

STATE OF CONNECTICUT
DEPARTMENT OF MENTAL HEALTH AND ADDICTION SERVICES
A Healthcare Service Agency

M. Jodi Rell
Governor

Thomas A. Kirk, Jr., Ph.D.
Commissioner

Homeless Outreach and Case Management
REQUEST FOR QUALIFICATIONS (RFQ)

The Connecticut Department of Mental Health and Addiction Services (DMHAS) is seeking proposals to utilize federal PATH funds to provide services in the Greater Norwalk area that meet the needs and preferences of people who are both homeless and have mental illnesses/co-occurring disorders. Utilizing face-to-face outreach with people in streets, shelters, soup kitchens, community resource centers and other non-traditional settings, the staff will offer information and direct assistance leading to permanent housing. There is an expectation of full participation in all regional meetings pertaining to housing issues as well as offering services in accordance with individually appropriate language, customs and cultural norms.

Responses must be received no later than 4/30/2007. Any response(s) received after that date and time shall be returned, unopened to the applicant.

For questions on ***program*** issues, contact:

Madeline Napolitano
Statewide Services
Department of Mental Health and Addiction Services
(860) 418-6910

For questions on ***budget*** issues, contact:

Walter Sivigny, Assistant Director, Purchased Services Unit
Department of Mental Health and Addiction Services
(860) 418-6919 phone
(860) 418-6698 fax

EQUAL OPPORTUNITY / AFFIRMATIVE ACTION EMPLOYER
MINORITIES AND WOMEN ARE ENCOURAGED TO RESPOND

**HOMELESS OUTREACH AND CASE MANAGEMENT
REQUEST FOR QUALIFICATIONS (RFQ)**

I. INTRODUCTION

The overarching goal for the Department of Mental Health and Addiction Services (DMHAS) is to foster the development of a recovery-oriented system of care for Connecticut citizens experiencing behavioral health disorders. In order to achieve this goal it is essential that engagement occurs in non-traditional settings such as shelters, soup kitchens and community centers to provide face to face outreach and assistance in securing permanent housing.

II. ACTION AND PURPOSE

DMHAS is requesting proposals from qualified community-based organizations capable of providing person-centered, recovery-oriented outreach and case management to individuals who are homeless and with mental health and co-occurring disorders.

The successful bidder will assist eligible participants with *finding and securing safe and affordable housing* from available community housing stock, taking advantage of any subsidies available to the participants. Integration and collaboration with area service providers is also required.

The following information details the expectations, guidelines, and instructions for submitting proposals in response to this **Homeless Outreach/Case Management RFQ**.

III. FUNDING

a. Eligible Applicants

Proposals may be submitted from private, community-based organizations or agencies. Application eligibility is restricted to applicants who have the infrastructure and expertise to provide services requested through this RFQ. Although application eligibility is not restricted to in-state applicants, all applicants must demonstrate their knowledge of local community resources and linkages with community-based providers. Applicants are strongly encouraged to demonstrate linkages and system integration and take advantage of existing community resources and services, especially through interagency collaboration. Evidence of these collaborations must include detail of the collaborator's specific role in the implementation of the project.

b. Annualized Funding

An award of up to \$42,000 will be made to cover the period 7/1/07 to 6/30/08. Approximately \$42,000 in annualized funding will begin as of 7/1/07. Continued funding is contingent upon the ongoing availability of funds, satisfactory program performance and demonstrated need for these services. *Minor start-up costs, with prior approval from the Department, may be permitted with these funds.*

Potential applicants should note that any contracts developed as a result of this RFQ are subject to the Department's contracting procedures, which shall include approval by the State Attorney General's Office.

c. Schedule

Milestones	Timelines
RFQ Released	4/17/2007
Proposals Due by 12:00 PM Local Time	4/30/2007
Successful Applicant Announced/Contract Negotiations Begin	6/1/2007
Projected Program Start-up/Funding Begins	7/1/2007

d. 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 RFQ will be evaluated and scored. A responsive proposal must comply with all instructions listed in this RFQ. The original and three (3) exact, legible copies of the proposal must be submitted by the deadline, addressed to:

**Jane Delaney, Administrative Assistant
Statewide Services
Re: Homeless Outreach/Case Management RFQ
Department of Mental Health and Addiction Services
410 Capitol Avenue, 4th Floor
P.O. Box 341431 – MS 14 HCS
Hartford, Connecticut 06134**

e. Contract Execution

The pursuant contract developed, as a result of this RFQ 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.

f. 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 DMHAS contact person noted in Section III.D. in writing at the address previously given. Debriefing will not include any comparisons of unsuccessful proposals with other proposals.

