

PROCUREMENT NOTICE

State of Connecticut

Department of Mental Health and Addiction Services

REQUEST FOR PROPOSALS (RFP)

RFP #DMHAS-CSD-SOR-MES-2018

Legal Notice

STATE OPIOID RESPONSE (SOR) GRANT

Mobile Employment Services (MES)

The State of Connecticut, Department of Mental Health and Addiction Services (DMHAS), is soliciting proposals to implement a program(s) that would provide mobile employment services for DMHAS funded Recovery Houses, DMHAS funded Halfway Houses and DMHAS Supported Recovery Housing in each of the five (5) DMHAS regions.

The Request for Proposals is available in electronic format on the State Contracting Portal at https://biznet.ct.gov/SCP_Search/Default.aspx?AccLast=2

The RFP is also available on the Department's website at <http://www.ct.gov/dmhas>.

The Department of Mental Health and Addiction Services is an Equal Opportunity/Affirmative Action Employer.

The Department reserves the right to reject any and all proposals or cancel this procurement at any time if deemed in the best interest of the State of Connecticut (State).

Questions may be directed to the DMHAS Contracts Administration Unit at (860) 418-6927.

Deadline for submission of proposals is **November 15, 2018**.

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*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.** Mobile Employment Services (RFP #DMHAS-CSD-SOR-MES-2018)
2. **Summary.** DMHAS is seeking proposals to implement a program(s) that would provide mobile employment services **on site** at DMHAS funded Recovery Houses, DMHAS funded Halfway Houses and DMHAS Supported Recovery Housing in each of the five (5) DMHAS regions.

Services are intended for individuals who are in early recovery, unemployed or underemployed and in need of assistance with issues related to preparing for employment, such as resume writing, completing applications, presentation, documentation and interviewing skills. These services, along with appropriate job development and connections to employers, and community resources, will result in gainful employment for individuals in recovery.

These services will significantly increase employment opportunities for individuals in recovery by building community relationships, identifying and educating employers on the benefits of employing individuals in recovery and matching appropriate qualified candidates with employment opportunities. Individuals in recovery will then be able to attain employment/educational objectives and resume a productive role in the community.

3. **Commodity Codes.** The services that the Department wishes to procure through this RFP are as follows:
 - 1000: Healthcare Services
 - 2000: Community and Social Services
 - 3000: Education and Training

■ B. ABBREVIATIONS / ACRONYMS / DEFINITIONS

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)

FTE	Full Time Equivalent
IRS	Internal Revenue Service (US)
LOI	Letter of Intent
MES	Mobile Employment Services
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)
SOR	State Opioid Response
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: Amy Lopez
Address: 410 Capitol Avenue
PO Box 341431
Hartford, CT 6134
Phone: (860) 418-6927
Fax: (860) 418-6698
E-Mail: amy.lopez@ct.gov

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

2. **RFP Information.** The RFP, 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
<http://www.ct.gov/dmhas>
- State Contracting Portal
<http://das.ct.gov>

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: \$500,000 annually
- Number of Awards: Five (5) total awards, one (1) per region
- Contract Cost: \$100,000
- Contract Term: Two (2) years, at the discretion of the Department

Priority will be given to organizations that have not yet received federal opioid related funding.

4. Eligibility. Pursuant to C.G.S. §17a-676, and in accordance with federal grant requirements for use of this funding, the Department may only award contracts for the services requested herein to private nonprofit organizations. Eligible respondents are private provider organizations (defined as non-state entities that are 501(c) (3) nonprofit corporations or partnerships with principal place of business in Connecticut).

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

- Connecticut Business License (issued by the Office of the Secretary of the State) – Private Non-Profit

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: July 18, 2018
- RFP Released: September 17, 2018
- Letter of Intent Due: 3:00 PM, October 2, 2018
- Deadline for Pre RFP Conference Questions: 3:00 PM, October 10, 2018
- Answers Released: October 16, 2018
- RFP Conference: October 18, 2018
- Deadline for Post RFP Conference Questions: 3:00 PM, October 25, 2018
- Answers Released: October 31, 2018
- Proposals Due: 3:00 PM, November 15, 2018
- (*) Proposer Selection: November 30, 2018
- (*) Start of Contract Negotiations: December 7, 2018
- (*) Start of Contract: January 1, 2019

7. Letter of Intent. A Letter of Intent (LOI) **is required** by this RFP. The LOI is non-binding and does not obligate the sender to submit a proposal. The LOI must be submitted to the Official Contact by US mail,

fax, or e-mail by the deadline established in the Procurement Schedule. The LOI must clearly identify the sender, including name, postal address, telephone number, fax number, and e-mail address. It is the sender's responsibility to confirm the Department's receipt of the LOI. Failure to submit the required LOI in accordance with the requirements set forth herein shall result in disqualification from further consideration.

