1. **Question:** Approximately when would the coordinating site be chosen?

**Answer:** The contractor for the Coordinating Center will be selected on or about April 16, 2007, following receipt of proposals on March 16, 2007 and review by the team during the first two weeks of April.

2. **Question:** On page 14, under the heading of Appendices, Appendix 1 - Staffing Plan states a maximum number of 2 pages. If you include a job description for the three positions, you have already hit three pages, and if you include a resume you have more than that.

**Answer:** The page limit will be changed to the following.

Maximum Number of Pages: 10.

3. **Question:** For Appendix 7 - Subcontractor Profile Form(s), is there a page Limit?

**Answer:** There is no page limit.

4. **Question:** On page 9, footnote 1, is it the expectation that the contractor would obtain faculty from Level II Substance Abuse and Mental Health Services Administration (SAMHSA)-funded sites?

**Answer:** It is expected that the contractor will obtain any available resources such as expert faculty through working with the SAMHSA-funded sites, specifically Level 1 and II sites that have been established to disseminate evidence-based, trauma-focused practices across the country.

5. **Question:** In budgeting should you assume that at least part of the time you won’t be successful in securing resources through SAMHSA-funded
6. **Question:** If a Child Guidance Clinic is selected as the Coordinating Center, then they would not be eligible to also become a provider due to the conflict involved in the selection of participating teams. Is that the Department’s intent to intentionally exclude Child Guidance Clinics from applying to both RFPs?

**Answer:** There would be inherent conflicts if a child guidance clinic was selected as the Coordinating Center, and then applied to become a participating team. A Child Guidance Clinic could not be selected for both roles.

7. **Question:** With trauma-based CBT the dissemination of this model and training has been interesting because it is not as rigidly defined around training followed by strict QA protocols to measure model adherence to fidelity like many of the other evidence based practice models. Do you have a sense of what you are looking for in that regard because you specifically defined the three training sessions and some level of follow-up, but in the model basically people are trained outside of incorporating the learning collaborative approach and then are sort of given the blessing to go out and practice. What are you looking for with this?

**Answer:** The Quality Assurance consultation process is not yet defined. One of the deliverables is the Evaluation Plan that will address data to be collected and the methods of data collection. Further definition will be contained in the final Evaluation Report. It is expected that the Contractor will work with the Expert Faculty and the Department to examine and define the quality assurance process and measures.

8. **Question:** So you are open to ideas in ways of approaching that?

**Answer:** Yes.

9. **Question:** The due date of March 9, 2007 is a very tight turn around time. Is sites? (See preceding question)

**Answer:** We do not expect that all of the resources necessary to administer the Coordinating Center and the Learning Collaborative Model will be available through the SAMHSA-funded sites. We do expect that the selected contractor will demonstrate their capacity to maximize these federally funded resources, to the extent available. The results should be reflected in the budget.
there any flexibility with that date?

**Answer:** It was decided that the due date would be extended to March 16, 2007.

**Questions received via e-mail**

1. **Question:** Does the applicant need to have an existing relationship with an academic institution?

   **Answer:** No, the applicant does not need to have an existing relationship with an academic institution, however, the applicant must demonstrate a successful history of collaborating with multidisciplinary stakeholders such as national organizations, community-based behavioral health providers, and academia.

2. **Question:** Can the 8 – 10 person team consist of several staff members from different agencies? (this would provide the broad spectrum of ages for the training.) (Client focus is 4 – 18 years).

   **Answer:** No, the team members must come from the same agency. The intent is to disseminate the practice within the agency, which will require a comprehensive agency-wide plan relating to the adoption and replication of the practice. Also, it is expected that the team members will work together in an intensive manner each day to test ideas and implement the practice in a single treatment setting.

3. **Question:** Can the proposal be submitted as a collaborative effort by two different agencies or does one agency need to submit?

   **Answer:** One agency must submit the proposal.

**END**
Trauma-Focused Cognitive Behavioral Therapy

COORDINATING CENTER

Learning Collaborative Model

REQUEST FOR PROPOSALS

February 2, 2007

REVISED: February 16, 2007

State of Connecticut
Department of Children and Families
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REQUEST FOR PROPOSALS (RFP)

PROGRAM TITLE
Trauma-Focused Cognitive Behavioral Therapy - Coordinating Center – Learning Collaborative Model

PROCUREMENT SCHEDULE
The following table summarizes activities and associated dates for this procurement. These activities and dates are detailed in the relevant RFP sections below:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Date Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>RFP Planning and Development</td>
<td>Initiated December 2006</td>
</tr>
<tr>
<td>RFP Published</td>
<td>February 2, 2007</td>
</tr>
<tr>
<td>TA/Bidders Conference</td>
<td>February 16, 2007 at 9:00 AM</td>
</tr>
<tr>
<td>Deadline for Receipt of Required Letter of Intent</td>
<td>February 21, 2007 at 4:00 PM</td>
</tr>
<tr>
<td>Deadline for Submission of Questions</td>
<td>February 21, 2007 at 4:00 PM</td>
</tr>
<tr>
<td>Questions and Answers Posted to Website</td>
<td>On or about February 28, 2007</td>
</tr>
<tr>
<td>Deadline for Receipt of Proposals</td>
<td>March 16, 2007 at 4:00 PM</td>
</tr>
<tr>
<td>Anticipated Date of Contract Execution</td>
<td>On or about May 4, 2007</td>
</tr>
</tbody>
</table>

OVERVIEW
The Department of Children and Families (Department/DCF) is pleased to announce a Request for Proposals to implement the Learning Collaborative Model focused on the adoption and implementation of Trauma-Focused Cognitive Behavioral Therapy (TF-CBT) during State Fiscal Years 2007 through 2009. The Department seeks an organization to serve as the Coordinating Center for the purpose of administering the Learning Collaborative Model. The intent is to promote the dissemination and adoption of the empirically-supported practice at selected outpatient psychiatric clinics for children.

There have been significant scientific advances in recent years to identify effective practices in the behavioral health arena. However, front-line practitioners face numerous, complex challenges in learning, implementing and sustaining these practices. Training experiences alone are insufficient to achieve success. In order to replicate and sustain the evidence-based practices, an action-oriented, interactive learning process that involves studying, testing changes in the practice setting, observing the results and acting on what is learned is required. This collaborative learning process brings together multidisciplinary teams to acquire knowledge, practice new skills, share progress, and participate in follow-up coaching and consultation activities. It is an ongoing learning process that occurs over the course of nine to eighteen months.

The Learning Collaborative methodology was adapted from the Breakthrough Series Collaborative (BSC) approach developed in 1995 by the Institute for Healthcare Improvement. This quality improvement approach enables agencies to make dramatic improvements in a focused practice topic over a short period of time. An eight to ten person team comprised of clinicians, supervisors, senior leaders and family members or consumers work together to study, test and make changes to their entire system. The methodology applies the collective strengths and expertise
of team members and engages expert faculty for training, coaching, mentoring and consultation to support an agency-wide cultural transformation and successful replication of the evidence-based practice.

**SOURCE OF FUNDS**
The Coordinating Center will be funded by state dollars to be awarded through the Department based upon a competitive procurement process. Any awards will be contingent upon the continued availability of state funds.

**AMOUNT AND TERMS OF AWARD**
The amount and terms of the award will be negotiated with the selected contractor. The amount of the award shall not exceed $175,000, annually.

**PERIOD OF AWARD**
The selected contractor may enter into a contract for a period of up to three (3) years beginning on or about May 2, 2007. Ongoing funding will be contingent upon the performance of the awarded contractor and the continued availability of state funds.

**DISPOSITION OF PROPOSALS**
The Department reserves the right to reject any and all proposals, or portions thereof, received as a result of this request, or to negotiate separately any service in any manner necessary to serve the best interests of the Department. The Department reserves the right to contract for all or any portion of the scope of work contained within this RFP if it is determined that contracting for a portion or all of the work will best meet the needs of the Department.

**ELIGIBILITY**
Any Connecticut not-for-profit entity that works to improve the community-based behavioral health services system may apply.

The Applicant and any proposed subcontractors may not have a current licensing restriction or have been subject to DCF or other state agency licensing restriction within the last 6 months, nor may the Applicant have had a program terminated within the last three (3) years due to quality of care or other agency performance issues. A current investigation of Medicaid fraud or a judgment involving Medicaid fraud within the past five (5) years also excludes a provider from participation. Proposals from applicants who appear on the United States General Services Administration Excluded Parties List will not be considered.

**INSURANCE**
The Respondent will carry insurance (liability, fidelity bonding or surety bonding and/or other), during the term of this contract according to the nature of the work to be performed to “save harmless” the State of Connecticut from any claims, suits or demands that may be asserted against it by reason of any act or omission of the Respondent, sub-Respondent or employees in providing services hereunder, including but not limited to any claims or demands for malpractice. Certificates of such insurance shall be filed with the Department prior to the performance of services.

**AFFIRMATIVE ACTION**
All Respondents must complete the Bidder’s Commission on Human Rights and Opportunities (CHRO) Compliance Package and include with their RFP submission required documentation to give evidence of their compliance with certain nondiscrimination and affirmative action obligations pursuant to applicable Connecticut General Statutes. The Bidder’s CHRO Compliance Package is to be obtained from the DCF website: [www.ct.gov/dcf](http://www.ct.gov/dcf)

1. Click on “Forms”
2. The Bidder’s CHRO Compliance Package and Evidence of Nondiscrimination Form Guidance are found under the “Contracts Management” heading.


