

STATE OF CONNECTICUT PROCUREMENT NOTICE**Request For Proposals****Department of Mental Health and Addiction Services****Statewide Services-Point in Time****Housing Inventory Chart 2021****(RFP#DMHAS SWS-PIT HIC 2021)**

Issued by the State of Connecticut
Department of Mental Health and Addiction Services
January 12, 2021

The Request For Proposal is available in electronic format on the
State Contracting Portal by searching by Organization for
Department of Mental Health and Addiction Services

https://biznet.ct.gov/SCP_Search/BidResults.aspx or from the

Department's Official Contact:

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https://biznet.ct.gov/SCP_Search/default.aspx?Src=CISplash

RESPONSES MUST BE RECEIVED ELECTRONICALLY**NO LATER THAN MARCH 5, 2021****3:00 PM EST**

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I. GENERAL INFORMATION

A. INTRODUCTION

- 1. RFP Name and Number:** Department of Mental Health and Addiction Statewide Services Point in Time Housing Inventory Chart **RFP# DMHAS SWS-PIT HIC 2021**. The name and number will be used on each page of the main proposal and cover sheet of proposals submitted in response to this RFP.
- 2. Executive Summary.** The State of Connecticut, Department of Mental Health and Addiction Services (DMHAS) is seeking proposals from qualified organizations capable of providing an annual Point in Time Count and Housing Inventory Chart. Through the United States (U.S.) Department of Housing and Urban Development (HUD), communities are required to establish and maintain Continuum of Care (CoC) governing committees. CoCs are responsible for coordinating funding, policies, strategies and activities designed to end homelessness in their region. There are two (2) CoCs within the state of Connecticut: the Connecticut Balance of State Continuum of Care (CT BOS) and Opening Doors Fairfield County (ODFC).
- 3. RFP Purpose.** DMHAS is seeking the services of a single qualified contractor to lead each of the activities summarized below:
 - a.** Lead the Connecticut Statewide Point-in-Time Count of individuals suffering from homelessness, including youth, and compile the Housing Inventory Chart for both CoCs;
 - b.** Lead the development of reporting tools to enable CoC funded and non-CoC funded projects operating within the CT BOS CoC, to run project level performance reports on the applicable systems performance measures as defined by HUD;
 - c.** Provide adequate training for CoC providers on how to run the performance reports described in this document, how to identify and correct data quality problems that may be impacting validity of the performance data, and how to use the reports to inform Continuous Quality Improvement efforts; and
 - d.** Provide written instructions for providers on how to run the reports and how to identify and correct data quality problems that may be impacting validity of the performance data.
- 4. Commodity Codes.** The services that the Department wishes to procure through this RFP are as follows:
 - a.** 0600: Services (Professional, Support, Consulting and Misc. Services)
 - b.** 1000: Healthcare Services
 - c.** 2000: Community and Social Services

B. INSTRUCTIONS

- 1. Official Contact.** The Department has designated the individual below as the Official Contact for purposes of this RFP. The Official Contact is the **only authorized contact** for this procurement and, as such, handles all related communications on behalf of the Department. Respondents, prospective Respondents, and other interested parties are advised that any communication with any other Department employee(s) (including appointed officials) or personnel under contract to the Department about this RFP is strictly prohibited. Respondents or prospective Respondents who violate this instruction may risk disqualification from further

consideration.

Official Contact:

Name: Marie-Elaina Graves
Address: 410 Capital Ave, Hartford, CT
Phone: 860-418-6922
E-Mail: Marie.graves@ct.gov

(E-Mail is the preferred method of communication during the pandemic)

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

- 2. Registering with State Contracting Portal.** Respondents must register with the State of CT contracting portal at <https://biznet.ct.gov/AccountMaint/NewLogin.aspx> if not already registered. Respondents shall submit the following information pertaining to this application to this portal, which will be checked by the Department contact.

- a. State of Connecticut Secretary of State registration – Click on appropriate response
- b. Register to do business in CT (issued by the Office of the Secretary of the State) Proof of the Proposer agency’s is registered with the Office of the Secretary of the State) shall be provided as **Appendix 1** - Please refer to the following hyperlink:

<https://www.concord-sots.ct.gov/CONCORD/online?sn=InquiryServlet&eid=99>

- c. Non-profit status

- d. Notification to Bidders (Part I-V)

- e. Consulting Agreement Affidavit (OPM Ethics Form 5) – Requires Notarization

[https://portal.ct.gov/search-results/?q=Consulting%20Affidavit%20Agreement%20OPM%20Form%205#gsc.tab=0&gsc.q=Consulting%20Affidavit%20Agreement%20OPM%20Form%205&gs\]c.page=1](https://portal.ct.gov/search-results/?q=Consulting%20Affidavit%20Agreement%20OPM%20Form%205#gsc.tab=0&gsc.q=Consulting%20Affidavit%20Agreement%20OPM%20Form%205&gs]c.page=1)

- f. Affirmation of Receipt of State Ethics Affidavit (OPM Ethics Form 6) – Requires

Notarization <https://portal.ct.gov/search-results/?q=Affidavit%20of%20receipt%20of%20state%20ethics%20affidavit%20OPM%20form%206#gsc.tab=0&gsc.q=Affidavit%20of%20receipt%20of%20state%20ethics%20affidavit%20OPM%20form%206&gsc.page=1>

- g. Iran Certificate (OPM Ethics Form 7) – Requires Notarization

https://www.ct.gov/opm/lib/opm/OPM_Form_7_Iran_Certification_3-28-14.pdf

- 3. RFP Information.** The RFP, amendments to the RFP, and other information associated with this procurement are available in electronic format from the Official Contact or from the Internet at the following locations:

- a. State Contracting Portal (go to search solicitations, select Department of Mental Health and Addiction Services

https://biznet.ct.gov/SCP_Search/default.aspx?Src=CISplash

- b. It is strongly recommended that any Respondents or prospective Respondents interested in this procurement subscribe [to receive e-mail alerts from the State Contracting Portal.](#) Subscribers will receive a daily e-mail announcing procurements and addendums that are posted on the portal. This service is provided as a courtesy to assist in monitoring activities associated with State procurements, including this RFP.

- 4. Procurement Schedule.** See below. Dates after the due date for proposals ("Proposals Due") are non-binding target dates only (*). The Department may amend the schedule as needed. Any change to non-target dates will be made by means of an addendum to this RFP and will be posted on the State Contracting Portal.

RFP Released:	January 12, 2021
Deadline for Mandatory Letter of Intent:	January 26, 2021 3:00 PM
RFP Virtual Bidder's Conference:	January 27, 2021
Deadline for Questions:	February 5, 2021 3:00 PM
Answers Released:	February 12, 2021 3:00 PM
Deadline for Electronic Proposal Submission:	March 5, 2021 3:00 PM EST
(* Respondent Selection:	March 26, 2021
(* Start of Contract Negotiations:	April 1, 2021
(* Start of Contract:	July 1, 2021

- 5. Contract Awards.** The award of any contract pursuant to this RFP is dependent upon the availability of funding to the Department. The Department anticipates the following:

- a. Total Funding Available: Up to \$250,000
- b. Number of Awards: 1
- c. Contract Cost: To be determined
- d. Contract Term: One (1) year (the Department reserves the right to amend/extend the contract due to available funding.
- e. Funding Source: U.S Department of Housing and Urban Development (HUD)

- 6. Eligibility.** Pursuant to C.G.S. §17a-676, and in accordance with federal grant requirements for use of this funding, the Department may only award contracts for the services requested herein to private nonprofit organizations or Connecticut municipalities. Eligible Respondents are private provider organizations (defined as non-state entities that are 501(c)(3) nonprofit corporations or partnerships with principal place of business in Connecticut) or Connecticut municipalities. In all cases, Respondents must be currently registered to do business in the State of Connecticut with the Connecticut Office of the Secretary of the State <https://www.concord-sots.ct.gov/CONCORD/online?sn=InquiryServlet&eid=99>

- 7. Minimum Qualifications of Respondents.** To qualify for a contract award, a Respondent must have the following minimum qualifications:

- a. Ability to conduct business in the State of Connecticut
- b. At least five (5) years' experience in design and implementation of data quality plans, five (5) years' experience designing and leading collaborative data collection and reporting initiatives. Proposals must include the full capacity specified in this RFP. Proposals will not be considered if a proposer does not possess the capability of designing and implementing comprehensive data quality plans and the analysis of those plans.
- c. Proposals may be submitted from organizations that can demonstrate a minimum of five (5) years' experience in using data and the analysis of the data to inform Continuous Quality Improvement strategies. Proposals must include the full capacity specified in this RFP. Proposals will not be considered if a Proposer does not possess the capability to complete a data assessment and analytical review of the data to develop Continuous Quality Improvement plans and strategies.

- 8. Letter of Intent.** A Letter of Intent (LOI) is **required/mandatory** by this RFP, and is provided as **Attachment A**. The LOI is non-binding and does not obligate the

sender to submit a proposal. The LOI must be submitted to the Official Contact by e-mail by the deadline established in the Procurement Schedule. The LOI must clearly identify the sender, including name, postal address, telephone number, and e-mail address. It is the sender's responsibility to confirm the Department's receipt of the LOI. Failure to submit the required LOI in accordance with the requirements set forth herein shall result in disqualification from further consideration. At its discretion, the Department may distribute any addenda to this RFP to prospective proposers who submitted a LOI or attended the RFP Conference.

