

**LEGAL NOTICE**  
**Request for Proposals (RFP)**  
**FY 2019 RFP # 2 – Two (2) Three Bed CLA's**  
**Transfer of Two Three Bed CLA's Located in Danbury**

The State of Connecticut, Department of Developmental Services (DDS) is seeking proposals from qualified DDS residential providers to transfer supervision and administrative duties associated with the operation of two three (3) bed CLAs located in Danbury, Connecticut.

A Request for Proposal Conference for the homes will be held on Monday, November 26, 2018 at 10:00 a.m. in Waterbury, Connecticut; 55 West Main Street; First Floor Conference Room. In the event of increment weather, providers will be contacted with an alternate date. Bidders must be Qualified DDS Providers to provide residential supports.

The Request for Proposal is available in electronic format on the State Contracting Portal at [http://www.biznet.ct.gov/scp\\_search/BidResults.aspx?groupid=276](http://www.biznet.ct.gov/scp_search/BidResults.aspx?groupid=276) or from the Department's Official Contact:

Name: Domenica Perrino  
Address: Department of Developmental Services  
Rowland Government Center  
55 West Main St, 3<sup>rd</sup> Floor  
Waterbury, CT 06702  
Telephone: (203) 805-7418  
Fax: (860) 622-4952  
E-Mail: [domenica.perrino@ct.gov](mailto:domenica.perrino@ct.gov)

The RFP link is also available on the Department's website at <http://www.ct.gov//dds> under the "Business Opportunities (RFPs)" link. Deadline for submission of proposals is 4:00 p.m. on December 28, 2018.

TO BE PUBLISHED IN:

HARTFORD COURANT  
STATE CONTRACTING PORTAL  
DDS WEBSITE

**REQUEST FOR PROPOSALS (RFP)  
 BY THE STATE OF CONNECTICUT  
 DEPARTMENT OF DEVELOPMENTAL SERVICES**

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REQUEST FOR PROPOSALS (RFP)  
BY THE STATE OF CONNECTICUT  
DEPARTMENT OF DEVELOPMENTAL SERVICES

I. GENERAL INFORMATION

A. INTRODUCTION

**RFP Name: FY 2019 RFP #2 – Transfer of Two (2) Three Bed CLAs located in Danbury**

Transfer supervision and administrative duties associated with the operation of two (2) three bed CLA's located in Danbury, Connecticut.

**RFP Summary**

The State of Connecticut, Department of Developmental Services (DDS) is seeking proposals from qualified DDS residential providers to transfer the supervision and administrative duties associated with the operation of two (2) three bed CLAs located in Danbury, Connecticut. There are three males who reside in in each home. The CLA provider will assist individuals with the acquisition, retention, or improvement in skills related to activities of daily living; personal grooming, household chores, and the social and adaptive skills necessary to enable the individuals to reside in a home in the community and participate in community life. The CLA provider will be required to support the behavioral and psychiatric needs of the individuals, as well as the medical and dental providers. These services will need to be clearly defined in the proposal. Clinical supports, if necessary, will need to be provided.

The provider awarded this home will be required to utilize the Capitol Development process to acquire the property. Room and Board is funded through DSS. DDS will assist the agency awarded the home(s) through this process. The new provider will need to work with current provider to develop a transition of this home.

DDS is seeking proposals from private non-profit and for-profit who are Qualified DDS Vendors who are currently qualified to provide residential supports. Qualified vendors will provide supports, supervision and administrative duties associated with the operation of this home. The successful proposer will be responsible for providing support and guidance to individuals of the Department, maintaining the health and safety of the residents, acquiring and maintaining a CLA license, safeguarding the individual funds of the residents, and following the policies and procedures of DDS.

The due date for proposals is 4:00 p.m. Friday, December 28, 2018. Proposals must be received in the required packaging and labeling at the DDS West Region Office; located at 55 West Main St, 3<sup>rd</sup> Floor, Waterbury, Ct 06702, Attention Domenica Perrino, not later than the deadline. Late submissions will not be accepted. Faxed or e-mailed proposals will not be accepted.

DDS is authorized in accordance with Section 17a-210 of the Connecticut General Statutes. The requested services will be awarded through a competitive procurement process and funded by State dollars.

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

- 1000: Healthcare Services

The commodity codes are used when posting the RFP on the State Contracting Portal.

## B. ABBREVIATIONS / ACRONYMS / DEFINITIONS

BFO	Best and Final Offer
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CLA	Community Living Arrangement
CRS	Continuous Residential Supports
CT	Connecticut
DAS	Department of Administrative Services (CT)
DDS	Department of Developmental Services
EEO	Equal Employment Opportunities
FOIA	Freedom of Information Act (CT)
HIPAA	Health Insurance Portability and Accountability Act
IHS	Individualized Home Support
LOI	Letter of Intent
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
POS	Purchase of Service
P.A.	Public Act (CT)
RFP	Request For Proposal
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States

- **Administrator:** The person responsible for overall management, operation and provision of services within the Connecticut licensed community living arrangement.
- **Community Living Arrangement:** A residential facility in which the licensee provides residential services to 15 or fewer individuals with intellectual disabilities.
- **CLA Licensure:** A review based on the CLA regulations that evaluate developmental and clinical services provided to individuals living in licensed “group homes”. Review also identifies environmental issues that could affect health and safety and gauge compliance with DDS policy.
- **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.
- **Continuous Residential Supports:** A non-licensed setting other than a family home with readily available third shift staff awake or asleep, supports available throughout non-work hours though some time alone as approved by the team would be allowed.
- **Health Insurance Portability and Accountability Act:** Administrative, technical, and physical safeguards required to prevent unauthorized access to protected health care information.
- **Individual Home Supports:** A non-licensed setting that assists individuals with the acquisition, improvement and /or retention of skills and provides necessary supports to live in the community as specified in the Individual Plan.
- **Official Agency Contact:** The only authorized contact for this procurement and, as such, who will handle all related communications on behalf of the Department.

- **Proposer:** A private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP.
- **Proposer's Authorized Representatives:** The authorized employees of the contractor to communicate and discuss the merits of the proposal with the Department.
- **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.
- **Qualified Provider:** A private agency that has submitted a complete application packet and been approved by DDS to have met the minimum standards for providing supports to individuals with intellectual disabilities.
- **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 RF.

### C. INSTRUCTIONS

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

**Due to a potential conflict of interest, in the event the RFP Selection Committee requests a tour of the providers existing residential home(s), the provider representative attending the RFP Proposers' Conference and/or the Provider interview, cannot conduct tours or be present when the tour occurs.**

The Official Agency Contact for the purpose of this RFP is:

Domenica Perrino  
Department of Developmental Services  
55 West Main Street, 3<sup>rd</sup> Floor  
Waterbury, CT 06702  
Telephone: (203) 805-7418  
Fax: (860) 622-4952  
E-Mail: [domenica.perrino@ct.gov](mailto:domenica.perrino@ct.gov)

DDS reserves the right to appoint an alternate Official Agency Contact if necessary. A formal amendment will be issued to provide contact information for the alternate Official Agency Contact. Proposers will be required to limit their contact regarding the RFP to the person named therein. The amendment will be posted on the State Contracting Portal at [http://www.biznet.ct.gov/scp\\_search/BidResults.aspx?groupid=276](http://www.biznet.ct.gov/scp_search/BidResults.aspx?groupid=276). Proposers may also access the "Business Opportunities (RFPs)" link on the State of Connecticut Department of Developmental Services web site at [www.ct.gov/dds](http://www.ct.gov/dds) to view the amendment.

- b. **Proposer's Authorized Representatives. (Form 1)** Proposers must designate an authorized representative and one (1) alternate. The form is available at [www.ct.gov/dds](http://www.ct.gov/dds) under the "Business Opportunities (RFPs)" link. The form must be signed by the organization's Chief Executive Officer or another official with signatory authority and submitted as Attachment A. Providers must submit a Proposer's Authorized Representative Form along with the Letter of Intent to enable other staff to communicate with the Department during the open submission period. A new Proposer's Authorized Representative Form may be submitted with the proposal to reflect any changes the provider may wish to make.
- c. **RFP Information.** This RFP, amendments to this RFP, and other information associated with this procurement is available in hard copy, upon request, from the Official Agency Contact or in electronic format from the Internet at the following locations:
- State Contracting Portal  
[http://www.biznet.ct.gov/scp\\_search/BidResults.aspx?groupid=276](http://www.biznet.ct.gov/scp_search/BidResults.aspx?groupid=276).
  - Department of Developmental Services Web Page  
<http://www.ct.gov//dds>.

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.

- d. **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 not to exceed**

**House #1 \$334,650 in annual funding, start-up funding is available up to 30 days of annual funding.**

**House #2 \$294,631 in annual funding, start-up is available up to 30 days of annual funding.**

**Provider can bid on one home or both.**

**Based on the Implementation of Special Act 18-5 regarding increases in wages, rates will be adjust accordingly.**

**Contract Term: Contract Period is until 2020**

**FY 2019 RFP #2**  
**Transfer of Two (2) Three Bed CLAs**  
**Located in Danbury**

- e. **Eligibility.** Private provider organizations (defined as non-state entities that are either for-profit and non-profit or proprietary corporations or partnerships), CT State agencies, and municipalities are eligible to submit proposals in response to this RFP. Individuals who are not a duly formed business entity are ineligible to participate in this procurement. An agency that has been placed on Enhanced Monitoring will be disqualified.
  
- f. **Minimum Qualifications of Proposers.** To qualify for a contract award, a proposer must have the following minimum qualifications:
  - 1. The organization or the executive management team must have at least three years of experience administering residential supports to individuals residing in community living arrangements or Continuous Residential Support settings.
  - 2. The administrator of the organization shall be knowledgeable of the nature, needs, development and management of programs for individuals with intellectual disabilities and must have at least one year of experience providing administrative supports to an organization that provides or provided residential supports to individuals residing in a community living arrangements.
  - 3. Must be an approved qualified provider by DDS.

*Timeline.* The following timeline, up to and including the deadline for submitting proposals, shall be changed only by an amendment to this RFP. Dates after the submittal deadline for proposals are target dates only.

**FY 2019 RFP #2  
Transfer of Two (2) Three Bed CLAs  
Located in Danbury**

November 9, 2018	RFP Released
November 23, 2018	<i>Letter of Intent must be submitted on or before deadline in order to attend Proposers' Conference.</i>
November 26, 2018	Attendance at the Proposers' conference scheduled for Monday, 11/19/18 @ 10:00 a.m. at 55 West Main St., Waterbury, CT is recommended. Individuals' packets will be released through agency contact.
December 3, 2018	Deadlines for Inquiries.
December 7, 2019	Anticipated Release of Official answer to Inquires.
December 28, 2018	Proposals due.
January 11, 2019	Optional meetings with Proposers estimated to occur on or before this date.
January 18, 2019	Anticipated Selection of Contractor.
January 25, 2019	Anticipated Start of transition discussions

**g. Letter of Intent.** Any proposer intending to respond to this RFP must submit a **Letter of Intent (LOI)**, a **Non-Disclosure Form (Form 2)** and a **Proposer's Authorized Representative Form (Form 1)** to the Official Agency Contact by U.S. mail, facsimile, or e-mail not later than November 23, 2018. The LOI must clearly identify the sender, including name, postal address, telephone number, fax number, and e-mail address. The Proposer's Authorized Representative Form (**Form 1**) and the Non-Disclosure Form (**Form 2**) are available at the end of this RFP and will be posted on the State Contracting Portal at [http://www.biznet.ct.gov/scp\\_search/BidResults.aspx?groupid=276](http://www.biznet.ct.gov/scp_search/BidResults.aspx?groupid=276). Proposers may also access the "Business Opportunities (RFPs)" link on the State of Connecticut DDS web site at [www.ct.gov/dds](http://www.ct.gov/dds) to view the Non-Disclosure Form. The LOI is non-binding in that the proposer is not required to submit a proposal. It is the sender's responsibility to confirm the Department's receipt of the LOI. The purpose of the LOI is to enable the agency to send interested proposers to the Proposers' Conference and receive any new information concerning this RFP. Interested proposers that do not submit a LOI by November 23, 2018 will not be admitted to the Proposer's Conference. Failure to submit the required LOI in accordance with the requirements set forth herein will result in disqualification from further consideration. The Department will communicate only with the authorized official signing the Non-Disclosure Form on behalf of the organization or the Authorized Representatives.

**h. Proposers' Conference.** A proposers' conference will be held on November 26, 2018 at 55 West Main Street in Waterbury, 1<sup>st</sup> Floor Conference Room.

Date: Monday, November 26, 2018

Time: 10:00 a.m.

Location: DDS; 55 West Main St., Waterbury CT, 1<sup>st</sup> Floor Conference Room

For advance registration, please contact the Official Agency Contact. Attendance is recommended. Proposers that have failed to submit an LOI, the Non-Disclosure Form, and the **Proposer's Authorized Representative's Form** by November 23, 2018 in accordance with the requirements set forth herein shall result in disqualification from further consideration and will not be allowed admission to the Proposer's conference. Prospective proposers are asked to bring a copy of the RFP to the conference. Attendees will be given information regarding the individuals residing in the requested CLA and allowed to ask oral



questions at the conference that Department representatives may answer verbally. Oral answers given at the conference are tentative and not binding on the Department. All questions asked at the conference will be compiled and issued as a written amendment to the 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 written amendment will serve as the Department's official response to questions asked at the conference. A formal amendment to this RFP is anticipated to be issued not later than December 7, 2018 to provide answers to questions. **Information specific to the individuals supported in the CLA that is deemed to be HIPAA protected will not be included in the amendment.** The amendment will be posted on the State Contracting Portal at [http://www.biznet.ct.gov/scp\\_search/BidResults.aspx?groupid=276](http://www.biznet.ct.gov/scp_search/BidResults.aspx?groupid=276). Proposers may also access the "Business Opportunities (RFPs)" link on the State of Connecticut DDS web site at [www.ct.gov/dds](http://www.ct.gov/dds) to view the amendment. A notice of amendment will also be sent by December 7, 2018 to interested proposers who submitted a Letter of Intent.

- i. ***Inquiry Procedures.*** All questions regarding this RFP must be directed, in writing via email, to the Official Agency Contact by 4:00 p.m. on December 3, 2018. **The early submission of questions is encouraged.** Questions will not be accepted or answered verbally, neither in person nor over the telephone. All questions received before the deadline will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or anonymous questions). Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. The Department reserves the right to answer questions only from those who have submitted such a Letter of Intent. 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. A formal amendment to this RFP is anticipated to be issued not later than December 7, 2018 to provide answers to questions. The amendment will be posted on the State Contracting Portal at [http://www.biznet.ct.gov/scp\\_search/BidResults.aspx?groupid=276](http://www.biznet.ct.gov/scp_search/BidResults.aspx?groupid=276). Proposers may also access the "Business Opportunities (RFPs)" link on the State of Connecticut DDS web site at [www.ct.gov/dds](http://www.ct.gov/dds) to view the amendment. A notice of amendment will also be sent by December 7, 2018 to interested proposers who submit a letter of intent.
- j. ***Proposals Due.*** Proposal must be received no later than 4:00 p.m. on December 28, 2018. Proposals must be received in the required packaging and labeling not later than the deadline. Late submissions will not be accepted. When hand-delivering proposals by courier or in person, allow extra time due to parking and building security procedures. Faxed or e-mailed proposals will not be accepted. **Postmark date will not be considered the basis for meeting any submission deadline.** 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.

**Proposals are to be submitted to:**  
Domenica Perrino  
Department of Developmental Services  
55 West Main St., 3<sup>rd</sup> Floor  
Waterbury, Ct 06702

An acceptable submission must include the following:

- one (1) original proposal;
- five (5) conforming copies of the original proposal; and

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.

- k. 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).
- l. Conflict of Interest - Disclosure Statement (Form 5).** 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.

#### 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 proposer must develop a Cover Sheet that includes the information below. *Legal Name* is defined as the name of private provider organization, CT State agency, or municipality submitting the proposal. Proposer’s *authorized representative* is defined as the individual who can provide additional information about the proposal or who has immediate responsibility for the proposal. *Authorized Official* is defined as the individual empowered to submit a binding offer on behalf of the proposer

to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto.

- RFP Name or Number:
- Legal Name:
- FEIN:
- Street Address:
- Town/City/State/Zip:
- Authorized representatives:
- Title:
- Phone Number:
- FAX Number:
- E-Mail Address:
- Authorized Official:
- Title:
- Signature:

3. **Table of Contents.** Proposers must include a Table of Contents that lists sections and subsections with page numbers that follow the organization outline and sequence for this proposal are required. (See Section IV.)

4. **Executive Summary.** Proposals must include a high-level executive summary of the main proposal and budget summary, not exceeding 2 pages.

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. **General Requirements.**

- All required forms must be submitted with the proposal as attachments.
- Do not use material dependent on color distinctions, animated electronics, etc., in proposals.
- Do not place proposals in notebooks or binders. Metal clips may be used to bind pages together.

7. **Style Requirements.** Submitted proposals must conform to the following specifications:

- Binding Type: None specified
- Dividers: None
- Paper Size: 8 ½ x 11, Portrait
- Page Limit: None specified
- Print Style: All pages **except** Financial Statement(s) must be numbered and double-sided.
- Font Size: None specified
- Font Type: Times New Roman
- Margins: 1" minimum on the top, bottom, and sides of all pages
- Line Spacing: None specified

8. **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. The RFP and all attachments must be paginated in sequential order from beginning to end, even if some attachments have their own pagination system. (e.g., the financial audit, annual reports, etc.)
9. **Packaging and Labeling Requirements.** All proposals must be submitted in sealed packages. All proposals must be addressed to the Official Agency Contact. The name and address of the proposer must appear in the upper left hand corner of the envelope or package. The title of the group which you are submitting a proposal for, i.e., Group E –CLA for three women indicated on the first page of this RFP, must appear in the lower left hand corner of the envelope or package. An original (clearly identified as such) and five (5) copies of the proposal must be submitted. The proposal must be duly executed by signing Cover Sheet and Agreements and Assurances form (**Form 3**). Unsigned proposals may be rejected. Proposals transmitted by facsimile or e-mail will not be accepted or reviewed. Any received proposal that does not conform to these packaging or labeling instructions will be opened as general mail. Such a proposal may be accepted by the Department as a clerical function, but it will not be evaluated. At the discretion of the Department, such a proposal may be destroyed or retained for pick up by the submitters.

## E. EVALUATION OF PROPOSALS

1. **Evaluation Process.** It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful proposers, and awarding contracts, the Department will conform to its written procedures for POS procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85). Only proposals found to be responsive (that is, complying with all instructions listed herein) to this RFP will be evaluated, rated, and scored. The Screening Committee will reject any proposal if the components required by this RFP are not submitted as directed.
2. **Screening Committee.** The Department will designate a Screening Committee to evaluate proposals submitted in response to this RFP. The Screening Committee may be composed of individuals, families, DDS staff or other designees as deemed appropriate. The contents of all submitted proposals, including any confidential information, will be shared with the Screening Committee. The Screening Committee shall evaluate all proposals that meet the Minimum Submission Requirements and make recommendations. The Commissioner of the DDS will make the final selection. 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 and conform to the style, packaging and labeling 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. **Quality Reviews.** Proposals that meet the minimum submission requirements will then be reviewed for quality. The quality review includes the demonstrated commitment to individualized supports for people with disabilities, affirmative action, and organizational profile, statement of work, personnel resources, and proposed cost.

5. **Review Criteria (and Weights).** The review criteria are the objective standards that the Screening Committee will use to evaluate the merits of the proposals submitted in response to this RFP. Only the criteria listed below will be used to evaluate proposals. Depending on the number of proposals, the Screening Committee may rank the proposals to limit the number of interviews. The top candidates, as determined by the scoring of the Selection Committee, will be interviewed. The criteria are weighted according to their relative importance.

- Organization: 15%
- Agency Performance: 15%
- Support Strategies: 15%
- Preferences & Relationships: 15%
- Proposed Time Frames: 10%
- Staffing Patterns: 15%
- Budget/Cost Effectiveness: 15%

**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).

6. **Meetings with Proposers.** The Screening Committee will convene meetings with proposers in order to gain a fuller understanding of their proposals. The meetings may involve demonstrations, interviews, presentations or review of sample clinical support plans. The Official Agency Contact will contact proposers to make an appointment. Any such meetings are tentatively scheduled no later than January 11, 2018. During such meetings, proposals may not be supplemented, changed or corrected in any way. No comments about other proposers or proposals will be permitted. Any and all costs associated with such meetings will be entirely at the proposer's expense. The criteria listed below will be used to evaluate the proposal to determine the top ranking proposers.

- Support Strategies: 20%
- Preferences & Relationships: 20%
- Staffing Patterns: 20%
- Budget/ Cost Effectiveness: 20%
- Proposed Time Frames: 20%

7. **Consumer Visits/observations:** At the discretion of the guardians, committee members may visit a consumer of the proposers in order to gain a better understanding of the individuals. All site visits will be scheduled through the Official Agency Contract who will arrange through the appropriate consumer contact interview. An appearance of

the Principal of the Entity or any staff member of the representing the contractor at the may result in disqualification of the proposer.

8. **Contractor Selection.** Upon completing its review of proposals, the Screening Committee will recommend the top ranking proposers to the Commissioner. The final selection of a successful proposer is at the discretion of the Commissioner. 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. It is DDS's intention to notify the successful proposer January 18, 2019 and to initiate this engagement as soon as possible thereafter.

9. **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.

10. **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.

11. **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.

### 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, and 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](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. All amendments to this RFP will be posted on the State Contracting Portal found at [www.das.state.ct.us/Purchase/Portal/Portal\\_Home.asp](http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp). Proposers may also access the "Business Opportunities (RFPs)" link on the State of Connecticut DDS's web site at [www.ct.gov/dds](http://www.ct.gov/dds) to view the posted amendments. Failure to adapt a proposal in accordance with the instructions contained in the amendments may result in a proposal not being considered.
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. (Form 6)** 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](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. (**Attachment L**)

**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). (Form 7)** 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](http://www.ct.gov/opm/fin/ethics_forms)

IMPORTANT NOTE: A proposer must complete and submit OPM Ethics Form 1 to the Department with the proposal. (**Attachment M**)

**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](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

#### A. DEPARTMENT OVERVIEW

##### ***Mission***

The mission of the Department of Developmental Services is to partner with the individuals we support and their families, to support lifelong planning and to join with others to create and promote meaningful opportunities for individuals to fully participate as valued members of their communities.

##### ***Vision***

All citizens supported by the Department of Developmental Services are valued contributors to their communities as family members, friends, neighbors, students, employees, volunteers, members of civic and religious associations, voters and advocates. These individuals:

- Live, learn, work and enjoy community life in places where they can use their personal strengths, talents and passions.
- Have safe, meaningful and empowering relationships.
- Have families who feel supported from the earliest years and throughout their lifetimes.
- Have lifelong opportunities and the assistance to learn things that matter to them.
- Make informed choices and take responsibility for their lives and experience the dignity of risk.
- Earn money to facilitate personal choices.
- Know their rights and responsibilities and pursue opportunities to live the life they choose.

The mission may just be words on a page, but those words carry a lot of responsibility, dedication and commitment. To remind all of us of our mission, please print out the DDS Mission and put it in a place where it can be seen and practiced. On your desk, at the back door, inside of the van, on the employee bulletin board, anywhere that the words are not just words, but the words become actions.

The department's services are also designed to reflect the principles and practices of Self Determination. Self-determination is a national movement about rights and personal freedom. It is an approach to service delivery that supports people with disabilities to live the lives they desire. Self-determination helps people, their families and friends determine their future, design their own support plans, choose the assistance they need to live full lives and control a personal budget for their supports. Individuals may use their individual budgets to hire their own staff, to purchase supports from a traditional agency or from an Agency with Choice, or may select a combination of these approaches.

DDS serves children and adults with both autism and intellectual disabilities in a variety of settings. These include:

- Extensive in-home services
- Out of home placement

Community Training Home (CTH)

- Individualized Home Supports (IHS formerly known as Supported Living)
- Continuous Residential Supports (CRS)
- Community Living Arrangement (CLA or group home)
- ICF/MR facilities

Employment

- Competitive Employment
- Individual Supported Employment
- Group Supported Employment
- Work Crew
- Individual Enterprise or Entrepreneurship
- Business Enterprise

Day Support Options

- Community Experience (CEP)
- Opportunities for Older Adults(OOA)
- Retirement Options
- Individualized Day Supports
- Blended programs
- Sheltered workshop

**B. PROPOSAL OVERVIEW**

1. DDS is seeking proposals from private for-profit and non-profit organizations to develop supervision and administrative duties associated with the operation of one or more of the two Community Living Arrangements and associated supports and services. The successful proposer will be responsible for providing support and guidance to individual consumers of the Department, maintaining the health and safety of the individuals residing in the CLA or setting, acquiring and maintaining a CLA license, safeguarding the individual funds of the residents, and following the policies and procedures of DDS.
2. Preference will be given to proposers that are willing and able to: 1) develop home and supports CLA(s) within the proposed timelines; and 2) provide the required supports for the identified CLA in a cost effective manner.
3. Proposers must have (1) experience and demonstrated success working with individuals who have intellectual disabilities; (2) sufficient managerial and administrative support staff to implement the proposed service; (3) sufficient resources to operate the proposed CLA; (4) the capacity to supervise staff in a community setting; (5) the ability to provide their staff with access to training; (6) a continuous improvement process to ensure quality services.
4. Proposers must develop a work plan to address transitional and operational activities for the development of this home. The plan should address administrative, clinical, transition planning, housing development, and other organizational tasks. The plan should identify the tasks to be completed on a quarterly basis.
  - Agency will need to work collaboratively with the guardians, West Region and DSS on home development. The agency will be required to provide monthly updates, or sooner, on home development, transition, etc. to the identified STS and Regional staff.
  - Individuals must be moved into the already established home within four (4) months of the award or sooner. This date can be negotiated with DDS West Region Administration.
  - Housing will need to meet all licensing and health and safety code .
  - Agency will monitor housing development to ensure timeframes are met.
  - Submit an application to DSS for Room and Board.
  - Formally communicate and meet with the individual, the individual's parents, guardian, and/or other representatives on development process.
  - Recruit and hire staff.
  - Direct support staff in the residence will meet the individuals and receive training regarding life safety, first aid, CPR, individualized approaches for behavioral support, program issues specific to the individual, and medication concerns.
  - Medication administration certificates awarded.
  - Develop and implement transition plans with exiting teams for all the individuals of the home that details the activities that will occur prior to the change in the individual's life and specifies who will carry out each activity.
  - Specific services and consultants (i.e., behaviorist, nurse, general practitioner, pharmacist, psychologist, psychiatrist, etc) are identified for the individual and the necessary agreements and arrangements are in place.

- Emergency back-up plans for behavior response have been developed. Plans specify persons responsible, location of services, and interventions to be used describing the least to most intrusive intervention methods.
- Secure vehicle(s)
- Submit an application to DDS Quality Management Services and receive a CLA license.
- Proposer will prepare reports and participate in the Individual Planning process for all the individuals living in the home within 30 days of the date of the individual's move.
- Organizational systems are in place to safeguard people's finances and benefits. The proposer will identify the individual and/or department that will ensure entitlements are received without interruption due to the conversion of the home.

5. The successful proposer will be notified no later than January 18, 2018.

6. Supports and Services - Outcomes and Measures

The successful proposer shall implement the programs and services described herein to result in the following outcomes on behalf of the individuals they support. Such outcomes shall be measured in the manner described herein. The Department through the CLA licensing and quality service review process will monitor outcome results achieved pursuant to these terms and conditions. The successful proposer will be required to take immediate actions to address any identified deficiencies. If the successful proposer fails to address identified deficiencies in a timely manner or develops a pattern of receiving one-year CLA licenses, the successful proposer may be placed on enhanced monitoring in accordance with the Enhanced Monitoring Policy.

***Contracted Programs with Residential Services***

<b>Outcomes</b>	<b>Measures</b>
<b>1.</b> Individual needs are addressed in the person's place of residence.	100% of the people living in a CLA or receiving Continuous Residential Supports or Individualized Home Supports have a current Individual Plan that is being implemented at his or her residence.
<b>2.</b> People live in environments that are maintained in a safe and sanitary manner.	100% of the people living in a CLA, or receiving Continuous Residential Supports or Individualized Home Supports have a home that is maintained in safe and sanitary repair. Any structural damage or unsanitary conditions have been reported and are being addressed.
<b>3.</b> Peoples medical needs are addressed in a prompt and adequate manner.	100% of the people living in a CLA, or receiving Continuous Residential Supports or Individualized Home Supports receive adequate medical treatment as indicated by the physician and dentist, including periodic checkups and prompt treatment of any acute illness, injury or symptoms or over medication.

7. Start-up costs will be given for those proposers who identified those costs in the proposal.

8. The award will have a maximum amount per year for two years.

**IV. PROPOSAL OUTLINE**

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

	Page
<b>A. Cover Sheet</b>	<b>1</b>
The Cover Sheet should have the following components:	
• RFP Name or Number:	
• Legal Name:	
• FEIN:	
• Street Address:	
• Town/City/State/Zip:	
• Authorized representatives:	
• Title:	
• Phone Number:	
• FAX Number:	
• E-Mail Address:	
• Authorized Official:	
• Title:	
• Signature:	
<b>B. Table of Contents</b>	<b>2</b>
<b>C. Declaration of Confidential Information</b>	<b>3</b>
If a proposer deems that certain information required by this RFP is confidential, the Proposer must label such information as CONFIDENTIAL. If applicable, the proposer must reference where the information labeled CONFIDENTIAL is located in the proposal. (EXAMPLE: Section G.1.a.)	
<i>If this is not applicable, insert N/A for the page number.</i>	
<b>D. Conflict of Interest - Disclosure Statement (Form 5)</b>	<b>4</b>
All proposers must complete the Conflict of Interest Disclosure Form. An acceptable form must clearly highlight whether the entity does or does not have any current business relationships.	
<b>E. Executive Summary</b>	<b>5</b>
<b>F. Main Proposal</b>	
<b>1. Organizational Profile</b>	
a. <i>Qualifications.</i> Provide an overview of your organization including years in operation, mission statement, and the current range of services the organization provides. Describe how your organization meets the required contractor qualifications of this RFP: (1) experience and demonstrated success working with the target population; (2)	



- Board of Directors composition and role in management and oversight; (3) sufficient managerial and administrative support to implement the CLA and/or CRS services required by this RFP in the proposed service area including the ability to meet data submission requirements; (4) sufficient resources to operate the proposed CLA; (5) the ability to supervise staff in community settings; (6) the capacity to provide staff with professional development or training opportunities; and (7) a continuous improvement process to ensure quality services.
- b. *Summary of Relevant Experience.* Provide a list of projects that your organization has completed within the last three (3) years in the subject area with emphasis on activities relevant and related to the proposed project.
  - c. *Organization Chart.* Provide a diagram showing the hierarchical structure of functions and positions within your organization (**Attachment D**). Indicate on the diagram where the following functions related to this project will be located: supervision of the Residential Manager, contract management, staff development, program development, continuous quality improvement and administrative support.
  - d. *Executive Management Personnel.* Provide the names and job titles of the administrator of the organization and the Executive Management Team. Provide a copy of each individual's resume. (**Attachment E**).
  - e. *Proposer Performance Reviews.* Provide documentation to demonstrate that the proposer has provided quality programs and services to individuals with intellectual disabilities over the past few years. (**Attachment F**) Include four consumer satisfaction surveys, if available, the two most recent Quality Service Reviews performed by DDS or a similar review completed by another state agency, the most recent CARF Accreditation (if applicable), and the four most recent CT Licensing inspection reports or similar out of state reports. **Any such documentation should be redacted of HIPAA protected information for individuals not associated with the facility or program for which the agency proposal is submitted.**
  - f. *Service Area.* Provide a rationale explaining why your organization is well suited to provide services in the proposed area.
  - g. *Financial Condition.* Include the most recent annual financial statements prepared by an independent Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (USA) (**Attachment G**). If a proposer has been in business for less than two years, such proposer must include any financial statements prepared by a Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (US) for the entire existence of such firm or corporation.
  - h. *References:* Include three (3) letters of reference from individuals and/or family members the agency has recently provided supports and services (**Attachment H**). For the purpose of this RFP, "individual" is defined as an individual with intellectual disabilities who has been supported by or otherwise benefited from the proposer's services. Provide the following information for each reference: name, title, address, and telephone number where the person can be reached during daytime hours.

## G. Scope of Services

1. *Proposed Services.* Provide a description of the proposed services to be provided. At a minimum, the description should identify the proposed residential support, any identified individual specific needs to be provided, staffing, administrative oversight, clinical behavioral supports, nursing oversight, use of community resources and examples of recreational and leisure activities the proposer will provide.

**2. Support Strategies.** Describe how the proposed program will meet the health and safety, behavioral, psychiatric, educational, habilitative, and the overall quality of life needs of the people to be served. Detail any specialized services and supports for one or more of the people to be served, which may include medical and nursing services, adaptive equipment, recreation, fitness and social needs, unique staff skills, language and cultural needs, etc. Describe how the organization will incorporate the utilization of community services and the development of individual networks of support, including family and friends, community organizations, self-advocacy opportunities, and social networks that might reduce the reliance on segregated services.

**3. Personal Preferences and Relationships.** Describe and provide specific examples of how the organization will address the personal preferences and relationships of the people to be served. Detail how the organization will recognize and value the person-centered planning process and the ability of the individual to determine the focus of services. Describe how the individual will be empowered to determine the activities of his/her leisure time, routines, schedules, location, work, hobbies, service providers, etc. Detail how the organization will assist individuals and their families and friends to maintain important relationships. This might include providing transportation for family visits, inviting family and friends into the normal routine of the program, strengthening involvement in planning activities, etc. If there are no existing relationships, describe the strategies the organization will implement to develop or re-establish family contacts and friendships.

#### H. Staffing Plan

*Staff Plan.* Submit a staffing plan that discusses how and when your organization will hire staff and orient them to your organization, the program, the community, and their roles and responsibilities.

**1 Personal Preferences and Relationships.** Describe *Recruitment and Retention:* Describe the direct support staff turnover rate, staff recruitment and retention strategies for the agency.

**2. Staffing Schedule.** Provide a staff schedule for the home. Include the number of direct support staff per shift, including what days and hours they will be working (**Attachment I**).

**3. Organization Chart for the CLA.** Provide an organization chart showing anticipated lines of authority (reporting relationships) of the CLA program staff (**Attachment J**).

**4. Key Personnel.** Provide the name and job title of the individual within your organization who will supervise the CLA Residential Manager. Provide a copy of this individual's resume, as well as the Program Manager's and Clinical Supervisor's (**Attachment K**). On the organization chart required in Section 3, indicate this individual's location within your organization.

#### I. Data and Technology

Provide a description of the agency's computer hardware and E-Mail / Internet Capability. Describe any technology used to enhance staff effectiveness or improve the efficiency of your organization.

#### J. Subcontractors

If the proposer plans to use subcontractors, provide a list with the following information:

- Legal Name of Agency or Individual Practitioner , Address, FEIN

- Contact Person, Title, Phone, Fax, E-mail
- Services Currently Provided
- Services To Be Provided Under Subcontract

## K. Work Plan

### Community Living Arrangement (CLA)

*Community Living Arrangement:* DDS has licensing requirements for operating a CLA. These requirements include but are not limited to: (1) habilitative services; (2) environmental requirements; (3) Emergency Planning (4) staff development and training; (5) health and safety; (6) managing individual funds; etc.

- a. Include a statement that your organization “has read and understands DDS's licensing requirements for these services and agrees to implement these services in accordance with DDS's policies and procedures.”
- b. *Work Plan.* Develop a work plan **from the date of award through the first year of operating the CLA**, describing **what steps** (activities, actions, tasks) your organization will take to implement DDS's requirements for these services within the proposed service area as itemized in item 5 of the Proposal Overview.
- c. *Methods.* Describe **how** your organization will accomplish each step of the work plan, providing a detailed explanation of the procedures or processes that will be used to attain the expected outcomes.
- d. *Timetable.* Include a proposed timetable indicating **when** each step of your organization's proposed work plan will be accomplished. Identify any significant milestones or deadlines.

**NOTE:** The work plan, methods, and timetable must be submitted in the format below. The step, method, and timetable shown here are for illustrative purposes only.

Step: Obtain CLA License  
Method: (1) Identify licensing requirements  
(2) Prepare draft documents  
(3) Identify strengths and weakness of the home  
(4) Rectify deficiencies  
(5) Complete licensing packet

Timetable: Complete licensing packet no later than 14 months of award.

## L. Cost Proposal

### 1. Financial Profile

**Financial Condition:** Provide a description of the financial condition of the company. This should include a history of the proposer's experience in managing and operating within budget and managing consumer's individual finances. Describe what credit lines with the associated financial institution, are available to the proposer to meet its financial needs.

### 2. Budget and Budget Narrative

- a. Include a separate budget on the attached Budget Summary Sheet or at DDS website at [www.ct.gov/dds](http://www.ct.gov/dds) under the "Business Opportunities (RFPs)" link the Budget Summary Form (**Form 8**).
- b. Include a budget narrative to detail operating and administrative expenses. The budget narrative should include the wage rate structure for direct support staff and supervisors including the starting wage. The budget narrative should provide the background descriptive information for each of the budget lines in the Budget Summary Form (**Form 8**).

**Note:** All proposed costs are subject to the standards developed by the State's Office of Policy and Management for the purchase of service (POS). The cost standards must be incorporated into the provisions of all new State awards effective on or after January 1, 2007. Be advised that your organization's cost proposal is subject to revision prior to award in order to ensure compliance with the cost standards. For more information, go to [www.ct.gov/opm](http://www.ct.gov/opm), click on "Publications," then click on "Purchase of Service (POS) Cost Standards."

#### M. Appendices

*Appendices should clearly identify the attachment label and each page numbered sequentially as part of the total RFP.*

- Attachment A** - Proposer's Authorized Representatives (**Form 1**)
- Attachment B** - Agency Agreement and Assurance Form (**Form 3**)
- Attachment C** - Notification To Bidders, Parts I – V (CHRO) (**Form 4**)
- Attachment D** - Organization Chart (**no form provided**)
- Attachment E** - Executive Management Resumes. Provide a copy of the resume for the administrator of the organization and the Executive Management Team (**no form provided**)
- Attachment F** - Proposer Performance Reviews (**no form provided**)
- Attachment G** - The most recent annual financial statements prepared by an independent Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (USA). If a proposer has been in business for less than two years, such proposer must include any financial statements prepared by a Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (US) for the entire existence of such firm or corporation. (**no form provided**)
- Attachment H** - Letters of Reference (3 total) (**no form provided**)
- Attachment I** - Staffing Schedule
- Attachment J** - CLA Organization Chart (**no form provided**)
- Attachment K** - Key CLA Personnel Resumes (**no form provided**)
- Attachment L** - Consulting Agreement Affidavit (OPM Ethics Form 5) (**Form 6**)
- Attachment M** - Gift and Campaign Contributions Certification (Form 1) (**Form 7**)

## V. Forms

*The purpose of this subsection is to provide blank copies of any Department forms that must be submitted with a proposal.*

**Form 1** - Proposer's Authorized Representatives

**Form 2** - Non Disclosure Form

**Form 3** – Agency Agreement and Assurances Form

**Form 4** – Notification To Bidders, Parts I – V (CHRO)

**Form 5** – Conflict of Interest Form

**Form 6** – Consulting Agreement Affidavit (OPM Ethics Form 5)

**Form 7** – Gift and Campaign Contributions Certification (OPM Ethics Form1)

**Form 8** – Budget Summary Form

**PROPOSER INFORMATION**

**STATE OF CONNECTICUT  
 Department of Developmental Services**

Applicant Agency: \_\_\_\_\_  
 Legal Name

*Authorized Representatives:* Applicants must designate an authorized representative and one (1) alternate. The form must be signed by the organization’s Chief Executive Officer or another official with signatory authority.

**Authorized Representative:**

		(    )    -
Name	Title	Telephone Number
Street	Town	Zip Code
E-mail Address		Facsimile Number
Normal Working Hours		

**Alternate:**

		(    )    -
Name	Title	Telephone Number
Street	Town	Zip Code
E-mail Address		Facsimile Number
Normal Working Hours		

I, the undersigned, for and on behalf of the named applicant agency, do herewith apply for this funding and attest that to the best of my knowledge the statements made herein are true.

\_\_\_\_\_  
 Signature of Authorizing Official

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Typed Name and Title



Dannel P. Malloy  
Governor

**State of Connecticut  
Department of Developmental Services**



Terrence W. Macy, Ph.D.  
Commissioner

Kathryn du Pree  
Deputy Commissioner

**Non-Disclosure Form  
HIPAA and Privacy Rights  
Acknowledgement and Agreement**

The undersigned in submitting a Letter of Intent for \_\_\_\_\_ to  
(Name of Proposer) participate  
in a Request for Proposal process hereby acknowledges the applicability of HIPAA  
and state law protections of DDS client information and agrees that any protected health  
information, individually identifiable health information, and/or any other DDS client  
information which is obtained during Participation in the RFP process shall be maintained  
confidential.

Further, the undersigned acknowledges and agrees to return any of the aforementioned  
information to DDS if the provider agency is not selected at the conclusion of the RFP  
process.

\_\_\_\_\_  
Executive Director/Authorized Agent

Date: \_\_\_\_\_

**FY 2019 RFP #2  
Transfer of Two (2) Three Bed CLAs  
Located in Danbury**

**FORM 2**



**AGREEMENTS AND ASSURANCES**

The undersigned proposer affirms and declares that:

**1. General**

- a. This proposal is executed and signed with full knowledge and acceptance of the RFP CONDITIONS stated in the RFP.
- b. The proposer will deliver services to DDS at the cost proposed in the RFP and within the time frames therein.
- c. Neither the proposer or any official of the organization nor any subcontractor to the proposer or any official of the subcontractor's organization has received any notices of debarment or suspension from contracting with the State of Connecticut or the Federal Government.
- d. Neither the proposer or any official of the organization nor any subcontractor to the proposer or any official of the subcontractor's organization has received any notices of debarment or suspension from contracting with other states within the United States.

**2. DDS Policies and Procedures**

- a. The proposer has read and understands the DDS Policies and Procedures Manual and will adhere to all DDS policies and procedures.
- b. The proposer will participate in the Individual Planning Process and attend regular meetings.
- c. The proposer will seek prior approval from DDS before making any changes to the level of services.
- d. The proposer will seek prior approval from DDS before making any changes to the location of services.
- e. The proposer will follow the Continuous Quality Improvement policies and procedures.

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Legal Name of Organization

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Authorized Signatory Date

**COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES  
CONTRACT COMPLIANCE REGULATIONS  
NOTIFICATION TO BIDDERS**

(Revised 09/17/07)

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

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

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

- (a) the bidder’s success in implementing an affirmative action plan;
- (b) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- (c) the bidder’s promise to develop and implement a successful affirmative action plan;
- (d) the bidder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) the bidder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

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**INSTRUCTIONS AND OTHER INFORMATION**

The following **BIDDER CONTRACT COMPLIANCE MONITORING REPORT** must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidder’s \_\_good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

**1) Definition of Small Contractor**

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

2) Description of Job Categories (as used in Part IV Bidder Employment Information) (Page 2)

<p><b>MANAGEMENT:</b> Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.</p> <p><b>BUSINESS AND FINANCIAL OPERATIONS:</b> These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.</p> <p><b>MARKETING AND SALES:</b> Occupations related to the act or process of buying and selling products and/or services such as sales engineer, retail sales workers and sales representatives including wholesale.</p> <p><b>LEGAL OCCUPATIONS:</b> In-House Counsel who is charged with providing legal advice and services in regards to legal issues that may arise during the course of standard business practices. This category also includes assistive legal occupations such as paralegals, legal assistants.</p> <p><b>COMPUTER SPECIALISTS:</b> Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists</p> <p><b>ARCHITECTURE AND ENGINEERING:</b> Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.</p> <p><b>OFFICE AND ADMINISTRATIVE SUPPORT:</b> All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, bill and account collectors, customer service representatives, dispatchers, secretaries and administrative assistants, computer operators and clerks (such as payroll, shipping, stock, mail and file).</p>	<p><b>BUILDING AND GROUNDS CLEANING AND MAINTENANCE:</b> This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.</p> <p><b>CONSTRUCTION AND EXTRACTION:</b> This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category..</p> <p><b>INSTALLATION, MAINTENANCE AND REPAIR:</b> Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.</p> <p><b>MATERIAL MOVING WORKERS:</b> The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.</p> <p><b>PRODUCTION WORKERS:</b> The job titles included in this category are chemical production machine setters, operators and tenders; crushing/grinding workers; cutting workers; inspectors, testers sorters, samplers, weighers; precious stone/metal workers; painting workers; cementing/gluing machine operators and tenders; etchers/engravers; molders, shapers and casters except for metal and plastic; and production workers.</p>
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**3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information) (Page 3)**

<p>White (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.          Black(not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa.          Hispanic- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.</p>	<p>Asian or Pacific Islander- All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa.          American Indian or Alaskan Native- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.</p>
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**BIDDER CONTRACT COMPLIANCE MONITORING REPORT**

**PART I - Bidder Information**

<p>Company Name          Street Address          City &amp; State          Chief Executive</p>	<p>Bidder Federal Employer          Identification Number _____          Or          Social Security Number _____</p>
<p>Major Business Activity          (brief description)</p>	<p>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 is certified as above by State of CT Yes__ No__</p>
<p>Bidder Parent Company          (If any)</p>	
<p>Other Locations in Ct.          (If any)</p>	

**PART II - Bidder Nondiscrimination Policies and Procedures**

<p>1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards?          Yes__ No__</p>	<p>7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 &amp; 4a-60a Conn. Gen. Stat.?          Yes__ No__</p>
<p>2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards?          Yes__ No__</p>	<p>8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability?          Yes__ No__</p>
<p>3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy?          Yes__ No__</p>	<p>9. Does your company have a mandatory retirement age for all employees?          Yes__ No__</p>
<p>4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes__ No__</p>	<p>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__</p>
<p>5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes__ No__</p>	<p>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__</p>
<p>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?</p>	<p>12. Does your company have a written affirmative action Plan? Yes__ No__          If no, please explain.</p> <p>13. Is there a person in your company who is responsible for equal employment opportunity? Yes__ No__          If yes, give name and phone number.</p>

Yes__ No__	_____
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**FORM 4**

**Part III - Bidder Subcontracting Practices (Page 4)**

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											
Marketing & Sales											
Legal Occupations											
Computer Specialists											
Architecture/Engineering											
Office & Admin Support Bldg/ Grounds											
Cleaning/Maintenance											
Construction & Extraction											
Installation Maintenance & Repair											
Material Moving Workers											
Production Occupations											
TOTALS ABOVE											
Total One Year Ago											
<b>FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)</b>											
Apprentices											
Trainees											

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\*NOTE: JOB CATEGORIES CAN BE CHANGED OR ADDED TO (EX. SALES CAN BE ADDED OR REPLACE CATEGORY NOT USED IN YOUR COMPANY)

**FORM 4**

**PART V - Bidder Hiring and Recruitment Practices (Page 5)**

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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FORM 4

**CONFLICT OF INTEREST**

*This form must be printed on your company letterhead.*

I, \_\_\_\_\_  
(Name, Title)

\_\_\_\_\_  
(Organization)

\_\_\_\_\_  
(Address)

certifies that this business entity

does/does not (*circle one*)

have any current business relationships [within the past (3) years] that pose a conflict of interest as defined by Connecticut General Statutes Section 1-85.

\_\_\_\_\_  
Legal Signature

\_\_\_\_\_  
Date

*If you circled "does" above, please explain:*

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Section 1-85. (Formerly Sec. 1-68). Interest in conflict with discharge of duties.** A public official, including an elected state official, or state employee has an interest which is in substantial conflict with the proper discharge of his duties or employment in the public interest and of his responsibilities as prescribed in the laws of this state, if he has reason to believe or expect that he, his spouse, a dependent child, or a business with which he is associated will derive a direct monetary gain or suffer a direct monetary loss, as the case may be, by reason of his official activity. A public official, including an elected state official, or state employee does not have an interest which is in substantial conflict with the proper discharge of his duties in the public interest and of his responsibilities as prescribed by the laws of this state, if any benefit or detriment accrues to him, his spouse, a dependent child, or a business with which he, his spouse or such dependent child is associated as a member of a profession, occupation or group to no greater extent than any other member of such profession, occupation or





Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_.

\_\_\_\_\_  
Commissioner of the Superior Court  
or Notary Public

FORM 6

## STATE OF CONNECTICUT

### GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

*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), as amended by Public Act 07-1*

#### 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 on each anniversary date of a multi-year contract, if applicable).

**CHECK ONE:**     Initial Certification             Annual Update (Multi-year contracts only.)

#### GIFT CERTIFICATION:

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

"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;

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 an Annual Update, "Execution Date" means the date this certification is signed by the Contractor;

"Contractor" means the person, firm or corporation named as the contractor below;

"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);

"Gift" has the same meaning given that term in C.G.S. § 4-250(1);

"Planning Start Date" is the date the State agency began planning the project, services, procurement, lease or licensing arrangement covered by this Contract, as indicated by the awarding State agency below; and

"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 the official authorized to execute the Contract on behalf of the Contractor. I hereby certify that, between the Planning Start Date and Execution Date, neither the Contractor nor any Principals or Key Personnel has made, will make (or has promised, or offered, to, or otherwise indicated that he, she or it will, make) any **Gifts** to any Applicable Public Official or State Employee.

