State of Connecticut Department of Social Services Procurement Notice

Eviction and Foreclosure Prevention Program and
Security Deposit Guarantee Program
Request for Proposals

Addendum 1

The State of Connecticut Department of Social Services is issuing **Addendum 1** to the Eviction and Foreclosure Prevention Program (EFPP) and Security Deposit Guarantee Program (SDGP) Request for Proposals.

Addendum 1 contains questions submitted by interested parties and the official responses. Fifty six (56) questions were submitted. Responses to forty three (43) questions are included in Addendum 1. The balance of the responses to the remaining thirteen (13) questions will be posted as Addendum 2 on March 25, 2013.

All responses shall amend or clarify the requirements of the RFP.

In the event of an inconsistency between information provided in the RFP and information in these responses, the information in these responses shall control.
In the event that a response does not sufficiently clarify a question submitted, please forward that question and response to marcia.mcdonough@ct.gov. by **March 28, 2013, 2:00 PM**.

Questions and Responses follow:

1. **Question**: The funding level is not mentioned in the RFP...can you provide a funding level for each of the 5 proposed regions?

   Response: No. The Department reserves the right to consider all factors including cost in the final selection of a successful Respondent.

2. **Question**: Can you provide a funding level for Security Deposit Guarantee program?

   Response: No. The Department reserves the right to consider all factors including cost in the final selection of a successful Respondent.

3. **Question**: Will there continue to be a statewide contract for technical assistance for successful EFPP Respondents? If yes, when will this contract be issued? If no, who will provide the support currently provided by Community Mediation?

   Response:
   There will continue to be a statewide contract for technical assistance for successful EFPP Respondents.

4. **Question**: If there is a statewide contract issued for technical assistance is this included in the as part of the funding allocation?

Response: No.

5. **Question**: Is there a recommended percentage of how much of the requested funds must be utilized for rent bank?

   Response: Respondents should submit a cost effective proposal that maximizes Rent Bank dollars.

6. **Question**: Will DSS provide a listing of all agencies submitting a letter of intent?

   Response: Yes. Please note, however, that the letter of intent is not mandatory. Non mandatory letters of intent are due by March 27. An addendum to the RFP will be posted to the DAS and DSS websites on March 28.

7. **Question**: Do all subcontractors have to meet the criteria of having 5 years' experience of providing eviction prevention, foreclosure, and mediation services?

   Response: Subcontractors should have a minimum of 5 years' experience in the service that the Respondent is proposing the subcontractor to provide.

8. **Question**: Can funding be utilized by agencies for community outreach and education events?

   Response: Yes.

9. **Question**: Can the Department of Social Services be utilized as one of the three program references?

   Response: Yes, but not the liaison for the EFPP contract.

10. **Question**: Can the Department provide the number of Pre-Applications that have been completed by each contractor for 2011-2012 and those projected for Calendar Year 2013?

    Response: No.

11. **Question**: Is it the expectation of the Department that a lead applicant would be given access to each subcontractor's EFPP database?

    Response: Yes.

12. **Question**: If a current grantee was not awarded funding under this proposal – how would the transition take place form the current grantee to new grantee? (For example – participant enters program in June 2013 and their case is still in process when current grantee loses funding)

Response: The transition from a current contractor to a new contractor should be a collaborative effort between the two contractors, with the Department's approval.

13. **Question**: Does DSS have an expectation of how many applicants per year should be serviced by region? Is there a target by region for the Security Deposit Guarantee Program?

    Response: Past regional experience with the program is not indicative of future program performance because the program regulations have been modified to restrict the at-risk of homelessness population to those who have been served a writ, summons and complaint in a summary process action instituted pursuant to chapter 832 of the Connecticut General Statutes. Highest volume was approximately 4,000 applications statewide.

14. **Question**: Will there be a lead contractor to train the subcontractors on mediation?

    Response: There will continue to be a statewide contract for technical assistance for successful EFPP Respondents.

15. **Question**: There is an informal mechanism that currently exists regarding when a grantee expends all of their rent bank monies. Will this continue going forward? If the answer is no, do grantees need to ensure that rent bank funds are available for all 12 months of each year?

    Response: Yes, the informal mechanism that currently exists regarding when a grantee expends all of its rent bank monies will continue.

16. **Question**: Will the new grantees be responsible for follow-up activities for current EFPP grantees? If the answer is yes, how will this information be transmitted from the old grantee to the new grantee?

    Response: The transition from a current contractor to a new contractor should be a collaborative effort between the two contractors, with the Department's approval.

17. **Question**: What is the working definition of a nonrecurring hardship? Is it different for individuals living in subsidized housing? For example is the burden of proof on medical hardships the same for a person living in subsidized housing the same as the individual living paying market rent?

Response: The definition of hardship is not different for individuals in subsidized housing. The maximum amount of Rent Bank funds expended is lower.

18. **Question**: Can an agency be the applicant in one area, and a sub-contractor in another?

    Response: Yes.

19. **Question**: Does an organization have to be a mediation agency to qualify to respond?

    Response: No.

20. **Question**: Who is the current vendor of the services requested in the RFP?

    Response:
    Regional Youth Adult Social Action Partnership

    Community Mediation, Inc.

    Community Renewal Team

    New Opportunities, Inc.

    Thames Valley Council for Community Action, Inc.

21. **Question**: ON page 22 of RFP, it says the SDGP has 3 program processes: Preliminary Screening, Preliminary Screening and Landlord Claims. Please clarify this since Preliminary Screening is listed twice.

    Response: It should read: Preliminary Screening, Program Application and Landlord Claims.

22. **Question**: Please differentiate the information required to provide for subcontractors vs. partnerships
    Since partnerships are not legally binding, it would seem less information would be required-please clarify.

    Response: Per the RFP, the subcontractor and partnership are viewed the same. Both are viewed as the Respondent's choice to deliver a requirement of the EFPP and/or SDGP. Per the RFP, the Department is not looking at the legality of either, but the confirmation that the services proposed to be provided by the subcontractor or partnership will be provided. The same information is required of both.

23. **Question**: Is there a set amount of money per year for this program (per catchment area) or is DSS looking for respondents to propose the cost?

    Response: Please refer to the responses to questions 2 and 3.

24. **Question**: Can you provide a description of who has been served in the past? Does it include anyone defined as homeless?

    Response: The EFPP program services individuals at risk of homelessness who wish to remain in their current housing. The SDGP services individuals who are homeless or at risk of homelessness.

25. **Question**: Refers to Pg. 24 of the RFP, Sec. 2f: Qualifications: Describe how the Respondent meets the required minimum qualifications of this RFP: Experience in Security Deposit Issuance *Does this refer to the Security Deposit Guarantee Program (Pg. 29, Sec. 3) or does the language above refer to past experience with providing customers any related assistance with security deposits?*

    Response: "Experience in Security Deposit Issuance" is any demonstrated experience in issuing security deposits; cash or guarantee.

26. **Question**: *Can an agency apply to operate only EFPP*?

    Response: A Respondent must propose EFPP and SDGP services. A Respondent may use a subcontractor or partnership to provide EFPP and/or SDGP services.

27. **Question**: *Can an agency apply to only operate SDGP*?

    Response: Please refer to the response to question 26.

28. **Question**: When multiple agencies form a partnership, are separate budgets required for each agency?

    Response: Yes.

29. **Question**: Page 27, item 1.5 Evidence of Qualified Entity states that written assurance must come from legal counsel – what if the agency does not have legal counsel?

    Response: It is a requirement of the RFP that the Respondent provide written assurance to the Department from its legal counsel that it and each proposed subcontractor or partnership, is qualified to conduct business in the State of Connecticut and is not prohibited by its articles of incorporation, bylaws, or the laws under which it is incorporated from performing the services required under any resultant contract. Legal counsel for the Respondent may provide this requirement for proposed subcontractor(s) or partnership(s).

30. **Question**: Page 26, item **1.2 Governance - Disclosure** states that applicants need to include information of its and each proposed subcontractor or partnership a complete description of any and all related party relationships and transactions. *Can you please clarify your definition of the term related*?

    Response: By related, the intent is Business (related) Connected/Affiliated. For example, if the Respondent and the subcontractor/partner are both subject to control (or joint control) by the same entity or person, the two are related to each other. Per the Connecticut Office of Policy and Management: "Related party" means a person or organization related through marriage, ability to control, ownership, family or business association.

31. **Question**: Page 26, item **1.2 Governance - Disclosure** states that applicants need to include information of its and each proposed subcontractor or partnership anticipated payments to a related party. *Can you please define the term anticipated*?

    Response: 1.2 Governance-Disclosure requires the Respondent to include any expected or foreseen payment to a related party as defined in response to Question 39.

32. **Question**: *Will there be a budget requirement to reserve 45% of the contract award for Rent Bank payments?*

    Response: Respondents should submit a cost effective proposal that maximizes Rent Bank dollars.

33. **Question**: *Is this the first year DSS is seeking agencies to administer SDGP*?

    Response: Yes.

34. **Question**: *What is the anticipated amount of funding available*?

    Response: Please refer to the responses to questions 2 and 3.

35. **Question**: Is there an estimate of what the award amount total will be for this grant or a minimum-maximum request that will be considered? If so, what is that estimate?

    Response: Please refer to the responses to questions 2 and 3.

36. **Question**: What percentage of the total award is expected to be allocated to the EFPP/Mediation program and what percentage is expected to be allocated to the SDGP program?

Response: The breakdown % of total award is 71% to EFPP and 29% to SDGP.

37. **Question**: Of the total award for this contract, what percentage is expected to be designated for rent back disbursements?

    Response: Respondents should submit a cost effective proposal that maximizes Rent Bank dollars.

38. **Question**: How many claims by landlords were processed under the SDGP program annually for Catchment area?

    Response: Data are not available.

39. **Question**: Please specify minimum qualifications required for staff referred to as "social worker" in the SDGP guarantee issuance description and the SDGP process' sections.

    Response: State of CT social workers delivered services in the past. It is not expected that social workers deliver services under the resultant contract.

40. **Question**: The description of the security deposit program on the DSS website indicates "HOW & WHERE DOES A HOUSEHOLD APPLY FOR THE SECURITY DEPOSIT GUARANTEE PROGRAM **...**DSS regional office social work staff will set up an appointment for the applicant to come in and complete the application process. No walk-in applications will take place. "Will this process remain the same or will the contracted agency handle this?