Successful respondents will be expected to comply with nondiscrimination requirements and any other required state and federal regulations. All awarded agencies will be required to submit an affirmative action plan prior to the execution of a contract.

**APPLICATION DEADLINE**

The contact person (see below) must receive one (1) original and ten (10) copies of each Respondent’s application(s) no later than **4 p.m., March 16, 2007**, at the following DCF location (see also “Application Instructions” section):

Marilyn E. Cloud, LCSW  
Department of Children and Families  
Bureau of Behavioral Health and Medicine  
505 Hudson Street – 8th Floor  
Hartford, CT 06106

Each copy must be complete, collated, and ready for reviewers. Please note that faxed and electronic versions of the application will not be accepted. Also, no applications will be accepted or considered for review after the due date and the time stated above.

**TECHNICAL ASSISTANCE / BIDDERS CONFERENCE**

A non-mandatory Technical Assistance (TA) / Bidders Conference is scheduled for **9 a.m., February 16, 2007**, at the following location:

Department of Children and Families  
Training Academy, 6th Floor, Room 4  
505 Hudson Street  
Hartford, CT 06106

Although attendance at the Technical Assistance meeting is not mandatory, please RSVP for the Technical Assistance meeting by calling, faxing, or e-mailing the contact person below. **NOTE:** Copies of the RFP will not be available at the TA meeting. Respondents are asked to bring a copy of the RFP with them to the TA for reference.

**LETTER OF INTENT**

A non-binding Letter of Intent is required. No application for funding will be accepted from any Respondent who has failed to submit a Letter of Intent within the specified time frame. Letters of Intent should be directed to and received by the person noted on the Letter of Intent form by **4 p.m., February 21, 2007**. Faxed or e-mailed copies of the Letter of Intent will be accepted. Please notify the DCF contact person identified on the Letter of Intent form if, within 24 hours of your having e-mailed or faxed your Letter of Intent to DCF, you do not receive a confirmation of its receipt.

**RFP CONTACT PERSON**

The Contact Person for this RFP is as follows:

Marilyn E. Cloud, LCSW  
Department of Children and Families
QUESTIONS
Questions concerning this RFP will be answered at the above-mentioned Technical Assistance Meeting/Bidders’ Conference. Answers to questions about this RFP will be responded to only at the Technical Assistance meeting and through the prescribed electronic “Questions and Answer” method and period. Subsequent questions regarding the RFP and its content must be received via email by 4 p.m. on February 21, 2007 and directed to Marilyn Cloud (marilyn.cloud@po.state.ct.us). The Department will post responses to these questions on The Department of Administrative Services (DAS) website (www.das.state.ct.us) on or about February 28, 2007.

Any form of ex parte contact regarding this RFP or any proposal being prepared or being considered under this RFP, whether directly or indirectly, is hereby strictly prohibited. This includes, but is not limited to, any contact with any DCF employees asking them for advice, information, or support. Violations may result in the rejection of any and all proposals submitted under this RFP by such respondent(s). Any inquiries or requests regarding the RFP must be submitted to the RFP Lead/Contact Person via the Technical Assistance/Bidder’s Conference and/or Question and Answer process noted herein.

PURPOSE AND GOAL
The purpose of the Learning Collaborative Model for TF-CBT is to increase access to and availability of trauma-specific, evidence-based treatment for Connecticut’s children, youth and their families. Each year thousands of children and adolescents are exposed to various types of trauma including, but not limited to: physical and sexual abuse; accidental or violent death of a loved one; violence in families and communities; and life-threatening illnesses and injuries. Traumatic stress often alters normal developmental processes and may lead to serious emotional and behavioral problems with long-lasting consequences. Timely and research-based effective interventions and services are necessary to address the negative impact of traumatic stress.

The primary goal of the Learning Collaborative Model is to advance the understanding, adoption and implementation of TF-CBT within outpatient psychiatric clinics for children across the state. The intent is to disseminate and sustain trauma-informed treatment in order to obtain positive outcomes for clients and to close the gap between what is known to be effective treatment and customary clinical practice that often excludes the application of scientific knowledge.

TARGET POPULATION
TF-CBT is a clinic-based, individual, short-term evidence-based treatment for children and adolescents, ages 4 to 18 who have behavioral or emotional problems that are related to traumatic life events. Multiple randomized, controlled clinical trials have demonstrated treatment efficacy for the target population. Treatment results in improvements in post-traumatic stress symptoms, depression, anxiety, externalizing behaviors, sexualized behaviors, trauma-related shame, and mistrust.

CAPACITY
It will be the responsibility of the successful applicant to administer the TF-CBT Learning Collaborative Model during the period of contract award. It is anticipated that at least two Learning Collaboratives will be provided, with the first one scheduled to commence during State Fiscal Year 2007. The Department will engage in a process to identify outpatient psychiatric clinics for children that may be interested in participating in a TF-CBT Learning Collaborative commencing in State Fiscal Year 2007. A maximum of six (6) participating Core Teams will be selected for each of the two planned Learning Collaboratives. In order to provide
geographically balanced representation that includes rural and urban sites, it is preferred that one team is selected from each of the following regions, to the extent possible.

1. Northwest Region – Torrington, Waterbury and Danbury Area Offices
2. Southwest Region - Bridgeport, Norwalk and Stamford Area Offices
3. North-Central Region - Manchester, Hartford, Middletown, Meriden, New Britain Area Offices
4. South-Central Region – New Haven Metro, Greater New Haven Area Offices
5. Eastern Region – Norwich, Willimantic Area Offices

Each clinic-based, eight to ten person team will include clinicians, supervisors, senior leaders, and family members or consumers. The teams will meet for approximately nine to twelve months. Initially, the teams will participate in a pre-work phase to prepare for the Learning Collaborative, followed by participation in three in-person training sessions, interspersed with three Action Periods that require studying, testing and implementing the practice within their respective clinics. Teams are expected to implement the Plan-Do-Study-Act (PDSA) Cycle to test ideas and techniques and share their findings with the entire collaborative to enhance learning for all participants. During the PDSA Cycles, continued learning will occur through teleconferences, video-conferences, e-mail listservs, web-based intranets, and ongoing group consultation with expert faculty that will be arranged by the contracted Coordinating Center.

MODEL DESCRIPTION
The Learning Collaborative Model focuses on a quality improvement methodology that promotes system-wide transformation and rapid adoption of evidence-based practices in outpatient community-based behavioral health settings. The approach has been adapted from a model developed by the Institute for Healthcare Improvement in 1995. Known as the Breakthrough Series Collaborative, a learning system was created to bring together a large number of diverse team members from hospitals or clinics to seek improvements in a focused topic area. Health care organizations succeeded in making real, system-level changes that led to dramatic improvements in the quality of care. Subsequently the National Child Traumatic Stress Network tested and adapted this model to disseminate evidence-based trauma-focused practices.

The initial collaborative found that a single or one-time training event that involves clinicians and/or supervisors with a focus on education, knowledge and skill-building often fails to achieve a sustained new way of delivering research-based practices. It is also necessary that those being trained understand, accept and are supported in applying what they have learned to their clinical setting. This requires an assessment of what needs to be changed on an organizational level to support the adoption of a new practice. The Learning Collaborative Model utilizes a learning process that brings together teams from multiple sites to work on improving a process, practice, or system, with team members learning from their collective experiences and challenges. Each team works together to test changes using the Plan-Do-Study-Act (PDSA) method, and then shares their findings with and learns from other teams. The teams are guided and mentored by expert faculty. Typically this occurs over the course of nine to twelve months with successful replication on-site taking up to eighteen months.

SCOPE OF WORK
The selected applicant will be responsible for providing the leadership, planning, management and evaluation for the TF-CBT Learning Collaborative Model. Through the establishment of a Coordinating Center, the contractor will plan, organize, coordinate, direct and manage the activities and tasks necessary to integrate TF-CBT as a primary treatment at outpatient psychiatric clinics for children. It is expected that the selected applicant will play a critical leadership role to advance evidence-based thinking, continuous quality improvement and organizational changes to assure effective, quality care.

Responsibilities include: overall management and oversight of the Learning Collaborative; selection of an expert team to design and conduct the learning sessions and provide consultation during the interim periods; preparatory work with participating teams to assure readiness and acquire knowledge of the intervention; development and
oversight of communication strategies within and across teams to share learning; and an evaluation plan that measures outcomes. The contractor will work in partnership with the National Child Traumatic Stress Network and the federally grant-funded Category II Centers, as applicable, to seek consultation relative to planning and evaluating, and to secure expert faculty and other resources, as available. Further, the contractor will work collaboratively with the Department to select participating clinics and define their roles, responsibilities and expected outcomes.