IV. NATURE AND SCOPE OF PROJECT

A. Project Goals – Homeless Outreach and Case Management

To provide outreach, engagement and case management services, in non-traditional settings, to 100 consumers annually with mental health and/or co-occurring disorders in the greater Norwalk, CT area, with an emphasis on assisting consumers with

securing permanent housing. Close collaboration with the Local Mental Health Authority and area network of providers is essential toward achieving stated goals.

The recipient of these funds will be expected to network and coordinate services with other community providers as part of an overall plan. Within this strategy, the use of evidence-based practices is encouraged. Responders are urged to consider consumer-run services within the design of their proposals.

The recipient must demonstrate the following:

1. Evidence of integration and collaboration with other service providers in the greater Norwalk area who serve homeless and disabled individuals; and
2. the capacity to access emergency shelter and/or respite beds for people who are homeless; and
3. A clearly demonstrated history of serving individuals who are homeless, have a behavioral health disability and, in some cases, medical problems; and
4. A demonstrated history of adhering to and following either federal reporting requirements and/or DMHAS reporting requirements including, but not limited to maintenance of records, submitting accurate and clear data in a timely fashion and successfully completing on-site surveys by reviewing entities. Specifically, the applicant will be expected to complete an annual application each Spring, and annual data report including demographic information and other reports as deemed necessary by DMHAS.

The contractor for this service will ensure that Homeless Outreach and Case management are provided to 100 consumers annually, which translates into approximately 150 to 200 individuals to engage.

V. Value Statement

1. The belief that part of recovery is the ability to participate as full citizens in the life of the community.
2. The belief that there are employers and landlords who are willing and able to participate in providing jobs and housing to people in recovery.
3. The belief that community entities that are educated about psychiatric and addiction disorders can and will be willing participants in this initiative.
4. Recognition that the majority of individuals we serve desire and are capable of competitive community employment.
5. Respect consumer choice and design supports based on individual needs and preferences.

VI. Required Components

The selected bidder shall ensure the following *required components*:

- *Staffing* as outlined below.

Staff are expected to outreach and engage homeless individuals who have a serious and prolonged mental illness. Individuals who are dually diagnosed may also be served. However, individuals who have a substance use problem do not meet Federal criteria.

Staff are required to actively participate in are homeless consortium and work closely with the local LMHA to insure ease of entry into the system of care.

Staff must meet clients in soup kitchens, shelters on the street, bus stations, in parked cars or in other places where homeless individuals congregate .

At a minimum, 70% of the Recovery Support Specialists' time per week must be spent in the community or face to face with consumers.

VII. Project Expectations/Outcomes

- 1. Outreach and engage approximately 150 to 200 individuals and enroll a minimum of 100 individuals in the PATH program.*
- 2. Provide effective Case Management services not limited to applying for entitlement, refer to needed services, establish a service plan and apply for housing.*
- 3. Refer client to traditional behavioral health services.*

VIII. INSTRUCTIONS FOR COMPLETION OF PROPOSAL

Responses to this Request for Qualifications should consist of the following components **IN THE ORDER SPECIFIED BELOW**. A description of each of these components is provided below.

I. PROPOSAL ABSTRACT

1. General Instructions

The abstract should clearly present the proposed project in summary form, from a "who-what-when-how-where" point of view, so that reviewers can see how the multiple parts fit together to form a coherent whole. **The abstract must not exceed 35 single-spaced typed lines.**

II. PROGRAM NARRATIVE

1. General Instructions

The narrative must be clear, concise, paginated, and **must be between 5 and 10 single-spaced pages** in length, exclusive of the budget and appendices. Narratives must not exceed 10 single-spaced pages. The Proposal Narrative shall include Sections A-D (listed below) and should address the following:

A. PROJECT DESCRIPTION (10 Points)

- Agency history in providing the services requested through this RFQ, including current client performance outcomes, data supporting services' effectiveness, and agency's experience in submitting complete, accurate, and timely data to DMHAS and/or other primary funding sources.

- Clearly state the purpose of the proposed project, with goals and objectives. Describe how achievement of goals will support meaningful and relevant results and expand capacity for the target population.

B. PROJECT PLAN (45 Points)

- Describe and justify the design chosen for the proposed project.
- Describe the proposed service components and document that services demonstrate best practices based on research and clinical literature.
- Provide quantitative goals and objectives for the service components in terms of the numbers of individuals to be served, types and numbers of services to be provided, and outcomes to be achieved.
- Describe concretely how the proposed project will address recovery-oriented services for the target population.
- Describe concretely how the proposed project will address cultural competency, including race/ethnicity, cultural, language, age, sexual orientation, disability, literacy, gender, and trauma issues for the target population.
- Describe how individuals reflective of the target population were involved in the preparation of the application and will continue to be involved in planning, implementation and evaluation of the project.
- Describe how the proposed project will be embedded within a comprehensive, integrated, creative, and community-based response for the target population. This should include what roles other community organizations will have in the overall, coordinated effort. Letters of coordination/support from community organizations supporting the project must be included in Appendix 3.