    Response: The "no walk-in" procedure was a temporary arrangement. The Department will negotiate intake procedures with the successful Respondent.

41. **Question**: We are considering using our EFPP program contact at DSS as a reference, but understand that we are not to speak with anyone at DSS about this RFP(other than the official contact). Do you foresee any problem with this if we do not contact him prior to submitting his name as a reference?

    Response: You may use a reference from the Department, and you may alert him/her of that intent, but the liaison for the EFPP contract is not allowed as a reference for this RFP.

42. **Question**: I could not locate the funding dollars available for the RFP. Please advise where this information can be located

    Response: Please refer to the responses to questions 2 and 3.

43. **Question**: As part of the qualifications, DSS states that the respondent must have "Experience in Security Deposit Issuance". Does this mean experience issuing security deposits outside of the SDGP or security deposits in general from other programs such as ESS?

    Response: Please refer to response to question 25.

State of Connecticut Department of Social Services Procurement Notice

Eviction and Foreclosure Prevention Program and
Security Deposit Guarantee Program
Request for Proposals

Addendum 1

Date Issued: March 22, 2013

Approved: _____
Marcia McDonough

State of Connecticut Department of Social Services
(Original signature on document in procurement file)

This Addendum must be signed and returned with your submission.

_____	_____
Authorized Signer	Name of Company

State of Connecticut Department of Social Services Procurement Notice

Eviction and Foreclosure Prevention Program and Security Deposit Guarantee Program Request for Proposals

The State of Connecticut Department of Social Services (Department/DSS) is requesting proposals from qualified nonprofit organizations or municipalities to provide Eviction and Foreclosure Prevention Program (EFPP) and Security Deposit Guarantee Program (SDGP) services.

EFPP is a statewide program designed to prevent eviction and foreclosures through two (2) components, Mediation and Rent Bank, embedded as hyperlinks.

SDGP provides a guarantee to landlords of up to two (2) months' rent instead of actual cash payment. The SDGP has three (3) Program Processes: Preliminary Screening, Program Application and Landlord Claims. The SDGP Processes are embedded as a hyperlink. The SDGP has two Program Phases, Guarantee Issuance and Claims Payout, also embedded as hyperlinks.

Eligibility:
Respondents shall be private provider organizations; defined as non-state entities that are 501(c)(3) nonprofit corporations or partnerships located in Connecticut or Connecticut municipalities. Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

Qualifications:
1. A minimum of five (5) years of demonstrated experience in management of eviction, foreclosure, and homelessness prevention services to the target population of families whose income does not exceed sixty (60) percent of the State median income and who are at risk of becoming homeless or in imminent danger of eviction or foreclosure;
2. Experience in Security Deposit Issuance; and
3. The ability to serve multicultural, multilingual populations.

Nonprofit organizations or municipalities that have only acted as fiduciary agents or funding pass-through agencies for such services will not have the demonstrated experience required to deliver the EFPP and SDGP .

Collaborations to address broad geographic needs and ensure ease of consumer access are encouraged. Respondents that propose the use of subcontractors or partnerships shall present the same information about the identified subcontractors or partnerships as required of the Respondent, where requested. The use of subcontractors or partnerships is subject to the approval of the Department.

The Department expects to issue up to five (5) awards: one (1) contract to serve each identified catchment area. There are five (5) catchment areas. Catchment Areas and **Service Sites** are embedded as a hyperlink.

Interested Respondents may submit a Letter of Intent (LOI) to the Department no later than March 27, 2013. Proposals shall be received at the Department no later than **2:00 PM Local Time on April 17, 2013**. Proposals received after the stated due date and time may be

accepted by the Department as a clerical function, but will not be evaluated. Those proposals that are not evaluated can be picked up by the Respondent after notification from the Official Contact or shall be retained for thirty days after the resultant contracts are executed, after which time the proposals will be destroyed.

To download this RFP, access the State's Procurement/Contracting Portal at the State of Connecticut Department of Administrative Services' Procurement Services Home Page at http://das.ct.gov/cr1.aspx?page=12 or call or write:

Marcia McDonough
State of Connecticut Department of Social Services
Contract Administration
25 Sigourney Street
Hartford, CT 06106
Telephone: 860-424-5214 Fax: 860-424-5800
E-mail marcia.mcdonough@ct.gov

The Department is an Equal Opportunity/Affirmative Action Employer. Deaf and hearing-impaired persons may use a TDD by calling 1-800-842-4524. Questions or requests for information in alternative formats shall be directed to the Department's Official Contact at 860-424-5214. The Department reserves the right to reject any and all proposals or cancel this procurement at any time if it is deemed in the best interest of the State of Connecticut (State).

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I. GENERAL INFORMATION

A. INTRODUCTION

1. **RFP Name.** Eviction and Foreclosure Prevention Program and Security Deposit Guarantee Program Request for Proposals, (EFPP and SDGP RFP)

2. **Summary.** The State of Connecticut Department of Social Services (Department/DSS) is requesting proposals from qualified nonprofit organizations or municipalities to provide Eviction and Foreclosure Prevention Program (EFPP) and Security Deposit Guarantee Program (SDGP) services.

   EFPP is a statewide program designed to prevent eviction and foreclosures through two (2) components, Mediation and Rent Bank, embedded as hyperlinks.

   SDGP provides a guarantee to landlords of up to two (2) months' rent instead of actual cash payment. The SDGP has three (3) Program Processes: Preliminary Screening, Program Application and Landlord Claims. The SDGP Processes are embedded as a hyperlink. The SDGP has two Program Phases, Guarantee Issuance and Claims Payout, also embedded as a hyperlink.

3. **Synopsis.** The Eviction and Foreclosure Prevention Program (EFPP), as created by General Statutes of Connecticut Sections 17b-804 through 17b-805, is to prevent homelessness among families whose income does not exceed sixty (60) percent of the State median income and who are at risk of becoming homeless or in imminent danger of eviction or foreclosure.

   The Security Deposit Guarantee Program (SDGP) services are authorized under Connecticut General Statutes Section 17b-802 to provide a guarantee to landlords of up to two (2) months' rent instead of actual cash payment.

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

   0200: Real Estate Consulting

   0600: Professional Consulting Services

   2000: Community and Social Services

B. DEFINITIONS / ACRONYMS/ABBREVIATIONS

The following definitions and acronyms apply to this procurement:

1. Applicant - Any person who is eighteen or older, or an emancipated minor, who has requested eviction prevention services from a mediation agency under this regulation and is being assessed for eligibility on behalf of his or her family

2. Arrearage/arrears - Money which is overdue and unpaid to the property owner, mortgage holder or condo association that includes the dwelling unit in which a family resides

3. Bartering - Trading goods or services without the exchange of money

4. Business day - A day during which State of Connecticut offices are open for business (Monday through Friday excluding State holidays)

5. Catchment area - The area and population from which a city or individual service attracts visitors or customers

6. Client - A family who qualifies for, and is approved for, eviction and foreclosure prevention services

7. Collaboration - Collaboration is a process of participation through which people, groups, and organizations work together to achieve desired results. Collaborations accomplish shared vision, achieve positive outcomes for the audiences they serve, and build an interdependent system to address issues and opportunities. Collaborations also involved the sharing of resources and responsibilities to jointly plan, implement and evaluate programs to achieve common goals. Members of the collaboration shall be willing to share vision, mission, power, resources and goals.

8. Commissioner - The Commissioner of the State of Connecticut Department of Social Services, as defined in General Statutes of Connecticut C.G.S. §17b-3

9. Contractor - A private 501(c)(3) nonprofit corporation or partnership located in Connecticut or Connecticut municipality that enters into a contract with the Department as a result of this RFP

10. Department - State of Connecticut Department of Social Services

11. Desk Review - A file review conducted by the Department of Social Services in response to a written appeal filed by an applicant pursuant to the appeals process

12. Dwelling Unit - Any house or building including a mobile manufactured home in a mobile manufactured home park as defined in section 21-64 of the General Statutes of Connecticut, or portion thereof, which is occupied, is designed to be occupied or is rented, leased or hired out to be occupied as a home or residence for one or more persons including a rooming house

13. Eviction - The legal process used to terminate a person's right to remain in his or her rental dwelling unit

14. Family - Any individual, or related and unrelated individual(s) who live together and share living expenses including a family of one

15. Fiduciary agent - One who holds something in trust for another

16. Foreclosure - A legal termination of all rights of the mortgagor or his or her grantee in the property covered by the mortgage or action taken by a condo association to foreclose for unpaid fees

17. Gross family income - All income, from whatever source derived including, but not limited to:

    Earned income, such as compensation paid by an employer to an employee for personal services, and includes, but is not limited, to wages, salaries, tips, commissions, bonuses, and earning from self-employment or contractual agreements

    Unearned cash income including, but not limited to, pensions, annuities, dividends, interest, rental income, estate or trust income, royalties, social security or supplemental security income, unemployment compensation, workers' compensation, alimony, child support and cash assistance from Federal, state, or municipal assistance programs

18. Imminent danger - Having received a written threat to terminate the applicant's right to remain in the dwelling unit including, but not limited to, one or more of the following: an original letter from the property owner, a housing authority pre-termination letter, a notice to quit, a default notice threatening foreclosure, a past-due letter or statement that the

homeowner is more than thirty days in default, or court papers in support of an eviction or foreclosure

