contractor awarded a contract, as described in Connecticut General Statutes § 4a-81(b), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, **except for the agreement listed below**:

_____ _____
Consultant's Name and Title Name of Firm (if applicable)

_____ _____ _____
Start Date End Date Cost

Description of Services Provided:

_____

_____

Is the consultant a former State employee or former public official? ☐ YES ☐ NO

If YES: _____ _____
Name of Former State Agency Termination Date of Employment

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

_____
Printed Name of Bidder or Vendor **Signature of Chief Official or Individual** **Date**

Printed Name (of above) Dept. of Public Health
Awarding State Agency

Sworn and subscribed before me on this _____ day of _____, _____ .

_____
Commissioner of the Superior Court
or Notary Public

STATE OF CONNECTICUT

DEPARTMENT OF PUBLIC HEALTH

OFFICE OF COMMISSIONER

AFFIRMATIVE ACTION
CONTRACT COMPLIANCE POLICY STATEMENT

The Department of Public Health (DPH) is an Affirmative Action/Equal Employment Opportunity employer, in compliance with all state and federal laws and shall comply with the Contract Compliance Regulations *and* CGS 4a-60 Nondiscrimination and affirmative action provisions in contracts of the state and political subdivisions other than municipalities. Consistent with the Contract Compliance Regulations of Connecticut State Agencies, Sections 46a-68j-21through 46a-68j-43, DPH encourages bidders, contractors, subcontractors, and suppliers to:

- Develop and follow a plan of affirmative action to achieve or exceed parity of employment with the applicable labor market
- Develop and follow an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive
- Submit employment statistics contained in the "Employment Information Form", indicating that the composition of its workforce is at or near parity when compared to the race/sex composition of the workforce in the relevant labor market area
- Develop and follow a plan to set aside a portion of the contract for legitimate minority business enterprises per Section 46a-68j-30(10)(E) of the Contract Compliance Regulations

DPH considers bidders success in these factors in reviewing the bidder's qualifications under the Contract Compliance requirements. Accordingly, any individual or organization that desires to do business with DPH shall:

- Not discriminate or permit discrimination against any protected class person or protected group in the performance of contracts
- Not engage in discriminatory practices *or* permit discriminatory practices in their workplace
- Cooperate with the Connecticut Commission *on* Human Rights and Opportunities in all activities
- In all contract solicitations or advertisements, state that they are an "affirmative action-equal opportunity employer"
- Sign a Notification to Bidders Form, and complete a workforce analysis questionnaire necessary for the contract award process

DPH notifies bidders, contractors, subcontractors, and suppliers of this policy and will not knowingly do business with any contractor, subcontractor or supplier of materials who unlawfully discriminates against members of any class protected under state or federal law. Contractors whose overall employment statistics are not reflective of the general employment area may be required to show good faith efforts to ensure that their personnel policies and practices do not have a discriminatory impact.

Jewel Mullen, MD, MPH, MPA
Commissioner, DPH

7/15/11
Date

NOTIFICATION TO BIDDERS

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71 (d) and 46a-81i (d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 46a-68j-43 of the Regulations of Connecticut State agencies, which establish a procedure for the awarding of all contracts covered by Sections 4a-60 and 46a-71 (d) of the Connecticut General Statutes.

According to Section 46a-68j-30 (9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to "aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials." "Minority Business Enterprise" is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: "(1) Who are active in the daily affairs of the enterprise; (2) Who have the power to direct the management and policies of the enterprise; and, (3) Who are members of a minority, as such term is defined in subsection (a) of Section 32-9n." "Minority" groups are defined in Section 32-9n of the Connecticut General Statutes as "(1) Black Americans ... (2) Hispanic Americans ... (3) Women ... (4) Asian Pacific Americans and Pacific Islanders; or (5) American Indians." The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21 (11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder's qualifications under the contract compliance requirements.

a) the bidder's success in implementing an affirmative action plan;

b) the bidder's success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-18 of the Connecticut General Statutes, inclusive;

c) the bidder's promise to develop and implement a successful affirmative action plan;

d) the bidder's submission of EEO-1 data indicating the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and,

e) the bidder's promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30 (10) (E) of the Contract Compliance Regulations.