ACCOUNTABILITIES

- Establish a Coordinating Center to plan, organize, direct and manage the activities and tasks necessary to integrate and sustain TF-CBT at the selected outpatient psychiatric clinics for children;
- Provide staff, as necessary to support the Coordinating Center to include, at a minimum a Project Manager, Evaluator, and Administrative Assistant (Project Manager and Evaluator may be the same person);
- Participate in the review of applications and selection of Core Teams, in partnership with staff from the Department;
- Recruit and execute agreements with expert faculty, preferably one faculty person per role, specifically clinician, supervisor, and senior leader/family member or consumer who will assume responsibility to:
  - Identify and develop the content and learning objectives for the Learning Collaborative;
  - Teach the clinical competencies of TF-CBT;
  - Teach the Learning Collaborative Model;
  - Provide information on successful strategies for adopting and implementing TF-CBT;
  - Provide coaching and mentoring to teams at the Learning Sessions;
  - Provide coaching and mentoring to teams throughout the Action Periods; and
  - Facilitate ongoing communication and peer-to-peer learning between teams and faculty;
- Obtain consultation, technical assistance and other pertinent resources such as communication networks, tools and templates from the National Child Traumatic Stress Network (NCTSN), as needed, available and at reasonable cost;
- Work collaboratively with the 70-member NCTSN including Level II sites to seek available, pertinent resources such as expert faculty, consultation, and technical assistance, as available and at reasonable cost;
- Identify and lead the members of the planning team, as follows:
  - Host the Expert Meeting to identify and develop the content and learning objectives; and
  - Facilitate the development of the Change Package to provide the framework for guiding the work of the teams to:
    - Identify the learning objectives and related materials;
    - Identify the changes to be addressed that include: organizational readiness for implementation; monitoring and evaluating of clinical processes and outcomes; clinical supervision; and effective family and child engagement; and
    - Specify the changes and improvements that each clinic is expected to achieve;
- Provide reimbursement to cover travel/lodging/other associated expenses for the expert faculty to participate in the three (3), two-day Learning Sessions, as necessary;
- Organize, coordinate arrangements and host the three (3), two-day Learning Sessions:
  - Obtain training sites;
  - Schedule training dates and times;
  - Schedule expert faculty;
  - Develop the agenda;
  - Notify the participating Core Teams;
  - Provide training materials including instructional aides, training equipment, refreshments, and other supplies;

---

1 In the first instance, secure expert faculty, as available and without charge through Level II Substance Abuse and Mental Health Services Administration (SAMHSA)-funded sites
Assure the delivery of training, address practice issues, foster collaborative problem-solving amongst team members, and facilitate sharing of progress reports and lessons learned; and

- Develop, disseminate, and assess evaluation forms.

- Support the continued learning process for teams during Action Periods and the PDSA Cycles by arranging for teleconferences, video-conferences, e-mail listservs, web-based intranets, and ongoing group consultation with expert faculty;

- Develop and implement a formal evaluation study to assess the impact of the Learning Collaborative Model:
  - Identify data elements to be collected consistently across participating clinics;
  - Establish methods and timeframes for data collection;
  - Manage the data collection process;
  - Evaluate numbers served, fidelity measures, training, supervisory practices, family engagement and satisfaction; and

- Prepare a final report that identifies the findings and evaluates the project.

**PROJECT DELIVERABLES**
The selected contractor will be responsible for providing the following deliverables for the Learning Collaborative that will be commenced during State Fiscal Year 2007. Due dates for deliverables relating to subsequent Learning Collaboratives will be negotiated with the contractor at a later date.

<table>
<thead>
<tr>
<th>PRODUCT</th>
<th>DESCRIPTION</th>
<th>DUE DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Implementation Plan</td>
<td>- Identifies tasks, goals, objectives, action steps, timelines and responsible parties</td>
<td>Date of submittal of proposal</td>
</tr>
<tr>
<td>2. Staffing Plan – Coordinating Center</td>
<td>- Identifies positions (staff, by name, if known by proposal submittal date), roles, responsibilities, and tasks *Include Job Descriptions (and resumes, if known by proposal submittal date) in Appendix 2</td>
<td>Date of submittal of proposal</td>
</tr>
<tr>
<td>3. Master List - Faculty Members</td>
<td>- Includes names, credentials, addresses, contact information* *Include sub-contracts, letters of agreement/memorandum of agreements and Understanding in Appendix 2</td>
<td>30 days following execution of contract</td>
</tr>
<tr>
<td>4. Curriculum Vitae - Faculty Members</td>
<td>- Summarizes educational and academic backgrounds as well as teaching and research experience, publications, presentations, awards, honors, affiliations and other related details</td>
<td>30 days following execution of contract</td>
</tr>
<tr>
<td>5. Change Package</td>
<td>- Describes learning content and objectives, values and primary components</td>
<td>60 days following execution of contract</td>
</tr>
<tr>
<td>6. Schedule of Learning Sessions</td>
<td>- Identifies locations, dates, and assigned faculty staff for each of the three (3) two-day sessions</td>
<td>30 days following execution of contract</td>
</tr>
</tbody>
</table>
7. Communication Plan
• Describes communication mechanisms and processes
• 60 days following execution of contract

<table>
<thead>
<tr>
<th>PRODUCT</th>
<th>DESCRIPTION</th>
<th>DUE DATE</th>
</tr>
</thead>
</table>
| 8. Evaluation Plan | • Identifies data to be collected and evaluated at each clinic site  
• May include but is not limited to: # of therapists; # of clients served; model fidelity; training, supervision and support; family engagement and satisfaction  
• Specifies method of data collection and submission |          |
| 9. Budget | • Identifies all costs with accompanying detailed narrative, per Department budget requirements as outlined under Budget and Budget Narrative section below. | Date of submittal of proposal |
| 10. Final Report | • Summarizes data relative to monthly metrics for each participating team, i.e. # of therapists; # of clients served; model fidelity; training, supervision and support; family engagement and satisfaction  
• Summaries data, lessons learned, and overall findings | 180 days following date of third Learning Session |

MULTICULTURAL AND LINGUISTICALLY COMPETENT TRAINING AND CARE
The selected contractor must have the ability to: a) provide culturally and linguistically competent training for the participants; and b) assure multicultural competence relative to the TF-CBT evidence-based practice and the target population. Bi/Multilingual and/or cross cultural communication capabilities are required for training purposes. The use of interpretive services is permitted, as necessary. Additionally, the selected contractor must describe how the TF-CBT practice meets the cultural and linguistic needs of the children, youth and families to be served.

APPLICANT QUALIFICATIONS
The applicant must have strong leadership skills, the ability to influence organizational and cultural change initiatives, and a commitment to advance the dissemination of evidence-based behavioral health practices for children, youth and their families. The successful applicant must possess the ability to instill a vision of high quality behavioral health care through the adoption of evidence-based thinking and a new approach to practice. The successful applicant must possess knowledge of and familiarity with the Learning Collaborative Model and TF-CBT. It is preferred that the successful applicant has extensive knowledge of and strong relationships with the National Child Traumatic Stress Network.
The successful applicant must demonstrate competencies in the following areas:

- An understanding of child traumatic stress and the impact on growth and development;
- Knowledge of and familiarity with effective trauma-specific treatments including TF-CBT;
- An understanding of the barriers and complexities that hinder translating scientific research findings into the real world of service delivery in outpatient settings;
- An understanding of the stages of change, as well as the processes and structures necessary to achieve significant and sustained organizational transformations;
- Experiences in developing and participating in collaboratives that involve multidisciplinary partners including, but not limited to, national organizations, academia, community-based behavioral health providers and other stakeholders relating to continuous quality improvement for clinical practices and interventions;
- Development and implementation of quality assurance practices that support the provision of culturally and linguistically competent services;
- Techniques and strategies for approaching and engaging practitioners;
- Knowledge and application of continuous quality improvement principles and methodologies;
- Knowledge and application of the principles of interactive adult learning;
- Experiences in planning and implementing evidence-based and/or promising practices including assessing agency readiness, understanding the necessity of clinical supervision and consultation, monitoring fidelity, and evaluating outcomes;
- An understanding of and capacity to develop metrics and evaluate project results;
- Leadership and communication skills that support team members in adopting and maintaining effective practices; and
- Experiences in managing education and training for behavioral health professionals.

BUDGET AND BUDGET NARRATIVE:
The Respondent must submit a budget and corresponding narrative that reflects all operating costs for the first Learning Collaborative that commences during State Fiscal Year 2007 and continues into State Fiscal Year 2008. Budgets for subsequent Learning Collaboratives will be negotiated through the contract process. Budgets must include all required staff positions and model components outlined in this RFP. Applicants should not submit proposals reflecting an annual DCF funding level above that which is identified in this RFP.

PREPARING A RESPONSIVE APPLICATION:
Respondents will note that a variety of questions and submission requirements have been included throughout the RFP. These questions and submission requirements are repeated below. Respondents must review the RFP in total to ensure that these required questions and response elements are adequately and sufficiently addressed based upon the context of the respective service(s) and sections within this RFP.

Respondents should carefully read and familiarize themselves with the section titled “APPLICATION INSTRUCTIONS and REVIEW INFORMATION.” This section details the format and the appendices requirements. The Department has the right to reject submitted applications that do not conform to these requirements.

APPLICATION QUESTIONS:
The section immediately below lists all the questions to which Respondents must address in their submission. The Respondent is strongly encouraged to answer these questions within the context of the information contained in each sub-heading and corresponding sections from which it has been taken. There is often additional detail with the sub-heading and corresponding sections that explicates the breadth and depth of information that a successful Respondent will provide. This approach to submitting information will better ensure that the submitted answers and information fully address the components of this guidance.
1. Provide a brief overview of your organization including years in operation, mission, philosophy, vision, and the current range of services and/or activities provided.