19. Lease -A rental agreement between a property owner and a family, either oral or written, authorizing a person or persons to occupy a dwelling unit for a certain length of time
20. Mediation - Intervention in disputes between parties to help them reconcile differences, find compromises or reach mutually satisfactory agreements between tenants and property owners as well as mortgage holders and borrowers
21. Mediation agency - An entity under contract with the Department of Social Services to mediate disputes between tenants and property owners or creditors or mortgagors-in-possession on behalf of the Department of Social Services
22. Mortgage - A written instrument in which real estate is used as a security for repayment of a debt or obligation
23. Net monthly income - All gross monthly income minus mandatory deductions including, but not limited to, Federal income tax based upon all allowable exemptions; social security tax; retirement plan deductions; union dues or fees; group life insurance premiums; health insurance premiums for all legal dependents; and for self-employed individuals, all legitimate business expenses
24. Partnerships - An individual (other than an employee of the contractor) or business entity hired by the contractor to provide, directly to clients, specific health or human services as part of a contract with the Department as a result of this RFP, and who will ***not*** be paid with contract funds to provide such services
25. Property owner - The owner, lessor, sub-lessor or property manager of a dwelling unit, the building of which a dwelling unit is a part or the premises on which the dwelling unit is located
26. Prospective Respondent - A private 501(c)(3) nonprofit provider corporation or partnership located in Connecticut or Connecticut municipality that may submit a proposal to the Department in response to this RFP, but has not yet done so
27. Related party - Person or organization related through marriage, capability to control, ownership, family, or business association
28. Related-party transactions - Transactions between the resultant contractor and a related party that can include, but are not limited to, real estate sales or leases, leasing for vehicles, office equipment, or household furnishings, mortgages, loans, or working capital loans, and contracts for management services, consultant services, professional services, e.g., attorneys and accountants, or for material, supplies, or other services purchased by the resultant contractor
29. Respondent - A private 501(c)(3) nonprofit provider corporation or partnership located in Connecticut or Connecticut municipality that has submitted a proposal to the Department in response to this RFP
30. Subcontract - Any written agreement between the contractor and another party to fulfill any contract requirements
31. Subcontractor - An individual (other than an employee of the contractor) or business entity hired by the contractor to provide, directly to clients, specific health or human services as part of a contract with the Department as a result of this RFP, and who will be paid with contract funds to provide such services

32. U.S. Code - A compilation and codification of the general and permanent Federal law of the U.S.

BFO	Best and Final Offer
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunities (CT)
CT	Connecticut
DAS	Department of Administrative Services (CT)
DCF	Department of Children and Families
DMHAS	Department of Mental Health and Addiction Services
DSS	Department of Social Services (CT)
FOIA	Freedom of Information Act (CT)
IRS	Internal Revenue Service (U.S.)
LOI	Letter of Intent
OAG	Office of the Attorney General (CT)
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
P.A.	Public Act (CT)
POS	Purchase of Service
RFP	Request for Proposals
SDGP	Security Deposit Guarantee Program
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States
VA	Veteran's Affairs

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. Respondents, prospective Respondents, 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. Respondents or prospective Respondents who violate this instruction may risk disqualification from further consideration.

   Name: Marcia McDonough, Contract Administration and Procurement

   Address: State of Connecticut, Department of Social Services

   25 Sigourney Street, 9th Floor, Hartford, CT 06106

   Phone: 860-424-5214

   Fax: 860-424-5800

   E-Mail: marcia.mcdonough@ct.gov

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

2. **RFP Information.** The RFP, addenda 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 RFP Web Page

     www.ct.gov/dss/cwp/view.asp?a=2345&q=304920&dssNav=

   - State Contracting Portal

http://das.ct.gov/cr1.aspx?page=12

It is strongly recommended that any Respondent or prospective Respondent 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 addenda 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 Offers.** The offer of the right to negotiate a contract pursuant to this RFP is dependent upon the availability of funding to the Department. The Department anticipates the following:

   Number of Contracts: The Department anticipates up to five (5) offers of the right to negotiate a contract – one (1) contract to serve each proposed catchment area. Respondents may submit a proposal for more than one (1) catchment area. A separate proposal is required for each catchment area. EFPP and SDGP services shall be provided at multiple service sites within each catchment area.

   Catchment Areas and **Service Sites**: embedded as a hyperlink. Service sites are ***bolded***

   Contract Term: The resultant contract will be for a three (3) year period, July 1, 2013 to June 30, 2016, with the option for two (2) one (1) year extensions at the discretion of the Department.

4. **Eligibility.** Eligible Respondents are private provider organizations defined as non-state entities that are 501(c)(3) nonprofit corporations or partnerships located in Connecticut or Connecticut municipalities. Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

5. **Minimum Qualifications of Respondents.** To be considered for the right to negotiate a contract, a Respondent shall have the following minimum qualifications:

   a. A minimum of five (5) years of demonstrated experience in management of eviction, foreclosure, and homelessness prevention services to the target population of families whose income does not exceed sixty (60) percent of the State median income and who are at risk of becoming homeless or in imminent danger of eviction or foreclosure;

   b. Experience in Security Deposit Issuance; and

   c. The ability to serve multicultural, multilingual populations.

   The Department reserves the right to reject the submission of any Respondent in default of any current or prior contract.

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 addendum to this RFP and will be posted on the State Contracting Portal and the Department's RFP Web Page.

   - **RFP Released:** **February 26, 2013**
   - Deadline for Questions: March 13, 2013, 2:00 PM Local Time
   - Answers Released (tentative): March 20, 2013
   - Non-Mandatory Letter of Intent Due: March 27, 2013
   - Proposals Due: **April 17, 2013, by 2:00 PM Local Time**

- (*) Start of Contract: **July 1, 2013**

7. **Letter of Intent.** A Letter of Intent (LOI) is not required by this RFP. The LOI is non-binding and does not obligate the sender to submit a proposal.

   The LOI may be submitted to the Official Contact by U.S. mail, fax, or e-mail by the deadline established in the Procurement Schedule. The LOI should clearly identify:

   a. The sender, including name, mailing address, telephone number, fax number, and e-mail address; and

   b. The proposed catchment area(s).

8. **Inquiry Procedures.** All questions regarding this RFP or the Department's procurement process shall be submitted 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 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 may combine similar questions and give only one answer. All questions and answers will be compiled into a written addendum 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 addendum and duly noted as such. The agency will release the answers to questions on the date established in the Procurement Schedule. The Department will publish any and all amendments or addenda to this RFP on the State Contracting Portal and on the Department's RFP Web Page. Addendum Acknowledgement(s) will be placed at the end of any and all addenda to this RFP. Proposals shall include signed Addendum Acknowledgement(s) with their proposal and be submitted as required in the Section IV. G. as **Appendix 1**.

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

   - **Due Date: April 17, 2013**
   - **Time: 2:00 PM Local Time**

   Faxed or e-mailed proposals will not be evaluated. The Department shall not accept a postmark date as the basis for meeting the proposal due date and time. Respondents should not interpret or otherwise construe receipt of a proposal after the due date and time as acceptance of the proposal, since the actual receipt of the proposal is a clerical function. The Department suggests the Respondent use certified or registered mail, or a delivery service such as United Parcel Service (UPS) to deliver the proposal. When hand-delivering proposals, submitters should allow extra time to comply with building security and delivery procedures.

   - Hand-delivered proposals shall be delivered to the loading dock located on the north side of the building, at 555 Capitol Avenue. Upon arriving at the loading dock, the Respondent or courier shall ring the buzzer by the door. The Official Contact or designee will receive the proposal and provide the Respondent or courier with a receipt upon request. NOTE: When hand-delivering proposals to the loading dock before the Due Date of April 17, 2013 and Time: 2:00 PM. Local Time, please be aware that **the loading dock closes promptly at 3:00 PM Local Time.**

Proposals shall not be considered received by the Department until they are in the hands of the Official Contact or another representative of the Contract Administration and Procurement Unit designated by the Official Contact. 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:

EFPP and SDGP RFP Binder 1 of 2 containing one (1) original, four (4) conforming copies and two (2) conforming, identical electronic copies on CD or DVD (which must be compatible with Microsoft Office Word) **of proposal labeled EFPP and SDGP RFP Binder 1 of 2 containing**:

- Organizational Requirements
- Scope of Service Requirements
- Staffing Requirements
- Data Reporting and Technology Requirements
- Quality Assurance
- Participant Outcome/Program Evaluation
- Subcontractors and Partnerships
- Work Plan
- Appendices

RFP Binder 1 of 2 original and copies shall be submitted in separate sealed envelope(s) or box (es); and

EFPP and SDGP RFP COST Binder 2 of 2 containing one (1) original, four (4) conforming copies and two (2) conforming, identical electronic copies on CD or DVD (which must be compatible with Microsoft Office Word **) of proposal labeled EFPP and SDGP RFP COST Binder 2 of containing:**

- Financial Requirements
- Budget Requirements

EFPP and SDGP RFP COST Binder 2 of 2 original and copies shall be submitted in separate sealed envelope(s) or box (s) from EFPP and SDGP RFP Binder 1 of 2.

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 Evaluation Team. **The electronic copies of the proposal must be compatible with Microsoft Office Word except for the Budget, which may be compatible with Microsoft Office Excel.** For the electronic copy, only the required appendices and forms may be scanned and submitted in Portable Document Format (PDF) or similar file format.

10. **Multiple Proposals.** The submission of multiple proposals by the same Respondent within a catchment area is not an option with this procurement. However, a Respondent may submit proposals for more than one catchment area. Each catchment area shall be proposed as a separate proposal. Each proposal shall be self-contained and packaged separately.

11. **Declaration of Confidential Information.** Respondents 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 Respondent deems that certain information required by this RFP is confidential, the Respondent shall label such information as CONFIDENTIAL. In Section C of the proposal submission, the Respondent shall reference where the

information labeled CONFIDENTIAL is located in the proposal. *EXAMPLE: Section G.1.a.* For each subsection so referenced, the Respondent shall provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale shall be stated in terms of (a) the prospective harm to the competitive position of the Respondent 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).

12. **Conflict of Interest - Disclosure Statement.** Respondents shall include a disclosure statement concerning any current business relationships (within the past 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 Respondent 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 Respondent tries to influence, or succeeds in influencing, the outcome of an official decision for its personal or corporate benefit. The Department will determine whether any disclosed conflict of interest poses a substantial advantage to the Respondent 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 Respondent shall affirm such in the disclosure statement: *"[name of Respondent] has no current business relationship (within the past 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 shall follow the required outline presented in Section IV. Proposal Outline. Proposals that fail to follow the required outline will be deemed, at the discretion of the Department, non-responsive and not evaluated.
2. **Cover Sheet.** The Cover Sheet is Page 1 of the proposal. Respondents shall complete and use the PRINTED **Cover Sheet** form as Page 1 of the proposal, which is embedded in this section as a hyperlink.
3. **Table of Contents.** All proposals shall include a Table of Contents that conforms to the required proposal outline. (See Section IV.)
4. **Executive Summary.** Proposals shall include a high-level summary of the proposal. The Executive Summary shall not exceed three (3) single-sided pages and shall include:
   a. The Respondent's minimum of five (5) years demonstrated experience providing eviction and foreclosure prevention services;
   b. Experience in Security Deposit Issuance;
   c. The Respondent's ability to serve multicultural, multilingual populations;
   d. The Respondent's proposed catchment area;
   e. The Respondent's established partnerships and/or collaborations within the regional catchment area proposed by the Respondent, and
   f. Any proposed subcontractors and/or partnerships to provide direct services as required in this RFP.