INSTRUCTION: Bidder must sign acknowledgment below line and return acknowledgment to Awarding Agency along with the bid proposal.

The undersigned acknowledges receiving and reading a copy of the "Notification to Bidders" form.

_____ _____

Signature Date

On behalf of:

WORKFORCE ANALYSIS

Contractor Name: Total Number of CT employees:
Address: Full Time: Part Time:

Complete the following Workforce Analysis for employees on Connecticut worksites who are:

Job Categories	Overall Totals (sum of all cols. male & female)	White (not of Hispanic Origin)		Black (not of Hispanic Origin)		Hispanic		Asian or Pacific Islander		American Indian or Alaskan Native		People with Disabilities	
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Officials & Managers													
Professionals													
Technicians													
Office & Clerical													
Craft Workers (skilled)													
Operatives (semi-skilled)													
Laborers (unskilled)													
Service Workers													
Totals Above													
Totals 1 year Ago													
FORMAL ON-THE-JOB TRAINEES (Enter figures for the same categories as are shown above)													
Apprentices													
Trainees													

EMPLOYMENT FIGURES WERE OBTAINED FROM:	Visual Check:	Employment Records	Other:

1. Have you successfully implemented an Affirmative Action Plan? ☐ YES ☐ NO
   Date of implementation:_____ If the answer is "No", explain.

1. a) Do you promise to develop and implement a successful Affirmative Action?
   ☐ YES ☐ NO ☐ Not Applicable Explanation:

2. Have you successfully developed an apprenticeship program complying with Sec. 46a-68-1 to 46a-68-18 of the Connecticut Department of Labor Regulations, inclusive: ☐ YES ☐ NO ☐ Not Applicable Explanation:

3. According to EEO-1 data, is the composition of your work force at or near parity when compared with the racial and sexual composition of the work force in the relevant labor market area? ☐ YES ☐ NO Explanation:

4. If you plan to subcontract, will you set aside a portion of the contract for legitimate minority business enterprises?
   ☐ YES ☐ NO Explanation:

_____ _____
Contractor's Authorized Signature Date

■ **B. INFORMATIONAL ATTACHMENTS:** *The information and forms in this section are for your reference only. The information contained herein will be required of applicants awarded funding and will be requested during the contract development process. Some of the indicated information may be submitted electronically.* **Do not include any of the forms included here with your proposal**.

1. Nondiscrimination Certification Instructions 46
2. Nondiscrimination Certification 47
3. False Claims Act Notification 48
4. False Claims Act Policy 49
5. False Claims Act Procedure 52
6. SEEC Form 11- Campaign Contribution and Solicitation Limitations. . . . 55
7. Preliminary Review Team Technical Criteria Worksheet 58

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Nondiscrimination Certification Instructions

The governing body of your **corporation, company, or entity** must adopt policies **and/or** pass a resolution adopting and supporting nondiscrimination agreements and warrantees as indicated in the *attached* Certification form.

If an **individual**, you must certify that you will adhere to the required nondiscrimination agreements and warrantees, as indicated in the *attached* Certification form.

Individual **Use FORM A**	**Corporation, Company or Entity** *Use FORM B (under $50,000) or FORM C ($50,000 or more)*
For an individual, enter your full legal name and address of residence.	**Enter the legal Name and Title of the Authorized Signatory if not already included on the form. This is the person *named* in the Secretarial Certification as authorized to sign.** Alternately, the person authorized to certify the authorized signatory may sign this certification. If this option is chosen, the individual signing the secretarial certification and the nondiscrimination certification should be the same individual.
This does not apply for contracts with individuals.	Enter Corporation / Contractor Name with **no** abbreviations unless it is legally abbreviated in the charter if not already included on the form. Exception: Corp. is a legal abbreviation.
This does not apply for contracts with individuals.	Enter State or Commonwealth of Incorporation where required if not already included on the form
Enter the Day, Month, Year on which the certification is signed. This date must be the same or later than the date the Contract is signed	Enter the Day, Month, Year on which the certification is signed. This date must be the same or later than the date the Contract is signed
Enter the Signer's Signature.	Enter the Signer's Signature.

