

PROCUREMENT NOTICE

Below is the procurement notice for this RFP. When the anticipated cost of a competitive procurement exceeds \$50,000, a legal notice must be published in two or more publications (one of which must be a major daily newspaper published in the state). Agencies must allow a minimum of seven (7) weeks between the RFP release date and the deadline for submitting proposals, unless an emergency situation warrants a shorter length of time. All RFPs, regardless of the anticipated procurement cost, must be posted on the State Contracting Portal on the release date of the RFP.

[Insert LEGAL NOTICE]

or

[Insert information as follows:]

The State of Connecticut, Department of [insert name], is seeking proposals to [insert summary from I.A.2.].

[Optional] The intent of the request is to [insert synopsis from I.A.3. or additional information].

[Optional] A Request For Proposals Conference will be held on [insert date, time, and location from I.C.8.].

The Request For Proposals is available in electronic format on the State Contracting Portal at http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp or from the Department's Official Contact: *Insert Official Contact information from I.C.1:*

Name: insert
Address: insert
Phone: insert
Fax: insert
E-Mail: insert

If Department has an RFP web page, insert the following: The RFP is also available on the Department's website at [insert web address from I.C.2]. A printed copy of the RFP can be obtained from the Official Contact upon request. Deadline for submission of proposals is [insert due date and time from I. C.9.].

This document is configured for 2-sided printing.

TABLE OF CONTENTS

*Below is an outline of this Request For Proposal. The outline presents the standard structure of all RFPs for POS: meaning, the same sections and subsections appear in all RFPs for POS; in other words, they are identically organized. The subsections of **Section II** are standard and their contents are the same for all RFPs for POS; they do not vary. The subsections of **Sections I, III, IV, and V** are standard, but their contents vary by RFP, depending on the Department's procurement requirements.*

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I. GENERAL INFORMATION

This section of the RFP provides general information about the Department's procurement and, most importantly, gives instructions to proposers and prospective proposers about how to comply with the RFP process and how to submit an acceptable proposal for review. Failure to comply with the RFP process or instructions may deem a proposal non-responsive and subject to rejection without further consideration. The subsections of Section I are standard, but their contents vary by RFP, depending on the Department's procurement requirements.

A. INTRODUCTION

- 1. RFP Name or Number. Provide an identifying name or number for this RFP. The name or number will be used on the packaging and cover sheet of proposals submitted in response to this RFP.
2. Summary. Insert a short statement (maximum 400 characters including spaces) describing the purpose of this procurement. The summary will be used when posting the RFP on the State Contracting Portal.
3. Synopsis (Optional). Not Available or Insert additional information (maximum 400 characters including spaces) providing more detail about this procurement. When provided, the synopsis will be used when posting the RFP on the State Contracting Portal.

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

Insert a maximum of six (6) commodity codes identifying the type of service(s) that the Department wishes to procure through this RFP. The commodity codes will be used when posting the RFP on the State Contracting Portal.

Examples:

- 0098: Medical Services or Medical Testing Services
• 0600: Services (Professional, Support, Consulting and Misc. Services)
• 1000: Healthcare Services
• 2000: Community and Social Services
• 3000: Education and Training

B. ABBREVIATIONS / ACRONYMS / DEFINITIONS

Modify this subsection, as necessary, to meet the Department's procurement requirements. DO NOT DELETE the definitions of contractor, proposer, prospective proposer, or subcontractor.

- BFO Best and Final Offer
C.G.S. Connecticut General Statutes
CHRO Commission on Human Rights and Opportunity (CT)
CT Connecticut
DAS Department of Administrative Services (CT)
FOIA Freedom of Information Act (CT)
IRS Internal Revenue Service (US)
LOI Letter of Intent
OAG Office of the Attorney General
OPM Office of Policy and Management (CT)
OSC Office of the State Comptroller (CT)
POS Purchase of Service

P.A. Public Act (CT)
RFP Request For Proposal
SEEC State Elections Enforcement Commission (CT)
U.S. United States

- *contractor*: a private provider organization, CT State agency, or municipality that enters into a POS contract with the Department as a result of this RFP
- *proposer*: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP
- *prospective proposer*: a private provider organization, CT State agency, or municipality that may submit a proposal to the Department in response to this RFP, but has not yet done so
- *subcontractor*: an individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific health or human service as part of a POS contract with the Department as a result of this RFP

■ C. INSTRUCTIONS

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

Name: insert
Address: insert
Phone: insert
Fax: insert
E-Mail: insert

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

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

- Department's RFP Web Page
insert [URL](#) or Not Available
- State Contracting Portal
http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp

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

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

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

- Total Funding Available: insert amount
- Number of Awards: insert number
- Contract Cost: Confidential or insert amount
- Contract Term: insert term

4. Eligibility. Private provider organizations (defined as nonstate entities that are either nonprofit or proprietary corporations or partnerships), CT State agencies, and municipalities are eligible to submit proposals in response to this RFP. Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

Important Note:

Pursuant to C.G.S. § 18-101, the Department of Correction (DOC) must award purchase of service contracts only to private nonprofit organizations, State agencies, or units of local government. Proprietary corporations or partnerships are not eligible to submit proposals in response to any RFP issued by DOC.

5. Minimum Qualifications of Proposers. To qualify for a contract award, a proposer must have the following minimum qualifications:

insert minimum qualifications or Not Applicable

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

- RFP Planning Start Date: insert date
- RFP Released: insert date
- Letter of Intent Due: Not Applicable or insert date
- Deadline for Questions: insert date
- Answers Released (Round 1): insert date
- RFP Conference: Not Applicable or insert date
- Answers Released (Round 2): Not Applicable or insert date
- Proposals Due: insert date
- (*) Proposer Selection: insert date
- (*) Start of Contract Negotiations: insert date
- (*) Start of Contract: insert date

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

8. Inquiry Procedures. All questions regarding this RFP or the Department’s procurement process must be directed, in writing, to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or

anonymous questions). Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. If this RFP requires a Letter of Intent, the Department reserves the right to answer questions only from those who have submitted such a letter. The Department may combine similar questions and give only one answer. All questions and answers will be compiled into a written amendment to this RFP. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such. The agency will release the answers to questions on the date(s) established in the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Department's RFP Web Page. *If the RFP includes a Letter of Intent or RFP Conference, the following language is optional:* At its discretion, the Department may distribute any amendments to this RFP to prospective proposers who submitted a Letter of Intent or attended the RFP Conference.

9. **RFP Conference.** An RFP conference will, will not be held to answer questions from prospective proposers. *If held, include the following instructions:* Attendance at the conference is **optional or mandatory**. *If mandatory, include the following instructions:* Prospective proposers who do not attend the conference are automatically disqualified and ineligible to submit proposals. Copies of the RFP will not be available at the RFP Conference. Prospective proposers are asked to bring a copy of the RFP to the conference. At the conference, attendees will be provided an opportunity to submit written questions, which the Department's representatives may (or may not) answer at the conference. Any oral answers given at the conference by the Department's representatives are tentative and not binding on the Department. All questions submitted will be answered in a written amendment to this RFP, which will serve as the Department's official response to questions asked at the conference. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such. The agency will release the amendment on the date established in the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Department's RFP Web Page.

If held, insert the following:

- Date: insert date
- Time: insert time
- Location: insert location

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

- Due Date: insert date
- Time: insert time

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

An acceptable submission must include the following:

- one (1) original proposal;
- insert number (#) *EXAMPLE: five (5)* conforming copies of the original proposal; and
- one (1) conforming electronic copy of the original proposal.

The original proposal must carry original signatures and be clearly marked on the cover as "Original." Unsigned proposals will not be evaluated. The original proposal and each conforming copy of the proposal must be complete, properly formatted and outlined, and ready for evaluation by the Screening Committee. The electronic copy of the proposal must be compatible with insert software type and version (*EXAMPLE: Microsoft Office Word 2003*). For the electronic copy, required forms and appendices may be scanned and submitted in Portable Document Format (PDF) or similar file format.

11. Multiple Proposals. The submission of multiple proposals is, is not an option with this procurement. *If applicable, insert additional instructions.*

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

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

■ D. PROPOSAL FORMAT

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

2. Cover Sheet. The Cover Sheet is Page 1 of the proposal. *[choose one of the following instructions]* Proposers must complete and use the Cover Sheet form provided by the Department in Section IV.I – Forms.

or

The proposer must develop a Cover Sheet that includes the information below. *Legal Name* is defined as the name of private provider organization, CT State agency, or municipality submitting the proposal. *Contact Person* is defined as the individual who can provide additional information about the proposal or who has immediate responsibility for the proposal. *Authorized Official* is defined as the individual empowered to submit a binding offer on behalf of the proposer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto.