   The Department will not evaluate proposals from organizations that do not meet these minimum qualifications.
5. **Attachments.** Attachments other than the required Appendices and Forms identified in Section IV are not permitted and will not be evaluated. Further, the required Appendices and Forms shall not be altered or used to extend, enhance or replace any

requirement of this RFP. Failure to abide by these instructions will result in disqualification.

6. **Style Requirements.** The original proposal and each of the four (4) conforming copies of the original proposal shall conform to the following specifications:

Binding Type:	Loose leaf binders with the Legal Name of the Respondent, and the RFP Name appearing on the outside front cover of each binder: **Eviction and Foreclosure Prevention Program and Security Deposit Guarantee Program Request for Proposals (EFPP and SDGP RFP)**
Dividers:	A tab sheet keyed to the table of contents shall separate each subsection of the proposal; the title of each subsection shall appear on the tab sheet
Paper Size:	8½" x 11", "portrait" orientation
Print Style:	1-sided
Font Size:	Minimum of 11-point
Font Type:	Arial or Tahoma
Margins:	The binding edge margin of all pages shall be a minimum of one and one half inches (1½"); all other margins shall be one inch (1")
Line Spacing:	Single-spaced

<u>Separate proposals are required for each proposed catchment area</u>.

7. **Pagination.** The Legal Name of the Respondent shall be displayed in the header of each page. All pages, from the Cover Sheet through the required Appendices and Forms, shall be numbered consecutively in the footer.

8. **Packaging and Labeling Requirements.** All proposals shall be submitted in sealed envelopes or packages and be addressed to the Official Contact. The Legal Name and Address of the Respondent shall appear in the upper left corner of the envelope or package. The RFP Name shall be clearly displayed on the envelope or package: EFPP and SDGP RFP Binder 1 of 2 and EFPP and SDGP COST Binder 2 of 2.

   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 Respondents, and offering the right to negotiate a contract, 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. **Evaluation Team.** The Department will designate an Evaluation Team to evaluate proposals submitted in response to this RFP. The contents of all submitted proposals, including any confidential information, will be shared with the Evaluation Team. 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 Respondent (or representative of any Respondent) to contact or influence any member of the Evaluation Team may result in disqualification of the Respondent.

3. **Minimum Submission Requirements.** All proposals shall comply with the requirements specified in this RFP. To be eligible for evaluation, proposals shall (a) be received on or before the due date and time; (b) meet the Proposal Format

requirements; (c) follow the required Proposal Outline; and (d) 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.

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 Evaluation Team 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 confidential.

   - Organizational Requirements
   - Scope of Service Requirements
   - Staffing Requirements *see note*
   - Data Reporting and Technology Requirements
   - Quality Assurance
   - Participant Outcome/Program Evaluation
   - Subcontractors and Partnerships
   - Work Plan
   - Financial Requirements
   - Budget Requirements
   - Appendices

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

   The Financial Requirements and Budget Requirements will only be evaluated for Respondents who have achieved a **minimum of 75% of the available points in all prior criteria.**

5. **Respondent Selection.** Upon completing its evaluation of proposals, the Evaluation Team will submit the rankings of all proposals to the Department head. The final selection of a successful Respondent is at the discretion of the Department head. Any Respondent selected will be so notified and offered 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 Respondents will be notified by e-mail or U.S. mail, at the Department's discretion, about the outcome of the evaluation and Respondent selection process.

6. **Debriefing.** After receiving notification from the Department, any Respondent may contact the Official Contact and request a Debriefing of the procurement process and its proposal. If Respondents still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the procurement process. The Department shall schedule and conduct Debriefing meetings that have been properly requested, within **fifteen (15) days** of the Department's receipt of a request. The Debriefing meeting shall not include or allow any comparisons of any proposals with other proposals, nor should the identity of the evaluators be released. The Debriefing process shall not be used to change, alter or modify the

outcome of the competitive procurement. More detailed information about requesting a Debriefing may be obtained from the Official Contact.

7. **Appeal Process.** Any time after the submission due date, but **not later than thirty (30) days** after the Department notifies Respondents about the outcome of the competitive procurement, Respondents may submit an Appeal to the Department. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. Respondents may appeal any aspect of the Department's competitive procurement; however, such Appeal shall be in writing and shall set forth facts or evidence in sufficient and convincing detail for the Department to determine whether during any aspect of the competitive procurement there was a failure to comply with the State's statutes, regulations or standards concerning competitive procurement or the provisions of the RFP. Any such Appeal shall be submitted to the Agency Head with a copy to the Official Contact. The Respondent shall include the basis for the Appeal and the remedy requested. 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. **Contest of Solicitation or Award.** Pursuant to Section 4e-36 of the Connecticut General Statutes, "Any Respondent or proposer on a state contract may contest the solicitation or award of a contract to a subcommittee of the State Contracting Standards Board…" More detailed information is available on the State Contracting Standards Board web site at http://www.ct.gov/scsb/site/default.asp.

9. **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.

II. MANDATORY PROVISIONS

■ A. STANDARD CONTRACT, PARTS I AND II

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

Part I of the standard contract is maintained by the Department and will include the scope of services, contract performance, budget, reports, and program-specific provisions of any resulting 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 contract. Part II is available on OPM's web site 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.

Part I of the standard contract may be amended by means of a written instrument signed by the Department, the selected Respondent (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 Respondent implicitly gives the following assurances:

1. **Collusion.** The Respondent represents and warrants that it 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 Respondent further represents and warrants that no agent, representative, or employee of the State participated directly in the preparation of the Respondent's proposal. The Respondent 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 Respondent 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 Respondent, contractor, or its agents or employees.
3. **Competitors.** The Respondent 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 Respondent to induce any other organization or competitor to submit, or not submit, a proposal for the purpose of restricting competition. The Respondent 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 Respondent knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.

4. **Validity of Proposal.** The Respondent 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 addenda hereto. The submission 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 Respondent.

5. **Press Releases.** The Respondent 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 Respondent 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 Respondent 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. Respondents 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 shall 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 Respondents to submit written clarification of their proposals, in a manner or format prescribed by the Department, and at the Respondent's expense.

6. **Supplemental Information.** Supplemental information will not be considered after the deadline for submission of proposals, unless specifically requested by the Department. The Department may ask a Respondent 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 Respondents invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per Respondent.

7. **Presentation of Supporting Evidence.** If requested by the Department, a Respondent shall be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. At its discretion, the Department may also check or contact any reference provided by the Respondent.

8. **RFP Is Not An Offer.** Neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or the Department or confer any rights on any Respondent unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the Respondent

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 Respondent or for payment of services under the terms of the contract until the successful Respondent 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 Respondent 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. **Offer and Rejection of Proposals.** The Department reserves the right to offer in part, and/or 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 Respondent who submits a proposal after the submission due 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 offered as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right 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 Respondent(s) for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFOs) on cost from Respondents. The Department may set parameters on any BFOs received.
7. **Clerical Errors in Offer.** The Department reserves the right to correct inaccurate offers resulting from its clerical errors. This may include, in extreme circumstances, revoking the offering of the right to negotiate a contract already made to a Respondent and subsequently offering the right to negotiate a contract to another Respondent. 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 Respondent is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the Respondent.
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 Respondent'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 Respondent 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). Respondents are generally advised not to include in their proposals any confidential information. If the Respondent indicates that certain documentation, as required by this RFP in Section I.C.11 above, 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 Respondent has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a Respondent 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 ensure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons. Detailed information is available on CHRO's web site at Contract Compliance

   IMPORTANT NOTE: The Respondent shall upload the Workplace Analysis Affirmative Action Report through an automated system hosted by the Department of Administrative Services (DAS)/Procurement Division, and the Department of Social Services can review said document online. The DAS guide to uploading affidavits and nondiscrimination forms online is embedded in this section as a hyperlink.

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 require 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 OPM: Ethics Forms
   IMPORTANT NOTE: The Respondent shall upload the Consulting Agreement Affidavit (OPM Ethics Form 5) through an automated system hosted by the Department of

Administrative Services (DAS)/Procurement Division, and the Department of Social Services can review said document online. The DAS guide to uploading affidavits and nondiscrimination forms online is embedded in this section as a hyperlink.

4. **Limitation on Use of Appropriated Funds to Influence Certain Federal Contracting and Financial Transactions, 31 USC § 1352.** A responsive proposal shall include a Certification Regarding Lobbying form, which is embedded in this section as a hyperlink, attesting to the fact that none of the funds appropriated by any Act may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the: (A) awarding of any Federal contract; (B) making of any Federal grant; (C) making of any Federal loan; (D) entering into of any cooperative agreement; or (E) extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

5. **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 Respondent is offered an opportunity to negotiate a contract with an anticipated value of $50,000 or more in a calendar or fiscal year, the Respondent shall 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 OPM: Ethics Forms

   IMPORTANT NOTE: The selected Respondent shall upload the Gift and Campaign Contributions Certification (OPM Ethics Form 1) through an automated system hosted by the Department of Administrative Services (DAS)/Procurement Division prior to contract execution, and the Department of Social Services can review said document online. The DAS guide to uploading affidavits and nondiscrimination forms online is embedded in this section as a hyperlink.

6. **Nondiscrimination Certification, C.G.S. §§ 4a-60(a)(1) and 4a-60a(a)(1).** If a Respondent is offered an opportunity to negotiate a contract, the Respondent shall provide the Department with *written representation* or *documentation* that certifies the Respondent 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 OPM: Nondiscrimination Certification

   IMPORTANT NOTE: The selected Respondent shall upload the Nondiscrimination Certification through an automated system hosted by the Department of Administrative Services (DAS)/Procurement Division prior to contract execution, and the Department of Social Services can review said document online. The DAS guide to uploading affidavits and nondiscrimination forms online is embedded in this section as a hyperlink.

III. PROGRAM INFORMATION

A. DEPARTMENT OVERVIEW

The Department of Social Services (DSS) delivers a wide variety of services to children, families, adults, people with disabilities and the elderly, including health care coverage, child care, child support enforcement, independent living services, energy assistance, food and nutrition aid, and program grants. DSS administers over 90 legislatively authorized programs and one-third of the state budget, currently serving more than 700,000 individuals in nearly 450,000 households (June 2012 data).