IMPORTANT

Name of Signer must be typed **exactly** the same at the beginning of Document as at the end of the Document. Signature must match the typed name **exactly.**

It is **not** necessary to have the form notarized unless an area for such appears on the form. Notarization is required, however, if so indicated on the form.

The requirement for notarization exists for contracts including funding in excess of $50,000 per year.

The enclosed form is an official document approved by the Connecticut Office of Attorney General. Substitute documents are not acceptable.

Any type of correction fluid or tape is not acceptable! ***

******* We can supply additional forms if necessary.

cert.instr. 7/10/09

STATE OF CONNECTICUT

Form C
7/8/09

NONDISCRIMINATION CERTIFICATION — Affidavit
By Entity
For Contracts Valued at $50,000 or More

Documentation in the form of an affidavit signed under penalty of false statement by a chief executive officer, president, chairperson, member, or other corporate officer duly authorized to adopt corporate, company, or partnership policy that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended

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INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at $50,000 or more for any year of the contract. Complete all sections of the form. Sign form in the presence of a Commissioner of Superior Court or Notary Public. Submit to the awarding State agency prior to contract execution.

AFFIDAVIT:

I, the undersigned, am over the age of eighteen (18) and understand and appreciate the obligations of an oath.

I am _____ of _____, an entity
Signatory's Title — Name of Entity

duly formed and existing under the laws of _____
Name of State or Commonwealth

I certify that I am authorized to execute and deliver this affidavit on behalf of

_____ and that _____
Name of Entity — Name of Entity

has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut

General Statutes §§ 4a-60(a)(1)and 4a-60a(a)(1), as amended.

_____
Authorized Signature

_____
Printed Name

Sworn and subscribed to before me on this _____ day of _____, _____.

_____ _____
Commissioner of the Superior Court / Notary Public — **Commission Expiration Date**

FALSE CLAIMS ACT
COMPLIANCE NOTIFICATION

This Contract requires compliance with The Deficit Reduction Act ("Act") of 2005, which requires that the contractor or "qualified provider" receiving the contract comply with the Department's False Claims Act Policy and Procedure as follows:

1. Review, print, and maintain on file the following Department's False Claims Act Policy and False Claims Act Procedure.
2. Provide appropriate notice of the requirements of the Policy and Procedure by providing copies of the Department's False Claims Policy and False Claims Procedure to all employees of your organization, including officers and officials as well as subcontractors providing services funded by this Contract, in accordance with the requirements of Section 4.3.3 of the Department's False Claims Act Procedure.

Do not return the False Claims Policy or False Claims Procedure to the Department. Your signature on the executed Contract confirms your receipt and compliance with the Department's False Claims Act compliance requirement.

	False Claims Act (Policy)	PL-CGMS C-001 Revision: 1.0 Effective Date: 05/21/2010

APPROVAL SIGNATURES		DATE
J. Robert Galvin, M.D., M.P.H. (original signature on file)	Commissioner of Public Health	05/21/2010

REVISION HISTORY			
Revision	Description of Change	Author	Effective Date
Basic	Initial Release	Bruce Wallen	05/21/2010

REFERENCE DOCUMENTS	
Document	Title
The Deficit Reduction Act ("Act") of 2005	Section 6032
United States Code (U.S.C.)	Sections 3729-3733
Connecticut General Statutes (C.G.S.)	Section 53a-290 Vendor Fraud
Connecticut General Statutes (C.G.S.)	Section 4-61dd Whistleblower
Connecticut General Statutes (C.G.S.)	Section 31-51m Blacklisting
Connecticut General Statutes (C.G.S.)	Section 17b-127 General Assistance

1.0 Purpose

The Deficit Reduction Act ("Act") of 2005 is the federal government's legislative effort to control spending for entitlement programs, such as Medicaid. The Act seeks to control spending by reducing federal overpayments for prescription drugs and medical services, thereby improving the integrity of federally funded entitlement programs.