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:

**FORM 7**

**STATE OF CONNECTICUT  
GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION**

**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

\_\_\_\_\_  
**Signature of Authorized Official**

**Subscribed and acknowledged before me this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_.**

\_\_\_\_\_  
**Commissioner of the Superior Court (or Notary Public)**

**FY 2019 RFP #2  
Transfer of Two (2) Three Bed CLAs  
Located in Danbury**

<b>For State Agency Use Only</b>	
Awarding State Agency	Planning Start Date
Contract Number or Description	<b>FORM 7</b>

Summary Budget Example

Agency: \_\_\_\_\_

Program: \_\_\_\_\_

Revenue	Consumer:	Consumer:	Consumer:	Consumer:
Last Name & First Initial				
DDS #				
DDS Contract Amount:	\$	\$	\$	\$
LON #				

Personnel - House Schedule					
Position	FTE	Amount	Amount	Amount	Amount
Program Director:		\$ -	\$ -	\$ -	\$ -
Assistant Program Director/Site Manager:		\$ -	\$ -	\$ -	\$ -
Direct Nursing Hours Only					
LPN: _____ RN _____		\$ -	\$ -	\$ -	\$ -
Program Support Staff - 1st Shift		\$ -	\$ -	\$ -	\$ -
Program Support Staff - 2nd Shift		\$ -	\$ -	\$ -	\$ -
Program Support Staff - 3rd Shift		\$ -	\$ -	\$ -	\$ -
Sleep _____ Wake _____		\$ -	\$ -	\$ -	\$ -
Program Support Staff - Relief		\$ -	\$ -	\$ -	\$ -
Subtotal:		\$ -	\$ -	\$ -	\$ -
Total Personnel:		\$ -	\$ -	\$ -	\$ -

Non Personnel - Not on House Schedule	Consumer:	Consumer:	Consumer:	Consumer:
Consultants - (type)	\$ -	\$ -	\$ -	\$ -
Consultants - (type)	\$ -	\$ -	\$ -	\$ -
Consultants - (type)	\$ -	\$ -	\$ -	\$ -
Consultants - (type)	\$ -	\$ -	\$ -	\$ -
Consultants - (type)	\$ -	\$ -	\$ -	\$ -
Consultants - Other- Identify _____	\$ -	\$ -	\$ -	\$ -
Nursing Health Service Coordination (indirect)	\$ -	\$ -	\$ -	\$ -
Staff Training	\$ -	\$ -	\$ -	\$ -
Staff Mileage	\$ -	\$ -	\$ -	\$ -
Client Med. & Education & Recreation	\$ -	\$ -	\$ -	\$ -
Vehicle (Gas, Repair, Lease)	\$ -	\$ -	\$ -	\$ -
Type of vehicle _____ # of vehicles _____				
Program Supplies > \$1000 provide Itemized list	\$ -	\$ -	\$ -	\$ -
Program Support (Phones, copier, pager, ect.)	\$ -	\$ -	\$ -	\$ -
Total Non Personnel:	\$ -	\$ -	\$ -	\$ -
Employee Benefits Expense:	\$ -	\$ -	\$ -	\$ -
Total Operating Expense:	\$ -	\$ -	\$ -	\$ -
Administration and General Expense:	\$ -	\$ -	\$ -	\$ -
Grand Total:	\$ -	\$ -	\$ -	\$ -
Per Diem Rate:	\$ -	\$ -	\$ -	\$ -

FY 2019 RFP #2  
 Administrative and General Expenses **Transfer of Two (2) Three Bed CLAs**  
 Located in Danbury

Salary & Wages	Amount	FTE
Administration	-	0.00
Business	-	0.00
Secretarial/Clerical	-	0.00
Other (Specify)	-	0.00
	-	0.00
	-	0.00
<b>Total Salary &amp; Wages</b>	-	0.00
<b>Non-Salary</b>		
Accounting & Auditing	-	
Office Supplies (including postage)	-	
Occupancy Costs (utilities, telephone, repairs, rent, taxes)	-	
Insurance	-	
Employee Mileage	-	
Lease Equipment & Maintenance	-	
Other (Specify)	-	-
	-	-
	-	-
<b>Total Non-Salary</b>	-	
<b>Employee Benefits</b>		
	-	
<b>Total Administrative and General</b>	-	

**Total Employee Benefits**

Benefits	Amount
<b>Social Security (FICA)</b>	-
<b>Unemployment</b>	-
<b>Workers Compensation</b>	-
<b>Insurance (Health, Dental, Disability, Life)</b>	-
<b>Retirement</b>	-
<b>Other (Specify)</b>	-
<b>Total Benefits</b>	-
<b>Amount of Employee Benefits included in A&amp;G</b>	-
<b>Total Program Benefits</b>	-

### Sample Staffing Schedule

Proposal # _____	Provider _____
------------------	----------------

First Shift	Group Z						Date			
	Week 1	POS#	TITLE	Fri	Sat	Sun	Mon	Tues	Wed	Thurs
		Supervisor	FLEX	FLEX			FLEX	FLEX	FLEX	
		Support Staff		7:15 - 2:15	8:15 - 2:15			4:00 - 8:30		
		Support Staff	6:00 - 9:30			6:00 - 9:30	6:00 - 9:30	6:00 - 9:30	6:00 - 9:30	
		Support Staff	6:30 - 10:00			6:30 - 10:00	6:30 - 10:00	6:30 - 10:00	6:30 - 10:00	
		Support Staff		8:15 - 2:15	7:15 - 2:15					
Second Shift	Week 1	POS#	TITLE	Fri	Sat	Sun	Mon	Tues	Thurs	
			Support Staff	2:00 - 9:00			2:00 - 9:00	2:00 - 9:00	2:00 - 9:00	2:00 - 9:00
			Support Staff		2:15 - 9:00	2:15 - 9:00				4:00 - 8:00
			Support Staff	4:00 - 11:00			4:00 - 11:00	4:00 - 11:00	4:00 - 11:00	4:00 - 11:00
			Support Staff		2:15 - 11:00	2:15 - 11:00				
			Support Staff				4:00 - 8:30			
Third	Week 1	POS#	TITLE	Fri	Sat	Sun	Mon	Tues	Thurs	
			Support Staff	10:30 - 7:15	10:30 - 7:15					
			Support Staff			11:00 - 6:00	11:00 - 6:00	11:00 - 6:00	11:00 - 6:00	

**MINIMUM SUBMISSION REQUIREMENTS**

Check ✓ Yes or ✓ No for each requirement listed in the table below.  
If No is checked for any requirement, stop the review and notify the Chair of Screening Committee.

Yes	No	Requirement
		<b>Provider Qualification:</b>
		- On DDS qualified provider list.
		- Not on Enhanced Contract Monitoring
		- Org or Exec. 3 yrs administering residential community supports
		- Admin of Org is knowledgeable of nature, needs, development & mgt of prgms for people with ID
		- Admin of Org has 1 yr providing admin supports to org that provides CLA supports

Yes	No	Requirement
		Proposal received before deadline (4pm <b>0/00/00</b> ) no fax no email
		Proposal meets packaging and labeling requirements:
		- submitted in sealed package
		- addressed to official agency contact
		- name & address of proposer appears on package ( <b>upper left corner</b> )
		- <b>title of RFP lower left corner</b>
		- includes signed original ( <b>labeled as original</b> )
		- includes four copies
		Proposal follows the required format:
		- page size ( <b>8 ½ X 11 / portrait</b> ), font size, font type ( <b>Times New Roman</b> ), margins ( <b>1" all sides</b> ) & pagination ( <b>all pages numbered and double sided</b> )
		- no material dependent on color distinctions or animations
		- no notebooks or binders
		- no prohibited attachments ( <b>required Attachments A-M</b> )
		- Proposal is complete ( <b>includes all nine sections</b> )
		Proposal includes required Outline documentation:
		- Cover Sheet
		- Table of Contents
		- Conflict of Interest Disclosure Statement (Page 4) <b>Signed and either does/does not is circled</b>
		- Executive Summary (Page 5)
		Main proposal includes required Sections:
		- Organizational profile
		- Scope of Services
		- Staffing Plan
Yes	No	Requirement
		- Data and Technology

**FY 2019 RFP #2  
Transfer of Two (2) Three Bed CLAs  
Located in Danbury**

		- Subcontractors
		- Work Plan
		- Cost Proposal - A. Budget Summary Form - B. Budget Narrative
		Appendices includes required Attachments:
		- Proposer's Authorized Representatives (Attachment A)- <b>signed</b>
		- Agreements and Assurances Form (Attachment B) - <b>signed</b>
		- Notification to Bidders (Attachment C) - <b>signed</b>
		- Organization Chart (Attachment D)
		- Executive Management Resumes (Attachment E) – Administrator of the organization and the Executive Management Team
		- Proposer Performance Reviews (Attachment F) – 4 Consumer Satisfaction Surveys, 2 QSR, Carf Accreditation, Licensing Reports
		- 2 Financial Statements (Attachment G) 2 most recent or if <2yrs operation then CPA statements reviewed or audited
		- 3 Letters of Reference (Attachment H)
		- Staffing Schedule (Attachment I)
		- CLA Organization Chart (Attachment J)
		- Key CLA Personnel Resumes (Attachment K)
		- Consulting Agreement Affidavit Form 5 (Attachment L)
		- Gift and Campaign Contributions Certification (Form 1) (Attachment M)
		- Multiple Submission Proposal (Attachment N) - If applicable



### Qualifying Proposal Evaluation Checklist

Agency \_\_\_\_\_ Date of Review \_\_\_\_\_

*A composite rating should be developed by the committee for each criteria. Using a scale of 1 –5, where 5 = Excellent (highest score) and 1 = poor (lowest Score) place your rating in the corresponding box.*

**A. Organization** Rating

- 1. Mission statement and philosophy
- 2. Organization resources to accomplish proposal
- 3. Board of Directors

Total		Average	Weight	Score
<input style="width: 40px; height: 25px;" type="text"/>	Divided BY	<input style="width: 40px; height: 25px; text-align: center; value: 3;" type="text"/>	=	<input style="width: 40px; height: 25px;" type="text"/>
			X	<input style="width: 40px; height: 25px; text-align: center; value: (.15)" type="text"/>
				= <input style="width: 40px; height: 25px; border: 2px solid black;" type="text"/>

**B. Previous Agency Performance** Rating

- 1. Past performance reviews- programmatic and legal
- 2. Past performance reviews- consumer satisfaction
- 3. Past performance reviews- fiscal
- 4. Past performance reviews- housing/project Development
- 5. Past performance reviews- evidence of efficient and effective financial management system

Total		Average	Weight	Score
<input style="width: 40px; height: 25px;" type="text"/>	Divided BY	<input style="width: 40px; height: 25px; text-align: center; value: 5;" type="text"/>	=	<input style="width: 40px; height: 25px;" type="text"/>
			X	<input style="width: 40px; height: 25px; text-align: center; value: (.15)" type="text"/>
				= <input style="width: 40px; height: 25px; border: 2px solid black;" type="text"/>

**Continue on next page**

### Qualifying Proposal Evaluation Checklist

*A composite rating should be developed by the committee for each criteria. Using a scale of 1–5, where 5 = Excellent (highest score) and 1 = poor (lowest Score) place your rating in the corresponding box.*

- C. Support Strategies**
- |  |                                    |
|--|------------------------------------|
| 1. Individual supports and services          | Rating<br><input type="checkbox"/> |
| 2. Adherence to RFP                          | <input type="checkbox"/>           |
| 3. Community Resources and Personal Networks | <input type="checkbox"/>           |
| 4. Legal Requirements                        | <input type="checkbox"/>           |

Total		Average	Weight	Score
<input type="checkbox"/>	Divided BY	<input type="checkbox"/>	=	<input type="checkbox"/>
		4	=	<input type="checkbox"/>
			X	(.15)
			X	<input type="checkbox"/>
				<input style="border: 2px solid black;" type="checkbox"/>

- D. Personal Preferences and Relationships**
- |                         |                                    |
|-------------------------|------------------------------------|
| 1. Personal Preferences | Rating<br><input type="checkbox"/> |
| 2. Relationships        | <input type="checkbox"/>           |

Total		Average	Weight	Score
<input type="checkbox"/>	Divided BY	<input type="checkbox"/>	=	<input type="checkbox"/>
		2	=	<input type="checkbox"/>
			X	(.15)
			X	<input type="checkbox"/>
				<input style="border: 2px solid black;" type="checkbox"/>

	Rating		Weight (.10)	Score
E. Proposed Work Plan and Time Frame	<input type="checkbox"/>	X	<input type="checkbox"/>	= <input style="border: 2px solid black;" type="checkbox"/>

	Rating		Weight (.15)	Score
F. Support staff/Staffing Patterns	<input type="checkbox"/>	X	<input type="checkbox"/>	= <input style="border: 2px solid black;" type="checkbox"/>

*Continue on next page*

**Qualifying Proposal Evaluation Checklist**

*A composite rating should be developed by the committee for each criteria. Using a scale of 1–5, where 5 = Excellent (highest score) and 1 = poor (lowest Score) place your rating in the corresponding box.*

- |                                      |                          |
|--------------------------------------|--------------------------|
| G. Budget/Cost Effectiveness         | Rating                   |
| 1. Relationship to Available Funding | <input type="checkbox"/> |
| 2. Compare Budget to Other Proposals | <input type="checkbox"/> |
| 3. Indirect Costs                    | <input type="checkbox"/> |
| 4. Feasibility of Proposal           | <input type="checkbox"/> |

Total		Average	Weight	Score
<input type="checkbox"/>	Divided BY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		4	(.15)	
		=	X	=
		<input type="checkbox"/>	<input type="checkbox"/>	<input style="border: 2px solid black;" type="checkbox"/>

SCORES	A	B	C	D	E	F	G	Total Score
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input style="border: 2px solid black;" type="checkbox"/>
	+	+	+	+	+	+	+	=

Total Score		Final Score
<input style="border: 2px solid black;" type="checkbox"/>	X	<input type="checkbox"/>
		20
	=	<input style="border: 2px solid black;" type="checkbox"/>

Comments:

Reviewer Initials:

**Interview Evaluation Checklist**

Agency \_\_\_\_\_ Date of Review \_\_\_\_\_

*A composite rating should be developed by the committee for each criteria. Using a scale of 1 –5, where 5 = Excellent (highest score) and 1 = poor (lowest Score) place your rating in the corresponding box.*

- |  |                          |
|--|--------------------------|
| <b>A. Support Strategies</b>                 | <b>Rating</b>            |
| 1. Individual supports and services          | <input type="checkbox"/> |
| 2. Adherence to RFP                          | <input type="checkbox"/> |
| 3. Community Resources and Personal Networks | <input type="checkbox"/> |
| 4. Legal Requirements                        | <input type="checkbox"/> |

Total		Average	Weight	Score
<input type="checkbox"/>	Divided BY	<input type="checkbox"/>	X	<input type="checkbox"/>
		4	=	<input type="checkbox"/>
			X	<input type="checkbox"/>
		.25	=	<input style="border: 2px solid black;" type="checkbox"/>

- |  |                          |
|--|--------------------------|
| <b>B. Personal Preferences and Relationships</b> | <b>Rating</b>            |
| 1. Personal Preferences                          | <input type="checkbox"/> |
| 2. Relationships                                 | <input type="checkbox"/> |

Total		Average	Weight	Score
<input type="checkbox"/>	Divided BY	<input type="checkbox"/>	X	<input type="checkbox"/>
		2	=	<input type="checkbox"/>
			X	<input type="checkbox"/>
		.25	=	<input style="border: 2px solid black;" type="checkbox"/>

	Rating	Weight	Score
<input type="checkbox"/>	X	<input type="checkbox"/>	= <input style="border: 2px solid black;" type="checkbox"/>
C. Support staff/Staffing Patterns		.25	

*Continue on next page*

**Interview Evaluation Checklist**

D. Budget/Cost Effectiveness	Rating
1. Relationship to Available Funding	<input type="checkbox"/>
2. Compare Budget to Other Proposals	<input type="checkbox"/>
3. Indirect Costs	<input type="checkbox"/>
4. Feasibility of Proposal	<input type="checkbox"/>

Total		Average	Weight	Score
<input type="checkbox"/>	Divided BY	<input type="checkbox"/>	=	<input type="checkbox"/>
		<input type="checkbox"/>	X	<input type="checkbox"/>
		4		.25
				= <input style="border: 2px solid black;" type="checkbox"/>

SCORES	A	B	C	D	Total Score
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	= <input style="border: 2px solid black;" type="checkbox"/>
	+	+	+	+	

Total Score		Final Score
<input style="border: 2px solid black;" type="checkbox"/>	X	<input type="checkbox"/>
		20
		= <input style="border: 2px solid black;" type="checkbox"/>

Comments:

Reviewer Initials:

**Guidelines for Qualifying Proposal Evaluation Checklist**

**SECTION A: Organization**

Assess the organization’s value, adhere to the DDS mission and potential ability to accomplish the proposal and operate the program.

**1. Mission and Philosophy:** Review the formal mission and organizational philosophy contained in each proposal and compare it to the DDS Mission and Vision. Look for clear evidence of consistency between the agency statement and the principles contained in the DDS Mission/Vision, such as:

- community presence and participation
- development of skills and competence
- fostering individual choice
- strengthening personal and family relationships
- respect and dignity
- developing natural support networks
- prompting individual control over selection of supports and service providers
- using individual preferences in establishing goals and objectives
- engaging in collaboration with other community service providers

Review the proposal to identify proposed practices, which are also consistent with the DDS Mission/Vision. Examples include focusing on person-centered planning, incorporating the Accreditation Council Performance Outcomes measures as an evaluation tool, special and unique efforts to include family and friends, using generic services and supports when appropriate, establishing a “circle” of natural supports for the individuals in the program, providing extra opportunities for meaningful participation in community life (e.g., volunteerism, membership in religious or civic organizations, etc.), seeking competitive jobs in the real workplace, etc

Where possible review the history of the agency to identify actual and historical practices, which may support there stated

**Rating Scale Guidelines**

*Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3; a score of 4 as a midway between 3 and 5.*

1	2	3	4	5
Poor		Average		Excellent

**1) POOR:**

The mission & philosophy of the organization is not consistent with the principles contained in the DDS Mission/Vision. The proposal does not address community inclusion, choice, relationships, client/family preference, etc. The organization does not possess necessary management, independent oversight, support and/or clinical resources or expertise to adequately meet the needs of the individuals to be served in the program

**(2)**

**(3) AVERAGE:**

The mission & philosophy of that organization is generally consistent with the DDS Mission/Vision. The proposal articulates the philosophy and presents evidence of proposed practices, which will promote inclusion, choice, empowerment, relationship building, etc. The organization has an adequate resource-base, management structure and history in working with similar populations to meet the needs of the individuals to be served in the program. The Board is independent and provides adequate oversight.

**(4)**

**5) EXCELLENT:**

The mission & philosophy of the organization exemplifies the DDS Mission/Vision. The organization very clearly illustrates how it will practice these principles. It has a consistent history of demonstrating outstanding efforts to promote meaningful inclusion and integration, client and family choice and control, building and supporting long-term relationships and networks. The organization has demonstrated special expertise in meeting the needs of similar population. There is an excellent resource base, which supports the program. Management resources are either specifically dedicated to the program or are readily available to provide close support. The Board in broad based, independent and plays an active role in governing the agency.

philosophy and proposed actions (i.e., do they “practice what they preach”).

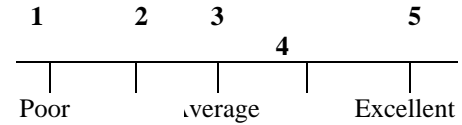
**2. Organizational Resources:** Review the relative strengths and weaknesses of the organization based on any identified areas of demonstrated expertise. (e.g., strong history of supporting people with severe challenging behaviors or significant medical needs, etc.).

Evaluate the availability of clinical and other support personnel or resources that are necessary to provide expert and timely services to the people who will be served in the program. Are there sufficient linkages with medical, hospital, psychiatric, nursing services? Where are they located and can they be assessed in an efficient fashion? Are there other programs in the area, which could provide back up staff and associated resources when necessary or is the program isolated? Also consider the relationship of management and supervisory support. Assess the proximity, span of control and general availability of administrative oversight of the program.

**3. Board of Directors:** Assess the relative independence of the agency’s Board of Directors and its ability and history in governing the agency and its administration. Identify the membership of the Board, with particular reference to conflict of interest (e.g., employee members, family relationships, etc.) and the presence of consumers and/or family representation. Evaluate the extent to which the Board plays an active role in overseeing agency operations and executive decisions (e.g., frequency and content of meetings).

**Rating Scale Guidelines**

*Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3; a score of 4 as a midway between 3 and 5.*



**(1) POOR:**

The mission & philosophy of the organization is not consistent with the principles contained in the DDS Mission/Vision. The proposal does not address community inclusion, choice, relationships, client/family preference, etc. The organization does not possess necessary management, independent oversight, support and/or clinical resources or expertise to adequately meet the needs of the individuals to be served in the program.

**(2)**

**(3) AVERAGE:**

The mission & philosophy of that organization is generally consistent with the DDS Mission/Vision. The proposal articulates the philosophy and presents evidence of proposed practices, which will promote inclusion, choice, empowerment, relationship building, etc. The organization has an adequate resource-base, management structure and history in working with similar populations to meet the needs of the individuals to be served in the program. The Board is independent and provides adequate oversight.