C. PROJECT EVALUATION (15 Points)

- Present a plan for collecting, analyzing, and reporting progress in meeting goals and objectives.
- Describe the proposed plan to measure and evaluate project effectiveness, including approach fidelity and outcomes.

D. PROJECT MANAGEMENT: IMPLEMENTATION PLAN, STAFF, ORGANIZATION, AND EQUIPMENT/FACILITIES (20 Points)

- Describe applicant's current infrastructure and its capacity to build a coordinated approach in response to this RFQ.
- Discuss the capability, administrative efficiencies and experience of the applicant organization with similar projects and populations.
- Provide a staffing plan, including the project supervision and the level of effort and qualifications of the Project Director and other key personnel. Show evidence of the appropriateness of the proposed staff to the language, age, gender, sexual orientation, disability, and ethnic/racial/cultural factors of the target population. Provide details on staff training that will be conducted.
- Provide a comprehensive and realistic workplan with measurable objectives describing tasks to be performed and timelines. Work plans should be consistent with the RFQ and the project's goals and objectives.
- Provide a plan to secure additional resources or obtain support to continue services, if state dollars are no longer available.

E. BUDGET (10 Points)

- Complete the attached DMHAS Budget Forms and Narrative—State Fiscal Year 2007.
- Describe how applicant intends to maximize use of existing community resources and services.
- Describe the extent of "in-kind" services the applicant will provide to this project.
- Provide evidence of non-supplantation of funds.
- Per the Office of Policy and Management (OPM), all state contracts must comply with the OPM Cost Standards effective January 1, 2007. In preparing the budget please refer to the Cost Standards posted on the OPM website at http://www.opm.state.ct.us/finance/pos_standards/coststandards.htm

F. APPENDICES

Only the appendices specified below may be included in the application. These appendices must not be used to extend or replace any of the required sections of the Program Narrative.

Appendix 1: Documentation of Experience/References

Appendix 2: Biographical Sketches/Job Descriptions

Appendix 3: Letters of Coordination/Support

Appendix 4: Organizational Structure

Appendix 5: Copy of Most Recent Financial Audit

VI. PROPOSAL EVALUATION

1. Evaluation of Proposal

The Department will conduct a comprehensive, fair and impartial evaluation of proposals received in response to this request for proposal. There will be three levels of review for DMHAS grants:

Level 1-Evaluation of Minimum Requirements

The purpose of this phase is to determine if each proposal is sufficiently responsive to the minimum RFQ requirements to permit a complete evaluation of the Technical and Business Proposal. Proposals must comply with the instructions to applicants contained throughout this RFQ. Failure to comply with the instructions may deem the proposal non-responsive and subject to rejection without further consideration. The Department reserves the right to waive minor irregularities.

The minimum requirements for a proposal to be given consideration are:

a. Closing Date

The proposal must have been received, as provided in Section III-C, before the closing of acceptance of proposals in the number of copies specified.

b. Compliance

The proposal must comply with all of the requirements outlined in this RFQ.

Level 2-Evaluation of the Proposal

Only those proposals passing the minimum requirements will be considered in Phase 2. The Department reserves the right to reject any and all proposals. An Evaluation Team, including but not limited to DMHAS program and budget staff and individuals in recovery and/or family members, will be established to assist the Department in selection of applicants. The Department reserves the right to alter the composition of this team. The Evaluation Team will be responsible for the review and scoring of all proposals in the following domains, as fully described in Section VI—Nature and Scope of Project:

- A. PROJECT DESCRIPTION (10 Points)**
- B. PROJECT PLAN (45 Points)**
- C. PROJECT EVALUATION (15 Points)**
- D. PROJECT MANAGEMENT: WORKPLAN, STAFFING, AND ORGANIZATION CAPACITY (20 Points)**
- E. BUDGET (10 Points)**

Level 3-Award Criteria

Decisions to fund a grant are based on: Priority scores as assigned by the Evaluation Team.