By statute, DSS is the state agency responsible for administering a number of programs under federal legislation, including the Food Stamp Act, the Older Americans Act, and the Social Security Act. The department is also designated as a public housing agency for the purpose of administering the Section 8 program under the federal Housing Act.

The department is headed by the Commissioner of Social Services, and there are deputy commissioners for programs and administration. The agency administers most of its programs through 12 field offices located throughout the state, with central administrative offices located in Hartford. In addition, many services funded by the agency are available through community-based agencies, including the 156 senior centers throughout Connecticut. The agency has outstationed employees at hospitals to expedite Medicaid/HUSKY applications, and also works with community service providers to facilitate program applications.

Attached to the department for administrative purposes only are the Department of Rehabilitative Services, encompassing vocational rehabilitation services, services for the blind and visually-impaired and the deaf and hearing-impaired, and disability determination services; the Commission on Aging; and the Child Day Care Council.

Mission and Vision

DSS MISSION

The Connecticut Department of Social Services provides a continuum of core services to:

- Meet basic needs of food, shelter, economic support and health care
- Promote and support the choice to live with dignity in one's own home and community
- Promote and support the achievement of economic viability in the workforce

We gain strength from our diverse environment to promote equal access to all DSS programs and services.

DSS VISION

The Connecticut Department of Social Services is people working together to support individuals and families to reach their full potential and live better lives. We do this with humanity and integrity.

B. OVERVIEW OF THE SOCIAL WORK SERVICES UNIT

The mission of the Social Work Services Unit is to make the principles, values and ethics of the Social Work profession an integral part of DSS and to ensure that all interventions with the Department's clients reflect the best practices of the profession.

The Social Work Services Unit develops services and methods of service delivery designed to respect the client's right to self-determination, and to empower and protect individuals, families, and those who are economically disadvantaged or otherwise vulnerable. Social Work Services treats those it serves with respect and strives to assist them to realize their full potential and to actively participate in society.

The Social Work Services Unit is divided into three service delivery areas within the State, with social workers on staff in twelve regional offices and a Central Office that provides direct social work services to eligible State citizens. Embedded in the following hyperlink are the Direct Service Social Work Programs.

The Social Work Services Unit also has the responsibility for administering grant and contract programs through vendor services embedded in the following hyperlink, Statewide Programs (vendor services).

1.0 PURPOSE OF THIS REQUEST FOR PROPOSALS

The purpose of the Eviction and Foreclosure Prevention Program (EFPP), as created by General Statutes of Connecticut Sections 17b-804 through 17b-805, is to prevent homelessness among families whose income does not exceed sixty (60) percent of the State median income and who are at risk of becoming homeless or in imminent danger of eviction or foreclosure.

DSS is requesting proposals from qualified nonprofit organizations or municipalities to provide EFPP services through Mediation and Rent Bank to prevent homelessness and help clients remain in their current homes.

The Security Deposit Guarantee Program, (SDGP), embedded as a hyperlink, provides a guarantee to landlords of up to two (2) months' rent instead of actual cash payment. These services are authorized under Connecticut General Statutes Section 17b-802. SDGP Processes are embedded as a hyperlink. The SDGP has two Program Phases, Guarantee Issuance and Claims Payout. Resultant contractors shall implement both service components.

This procurement is for existing services. The current contract period will end on June 30, 2013.

2.0 OVERVIEW OF THE EVICTION AND FORECLOSURE PREVENTION PROGRAM

EFPP, also known as the Housing Mediation and Rent Bank Program, is a statewide program designed to prevent evictions and foreclosures through Mediation and Rent Bank. EFPP was created by the legislature in 1990 as a preventive strategy in reaction to the high cost and social impact of housing the homeless in expensive motels. Program services are authorized under Connecticut General Statutes (C.G.S.) §17b-804 and §17b-805.

The EFPP has met the following objectives:

- Helped clients to remain in their current homes for one year

- Prevented homelessness

Additional results of the EFPP include:

- Better relations between property owners and tenants and mortgage holders and homeowners
- Reduction in the costs of homelessness, as well as costs of eviction and foreclosure to tenants, property owners, homeowners, mortgage holders, and the State of Connecticut

The regulations under which EFPP operates are embedded in the following hyperlink: Eviction and Foreclosure Prevention Program Regulations.

The EFPP has two (2) key components, Mediation and Rent Bank. The resultant contractors shall provide both service components.

3.0 OVERVIEW OF THE SECURITY DEPOSIT GUARANTEE PROGRAM

The Security Deposit Guarantee Program, (SDGP) provides a guarantee to landlords of up to two months' rent instead of actual cash payment as a security deposit. These services are authorized under Connecticut General Statutes Section 17b-802. In State Fiscal Year (SFY) 2010, the last year the program was open for full intake; DSS guaranteed security deposits for 1,963 individuals and families and paid 594 claims for damage.

The SDGP has met the following objectives:

- Helped facilitate access to permanent housing
- Prevented homelessness

The regulations under which SDGP operates are embedded in the following hyperlink: Security Deposit Guarantee Program Regulations. The following hyperlink provides you with SDGP guidelines. These guidelines are subject to change and should be used as an example only.

The SDGP has three (3) Program Processes: Preliminary Screening, Preliminary Screening and Landlord Claims. Resultant contractors shall implement all processes. The SDGP Processes are embedded as a hyperlink. The SDGP has two Program Phases, Guarantee Issuance and Claims Payout. Resultant contractors shall implement both service components.

■ C. MAIN PROPOSAL

Eligible Respondents are private provider organizations; defined as non-state entities that are 501(c)(3) nonprofit corporations or partnerships located in Connecticut or Connecticut municipalities. Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

Responses to the requirements in this section shall describe the background and experience of the Respondent and any proposed subcontractor(s) or partnership(s). The responses shall also address details regarding the size and resources, experience relevant to the services to be performed under the resultant contract, and contracts for management of eviction and foreclosure prevention services of the Respondent or any proposed subcontractor(s) or partnership(s).

Respondents are required to provide the information requested about each subcontractor and partnership proposed to provide direct services to clients where indicated throughout this section of the RFP. Failure to comply with this requirement may result in the immediate disqualification of the proposal.

The Department reserves the right to reject the submission of any Respondent in default of any current or prior contract.

1.0 Organizational Requirements - Page limitation is TEN (10) pages.

To submit a responsive proposal, **THE RESPONDENT SHALL** provide the following information required in **a. - i**. below, regarding the administrative and operational capabilities of the Respondent, and each proposed subcontractor and partnership where indicated throughout this section of the RFP.

a. *Purpose/Mission*. Provide a brief overview of the Respondent's and each proposed partner's and subcontractor's organization including the purpose, mission, vision, and years in operation. Describe how the EFPP and SDGP fit within the Respondent's and each proposed partner's and subcontractor's purpose, mission, and vision.

b. *Entity Type.* Provide proof of the Respondent's 501(c)(3) nonprofit status, such as a copy of the Internal Revenue Service (IRS) determination letter, in Section IV. G. Appendices, as **Appendix 2**.

c. *Functional Organization.* Provide an organization chart showing the hierarchical structure of functions and positions within the Respondent's and each proposed partnership's and subcontractor's organization, and the Respondent's hierarchical and programmatic relationships with each proposed subcontractor and partnership, in Section IV.H. Appendices, as **Appendix 3**. Indicate on the chart(s) where the following functions related to this program will be located: Program Coordinator; contract management; administrative support; and other functions and positions associated with the performance of the required EFPP and SDGP activities.

d. *Confidentiality Policies and Procedures.* Provide a copy of the Respondent's and each proposed subcontractor's and partnership's confidentiality policies and procedures for protecting client records in Section IV.H. Appendices, as **Appendix 4**.

e. *Disclosure Policy*. Case file information on program participants including names, Social Security Numbers, and other sensitive information is considered confidential and may not be released. The contractor shall protect confidential and private information gained from program participants. Appropriate physical and computer security policies shall be in place to protect sensitive information. The proposal shall describe the Respondent's and each proposed subcontractor's and partnership's ability to comply with this disclosure policy.

f. *Qualifications.* Describe how the Respondent meets the required minimum qualifications of this RFP:

1) A minimum of five years of demonstrated experience in management of eviction, foreclosure, and homelessness prevention services to the target population of families whose income does not exceed 60 percent of the State median income and who are at risk of becoming homeless or in imminent danger of eviction or foreclosure;

2) Experience in Security Deposit Issuance; and

3) The ability to serve multicultural, multilingual populations.

g. *References.* Provide three (3) specific programmatic references for the Respondent and each proposed subcontractor and partnership. References shall be individuals able to comment on the organization's ability to perform the activities required by this RFP. References shall include the company name, and the name, mailing address, telephone number, and e-mail address of a specific contact person. The contact person shall be an individual familiar with the organization and its day-to-day performance. References cannot be the organization's current employees. If the organization has provided services directly or indirectly through a subcontract to the State of Connecticut within the past three (3) years, the organization shall include a State of Connecticut reference. The organization may include a DSS reference in the proposal; however, the individual named may have to refuse if s/he will be involved in the evaluation of proposals received in response to this RFP. The organization may also include former DSS staff as references. **Organizations are strongly encouraged to contact their references to ensure the accuracy of their contact information, and their willingness and ability to provide references.** The Department expects to contact these references as part of the evaluation process.

References shall be able to comment on the following categories:

1) Capability to deliver required services;

2) Reputation/ethics/integrity;

3) Organizational approach;

4) Interpersonal skills; and

5) Ability to problem-solve.

The entity acting as a reference should be able to briefly describe the Respondent's, subcontractor's, partnership's, or collaboration's performance in each category and then rate the Respondent's performance as poor, fair, good, very good or excellent in each category.

The Department will disqualify any Respondent from competing in the RFP process if the Department discovers that the Respondent had any influence on the references.

h. *Department Responsibilities.* Identify specific support the Respondent requires from the Department to perform the tasks in any resultant contract. Support may include, but is not limited to Department staff time, Departmental reports or information required, or any other resources the resultant contractor expects the Department to provide in addition to the support identified.

The Department shall, at a minimum:

1) Monitor the resultant contractor's performance and request updates, as appropriate;

2) Respond to written requests for policy interpretations;

3) Provide technical assistance to the resultant contractor, as needed, to accomplish the expected outcomes;

4) Schedule and hold regular program meetings with the resultant contractor;

5) Provide a process for and facilitate open discussions with Contractors' Staff and DSS personnel to gather information regarding recommendations and suggestions for improvement.