2. Provide an organizational chart that identifies the larger organizational structure and governance as well as the staff that will be assigned to the project. Provide job descriptions and resumes for each staff person.

3. Provide a detailed example of one project that illustrates your organization’s ability to effectively lead and manage a major change initiative that involves extensive collaboration with an array of multidisciplinary professionals as well as obtaining “buy-in” from service providers.

4. Describe your organization’s understanding of the Learning Collaborative methodology and its application to training for TF-CBT.

5. Describe your organization's experiences with and current capacity for planning and overseeing training for evidence-based and/or promising practice models in community-based settings including but not limited to: consultation with model developers, trainers and consultants; monitoring and measuring fidelity; quality assurance activities; and evaluation studies.

6. Provide a detailed description of your agency's knowledge regarding the key challenges that may influence the adoption and sustainability of TF-CBT within outpatient psychiatric clinics for children.

7. Describe your organization’s plan for effectively engaging behavioral health administrators, practitioners, and consumers or family members.

8. Describe your organization’s plan for collaborating with the National Center for Child Traumatic Stress Network and any Network Members.

9. Identify any sub-contracts, Memorandums of Understanding, Memorandums of Agreements, and/or third party arrangements and organizations that will be involved in fulfilling the proposal requirements and provide detailed information for each of these entities including their roles, functions and deliverables.

10. Describe your organization’s plan for assuring that the cultural and linguistic needs of those trained will be met, and that the evidence-based practice will meet the cultural and linguistic needs of the target population.

**APPLICATION INSTRUCTIONS AND REVIEW INFORMATION:**

**APPLICATION FORMAT:**
Submitted applications must conform to the following format requirements:

<table>
<thead>
<tr>
<th>Page Limit</th>
<th>15 (Excludes Cover Page, Table of Contents, Application Budget, Application Budget Narrative, and Appendices)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submission Format</td>
<td>Submit clipped copies (no binders, please)</td>
</tr>
<tr>
<td>Font Size</td>
<td>12 pt</td>
</tr>
<tr>
<td>Font Type</td>
<td>Times New Roman</td>
</tr>
<tr>
<td>Paper Size</td>
<td>8.5 inch x 11 inch (portrait)</td>
</tr>
<tr>
<td>Margins</td>
<td>1 inch all sides</td>
</tr>
<tr>
<td>Line Spacing</td>
<td>Double</td>
</tr>
</tbody>
</table>

The Respondent will include in their application packet the following, in the order identified below:
APPENDICES:
The following appendices are to be included with the proposal:

| Appendix 1 | Staffing Plan - Coordinating Center with Job Descriptions (Staff Resumes, if known) |
| Appendix 2 | Implementation Plan |
| Appendix 3 | Letters of Agreement/Memorandum of Agreements and Understanding* |
| Appendix 4 | Evaluation Plan |
| Appendix 5 | Organizational Structure/Chart |
| Appendix 6 | Board of Directors (annotated with race/ethnicity, gender and town of residence) |
| Appendix 7 | Subcontractor Profile Form(s) |
| Appendix 8 | Current Certificates of Accreditation and Licensure |
| Appendix 9 | Consulting Agreement Affidavit** |
| Appendix 10 | Notification to Bidders Form** (Bidder’s CHRO Compliance Package) |
| Appendix 11 | Evidence of Nondiscrimination Form and Applicable Evidence material** (Bidder’s CHRO Compliance Package) |
| Appendix 12 | Employment Information Form** (Bidder’s CHRO Compliance Package) |
| Appendix 13 | SEEC SC3 |
| Appendix 14 | SEEC SC 3A (submit copy to DCF and send a copy directly to SEEC) |

Please note: Attachments other than those appendices defined above are not permitted. In addition, these appendices are not to be used to extend or replace any required section of the application.

* Letters of Agreements are defined as documents setting forth the concrete service(s) (e.g., Staff, Training, Space, etc.) which an agency, organization or individual will be providing for the proposed program. Letters of Support are not to be included. Point deductions may occur for the inclusion of Letters of Support or their being embedded within a Letter of Agreement.

**Submissions are to include the above identified properly executed forms, materials and affidavits. Applications lacking these documents may be rejected from review and award consideration.

REVIEW CONTEXT:
The review of the applications will be standardized, including but not limited to the following elements:

1. The Respondent has complied with all application deadlines, as described in RFP. The Respondent has also complied with the application format and utilization of DCF application materials, as described in RFP and/or at the Technical Assistance/ Bidders’ Conference.
2. The Respondent demonstrates the ability to provide effective leadership and overall management skills to advance the understanding, practice and replication of TF-CBT.

3. The Respondent’s agency structure is sufficient to support the Learning Collaborative Model by providing adequate administrative support and model resources, and meets all of the organizational qualifications.

4. The Respondent’s proposal clearly and satisfactorily addresses how the Respondent will provide the services described in the RFP including but not limited to satisfactorily answering all the questions within this guidance.

5. The Respondent’s proposal demonstrates the ability to provide training that meets the cultural and linguistic needs of the staff as well as the identified population to be served.

6. The Respondent’s proposal demonstrates the ability to work effectively with the Department, community providers, national organizations, expert trainers, and other resources.

7. The Respondent has submitted a realistic and cost-effective budget. Preference will be given to Respondents who can demonstrate a quality and cost effective budget consistent with the requirements promulgated, including but not limited to the acquisition of available resources, without cost from the National Child Traumatic Stress Network and its affiliated network members.

REVIEW PROCEDURES:
The Review Team, comprised of staff from the Coordinating Center, the Department and other stakeholders will review each application to determine whether or not the responses meet the criteria specified in the RFP.

The Department is under no obligation to award the contract to the applications with the highest scores or, for example, the proposals offering to provide the service at a lower amount than other Respondents. The review panel will use numerical point measures as a guide, but these measures are not binding on the review panel. The recommendations of the review panel are based on a wide range of considerations and are not limited to point weight score or the relative costs of the proposals. The goal of the Department is to procure the highest quality services in the most fiscally responsible way.

Following the final selection, a contract will be negotiated and developed with the Respondent that details the Learning Collaborative model structure, services, budget, rate, performance based criteria and reporting requirements. No financial obligation by the State can be incurred until a contract is fully executed.

<table>
<thead>
<tr>
<th>DOMAINS</th>
<th>REVIEW CRITERIA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Bidder Qualifications</td>
<td>• Organization’s purpose, roles, responsibilities, overall organizational structure and resources support RFP requirements</td>
</tr>
<tr>
<td></td>
<td>• Demonstrated leadership skills</td>
</tr>
<tr>
<td></td>
<td>• Prior successful experiences organizing and managing large-scale, innovative initiatives that involve organizational and cultural changes as well as continuous quality improvement</td>
</tr>
<tr>
<td></td>
<td>• Demonstrated history of successful relationships with a broad array of research and academic institutions, behavioral health service providers,</td>
</tr>
</tbody>
</table>
| 2. Project Understanding | • Understanding of child traumatic stress  
• Knowledge of trauma-specific treatments and implications for training providers  
• Understanding of factors that support and impede the adoption and sustainment of evidence-based practices  
• Understanding of the Learning Collaborative methodology and implications for training behavioral health providers  
• Previous experiences and success relative to disseminating evidence-based thinking, evidence-based and/or promising practices |
|--------------------------|-----------------------------------------------------------------------------------|
| 3. Implementation Plan   | • Staffing Plan & Schedule include adequate resources and support high quality, timely training, coaching and mentoring  
• Communication Plan identifies adequate resources to support the continued learning process  
• Evaluation Plan adequately addresses metrics, data collection method and process, fidelity measures, supervisory practices, family engagement and satisfaction  
• Demonstrated linkages with NCTSN  
• Demonstrated linkages with NCTSN members |
| 4. Cultural & Linguistic Competency | • Demonstrated understanding of the culturally and linguistically diverse target population  
• Plan to effectively provide culturally and linguistically competent training and follow-up consultation |
| 5. Fiscal Accountability  | • Demonstrated reasonable costs  
• Sufficient resources to meet the needs of participating teams including but not limited to: communication mechanisms and procedures; expert trainers and consultants; training facilities  
• Demonstrated capacity to maximize resources from NCTSN  
• Demonstrated capacity to maximize resources from NCTSN members |

**GENERAL PROPOSAL NOTICES AND REQUIREMENTS**

**A. Evaluation and Selection**

It is the intent of the Department to conduct a comprehensive, fair and impartial evaluation of proposals received in response to this procurement. Only proposals found to be responsive to the RFP will be evaluated and scored. A
responsive proposal must comply with all instructions listed in this RFP. Responsive proposals shall remain valid for possible award by the Department for a period of up to 12 months after the RFP’s closing date.

B. Contract Execution
The pursuant contract developed as a result of this RFP is subject to Department contracting procedures, which includes approval by the Office of the Attorney General. Please note that contracts are executory and that no financial commitments can be made until, and unless, the contracts are approved by the Attorney General.

C. Applicant Debriefing
The Department will notify all applicants of any award issued by it as a result of this RFP. Unsuccessful applicants may, within thirty (30) days of the signing of the resultant contract, request a meeting for debriefing and discussion of their proposal by contacting the DCF Contact Person. Debriefing will not include any comparisons of unsuccessful proposals with other proposals.

