



**STATE OF CONNECTICUT
OFFICE OF HEALTH STRATEGY
STATE INNOVATION MODEL**

**REQUEST FOR PROPOSALS (RFP)
PREVENTION SERVICE INITIATIVE AWARDS
FOR HEALTHCARE ORGANIZATIONS**

Application Due Date: October 3, 2018, 3pm

Anticipated Period of Performance: November 1, 2018 – December 31, 2019

TABLE OF CONTENTS

I. Executive Summary	2
II. Background Information	3
II.1 Connecticut’s State Innovation Model	3
II.2 Prevention Service Initiative	3
III. Eligibility Information	5
IV. Award Information	5
IV.1 Award Amount and Type	5
IV.2 What Awards May Fund	5
IV.3 Conditions of Receiving an Award	7
IV.4 Prohibited Uses of Grant Agreement Funds	7
IV.5 High-Level Project Timeline	9
V. Application Contents and Requirements	10
V.1 Application	11
V.2 Application Submission Instructions	12
V.3 Respondents’ Questions	12
V.4 Evaluation and Selection Criteria	12
V.5 Contract Execution	13
V.6. Official Contact	13
V.8 Appeals Process	13
VI. General Provisions	14
VI.1 Contest of Solicitation or Award	14
VI.2 Disposition of Responses-Rights Reserved	14
VI.3 Response Date and Time	15
VI.4 Assurances and Acceptances	15
VI.5 Statutory and Regulatory Compliance	17
VII. Definitions and Acronyms	20
Attachment A: Procurement and Contractual Agreements Signatory Acceptance	21
Attachment B: Budget Narrative Guidance	22

I. EXECUTIVE SUMMARY

Through this competitive procurement, the State of Connecticut is making available awards to healthcare organizations who are currently participating in the Prevention Service Initiative (PSI). The total pool of funding for this RFP is \$1,000,000. The Prevention Service Initiative awards will enable participating Advanced Networks and FQHCs, hereafter referred to as “healthcare organizations,” to enter into financial contractual arrangements with community based organizations (CBOs) participating in the PSI. The goals of the initiative are to:

1. Increase the number of individuals with unmet prevention needs who complete community-placed, evidence-based prevention services and maintain or improve wellness.
2. Improve healthcare organizations’ performance on quality measures related to asthma or diabetes and associated ED utilization or admissions/readmissions for an attributed population.
3. Enhance business competency skills and organizational capabilities of CBOs so that they can enter into at least one contractual relationship with a healthcare provider that is participating in value-based payment.

One portion of each award will go towards subsidizing the newly established financial contract(s) between the healthcare organization and CBO(s). The second portion will fund up-front investments needed to operationalize the contractual arrangement(s). Up to two CBO contracts can be proposed for this award. These awards will only support CBO contracts that are made with CBOs currently participating in the PSI.

http://www.biznet.ct.gov/SCP_Search/BidDetail.aspx?CID=45353

Any questions related to this grant program should be directed to:

Trish Torruella, SIM Project Consultant, CT Department of Public Health:
Trish.Torruella@ct.gov

All applications should be submitted electronically on or before the due date listed below to Trish.Torruella@ct.gov

Funding Opportunity Title	Prevention Service Initiative Awards for Healthcare Organizations
Date Issued	September 4, 2018
Application Due Date	October 3, 2018 by 3pm
Anticipated Notice of Selection	October 10, 2018
Period of Participation	November 1, 2018 – December 31, 2019
Estimated Award Amount	Estimated \$100 to \$130k per organization (this is an estimate, <u>not an upper limit</u>)
Eligible Applicants	Healthcare organizations that are currently participating in the Prevention Service Initiative

II. BACKGROUND INFORMATION

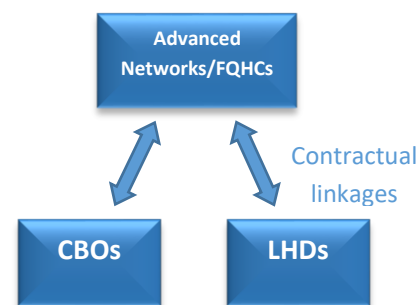
II.1 Connecticut's State Innovation Model

The Connecticut Office of Health Strategy's State Innovation Model (SIM) initiative, is a Center for Medicare & Medicaid Innovation (CMMI) effort to develop and implement state-led, multi-payer healthcare payment and service delivery model reforms that will promote healthier people, better care, and smarter spending in participating states. Connecticut received a \$45 million SIM grant from CMMI to implement a multi-faceted strategy from 2015-2019 to improve the health outcomes and healthcare spending trajectory of the state, as well as to improve the sizeable health disparities that continue to persist. The Prevention Service Initiative is the state's most recent SIM effort to improve population health and healthcare quality. More information is available at www.healthreform.ct.gov/.