Specific Department responsibilities are:

1) Program Management: A Program Director will be appointed by DSS. This individual will be responsible for monitoring program progress and will have final authority to approve/disapprove program deliverables.

2) Staff Coordination: The Program Director will coordinate all necessary contacts between the Resultant Contractor and Department staff.

3) Approval of Deliverables: The Program Director will review, evaluate, and approve all deliverables prior to the Resultant Contractor being released from further responsibility.

The Department of Social Services retains the ultimate decision-making authority required to ensure program tasks are completed.

i. *Small, Minority or Women's Business Enterprise* Section 4a-60g of the Connecticut General Statutes (C.G.S.) sets forth the requirements of each Executive Branch agency relative to the Connecticut Small Business Set-Aside program. Pursuant to that statute, 25 percent of the average total of all contracts let for each of the three previous fiscal years shall be set aside. The Department of Social Services requires that if the contractor is utilizing a subcontractor it shall make a "Good Faith Effort" to set aside a portion of the resultant contract for a small, minority, or women's business enterprise as a proposed subcontractor. Such proposed subcontractors may supply goods or services. Prospective Respondents may obtain a list of firms certified to participate in the Set-Aside program at the State of Connecticut Department of Administrative Services web site at http://www.das.state.ct.us/Purchase/SetAside/SAP_Search_Vendors.asp or by calling 860-713-5236. During the evaluation process, special consideration will be given to those Respondents who document their use of a certified small business or show the Respondent's commitment to, whenever possible, use a certified small business. Businesses shall be certified with the State of Connecticut. To submit a responsive proposal, **THE RESPONDENT SHALL** describe its effort to set aside a portion of the resultant contract for a small, minority, or women's business enterprise as a proposed subcontractor if it is proposing the use of a subcontractor.

1.1 Experience – Contracts

To submit a responsive proposal **THE RESPONDENT SHALL** describe its and any proposed subcontractors' and partnerships' experience and success related to the service requirements for this EFPP and SDGP whether ongoing or completed, including the following information:

a. Identify all state agencies, other jurisdictions, and commercial contractors in all other states for which the Respondent has engaged in similar or related contract work for the past two (2) years;

b. Describe any current or past contract(s) where the Respondent performed similar work in the past two (2) years for those state agencies, other jurisdictions or commercial contractors and for each contract include the name of the customer's program officer, title, address, telephone number, fax number and e-mail address; the date of contract signing,

the date of program initiation, the initial scheduled completion date and the actual completion date;

c. Summarize the Respondent's ability to lead a collaborative effort and coordinate subcontractors and partnerships. Provide data demonstrating the success of EFPP and SDGP services for the two (2) most recent years that your agency provided such services. This shall include the following data elements:

   a) Years for which services were delivered;

   b) Number of clients served;

   c) Cities/towns served;

   d) Funding source;

   e) Cost of services;

   f) Number of successful agreements signed; and

   g) Experience and capability to provide services that are culturally and linguistically responsive and appropriate.

d. **Provide a signed release** allowing the Department to access any evaluative information, including but not limited to site reviews conducted by any state agency, jurisdiction or commercial resultant contractor for which the Respondent has performed similar work in the past two (2) years. The signed release should be located in Section IV. G. Appendices, as **Appendix 5**.

1.2 Governance - Disclosure

To submit a responsive proposal **THE RESPONDENT SHALL** provide the following information of its and each proposed subcontractor or partnership:

a. The name, work address, and percentage of time allocated for this resultant contract for each responsible director;

b. A complete description of any and all related party relationships and transactions. The Respondent shall fully disclose its and any proposed subcontractors' or partnerships' anticipated payments to a related party. (Such payments are non-allowable unless the Respondent provides sufficient data to satisfy the Department that the costs are necessary and reasonable);

c. An overview of how organization policies and procedures are reviewed and updated by the Respondent, and any proposed subcontractor(s) or partnership(s) whenever there are Federal and State regulation changes and/or operational changes, or as requested by the Department; and

d. Evidence of sound fiscal management processes, and the ability to manage public contracts, public grants, and third party reimbursement systems.

1.3 Ownership - Disclosure

To submit a responsive proposal **THE RESPONDENT SHALL** provide a description of the relationship with other entities including:

a. Whether the Respondent or each proposed subcontractor or partnership is an independent entity or a subsidiary or division of another company (If the Respondent is not an

independent entity, Respondent shall describe the organization linkages and the degree of integration/collaboration between the organizations including any roles of the organizations' principals); and

b. A description of the relationship of any parent company when the Respondent or proposed subcontractor or partnership is an affiliate of another organization.

1.4 Audit Compliance

To submit a responsive proposal **THE RESPONDENT SHALL** describe the Respondent's and each proposed subcontractor's and partnership's success with contract compliance requirements during the past two (2) years. Identify any deficiencies in program audits and, if applicable, detail what steps the organization has taken to address any recommendations. List all sanctions, fines, penalties or letters of noncompliance issued against the Respondent and each proposed subcontractor and partnership by any funding source (public and/or private). Describe the circumstances eliciting the sanction, fine, penalty or letter of noncompliance and the corrective action or resolution to the sanction, fine, penalty or letter of noncompliance. If no sanctions, fines, penalties or letters of noncompliance were issued, a statement that attests that no sanction, fine, penalty or compliance action has been imposed on the Respondent and each proposed subcontractor and partnership within the past two (2) years shall be submitted.

1.5 Evidence of Qualified Entity

To submit a responsive proposal **THE RESPONDENT SHALL** provide written assurance to the Department from its legal counsel that it and each proposed subcontractor or partnership, is qualified to conduct business in the State of Connecticut and is not prohibited by its articles of incorporation, bylaws, or the laws under which it is incorporated from performing the services required under any resultant contract.

Note: The Evidence of Qualified Entity shall be submitted as a separate sheet and shall be located in Section IV.H., Appendices, as **Appendix 6**.

The Department reserves the right to reject the submission of any Respondent in default of any current or prior contract.

1.6 Comprehensive Risk Understanding

The resultant contractor shall be sensitive to the needs and circumstances of EFPP and SDGP and the policy requirements of the Department and the federal government. The Department looks forward to a relationship with a resultant contractor who will anticipate risks and propose solutions to problems that obstruct access to EFPP services. To submit a responsive proposal, **THE RESPONDENT SHALL**:

a. Show its understanding of the EFPP and SDGP by describing potential risks to the Department and risks that the Respondent, subcontractor, or partnership could encounter by acting as the EFPP and SDGP resultant contractor, subcontractor, or partnership and

b. Propose solutions or approaches for managing those risks that show the Respondent's, and each subcontractor's, or partnership's familiarity and sensitivity with managing the EFPP and SGDP.

2.0 . Scope of Service Requirements - Page limitation is TWENTY (20) pages.

General - A responsive proposal shall demonstrate understanding of the EFPP and the SDGP. The Respondent shall detail how it, subcontractor(s), or partnership(s) will define and perform each required task, the resultant product or deliverable, and how the Respondent will develop and manage services performed under each proposed subcontract or partnership agreement.

The Department does not want a rewrite of the RFP requirements, since such a proposal would show a lack of understanding of the program and an inability to provide appropriate levels of support and guidance for the implementation of this type of project.

1. Mediation and Rent Bank - are the two key components of the EFPP, as described in Section III. 2.0. Overview of the Eviction and Foreclosure Prevention Program. EFPP has met the following objectives through the work entailed through Mediation and Rent Bank.

   - Helped clients to remain in their current home for one (1) year
   - Prevented homelessness

   a. **Proposed Mediation Services** - Mediation is the primary service delivery approach to EFPP. The Department espouses the value of the negotiation process to facilitate creative and mutually agreed upon problem resolution between parties. Respondents are encouraged to place great emphasis on this important service delivery task. To submit a responsive proposal, **THE RESPONDENT SHALL:**

      1) Describe methods and processes to be provided to implement the EFPP objectives of improved relationships between property owners and tenants and mortgage holders and homeowners, helping the parties identify and discuss issues of mutual concern, and exploring solutions and developing mutually acceptable settlements;

      2) Describe a coordination plan for all activities and communication involving the tenant and property owner or homeowner and mortgage holder to achieve the EFPP objective of reducing the costs of homelessness, as well as costs of eviction and foreclosure to tenants, property owners, homeowners, mortgage holders, and the State; by developing mutually agreed upon solutions to identified problems;

      3) Describe the methods to encourage the tenant to contribute to reduce the arrears as well as the methods of approach to work with the mortgage holders and/or property owners to reduce costs or the arrearage; and

      4) Describe and create a new and innovative approach to the process of Mediation to achieve EFPP objectives.

   b. **Proposed Rent Bank Services** - Rent Bank is a tool of the EFPP process and is utilized when non-monetary negotiations do not lead to a resolution. To submit a responsive proposal, **THE RESPONDENT SHALL:**

      1) Provide a checklist of Mediation occurrences that should be addressed before Rent Bank Services are discussed; and

      2) Describe a plan to educate potential clients on the requirements of Rent Bank and the application process.

2. Overview of the Program Process - Resultant contractors shall engage in the following activities to serve the target population:

   a. Determine applicants' eligibility for the EFPP;

   b. Collect and maintain required client documentation (e.g., income verification, notice to quit, and proof of address);

   c. Determine willingness of property owner or mortgage holder to participate in the EFPP;

   d. Collect and maintain required property owner documentation (e.g., property owner proof of ownership, confirmation of arrearage, W-9 from each property owner);

   e. Mediate and assist parties in reaching a negotiated settlement of their differences. This includes developing a payment plan and determining if Rent Bank funds should be utilized;

   f. Issue Rent Bank Payment (if applicable);

   g. Follow up on status of client at 120-day and 365-day intervals; and

   h. Document activities that shall be entered into the EFPP online tracking database, as noted in Section III.C.4.0, Reporting Requirements.

   Resultant contractors shall also maintain a paper record that shall include, but is not limited to the following elements:

   1) Intake Form (signed and dated by the applicant and EFPP agency staff);

   2) Rent Bank Agreement (signed and dated by the client, EFPP agency staff, and property owner/mortgage holder);

   3) IRS W-9 Form for property owners;

   4) Income verification (e.g., pay stubs, federal income tax returns);

   5) Verification of Risk of Homelessness (e.g., Notice to Quit, Court Paperwork, Letter of Default from the property owner/mortgage holder); and

   6) Requested program and fiscal data submitted to the Department.