- RFP Name or Number:

 - Legal Name:
 - FEIN:
 - Street Address:
 - Town/City/State/Zip:

 - Contact Person:
 - Title:
 - Phone Number:
 - FAX Number:
 - E-Mail Address:

 - Authorized Official:
 - Title:
 - Signature:
- 3. Table of Contents.** All proposals must include a Table of Contents that conforms with the required proposal outline. (See Section IV.)
- 4. Executive Summary.** Proposals must include a high-level summary, not exceeding # pages, of the main proposal and cost proposal. *[insert other instructions for the Executive Summary here, if necessary]*
- 5. Attachments.** Attachments other than the required Appendices or Forms identified in Section IV are not permitted and will not be evaluated. Further, the required Appendices or Forms must not be altered or used to extend, enhance, or replace any component required by this RFP. Failure to abide by these instructions will result in disqualification.
- 6. Style Requirements.** Submitted proposals must conform to the following specifications:
- Binding Type: None specified or insert specification
 - Dividers: None specified or insert specification
 - Paper Size: None specified or insert specification
 - Page Limit: None specified or insert specification
 - Print Style: 2-sided
 - Font Size: None specified or insert specification
 - Font Type: None specified or insert specification
 - Margins: None specified or insert specification
 - Line Spacing: None specified or insert specification
- 7. Pagination.** The proposer's name must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.
- 8. Packaging and Labeling Requirements.** All proposals must be submitted in sealed envelopes or packages and be addressed to the Official Contact. The Legal Name and Address of the proposer must appear in the upper left corner of the envelope or package. The RFP Name or Number must be clearly displayed on the envelope or package. Any received proposal that does not conform to these packaging or labeling instructions will be opened as general mail. Such a proposal may be accepted by the Department as a clerical function, but it will not be evaluated. At the discretion of the Department, such a proposal may be destroyed or retained for pick up by the submitters.

■ E. EVALUATION OF PROPOSALS

1. **Evaluation Process.** It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful proposers, and awarding contracts, the Department will conform with its written procedures for POS procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85).
2. **Screening Committee.** The Department will designate a Screening Committee to evaluate proposals submitted in response to this RFP. The contents of all submitted proposals, including any confidential information, will be shared with the Screening Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Screening Committee may result in disqualification of the proposer.
3. **Minimum Submission Requirements.** All proposals must comply with the requirements specified in this RFP. To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the Proposal Format requirements; (3) follow the required Proposal Outline; and (4) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Department will reject any proposal that deviates significantly from the requirements of this RFP.
4. **Evaluation Criteria (and Weights).** Proposals meeting the Minimum Submission Requirements will be evaluated according to the established criteria. The criteria are the objective standards that the Screening Committee will use to evaluate the technical merits of the proposals. Only the criteria listed below will be used to evaluate proposals. The criteria are weighted according to their relative importance. The weights are disclosed below or confidential.
 - Organizational Profile (and weight)
 - Scope of Services (and weight)
 - Staffing Plan (and weight) *see note*
 - Data and Technology (and weight)
 - Subcontractors (and weight) *if permitted*
 - Work Plan (and weight)
 - Financial Profile (and weight)
 - Budget and Budget Narrative (and weight)
 - Appendices (and weight)

Note:

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

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

- 6. Debriefing.** Within ten (10) days of receiving notification from the Department, unsuccessful proposers may contact the Official Contact and request information about the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered “day one” of the ten (10) days. If unsuccessful proposers still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the evaluation process and their proposals. If held, the debriefing meeting will not include any comparisons of unsuccessful proposals with other proposals. The Department will schedule and hold the debriefing meeting within fifteen (15) days of the request. The Department will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.
- 7. Appeal Process.** Proposers may appeal any aspect the Department’s competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Department head. A proposer may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful proposers about the outcome of the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered “day one” of the thirty (30) days. The filing of an appeal shall not be deemed sufficient reason for the Department to delay, suspend, cancel, or terminate the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.
- 8. Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Department’s contracting procedures, which may include approval by the Office of the Attorney General.

II. MANDATORY PROVISIONS

This section of the RFP provides information about the State's mandatory procurement and contracting requirements, including, the standard Purchase of Service contract, proposer assurances, the terms and conditions of this RFP, the rights reserved to the State, and compliance with statutes and regulations. The Department is solely responsible for rendering decisions in matters of interpretation of all mandatory provisions. Section II is standard for all RFPs for POS and the content does not vary.