**(4)**

**5) EXCELLENT:**

The mission & philosophy of the organization exemplifies the DDS Mission/Vision. The organization very clearly illustrates how it will practice these principles. It has a consistent history of demonstrating outstanding efforts to promote meaningful inclusion and integration, client and family choice and control, building and supporting long-term relationships and networks. The organization has demonstrated special expertise in meeting the needs of similar population. There is an excellent resource base that supports the program. Management resources are either specifically dedicated to the program or are readily available to provide close support. The Board is broad based, independent and plays an active role in governing the agency.

**SECTION B: Previous Provider Performance**

Assess the organizations past performance and history in five (5) areas, as follows:

**1. Program and Legal Performance:** Review the quality and consistency of programs and services provided by the provider over the past few years. Consider regulatory compliance, results of ongoing monitoring and review, incidents and special concerns, presence of any special or mandated corrective actions, provider developed quality indicators, accreditation, QSR Performance Outcomes, etc. Potential sources of information included:

- Licensing reports
- Quality Service Reviews (QSR)
- ICF/MR reports
- Consumer incident reports
- PRC and HRC reviews
- Special Concerns
- Legal Actions & Stipulated Agreements
- CARF accreditation
- Quality reports from other State Departments
- Case Management reviews and reports
- Contract Monitoring reports, etc.

**2. Consumer Satisfaction:** Review both formal and informal indicators of consumer, family, Case Manager, advocate and guardian satisfaction with services provided by the provider. The results of provider surveys, DDS surveys, history of complaints, letters of recommendation and support from consumers, etc. should be considered.

**3. Fiscal:** Review past audits, licensing reports and DSS reports to assess compliance with all regulations pertaining to management of consumer and program funds. Identify and note deficiencies, audit exceptions or special concerns related to the control, use and management of money.

**4. Housing or Project Development:** Review the provider history in developing and securing residential and or day program facilities. Evaluate the timeliness of acquisition, quality of housing, general upkeep and maintenance of facilities and ability to operate housing within budget or established reimbursement rates.

**Rating Scale Guidelines**

*Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3; a score of 4 as a midway between 3 and 5.*

1	2	3	4	5
Poor		average		Excellent

**(1) POOR:**

The provider has a history of poor performance in two or more of the 5 categories reviewed. There is past evidence that the provider has not been able to appropriately meet the programmatic, housing, project development, or financial standards required for maintaining a proper level of care without special oversight or intervention.

**(2)**

**(3) AVERAGE:**

The provider has demonstrated an adequate level of compliance with regulations and formal program requirements. There is evidence of general satisfaction with most services provided by the provider. Housing or project development and management of finances is satisfactory.

**(4)**

**5) EXCELLENT:**

The provider has an above average record of providing quality programs and services. Formal compliance indicators and consumer satisfaction ratings are consistently good. Housing or project development is timely and finances are well managed. The provider has a positive cash flow and adequate financial resources to maintain a high level of services and meet unforeseen emergencies.

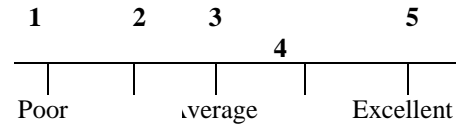


**FY 2019 RFP #2**  
**Transfer of Two (2) Three Bed CLAs**  
**Located in Danbury**

**5. Financial Management:** Review the provider's history in managing and operating within budget and managing consumer's individual finances. Maintains a credit line to meet financial needs. Identify any indicators that the provider has experienced substantial difficulties in maintaining a positive cash flow, such as repeated need for special processing of payment, repeated requests for additional funding, complaints from subcontractors about timely payment, reduction of services, inability to secure an adequate credit line, deterioration of facilities or equipment, late payment of payroll obligations, etc. Consider outstanding debt in relation to assets and revenues.

**Rating Scale Guidelines**

*Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3: a score of 4 as a midway between 3 and 5.*



**(1) POOR:**

The provider has a history of poor performance in two or more of the 5 categories reviewed. There is past evidence that the provider has not been able to appropriately meet the programmatic, housing, project development, or financial standards required for maintaining a proper level of care without special oversight or intervention.

**(2)**

**(3) AVERAGE:**

The provider has demonstrated an adequate level of compliance with regulations and formal program requirements. There is evidence of general satisfaction with most services provided by the provider. Housing or project development and management of finances is satisfactory.

**(4)**

**5) EXCELLENT:**

The provider has an above average record of providing quality programs and services. Formal compliance indicators and consumer satisfaction ratings are consistently good. Housing or project development is timely and finances are well managed. The provider has a positive cash flow and adequate financial resources to maintain a high level of services and meet unforeseen emergencies.

## SECTION C: Support Strategies

Evaluate the proposal in terms of its ability to meet the identified needs of the consumers in the RFP and according to the four criteria outlines below.

**1. Individual Supports and Services:** Assess how the proposed program will meet the health and safety, behavioral, psychiatric, educational, habilitative, and the overall quality of life needs of the people to be served. Consider any specialized services and supports for one or more of the people to be served, which can include medical and nursing services, adaptive equipment, recreation, fitness and social needs, unique staff skills, language and cultural needs, etc.

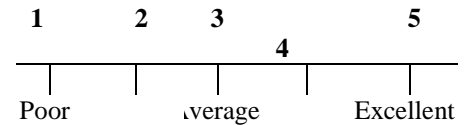
**2. Adherence to RFP:** Assess how well the proposal meets all of the individual support needs. Review specific support areas to determine if they have been appropriately addressed in the proposal.

**3. Community Resources and Personal Networks:** Evaluate the extent to which the proposal incorporates the utilization of community services and the development of individual networks of support, including family and friends, community organizations, self advocacy opportunities, and social networks that might reduce the reliance on segregated services.

**4. Legal Requirements:** Review the proposal for its adherence to any legal and regulatory requirements, such as the need for licensing, court ordered stipulations, DDS policy (Human Rights, Individual Planning, Program Review, staff qualifications) and associated requirements, etc.

### Rating Scale Guidelines

Score each criterion on a relative scale of 1-5.  
Use the descriptions as a guide for assigning scores.  
Consider a score of 2 as midway between 1 and 3; a score of 4 as a midway between 3 and 5.



**(1) POOR:**

The proposal does not fully meet the individual needs or does not recognize the individual circumstances of the people to be served. It does not adequately address the development of community involvement or the general quality of life, cultural and language needs of the people to be served.

**(2)**

**(3) AVERAGE:**

The proposal generally addresses all of the individual supports and services and demonstrates efforts to recognize and provide support strategies to meet individual needs. Community resources and social networks are potentially available. Any legal requirements in the RFP are met.

**(4)**

**5) EXCELLENT:**

The proposal addresses all of the specific needs of each individual to be served and provides significant details to address special consumer circumstances. It addresses all legal requirements in the RFP. The proposal provides numerous opportunities for the inclusion of community resources and the establishment and ongoing support of personal networks.



**SECTION E: Proposed Work Plan and Time Frames**

Evaluate the proposal in terms of its ability to meet the project’s time frame. Particular attention should be given to the feasibility of housing or facility acquisition, hiring and training of staff and support personnel, establishment of any special service contracts, vehicle acquisition and transition planning. Consider the proposed mechanisms for financing start-up and development costs. If the proposal will rely on third party financing or management of the development process, review the extent to which the agency will be able to control and direct these processes. Identify any interim or temporary plans for beginning the program if difficulties arise. Reference the proposed timetable against historical experience with similar projects (i.e., is it practical and feasible?).

**Rating Scale Guidelines**

*Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3: a score of 4 as a midway between 3 and 5.*

1	2	3	4	5
Poor		Average		Excellent

**(1) POOR:**  
The proposal does not address a majority of the transitional and operational activities and is not able to meet the identified time-frame for the project start-up. Financing is uncertain. There is not evidence of a feasible plan to start the program within a reasonable period of time if problem in development occur.

**(2)**

**(3) AVERAGE:**  
The proposal generally addresses a majority of the transitional and operational activities and meets the identified time frame for project start-up. Development mechanism, financing and staff resources appear practical.

**(4)**

**(5) EXCELLENT:**  
The proposal is able to meet or exceed the transitional and operational activities and project requirements for start-up. There is clear evidence of the human resources and financial ability to accomplish any development, acquisition or start-up activities without being compromised by external obstacles. A back-up contingency plan is articulated to guarantee initiation of the program on time.

**SECTION F: Support/Staffing Patterns**

Evaluate the proposal in terms of the proposed staffing patterns. Consider the relationship between consumer needs and the type and numbers of direct and support service personnel assigned to the program. Review the proposed schedules across a 24-hr, 7-day per week time period. In evaluating the support of staffing patterns consider a wide range of variables including:

- Level of direct supervision and support needs based on the Level of Need (LON)
- Medical and physical disability levels and needs (e.g., nursing)
- Need for assistance in transferring, bathing, mealtime activities
- Special instructional needs
- Physical characteristics of the setting (e.g., 1 floor, multi-level, presence of adaptive equipment or modifications to the facility, fire safety enhancements, location, etc.)
- Safety needs related to evacuation and emergency response
- Needs for special behavior management Procedures
- Proximity to other programs
- Presence of supervision and/or professional, indirect staff support
- Day program schedules
- Provision of transportation to day Programs
- Community activities being proposed
- Use of volunteers
- Use of technology to enhance staff efficiencies and link personnel to other resources
- Full time equivalent totals – FTE
- Number of support hours
- Staffing schedules need to be clear and easy to interpret
- Third shift staffing (awake vs. asleep)
- Plan on how staff will be trained and monitored to ensure consumer outcomes and health and safety needs are met.

**RATING SCALE GUIDELINES**

*Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3; a score of 4 as a midway between 3 and 5.*

1	2	3	4	5
Poor		Average		Excellent

**(1) POOR:**  
The proposed staffing for the program is not appropriate for the type of services and supports necessary to meet the needs of the people to be served. There are insufficient numbers of personnel, required professional staff are not available when needed and/or the proposed schedule compromises the ability of the program to safely meet all needs.

**(2)**

**(3) AVERAGE:**  
The proposed staffing generally meets the needs of the individuals to be served. There is evidence of staffing enhancements such as specialized training, on-site availability of professional resources, use of technology to link personnel and/or extraordinary and unique methods to incorporate volunteers as an enhancement.

**(4)**

**(5) EXCELLENT:**  
The proposed staffing for the program fully meets or exceeds the special needs of the people to be served. There is evidence of staffing enhancements such as specialized training, on-site availability of professional resources, use of technology to link personnel and/or extraordinary and unique methods to incorporate volunteers as and enhancement.