   For additional detail on the Program Process, please review the Eviction Foreclosure Prevention Program Regulations, embedded as a hyperlink.

   a) **Proposed Services** - To submit a responsive proposal, **THE RESPONDENT SHALL:**

      (1) Describe the methods and/or techniques to be initiated to implement each of the Eviction Foreclosure Program Processes listed above, 2.a-h;

      (2) Describe a coordination plan for all activities and communication involving the client to achieve the Eviction Foreclosure Program Processes listed above, 2.a-h; and

      (3) Provide the necessary steps to maintain all paper records to be completed and secured as required above, 2.1)-6).

3. **SDGP Processes** - The Security Deposit Guarantee Program, (SDGP), embedded as a hyperlink, provides a guarantee to landlords of up to two (2) months' rent instead of actual cash payment. These services are authorized under Connecticut General Statutes Section 17b-802. The SDGP Processes include Preliminary Screening, Program Application, and Landlord Claims. The SDGP has two Program Phases, Guarantee Issuance and Claims Payout. Resultant contractors shall implement both service components.

To submit a responsive proposal, **THE RESPONDENT SHALL**

a. Describe the methods and/or techniques to be initiated to implement each of the SDGP processes of Preliminary Screening, Program Application, and Landlord Claims, as described in the following hyperlink, **SDGP Processes;** and

b. Describe implementation of the two Program Phases, Guarantee Issuance and Claims Payout.

4. Proposed Catchment Areas - The Department expects to award up to five (5) contracts to serve each proposed catchment area. Respondents may submit a proposal for more than one (1) catchment area. Each catchment area shall be submitted as a separate proposal. EFPP services shall be provided at **multiple service sites within each catchment area. The service sites within each catchment area are embedded in the following hyperlink, Catchment Areas and *Service Sites.***

Note: The following hyperlink, EFPP Statistics, contains EFPP processed applications in each of the five (5) catchment areas for year 2012.

To facilitate full coverage in each catchment area; collaborations, partnerships and the use of subcontracts are encouraged.

a. To submit a responsive proposal, **THE RESPONDENT SHALL** identify the proposed catchment area to be served and specify the location of all direct client service sites, hours of operation, and services to be provided at each site. Demonstrate compliance with the Americans with Disabilities Act regarding handicapped access for direct client service sites. NOTE WELL: Program staff shall be willing to travel throughout the catchment area specified in the Respondent's proposal.

A responsive proposal should include:

1) The address of the facility/facilities;

2) The name and telephone number of a contact person who has access to the facility should the Department wish to visit the facility before executing contracts;

3) A statement of how the facility is currently used;

4) A description of the surrounding neighborhood including the proximity of the closest office of the Department;

5) Confirmation that the facility is in compliance with State Regulated Fire Codes;

6) Any renovations that are needed or planned for the facility, e.g., handicap accessibility;

7) Facility problems that have been abated in the last five years, including, but not limited to, lead paint, pests, mold, and asbestos; and

8) Public transportation accessibility.

5. Target Population - The population to be served is families whose income does not exceed 60 percent of the State median income and who are at risk of becoming homeless or in imminent danger of eviction or foreclosure. The resultant contractor shall be required to perform specific Administrative Performance tasks to ensure efficient and effective program administration. The resultant contractor shall be required to provide pamphlets or other

informational material and oral information that meet cultural and linguistic needs of the target population regarding the existence of EFPP and SDGP services.

a. To submit a responsive proposal, **THE RESPONDENT SHALL** agree to the administrative tasks requirements and

   1) Describe in detail how the Respondent, proposed subcontractor or partnership will approach and prioritize the target population families;

   2) Describe the methods and processes to implement the Administrative Performance tasks listed above; and

   3) Describe evaluation methodologies to be used during the resultant contract period to measure the Administrative Performance tasks.

6. Linkages/Program Collaboration/Coordination - Collaborations to address broad geographic needs and assure ease of consumer access are encouraged. Collaborations may include, but are not limited to the following organizations:

   a. Area Agencies on Aging
   b. Community Action Agencies
   c. Domestic Violence Shelters
   d. Federally Qualified Health Centers
   e. Hispanic Organizations
   f. Homeless Shelters
   g. Housing Authorities
   h. Communities with 10 Year Plans to End Homelessness
   i. Human Resource Development Organizations
   j. Local Health Departments
   k. Municipalities
   l. Refugee Organizations
   m. Centers for Independent Living
   n. State Agencies (e.g. DSS, DCF, VA, DMHAS)

   To submit a responsive proposal, **THE RESPONDENT SHALL**

   1) Describe in detail the collaborative efforts that are currently in place between the Respondent and subcontractors and partnerships, and the existing resources within the catchment area specified in the Respondent's proposal. Identify leveraged services that will support EFPP and SDGP operations and describe any coordinated services between the Respondent, proposed subcontractors and partnerships, and other service providers that will be beneficial to the target population;

   2) Describe prior and related experience working with local-level collaborations;

   3) If applicable, describe with whom the Respondent will collaborate to achieve the objectives of the EFPP and SDGP including a description of why and how the Respondent will engage and collaborate with other local-level organizations;

   4) Evidence the ability to effectively meet the access needs of consumers to be served by the Respondent's program(s). This may be achieved using subcontract arrangements or other formal, collaborative agreements. To submit a responsive proposal, **THE RESPONDENT SHALL** demonstrate that it will have a presence in the **multiple service sites within the catchment area** proposed, in order to ensure that

consumers have easy and ready access to local service. Catchment Areas and **Service Sites** are embedded as a hyperlink.

3.0 Staffing Requirements - Page limitation is TEN (10) pages.

A responsive proposal shall include the following information about the number and qualifications of program staff that the Respondent and each proposed subcontractor and partnership intend to employ to perform the activities required by this RFP.

1. Positions and Program Staff Resources - A responsive submission shall identify **all positions that will be responsible for the tasks set forth in this RFP**. Positions shall include, but are not limited to a Program Coordinator who will be responsible for the implementation and management of the EFPP and SDGP, day-to-day oversight, and attendance at all program meetings at the request of the Department. The Program Coordinator will be expected to respond to the Department's requests for status updates and all required reports.

   To submit a responsive proposal, **THE RESPONDENT SHALL:**

   a. Provide the names and titles of the program staff proposed for the EFPP and SDGP and the hours and percentages of time dedicated to each program;

   b. Justify its staffing resources to successfully meet the RFP's requirements;

   c. Provide job descriptions for the titles of the program staff proposed for the EFPP and SDGP positions (3.0. 1. a) and, if applicable, resumes of the program staff proposed to fill the positions; and

   d. Provide the job description of the critical position of Mediator.

   Resumes for program staff proposed to fill the positions are limited to two pages per resume. Resumes are not included in the page limitation of this section and should be included in Section IV. G. Appendices, as **Appendix 7.**

   e. Specify the contract-related experience, credentials, education, training, and work experience required in job descriptions for the positions and in the resumes for the program staff proposed to fill the positions including:

      1) Experience with Respondent, proposed subcontractor or partnership;

      2) Education, experience, and training relevant to management of eviction and foreclosure prevention services; and

      3) Names, positions, titles, and telephone numbers and e-mail addresses of persons able to provide information concerning the individuals' experience and competence.

   f. If the positions identified by the Respondent are not currently established or filled, to submit a responsive proposal, **THE RESPONDENT SHALL** provide a detailed description and timeline of the steps to be taken by the Respondent to establish and fill the positions before the expected contract start date of July 01, 2013;

   g. Multilingual and Multicultural Competency. Describe the ability of all program staff identified in 3.0. 1. a. above to respond to various language and cultural situations in a culturally sensitive and linguistically competent way; and

   h. Program Staff Training. Describe the training techniques that will be used to ensure program staff competency in the performance of EFPP and SDGP activities.

Note: The Department shall be notified in writing and in advance regarding the departure of any program staff from the EFPP and SDGP.

4.0 Data Reporting and Technology Requirements - Page limitation is FIVE (5) pages.

1. The resultant contractor shall use the Department's electronic EFPP and SDGP Statistical Report on an ongoing basis. An online applicant file shall be created at the time of the initial applicant interview or within three business days of the receipt of the application. Any additional application information shall be entered into the computer system at the time of receipt or within three business days. Applications that are incomplete and pending at thirty days from the initial application will be closed. Client notes shall be entered within three business days from date of acceptance of client notes.
2. The resultant contractor shall prepare and submit to the Department Six-Month and Year-End Program Narrative Status Summary Reports, which shall include all information not captured in the EFPP Monthly Statistical Report in the EFPP database. Each Narrative Status Summary Report shall discuss changes in the EFPP including, but not limited to population trends, needs of clients being served, technical or programmatic assistance needs or problems, and potential gaps in client services. The resultant contractor shall submit Program Narrative Status Summary Reports within thirty days after the end of each six month period and thirty days after the end of the resultant contract period.
3. Follow-up for the EFPP shall be conducted at one hundred twenty days and three hundred sixty-five days from the client's Mediation End Date. The purpose of the follow-up is to learn whether the client is residing at the same address and current with the rent/mortgage payment. The resultant contractor shall report the results to the Department within thirty days of the follow-up date.
4. The resultant contractor shall submit to the Department quarterly fiscal reports on DSS-304 and DSS-305 forms, embedded as a hyperlink, due to the Department's program representative within thirty days after the end of each quarter. The final fiscal report is due within sixty days after the end of the resultant contract period.

   a) To submit a responsive proposal, **THE RESPONDENT SHALL:** describe the Respondent's and any partner's or subcontractor's capabilities to comply with the requirements listed above, in 4.0. 1-4; and

   b) Describe the technological capabilities and experience including, but not limited to: communications, reporting, and data management of the Respondent, and any proposed subcontractor or partnership to meet the requirements as listed above as well as contribute to the enhancement of these requirements.

5.0 Quality Assurance - Page limitation is TWO (2) pages.

To submit a responsive proposal, **THE RESPONDENT SHALL** concisely describe the Respondent's and each proposed subcontractor's and partnership's internal process to ensure the quality and appropriateness of the activities to be performed. If an external quality assurance process is used, describe the process. Describe the methods and processes proposed by the Respondent, proposed subcontractor or partnership to facilitate a complete program evaluation component and the proposed process to be

used by the resultant contractor to inform the Department of any irregularities or problems with the operation of EFPP and SDGP services.