■ A. POS STANDARD CONTRACT, PARTS I AND II

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

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

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

Note:

Included in Part II of the standard contract is the State Elections Enforcement Commission's notice (pursuant to C.G.S. § 9-612(g)(2)) advising executive branch State contractors and prospective State contractors of the ban on campaign contributions and solicitations. If a proposer is awarded an opportunity to negotiate a contract with the Department and the resulting contract has an anticipated value in a calendar year of \$50,000 or more, or a combination or series of such agreements or contracts has an anticipated value of \$100,000 or more, the proposer must inform the proposer's principals of the contents of the SEEC notice.

Part I of the standard contract may be amended by means of a written instrument signed by the Department, the selected proposer (contractor), and, if required, the Attorney General's Office. Part II of the standard contract may be amended only in consultation with, and with the approval of, the Office of Policy and Management and the Attorney General's Office.

■ B. ASSURANCES

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

1. **Collusion.** The proposer represents and warrants that the proposer did not participate in any part of the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance. The proposer further represents and warrants that no agent, representative, or employee of the State participated directly in the preparation of the proposer's proposal. The proposer also represents and warrants that the submitted proposal is in all respects fair and is made without collusion or fraud.
2. **State Officials and Employees.** The proposer certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFP. The Department may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the proposer, contractor, or its agents or employees.

3. **Competitors.** The proposer assures that the submitted proposal is not made in connection with any competing organization or competitor submitting a separate proposal in response to this RFP. No attempt has been made, or will be made, by the proposer to induce any other organization or competitor to submit, or not submit, a proposal for the purpose of restricting competition. The proposer further assures that the proposed costs have been arrived at independently, without consultation, communication, or agreement with any other organization or competitor for the purpose of restricting competition. Nor has the proposer knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.
4. **Validity of Proposal.** The proposer certifies that the proposal represents a valid and binding offer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto. The proposal shall remain valid for a period of 180 days after the submission due date and may be extended beyond that time by mutual agreement. At its sole discretion, the Department may include the proposal, by reference or otherwise, into any contract with the successful proposer.
5. **Press Releases.** The proposer agrees to obtain prior written consent and approval of the Department for press releases that relate in any manner to this RFP or any resultant contract.

■ C. TERMS AND CONDITIONS

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

1. **Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.
2. **Preparation Expenses.** Neither the State nor the Department shall assume any liability for expenses incurred by a proposer in preparing, submitting, or clarifying any proposal submitted in response to this RFP.
3. **Exclusion of Taxes.** The Department is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Proposers are liable for any other applicable taxes.
4. **Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.
5. **Changes to Proposal.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Department may request and authorize proposers to submit written clarification of their proposals, in a manner or format prescribed by the Department, and at the proposer's expense.
6. **Supplemental Information.** Supplemental information will not be considered after the deadline submission of proposals, unless specifically requested by the Department. The Department may ask a proposer to give demonstrations, interviews, oral presentations or further explanations to clarify information contained in a proposal. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Department. At its sole discretion, the Department may limit the number of proposers invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per proposer.

7. **Presentation of Supporting Evidence.** If requested by the Department, a proposer must 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. The Department may make onsite visits to an operational facility or facilities of a proposer to evaluate further the proposer's capability to perform the duties required by this RFP. At its discretion, the Department may also check or contact any reference provided by the proposer.
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 proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the Department and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the proposer or for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by the Department and, if required, by the Attorney General's Office.

■ D. RIGHTS RESERVED TO THE STATE

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

1. **Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the Department.
2. **Amending or Canceling RFP.** The Department reserves the right to amend or cancel this RFP on any date and at any time, if the Department deems it to be necessary, appropriate, or otherwise in the best interests of the State.
3. **No Acceptable Proposals.** In the event that no acceptable proposals are submitted in response to this RFP, the Department may reopen the procurement process, if it is determined to be in the best interests of the State.
4. **Award and Rejection of Proposals.** The Department reserves the right to award in part, to reject any and all proposals in whole or in part, for misrepresentation or if the proposal limits or modifies any of the terms, conditions, or specifications of this RFP. The Department may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Department reserves the right to reject the proposal of any proposer who submits a proposal after the submission date and time.
5. **Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The 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 proposer for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFO) on cost from proposers. The Department may set parameters on any BFOs received.
7. **Clerical Errors in Award.** The Department reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on

the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the proposer.