VII. GENERAL PROPOSAL REQUIREMENTS

a. 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 interest of the Department. The Department reserves the right to contract for all or any portion of the scope of work contained within this RFQ if it is determined that contracting for a portion of the work will best meet the needs of the Department.

b. 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 RFQ 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 RFQ is to be sole property of the Department unless stated otherwise in the RFQ or contract.
- 3) Timing and Sequence.** Timing and sequence of events resulting from this RFQ 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 RFQ, 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 that is in the default of any prior contract or for misrepresentation.
- 7) **Department's Clerical Errors in Awards.** 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 RFQ.
- 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 the submitting a separate response to the RFQ, and is in all respects fair and without collusion or fraud. It is further implied that the applicant did not participate in the RFQ development process, had no knowledge of the specific contents of the RFQ prior to its issuance, and that no employee of the agency participated directly or indirectly in the applicant's proposal preparation.

c. 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.

d. Response Date and Time

In order to be considered for selection, the Department must receive proposals by 4:00 P.M. Local Time, on November 17, 2006. Postmark date will **not** be considered the basis for meeting any submission deadline. Any applicant's response, which is received after the deadline, will not be accepted. Receipt of a proposal after the closing date and time as stated herein shall **not** be construed as acceptance of the proposal, as the actual receipt of the document is a clerical function. If delivery of the proposal is not made by courier or in person, the use of Certified or Registered mail is suggested. **All** RFQ communications should be addressed to the RFQ Program Contact (Reference RFQ Cover).

e. Incurring Costs

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

f. 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 therefrom. It will not be

sufficient for applicants to merely state generally 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.

g. Offer of Gratuities

By submission of a proposal, the applicant certifies that no elected or appointed official or employee of the State of Connecticut has or will benefit financially or materially from this procurement. Any contract arising from this procurement may be terminated by the Department if it is determined that gratuities of any kind were either offered to or received by any of the aforementioned officials or employees from the applicant, the applicant's agent or the applicant's employee(s).

h. Confidentiality

The successful bidder shall comply with all applicable state and federal laws and regulations pertaining to the confidentiality of proprietary information, data and other confidential or personal information concerning the medical, personal or business affairs of patients acquired in the course of providing services under this RFQ. The successful bidder shall keep confidential all financial, operating, proprietary or business information of the Department relating to the provision of services under this RFQ which is not otherwise public information, along with all information, not described above, but specified in writing by the Department as confidential information. The successful bidder shall also cause each of its agents, employees, or subcontractors and other persons and organizations involved in doing business with or controlled by it from disclosing or transmitting to any person or legal entity any of the described information. The successful bidder shall ensure that the appropriate qualified service organization agreements are in place pursuant to federal confidentiality regulations.

i. Affirmative Action

Regulations of Connecticut State Agencies Section 46a68j-3(10) requires agencies to consider the following factors when awarding a contract that is subject to contract compliance requirements:

- i. the applicant's success in implementing an affirmative action plan;
- ii. the applicant's success in developing an apprenticeship program complying with Section 46a-68-1 to 46a-68-17 of the Connecticut General Statutes, inclusive;
- iii. the applicant's promise to develop and implement a successful affirmative action plan;
- iv. the applicant's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and

- v. the applicant's promise to set aside a portion of the contract for legitimate small contractors and minority business enterprises. (See CGS 4a-60).

APPENDIX 1: DMHAS CULTURAL COMPETENCY POLICY STATEMENT

CONNECTICUT DEPARTMENT OF MENTAL HEALTH AND ADDICTION SERVICES (DMHAS) COMMISSIONER'S POLICY STATEMENT

Effective Date: August 29, 2003

SUBJECT: POLICY ON CULTURAL COMPETENCE

Purpose: The purpose of this policy is to formally designate cultural competence as an essential characteristic and defining quality that must be embedded in all aspects of the DMHAS healthcare service system. The single overarching goal of the DMHAS, a healthcare service agency, is promoting and achieving a value-driven, recovery oriented system of care. The fullest attainment of that goal is simply not possible if the service design, delivery and evaluation are not culturally competent.

Definition: Cultural competence is a set of congruent practice skills, attitudes, policies and structures which come together in a system, agency or among professionals and enable that system or those professionals to work effectively in cross cultural situations. **Cultural competency** is the acceptance and respect for difference, continuing self assessment regarding one's own or another culture, attention to the dynamics of difference, ongoing development of cultural knowledge and resources and flexibility within service models to work towards better meeting the needs of diverse populations (*Cross, Brazron, Dennis, & Isaacs. 1998*)

Policy Statement: The DMHAS healthcare service system shall function with cultural competency that responds effectively to the needs and differences of all individuals, based on their race, gender, age, physical or mental status, sexual orientation, and ethnic or cultural heritage. Both the population of Connecticut and the demographic profile of persons served by DMHAS operated or funded agencies reflect significant changes toward greater diversity. Further, findings in the professional literature point to patterns indicating disparities in access and other indices of the quality of healthcare for some racial, cultural and low-income groups in systems of care such as DMHAS. Consequently, there must be a special focus on identifying persons or groups who, while in need of the behavioral healthcare services, are either not well or unserved by the DMHAS system. Once identified, informed and strong steps must then be taken to assure provision of effective quality and parity of healthcare to these persons/groups. Such populations as must be the case for all persons involved with any aspect of the DMHAS public/private system, must be equitably served and have full access to a culturally competent DMHAS healthcare system. An established system-wide environment of support and education related to cultural competence must exist in order to assist the public/private workforce to be culturally competent.