6.0 Participant Outcome/Program Evaluation - Page limitation is TWO (2) pages.

At a minimum, the Resultant Contractor shall be required to meet or exceed the following program outcome for participants: *Families retaining access to affordable housing for one year after the EFPP and SDGP process.*

To submit a responsive proposal, **THE RESPONDENT SHALL** provide the following information about the Respondent's and each proposed subcontractor's and partnership's information management and performance measurement systems.

1. Detail the methods and processes proposed to be used to achieve the program outcome: *Families retaining access to affordable housing for one year after the EFPP and SDGP process;*
2. Include a proposed plan for the coordination of all activities and communication involving clients to achieve the stated outcome;
3. Propose one additional objective to continue achievement of the successful participant outcome as described above;
4. Describe the Respondent's and each proposed subcontractor's and partnership's client satisfaction process (surveys, etc.). Summarize feedback (number and percent of returned surveys, summary of concerns expressed by clients, etc.). Provide a brief narrative of the Respondent's and each proposed subcontractor's and partnership's follow-up actions or plans regarding concerns expressed by clients. Include a copy of the Respondent's and each proposed subcontractor's and partnership's client satisfaction survey in Section IV. G. Appendices, as **Appendix 8**.
5. Describe the evaluation methodologies that will be used to measure achievement of program goals including how goals will be evaluated, frequency of evaluation, and evaluation instruments to be used. Include the tracking methodology that will be implemented to review progress toward meeting goals, and to present suggestions for revising goals, if it is demonstrated that goals cannot be met.

7.0 Subcontractors and Partnerships

Each organization that will be performing any of the activities required by this RFP shall be identified in the proposal. All proposed subcontractors and partnerships are subject to the Department's prior approval. To submit a responsive proposal, **THE RESPONDENT SHALL include** the following information about each proposed subcontractor and partnership.

1. A Subcontractor Profile for each proposed subcontractor and partnership, which is embedded in this section as a hyperlink, shall be included in Section IV. G. Appendices, as **Appendix 9**;
2. A sample subcontract or partnership agreement shall be included in Section IV. G. Appendices, as **Appendix 10**. Selected Respondents shall be required to submit a copy of a written agreement with each subcontractor and partnership prior to contract execution; and
3. A letter of commitment from each proposed subcontractor and partnership indicating willingness to provide the proposed services throughout the entire contract period

shall be included in Section IV. G. Appendices, as **Appendix 11**. Each letter shall be signed by an authorized official of the proposed subcontractor or partnership.

8.0 Work Plan - Page limitation is THREE (3) pages.

To submit a responsive proposal, THE RESPONDENT SHALL include a comprehensive and realistic work plan. The proposed work plan shall include:

1. **Start-up and implementation** activities to be carried out by the Respondent and each proposed subcontractor and partnership if applicable, within 15 days of notification of the right to negotiate a contract;
2. **Tasks and deliverables** to be carried out to perform the proposed activities, and the staff who will be responsible for carrying out each task and deliverable;
3. **Timetable/Schedule**, that is, an outreach plan to the target population and service delivery plan that clearly identifies where and when outreach activities will occur, as well as when services will be fully operational;
4. **Service Capacity/Delivery Plan/Process**. Describe in detail activities that will be performed. Specifically, the proposal shall describe a Service Capacity/Delivery Plan to ensure that services are available no later than July 1, 2013. Said plan shall include but not be limited to:
   a. Information about the Respondent's and each proposed subcontractor's and partnership's staffing capacity, and existing resources and relationships to ensure a seamless delivery system;
   b. All planned implementation activities and a description of how said activities will be carried out; and describe a detailed plan of scheduling at the service site(s), including a timeline for the execution of the Mediation Service and the Rent Bank Service; and
   c. Include a statement of the number of client cases that the resultant contractor shall serve monthly, quarterly, and annually at each service site and an explanation of the analysis the Respondent used to arrive at the number of cases.
5. The resultant contractor shall be required to provide on-going EFPP and SDGP services to program participants that are being served by the Department's current contractors. The Department is in the process of finalizing the transition process and applicable documentation, and will provide the selected Respondents with the number of program participants currently being served. Once the appropriate confidentiality agreements have been signed by the current program participants, current contractors, and the selected Respondents, the Department will provide the selected Respondents with all appropriate documentation.

■ D. COST PROPOSAL

1. Financial Requirements

To submit a responsive proposal, THE RESPONDENT SHALL include the following information about the Respondent's fiscal stability, accounting and financial reporting systems, and relevant business practices.

a. Audited Financial Statements. Submit one (1) copy each of the Respondent's two (2) most recent annual financial statements prepared by an independent Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (GAAP) (USA). The copies shall include all applicable financial statements, auditor's reports, management letters, and any corresponding reissued components. One (1) copy only shall be included with the original cost proposal.

b. Financial Policies and Procedures. Include one (1) electronic copy of the Respondent's financial policies and procedures.

c. Mixed Funding. Describe how program staff time dedicated to the EFPP and SDGP will be tracked, if program staff assigned to the EFPP and SDGP will be paid from various funding sources.

d. Financial Capacity. Describe the Respondent's financial capacity to properly isolate contract-related income and expenditures. Discuss the internal controls used to ensure that a thorough record of expenditures can be provided for purposes of an audit.

e. Leveraged Funds. Describe the Respondent's long-term strategy to sustain funding for the program and explain how EFPP and SDGP funds may be used to leverage other funding.

f. Cost Allocation Plan. The Respondent's Cost Allocation Plan (CAP) shall include provisions for allocating allocable-as-direct costs, Administrative and General (A&G) costs, and salaries and wages. The amount of detail in the plan would depend on a number of factors including, but not limited to the size and complexity of the organization, the number of revenue sources, and the number of programs. Based on these factors, the detailed budget and cost item allocation documents may or may not need to be included in the CAP. The Respondent's CAP should be included in the Financial Policies and Procedures requested in Section III.D.1.b above.

2. Budget Requirements

a. Cost Standards. All proposed costs are subject to the standards developed by the State Office of Policy and Management for determining the cost of contracts, grants, and other agreements with organizations that receive funding from the State. Be advised that the cost proposal is subject to revision prior to contract execution in order to ensure compliance with the OPM cost standards. More information about the cost standards is available on OPM's web site: Cost Standards.

b. Budget. To submit a responsive proposal, **THE RESPONDENT SHALL** provide three (3) annual line-item budgets based on each contract year for the total proposed cost and the totaled three (3) year budget using the following **budget form**, embedded as a hyperlink. The budgets shall include line items for all expenses to be incurred through the delivery of services.

The Respondent's total administration costs shall not exceed 15 percent of the total funding request per contract year and the total anticipated contract period. In addition, the contractor's total administration costs shall not exceed 15 percent of the quarterly expenditures reported. The total administration costs of the proposed subcontractors shall be determined by the contractor, but shall not exceed 15 percent of the total funding request. The remaining balance of the total funding request shall be for the EFPP and SDGP activities required by this RFP.

c. Budget Justification / Narrative. To submit a responsive proposal, **THE RESPONDENT SHALL** detail how costs included in the budget were calculated for both EFPP and SDGP, including a rationale for each line item included in the budget and how Rent Bank funds will be managed. The narrative shall include a listing and brief explanation of each program staff position including number of hours worked weekly, number of weeks worked yearly and hourly rate.

   Either Microsoft Office Word or Excel format is acceptable.

The Department reserves the right to consider all factors including cost in the final selection of a successful Respondent. The opportunity to negotiate a contract with the Department will not be offered based on cost alone.

Payment Structure - Resultant contractors shall be paid in accordance with expenditures incurred in accordance with the approved line-item budget. While specific payment terms will be made final during contract negotiations, it is expected that payments will be made quarterly, contingent upon the resultant contractor's timely compliance with the resultant contract requirements including, but not limited to, the resultant contractor's submission and Department's acceptance of all required reports and payment requests.

IV. PROPOSAL OUTLINE

Respondent: This section presents the required outline that shall be followed when submitting a proposal in response to this RFP. *Proposals shall include a Table of Contents that exactly conforms with the required proposal outline (below). Proposals shall 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 Contents 2

C. Declaration of Confidential Information . . . . . Etc.

D. Conflict of Interest - Disclosure Statement . . . . . .

E. Executive Summary . . . . . .

F. Main Proposal . . . . . .

1.0 Organizational Requirements . . . . . .

1.1 Experience Contracts
1.2 Governance-Disclosure
1.3 Ownership-Disclosure
1.4 Audit Compliance
1.6 Comprehensive Risk Understanding

2.0 Scope of Service Requirements . . . . . .

1. Mediation and Rent Bank
2. Overview of Program Process
3. SDCP Process
4. Proposed Catchment Areas
5. Target Population
6. Linkages/Program Collaboration/Coordination

3.0 Staffing Requirements. . . . . .

1. Positions and Program Staff Resources

4.0 Data Reporting and Technology Requirements . . . . . .
5.0 Quality Assurance . . . . . .
6.0 Participant Outcome/Program Evaluation . . . . . .
7.0 Subcontractors and Partnerships . . . . . .
8.0 Work Plan . . . . . .

G. Appendices . . . . . .

1. Appendix 1-Addenda.
2. Appendix 2-Proof of Non-Profit Status

3. Appendix 3-Organization Chart(s)
4. Appendix 4-Confidentiality Policies and Procedures
5. Appendix 5-Signed Release
6. Appendix 6-Evidence of Qualified Entity
7. Appendix 7-Resumes
8. Appendix 8-Client Satisfaction Survey
9. Appendix 9-Suncontractor Profile
10. Appendix 10-Sample Subcontract or Partnership Agreement
11. Appendix 11-Letter(s) of commitment from Subcontractors/Partnerships

H. Forms . . . . . .

1. Certification Regarding Lobbying

I Cost Proposal Submitted in a Separate Binder 2 of 2. . . . . .

1. **Financial Requirements**
   a. Audited financial Statements
   b. Financial Policies and Procedures
   c. Mixed Funding
   d. Financial Capacity
   e. Leveraged Funds
   f. Cost Allocation Plan

2. **Budget Requirements. . . . . .**

   a. Cost Standard (Information Only)
   b. Budget
   c. Budget Justification / Narrative