- 9. Inquiry Procedures.** All questions regarding this RFP or the Department's procurement process must be directed, in writing, to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or anonymous questions). Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. The Department reserves the right to answer questions only from those who have submitted a letter of intent. The Department may combine similar questions and give only one answer. All questions and answers will be compiled into a written amendment to this RFP. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such.

The agency will release the answers to questions on the date(s) established in the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and, the Department may distribute any amendments to this RFP to prospective Respondents who submitted a Letter of Intent or attended the RFP Conference.

- 10. Mandatory Virtual RFP Conference.** An RFP conference will be held to answer questions from prospective Respondents. Attendance at the conference is mandatory. Prospective Respondents who submit the Mandatory Letter of Intent will receive **an invitation via email the morning of the RFP Conference to join the Virtual Bidder's Conference.** Prospective Respondents **who do not attend the conference are automatically disqualified and ineligible to submit proposals.** Prospective Respondents are asked to bring a copy of the RFP to the virtual conference. At the conference, attendees will be provided an opportunity to submit written questions, which the Department's representatives may (or may not) answer at the conference. Any oral answers given at the conference by the Department's representatives are tentative and not binding on the Department. All questions submitted will be answered in a written addendum to this RFP, which will serve as the Department's official response to questions asked at the conference. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the addendum and duly noted as such. The agency will release the addendum on the date established in the Procurement Schedule. The Department will publish any and all addenda to this RFP on the State Contracting Portal.

- 11. Electronic Proposal Due Date and Time.** The Official Contact is the **only authorized recipient** of proposals submitted in response to this RFP. Electronic Proposals must be received by the Official Contact on or before the due date and time which is **March 5, 2021 3:00 PM EST.**

Proposals received after the due date and time will be ineligible and will not be evaluated. The Department will send an official letter alerting late Respondents of ineligibility.

An acceptable submission must include the following:

- a. One (1) conforming electronic copy of the original proposal.
- b. The proposal must be complete, properly formatted and outlined, and ready for evaluation by the Screening Committee.
- c. The electronic copy of the proposal must be emailed to the official agency contact for this procurement. The subject line of the email must read: **RFP# DMHAS SWS-PIT HIC 2021**. The required forms and appendices may be scanned and submitted as PDFs at the end of the main proposal document. **Please ensure the entire email submission is less than 25MB as this reflects The Department's server limitations.** Respondents should work to ensure there are not additional Information Technology (IT) limitations from the proposer's side.

12. Multiple Proposals. The submission of multiple proposals is not an option for this procurement

II. PURPOSE OF RFP AND SCOPE OF SERVICES

A. DEPARTMENT OVERVIEW

The Department of Mental Health and Addiction Services (DMHAS) is the state healthcare service agency responsible for behavioral health promotion, including the prevention and treatment of mental illness and substance abuse in Connecticut. The single overarching goal of DMHAS is promoting and achieving a quality-focused, culturally responsive, and recovery-oriented system of care.

Department Mission

“To promote the overall health and wellness of persons with behavioral health needs through integrated network of holistic, comprehensive, effective, and efficient services and supports that foster dignity, respect, and self-sufficiency in those we serve.”

B. PROGRAM OVERVIEW

Through the U.S. Department of Housing and Urban Development (HUD), communities are required to establish and maintain Continuum of Care (CoC) governing committees. CoCs are responsible for coordinating funding, policies, strategies and activities designed to end homelessness in their service area. There are two (2) CoCs within the state of Connecticut: the Connecticut Balance of State Continuum of Care (CT BOS) and Opening Doors Fairfield County (ODFC).

CoCs are required by HUD to:

1. Conduct a Point-In-Time (PIT) count of sheltered and unsheltered individuals experiencing homelessness, carried out on one (1) night in the last 10 calendar days of January;
2. Compile an inventory of emergency shelters, transitional housing, safe havens, and permanent housing projects designated to serve individuals experiencing homelessness and families (i.e., Housing Inventory Chart or HIC); and
3. Maintain an information system known as the Homeless Management Information System (HMIS) and to use the HMIS to generate systems performance measures in compliance with standards determined by HUD.

B.1. On behalf of and in collaboration with both CoCs, DMHAS supports the annual statewide PIT count of people experiencing homelessness. In support of this initiative, DMHAS has been designated by the CT BOS as the collaborative applicant to apply for Balance of State (BOS) Continuum of Care planning funds. DMHAS is seeking the services of a single qualified contractor to lead each of the activities summarized below:

1. Lead the Connecticut statewide Point-in-Time Count (PIT) of individuals experiencing homelessness including youth and compile the Housing Inventory Chart (HIC) for both CoCs;
2. Lead the development of reporting tools to enable CoC funded and non-CoC funded projects operating within the CT BOS and ODFC CoCs to run project level performance reports on the applicable systems performance measures as defined by HUD;
3. Provide adequate training for CoC providers on how to run the performance reports described in this document, how to identify and correct data quality problems that may be impacting validity of the performance data, and how to use the reports to inform Continuous Quality Improvement efforts; and

4. Provide written instructions for providers on how to run the reports and how to identify and correct data quality problems that may be impacting validity of the performance data.

C. SCOPE OF SERVICE REQUIREMENTS

1. Service Requirements

- a. POINT-IN-TIME COUNT and HOUSING INVENTORY CHART: The selected contractor will be responsible for the overall management of the project and timely delivery of all data and other information needed by CoCs to fulfill their 2022 Homeless Point-in-Time Count obligations in a manner that complies with current guidance as issued by HUD. This includes ensuring timely delivery of all products by subcontractors and coordinating closely with other project partners to ensure the project remains on schedule. Primary project deliverables are noted directly below. Other contract deliverables are detailed immediately below.
- b. HMIS PERFORMANCE REPORTS: The selected contractor will be responsible for the overall management of the project and timely completion of all deliverables as indicated in this document and in a manner that complies with HUD guidance. This includes ensuring timely delivery of all products by subcontractors and coordinating closely with other project partners to ensure the project remains on schedule according to the contract developed as a result of this RFP. Primary project deliverables are noted directly below. Other contract deliverables and additional details are described below. DMHAS is seeking a partnership with an organization that:
 - 1) Uses reporting tools to enable CoC funded and non-CoC funded projects operating within the CT BOS and ODFC CoCs to run project level performance reports on the applicable systems performance measures as defined by HUD. Current guidance is available at: [HUD FY2020 HMIS Data Standards](#)
 - 2) Uses reporting tools to enable DMHAS Office of the Commissioner staff to run project level performance reports on the applicable systems performance measures and HUD Annual Performance Report (APR) Data for projects where DMHAS is the grantee.
 - 3) Monitors and integrates new guidance issued by HUD.
 - 4) Provides training for providers on how to run the reports described in this document, how to identify and correct data quality problems that may be impacting validity of the performance data, and providing examples of how a project might use the reports to inform continuous quality improvement efforts.
 - 5) Provides written instructions for providers on how to run the reports and how to identify and correct data quality problems that may be impacting validity of the performance data.

2. **Financial Requirements** If the applicant is not a current DMHAS contractor, a copy of the applicant's most recent financial audit must be included in the proposal. This is required to prove the financial stability and viability of the applicant agency.

Any proposer agency that does not hold a current contract with the Department must submit cover letters from the agency's auditor for the last three (3) annual

audits of their agency and a copy of their most recent financial audit. Letters and a copy of the most recent audit must be included in Section I of the proposal. If less than three 3 audits were conducted, detail must be provided as to why, and any supporting documentation assuring the financial efficacy of the applicant agency should be included (i.e. an accountant-prepared financial statement, a tax return, etc.). If the three (3) most recent audits are available via the Office of Policy and Management's Electronic Audit Reporting System (EARS) such may be noted in the proposal, and a hardcopy of the audit need not be provided.

All Proposers must budget for professional liability insurance coverage for errors, omissions, commissions, negligence, incompetence and malfeasance. Such insurance must be maintained throughout any resulting contract.

D. PERFORMANCE MEASURES

The following performance metrics highlight key priorities that will be analyzed with providers collaboratively during the life of the contract. This is not an exhaustive list, but rather an indication of significant performance metrics of interest to The Department. The Department looks forward to working with the contractor to define additional important performance metrics, such as:

Develop methodology for the statewide Point In Time (PIT) annual count plan and execute the annual PIT count to include:

1. Clearly outlining and communicating roles and responsibilities of all project partners;
2. Establishing a detailed timeline for all required status reports;
3. Establishing a plan for ensuring that HIC data is updated;
4. Establishing a plan to ensure that HIC and Sheltered and Unsheltered PIT count data are submitted to the Department;
5. Establishing a data quality assurance plan that ensures all data required in the Homeless Data Exchange (HDX) is available for review and meets HUD standards; and
6. Identifying and executing all steps necessary to ensure all other HUD deadlines are met

D.1

Prepare and share with the Department and local CoCs, bi-weekly project status updates, including:

1. Tasks that are completed on time or are delayed;
2. Data quality concerns;
3. Revisions to the project timeline;
4. Update and deliver to CoCs accurate HIC data that reflects current program information as anticipated on the night of the count;
5. Update the HIC post the PIT count;
6. Manage and execute the statewide sheltered and unsheltered PIT count;
7. Produce, and share with the Department and CoCs, preliminary sheltered and unsheltered data reports.
8. Produce, and share with the Department and CoCs, updated sheltered and unsheltered data reports resolving any issues noted by CoCs;
9. Produce and share with the Department and CoCs responses to all questions related to HIC and statewide PIT count methodology as required in the HDX;
10. Convene a final debriefing meeting; and
11. Produce and share with the Department and CoCs all responses to all questions related to the statewide PIT count and HIC methodology.

■ E. CONTRACT MANAGEMENT/DATA REPORTING

Respondents will describe how to enhance contract management, improve results, and adjust service delivery and policy based on learning what works. Reliable and relevant data is necessary to ensure compliance, inform trends to be monitored, evaluate results and performance, and drive service improvements. As such, DMHAS reserves the right to request/collect other key data and metrics from providers.

III. PROPOSAL SUBMISSION OVERVIEW

A. SUBMISSION FORMAT

1. **Required Outline.** All proposals must follow the required outline presented in Section IV – Proposal Outline. Proposals that fail to follow the required outline will be deemed non-responsive and not evaluated.
2. **Cover Sheet.** The Cover Sheet is Page 1 of the proposal, and is provided as **Attachment B.** The Respondent must develop a Cover Sheet that includes the information below. *Legal Name* is defined as the name of private provider organization, CT State agency, or municipality submitting the proposal. *Contact Person* is defined as the individual who can provide additional information about the proposal or who has immediate responsibility for the proposal. *Authorized Official* is defined as the individual empowered to submit a binding offer on behalf of the Respondent to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto.
 - a. RFP Name or Number:
 - b. Legal Name:
 - c. Street Address:
 - d. Town/City/State/Zip:
 - e. Contact Person:
 - f. Title:
 - g. Phone Number:
 - h. E-Mail Address:
 - i. Authorized Official:
 - j. Title:
 - k. Signature:
3. **Table of Contents.** All proposals must include a Table of Contents that conforms with the required proposal outline.
4. **Executive Summary.** Proposals must include a high-level summary, not exceeding two (2) pages, of the main proposal and cost proposal.
5. **Attachments.** Attachments other than the required Appendices or Forms identified in the RFP are not permitted and will not be evaluated. Further, the required Appendices or Forms must not be altered or used to extend, enhance, or replace any component required by this RFP. Failure to abide by these instructions will result in disqualification.
6. **Style Requirements.** **THIS IS AN ELECTRONIC SUBMISSION.**

Submitted proposals must conform to the following specifications:

 - a. Paper Size: 8 ½ x 11" (Standard Letter)
 - b. Page Limit: Main Proposal limit 20 pages (not including appendices)
 - c. Font Size: 12 points
 - d. Font Type: Times New Roman
 - e. Margins: 1 inch
 - f. Line Spacing: 1.5

- 7. Pagination.** The Respondent's name must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.
- 8. Declaration of Confidential Information.** Respondents are advised that all materials associated with this procurement are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations and interpretations resulting from them. If a Respondent deems that certain information required by this RFP is confidential, the Respondent must label such information as CONFIDENTIAL prior to submission. In subsection _F_ of the proposal submission, the Respondent must reference where the information labeled CONFIDENTIAL is located in the proposal. *EXAMPLE: Section G.1.a.* For each subsection so referenced, the Respondent must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the Respondent that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).
- 9. Conflict of Interest - Disclosure Statement.** Respondents must include a disclosure statement concerning any current business relationships (within the last three (3) years) that pose a conflict of interest, as defined by C.G.S. § 1-85. A conflict of interest exists when a relationship exists between the Respondent and a public official (including an elected official) or State employee that may interfere with fair competition or may be averse to the interests of the State. The existence of a conflict of interest is not, in and of itself, evidence of wrongdoing. A conflict of interest may, however, become a legal matter if a Respondent tries to influence, or succeeds in influencing, the outcome of an official decision for their personal or corporate benefit. The Department will determine whether any disclosed conflict of interest poses a substantial advantage to the Respondent over the competition, decreases the overall competitiveness of this procurement, or is not in the best interests of the State. In the absence of any conflict of interest, a Respondent must affirm such in the disclosure statement. *Example: "[name of Respondent] has no current business relationship (within the last three (3) years) that poses a conflict of interest, as defined by C.G.S. § 1-85."*

B. EVALUATION OF PROPOSALS

- 1. Evaluation Process.** It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful Respondents, and awarding contracts, the Department will conform with its written procedures for POS and PSA procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85). Final funding allocation decisions will be determined during contract negotiation.
- 2. Review Committee.** The Department will designate a Review Committee to evaluate proposals submitted in response to this RFP. The Review Committee will be composed of individuals, Department staff or other designees as deemed appropriate. The contents of all submitted proposals, including any confidential information, will be shared with the Review Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. The Review Committee

shall evaluate all proposals that meet the Minimum Submission Requirements by score and rank ordered and make recommendations for awards. The Department Head will make the final selection. Attempts by any Respondent (or representative of any Respondent) to contact or influence any member of the Review Committee may result in disqualification of the Respondent.

- 3. Minimum Submission Requirements.** To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the Proposal Format requirements; (3) follow the required Proposal Outline; and (4) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Department will reject any proposal that deviates significantly from the requirements of this RFP.
- 4. Evaluation Criteria (and Weights).** Proposals meeting the Minimum Submission Requirements will be evaluated according to the established criteria. The criteria are the objective standards that the Review Committee will use to evaluate the technical merits of the proposals. Only the criteria listed below will be used to evaluate proposals. The weights are disclosed below:

- | | |
|--------------------------------|-----------|
| a. Organizational Profile | 5 points |
| b. Scope of Services | 15 points |
| c. Staffing Plan | 15 points |
| d. Data and Technology | 15 points |
| e. Subcontractors | 10 points |
| f. Work Plan | 15 points |
| g. Financial Profile | 5 points |
| h. Cultural Competence | 5 points |
| i. Budget and Budget Narrative | 10 points |
| j. Appendices | 5 points |

What would a top score look like?
Respondent has history of designing and leading data collection and community initiatives and the technology used to communicate, train and manage data.
Respondent has the ability to design and implement customized reports, and to deliver that data to a variety of stakeholders.
Respondent and/or the Respondent subcontractor has the technology necessary to be able to comply with the HUD FY2020 HMIS Data Standards or the most current version of those standards.
Respondent and/or the Respondent subcontractor has a staffing pattern that is comparable to the level of effort.

Note:

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

- 5. Respondent Selection.** Upon completing its evaluation of proposals, the Review Committee will submit the rankings of all proposals to the Department head. The final selection of a successful Respondent is at the discretion of the Department head. Any Respondent selected will be so notified and awarded an opportunity to

negotiate a contract with the Department. Such negotiations may, but will not automatically, result in a contract. Pursuant to Governor M. Jodi Rell's Executive Order No. 3, any resulting contract will be posted on the State Contracting Portal. All unsuccessful Respondents will be notified by e-mail, at the Department's discretion, about the outcome of the evaluation and Respondent selection process. The Department reserves the right to decline to award contracts for activities in which the Department head considers there are not adequate Respondents.

- 6. Debriefing.** Within ten (10) days of receiving notification from the Department, unsuccessful Respondents may contact the Official Contact and request information about the evaluation and Respondent selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the ten (10) days. If unsuccessful Respondents still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the evaluation process and their proposals. If held, the debriefing meeting will not include any comparisons of unsuccessful proposals with other proposals. The Department will schedule and hold the debriefing meeting within fifteen (15) days of the request. The Department will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.
- 7. Appeal Process.** Respondents may appeal any aspect the Department's competitive procurement, including the evaluation and Respondents selection process. Any such appeal must be submitted to the Department head. A Respondent may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful Respondents about the outcome of the evaluation and Respondent selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. The filing of an appeal shall not be deemed sufficient reason for the Department to delay, suspend, cancel, or terminate the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.
- 8. Contest of Solicitation or Award.** Pursuant to Section 4e-36 of the Connecticut General Statutes, "Any bidder or Proposer on a state contract may contest the solicitation or award of a contract to a subcommittee of the State Contracting Standards Board..." More detailed information is available on the State Contracting Standards Board website at <http://www.ct.gov/scsb/site/default.asp>.
- 9. Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Department's contracting procedures, which may include approval by the Office of the Attorney General. Fully executed and approved contracts will be posted on State Contracting Portal.

IV. PROPOSAL SUBMISSION OUTLINE

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

A. Cover Sheet

B. Table of Contents

C. Executive Summary

D. Main Proposal

E. Attachments (clearly referenced to summary and main proposal where applicable)

F. Declaration of Confidential Information

G. Conflict of Interest - Disclosure Statement

H. Statement of Assurances

A: Cover Sheet Please refer to Attachment A

The Respondent must use a Cover Sheet capturing the following information:

1. RFP Name or Number:
2. Legal Name:
3. Street Address:
4. Town/City/State/Zip:
5. Contact Person:
6. Title:
7. Phone Number:
8. E-Mail Address:
9. Authorized Official:
10. Title:
11. Signature:

Legal Name is defined as the name of private provider organization, CT State agency, or municipality submitting the proposal. *Contact Person* is defined as the individual who can provide additional information about the proposal or who has immediate responsibility for the proposal. *Authorized Official* is defined as the individual empowered to submit a binding offer on behalf of the Respondent to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto.

B: Table of Contents

Respondents must include a Table of Contents that lists sections and subsections with page numbers that follow the organization outline and sequence for this proposal.

C: Executive Summary

The page limitation for this section is two (2) pages briefly describing how the Respondent meets the eligibility and qualifications criteria outlined in the Proposal Overview and a brief overview of why the Respondent should be selected for the activities highlighted in the scope of services. Response to the **Executive Summary is not counted in the 20-page limitation.**

D: Main Proposal Submission Questions

Please note the maximum total page length for Section D is 20 pages (all appendices and other attachments should be referred to in Section D and then placed in Section E. The Department Review Committee will not read answers longer than 20 pages in this section. Possible areas of inquiry may include, but are not limited, to the following:

1. POINT IN TIME COUNT and HOUSING INVENTORY COUNT PROJECT MANAGEMENT DELIVERABLES.

Proposals must address:

a. Project Plan: The plan must at a minimum include the following elements:

- 1) Clearly outline roles and responsibilities of all project partners (e.g., contractor, subcontractor(s), CoC liaisons, Coordinated Access Network (CAN) liaisons, Regional Coordinators).
- 2) A detailed timeline for all required tasks including, the responsible partner and a clear description of and target date for each task.
- 3) An establish plan for ensuring that HIC data is updated and current by no later than first week of January 2022.
- 4) An established plan for ensuring that HIC, Sheltered and Unsheltered PIT data, including demographic data, is submitted by providers and Regional Coordinators and complete by no later than three (3) weeks after the date of the count.
- 5) An established data quality assurance plan that ensures all data required in HDX is available and meets HUD standards. This plan must at a minimum include:
 - a) HIC/PIT data comparisons to previous HIC/PIT data to identify possible quality issues.
 - b) Data validation strategies to prevent users from entering inaccurate data and omitting required data.
 - c) Data validation strategies to ensure that data provided will not trigger errors in HDX and that data matches across data sets.
- 6) Steps to ensure that program changes that occur after the count date do not impact count data. The plan must also assign responsibility and a target date for each data quality assurance task.

7) Steps necessary to ensure all other deadlines outlined in this document are met.

- b. Methodology:** A comprehensive narrative description of the methodology for both the Sheltered and Unsheltered PIT counts. This includes a description of the methodology for producing all HUD required population and subpopulation counts, the methodology for extrapolation as necessary to accommodate missing data, and the methodology for unsheltered count block group sampling.
- c. Bi-Weekly Project Status Updates:** Prepare and share with DMHAS and CoCs bi-weekly project status updates, and until all data is final and submitted in HDX and the Statewide Count Report is released. These updates must, at a minimum, report:
 - 1) Whether tasks are completed on time or are delayed.
 - 2) Reasons for delays and corrective actions that will be taken by the contractor and/or actions requested by DMHAS and/or CoCs to ensure timeliness of all deliverables.
 - 3) Data quality concerns.
 - 4) As necessary, the status updates should include revisions to the project timeline to ensure ongoing clarity among all partners, regarding who is responsible for doing what, and by when.
- d. Housing Inventory Chart Deliverables:** Specific deliverables related to the HIC are outlined below, and proposals must address how such will be achieved:
 - 1) Preliminary HIC Updates: No later than the first week of January 2022, work with providers and CAN to update and deliver to CoCs accurate HIC data that reflects current program information as anticipated on the night of the count, including all fields required by HUD. Ensure that the data system used for the 2022 PIT Count is based on current HUD guidelines and a current and accurate inventory of programs.
 - 2) Final HIC DATA: Work with providers and CoCs to update post count, as necessary, and deliver to CoCs current and accurate final HIC data no later than four (4) weeks after the 2022 count date.
- e. Sheltered and Unsheltered PIT Count Deliverables:** Specific deliverables related to the PIT Count are outlined below, and proposals must address how such will be achieved:
 - 1) Count Regions: Within 60 days of award, update count regions to reflect current local organizational structures as determined in consultation with DMHAS and CoCs and recruit Regional Coordinators for all regions.
 - 2) Sampling Strategy: No later than December 15, 2021, update unsheltered count sampling strategy to ensure sampling reflects current regional structures and results in valid estimates of unsheltered homelessness.
 - 3) Kick-Off: No later than December 15, 2022, convene a kick-off meeting for all Regional Coordinators and interested CoC and CAN parties. Kick-Off meeting

must at a minimum provide sufficient orientation for new Regional Coordinators, a detailed description of partner roles and responsibilities, a detailed project timeline, and instructions and all appropriate materials and strategic guidance.

4) Volunteer Recruitment, Coordination and Training: No later than two (2) weeks prior to the count date, lead statewide efforts to recruit sufficient volunteers to conduct the count. Connect volunteers with the appropriate Regional Coordinator. Provide regional coordinators with all guidance and materials they need to ensure each volunteer team includes an experienced/knowledgeable leader and all volunteers receive appropriate training. Coordinate with CoCs to ensure that training includes specific guidance related to CoC policies.

5) Count Materials: No later than two (2) weeks prior to the count date, finalize and make available, on-line, all final materials and guidance necessary to conduct the count in accordance with current HUD guidelines including survey instruments.

6) Training: No later than two (2) weeks prior to the count date, convene training(s) for all Regional Coordinators, participating providers and interested CoC parties.

7) Conduct Count: Provide real-time guidance and technical assistance to Regional Coordinators, participating providers and count volunteers on the night of the count. Ensure all data systems needed to conduct the count are fully operational. Count date will be determined in consultation with DMHAS and CoCs and in accordance with HUD requirements.

8) Preliminary Debrief: No later than one (1) week after the date of the count, convene a debriefing meeting with Regional Coordinators and interested CoC and CAN representatives. Document findings and make recommendations for the 2023 count.

9) Data Management: Collect, manage and enter all PIT count data, including all HMIS and survey data necessary to generate population, subpopulation and demographic counts. Alert CoCs to missing data within 10 days of the count date. All data must be collected and entered no later than three (3) weeks after the date of the count.

10) Data Quality Assurance: Lead data quality assurance strategies in accordance with the data quality assurance plan and plan date parameters.

11) Initial Pit Count Data Reports: Produce and share with CoCs preliminary Sheltered and Unsheltered data reports. Reports must include complete population, subpopulation and demographic data and must have been reviewed and corrected in accordance with the data quality assurance plan prior to delivery to CoCs. Sheltered data reports must be produced and shared no later than four (4) weeks and Unsheltered data reports must be produced and shared no later than six (6) weeks after the date of the count.

12) Second Run Pit Count Data Reports: Produce and share with CoCs updated Sheltered and Unsheltered data reports resolving any issues noted by CoCs. Reports must include complete population, subpopulation and demographic data and must have been reviewed and corrected in accordance with the data quality

assurance plan prior to delivery to CoCs. Sheltered data reports must be produced and shared no later than six (6) weeks and Unsheltered data reports must be produced and shared no later than eight (8) weeks after the date of the count.

13)CoC Pit Data Reports: Produce and share with CoCs and CANs updated Sheltered and Unsheltered data reports resolving any issues noted by CoCs. Reports must include complete population, subpopulation and demographic data and must have been reviewed and corrected in accordance with the data quality assurance plan prior to delivery to CoCs and must show all data at the CoC level. Sheltered data reports must be produced and shared no later than seven (7) weeks and Unsheltered data reports must be produced and shared no later than nine (9) weeks after the date of the count.

14)Final Pit Count Data Reports: Produce and share with CoCs final Sheltered and Unsheltered data reports resolving all issues noted by CoCs. Reports must include complete population, subpopulation and demographic data and must have been reviewed and corrected in accordance with the data quality assurance plan prior to delivery to CoCs. Sheltered data reports must be produced and shared no later than eight (8) weeks and Unsheltered data reports no later than 10 weeks after the date of the count.

15)HDX Methodology: No later than three (3) weeks prior to HDX deadline, produce and share with CoCs responses to all questions related to PIT/HIC methodology as required in HDX.

16)Draft Statewide PIT Count Report: No later than two (2) weeks after the HDX submission deadline, compile and share with DMHAS, CoCs and CANs the draft Statewide PIT Count Report.

17)Final Statewide PIT Count Report: Finalize and make public the Statewide PIT Count Report no later than three (3) weeks after the HDX submission deadline.

18)Final PIT Count Debrief: Convene a final debriefing meeting with Regional Coordinators and interested CoC representatives. Document findings and make recommendations for the 2023 count no later than four (4) weeks after the HDX submission deadline.

19)CoC Application Methodology: Produce and share with DMHAS and CoCs all responses to all questions related to PIT and HIC methodology as required in the CoC Application no later than three (3) weeks after the release of the CoC Application by HUD.

20)HMIS Performance Reports Deliverables: Specific deliverables related to the HMIS Reports are outlined below, and proposals must address how such will be achieved.

a) Project Status Updates: Prepare and share with DMHAS and the CoC Steering Committee monthly written project status updates beginning with contract execution and until all deliverables are finalized. These updates must, at a minimum, report:

i. Whether tasks are completed on time or are delayed.

- ii. Reasons for delays and corrective actions that will be taken by the contractor and/or actions requested by DMHAS and/or the CoCs to ensure timeliness of all deliverables.
 - iii. As necessary, the status updates should include revisions to the project timeline.
- b) Project Level Reporting Tools: No later than 120 days' post award, propose to the CoC Steering Committee draft templates for all reporting tools as described below, incorporate feedback from the Steering Committee, finalize and release the reporting tools. Reporting tools must:
- i. Enable all CoC funded and non CoC funded projects operating within the CT BOS and ODFC CoCs whose data contributes to CoC system performance outcomes as defined by HUD to run project-level performance reports on all HUD systems performance measures that are applicable at the project level.
 - ii. Enable provider staff without technical expertise to generate reports.
 - iii. Produce data reports that are easily understood by provider staff at all levels.
 - iv. Enable providers to select the data range for which they would like to analyze performance.
 - v. Enable providers to select date ranges for which they would like to analyze comparative performance over time for their project and show performance comparisons across multiple date ranges (e.g. comparing performance for 2019, 2020 and 2021).
 - vi. Enable providers to compare their project's performance to the performance of other projects of the same type within the CoC.
 - vii. Enable DMHAS Office of the Commissioner (OOC) Project Manager to access and run HMIS HUD performance reports and HUD Annual Performance Report (APR) reports for all projects where DMHAS is the grantee.
- c) Provider Training and Resources: No later than 210 days' post award:
- i. Provide written instructions for providers on how to run the reports for themselves and how to identify and correct data quality problems that may be impacting validity of the performance data.
 - ii. Develop and record web-based training session(s) on how to run the reports described above and how to identify and correct data quality problems that may be impacting validity of the performance data.
 - iii. Conduct monthly one-hour long Question and Answer (Q&A) sessions via webinar for providers to ask questions in real time.
 - iv. Provide and disseminate an initial set of performance reports showing actual project level performance data for all CoC funded and non CoC funded projects operating within the CT BOS and ODFC CoCs whose data contributes to CoC system performance outcomes.
 - v. Make all training resources, including slides, webcast and written instructions available on-line.
- d) CoC Reports: No later than 240 calendar days' post award, propose to the CoC Steering Committee draft templates for all reporting tools as

described below. Incorporate feedback from the Steering Committee, finalize and release the reporting tools. Reporting tools must:

- i. Enable the CoCs to generate reports showing project level performance on all HUD systems performance measures that are applicable at the project level for all CoC funded and non CoC funded projects operating within the CT BOS and ODFC CoCs whose data contributes to CoC system performance outcomes as defined by HUD.
- ii. Enable authorized CoC stakeholders without technical expertise to generate reports.
- iii. Produce data reports that are easily understood by the CoC Steering Committee and help the Steering Committee to understand which projects demonstrate strong, average, and below average performance and which projects have the biggest impact on overall CoC system performance.
- iv. Produce data reports that are easily understood by the CoC Steering Committee and help the Steering Committee to understand which projects demonstrate strong, average, and below average performance and which projects have the biggest impact on overall CoC system performance.
- v. Enable the CoCs to select the data range for which they would like to analyze performance.
- vi. Enable the CoCs to select the project types for which they would like to analyze performance.

2. PARTNERSHIP. DMHAS is seeking a partnership with an organization that has the following:

Proposals must address:

- a. Experience in successfully designing and leading a collaborative data collection and reporting initiative of similar size and scope.
- b. Experience managing similar projects and a proven track record of ensuring timely delivery of all products and coordinating closely with project partners to ensure that projects remain on schedule.
- c. Knowledge of HUD HMIS requirements and data standards and experience working with HMIS systems.
- d. Familiarity with HUD PIT Sheltered and Unsheltered Count and HIC guidelines and methodologies.
- e. Familiarity with HUD Systems Performance Measures, including HMIS programming specifications.
- f. Qualifications and experience in conducting surveys, especially with homeless populations, and in designing sampling strategies that result in reliable findings.
- g. Qualifications and experience in design and implementation of data quality plans.
- h. Qualifications and experience in using data to inform Continuous Quality Improvement strategies.
- i. Experience in gaining buy-in and participation from community leaders, consumers, providers, and others for similar initiatives.
- j. Demonstrated ability to communicate clearly, prevent and resolve issues, and organize complex projects.

- k. Ability to write clear, concise, and compelling documents and to present data in a manner that is easily understood by a range of stakeholders and useful for informing project and systems level decisions.

3. STAFFING PLAN.

Proposals must address:

Proposals must include the names of all personnel, estimated percentage of time personnel will work on project, salaries of each position, including all subcontractors, and associated personnel, who will be assigned to work on the project. Provide each person's education and previous professional experience on projects of a similar size and scope and identify each person's role and responsibilities on the project. Resumes for each known staff member must be included as part of Section IV.

4. DATA and TECHNOLOGY.

Proposals must address:

At a minimum, the Respondent should have the technology necessary to be able to comply with the [HUD FY2020 HMIS Data Standards](#) or the most current version of those standards.

- a. Proposal must provide a minimum of two (2) detailed examples of the applicant's recent experience designing and leading initiatives of similar size and scope, including dates and names of partners on the initiative and the technology used to communicate, train and manage data.
- b. Describe the applicant's ability to design and implement customized reports, and to deliver that data to a variety of stakeholders.
- c. Illustrate your organization's understanding of HMIS programming specifications, as well as practices for ensuring that the HMIS software vendors programming matches/is in alignment with what the federal partner required in their PIT and HIC specifications, including safe guards to ensure protected health information is maintained in a confidential manner.
- d. Provide a detailed description of your process for managing data, with particular emphasis on how your organization shall set and ensure that all data quality standards have been met.
- e. Methodology for the statewide Point In Time (PIT) annual count, and a comprehensive narrative description of the methodology to be utilized for both the Sheltered and Unsheltered PIT count. This shall include a description of the methodology for producing all HUD required population and subpopulation counts, inclusive of the target population of youth, ages 12-24, the methodology for extrapolation as necessary to accommodate missing data, and the methodology for unsheltered count block group sampling.
 - 1) Clearly outlining communication roles and responsibilities of all project partners (e.g., contractor, subcontractor(s), Regional Coordinators), as defined by the Department.
 - 2) Plan for ensuring that HIC data is updated and how data quality assurance ensures all data required in the HDX is available for review and meets HUD

standards.

5. SUBCONTRACTORS.

If RFP includes the use of any subcontractors for the provision or delivery of a service, the purpose of this subsection is to gather information about the administrative and operational capabilities of each such subcontractor. The specifics of the information requested are left to the Department's discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a.** Legal Name of Agency, Address,
- b.** Contact Person, Title, Phone, Fax, E-mail
- c.** Services Currently Provided
- d.** Services To Be Provided Under Subcontract
- e.** Subcontractor Oversight
- f.** Subcontract Cost and Term

6. PROFESSIONAL APPROACH.

Proposals must address the Respondent's approach to:

- a.** Methodology: Narrative description that can be approved by CoCs in advance of the count, methodology information required in Homeless Data Exchange (HDX), and methodology information required in the CoC application;
- b.** Housing Inventory Chart in a format required by HUD. Current guidance is available at: [HUD FY2020 HMIS Data Standards](#)
- c.** Sheltered Point-in-Time Count, including population, subpopulation, and demographic data;
- d.** Unsheltered Point-in-Time Count, including population, subpopulation, and demographic data;
- e.** Contractor is also responsible for delivering a Statewide Count Report that includes at a minimum:
 - 1) Executive Summary highlighting key findings;
 - 2) Narrative description of Sheltered and Unsheltered count methodologies;
 - 3) Graphic and narrative descriptions of Sheltered and Unsheltered total population, subpopulation and demographic data and other information as required by HUD;
 - 4) Survey instruments used;
 - 5) Mobile applications used to collect data;
 - 6) Data tables showing Sheltered and Unsheltered population and subpopulation data at the state, CoC and sub-CoC levels and other information as required by HUD.
- f.** Contractor is responsible for ensuring the timely announcement of all count related trainings and meetings. Announcements must occur at least three (3) weeks in advance of each training and/or meeting date scheduled.

7. COST COMPETITIVE AND BUDGET NARRATIVE.

The purpose of this subsection is to gather information about how the Respondent developed the proposed budget and cost allocations. The specifics of the information requested are left to the Department's discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a.** Respondents must provide a line item budget delineating all costs associated with the proposed services and to include any subcontractor costs. All other funding,

including applicant agency financial support and income from other sources must be identified.

- b. A budget form is included as **Attachment C** in Section VI of this RFP. All startup costs must be clearly identified.
- c. Budgets must also include a budget narrative to correlate to all identified line item costs. All **startup** costs must also be separately and clearly detailed in the budget narrative.

9. REFERENCES.

The proposal must include a minimum of three (3) Letters of Reference. This is not a Letter of Support. Letters must include name, title, address, phone number, email address and a description of a project completed by the Respondent Agency for the referencing agency within the past four (4) years. Letters of Reference should be included as part of Section IV.

E: Attachments

Attachments other than the required attachments identified are not permitted and will not be evaluated. See the Proposal Checklist in Appendix VI for a list of relevant attachments. Further, the required attachments must not be altered or used to extend, enhance, or replace any component required by this RFP. Failure to abide by these instructions may result in disqualification.

F: Declaration of Confidential Information

If a Respondent deems that certain information required by this RFP is confidential, the Respondent must label such information as CONFIDENTIAL prior to submission. The Respondent must reference where the information labeled CONFIDENTIAL is located in the proposal. *EXAMPLE: Section G.1.a.* For each subsection so referenced, the Respondent must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the Respondent that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).

G: Conflict of Interest – Disclosure Statement

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

H: Statement of Assurances

Place after Conflict of Interest-Disclosure Statement. Sign and return Appendix VI.

V. MANDATORY PROVISIONS

This section of the RFP provides information about the State's mandatory procurement and contracting requirements, including, the standard Purchase of Service contract, Respondent assurances, the terms and conditions of this RFP, the rights reserved to the State, and compliance with statutes and regulations. The Department is solely responsible for rendering decisions in matters of interpretation of all mandatory provisions. Section V is standard for all RFPs for POS and the content does not vary.

■ A. POS STANDARD CONTRACT, PARTS I AND II

By submitting a proposal in response to this RFP, the Respondent implicitly agrees to comply with the provisions of Parts I and II of the State's "standard contract" for POS:

Part I of the standard contract is maintained by the Department and will include the scope of services, contract performance, quality assurance, reports, terms of payment, budget, and other program-specific provisions of any resulting POS contract. A sample of Part I is available from the Department's Official Contact upon request.

Part II of the standard contract is maintained by OPM and includes the mandatory terms and conditions of the POS contract. Part II is available on OPM's website at: http://www.ct.gov/opm/fin/standard_contract

Note:

Included in Part II of the standard contract is the State Elections Enforcement Commission's notice (pursuant to C.G.S. § 9-612(g)(2)) advising executive branch State contractors and prospective State contractors of the ban on campaign contributions and solicitations. If a Respondent is awarded an opportunity to negotiate a contract with the Department and the resulting contract has an anticipated value in a calendar year of \$50,000 or more, or a combination or series of such agreements or contracts has an anticipated value of \$100,000 or more, the Respondent must inform the Respondent's principals of the contents of the SEEC notice.

Part I of the standard contract may be amended by means of a written instrument signed by the Department, the selected Respondent (contractor), and, if required, the Attorney General's Office. Part II of the standard contract may be amended only in consultation with, and with the approval of, the Office of Policy and Management and the Attorney General's Office.

■ B. ASSURANCES

By submitting a proposal in response to this RFP, a Respondent implicitly gives the following assurances:

- 1. Collusion.** The Respondent represents and warrants that the Respondent did not participate in any part of the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance. The Respondent further represents and warrants that no agent, representative, or employee of the State participated directly in the preparation of the Respondent's proposal. The Respondent also

represents and warrants that the submitted proposal is in all respects fair and is made without collusion or fraud.

- 2. State Officials and Employees.** The Respondent certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFP. The Department may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the Respondent, contractor, or its agents or employees.
- 3. Competitors.** The Respondent assures that the submitted proposal is not made in connection with any competing organization or competitor submitting a separate proposal in response to this RFP. No attempt has been made, or will be made, by the Respondent to induce any other organization or competitor to submit, or not submit, a proposal for the purpose of restricting competition. The Respondent further assures that the proposed costs have been arrived at independently, without consultation, communication, or agreement with any other organization or competitor for the purpose of restricting competition. Nor has the Respondent knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.
- 4. Validity of Proposal.** The Respondent certifies that the proposal represents a valid and binding offer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto. The proposal shall remain valid for a period of 180 days after the submission due date and may be extended beyond that time by mutual agreement. At its sole discretion, the Department may include the proposal, by reference or otherwise, into any contract with the successful Respondent.
- 5. Press Releases.** The Respondent agrees to obtain prior written consent and approval of the Department for press releases that relate in any manner to this RFP or any resultant contract.

■ C. TERMS AND CONDITIONS

By submitting a proposal in response to this RFP, a Respondent implicitly agrees to comply with the following terms and conditions:

- 1. Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.
- 2. Preparation Expenses.** Neither the State nor the Department shall assume any liability for expenses incurred by a Respondent in preparing, submitting, or clarifying any proposal submitted in response to this RFP.
- 3. Exclusion of Taxes.** The Department is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Respondents are liable for any other applicable taxes.
- 4. Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the

contract.

- 5. Changes to Proposal.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Department may request and authorize Respondents to submit written clarification of their proposals, in a manner or format prescribed by the Department, and at the Respondent's expense.
- 6. Supplemental Information.** Supplemental information will not be considered after the deadline submission of proposals, unless specifically requested by the Department. The Department may ask a Respondent to give demonstrations, interviews, oral presentations or further explanations to clarify information contained in a proposal. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Department. At its sole discretion, the Department may limit the number of Respondents invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per Respondent.
- 7. Presentation of Supporting Evidence.** If requested by the Department, a Respondent must be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. The Department may make onsite visits to an operational facility or facilities of a Respondent to evaluate further the Respondent's capability to perform the duties required by this RFP. At its discretion, the Department may also check or contact any reference provided by the Respondent.
- 8. RFP Is Not An Offer.** Neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or the Department or confer any rights on any Respondent unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the Respondent and the Department and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the Respondent or for payment of services under the terms of the contract until the successful Respondent is notified that the contract has been accepted and approved by the Department and, if required, by the Attorney General's Office.

■ D. RIGHTS RESERVED TO THE STATE

By submitting a proposal in response to this RFP, a Respondent implicitly accepts that the following rights are reserved to the State:

- 1. Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the Department.
- 2. Amending or Canceling RFP.** The Department reserves the right to amend or cancel this RFP on any date and at any time, if the Department deems it to be necessary, appropriate, or otherwise in the best interests of the State.
- 3. No Acceptable Proposals.** In the event that no acceptable proposals are submitted in response to this RFP, the Department may reopen the procurement process, if it is determined to be in the best interests of the State.

- 4. Award and Rejection of Proposals.** The Department reserves the right to award in part, to reject any and all proposals in whole or in part, for misrepresentation or if the proposal limits or modifies any of the terms, conditions, or specifications of this RFP. The Department may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Department reserves the right to reject the proposal of any Respondent who submits a proposal after the submission date and time.
- 5. Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.
- 6. Contract Negotiation.** The Department reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Department further reserves the right to contract with one or more Respondent for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFO) on cost from Respondents. The Department may set parameters on any BFOs received.
- 7. Clerical Errors in Award.** The Department reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a Respondent and subsequently awarding the contract to another Respondent. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial Respondent is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the Respondent.
- 8. Key Personnel.** When the Department is the sole funder of a purchased service, the Department reserves the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Department also reserves the right to approve replacements for key personnel who have terminated employment. The Department further reserves the right to require the removal and replacement of any of the Respondent's key personnel who do not perform adequately, regardless of whether they were previously approved by the Department.

■ E. STATUTORY AND REGULATORY COMPLIANCE

By submitting a proposal in response to this RFP, the Respondent implicitly agrees to comply with all applicable State and federal laws and regulations, including, but not limited to, the following:

- 1. Freedom of Information, C.G.S. § 1-210(b).** The Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b). Respondents are generally advised not to include in their proposals any confidential information. If the Respondent indicates that certain documentation, as required by this RFP, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State has no obligation to initiate, prosecute, or defend any legal proceeding or to seek a protective order or other similar relief to

prevent disclosure of any information pursuant to a FOIA request. The Respondent has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a Respondent may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.

- 2. Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to insure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.
- 3. Consulting Agreements, C.G.S. § 4a-81.** Proposals for State contracts with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall include a consulting agreement affidavit attesting to whether any consulting agreement has been entered into in connection with the proposal. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of C.G.S. Chapter 10 as of the date such affidavit is submitted in accordance with the provisions of C.G.S. § 4a-81. The Consulting Agreement Affidavit (OPM Ethics Form 5) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms
IMPORTANT NOTE: A Respondent must complete and submit OPM Ethics Form 5 to the Department with the proposal.
- 4. Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8 and No. 7C, Para. 10; C.G.S. § 9-612(g)(2).** If a Respondent is awarded an opportunity to negotiate a contract with an anticipated value of \$50,000 or more in a calendar or fiscal year, the Respondent must fully disclose any gifts or lawful contributions made to campaigns of candidates for statewide public office or the General Assembly. Municipalities and CT State agencies are exempt from this requirement. The gift and campaign contributions certification (OPM Ethics Form 1) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms
IMPORTANT NOTE: The successful Respondent must complete and submit OPM Ethics Form 1 to the Department prior to contract execution.
- 5. Nondiscrimination Certification, C.G.S. §§ 4a-60(a)(1) and 4a-60a(a)(1).** If a Respondent is awarded an opportunity to negotiate a contract, the Respondent must provide the Department with *written representation* or *documentation* that certifies the Respondent complies with the State's nondiscrimination agreements and warranties. A nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. The nondiscrimination certification forms are available on OPM's website at http://www.ct.gov/opm/fin/nondiscrim_forms

IMPORTANT NOTE: The successful Respondent must complete and submit the appropriate nondiscrimination certification form to the awarding Department prior to contract execution.

VI. APPENDIX

A. ABBREVIATIONS / ACRONYMS / DEFINITIONS (*definitions are in no particular order*)

BFO	Best and Final Offer
CAN	Coordinated Access Network
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CoC	Continuum of Care
CT	Connecticut
DAS	Department of Administrative Services (CT)
FOIA	Freedom of Information Act (CT)
HIC	Housing Inventory Chart
HMIS	Health Management Information System
IRS	Internal Revenue Service (US)
LOI	Letter of Intent
OAG	Office of the Attorney General
ODFC	Opening Doors Fairfield County
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
PIT	Point In Time
POS	Purchase of Service
P.A.	Public Act (CT)
RFP	Request For Proposal
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States

1. *Contractor*: a private provider organization, CT State agency, or municipality that enters into a POS contract with the Department as a result of this RFP
2. *Respondent*: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP
3. *Prospective Respondent*: a private provider organization, CT State agency, or municipality that may submit a proposal to the Department in response to this RFP, but has not yet done so
4. *Subcontractor*: an individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific health or human service as part of a POS contract with the Department as a result of this RFP
5. *Coordinated Access Network (CANs)*: a collaboration of service providers working together through various monthly meetings to streamline and standardize the process for individuals to access assistance.
6. *Regional Coordinator*: the lead person for a designated area of the state for the night of the PIT who coordinates the unsheltered PIT count

B. STATEMENT OF ASSURANCES**Department of Mental Health and Addiction Services**

The undersigned Respondent affirms and declares that:

1) General

- a. This proposal is executed and signed with full knowledge and acceptance of the RFP CONDITIONS stated in the RFP.
- b. The Respondent will deliver services to the Department the cost proposed in the RFP and within the timeframes therein.
- c. The Respondent will seek prior approval from the Department before making any changes to the location of services.
- d. Neither the Respondent or any official of the organization nor any subcontractor or the Respondent or any official of the subcontractor organization has received any notices of debarment or suspension from contracting with the State of CT or the Federal Government.
- e. Neither the Respondent or any official of the organization nor any subcontractor or the Respondent or any official of the subcontractor's organization has received any notices of debarment or suspension from contracting with other states within the United States.

Legal Name of Organization: _____

Authorized Signatory

Date

C. PROPOSAL CHECKLIST

To assist Respondents in managing proposal planning and document collation processes, this document summarizes key dates and proposal requirements for this RFP. Please note that this document does not supersede what is stated in the RFP. Please refer to the Proposal Submission Overview, Required Proposal Submission Outline, and Mandatory Provisions (Sections II, III, and IV of this RFP) for more comprehensive details. It is the responsibility of each Respondent to ensure that all required documents, forms, and attachments, are submitted in a timely manner.

Key Dates

Procurement Timetable		
The Department reserves the right to modify these dates at its sole discretion.		
Item	Action	Date
1	RFP Released:	January 12, 2021
2	Deadline for Letter of Intent:	January 26, 2021-3:00pm
3	RFP Virtual Bidder's Conference:	January 27, 2021-Time and Conference Link will be determined and distributed to organizations who submit an LOI.
4	Deadline for Questions:	February 5, 2021-3:00pm
5	Answers Released:	February 12, 2021-3:00pm
6	Deadline for Electronic Proposal Submission:	March 5, 2021-3:00 PM
7	(*)Respondent Selection:	March 26, 2021
8	(*)Start of Contract Negotiations:	April 1, 2021
	(*)Start of Contract:	July 1, 2021
Dates after the due date for proposals ("Proposals Due") are non-binding target dates only (*). The Department may amend the schedule as needed. Any change to non-target dates will be made by means of an amendment to this RFP and will be posted on the State Contracting Portal.		

Registration Link for Pre-bid Conference:

Link will be provided to organizations who submit a Letter of Intent.

Registration with State Contracting Portal (if not already registered):

- **Register to do business in the State of CT Secretary of State:**
- Register at: <https://biznet.ct.gov/AccountMaint/NewLogin.aspx> if
- Submit required forms:
 - Consulting Agreement Affidavit (OPM Ethics Form 5) – Requires Notarization; available at: <https://portal.ct.gov/media/OPM/OPMForm5ConsultingAgreementAffidavit32814pdf.pdf?la=en>
 - Affirmation of Receipt of State Ethics Affidavit (OPM Ethics Form 6) – Requires Notarization; available at: <https://portal.ct.gov/media/OPM/Finance/psa/OPMEthicsForm6Final91511PDFpdf.pdf?la=en>
 - Iran Certificate (OPM Ethics Form 7) – Requires Notarization; available at: <https://portal.ct.gov/media/OPM/OPMForm7IranCertification32814pdf.pdf?la=en>

Proposal Content Checklist

- Cover Sheet** including required information:
 - RFP Name or Number
 - Legal Name
 - Street Address
 - Town/City/State/Zip
 - Contact Person
 - Title
 - Phone Number
 - E-Mail Address
 - Authorized Official
 - Title
 - Signature
- Table of Contents**
- Executive Summary:** high-level summary of proposal and cost, not to exceed two (2) pages in length
- Main proposal body answering all questions with relevant attachments.**
Respondents should use their discretion to determine whether certain required information is sufficiently captured in the body of their proposal or requires additional attachments for clarification. Additional attachments may include (bullets below are examples only):
 - Staffing plan with FTE status
 - Agency and program organizational chart detailing reporting structure
 - Staff resumes and applicable licensures
 - Work plan describing organization's efforts, progress, or plans to diversify workforce
 - Memoranda of Agreement/Understanding with referral partners
- IRS Determination Letter** (for nonprofit Respondents)
- Two years of most recent annual audited financial statements; OR any financial statements prepared by a Certified Public Accountant** for Respondents whose organizations have been incorporated for less than two years
- Proposed budget**, including budget narrative and cost schedules for planned subcontractors if applicable.
- Conflict of Interest Disclosure Statement**
- Statement of Assurances**

Formatting Checklist

- Is the proposal formatted to fit 8 ½ x 11 (letter-sized) paper?
- Is the main body of the proposal within the page limit?
- Is the proposal in 12-point, Times New Roman font?
- Does the proposal format follow normal (1 inch) margins and 1 ½ line spacing?
- Does the Respondent's name appear in the header of each page?
- Does the proposal include page numbers in the footer?
- Are confidential labels applied to sensitive information (if applicable)?

ATTACHMENT A

LETTER OF INTENT

REQUEST FOR PROPOSALS

RFP# _____

Department of Mental Health and Addiction Services

Return

to:

DMHAS

Marie-Elaina Graves

Official Contact

The organization below intends to submit a proposal in response to the above referenced RFP.

Note: This letter is a non-binding expression of interest and does not obligate the sender to submit a proposal.

Prospective Proposer:

	()-
--	------

Legal Name

Telephone Number

--	--	--

Mailing Address

Town, State

Zip Code

Contact Person:

--	--

Name

Title

--	--	--

Mailing Address

Town, State

Zip Code

()-	()-	
------	------	--

Telephone Number

FAX Number

E-mail Address

Person Authorized to Sign Contract:

Name

Title

Signature_____
Date**ATTACHMENT B****COVER LETTER****REQUEST FOR PROPOSAL**

RFP # _____

Department of Mental Health and Addiction Services

Proposer/Agency Name_____
FEIN_____
Address_____
City/Town_____
State_____
Zip Code_____
Agency Contact:_____
Title:_____
Telephone Number_____
Fax Number_____
E-Mail Address_____
Total Annual Program Cost_____
Total Annual Cost to DMHAS**Proposed Program Address:**Proposer/Agency Fiscal Year: _____ to _____
(month) (month)Is your agency a non-profit? Yes No Is your agency incorporated? Yes No

Is your agency registered as a:

Minority Business Enterprise? Yes No Women Business Enterprise? Yes No Small Business Enterprise? Yes No

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

Signature of Authorizing Official_____
Date

Typed Name and Title

ATTACHMENT C - BUDGET

DIRECT EXPENSES		ANNUAL Costs
5100: SALARIES		-
5101	Staff Salaries & Wages	
5102	Overtime	
5103	Non-Routine Comp. (specify in narrative)	
Total Salaries		\$ -
5200: FRINGE BENEFITS		
5300: CONTRACTUAL SERVICES		-
5301	Medical Professional	
5302	Behavioral Health Professional	
5303	Contracted Workers - Non-Payroll	
5304	Other Contractual (specify in narrative)	
Total Contractual Services		\$ -
5400: TRANSPORTATION		-
5401	Staff Travel Reimbursement	
5402	Vehicle Leases	
5403	Vehicle Maintenance	
5404	Other Transportation (specify in narrative)	
Total Transportation		\$ -
5500: MATERIALS AND SUPPLIES		-
5501	Food	
5502	Lab & Medical Supplies	
5503	Equipment (Less than \$5,000)	
5504	Other Materials and Supplies (specify in narrative)	
Total Materials/Supplies		\$ -
5600: FACILITIES		-
5601	Rent and Real Estate Taxes	
5602	Security	
5603	Maintenance & Repair - Facility and Plant	
5604	Utilities	
5605	Other Facilities (specify in narrative)	
Total Facilities		\$ -
5700: CAPITAL EXPENSES (> \$5,000)		-
5701	Capital Equipment	
5702	Depreciation	
5703	Other Capital (specify in narrative)	
Total Capital Expenses		\$ -
5800: OTHER EXPENSES		-

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

Forms . Please reach out to the Official Contact if you are having difficulty retrieving any required forms.