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

9. RFP Conference. An RFP conference will be held to answer questions from prospective proposers. Attendance at the conference is not mandatory, but is highly recommended. 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.

- **Date:** October 18, 2018
- **Time/Location:** Logistics will be emailed to prospective proposers who submit an LOI.

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:** November 15, 2018
- **Time:** 3:00 p.m.
- **Location:** Department of Mental Health and Addiction Services
 - 410 Capitol Avenue, 4th Floor
 - Hartford, CT 06134

Please provide a valid form of identification if hand delivering proposals.

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;
- 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 submitted via email to the Official Contact for this procurement. 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 not an option with this procurement.

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

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

■ D. PROPOSAL FORMAT

- 1. Required Outline.** All proposals must follow the required outline presented in Section IV – Proposal Outline. Proposals that fail to follow the required outline will be deemed non-responsive and not evaluated.
- 2. Cover Sheet.** The Cover Sheet is Page 1 of the proposal. Proposers must complete and use the Cover Sheet form provided by the Department in Section IV. I – Forms.

- 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 1 page, of the main proposal and cost proposal.
- 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: Butterfly Clip
 - Dividers: None
 - Paper Size: 8 ½ X 11 (Letter)
 - Page Limit: 10, excluding the Executive Summary, Budget pages and Appendices. *Note: 1 piece of paper both sides equals 2 pages.
 - Print Style: 2-sided
 - Font Size: 12
 - Font Type: Times New Roman
 - Margins: Normal (1 inch)
 - Line Spacing: 1 ½
- 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.

- Organizational Profile: (10%)
- Scope of Services: (30%)
- Staffing Plan: (10%)
- Data and Technology: (15%)
- Work Plan: (10%)
- Financial Profile: (5%)
- Budget and Budget Narrative: (15%)
- Appendices: (5%)

Note:

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

- 5. Proposer Selection.** Upon completing its evaluation of proposals, the Screening Committee will submit the rankings of all proposals to the Department 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

The Department of Mental Health and Addiction Services is the state healthcare service agency responsible for mental health promotion, substance abuse and problem gambling prevention, treatment of mental illness substance abuse and problem gambling in Connecticut. The single overarching goal of the Department is promoting and achieving a quality-focused, culturally responsive and recovery-oriented system of care. The Department has focused its efforts on greater involvement of persons in recovery in the planning and development of services, expanding system capacity through better care management of persons in treatment, promoting age, gender, sexual orientation and culturally responsive services and strengthening supportive community-based services. These efforts are captured in the Department's mission statement: "To improve the quality of life of the people of Connecticut by providing an integrated network of comprehensive, effective and efficient behavioral health services that foster self-sufficiency, dignity and respect."

The Department works towards a recovery-oriented system of behavioral health care that offers Connecticut's citizens an array of accessible prevention and treatment services and recovery supports from which they will be able to choose those that are effective in addressing their particular behavioral health condition or combination of conditions. These services and supports are culturally, age and gender responsive, build on personal, family and community strengths, and have as their primary and explicit aim, promotion of the person/family's resilience, recovery and inclusion in community life. Finally, services and supports are provided in an integrated and coordinated fashion in collaboration with the surrounding community, thereby ensuring continuity of care both over time and across agency boundaries, thus maximizing the person's opportunities for establishing or reestablishing a safe, dignified and meaningful life in the community of his or her choice. Connecticut's vision is based on the following underlying values:

- The shared belief that *recovery* from behavioral health disorders is possible and expected;
- An emphasis on the role of *positive relationships, family supports and parenting* in maintaining recovery, achieving sobriety and promoting personal growth and development;
- The *priority of an individual's or family's* goals in determining their pathway to recovery, stability and self-sufficiency;
- The importance of *cultural capacity, cultural competence and age/gender-responsiveness* in designing and delivering mental health services and recovery supports. Cultural capacity is defined as respectful and sensitive services that employ racial, cultural, age, gender and sexual orientation consideration;
- The central role of *hope and empowerment* in changing the course of individuals' lives; and
- The necessity of state agencies, community providers, individuals in recovery and recovery communities to come together to develop and implement a comprehensive continuum of behavioral health promotion, prevention, early intervention, treatment and rehabilitative services.