2.0 Scope

Section 6032 of the Act states that any entity, such as the Department of Public Health (Department), which receives or makes payments under a state plan approved under Title XIX or under a waiver of such plan, totaling at least $5,000,000 annually, is required to establish written policies providing detailed information about the False Claims Act ("FCA") and any state false claims laws to all Department employees, contractors and agents. The Department is also required to establish and inform all employees, contractors, qualified providers and agents about the Department's policies and procedures for the detection and prevention of fraud, waste and abuse, the protection afforded to any person who reports an incident of a false claim to a regulatory body (e.g., Whistleblower Protection) and any civil or criminal penalties for false claims.

3.0 Definitions and Acronyms

Specialized acronyms and definitions identified in this contract procedure are defined below.

3.1 Acronyms

"CGMS"	The Connecticut Department of Public Health, Contracts & Grants Management Section
"Department"	The State of Connecticut Department of Public Health
"FCA"	False Claims Act
"PFCRA"	Program Fraud Civil Remedies Act

3.1 Definitions

Claim - means any request or demand, whether under a contract or otherwise, for money or property which is made by a contractor, grantee, or other recipient if the United States government provides any portion of the money or property which is requested or demanded or if the government will reimburse such contractor, grantee, or other recipient for any portion of the money or property which is requested or demanded.

Contractor or Agent - means any contractor, subcontractor, agent, qualified vendor, consumer or family member who act as an employer or other person which or who, on behalf of the entity, furnishes, or otherwise authorizes the furnishing of, Medicaid health care items or services, performs billing or coding functions, or is involved in the monitoring of health care provided by the entity.

Employee - means any officer or employee of the entity, contractor, or agent.

Entity - means a governmental agency, organization, unit, corporation, partnership or other business arrangement, including Medicaid managed care organizations, whether for profit or not-for-profit, which receives or makes payments, under a state plan approved under Title XIX or under any waiver of such plan, totaling at least $5,000,000 annually.

Knowing and Knowingly - means that a person with respect to information 1) has actual knowledge of the information; 2) acts in deliberate ignorance of the truth or falsity of the information; or 3) acts in reckless disregard of the truth or falseness of the information.

4.0 Compliance

4.1 False Claim Act

The FCA prohibits any person, firm, corporation or entity from knowingly presenting, or causing to be presented, a false claim or statement to a federally funded program, including Medicaid, or conspiring to defraud the federal government. Any person, company or entity that acts in deliberate ignorance of or with reckless disregard of the truth of such information is considered to have acted knowingly.

The civil penalty for violating the FCA is a fine of not less than $5,000 and not more than $10,000 per violation. The person, company or entity may also be fined an additional three times the amount of damages sustained by the federal government. The PFCRA also provides that any person or company that commits fraud by making a false statement or claim can be assessed a penalty of $5,000 per false claim or statement in addition to the penalties available under the FCA.

A person may bring a civil action for violating the FCA on behalf of said person and the United States government. If the federal government proceeds with an action brought by such person then that person shall receive at least 15 percent but not more than 25 percent of the proceeds of the action or settlement. If the federal government does not proceed with the action and the person initiating the action proceeds, then the person bringing the action shall receive a reasonable amount, to be determined by the court, but not less than 25% and not more than 30% of the proceeds of the action or settlement.

The FCA prohibits retaliation by an employer against an employee for bringing a false claim action or participating in such action (W histleblower Protection). Any employee subject to retaliation by an entity, contractor or agent shall be entitled to all relief necessary to make the employee whole, including but not limited to reinstatement, two times the amount of back pay, interest on back pay and special damages.

4.2 State False Claim Related Acts

Under Connecticut's Vendor Fraud statute it is illegal for a person on his own behalf or on the behalf of an entity, with intent, to fraudulently provide goods or services to a beneficiary or recipient under Title XIX or to fraudulently receive goods or services. Connecticut law also prohibits any vendor from fraudulently providing services or goods for any recipient of General Assistance. The State W histleblower law provides any employee who reports a suspected violation of state or federal law with protection against retaliation by the employer. State law also prohibits any person, corporation, state or political subdivision from blacklisting any employee.

4.3 Compliance Reporting

All DPH employees, contractors and agents, are required to report fraud, waste and abuse to: The Department of Public Health, Contracts & Grants Management Section, 410 Capitol Avenue, MS#13GCT, P.O. Box 340308, Hartford, CT 06134-0308.

	False Claims Act (Procedure)	PR-CGMS C-001 Revision: 1.0 Effective Date: 05/21/2010

APPROVAL SIGNATURES		DATE
J. Robert Galvin, M.D., M.P.H. (original signature on file)	Commissioner of Public Health	05/21/2010

REVISION HISTORY			
Revision	Description of Change	Author	Effective Date
Basic	Initial Release	Bruce Wallen	05/21/2010

REFERENCE DOCUMENTS	
Document	Title
The Deficit Reduction Act ("Act") of 2005	Section 6032
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Connecticut General Statutes (C.G.S.)	Section 4-61dd Whistleblower
Connecticut General Statutes (C.G.S.)	Section 31-51m Blacklisting
Connecticut General Statutes (C.G.S.)	Section 17b-127 General Assistance

	False Claims Act (Procedure)	PR-CGMS C-001 Revision: 1.0 Effective Date: 05/21/2010

1.0 Purpose

This procedure provides guidance to the Department of Public Health on informing all employees, contractors and agents about the Department of Public Health False Claims Policy, PL-CGMS C-001.

2.0 Scope

This procedure applies to all Department of Public Health staff, and officers and employees of contractors, agents, qualified providers and subcontractors funded by the department.

3.0 Definitions and Acronyms

Specialized acronyms and definitions identified in this contract procedure are defined below.

3.1 Acronyms

"CGMS"	The Connecticut Department of Public Health, Contracts & Grants Management Section
"Department"	The State of Connecticut Department of Public Health
"FCA"	False Claims Act
"PFCRA"	Program Fraud Civil Remedies Act
"POS"	Purchase of Service Contract

3.2 Definitions

Claim - means any request or demand, whether under a contract or otherwise, for money or property which is made by a contractor, grantee, or other recipient if the United States government provides any portion of the money or property which is requested or demanded, or if the government will reimburse such contractor, grantee, or other recipient for any portion of the money or property which is requested or demanded.

Contractor or Agent - means any contractor, subcontractor, agent, qualified vendor, consumer or family member who act as an employer or other person which or who, on behalf of the entity, furnishes, or otherwise authorizes the furnishing of, Medicaid health care items or services, performs billing or coding functions, or is involved in the monitoring of health care provided by the entity.

Employee - means any officer or employee of the entity, contractor or agent.

Entity - means a governmental agency, organization, unit, corporation, partnership or other business arrangement, including Medicaid managed care organizations, whether for profit or not-for-profit, which receives or makes payments, under a state plan approved under Title XIX or under any waiver of such plan, totaling at least $5,000,000 annually.

Knowing and Knowingly - means that a person with respect to information 1) has actual knowledge of the information; 2) acts in deliberate ignorance of the truth or falsity of the information; or 3) acts in reckless disregard of the truth or falseness of the information. Purchase of Service Contract - Previously Human Service Contract, a contract document used to procure direct client services to populations served by the Department over a defined period and for an agreed upon maximum price.

Subcontractor – See "Contractor or Agent" above.

4.0 Process

4.1 Dissemination to the Department's New Employees

4.1.1 The Department's Human Resources staff shall present and provide all newly hired Department employees with a copy of the False Claims Act Policy and Procedure during the new employee orientation.

4.1.2 Each new Department employee must acknowledge receipt of the False Claims Act Policy and Procedure by signing an acknowledgement that they received it. The acknowledgement shall be maintained in their personnel file.

4.2 Dissemination to the Department's Existing Employees

Each existing Department employee shall receive a copy of the Department's False Claims Act Policy and Procedure and must sign an acknowledgement that they have received it. The acknowledgement shall be maintained in their personnel file.

4.3 Dissemination to Contractors and Qualified Providers

4.3.1 CGMS shall include the Department's False Claims Act Policy and Procedure in all POS contracts between the Department and its contractors and agents.

4.3.2 Contractors and agents shall inform all employees providing services funded by the contract of the policy and procedure and obtain acknowledgement of receipt.

4.3.3 Execution of the contract by a contractor or agent, via authorized signature, shall indicate acceptance of and compliance with the Department's False Claims Policy and Procedure in accordance with Part II, Section C.4, (Terms and Conditions, Contractor Obligations, Federal Funds) of the POS Contract.

4.3.4 Contractors and agents under contract with the Department shall inform all subcontractors, providing services funded by the contract, of the policy and procedure and obtain acknowledgement of receipt either via inclusion of a contract term/condition in the sub-contractual agreement as in 4.3.3 above, and execution of such subcontract, or via separate acknowledgement.

5.0 Records

5.1 The following records shall be maintained, generated, or updated, and filed by the Department in accordance with this procedure and CGMS record retention requirements and schedules. Contractors shall maintain records according to their established record retention schedules.

Record Name	Responsible	Retention Req.	Location
Employee acknowledgement of receipt of False Claims Policy and Procedure	Human Resources Office	Until employee termination	Employee File
Fully Executed Contract Document	CGMS	3 Yrs. From end date of contract(s)	CGMS Contract File

Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations

This notice is provided under the authority of Connecticut General Statutes §9-612(g)(2), as amended by P.A. 10-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the reverse side of this page).

CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

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 (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 (which includes town committees).

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to (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.

On and after January 1, 2011, 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 **knowingly** *solicit* contributions from the state contractor's or prospective state contractor's employees or from a *subcontractor* or *principals of the subcontractor* 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.

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—Up to $2,000 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 up to $2,000 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 not more than $5,000 in fines, or both.

CONTRACT CONSEQUENCES

In the case of a state contractor, contributions made or solicited in violation of the above prohibitions may resulting the contract being voided.

In the case of a prospective state contractor, contributions made or solicited in violation of the above prohibitions 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 shall 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 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "Lobbyist/Contractor Limitations."

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, a loan to an individual for other than commercial purposes or any agreement or contract between the state or any state agency and the United States Department of the Navy or the United States Department of Defense.

"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.

"Subcontractor" means any person, business entity or nonprofit organization that contracts to perform part or all of the obligations of a state contractor's state contract. Such person, business entity or nonprofit organization shall be deemed to be a subcontractor until December thirty first of the year in which the subcontract terminates. "Subcontractor" does not include (i) 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 (ii) 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 subcontractor" 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 subcontractor, 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 subcontractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a subcontractor, which is not a business entity, or if a subcontractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv)an officer or an employee of any subcontractor who has managerial or discretionary responsibilities with respect to a subcontract with a state contractor, (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 subcontractor.

Preliminary Review Team Technical Criteria Worksheet
SEAL CT! SBSP/SLSP Dental Sealant Program
DPH RFP 2016-0904

Applicant:

Criteria	Points
1. Organizational Requirements & Profile (10% total)	**10**
Overview of the history and structure of the organization	
How this proposal will fit into the organization's overall mission and meet the intent of this RFP	
History of past affiliation with school-based/school-linked sealant programs	
Demonstrate that the proposed schools are willing participants in the sealant program: 1. a signed commitment letter from an administrator of each identified school 2. statement of schools which are ≥ 50% FRLP and/or DHPSA areas 3. demonstrate each school in your program has a current DPH outpatient license or plans to obtain one	
Name, title, address, telephone, and fax numbers of staff persons responsible for the completion and submittal of: 1. contract and legal documents/forms 2. program progress reports 3. financial expenditure reports	
Indicate whether or not the agency is incorporated, the type of agency applying for funding, the fiscal year for the applicant agency, federal ID number and/or town code, Medicaid provider status and, if applicable, Medicaid number, and if registered as a Connecticut Minority Business Enterprise and/or Women Business Enterprise	
2. Scope of Services-Program Requirements (35% total)	**35**
Describe the project in its entirety. Describe activities that will be provided, and how the funding for the project will increase or improve the oral health of the children being served	
Establish and/or implement program policies that support cultural competence through culturally and linguistically appropriate services to clients and have in place administrative mechanisms that promote such services	

Description of the range of services provided, and experience or qualification relevant to this application	
Description of how program will address how it will offer education on the value of sealants in the prevention of dental disease to encourage positive permission for dental sealant placement to all parties (educational administrators/teachers; parents/guardians; and students)	
Statement of the programs intention to apply fluoride varnish and how it will be provided (funds may not be budgeted)	
Describes Emergency Service Plan	
Describes Quality Assurance/ Performance Improvement Plan	
Describes the evaluation process in writing and forms to be used within the application package (See Section III.f.7)	
Program Sustainability (See Section III.f.10): Plans identified on sustaining dental sealant program after the funding period	
Infection control (See section III.f.15): Included a completed OSAP plan for mobile programs and commitment to updating it annually and more often if needed	
3. Staffing Plan (5%)	**5**
Describe the staff assigned to this project including job description, number of hours per week, hourly rates, extent to which staff has the appropriate training and experience to perform assigned duties	
Describe the administrative oversight for the project Identify the Project Manager, Project team responsible for managing the project, and the staff assigned to this project including job description, number of hours per week, hourly rates, extent to which staff has the appropriate training and experience to perform assigned duties. Resumes must be attached for all staff assigned to this project	
Organizational Workforce Analysis in Attachments Section V.A. 13 Application forms. Evidence that the applicant will utilize small and minority businesses whenever feasible and appropriate in the purchase of supplies and services	
Describe staff qualifications and experience including any credentials or licensure	
Describe the Project Team's ability to manage risk and take corrective action as necessary	
Include an organizational chart in Section IV, H.c. Appendices	
If subcontractors are used, specify legal name of agency, address, FEIN, contact person phone, fax, and email address; services currently provided, serves to be provided with subcontract, subcontractor oversight, subcontractor cost and term, and subcontractor qualifications(If known at application time, otherwise, will be required to submit during contract negotiations; refer to staffing requirements)	

4. Data/ Information Management (10%)	**10**
Demonstrate the ability to collect, store, and report Seal CT! Dental Sealant Program Data including establishment of an automated system to enable collection, storage, and transmission of data electronically to DPH; and capacity to develop reports per DPH specifications, which support documentation of delivered services	
5. Work Plan (20%)	**20**
Include a comprehensive work plan with SMART objectives (See Section V. 8 Application Forms). The work Plan must be consistent with the RFP and shall include a comprehensive description of goals and objectives, activities (include staff responsible), outcome measures, time frame, and in the format as outlined in Section III. 5.a)	
Demonstrate the priority for the use of these funds in Connecticut's 1st and 2nd grade students with a secondary focus on 6th and 7th grade students	
Demonstrate the expansion or enhancement of Connecticut's schools with 50% FRLP and/or those located in DHPSA designated areas (See links III.5.b)	
6. Financial Profile (5%)	**5**
Fiscal competiveness: **i.** Staffing and service delivery costs are competitive with similar organizations **ii.** Fiscal stability is indicated in the organization's most recent fiscal audit	
7. Budget and Budget Narrative (10%)	**10**
a. Include itemized budget. Complete and attach the budget summary and justification forms (See Attachments Section V.A. 4 and 5) **b.** Include copies of state set aside certifications for small and/or minority business	
8. Appendices (5 %)	**5**
a. Job descriptions **b.** Staff CVCs/ Resumes **c.** Organizational Chart **d.** Three(3) Letters of Support	

TOTAL _____

Note: As part of its evaluation of the Staffing Plan, the Screening Committee will consider the proposer's demonstrated commitment to affirmative action, as required by the Regulations of CT State Agencies § 46A-68j-30(10).