- a. **Form #1:** Gift and Campaign Contribution Certification
This form must be completed and included in Section I of the proposal.
- b. **Form #2:** Consulting Agreement Affidavit
This form must be completed and included in Section I of the proposal.
- c. **Form #3:** Acknowledgment of Contract Compliance
This form must be completed and included in Section I of the proposal.
- d. **Form #4:** Notification To Bidders
This form must be completed and included in Section I of the proposal. For more information on completion of this report, go to www.ct.gov/chro
- e. **Form #5:** Employer Information Report
This form must be completed and included in Section I of the proposal. For more information on completion of this report, go to www.eeoc.gov
- f. **Form #6:** IRAN Certification



STATE OF CONNECTICUT
GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Form 1

Written or electronic certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2)

INSTRUCTIONS:

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

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

GIFT CERTIFICATION:

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

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

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

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding **Gifts** by providing for any other Principals, Key Personnel, officials, or employees of the Contractor, or its or their agents, to make a **Gift** to

any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

CAMPAIGN CONTRIBUTION CERTIFICATION:

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

Lawful Campaign Contributions to Candidates for Statewide Public Office:

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

Lawful Campaign Contributions to Candidates for the General Assembly:

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

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

Printed Contractor Name

Printed Name of Authorized Official

Signature of Authorized Official

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

Commissioner of the Superior Court (or Notary Public)

FORM #2



**STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT**

Affidavit to accompany a bid or proposal for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b). For sole source or no bid contracts the form is submitted at time of contract execution.

INSTRUCTIONS:

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete all sections of the form. If the bidder or contractor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. **If the bidder or contractor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1):** Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: ____]

I, the undersigned, hereby swear that I am a principal or key personnel of the bidder or contractor awarded a contract, as described in Connecticut General Statutes § 4a-81(b), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, **except for the agreement listed below:**

_____		_____
Consultant's Name and Title		Name of Firm (if applicable)
_____	_____	_____
Start Date	End Date	Cost
Description of Services Provided: _____		

Is the consultant a former State employee or former public official? YES NO

If YES: _____
Name of Former State Agency Termination Date of Employment

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.		
_____	_____	_____
Printed Name of Bidder or Contractor	Signature of Principal or Key Personnel	Date
_____	_____	_____
Printed Name (of above)	Awarding State Agency	

Sworn and subscribed before me on this _____ day of _____, 20__.

**Commissioner of the Superior Court
or Notary Public**

FORM #3

Acknowledgement of Contract Compliance - Notification to Bidders

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

(Revised 09/3/15)

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

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.”

“Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n.”

“Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

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

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

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

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

Signature: _____

Date: _____

FORM #4**INSTRUCTIONS AND OTHER INFORMATION**

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

1) Definition of Small Contractor

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

To download an electronic copy of the Bidder Contract Compliance Monitoring Report from CHRO:

https://www.ct.gov/chro/lib/chro/Notification_to_Bidders.pdf

Please attach a copy of the **Bidder Contract Compliance Monitoring Report** to the Proposal as Form #4.

Bidder Contract Compliance Monitoring Report

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

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

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

PART I – Bidder Information

<p>Company Name: _____</p> <p>Street Address: _____</p> <p>City & State: _____</p> <p>Chief Executive: _____</p> <p>Major Business Activity: (brief description)</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>Bidder Parent Company: (If any)</p> <p>_____</p> <p>Other Locations in CT: (If any)</p> <p>_____</p>	<p>Bidder Federal Employer Identification Number: _____</p> <p>Or Social Security Number: _____</p> <p>Bidder Identification (response optional/definitions on page 1)</p> <p>-Bidder is a small contractor? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>-Bidder is a minority business enterprise? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>(If yes, check ownership category)</p> <p>Black <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian American <input type="checkbox"/></p> <p>American Indian/Alaskan Native <input type="checkbox"/> Iberian Peninsula <input type="checkbox"/></p> <p>Individual(s) with a Physical Disability <input type="checkbox"/> Female <input type="checkbox"/></p> <p>-Bidder is certified as above by State of CT? Yes <input type="checkbox"/> No <input type="checkbox"/></p>
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PART II - Bidder Nondiscrimination Policies and Procedures

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

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

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes No

PART IV - Bidder Employment Information

Date: _____

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

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

PART V - Bidder Hiring and Recruitment Practices

(Page 5)

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)				2. Check (X) any of the below listed requirements that you use as a hiring qualification		3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination
				(X)		
SOURCE	YES	NO	% of applicants provided by source			
State Employment Service	<input type="checkbox"/>	<input type="checkbox"/>			Work Experience	
Private Employment Agencies	<input type="checkbox"/>	<input type="checkbox"/>			Ability to Speak or Write English	
Schools and Colleges	<input type="checkbox"/>	<input type="checkbox"/>			Written Tests	
Newspaper Advertisement	<input type="checkbox"/>	<input type="checkbox"/>			High School Diploma	
Walk Ins	<input type="checkbox"/>	<input type="checkbox"/>			College Degree	
Present Employees	<input type="checkbox"/>	<input type="checkbox"/>			Union Membership	
Labor Organizations	<input type="checkbox"/>	<input type="checkbox"/>			Personal Recommendation	
Minority/Community Organizations	<input type="checkbox"/>	<input type="checkbox"/>			Height or Weight	
Others (please identify)	<input type="checkbox"/>	<input type="checkbox"/>			Car Ownership	
	<input type="checkbox"/>	<input type="checkbox"/>			Arrest Record	
	<input type="checkbox"/>	<input type="checkbox"/>			Wage Garnishments	

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

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

EQUAL EMPLOYMENT OPPORTUNITY
EMPLOYER INFORMATION REPORT EEO-1

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

Section A—TYPE OF REPORT

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

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

(1) Single-establishment Employer Report

Multi-establishment Employer:

(2) Consolidated Report (Required)

(3) Headquarters Unit Report (Required)

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

(5) Special Report

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

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

1. Parent Company					OFFICE USE ONLY
a. Name of parent company (owns or controls establishment in item 2) omit if same as label					a.
Address (Number and street)					b.
City or town		State	ZIP code		c.
2. Establishment for which this report is filed. (Omit if same as label)					
a. Name of establishment					d.
Address (Number and street)		City or Town	County	State	ZIP code
					e.
b. Employer identification No. (IRS 9-DIGIT TAX NUMBER)					f.
c. Was an EEO-1 report filed for this establishment last year? <input type="checkbox"/> Yes <input type="checkbox"/> No					

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

<input type="checkbox"/> Yes	<input type="checkbox"/> No	1. Does the entire company have at least 100 employees in the payroll period for which you are reporting?
<input type="checkbox"/> Yes	<input type="checkbox"/> No	2. Is your company affiliated through common ownership and/or centralized management with other entities in an enterprise with a total employment of 100 or more?
<input type="checkbox"/> Yes	<input type="checkbox"/> No	3. Does the company or any of its establishments (a) have 50 or more employees AND (b) is not exempt as provided by 41 CFR 60-1.5, AND either (1) is a prime government contractor or first-tier subcontractor, and has a contract, subcontract, or purchase order amounting to \$50,000 or more, or (2) serves as a depository of Government funds in any amount or is a financial institution which is an issuing and paying agent for U.S. Savings Bonds and Savings Notes?
If the response to question C-3 is yes, please enter your Dun and Bradstreet identification number (if you have one): <input style="width: 100px;" type="text"/>		

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

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

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

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

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

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

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

Name of Certifying Official: _____ Title: _____ Signature: _____ Date: _____
 Name of person to contact regarding this report: _____ Title: _____ Address (Number and Street): _____
 City and State: _____ Zip Code: _____ Telephone No. (including Area Code and Extension): _____ Email Address: _____

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

Form 7. Iran Certification

Rev. 3/28/14  [Adobe.pdf](#)  [Word.doc](#)

Effective October 1, 2013, this form must be submitted for any large state contract, as defined in section 4-250 of the Connecticut General Statutes. This form must always be submitted with the bid or proposal, or if there was no bid process, with the resulting contract, regardless of where the principal place of business is located. Entities whose principal place of business is located outside of the United States are required to complete the entire form, including the certification portion of the form. United States subsidiaries of foreign corporations are exempt from having to complete the certification portion of the form. Those entities whose principal place of business is located inside of the United States must also fill out the form, but do not have to complete the certification portion of the form.