D. Conditions
Any prospective applicants must be willing to adhere to the following conditions and must positively state them in the proposals:

1) **Conformance with Statutes**: Any contract awarded as a result of this RFP must be in full conformance with statutory requirements of State of Connecticut and the Federal Government.

2) **Ownership of Subsequent Products**: Any product, whether acceptable or unacceptable, developed under a contract awarded, as a result of this RFP is to be sole property of the Department unless stated otherwise in the RFP or contract.

3) **Timing Sequence**: Timing and sequence of events resulting from this RFP will ultimately be determined by the Department.

4) **Oral Agreement**: Any alleged oral agreement or arrangement made by an applicant with any agency or employee will be superseded by a written agreement.

5) **Amending or Canceling Requests**: The Department reserves the right to amend or cancel this RFP, prior to the due date and time, if it is in the best interest of the Department and the State.

6) **Rejection for Default or Misrepresentation**: The Department reserves the right to reject the proposal of any applicant in default of any prior contract or for misrepresentation.

7) **Department’s Clerical Errors in Award**: The Department reserves the right to correct inaccurate awards resulting from its clerical errors.

8) **Rejection of Qualified Proposals**: Proposals are subject to rejection in whole or in part if they limit or modify any of the terms and conditions and/or specifications of the RFP.

9) **Applicant Presentation of Supporting Evidence**: An applicant, if requested, must be prepared to present evidence of experience, ability, service facilities, and financial standing necessary to satisfactorily meet the requirements set forth or implied in the proposal.

10) **Changes to Proposal**: No additions or changes to the original proposal will be allowed after submittal. While changes are not permitted, clarification at the request of the agency may be required at the applicant’s expense.
11) **Collusion:** By responding, the applicant implicitly states that they are submitting a separate response to the RFP, and is in all respects fair and without collusion or fraud. It is further implied that the applicant did not participate in the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no employee of the Department participated directly or indirectly in the applicant's proposal preparation.

**E. Proposal Preparation Expense**
The State of Connecticut and the Department assume no liability for payment of expenses incurred by applicants in preparing and submitting proposals in response to this solicitation.

**F. Incurring Costs**
The Department is not liable for any costs incurred by the applicant prior to the effective date of a contract.

**G. Freedom of Information**
Due regard will be given to the protection of proprietary information contained in all proposals received. However, applicants should be aware that all materials associated with this RFP are subject to the terms of the Freedom of Information Act, the Privacy Act, and all rules, regulations and interpretations resulting there from. It will not be sufficient for applicants to merely state that the proposal is proprietary in nature and not therefore subject to release to third parties. Those particular pages or sections, which an applicant believes to be proprietary, must be specifically identified as such. Convincing explanation and rationale sufficient to justify each exception from release consistent with Section 1-210 of the Connecticut General Statutes must accompany the proposal. The rationale and explanation must be stated in terms of the prospective harm to the competitive position of the Applicant that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the above-cited statute. In any case, the narrative portion of the proposal may not be exempt from release. Between the applicant and the Department, the final administrative authority to release or exempt any or all material so identified rests with the Department.

**H. Gratuities and Gifts**
The applicant warrants that no state appropriated funds have been paid or will be paid by or on behalf of the applicant to contract with or retain any company or person, other than bona fide employees working solely for the applicant, to influence or attempt to influence an officer or employee of any state agency in connection with the awarding, extension, continuation, renewal, amendment, or modification of this agreement, or to pay or agree to pay any company or person, other than bona fide employees working solely for the applicant, any fee, commission, percentage, brokerage fee, gift or any other consideration contingent upon or resulting from the award or making of this Agreement.

By submitting a response for selection and/or award consideration to this procurement, the applicant certifies that no elected or appointed official or employee of the State of Connecticut has or will benefit financially or materially from this contract. 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 applicant/contractor or its agents or employees.

In general, no one doing business with or seeking business from a state or quasi-public agency may give a gift to an official or employee of that agency. Connecticut's gift ban is strict, but has some exceptions. For example, under the Ethics Code, you may give: (1) food and drink up to $50 per person per year, if the person paying, or his or her representative, is in attendance; and (2) tangible gifts up to $10 per item up to $50 per person per year. Also exempt are certain items such as informational materials, or plaques costing less than $100. For a complete list of the Code's gift exceptions, consult Conn. Gen. Stat. § 1-79(e) or contact the Office of State Ethics.
Gifts for "major life events," including a wedding or the birth of a child, which were previously exempt from the gift ban, are now subject to the strict gift limits outlined above if the gifts are provided by any individual or entity doing business with or seeking business from the state.

I. Disclosure of Consulting Agreements
A consulting agreement affidavit must accompany submissions for the purchase of goods and services with a value of $50,000 or more in a calendar or fiscal year, pursuant to Section 51 of Public Act 05-287. All such submissions must be accompanied by an affidavit in which the applicant discloses any agreement retaining the services of a consultant to assist in the applicant's participation in the procurement process. For additional information regarding the types of consulting agreements that must be disclosed in the affidavit and the required content and form of the affidavit, please see the attached "Consulting Agreement Affidavit."

J. Campaign Contribution(s)
The awarded applicant will be required to disclose the campaign contribution(s) to a candidate for statewide public office or the General Assembly that its principals and key personnel who participated directly, extensively and substantially in the preparation of the bid or proposal made during the two-year period preceding the execution of the contract resulting from this competitive procurement.

Effective December 31, 2006, "principals" of state contractors and prospective state contractors are prohibited from donating and soliciting contributions to, or for the benefit of, any committee of a candidate for statewide office, any political committee authorized to make contributions to any such candidate, or any party committee. See Section 9-333n(g) of the General Statutes.

All applicants for this solicitation are required to complete State Election Enforcement Commission Affidavit SC 3 (Campaign Contribution Restriction) and Form SC 3 A (List of Principals).

K. Bidder's Commission on Human Rights and Opportunities (CHRO) Compliance Package
The Bidder's CHRO Compliance Package sets forth certain obligations on State agencies, as well as contractors doing business with the State of Connecticut to ensure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons. As required by Connecticut General Statute § 4a-60, the following forms, and applicable evidencing material, must accompany bids or proposals:

1. Notification to Bidders Form;
2. Evidence of Nondiscrimination Form and applicable evidencing material; and
3. Employment Information Form.

Administrative Expectations
Please see Exhibit A to view the terms and conditions for DCF funded contractors. Standard State of Connecticut contract requirements are available at the following Office of Policy and Management website:

http://www.opm.state.ct.us/finance/pos_project/contract.htm
应用预算和叙述性说明

**Contractor:** _______________________________

**CATEGORIES**

**A. Personnel**

<table>
<thead>
<tr>
<th>Job Title</th>
<th>Name</th>
<th>Project role or activity</th>
<th>FTE</th>
<th>Salary Requested</th>
</tr>
</thead>
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<tr>
<td></td>
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</table>

Personnel subtotal =

**B. Fringe Benefits**

Rate = ____%

Fringe Benefits Subtotal =

**C. Travel**

Include purpose and costs
Note: Mileage reimbursement may not exceed the State reimbursement rate of $.445/mile

Travel subtotal =

**D. Supplies**

Supplies subtotal =

**E. Contractual Costs**

Include name of subcontractor, hourly rate and number of hours

Contractual subtotal =

Total Direct Charges (sum of A-E)

**Indirect Costs** Rate = ____%

List items that make up indirect costs, e.g., facility costs, maintenance, administrative or support staff not directly assigned to project

Total Indirect =

TOTAL
CALCULATION OF FUTURE BUDGET PERIODS  
(based on first 12-month budget period) 

Increases or decreases in the future years must be explained and justified and no cost of living increases will be honored.

<table>
<thead>
<tr>
<th></th>
<th>First 12-month Period</th>
<th>Second 12-month Period</th>
<th>Third 12-month Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fringe Benefits (%)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Travel</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Supplies</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contractual</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Direct Costs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indirect costs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL COSTS</td>
<td></td>
<td></td>
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</tbody>
</table>
Consulting Agreement Affidavit

Consulting agreement affidavit to accompany state contracts for the purchase of goods and services with a value of $50,000 or more in a calendar or fiscal year, pursuant to Section 51 of Public Act 05-287.

This affidavit is required if a bidder or vendor has entered into any consulting agreements whereby the duties of the consultant include communications concerning business of such state agency, whether or not direct contact with a state agency, state or public official or state employee was expected or made. Pursuant to Section 51 of P.A. 05-287, “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 chapter 10 of the general statutes as of the date such affidavit is submitted in accordance with the provisions of this section.

I, [Type/Print Name, Title and Name of Firm or Corporation], hereby swear that I am the chief official of the bidder or vendor of the Contract or authorized to execute such Contract. I further swear that I have not entered into any consulting agreement in connection with such contract, except the agreements listed below:

Contractor’s Name, Title and Firm or Corporation:

Terms of Consulting Agreement (Date of Execution, Amount, Expiration Date):

Brief Description of Services Provided (Purpose, Scope, Activities, and Outcomes):

☐ Yes ☐ No Is the Consultant a former state employee or public official?
   If yes, provide the following information about the former state employee or public official:
   • Former Agency:
   • Date Such Employment Terminated:

Attach additional sheets if necessary. This affidavit must be amended if Contractor enters into any new consulting agreements during the term of this Contract

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

__________________________  __________________________
Signature                                      Date

Sworn and subscribed before me on this _________ day of ________, 200__

_____________________________________________________
Commissioner of the Superior Court
Notary Public
Bidder’s CHRO Compliance Package

The Bidder’s CHRO Compliance Package is to be obtained from the DCF website. This package contains the following forms:

1. Notification to Bidders Form;
2. Evidence of Nondiscrimination Form and applicable evidencing material; and
3. Employment Information Form.