Applicants awarded a contract as a result of this procurement will be required to adhere to Department Agency Terms and Conditions, copies of which are available upon request to the Agency Official Contact designated on page 1 of this Procurement.

■ B. PROGRAM OVERVIEW

The State of Connecticut, Department of Mental Health and Addiction Services expects to soon be awarded the U.S. Substance Abuse and Mental Health Services Administration (SAMHSA) 2018 State Opioid Response (SOR) grant. The CT SOR initiatives are intended to supplement current activities pertaining to opioid misuse undertaken by DMHAS through its previously awarded SMHSA State Targeted Response (STR) grant as well as utilize the CT Opioid Response (CORE) recommendations, the "CT Alcohol and Drug Policy (ADPC)"

recommendations and feedback from stakeholders in attendance at community forums during the past year to expand access to treatment and recovery resources and to advance substance misuse prevention. SOR funding is not allowed to supplant existing opioid prevention, treatment or recovery support funding in Connecticut.

As a result of this RFP, the Department will expect its contracted providers to implement a program(s) that would provide **MES** for DMHAS funded Recovery Houses, DMHAS funded Half-way Houses and DMHAS Supported Recovery Housing in each region of the State. The current Department Regions are as follows:

Region 1: serving the communities of Bridgeport, Darien, Easton, Fairfield, Greenwich, Monroe, New Canaan, Norwalk, Stamford, Stratford, Trumbull, Weston, Westport, Wilton.

Region 2: serving the communities of Ansonia, Bethany, Branford, Chester, Clinton, Cromwell, Deep River, Derby, Durham, East Haddam, East Hampton, East Haven, Essex, Guilford, Haddam, Hamden, Killingworth, Lyme, Madison, Meriden, Middlefield, Middletown, Milford, New Haven, North Branford, North Haven, Old Lyme, Old Saybrook, Orange, Portland, Seymour, Shelton, Wallingford, Westbrook, West Haven, Woodbridge.

Region 3: serving the communities of Ashford, Bozrah, Brooklyn, Canterbury, Chaplin, Colchester, Columbia, Coventry, East Lyme, Eastford, Franklin, Griswold, Groton, Hampton, Killingly, Lebanon, Ledyard, Lisbon, Mansfield, Montville, New London, North Stonington, Norwich, Plainfield, Pomfret, Preston, Putnam, Salem, Scotland, Sprague, Sterling, Stonington, Thompson, Union, Voluntown, Waterford, Willington, Windham, Woodstock.

Region 4: serving the communities of Andover, Avon, Berlin, Bloomfield, Bolton, Bristol, Burlington, Canton, East Granby, East Hartford, East Windsor, Ellington, Enfield, Farmington, Glastonbury, Granby, Hartford, Hebron, Manchester, Marlborough, New Britain, Newington, Plainville, Plymouth, Rocky Hill, Simsbury, Somers, South Windsor, Southington, Stafford, Suffield, Tolland, Vernon, West Hartford, Wethersfield, Windsor, Windsor Locks.

Region 5: serving the communities of Barkhamsted, Beacon Falls, Bethel, Bethlehem, Bridgewater, Brookfield, Canaan, Cheshire, Colebrook, Cornwall, Danbury, Goshen, Hartland, Harwinton, Kent, Litchfield, Middlebury, Morris, Naugatuck, New Fairfield, New Hartford, New Milford, Newtown, Norfolk, North Canaan, Oxford, Prospect, Redding, Ridgefield, Roxbury, Salisbury, Sharon, Sherman, Southbury, Thomaston, Torrington, Warren, Washington, Waterbury, Watertown, Winchester, Wolcott, and Woodbury.

Successful bidders must be capable of providing a full spectrum of services included in this RFP as referenced below:

- Engagement of people with opioid use disorders who are interested in obtaining employment/educational opportunities or those who are currently underemployed;
- Completion of vocational profiles which include interests, qualifications and past/present employment experience;
- Assistance with resume writing, completion of employment applications, and interviewing skills;
- Develop relationships with potential employers, job developing;
- Connections to other appropriate resources related to employment/education, i.e. Connect-ability, American Job Centers, etc.; and
- Possess mobile applications and the capacity to serve clients **on site** at all DMHAS funded Recovery Houses, DMHAS funded Halfway Houses and DMHAS Supported Recovery housing in their respective regions. Ability to track the number of people served, jobs developed, job starts, positions, employers, wages, length of employment and percentage of people employed.

■ C. MAIN PROPOSAL COMPONENTS

1. Executive Summary

All proposals must include an Executive Summary. The Executive Summary should not exceed 1 page in length and should summarize the program being proposed, to include total annual cost, total number of individuals to be served and location of proposed services. The first paragraph of the Executive Summary

must be written for the Department's use in describing the applicant's program to outside entities, which may include media organizations.

2. Organizational Requirements

- a. Entity Type/Years of Operation: Please provide a brief history of the organization. Proposer must be established as a private, non-profit organization and must provide proof of such status in Section H of the proposal.
- b. Administrative Office Location: Please provide the location of the organization's administrative offices.
- c. Organizational Structure: Please describe the overall organization structure. A Table of Organization **must** be submitted in Section H of the proposal.
- d. Qualifications: Please describe your organization's interest and qualifications in providing the kinds of services being requested through this RFP.
- e. References: If you do not currently or have not in the past three years provided contracted services to the Department, at least three (3) reference letters must be included in Section H of the proposal to support the description of your experience in providing these services. Letters must include agency name, contact name, mailing address, phone number and email address of the writer. Letters must also include the nature of the writer's relationship with the proposer and the extent of the proposer's provision of services to the writer. **This is NOT** a letter of support. The writer must be able to detail a prior relationship of services provided by the proposing agency.

3. Service Requirements

Employment has long been recognized as a critical element in the recovery process, providing people with hope and the opportunity to end cycles of poverty and move forward in their recovery journey.

- a. Location of Proposed Services: Identify the geographic location/particular DMHAS region that will be served.
- b. Number and Type of Individuals to be served: Proposals must demonstrate the ability to serve 30 individuals at any given time and at least 100 individuals over the course of the year.
- c. Service Components: Describe the services expected to be offered. At a minimum, the following components must be described:
 - i. Engagement: Describe how the applicant will identify, recruit and engage individuals with an opioid use disorder who may be interested in pursuing employment/educational opportunities, or who may be underemployed and are seeking a living wage. Describe approaches that may be used (i.e. motivational interviewing, DMHAS Substance Abuse Vocational Guidelines) for recruiting/serving those who may be ambivalent about employment.
 - ii. Service Delivery: The capacity for **MES** at any given time is thirty (30) with an annual capacity of at least one hundred (100). Describe the tools to be used and the approaches for completing vocational profiles in order to ascertain an appropriate course of action for an individual on the path to employment. Additionally describe how the applicant will assist with resume writing, job applications and improving client interviewing skills. Applicant must also describe knowledge and expertise related to job developing, building relationships with employers and making connections to other viable resources such as Connect-ability and the American Job Centers.
 - iii. Eligibility/Access/Referrals: Individuals with Opioid Use disorder are eligible for mobile employment services including those with co-occurring mental health and other substance use conditions. Individuals can be referred by treatment providers or can also self-refer. The applicant should describe how the program will ascertain eligibility for services.
- d. Cultural Responsiveness: Please describe the extent to which the proposed program will meet the cultural and linguistic needs of the population to served and the extent to which **MES** will maintain responsiveness to participant's diversity, including racial, cultural, gender, sexual orientation and age.
- e. Compliance with Terms and Performance: Proposals must indicate applicant's willingness and understanding of required compliance with the Department's Agency Terms and Conditions, copies of which are available upon request to the Agency Official Contact designated on page 2 of this Procurement.
- f. Hours of Operation: Describe how the applicant will determine hours of operation that will meet the needs of the population to be served. **(Non-traditional hours will be given preference based on the established criteria and weights identified in Section I.E.4).**

4. Staffing Requirements

Describe the staff categories to be assigned to the proposed initiative, including the extent to which they have the appropriate training and experience to perform assigned duties. Brief job descriptions, minimum qualifications and hours per week this individual will be able to devote to **MES**. **It is required that this program have at least one (1) FTE.**

5. Data and Technology Requirements

Proposals must demonstrate sufficient capacity to track and report Department-required data regarding admissions, job starts, positions, employers, wages, length of employment and percentage of people employed. Applicants should describe past experience in submitting required data to the Department (if a previous or current contractor) and explain how that process will be incorporated into this program. Proposals must clearly and specifically describe the technology that will be used to ensure this program is **Mobile**, including cell phones, laptops, and internet connection as well as the ability to send/receive emails and maintain employment files.