DMHAS Tools For Implementing the Policy:

A. Behavioral Health Initiatives

To promote effective implementation of this policy as part of the overarching goal and Strategic Action Plan of DMHAS, the agency's policies shall require all services to be culturally appropriate, and to be supported by the provision of multicultural professional training for all planned services so as to achieve the desired quality outcomes for any of DMHAS' behavioral health initiatives. The latter may include:

1. **Quality Care, described as the commitment to a statewide culturally appropriate, quality care management system, designed to achieve defined service outcomes and the continued improvement of the integrated DMHAS healthcare system.**

2. **Recovery**, identified as the process in which an individual of any cultural/ethnic/racial heritage served by the DMHAS healthcare system is supported in their effort to restore or develop a positive and meaningful sense of identity apart from one's condition and then rebuilding one's life despite, or within the limitations imposed by that condition.
3. **Evidence Based Healthcare**, described as a culturally appropriate clinical practice that is "...an approach to decision making in which the clinician uses the best evidence available, in consultation with the patient, to decide upon the option which suits that patient best". *Source: Muir Gray JA. (1997) Evidence-based Healthcare: How to Make Health Policy and Management Decisions. London: Churchill Livingstone.*
4. **Health Disparities**, defined as the differences in the incidence, prevalence, mortality, and burden of diseases and other adverse health conditions that exist among specific population groups in the United States.

A. The Multicultural Advisory Council (MCAC)

The late Commissioner Albert J. Solnit, M.D. established the DMHAS Multicultural Advisory Council (MCAC) in 1995. The MCAC since that time has served the Department of Mental Health and Addiction Services as a creative resource in the area of multiculturalism that develops and recommends culturally appropriate system change. This specially chosen group of professionals shall continue to take initiatives that promote embedding cultural awareness into the language, spirit and structure of the DMHAS service delivery and management system.

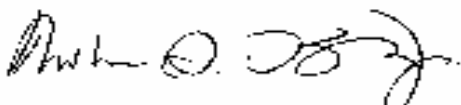
The MCAC shall be comprised of a diverse membership, especially with representation of underserved populations throughout the regions, agencies and consumer/person in recovery populations across Connecticut. It shall help foster best culturally appropriate health practices. It will be supportive of multicultural training of the DMHAS system workforce. It shall identify opportunities to be used as instruments to permeate cultural competence throughout the DMHAS public/private network of services.

The MCAC shall assist in identifying that which is culturally appropriate in programs as well as approaches that produce replicable effective quality outcomes. Such programs/approaches are models that can be validated by research and replicated as standard practice throughout the healthcare system.

The MCAC shall assist DMHAS in identifying underserved groups. This will be accomplished by examining demographics of the DMHAS public/private workforce and of those persons and groups in need of behavioral healthcare services but who are either unserved or underserved by the DMHAS healthcare service system. It shall identify barriers to quality service delivery and recommend how to remove those barriers.

The MCAC shall provide support to the Office of Multicultural Affairs in the search and recognition of individuals qualified for appointment to the MCAC membership and shall decide by vote whether to approve any candidates for referral to the Commissioner for appointment. This process shall emphasize the diversity of membership and be representative of the persons/populations who should entrust their care and recovery to the DMHAS healthcare service system.

The Department of Mental Health and Addiction Services is fully and enthusiastically committed to adhering to the principles and spirit of this Policy Statement. It will be critical in assisting us to improve the health of Connecticut's citizens and in helping those who develop mental illness or substance use disorders to be treated with respect and to recover their lives.



Appendix 2. SEEC FORM 10

NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on page 2):

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of 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;

In addition, no holder or principal of 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 State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Duty to Inform

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

Penalties for Violations

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

Contract Consequences

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The state will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Receipt acknowledged: _____ (signature) _____ (date)

Print name: _____ Title: _____

Company Name: _____

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement

Commission, www.ct.gov/seec. Click on the link to “State Contractor Contribution Ban”

Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100.

"Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive 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, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or 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 who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (IV) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.