The link for the Bidder’s CHRO Compliance Package is as follows:

www.ct.gov/dcf
Click on “Forms”
The Bidder’s CHRO Compliance Package is found under the “Contracts Management” heading

Guidance for completing the Evidence of Nondiscrimination Form can also be found on the DCF website:


Please note: Applications lacking the three above-mentioned forms and evidencing material will be rejected from award consideration.
LETTER OF INTENT
(MANDATORY and NON-BINDING)

Date: ______________

This is to advise you that our agency is planning to apply to the RFP entitled Trauma-Focused Cognitive Behavioral Therapy - Coordinating Center – Learning Collaborative Model.

<table>
<thead>
<tr>
<th>AGENCY NAME:</th>
</tr>
</thead>
<tbody>
<tr>
<td>AGENCY ADDRESS:</td>
</tr>
<tr>
<td>AGENCY CONTACT:</td>
</tr>
<tr>
<td>POSITION/TITLE:</td>
</tr>
<tr>
<td>TELEPHONE NUMBER:</td>
</tr>
<tr>
<td>FAX NUMBER:</td>
</tr>
<tr>
<td>EMAIL ADDRESS:</td>
</tr>
</tbody>
</table>

Letter of Intent must be received by February 21, 2007 at 4 p.m. via fax, e-mail, or hard copy. Letter of Intent should be directed to:

Marilyn E. Cloud, LCSW
Department of Children and Families
Bureau of Behavioral Health and Medicine
505 Hudson Street
Hartford, CT 06106

Fax: 860.566.8022
E-mail: Marilyn.Cloud@po.state.ct.us
Name of Agency: ____________________________

Address: __________________________________

Application Contact Person: _____________________

Contact Person Phone & Fax: _______________________

Contact Person Email Address: _______________________

Proposed DCF Funding Level: ________________________
| **SUBCONTRACTOR PROFILE**  
<table>
<thead>
<tr>
<th><em>(COMPLETE FOR EACH SUBCONTRACTOR)</em></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Legal Name of Agency:</strong></td>
</tr>
<tr>
<td><strong>Agency Contact Person:</strong></td>
</tr>
<tr>
<td><strong>Title:</strong></td>
</tr>
<tr>
<td><strong>Address:</strong></td>
</tr>
<tr>
<td><strong>Phone:</strong></td>
</tr>
<tr>
<td><strong>Email:</strong></td>
</tr>
<tr>
<td><strong>Amount of Subcontract:</strong></td>
</tr>
</tbody>
</table>

*Brief Description Of Services Provided By The Agency*

*Description of services to be provided related to the service/program*
EXHIBIT A
TERMS AND CONDITIONS
CONTRACTS WITH AGENCIES

THE FOLLOWING TERMS AND CONDITIONS ARE HEREBY MADE A PART OF THIS CONTRACT:

1. **Services to be provided**

   The contractor shall provide the services described for the consideration stated herein.

2. **Payments**

   The Department and the State of Connecticut assume no liability for payment under the terms of this contract until said contract is fully executed.

   Payments will be made as stated in this contract and will be contingent upon receipt and approval of all required reports in a timeframe established by the Department unless, in its sole discretion, the Department waives such a requirement.

   The Contractor further agrees to return to the Department any unexpended funds within thirty (30) days after the expiration of this contract, or within thirty (30) days after the termination of this contract by either party.

   The Department retains the right to adjust payments under this award to offset any unallowable expenditures or unexpended funds owed from a prior award or from a previously terminated grant award.

   Contract funds may not be expended prior to the starting date or subsequent to the termination date of this contract.

3. **Establishment of Policies and Procedures**

   The contractor assures that it will establish policies and provide procedures to assure sound fiscal control, effective management, and efficient use of contract funds. Fiscal control and accounting procedures will ensure proper disbursement and accounting of contract funds. Accounting procedures will provide for accurate and timely recording of receipt of funds by source, expenditures made from such funds, and unexpended balances. Controls will be adequate to ensure that expenditures charged to contract activities are for allowable purposes and documentation is readily available to verify that such charges are accurate.

4. **Reporting Requirements**

   The contractor agrees to provide the Department with such statistical, financial, and programmatic information as is deemed necessary by the Department for the purpose of determining payments, establishing Grant formulas, monitoring and evaluating programs, and establishing management information systems.

   The Department will be granted access at any reasonable time to the books and records pertaining to the program funded by this contract. Statistical reports shall be in the form prescribed by the Department.

5. **Subcontractors**

   No subcontract may be entered into by the contractor for execution of project activities described unless incorporated into the approved application or approved in advance by the Department.
The contractor will notify the Department of the name, address, telephone number and principal place of business of each subcontractor if contractor subcontracts any portion of the contract funds. The contractor shall make good faith efforts to employ minority business enterprises as subcontractors.

6. **Revisions to Program or Budget**

Any proposed program revisions in the program described which alters the nature or scope of such program shall not be implemented until approval has been received in writing from the Department.

The Department’s share in any line item expenditure, other than salaries, is limited to variance of 20% or $1,000.00, whichever is less, of the level budgeted for Departmental participation unless notice of such proposed variance is given by the contractor to the Department at the contractors earliest knowledge of such proposed variance and is accepted in writing by the Department. The Department’s share in salary expenses is limited to the positions described and amounts budgeted for Department participation unless prior notice of any variance is given by the contractor and accepted in writing by the Department.

7. **Funding Restrictions**

**Restrictions on Supplanting Funds**

It is understood and agreed by both the Department and the contractor that in the event the contractor receives funding from any source other than those detailed in the contract, which supplements or supplants the State share of expenses, for services provided for under this contract, the Department shall be advised of such funding within ten (10) days after the contractor receives notice of such funding.

Further, the contractor assures that contract funds will not be used to supplant Federal, State, or local funds, amount of funding that would, in the absence of these funds, be made available.

**Non-allowable Costs**

Funds allotted to the Contractor by Department shall not be used for capital expenditures, or depreciation thereof. This restriction shall not be interpreted to prevent routine maintenance, but no such funds shall be used for construction or renovation of buildings.

**Return of Funds**

Any funds owing to the Department due to unanticipated funds received by the contractor for the same services from other sources or unallowable expenditures shall be refunded by the contractor within 90 days within receiving notice from the Department. Any funds remaining unexpended upon the expiration of the contract will be returned to the Department within 90 days.

8. **Evaluation**

The contractor, including all other recipients of assistance under this contract, whether by subcontractor or sub grant, agrees to develop or enhance program evaluation strategy acceptable to the Department. The contractor further agrees to cooperate with the Department to:

a. determine whether program goals and objectives are attained;
b. collect and maintain project and client data;
c. supply project data to the Department or its designee; and
d. permit access by the Department, or its designee, to any and all project information.
9. Rights of Acknowledgment

The contractor shall acknowledge the Department’s support in all public statements, including annual reports, statements through the media, etc. to which State funds apply in whole or in part.

All records, assets, property, and documents of any nature including any program materials and curricula prepared or purchased by the contractor under this contract and subject to the terms of this agreement, is the property of the Department.

10. Confidentiality

The contractor shall abide by Connecticut General Statute 17a-28 regarding confidentiality of and access to records or communications which are identifiable to an individual serviced by and obtained through the contracted project.

11. Notice of Delay

If the program/project is not operational within 60 days of original starting date of the contract period, the contractor must report by letter to the Department the steps taken to initiate the project, the reasons for delay, and the expected starting date.

If the program/project is not operational in 90 days of the original starting date of the contract period, the contractor must submit a second statement to the Department explaining the implementation delay. Upon receipt of the 90-day letter, the Department reserves the right to cancel the contract, or where extenuating circumstances exist, the Department may extend the implementation date of the program/project past the 90-day period.

12. Termination for Default or for Convenience of the State

The performance of work under the contract may be terminated by the State of Connecticut in accordance with this clause in whole, or from time to time in part:

a. Whenever the Contractor shall default in performance with its terms (including in the term “default” any such failure by the Contractor to make progress in the prosecution of the work hereunder), and shall fail to correct such default within a period of ten days (or such longer period as the Commissioner may allow) after receipt from the Commissioner of a notice specifying the default: or

b. Whenever for any reason the Commissioner shall determine such termination is in the best interest of the State of Connecticut. Any such termination shall be effected by delivery to the Contractor of a Notice of Termination specifying whether termination is for default of the Contractor or for the convenience of the State of Connecticut. The Contractor will then be notified of the extent to which performance of work under the contract is terminated and the date upon which such termination becomes effective.

13. Insurance

The Contractor agrees that while performing services specified in this agreement that he will carry sufficient insurance (liability and/or other) according to the nature of the work to be performed to “save harmless” the State of Connecticut from any insurable cause whatsoever. Certificates of same are to be filed with the agency prior to the performance of the services, if requested.
14. Audit Requirements

The Awardee shall cause to be prepared and delivered to the Department of Children and Families an audit performed by an Independent Public Accountant as defined by C.G.S. 7-396a, Public Act 91-401 and Public Act 92-121. Such audits shall be performed in accordance with generally accepted auditing standards and shall identify expenditures made by the Awardee that are not in compliance with the terms of this award. Such audits must be acceptable to the Commissioner of the Department of Children and Families and comply with regulations or recommendations as promulgated by the Office of Policy and Management or the Department of Children and Families.