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

■ E. STATUTORY AND REGULATORY COMPLIANCE

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

1. **Freedom of Information, C.G.S. § 1-210(b).** The Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b). Proposers are generally advised not to include in their proposals any confidential information. If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State has no obligation to initiate, prosecute, or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. The proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a proposer may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.
2. **Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to insure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.
3. **Consulting Agreements, C.G.S. § 4a-81.** Proposals for State contracts with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall include a consulting agreement affidavit attesting to whether any consulting agreement has been entered into in connection with the proposal. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of C.G.S. Chapter 10 as of the date such affidavit is submitted in accordance with the provisions of C.G.S. § 4a-81. The Consulting Agreement Affidavit (OPM Ethics Form 5) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms
IMPORTANT NOTE: A proposer must complete and submit OPM Ethics Form 5 to the Department with the proposal.

- 4. Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8 and No. 7C, Para. 10; C.G.S. § 9-612(g) (2).** If a proposer is awarded an opportunity to negotiate a contract with an anticipated value of \$50,000 or more in a calendar or fiscal year, the proposer must fully disclose any gifts or lawful contributions made to campaigns of candidates for statewide public office or the General Assembly. Municipalities and CT State agencies are exempt from this requirement. The gift and campaign contributions certification (OPM Ethics Form 1) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms
IMPORTANT NOTE: The successful proposer must complete and submit OPM Ethics Form 1 to the Department prior to contract execution.
- 5. Nondiscrimination Certification , C.G.S. §§ 4a-60(a)(1) and 4a-60a(a)(1).** If a proposer is awarded an opportunity to negotiate a contract, the proposer must provide the Department with *written representation* or *documentation* that certifies the proposer complies with the State's nondiscrimination agreements and warranties. A nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. The nondiscrimination certification forms are available on OPM's website at http://www.ct.gov/opm/fin/nondiscrim_forms
IMPORTANT NOTE: The successful proposer must complete and submit the appropriate nondiscrimination certification form to the awarding Department prior to contract execution.

III. PROGRAM INFORMATION

Reserved for Department use. In this section, the Department provides proposers with background information about the Department and program. More specific information is provided about the service that the Department seeks to procure. This information is designed to promote a better understanding of the needs of the Department and its clients and, thus, assist proposers in preparing better proposals in response to this RFP. The structure of Section III is standard, but the content of the subsections will vary by RFP, depending of the Department's procurement requirements.

■ **A. DEPARTMENT OVERVIEW**, such as:

*Department Vision / Values
Mission
Organization
Purchase of Service Overview*

■ **B. PROGRAM OVERVIEW**, such as:

*Program Title
Program Description
Program Philosophy
Program Goals and Objectives
Program Policies / Guidelines
Evidence-Based Programming
Preferred Practices
Program Authorization (Public Act / Statute)
Program Regulations*

■ **C. MAIN PROPOSAL COMPONENTS**

1. Organizational Requirements, such as:

*Entity Type
Location of Offices / Services*

2. Service Requirements, such as:

*Catchment Areas
Location of Offices / Facilities
Hours of Operation
Target Population
Number / Types of Clients
Client Eligibility / Exclusion
Client Evaluation / Assessment
Treatment Approaches
Program Access / Referral Process
Capacity / Waitlist Protocol
Culturally Competent Services
Program Collaboration / Coordination*

3. Staffing Requirements, *such as:*

Staffing Model
Supervision / Management
Pre-Employment Screening
Training
Credentials / Licensure

4. Data and Technology Requirements, *such as:*

Computer Hardware / Software
E-Mail / Internet Capability
Assessment of Client Satisfaction
Performance Measures / Outcomes
Program Evaluation
Records / Data Collection / Reporting

D. COST PROPOSAL COMPONENT

1. Financial Requirements, *such as:*

Financial Control Procedures
Financial Status Reports
Audited Financial Statements

2. Budget Requirements, *such as:*

Cost Standards
Program Funding Sources
Total Available Funding
Period of Award
Proration
Third Party Reimbursement
Flat Fees
Fee-For-Service Revenues
Subcontractor Cost Schedules

IV. PROPOSAL OUTLINE

*This section presents the **required** outline that must be followed when submitting a proposal in response to this RFP. Proposals must include a Table of Contents that exactly conforms with the required proposal outline (below). Proposals must include all the components listed below, in the order specified, using the prescribed lettering and numbering scheme. Incomplete proposals will not be evaluated. While the proposal outline is standard, the information requested from proposers will vary by RFP, depending of the Department's procurement requirements.*

	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. Organizational Profile	

The purpose of this subsection is to gather information about the administrative and operational capabilities of the proposer to provide the purchased service. The specifics of the information requested are left to the Department's discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a. Purpose, Mission, Vision, Values
- b. Entity Type / Parent Organization / Years of Operation
- c. Location of Offices / Facilities
- d. Functional Organization
- e. Current Range of Services / Clients
- f. Qualifications
- g. Relevant Experience
- h. Accreditation / Certification / Licensure
- i. Governance System
- j. References

2. Scope of Services

The purpose of this subsection is to gather information about how the proposer intends to provide the purchased service (including the use of any subcontractors). The specifics of the information requested are left to the Department's discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a. Catchment Area
- b. Documentation of Community Needs / Resources
- c. Community Collaboration
- d. Service Capacity / Delivery Plan / Systems / Processes / Protocols
- e. Client Consultation / Evaluation / Treatment Plan

- f. Quality Assurance Protocols
- g. Administrative Support
- h. Special Health or Safety Requirements

3. Staffing Plan

The purpose of this subsection is to gather information about the quality and quantity of personnel that the proposer intends to employ to deliver the purchased service. The specifics of the information requested are left to the Department's discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a. Key Personnel / Managers
- b. Staffing Levels & Qualifications
- c. Job Descriptions
- d. Personnel Organization Chart
- e. Recruitment, Hiring & Retention Plan
- f. Staff Training / Education / Development

4. Data and Technology

The purpose of this subsection is to gather information about the proposer's information management and performance measurement systems. The specifics of the information requested are left to the Department's discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a. E-Mail / Internet Capabilities
- b. IT Infrastructure / Hardware & Software Quality
- c. Data Collection / Storage / Reporting
- d. Assessment of Client Satisfaction
- e. Evaluation / Outcome Measures

5. Subcontractors

If Section F.2 includes the use of any subcontractors for the provision or delivery of a service, the purpose of this subsection is to gather information about the administrative and operational capabilities of each such subcontractor. The specifics of the information requested are left to the Department's discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a. Legal Name of Agency, Address, FEIN
- b. Contact Person, Title, Phone, Fax, E-mail
- c. Services Currently Provided
- d. Services To Be Provided Under Subcontract
- e. Subcontractor Oversight
- f. Subcontract Cost and Term

6. Work Plan

The purpose of this section is for the proposer to explain the tasks, participants, time estimates, and schedule for providing the purchased service. The specifics of the information requested are left to the Department’s discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a. Start Date
- b. Timetable / Schedule
- c. Tasks, Deliverables
- d. Methodologies
- e. Measurable Objectives

G. Cost Proposal

1. Financial Profile

The purpose of this subsection is to gather information about the proposer’s fiscal stability, accounting and financial reporting systems, or relevant business practices. The specifics of the information requested are left to the Department’s discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a. Annual Budget and Revenues
- b. Financial Standing
- c. Financial Management Systems
- d. Revenue Generation / Billing / Third Party Reimbursement

2. Budget and Budget Narrative

The purpose of this subsection is to gather information about how the proposer developed the proposed budget and cost allocations. The specifics of the information requested are left to the Department’s discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a. Narrative
- b. Line Item Budget Form
- c. Subcontractor Costs

H. Appendices

The purpose of this subsection is to gather any other additional information that the Department needs to evaluate the proposer. The specifics of the information requested are left to the Department’s discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a. Memorandum of Agreement
- b. Résumés of Key Personnel
- c. Audited Financial Statements

I. Forms

1. Department.

The purpose of this subsection is to provide blank copies of any Department forms that must be submitted with a proposal. The type and number of forms requested are left to the Department's discretion. Examples are as follows:

- a. Certification Regarding Lobbying (DSS)
- b. Addendum Acknowledgement (DSS)
- c. Tobacco Industry Funding and Partnership Certification (DPH)

2. Other

The purpose of this subsection is to provide blank copies of any other forms that must be completed and submitted with a proposal. Some of the forms requested are standard and apply to all RFPS for POS. The Department may include additional forms at its discretion.

- a. Notification To Bidders, Parts I – V (CHRO)
- b. Employer Information Report EEO-1 (U.S. EEOC)
- c. Acknowledgment of Contract Compliance / Notification to Bidders (CHRO)
- d. Consulting Agreement Affidavit (OPM Ethics Form 5)¹

¹ Attached when the contract resulting from this RFP has an anticipated value of \$50,000 or more in a calendar or fiscal year. The proposer must submit this certification to the Department with the proposal.

V. ATTACHMENTS

Reserved for Department use. Section V is not standard and will vary by RFP, depending of the Department's procurement requirements.

[list all attachments here and then attach to RFP in the order listed]

- State of Connecticut, CHRO Contract Compliance Package, Parts I - III