II.2 Prevention Service Initiative

Overview

Healthcare providers are increasingly being held accountable for healthcare quality and cost through value-based payment. This creates incentives for clinical providers to demand more effective prevention services offered by community based organizations and public health departments ("CBOs"). CBOs that can provide these services efficiently to Advanced Networks and FQHCs have an opportunity to take advantage of this potential demand and establish mutually-beneficial formal arrangements.



Gaps that the model aims to address:

1. Individuals have unmet prevention needs related to asthma and diabetes that can be met by community-placed prevention services delivered in a community setting.
2. Despite the strong evidence of their effectiveness, community placed prevention services offered by CBOs are currently under-utilized by healthcare organizations.
3. CBOs provide evidence-based prevention services, but have limited business competencies in marketing and delivering these services to the healthcare sector.

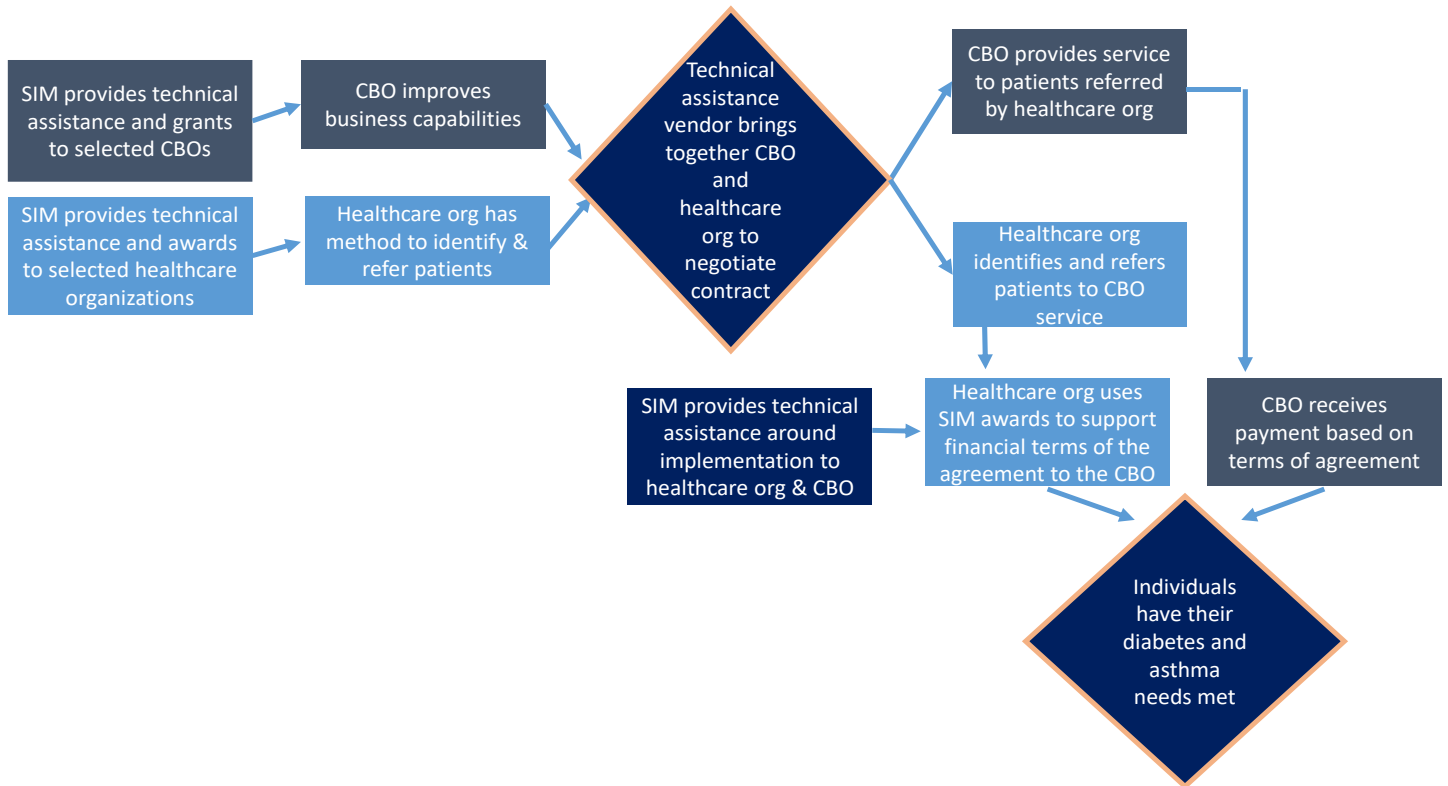
Model goals:

1. Increase the number of individuals with unmet prevention needs who complete community-placed, evidence-based prevention services and maintain or improve wellness.
2. Improve healthcare organizations' performance on quality measures related to asthma or diabetes and associated Emergency Department utilization or

admissions/readmissions for an attributed population through use of community-placed, evidence-based prevention services.

3. Enhance business competency skills and organizational capabilities of CBOs so that they can enter into at least one contractual relationship with a healthcare provider that is participating in value-based payment.

Exhibit 1: Prevention Service Initiative Components Flow Chart



III. ELIGIBILITY INFORMATION

Only healthcare organizations that are currently participating in the Prevention Service Initiative are eligible to apply to this RFP. The organization must be meeting all milestones of the PSI and be making progress towards executing a contract with one or two CBOs. The CBOs must also currently be participating in the Prevention Service Initiative.

IV. AWARD INFORMATION

IV.1 Award Amount and Type

The Connecticut State Innovation Model Program Management Office (SIM PMO) is making available SIM Prevention Service Initiative Awards from a pool of \$1M total for up to seven healthcare organizations. The magnitude of the award will be based on the reasonableness of the scope, number of CBO contracts (maximum of 2), and the size of the target population. More information in **Section VI. 5, Evaluation and Selection Criteria**. Awardees may not receive the award amount requested and may be asked to revise the work plan and budget to reflect the award. The award will be available through the end of the Prevention Service Initiative.

The funding received by successful applicants constitutes a sub-award of the State's SIM Model Test Grant. As such, successful applicants are considered sub-recipients under the terms of the State's Cooperative Agreement with the Center for Medicare and Medicaid Innovation (CMMI) and are subject to special requirements detailed in this [Cooperative Agreement](#) and [subsequent amendments](#).

IV.2 What Awards May Fund

Awards will support healthcare organizations for the following two categories:

1. **Financial contract(s) with CBO(s):** A portion of the award will subsidize 12 months of the newly established financial contract(s) between the healthcare organization and up to two CBOs that results from the healthcare organizations' participation in the Prevention Service Initiative.
 - a. The State will cover 80% of the cost of the first six months of each financial contract between the healthcare organization and CBO(s). The State's contribution may be capped, depending on the total CBO contract amount and availability of funding.
 - b. The State will cover 60% of the cost of each financial contract for the subsequent six months of the contract. The State's contribution may be capped, depending on the total CBO contract amount and availability of funding.

- c. It is the expectation that the healthcare organization will cover 100% of the contract after 12 months, on the basis of the ROI analysis.
2. **Operational Investments:** A portion of the award will temporarily fund up-front investments needed to operationalize the contractual arrangement(s) with the CBO(s). These funds are intended to serve as start-up investments to help the healthcare organization jump start the arrangement. Allowable costs may include:
- a. Redesigning internal clinical workflows and staff training to implement new workflows.
 - b. Health information technology or data analytic investments to support patient identification, sub-population performance analysis, referrals, feedback loops, the sharing of data across the clinical and community continuum, and performance analysis.
 - c. Extension of health information technology tools to partner CBOs.
 - d. Temporary funding for contractors or staff to facilitate and support meeting model aims including the following:
 - i. Learning and improvement activities;
 - ii. Providing non-clinical guidance, expertise, and support across practices and the organization; and
 - iii. Providing clinical guidance, expertise, and support within the organization and among affiliated practices.
 - e. Sub-contracts to support new clinical processes (e.g., care coordination, patient navigation, community support referral tracking and follow-up).
 - f. Costs associated with contract development, legal review, financial modeling and other.
 - g. Costs associated with the tracking and analysis of quality measures and return on investment.

The below table illustrates a *hypothetical* distribution of an award equaling \$100,100.

	First 6 months	Next 6 months	
CBO Contract			
Total Contract	\$ 21,500	\$ 21,500	\$ 43,000
State Percentage	80%	60%	
Award per AN/FQHC	\$ 17,200	\$ 12,900	\$ 30,100
AN/FQHC contribution	\$ 4,300	\$ 8,600	\$ 12,900
Operational Investments			
Award per AN/FQHC	\$ 70,000	\$ -	\$ 70,000

IV.3 Conditions of Receiving an Award

Recipients of an award must commit to the following requirements:

1. Execute one or two financial contracts with at least one CBO that is participating in the Prevention Service Initiative.
2. Change workflows and operational processes to implement an effective referral and feedback loop strategy to effectively implement the arrangement with the CBO.
3. Commit dedicated personnel to work on this effort and to interact with the vendor on an agreed-upon schedule.
4. Actively participate in the technical assistance, including attending webinars, peer-learning activities and events, disseminating templates, and attending in-person events.
5. Complete program components in a timely way.
6. Select relevant quality measures and provide aggregate data regarding performance on these measures to the State after the agreements with the CBOs have been implemented.
7. Participate in phone calls with the STATE monthly (frequency may change depending on need) to discuss progress, lessons learned, and challenges.
8. Commit dedicated financial and data analytic personnel and resources to conduct, review and refine return on investment analyses associated with the CBO prevention service.
9. Cooperate with the STATE on evaluation efforts related to this initiative.
10. Actively collaborate and cooperate with the STATE, and the STATE's chosen technical assistance vendor, in the implementation of the Prevention Service Initiative.
11. Meet all reporting requirements as required by the STATE.

IV.4 Prohibited Uses of Grant Agreement Funds

The following list contains costs that are prohibited for all CMS programs. Recipient should consult the Program Terms and Conditions for other prohibited costs specific to the grant or cooperative agreement program.

- To match any other Federal funds.
- To provide services, equipment, or supports that are the legal responsibility of another party under Federal, State, or Tribal law (e.g., vocational rehabilitation or education services) or under any civil rights laws. Such legal responsibilities include, but are not limited to, modifications of a workplace or other reasonable accommodations that are a specific obligation of the employer or other party.
- To provide goods or services not allocable to the approved project.
- To purchase food for any project-related activities.
- To supplant existing State, local, tribal, or private funding of infrastructure or services, such as staff salaries, etc.

- To be used by local entities to satisfy State matching requirements.
- To pay for construction.
- To pay for capital expenditures for improvements to land, buildings, or equipment which materially increase their value or useful life as a direct cost except with the prior written approval of the Federal awarding agency.
- In accordance with 45 CFR §75.476, the cost of independent research and development, including their proportionate share of indirect costs, are unallowable.
- In accordance with 45 CFR §75.216(b), except for grants awarded under the Small Business Innovative Research (SBIR) and Small Business Technology Transfer Research (STTR) programs (15 U.S.C. 638), no HHS funds may be paid as profit to any recipient even if the recipient is a commercial (for-profit) organization. Profit is any amount in excess of allowable direct and indirect costs.

IV.5 High-Level Project Timeline

Table 1: Project Timeline

April 2018	PSI Technical Assistance Launch
By May 17, 2018	Complete and discuss Organizational Self-Assessment Participate in Learning Session One: May 17, 2018
August 31, 2018	Complete CONTRACTOR Project Plan Review and discuss CONTRACTOR and CBO's agreement templates and examples
September 30, 2018	Review CONTRACTOR and CBO's framework for partnership discussion
November 1, 2018	Contract (s) executed with CBO(s)
September 2018 -March 2019	Participate in two (2) one-day, peer-to-peer Learning Sessions with other CONTRACTORS, and CBOs
Throughout May 2018 - December 2019	Participate in bi-weekly or monthly webinars on TA topics including business plan development, financial forecasting, population health management, communication and referral systems, data and tracking systems, and contracting models
December 2018 - ongoing	Provide contract implementation status reports
December 31, 2019	Final report due

V. APPLICATION CONTENTS AND REQUIREMENTS

V.1 Application

The application should be written primarily as a narrative. The applicant should organize their response based on the sections detailed below.

1. COVER PAGE (1 page)

Provide the following information on the cover page:

RESPONDING ORGANIZATION (Legal name and address of organization as filed with the Secretary of State):

Legal Name: _____

Street Address: _____

Town/City/State/Zip: _____

FEIN: _____

DIRECTOR/CEO (individual with authority to bind the Applicant to sign the participation agreement with the PMO)

Name: _____ Title: _____

Telephone: _____ Email: _____

PRINCIPAL CONTACT (to receive follow emails related to the RFP and requests for clarification)

Name: _____ Title: _____

Telephone: _____ Email: _____

2. TRANSMITTAL LETTER (1 page)

Brief written statement that addresses:

- That the Respondent accepts without qualification:
 - Assurances and Acceptance;
 - all [Mandatory Terms and Conditions](#);
- Evidence of Qualified Entity: The Respondent shall provide written assurance to the PMO from its legal counsel that it is qualified to conduct business in Connecticut and is not prohibited by its articles of incorporation, bylaws, or the law under which it is incorporated from performing the services required under any resultant contract.
- Sanction-Disclosure: The Respondent shall provide a statement that attests that no sanction, penalty or compliance action has been imposed on the Respondent within three years immediately preceding the date of this RFP. If the Respondent proposes the use of a subcontractor, each proposed subcontractor must provide the same statement.

3. APPLICATION NARRATIVE

The Application Narrative should be written in narrative form, with 1-inch margins, paginated in a single sequence. Please use the following underlined headings to organize the narrative:

a) Award Eligibility *(1 page maximum, single-spaced)*

- i. **Describe your level of engagement in the PSI technical assistance.**
- ii. **Describe your organization’s commitment to community health and executive level support for this initiative.**
- iii. **How close are you to executing a contract(s) with one or two CBOs? What progress have you made in setting up for this arrangement? DO you anticipate any barriers to implementing the contract effectively?**

b) CBO Contract(s) *(no page limit)*

(Complete the table below for each CBO you plan to contract with (maximum of 2))

Table A:

	Question	Response
1	Name and service area of the CBO with which the Applicant plans to contract	
2	Why did you choose this CBO? What benefits do they offer?	
3	What is the nature of the financial agreement with the CBO? Which services are you purchasing and how? (Note that at least one of the purchased services must be either asthma self-management and home environmental remediation or diabetes self-management).	
4	Who is the target patient population? What regions are you targeting?	
5	Estimate of total patients the contract is projected to cover and information supporting the reasonableness of the projection.	
6	What is the anticipated date of contract execution with the CBO?	
7	How long do you anticipate maintaining the contract with the CBO?	
8	How do you anticipate measuring return on investment, impact on	

<p>quality, and the effectiveness of the CBO? What quality measures do you plan to analyze and how?</p>	
--	--

c) Project Plan

Provide a timeline with key dates and milestones associated with the award and CBO contract execution.

V.2 Application Submission Instructions

The Applicant must submit the application electronically to Trish.Torruella@ct.gov.

The document can be submitted either as a Word document or a PDF. The application must be submitted by the deadline established in the Executive Summary. Only applications found to be responsive will be reviewed and considered.

V.3 Respondents’ Questions

The PMO encourages applicants to submit questions seeking clarification of the RFP requirements. The PMO will respond to all questions in one or more official addenda that will be posted to the Department of Administrative Services (DAS) website, listed in the Executive Summary.

Respondents should submit questions to the PMO as they arise. Questions must be submitted to the PMO by e-mail to Trish.Torruella@ct.gov no later than September 12, 2018. Responses to questions will be made two weeks after the release of the RFP, by September 14, 2018.

V.4 Evaluation and Selection Criteria

It is the intent of the PMO to conduct a comprehensive, fair and impartial evaluation of the Applications received in response to this competitive procurement. Only those submissions found to be responsive to the RFP requirements will be evaluated and scored. A responsive submission must comply with all instructions listed in this RFP.

The evaluation of applications and decision of award amount will be based entirely on the application narrative and the budget using the following framework:

1. (25%) Justification for why the organization wants to participate with a certain CBO(s)
2. (25%) Projected size of the target population to be served and the strength of the justification for the projection
3. (15%) Practicality and feasibility of proposed budget

4. (15%) Explanation of how the organization will meet the goals of the initiative
5. (20%) Complete project plan that demonstrates commitment

V.5 Contract Execution

The contract developed as a result of this RFP is subject to State contracting procedures for executing a contract, which includes approval by the Connecticut Office of the Attorney General. Contracts become executed upon the signature of the Office of the Attorney General and no financial commitments can be made until and unless the contracts have been approved by the Office of the Attorney General. The Office of the Attorney General reviews the contract only after the Program Director and the Contractor have agreed to the provisions. If acquisition action ensues, the contents of this RFP and the Response of the successful Applicant will form the basis of contractual obligations in the final contract. The resulting contract will be a Personal Service Agreement (PSA).

V.6 Official Contact

The SIM PMO has designated the individual below as the Official Contact for purposes of this RFP.

Name: Trish Torruella
Address: P.O. Box 1543
Hartford, CT 06144
E-Mail: Trish.Torruella@ct.gov

Respondents, Prospective Respondents, and other interested parties are advised that any communication with the following about this RFP is strictly prohibited:

1. Any State employee(s);
2. Personnel of our agency partners (including Department of Social Services, Department of Public Health and the Office of the State Comptroller) directly engaged in SIM related activities, and
3. Personnel under contract with the State or our state agency partners.

Respondents or Prospective Respondents who violate this instruction risk disqualification from further consideration. If you are uncertain as to whether communication is permitted with an individual or entity, please submit your question to trish.torruella@ct.gov.

V.7 Appeals Process

The Applicant may appeal any aspect of the competitive application; however, such appeal must be in writing and must set forth facts or evidence in sufficient and convincing detail for the PMO to determine whether – during any aspect of the competitive process – there was a failure to comply with the State’s statutes, regulations, or standards concerning competitive procurement or the provisions of the Procurement Document. Appeals must be submitted by the Applicant to Shiu-Yu Schiller (Shiu-Yu.Schiller@ct.gov).

Applicants may submit an Appeal to the PMO any time after the submission due date, but not later than thirty (30) days after the PMO notifies Applicants about the outcome of a competitive procurement. The e-mail sent date or the postmark date on the notification envelope will be considered “day one” of the thirty (30) days.

Following the review process of the documentation submitted, but not later than thirty (30) days after receipt of any such Appeal, a written decision will be issued and delivered to the Applicant who filed the Appeal and any other interested party. The decision will summarize the PMO’s process for the procurement in question; and indicate the Agency Head's finding(s) as to the merits of the Applicant's Appeal.

Any additional information regarding the Appeal processes may be requested from the Official Contact for this RFP.

VI. GENERAL PROVISIONS

VI.1 Contest of Solicitation or Award

Pursuant to Section 4e-36 of the Connecticut General Statutes, “Any Applicant or Respondent on a state contract may contest the solicitation or award of a contract to a subcommittee of the State Contracting Standards Board...” Refer to the State Contracting Standards Board website at www.ct.gov/scsb.

VI.2 Disposition of Responses- Rights Reserved

Upon determination that its best interests would be served, the PMO shall have the right to the following:

1. **Cancellation:** Cancel this procurement at any time prior to contract award.
2. **Amend procurement:** Amend this procurement at any time prior to contract award.

3. **Refuse to accept:** Refuse to accept, or return accepted Responses that do not comply with procurement requirements.
4. **Prior contract default:** Reject the submission of any Applicant in default of any prior contract or for misrepresentation of material presented.
5. **Received after due date:** Reject any Response that is received after the deadline.
6. **Written clarification:** Require Applicants, at their own expense, to submit written clarification of their Response in a manner or format that the PMO may require.
7. **No changes:** Allow no additions or changes to the original Response after the due date specified herein, except as may be authorized by the PMO.
8. **Property of the State:** Own all Responses submitted in response to this procurement upon receipt by the PMO.
9. **Separate service negotiation:** Negotiate separately any service in any manner necessary to serve the best interest of the State.
10. **All or any portion:** Contract for all or any portion of the scope of work or tasks contained within this RFP.
11. **Most advantageous Response:** Consider cost and all factors in determining the most advantageous Response for the PMO when awarding the right to negotiate a contract.
12. **Technical defects:** Waive technical defects, irregularities and omissions, if in its judgment the best interests of the PMO will be served.
13. **Privileged and confidential communication:** Share the contents of any Response with any of its designees for purposes of evaluating the Response to make an award. The contents of all meetings, including the first, second and any subsequent meetings and all communications in the course of negotiating and arriving at the terms of the Contract shall be privileged and confidential.
14. **Best and Final Offers:** Seek Best and Final Offers (BFO) on price from Applicants upon review of the scored criteria. In addition, the PMO reserves the right to set parameters on any BFOs it receives.
15. **Unacceptable Responses:** Reopen the bidding process if the PMO determines that all Responses are unacceptable.
16. **Qualification Preparation Expenses:** The PMO assumes no liability for payment of expenses incurred by Applicants in preparing and submitting Applications in response to this procurement.

VI.3 Response Date and Time

To be considered for selection a Response must be received by the PMO by the date and time stated in the Executive Summary of this RFP. Applicants should not interpret or otherwise

construe receipt of a Response after the closing date and time as acceptance of the Response, since the actual receipt of the document is a clerical function. The PMO suggests the Applicant e-mail the proposal with receipt confirmation. Applicants must address all RFP communications to the PMO.

VI.4 Assurances and Acceptances

1. **Independent Price Determination:** By submission of a Response and through assurances given in its Transmittal Letter, the Applicant certifies that in connection with this procurement the following requirements have been met.
2. **Costs:** The costs proposed have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such process with any other organization or with any competitor;
3. **Disclosure:** Unless otherwise required by law, the costs quoted have not been knowingly disclosed by the Applicant on a prior basis directly or indirectly to any other organization or to any competitor;
4. **Competition:** No attempt has been made or will be made by the Applicant to induce any other person or firm to submit or not to submit a Response for the purpose of restricting competition;
5. **Prior Knowledge:** The Applicant had no prior knowledge of the RFP contents prior to actual receipt of the RFP and had no part in the RFP development; and
6. **Offer of Gratuities:** The Applicant certifies that no elected or appointed official or employee of the State of Connecticut has or will benefit financially or materially from this procurement. Any contract arising from this procurement may be terminated by the State if it is determined that gratuities of any kind were either offered to or received by any of the aforementioned officials or employees from the contractor, the contractor's agent or the contractor's employee(s).
7. **Valid and Binding Offer:** Each Response represents a valid and binding offer to the PMO to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto.
8. **Press Releases:** The Applicant agrees to obtain prior written consent and approval from the PMO for press releases that relate in any manner to this RFP or any resulting contract.

9. **Restrictions on Communications with PMO Staff:** The Applicant agrees that from the date of release of this RFP until the PMO makes an award that it shall not communicate with PMO staff on matters relating to this RFP except as provided herein through the PMO. Any other communication concerning this RFP with any of the PMO's staff may, at the discretion of the PMO, result in the disqualification of that Applicant's submission.
10. **Acceptance of the PMO's Rights Reserved:** The Applicant accepts the rights reserved by the PMO.
11. **Experience:** The Applicant has sufficient project design and management experience to perform the tasks identified in this RFP. The Applicant also acknowledges and allows the PMO to examine the Applicant's claim with regard to experience by allowing the PMO to review the related contracts or to interview contracting entities for the related contracts.

VI.5 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). This Contract is subject to C.G.S. § 1-1210(b). The Freedom of Information Act (FOIA) 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. § 1-1210(b). The proposer shall indicate if it believes that certain documents or a portion(s) of documents, as required by this RFP is confidential, proprietary or trade secret by clearly marking such in its response to this RFP. The State will make an independent determination as to the validity under FOIA of the proposer's marking of documents or portions of documents it believes should be exempt from disclosure. 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. 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. 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.

VI.6 Key Personnel

That State 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 State further reserves the rights to require the removal and replacement of any of the proper's key personnel who do not perform adequately, regardless of whether they were previously approved by the State.

VI.7 Other

Bidding on and/or being awarded this contract shall not automatically preclude the Respondent from bidding on any future contracts related to the SIM. Continued funding is contingent upon the ongoing availability of funds, satisfactory program performance, and demonstrated need for these services.

VII. DEFINITIONS AND ACRONYMS

DEFINITIONS

Advanced Network: An independent practice association, large medical group, clinically integrated network, or integrated delivery system organization that has entered into a shared savings program (SSP) arrangement with at least one payer.

Community Based Organization: A public or private organization that provides services at a local level to improve the wellbeing of individuals in the community. This includes local health departments. This does not include organizations whose primary function is to provide healthcare services.

Federally Qualified Health Center: An entity that meets the definition of an FQHC in section 1905(l)(2)(B) of the Social Security Act and meets all requirements of the HRSA Health Center Program, including both organizations receiving grants under Section 330 of the Public Health Service Act and also FQHC Look-Alikes, which are organizations that meet all of the requirements of an FQHC but do not receive funding from the HRSA Health Center Program.

Respondent/Applicant: An organization that has submitted a proposal to the SIM PMO in response to this RFP.

ACRONYMS

CBO	Community Based Organization
CMMI	Center for Medicare & Medicaid Innovations
DPH	Department of Public Health (CT)
ED	Emergency Department
FQHC	Federally Qualified Health Center
OPM	Office of Policy and Management
PMO	Program Management Office (SIM)
PSI	Prevention Service Initiative
RFP	Request for Applications
SIM	State Innovation Model

Attachment A: Procurement and Contractual Agreements Signatory Acceptance

Statement of Acceptance

The terms and conditions contained in this Request for Applications constitute a basis for this procurement. These terms and conditions, as well as others so labeled elsewhere in this document are mandatory for the resultant contract. The Office of the Healthcare Advocate is solely responsible for rendering **decisions in matters of interpretation on all terms and conditions.**

Acceptance Statement

On behalf of _____

I, _____ agree to accept the Mandatory Terms and Conditions and all other terms and conditions as set forth in the PSI for Healthcare Organizations RFP.

Signature

Title

Date

Attachment B: Budget Narrative Guidance

INTRODUCTION

[\[link to Budget excel spreadsheet\]](#)

This guidance is offered for the preparation of a budget request. Following this guidance will facilitate the review and approval of a requested budget by ensuring that the required information, **outlined in Section I.2 What Awards May Fund**, is provided. In the budget request, awardees should distinguish between activities that will be funded under this agreement and activities funded with other sources.

1. **Budget Summary**

Please provide the following table for costs for the entire duration of the contract.

Table 1: Budget Summary Table

Budget Category	Total
A. Personnel	
B. Fringe	
C. Consultants	
D. CBO Contract(s)	
E. Operational Investments	
F. Travel	
G. Equipment	
H. Supplies	
J. Other	
<i>K. Total (sum A-I)</i>	

2. **Cost Break Down and Justification**

A. **Personnel**

For each requested position, provide the following information: name of staff member occupying the position, if available; annual salary; percentage of time budgeted for this program; total months of salary budgeted; and total salary requested. Also, provide a justification and describe the scope of responsibility for each position, relating it to the accomplishment of program objectives.

B. **Fringe Benefits**

Fringe benefits are usually applicable to direct salaries and wages. Provide information on the rate of fringe benefits used, the basis for their calculation and the total costs through December 31, 2019. If a fringe benefit rate is not used, itemize how the fringe benefit amount is computed. This can be done for all FTE in one table instead of itemizing per employee.

c. Consultant Costs

This category is appropriate when hiring an individual to give professional advice or services (e.g., training, subject matter expert, etc.) for a fee but not as an employee of the awardee organization. Hiring a consultant requires submission of the following information: Position, title and name; hourly rate and number of hours per month, total costs through the contract period.

If the above information is unknown for any consultant at the time the application is submitted, the information may be submitted at a later date as a revision to the budget. In the body of the budget request, a summary should be provided of the proposed consultants and amounts for each.

d. CBO Contract(s)

For each CBO contract described in **Section 3. Application Narrative**, provide the following information:

	First 6 months	Next 6 months	Total
CBO Contract			
Total Contract	\$	\$	\$
State Percentage	80%	60%	
Award per AN/FQHC	\$	\$	\$
AN/FQHC Contribution			
Award per AN/FQHC	\$	\$	\$

e. Operational Investments

A portion of the award will temporarily fund up-front investments needed to operationalize the contractual arrangement(s) with the CBO(s). These funds are intended to serve as start-up investments to help the healthcare organization jump start the arrangement. A fixed amount of funding will should be allocated for operational investments whether the health care organization enters into one CBO contract or two.

f. Travel

Dollars requested in the travel category should be for staff travel within the state of CT. Provide a narrative justification describing the travel staff member/s will perform and justification to participate in the technical assistance. List where travel will be undertaken, number of trips planned, who will be making the trip, and approximate dates. If mileage is to be paid, provide the number of miles and the cost per mile.

G. Equipment

Provide justification for the use of each item and relate it to specific program objectives. All IT equipment should be uniquely identified. As an example, we should not see a single line item for “software.” Show the unit cost of each item, number needed, and total amount. For equipment and tools which are shared among programs, please cost allocate as appropriate. Maintenance or rental fees for equipment should be shown in the “Other” category.

H. Supplies

Individually list each item requested. Show the unit cost of each item, number needed, and total amount. Provide justification for each item and relate it to specific program objectives. If appropriate, General Office Supplies may be shown by an estimated amount per month times the number of months in the budget category.

I. Other

This category contains items not included in the previous budget categories. Individually list each item requested and provide appropriate justification related to the program objectives. Some items are self-explanatory (telephone, postage, rent) unless the unit rate or total amount requested is excessive. If the items are not self-explanatory and/or the cost is excessive, include additional justification. For printing costs, identify the types and number of copies of documents to be printed (e.g., procedure manuals, annual reports, materials for media campaign)