The Awardee agrees that Auditors of Public Accounts of the State of Connecticut, and the Department of Children and Families shall have access to all records and accounts of the Awardee concerning each fiscal year during which this Agreement is in effect and to likewise make available records and accounts concerning the implementation of this Agreement for a period of three years after termination of the Agreement.

15. Non-discrimination On Basis of Sexual Orientation

(a) The Contractor agrees to the following provisions: (1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation;

(2) The contractor agrees to provide each labor union or representative of workers with such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission on human rights and opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to Section 46a-56 of the general statutes; (4) the contractor agrees to provide the commission on human rights and opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor which relate to the provisions of this section and section 46a-56 of the general statutes.

(b) The contractor shall include the provisions of section (a) in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for non-compliance in accordance with section 46a-56 of the general statutes; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

16. The contractor agrees to comply with any special conditions attached hereto.

17. The contractor agrees to disclose to the Commissioner of the Department of Children and Families any items of value provided to DCF employees for which full payment has not been made.
18. **Choice of Law and Choice of Forum**

The contractor agrees to be bound by the law of the State of Connecticut and the federal government where applicable, and agrees that this contract shall be construed and interpreted in accordance with Connecticut law and federal law where applicable.

19. **Government Function:** If the amount of this contract exceeds two million five hundred thousand dollars, and if the contract is for the performance of a government function as that term is defined in Conn. Gen. Stat. § 1-200(11), as amended by Public Act No. 01-169 and Public Act 02-130, the Department is entitled to receive a copy of the records and files related to the Contractor’s performance of a government function.

All records and files related to the Contractor’s performance of a government function, as that term is defined in [Conn. Gen. Stat. § 1-200(11), as amended by Public Act No. 01-169 and Public Act 02-130,] are subject to the Freedom of Information Act and may be disclosed by the Department pursuant to that Act.

20. **Whistle-blower Protection** - If the amount of this contract is or exceeds five million dollars, the contract is subject to Conn. Gen. Stat. Sec. 4-61dd (e). If an officer, employee or appointing authority of the Contractor takes or threatens to take any personnel action against any employee of the Contractor in retaliation for such employee’s disclosure of information to the Auditors of Public Accounts or the Attorney General under the provisions of subsection (a) of this statute, the Contractor shall be liable for a civil penalty of not more than five thousand dollars for each offense, up to a maximum of twenty per cent of the value of the contract. Each violation shall be a separate and distinct offense and in the case of a continuing violation each calendar day’s continuance of the violation shall be deemed to be a separate and distinct offense.

21. **Executive Order No. 7C: Contracting Standards Board** - This contract is also subject to provisions of Executive Order No. 7C of Governor Jodi M. Rell, promulgated on July 13, 2006. The Parties to this Agreement, as part of the consideration hereof, agree that: (1.) The State Contracting Standards Board (“the Board”) may review this contract and recommend to the state contracting agency termination of the contract for cause. The state contracting agency shall consider the recommendations and act as required or permitted in accordance with the contract and applicable law. The Board shall provide the results of its review, together with its recommendations, to the state contracting agency and any other affected party in accordance with the notice provisions in the contract no later than fifteen (15) days after the Board finalizes its recommendation. For the purposes of this Section, “for cause” means: (i.) a violation of the State Ethics Code (Conn. Gen. Stat. Chapter 10) or Section 4A-100 of the Conn. Gen. Statutes or (ii.) wanton or reckless disregard of any state contracting and procurement process by any person substantially involved in such contract or state contracting agency. (2.) For the purposes of this Section, “contract” shall not include real property transactions involving less than a fee simple interest or financial assistance comprised of state or federal funds, the form of which may include but is not limited to grants, loans, loan guarantees, and participation interests in loans, equity investments and tax credit programs. Notwithstanding the foregoing, the Board shall not have any authority to recommend the termination of a contract for the sale or purchase of a fee simple interest in real property following transfer of title. (3.) Effective January 1, 2006, notwithstanding the contract value listed in Conn. Gen. Stat. §§ 4-250 and 4-251, all procurements between state agencies and private entities with a value of $50,000 (fifty thousand dollars) or more in a calendar or fiscal year shall comply with the gift affidavit requirements of said Sections. Certification by agency officials or employees required by Conn. Gen. Stat. § 4-252 shall not be affected by this Section.

22. **HIPAA Provisions**

(a.) If the Contactor is a Business Associate under HIPAA, the Contractor must comply with all terms
and conditions of this Section of the Contract. If the Contractor is not a Business Associate under HIPAA, this Section of the Contract does not apply to the Contractor for this Contract.

(b.) The Contractor is required to safeguard the use, publication and disclosure of information on all applicants for, and all clients who receive, services under the contract in accordance with all applicable federal and state law regarding confidentiality, which includes but is not limited to the requirements of the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”), more specifically with the Privacy and Security Rules at 45 C.F.R. Part 160 and Part 164, subparts A, C, and E; and

(c.) The State of Connecticut Department named on page 1 of this Contract (hereinafter “Department”) is a “covered entity” as that term is defined in 45 C.F.R. § 160.103; and

(d.) The Contractor, on behalf of the Department, performs functions that involve the use or disclosure of “individually identifiable health information,” as that term is defined in 45 C.F.R. § 160.103; and

(e.) The Contractor is a “business associate” of the Department, as that term is defined in 45 C.F.R. § 160.103; and

(f.) The Contractor and the Department agree to the following in order to secure compliance with the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”), more specifically with the Privacy and Security Rules at 45 C.F.R. Part 160 and Part 164, subparts A, C, and E:

I. Definitions

A. Business Associate. “Business Associate” shall mean the Contractor.

B. Covered Entity. “Covered Entity” shall mean the Department of the State of Connecticut named on page 1 of this Contract.

C. Designated Record Set. “Designated Record Set” shall have the same meaning as the term “designated record set” in 45 C.F.R. § 164.501.

D. Individual. “Individual” shall have the same meaning as the term “individual” in 45 C.F.R. 164.501 and shall include a person who qualifies as a personal representative as defined in 45 C.F.R. § 164.502(g).

E. Privacy Rule. “Privacy Rule” shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 C.F.R. part 160 and parts 164, subparts A and E.

F. Protected Health Information. “Protected Health Information” or “PHI” shall have the same meaning as the term “protected health information” in 45 C.F.R. § 164.501, limited to information created or received by the Business Associate from or on behalf of the Covered Entity.

G. Required by Law. “Required by Law” shall have the same meaning as the term “required by law” in 45 C.F.R. § 164.501.

H. Secretary. “Secretary” shall mean the Secretary of the Department of Health and Human Services or his designee.
I. **More Stringent.** “More stringent” shall have the same meaning as the term “more stringent” in 45 C.F.R. § 160.103.

J. **Section of Contract.** “(T)his Section of the Contract” refers to the HIPAA Provisions stated herein, in their entirety.

K. **Security Incident.** “Security Incident” shall have the same meaning as the term “security incident” in 45 C.F.R. § 164.304.

L. **Security Rule.** “Security Rule” shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 C.F.R. part 160 and part 164, subparts A and C.

II. **Obligations and Activities of Business Associate**

A. Business Associate agrees not to use or disclose PHI other than as permitted or required by this Section of the Contract or as Required by Law

B. Business Associate agrees to use appropriate safeguards to prevent use or disclosure of PHI other than as provided for in this Section of the Contract.

   1. Business Associate agrees to use administrative, physical and technical safeguards as described in the Security Rule that reasonably and appropriately protect the confidentiality, integrity, and availability of electronic protected health information that it creates, receives, maintains, or transmits on behalf of the Covered Entity.

C. Business Associate agrees to mitigate, to the extent practicable, any harmful effect that is known to the Business Associate of a use or disclosure of PHI by Business Associate in violation of this Section of the Contract.

D. Business Associate agrees to report to Covered Entity any use or disclosure of PHI not provided for by this Section of the Contract or any security incident of which it becomes aware.

E. Business Associate agrees to insure that any agent, including a subcontractor, to whom it provides PHI received from, or created or received by Business Associate, on behalf of the Covered Entity, agrees to the same restrictions and conditions that apply through this Section of the Contract to Business Associate with respect to such information.

F. Business Associate agrees to provide access, at the request of the Covered Entity, and in the time and manner agreed to by the parties, to PHI in a Designated Record Set, to Covered Entity or, as directed by Covered Entity, to an Individual in order to meet the requirements under 45 C.F.R. § 164.524.

G. Business Associate agrees to make any amendments to PHI in a Designated Record Set that the Covered Entity directs or agrees to pursuant to 45 C.F.R. § 164.526 at the request of the Covered Entity, and in the time and manner agreed to by the parties.

H. Business Associate agrees to make internal practices, books, and records, including policies and procedures and PHI, relating to the use and disclosure of PHI received from,
or created or received by, Business Associate on behalf of Covered Entity, available to Covered Entity or to the Secretary in a time and manner agreed to by the parties or designated by the Secretary, for purposes of the Secretary determining Covered Entity's compliance with the Privacy Rule.