6. Work Plan

Proposals must include a detailed start-up process and timeline, including a description of the following:

- The process for hiring, orienting and training any paid staff;
- The process for finalizing and mobilizing the **MES** staff;
- The process for early engagement and recruitment; and
- Any other activities that need to occur.

D. COST PROPOSAL COMPONENT

1. Financial Requirements

Proposers must submit cover letters from their auditor for the last three (3) annual audits of their agency and a copy of their most recent financial audit, included in Section H of the proposal. If less than three (3) audits were conducted, detail must be provided as to why, and any supporting documentation assuring the financial efficacy of the applicant agency should be included (i.e. accountant prepared financial statement, a tax return, etc.).

If the three (3) most recent audits are available via the Office of Policy and Management’s EARS system, such may be noted in the proposal and a hardcopy of the audit cover letters need not be provided.

2. Budget Requirements,

Proposals must contain an itemized budget on the budget form included as Form #7 in Section IV of this RFP. All start-up costs must be clearly identified as 1 line item in the budget. All startup costs must be listed separately and clearly detailed in the budget narrative

IMPORTANT TO NOTE: Up to \$10,000 may be set aside for the cost of work-related items such as uniforms, certifications, equipment, educational materials and travel support.

E. APPENDICES AND FORMS

The following appendices must be included in the proposal, in Section H. These appendices must not be used to extend or replace sections of the Program Narrative, and no other appendices are permitted for inclusion in the proposal.

- 1. Appendix 1:** Proof of non-profit status must be provided as Appendix 1.
- 2. Appendix 2:** Proof of the applicant agency’s Connecticut Business License (Registration issued through the Office of the Secretary of the State (CONCORD Database filing) must be provided as Appendix 2.
- 3. Appendix 3:** Job Descriptions for New Positions/Organizational Chart.
- 4. Appendix 4:** Letters of Reference. A minimum of 3 must be provided.

5. Appendix 5: At least one work product that illustrates the applicant's ability to meet the qualifications for this project.

6. Appendix 6: Implementation plan.

7. Appendix 7: Copy of Most Recent Financial Audit (If not a current DMHAS-funded agency).

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.*

	<u>Page</u>
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. Executive Summary.	
2. Organizational Profile	
3. Service Requirements	
4. Staffing Requirements	
5. Data and Technology	
6. Work Plan	
G. Cost Proposal	
1. Financial Profile	
2. Budget and Budget Narrative	
H. Appendices	
1. Proof of Non-Profit Status	
2. Proof of CT Business Licensure	
3. Job Descriptions for New Positions/Organizational Chart.	
4. Letters of Reference	
5. Work product that illustrates the applicant’s ability to meet the qualifications.	
6. Implementation Plan.	
7. Cover Letters from Previous 3 Audits	
I. Forms	
a. Form #1: Gift and Campaign Contribution Certification	
<i>This form must be completed and included in Section I of the proposal.</i>	

- b. **Form #2: Consulting Agreement Affidavit**
This form must be completed and included in Section I of the proposal.

- c. **Form #3: Acknowledgment of Contract Compliance**
This form must be completed and included in Section I of the proposal.

- d. **Form #4: Notification To Bidders**
This form must be completed and included in Section I of the proposal. For more information on completion of this report, go to www.ct.gov/chro

- e. **Form #5: Employer Information Report**
This form must be completed and included in Section I of the proposal. For more information on completion of this report, go to www.eeoc.gov

- f. **Form #6: Proposal Cover Sheet**
This form must be completed if the proposal is being submitted for a program NOT currently under contract with the Department.

- g. **Form #7: Budget**
This form must be completed and included in Section I of the proposal.



STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Written or electronic certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to 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; and C.G.S. §9-612(g)(2)

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution and if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier. Such person shall also submit an accurate, updated certification not later than fourteen days after the twelve-month anniversary of the most recently filed certification or updated certification.

CHECK ONE: Initial Certification 12 Month Anniversary Update (Multi-year contracts only.)
 Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

GIFT CERTIFICATION:

As used in this certification, the following terms have the meaning set forth below:

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is a twelve-month anniversary update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "Gift" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am a Principal or Key Personnel of the person, firm or corporation authorized to execute this certification on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or key personnel who participates substantially in preparing bids, proposals or negotiating state contracts, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for state contracts who participates substantially in the preparation of bid solicitations or request for proposals for state contracts or the negotiation or award of state contracts or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding **Gifts** by providing for any other Principals, Key Personnel, officials, or employees of the Contractor, or its or their agents, to make a **Gift** to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

CAMPAIGN CONTRIBUTION CERTIFICATION:

I further certify that, on or after December 31, 2006, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(g)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(g)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(g)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

Lawful Campaign Contributions to Candidates for Statewide Public Office:

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

Lawful Campaign Contributions to Candidates for the General Assembly:

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

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

Printed Contractor Name

Printed Name of Authorized Official

Signature of Authorized Official

Subscribed and acknowledged before me this _____ day of _____, 20__.

Commissioner of the Superior Court (or Notary Public)

**Acknowledgement of Contract Compliance
Notification to Bidders**

The contract to be awarded is subject to contract compliance requirements mandated by Section 4-114a of the Connecticut General Statutes: and when the guarding agency is the state, Section 46a-71(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 4-11a-1 et seq. of the regulations of Connecticut State Agencies which establish a procedure for the awarding of all contracts covered by Sections 4-114a and 46a-71(d) of the Connecticut General Statutes.

According to Section 4-114a-3(9) of the Contract Compliance regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4-114a of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets, belong to a person or persons: “(1) Who are active in the daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprises; and (3) who are members of a minority, as such term is defined in sub-section (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “ (1) Black Americans...(2) Hispanic American...(3) Women...(4) Asian Pacific Americans and Pacific Islanders; or (5) American Indians...” The above definitions apply to the contract compliance requirement virtue of Section 4-114a-1 (10) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the Proposer’s qualifications under the contract compliance requirements:

- (a) the proposer’s success in implementing an affirmative action plan;
- (b) the proposer’s success in developing an apprenticeship program complying with Sections 46a-68-17 of the Connecticut General Statutes, inclusive;
- (c) the proposer’s promise to develop and implement a successful affirmative action plan;
- (d) the proposer’s submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and
- (e) the proposer’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 4-11a-3(10) of the Contract Compliance Regulations.

* INSTRUCTIONS Proposer must sign acknowledgment below, and return acknowledgment to awarding agency along with signed proposal.

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

Signature

Date

BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I - Bidder Information

(Page 1)

Company Name Street Address City & State	Bidder Federal Employer Identification Number _____ Or Social Security Number _____
Major Business Activity (brief description)	Bidder Identification (response optional/definitions on page 1) _____ -Bidder is a small contractor. Yes No -Bidder is a minority business enterprise Yes No (If yes, check ownership category) Black Hispanic Asian American American Indian/Alaskan Native Iberian Peninsula Individual(s) with a Physical Disability Female _____ _____
Bidder Parent Company (If any)	- Bidder is certified as above by State of CT Yes__ No__
Other Locations in Ct. (If any)	- DAS Certification Number _____

PART II - Bidder Nondiscrimination Policies and Procedures

1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards? Yes__ No__	7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.? Yes__ No__
2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards? Yes__ No__	8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? Yes__ No__
3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy? Yes No	9. Does your company have a mandatory retirement age for all employees? Yes No
4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes No	10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? Yes No NA
5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes No	11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor? Yes No NA
6. Does your company have a collective bargaining agreement with workers? Yes__ No__ 6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes__ No__ 6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct? Yes__ No__	12. Does your company have a written affirmative action Plan? Yes No If no, please explain. 13. Is there a person in your company who is responsible for equal employment opportunity? Yes No If yes, give name and phone number.

Part III - Bidder Subcontracting Practices

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1. Will the work of this contract include subcontractors or suppliers? Yes__ No__

1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes__ No__

PART IV - Bidder Employment Information

Date:

JOB CATEGORY	OVERALL TOTALS	WHITE (not of Hispanic origin)		BLACK (not of Hispanic origin)		HISPANIC		ASIAN or PACIFIC ISLANDER		AMERICAN INDIAN or ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	male	female
Management											
Business & Financial Ops											
Computer Specialists											
Architecture/Engineering											
Office & Admin Support											
Bldg/ Grounds Cleaning/Maintenance											
Construction & Extraction											
Installation , Maintenance & Repair											
Material Moving Workers											
TOTALS ABOVE											
Total One Year Ago											
FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)											
Apprentices											
Trainees											

PART V - Bidder Hiring and Recruitment Practices

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)				2. Check (X) any of the below listed requirements that you use as a hiring qualification (X)	3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination	
SOURCE	YES	NO	% of applicants provided by source			
State Employment Service						Work Experience
Private Employment Agencies						Ability to Speak or Write English
Schools and Colleges						Written Tests
Newspaper Advertisement						High School Diploma
Walk Ins						College Degree

Present Employees					Union Membership	
Labor Organizations					Personal Recommendation	
Minority/Community Organizations					Height or Weight	
Others (please identify)					Car Ownership	
					Arrest Record	
					Wage Garnishments	

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

(Signature)	(Title)	(Date Signed)	(Telephone)
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- Joint Reporting Committee
- Equal Employment Opportunity Commission
- Office of Federal Contract Compliance Programs (Labor)

**EQUAL EMPLOYMENT OPPORTUNITY
EMPLOYER INFORMATION REPORT EEO-1**

Standard Form 100
REV 01/2006
O.M.B. No. 3048-9007
EXPIRES 01/2009
100-214

Section A—TYPE OF REPORT

Refer to instructions for number and types of reports to be filed.

1. Indicate by marking in the appropriate box the type of reporting unit for which this copy of the form is submitted (MARK ONLY ONE BOX).

(1) Single-establishment Employer Report

Multi-establishment Employer:

(2) Consolidated Report (Required)

(3) Headquarters Unit Report (Required)

(4) Individual Establishment Report (submit one for each establishment with 50 or more employees)

(5) Special Report

2. Total number of reports being filed by this Company (Answer on Consolidated Report only) _____

Section B—COMPANY IDENTIFICATION (To be answered by all employers)

1. Parent Company OFFICE USE ONLY

a. Name of parent company (owns or controls establishment in item 2) omit if same as label

Address (Number and street)

City or town

State

ZIP code

2. Establishment for which this report is filed. (Omit if same as label)

a. Name of establishment

Address (Number and street)

City or Town

County

State

ZIP code

b. Employer identification No. (IRS 9-DIGIT TAX NUMBER)

c. Was an EEO-1 report filed for this establishment last year? Yes No

Section C—EMPLOYERS WHO ARE REQUIRED TO FILE (To be answered by all employers)

Yes No 1. Does the entire company have at least 100 employees in the payroll period for which you are reporting?

Yes No 2. Is your company affiliated through common ownership and/or centralized management with other entities in an enterprise with a total employment of 100 or more?

Yes No 3. Does the company or any of its establishments (a) have 50 or more employees AND (b) is not exempt as provided by 41 CFR 60-1.5, AND either (1) is a prime government contractor or first-tier subcontractor, and has a contract, subcontract, or purchase order amounting to \$50,000 or more, or (2) serves as a depository of Government funds in any amount or is a financial institution which is an issuing and paying agent for U.S. Savings Bonds and Savings Notes?

If the response to question C-3 is yes, please enter your Dun and Bradstreet identification number (if you have one):

NOTE: If the answer is yes to questions 1, 2, or 3, complete the entire form, otherwise skip to Section G.

Section D - EMPLOYMENT DATA

Employment at this establishment - Report all permanent full- and part-time employees including apprentices and on-the-job trainees unless specifically excluded as set forth in the instructions. Enter the appropriate figures on all lines and in all columns. Blank spaces will be considered as zeros.

Job Categories	Number of Employees (Report employees in only one category)														Total Col A - N														
	Race/Ethnicity																												
	Hispanic or Latino							Not-Hispanic or Latino																					
	Male		Female		White		Black or African American		Native Hawaiian or Other Pacific Islander		Asian		American Indian or Alaska Native			Two or more races		White		Black or African American		Native Hawaiian or Other Pacific Islander		Asian		American Indian or Alaska Native		Two or more races	
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O															
Executive/Senior Level Officials and Managers	1.1																												
First/Mid-Level Officials and Managers	1.2																												
Professionals	2																												
Technicians	3																												
Sales Workers	4																												
Administrative Support Workers	5																												
Craft Workers	6																												
Operatives	7																												
Laborers and Helpers	8																												
Service Workers	9																												
TOTAL	10																												
PREVIOUS YEAR TOTAL	11																												

1. Date(s) of payroll period used: _____ (Omit on the Consolidated Report.)

Section E - ESTABLISHMENT INFORMATION (Omit on the Consolidated Report.)

1. What is the major activity of this establishment? (Be specific, i.e., manufacturing steel castings, retail grocer, wholesale plumbing supplies, title insurance, etc. Include the specific type of product or type of service provided, as well as the principal business or industrial activity.)

Section F - REMARKS

Use this item to give any identification data appearing on the last EEO-1 report which differs from that given above, explain major changes in composition of reporting units and other pertinent information.

Section G - CERTIFICATION

Check 1 All reports are accurate and were prepared in accordance with the instructions. (Check on Consolidated Report only.)
 Check 2 This report is accurate and was prepared in accordance with the instructions.

Name of Certifying Official _____ Title _____ Signature _____ Date _____

Name of person to contact regarding this report _____ Title _____ Address (Number and Street) _____

City and State _____ Zip Code _____ Telephone No. (including Area Code and Extension) _____ Email Address _____

All reports and information obtained from individual reports will be kept confidential as required by Section 709(c) of Title VII. WILLFULLY FALSE STATEMENTS ON THIS REPORT ARE PUNISHABLE BY LAW. U.S. CODE, TITLE 18, SECTION 1001



REQUEST FOR PROPOSAL
RFP # DMHAS-CSD-MES-2018
Department of Mental Health & Addiction Services
October 2018

FORM #6: Proposal Cover Sheet

Applicant Agency _____ FEIN _____

Address _____

City/Town _____ State _____ Zip Code _____

Agency Contact: _____ Title: _____

Telephone Number _____ Fax Number _____ E-Mail Address _____

Total Annual Program Cost
(not including startup)

Total Annual Cost to DMHAS
(not including startup)

Requested Startup Costs

Proposed Program Address:

Applicant Agency Fiscal Year: _____ to _____
(month) (month)

Is your agency a non-profit? Yes No Is your agency incorporated? Yes No

Is your agency registered as a:
Minority Business Enterprise? Yes No
Women Business Enterprise? Yes No
Small Business Enterprise? Yes No

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

Signature of Authorizing Official Date

Typed Name and Title

DIRECT EXPENSES		ANNUAL Costs
5100: SALARIES		-
5101	Staff Salaries & Wages	
5102	Overtime	
5103	Non-Routine Comp. (specify in narrative)	
	Total Salaries	\$ -
5200: FRINGE BENEFITS		
5300: CONTRACTUAL SERVICES		-
5301	Medical Professional	
5302	Behavioral Health Professional	
5303	Contracted Workers - Non-Payroll	
5304	Other Contractual (specify in narrative)	
	Total Contractual Services	\$ -
5400: TRANSPORTATION		-
5401	Staff Travel Reimbursement	
5402	Vehicle Leases	
5403	Vehicle Maintenance	
5404	Other Transportation (specify in narrative)	
	Total Transportation	\$ -
5500: MATERIALS AND SUPPLIES		-
5501	Food	
5502	Lab & Medical Supplies	
5503	Equipment (Less than \$5,000)	
5504	Other Mtrls and Sppls (specify in narrative)	
	Total Materials/Supplies	\$ -
5600: FACILITIES		-
5601	Rent and Real Estate Taxes	
5602	Security	
5603	Maintenance & Repair - Facility and Plant	
5604	Utilities	
5605	Other Facilities (specify in narrative)	
	Total Facilities	\$ -
5700: CAPITAL EXPENSES (> \$5,000)		-
5701	Capital Equipment	
5702	Depreciation	
5703	Other Capital (specify in narrative)	
	Total Capital Expenses	\$ -

5800: OTHER EXPENSES		-
5801	Communications	
5802	Insurance	
5803	Housekeeping	
5804	Staff Training and Conferences	
5805	Drug Testing	
5806	Other (specify in narrative)	
Total Other Expenses		\$ -
5900: CLIENT SUBSIDIES		-
5901	Transportation	
5902	Nutrition/Food Vouchers	
5903	Education	
5904	Housing	
5905	Personal Items	
5906	Other Client Subsidies (specify in narrative)	
Total Client Subsidies		\$ -
TOTAL DIRECT EXPENSES		\$ -
INDIRECT EXPENSES		-
7100: ADMINISTRATIVE & GENERAL		-
7111	Staff Salaries & Wages	
7120	Fringe Benefits	
	All Other A&G	
TOTAL INDIRECT EXPENSES		\$ -
		\$ -