I. Business Associate agrees to document such disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528.

J. Business Associate agrees to provide to Covered Entity, in a time and manner agreed to by the parties, information collected in accordance with paragraph I of this Section of the Contract, to permit Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528.

K. Business Associate agrees to comply with any state law that is more stringent than the Privacy Rule.

III. Permitted Uses and Disclosures by Business Associate

A. General Use and Disclosure Provisions: Except as otherwise limited in this Section of the Contract, Business Associate may use or disclose PHI to perform functions, activities, or services for, or on behalf of, Covered Entity as specified in this Contract, provided that such use or disclosure would not violate the Privacy Rule if done by Covered Entity or the minimum necessary policies and procedures of the Covered Entity.

B. Specific Use and Disclosure Provisions:

1. Except as otherwise limited in this Section of the Contract, Business Associate may use PHI for the proper management and administration of Business Associate or to carry out the legal responsibilities of Business Associate.

2. Except as otherwise limited in this Section of the Contract, Business Associate may disclose PHI for the proper management and administration of Business Associate, provided that disclosures are Required by Law, or Business Associate obtains reasonable assurances from the person to whom the information is disclosed that it will remain confidential and used or further disclosed only as Required by Law or for the purpose for which it was disclosed to the person, and the person notifies Business Associate of any instances of which it is aware in which the confidentiality of the information has been breached.

3. Except as otherwise limited in this Section of the Contract, Business Associate may use PHI to provide Data Aggregation services to Covered Entity as permitted by 45 C.F.R. § 154.514(e)(2)(i)(B).

IV. Obligations of Covered Entity

A. Covered Entity shall notify Business Associate of any limitations in its notice of privacy practices of Covered Entity, in accordance with 45 C.F.R. 164.520, or to the extent that such limitation may affect Business Associate's use or disclosure of PHI.
B. Covered Entity shall notify Business Associate of any changes in, or revocation of, permission by Individual to use or disclose PHI, to the extent that such changes may affect Business Associate’s use or disclosure of PHI.

C. Covered Entity shall notify Business Associate of any restriction to the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 C.F.R. § 164.522, to the extent that such restriction may affect Business Associate’s use or disclosure of PHI.

V. Permissible Requests by Covered Entity

Covered Entity shall not request Business Associate to use or disclose PHI in any manner that would not be permissible under the Privacy Rule if done by the Covered Entity, except that Business Associate may use and disclose PHI for data aggregation, and management and administrative activities of Business Associate, as permitted under this Section of the Contract.

VI. Term and Termination

A. Term. The Term of this Section of the Contract shall be effective as of the date the Contract is effective and shall terminate when all of the PHI provided by Covered Entity to Business Associate, or created or received by Business Associate on behalf of Covered Entity, is destroyed or returned to Covered Entity, or, if it is infeasible to return or destroy PHI, protections are extended to such information, in accordance with the termination provisions in this Section.

B. Termination for Cause. Upon Covered Entity’s knowledge of a material breach by Business Associate, Covered Entity shall either:

1. Provide an opportunity for Business Associate to cure the breach or end the violation and terminate the Contract if Business Associate does not cure the breach or end the violation within the time specified by the Covered Entity; or

2. Immediately terminate the Contract if Business Associate has breached a material term of this Section of the Contract and cure is not possible; or

3. If neither termination nor cure is feasible, Covered Entity shall report the violation to the Secretary.

C. Effect of Termination.

1. Except as provided in paragraph (2) of this subsection C, upon termination of this Contract, for any reason, Business Associate shall return or destroy all PHI received from Covered Entity, or created or received by Business Associate on behalf of Covered Entity. This provision shall apply to PHI that is in the possession of subcontractors or agents of Business Associate. Business Associate shall retain no copies of the PHI.

2. In the event that Business Associate determines that returning or destroying the PHI is infeasible, Business Associate shall provide to Covered Entity notification of the conditions that make return or destruction infeasible. Upon documentation by Business Associate that return of destruction of PHI is infeasible, Business Associate shall extend the protections of this Section of the Contract to such PHI
and limit further uses and disclosures of PHI to those purposes that make return or destruction infeasible, for as long as Business Associate maintains such PHI. Infeasibility of the return or destruction of PHI includes, but is not limited to, requirements under state or federal law that the Business Associate maintains or preserves the PHI or copies thereof.

VII. Miscellaneous Provisions

A. Regulatory References. A reference in this Section of the Contract to a section in the Privacy Rule means the section as in effect or as amended.

B. Amendment. The Parties agree to take such action as is necessary to amend this Section of the Contract from time to time as is necessary for Covered Entity to comply with requirements of the Privacy Rule and the Health Insurance Portability and Accountability Act of 1996, Pub. L. No. 104-191.

C. Survival. The respective rights and obligations of Business Associate under Section VI, Subsection C of this Section of the Contract shall survive the termination of this Contract.

D. Effect on Contract. Except as specifically required to implement the purposes of this Section of the Contract, all other terms of the contract shall remain in force and effect.

E. Construction. This Section of the Contract shall be construed as broadly as necessary to implement and comply with the Privacy Standard. Any ambiguity in this Section of the Contract shall be resolved in favor of a meaning that complies, and is consistent with, the Privacy Standard.

F. Disclaimer. Covered Entity makes no warranty or representation that compliance with this Section of the Contract will be adequate or satisfactory for Business Associate’s own purposes. Covered Entity shall not be liable to Business Associate for any claim, loss or damage related to or arising from the unauthorized use or disclosure of PHI by Business Associate or any of its officers, directors, employees, contractors or agents, or any third party to whom Business Associate has disclosed PHI pursuant to paragraph II D of this Section of the Contract. Business Associate is solely responsible for all decisions made, and actions taken, by Business Associate regarding the safeguarding, use and disclosure of PHI within its possession, custody or control.

G. Indemnification. The Business Associate shall indemnify and hold the Covered Entity harmless from and against all claims, liabilities, judgments, fines, assessments, penalties, awards, or other expenses, of any kind or nature whatsoever, including, without limitation, attorney’s fees, expert witness fees, and costs of investigation, litigation or dispute resolution, relating to or arising out of any violation by the Business Associate and its agents, including subcontractors, of any obligation of Business Associate and its agents, including subcontractors, under this Section of the Contract.

The Contractor herein IS / IS NOT a Business Associate under HIPAA per Section 22*:

(circle one**)

Authorized signatory for the contractor ________________________________

Authorized signatory for (agency abbreviation) ________________________________

Rudolph E. Brooks, HIPAA Privacy Officer
(Typed name and title) (Typed name and title)

Date ___________________________ Date ___________________________

**Department must make this determination before Contract is signed.**

Updated Contracts Unit 10/01/06
Pursuant to Connecticut General Statutes, effective on and after December 31, 2006, “principals” of state contractors and prospective state contractors are prohibited from donating and soliciting certain campaign contributions. (See Section 9-333n(g) of the Connecticut General Statutes). In conformance with this prohibition, all applicants for this solicitation are required to complete SEEC Forms SC 3 and SC 3A. A link to those mandatory forms is listed below.

Conn. Gen. Stat. §9-333n(g)(1)(F) provides:
(F) “Principal of a state contractor or prospective state contractor” means (i) an individual who is a member of the board of directors of, or has an ownership interest in, a state contractor or prospective state contractor, which is a business entity, except for an individual who (I) owns less than five per cent of the shares of any such state contractor or prospective state contractor that is a publicly traded corporation, or (II) is a member of the board of directors of a nonprofit organization qualified under Section 501(c)(3) of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive or senior vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, (iv) an employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, (v) the spouse or a dependent child of an individual described in this subparagraph, or (vi) a political committee established by or on behalf of an individual described in this subparagraph.

Conn. Gen. Stat. § 9-333n(g)(2) provides, in relevant part:
. . . (A) No principal of a state contractor or prospective state contractor, with regard to a state contract, bid solicitation or request for proposals with or from a state agency in the executive branch or a quasi-public agency or a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Conn. Gen. Stat. §9-333n(g)(2)(D) provides, in relevant part:
. . . The chief executive officer of each prospective state contractor shall: (i) Inform each individual described in subparagraph (F) of subdivision (1) of this subsection with regard to said prospective state contractor concerning the provisions of subparagraph (A) or (B) of this subdivision, whichever is applicable, and this subparagraph, (ii) certify in a sworn statement that no such individual will make or solicit a contribution in violation of the provisions of subparagraph (A) or (B) of this subdivision, whichever is applicable, and this subparagraph, and (iii) acknowledge in writing that if any such contribution is made or solicited, the prospective state contractor shall be disqualified from being awarded the contract described in the bid solicitation or request for proposals or being awarded any other state contract for one year after the election for which such contribution is made or solicited.

MANDATORY CAMPAIGN CONTRIBUTION RESTRICTION AFFIDAVIT (SEEC SC3)
and
MANDATORY LIST OF PRINCIPALS (SEEC SC 3A)

All bidders for this solicitation are required to completed SEEC affidavit SC3 and form SC 3A. These documents are contained in a .PDF format via the below link on the State Election Enforcement Commission's website. Applications for this solicitation that are received without the SC 3 affidavit and SC 3A form properly completed as required and instructed, may be rejected from review or award.


Additional information concerning this law, its requirements and legal consequences for prospective state contractors who violate the prohibition on solicitation or donation of contributions may be found via the following link on the SEEC website: