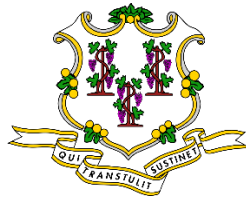


STATE OF CONNECTICUT PROCUREMENT NOTICE

Request for Proposals (RFP)

**Connecticut
Department of Mental Health and Addiction Services
(DMHAS)**

**Gambling Impact Study
DMHAS-SWS-GAMBLING IMPACT STUDY-2023**

October 21, 2022

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

<https://portal.ct.gov/DAS/CTSource/BidBoard>

or from the Agency's Official Contact:

Name: **Pamela Mabry**
Address: 410 Capitol Avenue
P.O. Box 341431
Hartford, CT 06134
Phone: (860) 418-6664
E-Mail: DMHAS.FiscalContracts@ct.gov

The RFP is also available on the Department's website at

<http://www.ct.gov/dmhas/site/default.asp>

**RESPONSES MUST BE RECEIVED NO LATER THAN
December 1, 2022 3:00 PM EST**

**A MANDATORY BIDDERS' CONFERENCE WILL BE HELD
THURSDAY, NOVEMBER 10, 2022
AT 11:00 AM**

DMHAS is an Equal Opportunity/Affirmative Action Employer. The Agency reserves the right to reject any and all submissions or cancel this procurement at any time if deemed in the best interest of the State of Connecticut (State).

Table of Contents

I. GENERAL INFORMATION	4
A. INTRODUCTION	4
B. INSTRUCTIONS	5
II. PURPOSE OF RFP AND SCOPE OF SERVICES	9
A. AGENCY OVERVIEW	9
B. SERVICE OVERVIEW	9
C. SCOPE OF SERVICE DESCRIPTION	10
D. PERFORMANCE MEASURES	14
E. CONTRACT MANAGEMENT/DATA REPORTING	14
III. PROPOSAL SUBMISSION OVERVIEW	15
A. SUBMISSION FORMAT INFORMATION	15
B. EVALUATION OF PROPOSALS	16
IV. REQUIRED PROPOSAL SUBMISSION OUTLINE AND REQUIREMENTS	20
A: Cover Sheet	20
The Respondent must use the Cover Sheet provided.	20
B: Table of Contents	20
C: Proposer Executive Summary	20
D: Main Proposal Submission Requirements to Submit a Responsive Proposal:	20
E: Attachments	22
F: Declaration of Confidential Information	22
G: Conflict of Interest – Disclosure Statement	22
H: Statement of Assurances	22
V. MANDATORY PROVISIONS	23
A. STANDARD CONTRACT PROVISIONS	23
B. ASSURANCES	23
C. TERMS AND CONDITIONS	24
D. RIGHTS RESERVED TO THE STATE	25
E. STATUTORY AND REGULATORY COMPLIANCE	26
A. ABBREVIATIONS / ACRONYMS / DEFINITIONS	30
B. STATEMENT OF ASSURANCES	31
C. REQUIRED LETTER OF INTENT	32

Prospective Proposer: 32

D. COVER LETTER..... 33

E. BUDGET AND BUDGET NARRATIVE 34

F. NOTIFICATION TO BIDDERS 36

G. Equal Employment Opportunity..... 38

H. Campaign Contribution Certification..... 39

I. PROPOSAL CHECKLIST 41

I. GENERAL INFORMATION

A. INTRODUCTION

- 1. RFP Name and Number. Gambling Impact Study RFP # DMHAS-SWS-Gambling Impact Study-2023.** The number will be used on each page of the main proposal and cover sheet of proposals submitted in response to this RFP.
- 2. RFP Summary.** The State of Connecticut, represented by the Department of Mental Health and Addiction Services (DMHAS), is soliciting proposals from qualified independent organizations and individuals (hereinafter referred to as the Contractor and/or Respondent) to conduct a comprehensive study concerning the effect of legalized gambling on the citizens of this state including, but not limited to, an examination of the types of gambling activity engaged in by the public and the desirability of expanding, maintaining or reducing the amount of legalized gambling permitted by the state.
- 3. RFP Purpose.** Connecticut Public Act No. 22-118, requires the State to conduct a comprehensive study of the effects of legalized gambling on Connecticut citizens and report to the General Assembly by August 1, 2023. Since 2009, gambling has expanded in the following forms – Keno, sports wagering, as well as online sports wagering, fantasy sports, online casino gambling and soon to begin online lottery. The goals of the study solicited in this RFP are as follows: to understand the social and economic effects of legalized gambling on Connecticut residents, provide a current baseline of problem gambling and existing prevention & treatment programs, and to facilitate independent studies to obtain scientific information relevant to enhancing responsible gambling and minimizing harmful effects.

(Outcomes Goals include: Economic impact of gambling on communities, assessment of impact on individuals and families, identification of best practices to decrease problem gambling, etc.)
- 4. Commodity Codes.** The services that the Agency (DMHAS) wishes to procure through this RFP are as follows:

85000000: Healthcare Services
93000000: Politics and Civic Affairs Services
93140000: Community and Social Services

B. INSTRUCTIONS

- 1. Official Contact.** The Agency 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 Agency. Proposers, prospective proposers, and other interested parties are advised that any communication with any other Agency employee(s) (including appointed officials) or personnel under contract to the Agency about this RFP is strictly prohibited. Proposers or prospective proposers who violate this instruction may risk disqualification from further consideration.

Name: **Pamela Mabry**
Address: 410 Capitol Avenue
P. O. Box 341431
Hartford, CT 06134
Phone: (860) 418-6664
E-Mail: **DMHAS.FiscalContracts@ct.gov**

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://portal.ct.gov/DAS/CTSource/Registration> if not already registered.

Respondents must submit the following information pertaining to this RFP with your proposal to Official Agency Contact at DMHAS.FiscalContracts@ct.gov.

- Secretary of State recognition – [onlineBusinessSearch \(ct.gov\)](http://onlineBusinessSearch.ct.gov)
- Non-profit status, if applicable
- Notification to Bidders, Parts I-V
- <https://portal.ct.gov/media/CHRO/NotificationtoBidderspdf.pdf>
- Campaign Contribution Certification (OPM Ethics Form 1): <https://portal.ct.gov/OPM/Fin-PSA/Forms/Ethics-Forms>

- 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:

- Agency's RFP Web Page <https://portal.ct.gov/DMHAS/RFPs/Index/RFPs-and-RFQs>
- State Contracting Portal (go to CT Source bid board, filter by DMHAS <https://portal.ct.gov/DAS/CTSource/BidBoard>)

It is strongly recommended that any proposer or prospective proposer interested in this procurement check the Bid Board for any solicitation changes. Interested proposers may receive additional e-mails from CTSource announcing 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 Agency 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 and, if available, the Agency's RFP Web Page.

- RFP Released: 10/21/2022
- Letter of Intent Due: 11/03/2022 - 3:00 PM
- RFP Conference (Virtual): 11/10/2022 - 11:00 AM
- Deadline for Questions: 11/14/2022 - 3:00 PM
- Answers Released: 11/18/2022
- Proposals Due: 12/01/2022 -3:00 PM
- (*) Proposer Selection: TBD
- (*) Start of Contract Negotiations: TBD
- (*) Start of Contract: 1/02/2023

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

- Number of Awards: 1
- Contract Cost: \$1,250,000.00
- Contract Term: 1 Year
- Funding Source: State Funding

6. Eligibility. Private provider organizations (defined as non-state entities that are either nonprofit or proprietary corporations or partnerships), CT State agencies, and municipalities are eligible to submit proposals in response to this RFP. Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

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

- a. Experience contracting with other government agencies to provide the type of research State of CT is seeking.
- b. Expertise presenting results to and obtaining input from stakeholders, state officials, persons with lived experience and public.
- c. Experience with conducting statewide gambling socioeconomic impact studies.
- d. Experience with conducting longitudinal gambling impact studies.
- e. Experience working in Connecticut or states of a similar size and demographics and in describing how the proposed study will address the unique needs presented by the states history, communities, and policy environment.
- f. Ability to complete project within the specified timeframe.
- g. Background and previous experience of personnel to be assigned to the study and their demonstrated competence in the type of work each is to perform, including the quality of previous reports and work products.
- h. Special consideration will be given to proposers with a demonstrated ability to write clear and understandable language with a limited use of jargon.

- 8. Letter of Intent.** An Electronic Letter of Intent (LOI) **is required** to respond to this RFP. The LOI is non-binding and does not obligate the sender to submit a proposal. The LOI must be submitted to the Official Contact by 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.
- 9. Inquiry Procedures.** All questions regarding this RFP or the Agency's procurement process must be directed, in writing, electronically, (e-mail) 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 Agency 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 Agency may or may not respond to questions received after the deadline. If this RFP requires a Letter of Intent, the Agency reserves the right to answer questions only from those who have submitted such a letter. The Agency 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 Agency will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Agency's RFP Web Page.

At its discretion, the Agency may distribute any amendments to this RFP to prospective proposers who submitted a Letter of Intent or attended the RFP Conference.

- 10. RFP Conference.** A RFP Conference (Virtual) will be held on **November 10, 2022; Time 11:00 am. Invitations will be forwarded to prospective proposers who sent in the Required Letter of Intent.** Prospective proposers will be provided an opportunity to submit questions via email to the Official Contact Person. All questions submitted will be answered in a written Addendum to this RFP, which will serve as the Department's official response to questions submitted by proposers that submitted an LOI. 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 and on the Department's Web Site.
- 11. Proposal Due Date and Time.** The Official Contact is the **only authorized recipient** of proposals submitted in response to this RFP. Proposals must be **received** by the Official Contact on or before the due date and time:

- **Due Date: Thursday, December 1, 2022**
- **Time: 3:00 PM EST**

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

An acceptable submission must include the following:

- One (1) conforming **electronic** copy of the original proposal.

The proposal must be complete, properly formatted and outlined, and ready for evaluation by the Evaluation Review Committee.

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-Gambling Impact Study-2023**. 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 Agency's server limitations. Respondents should work to ensure there are not additional IT limitations from the provider 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. AGENCY OVERVIEW

The Department of Mental Health and Addiction Services (DMHAS) promotes and administers comprehensive, recovery-oriented services in the areas of mental health treatment and substance use treatment throughout Connecticut.

While the Department's services serve all Connecticut citizens, its mandate is to serve adults (over 18 years of age) with psychiatric or substance use disorders, or both, who lack the financial means to obtain such services on their own. DMHAS also provides collaborative programs for individuals with special needs, such as persons with HIV/AIDS infection, people in the criminal justice system, those with problem gambling disorders, pregnant and parenting women with substance use disorders, persons with traumatic brain injury or hearing impairment, those with co-occurring substance use and mental illness, and special populations transitioning out of the Department of Children and Families.

DMHAS operates on the belief that people with mental illnesses and/or substance use disorders can and should be treated in community settings, and that inpatient treatment should be used only when absolutely necessary to meet the best interests of the individual. Effective care requires that services such as residential, supportive, rehabilitative and crisis intervention programs are available within their local communities. DMHAS is responsible for providing a wide range of services to adults in each of the five human service Regions in Connecticut.

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. SERVICE OVERVIEW

Connecticut Public Act No. 22-118, requires the State to conduct a comprehensive study of the effects of legalized gambling on Connecticut citizens and report to the General Assembly by August 1, 2023. The State of Connecticut, represented by the Department of Mental Health and Addiction Services (DMHAS), is looking to a contractor to perform the study as required by legislation.

- a. An examination of the types of gambling activity engaged in by the public and the desirability of expanding, maintaining or reducing the amount of legalized gambling permitted in this state.
- b. Such study shall take into consideration the findings on the effects of legalized gambling from the most recent study completed in 2009 (<https://portal.ct.gov/-/media/DMHAS/PGS/GamblingImpactStudy.pdf>), and shall use such findings to inform the current study.
- c. In conducting the study, the contractor, shall:
 - i. Review available data to assess the problem gambling resources available in the state, and
 - ii. Consult with stakeholders to inform the study analysis, including, but not limited to:
 1. Treatment providers
 2. Regional Behavioral Health Action Organizations
 3. Persons with experience from problem gambling
 4. Elected and appointed government officials
 5. Nongovernmental and charitable organizations
 6. Municipal officials
 7. Businesses and entities engaged in legalized gambling activities in the state
 - iii. Consider data from other states to inform recommendations on best practices and proposed regulatory changes.

C. SCOPE OF SERVICE DESCRIPTION

1. Organizational Expectations

Seeking contractors with demonstrated experience in conducting statewide gambling socioeconomic impact studies and experience conducting longitudinal gambling studies on the state and community level. Special consideration may be given to those demonstrating expertise in quantitative analysis of the socioeconomic costs of gambling, development of policies and regulations, and expertise contracting with other government agencies to provide services similar to those sought by the State of Connecticut

- a. Provide a general overview of your organization including its history and prior experiences engaging with relevant key stakeholders. Why your organization is uniquely qualified to take on this scope of work?
- b. Describe the extent of your organization's experience in conducting gambling research and delivering similar reports for public agencies. What has that experience taught you that you would bring to bear in this project?

- c. Describe any experiences you've had in developing reports under a constrained timeline. How will you bring those learnings to this project?

2. Service Expectations

The contractor shall develop a detailed plan that includes a comprehensive report containing:

- a. Utilization of the most current and effective evidence based methodology in the field of problem gambling prevalence and impact studies.
- b. A comprehensive approach that establishes the impacts of gambling:
 1. At a state-wide level
 2. At a regional level
 3. At a municipal level
- c. An overview of information on historical and present-day impact of gambling legalization, split out by DMHAS regions, <https://portal.ct.gov/DMHAS/Program-and-Services/Finding-Services-Services> of the state and social demographics.
- d. A historical summary of the socio-economic implications of gambling legalization, particularly on the intersections with race, age, and gender. Gambling legalization includes lottery (both online and in-person), casinos (both online and in-person), sports betting, and fantasy sports.
- e. Presentation of data from underrepresented groups/sub-populations, including tribal communities, Asian American Pacific Islanders, Black, Latino, and people of color.
- f. Review of available data to assess the problem gambling resources available in the state (i.e. prevention services, treatment services, problem gambling helpline)
- g. Information on the efficacy of the problem gambling helpline in the state.
- h. Information on the efficacy and impact of programs and strategies implemented in other states.
- i. Consideration data from other states to inform recommendations on best practices for prevention, treatment and recovery; and proposed regulatory changes.
- j. Consultation with stakeholders to inform the study analysis, including, but not limited to, elected and appointed government officials, nongovernmental and charitable organizations, municipal officials, businesses and entities engaged in legalized gambling activities in the state.
- k. A detailed analysis that includes both quantitative and qualitative data.
- l. Reporting on the limitations and parameters of these results.

The selected party will be required to submit all raw data to the Agency at the conclusion of the study.

3. Staffing Expectations

- a. Team overview: Describe the team that would work on this project. Include a list of key team members and their general availability while on this project. Make the case for why they will be great partners on this project. Please provide bios, and any additional information you think best highlights the strength of the team that would be working on this project.
- b. General capacity: Please describe your organization's capacity to take on additional work if you are awarded this contract. How would you create additional capacity, if needed? How would you quickly pivot directions, should feedback from the DMHAS require a change in direction?

4. Data and Technology

- a. Describe your proposed method of project management for this project or service.
- b. Performance improvement approach: How does your organization incorporate continuous quality improvement and performance measurement into the work you do today?
- c. In addition to any metrics identified in the RFP, describe the Key Performance Indicators (KPIs), performance metrics, and/or compliance metrics you have used or plan to use to track the delivery and success of this project or service.
- d. Describe your ability to track and report on these metrics, including what systems, processes, and/or tools will be used.
- e. How will the data be collected, stored, and shared?
- f. How frequently will metrics be tabulated?
- g. Describe the staff and roles that will be responsible for this work.
- h. How will you communicate with the DMHAS in a responsive and proactive manner? Consider being responsive to questions and requests, and elevating concerns or issues.

5. Financial Requirements

- a. **Financial Status Reports:** If the three (3) most recent audits are available via the Office of Policy and Management's EARS system, such may be noted in the proposal, and a hardcopy of the audit cover letters need not be provided.
- b. **Audited Financial Statements:** Any proposer agency that does not hold a current contract with the Department, must submit cover letters from their auditor for the last three (3) annual audits of their agency and a copy of their most recent financial audit, included in 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.).

6. Budget Expectations

The current budgetary allocation for this study is \$1,250,000.

- a. Proposals must contain an itemized annual budget on the budget form delineated in Section VI. Appendix, E. Budget and Budget Narrative, of this RFP. All startup costs must be clearly identified as one (1) line item in the budget.
- b. A budget narrative must be provided, explaining all costs contained in the budget. All start-up costs must be listed separately and clearly detailed in the budget narrative.
- c. All other funding, including agency financial support must be identified.
 1. Complete a price schedule, budget, or cost proposal in its entirety that will enable the effective delivery of the proposed project or services.
 2. Describe all direct and indirect costs associated with the service or project.
 3. Describe any key cost variables for the service or project such as volume, frequency, duration or length.
 4. Narrative and justification: Present a detailed, line-item cost narrative that explains the basis and rationale for the costs proposed.
 5. Why do you consider your costs to be reasonable, given the nature of your proposed project or service?
 6. Describe any key budgeting decisions you faced, assumptions, or calculation approaches used to develop the cost proposal.

7. Work Plan

1. How will you complete a comprehensive report in a condensed period of time?
2. Please outline details of your work plan, including but not limited to proposed start date, timeline and schedule, tasks and deliverables, methodologies, and measurable objectives.

8. Cultural Competence

1. What experience do you have interacting effectively and communicating with people of different cultures and socio-economic backgrounds?

2. Please provide an example of your work with underserved/ under-represented groups of people or communities.

D. PERFORMANCE MEASURES

The following performance metrics highlight key priorities that will be analyzed with contractors 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 Agency. The Agency looks forward to working with contractors to define additional important performance metrics.

1. Completion time and schedule of deliverables
2. Meet expectations noted above in section C
3. Number of jurisdictions incorporated into analysis
4. Number of key stakeholders interviewed
5. Other specific metrics to be determined by DMHAS

Contractors should propose additional key metrics in their submissions.

E. CONTRACT MANAGEMENT/DATA REPORTING

As part of the Agency's commitment to becoming more outcomes-oriented, DMHAS seeks to actively and regularly collaborate with providers/vendors 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/vendors.

Contractor will report findings and have bi-monthly check-ins with the DMHAS designated project manager. Data tracking will be required to be shared during the process, and a single report at the end of the process that includes all raw data collected/analyzed will be expected. Additional meetings will be scheduled as necessary. Preliminary takeaways and data should be shared at the end of May, to give the Agency the opportunity to request more information on certain topics, allowing the contractor several weeks to modify the final report by the August 1, 2023 deadline.

III. PROPOSAL SUBMISSION OVERVIEW

A. SUBMISSION FORMAT INFORMATION

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

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

- 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. The summary must also include the organization's eligibility and qualifications to respond to this RFP. The Executive Summary is not part 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. All attachments should be included in VI. Appendix.
- 6. Style Requirements. THIS IS AN ELECTRONIC SUBMISSION.**

Submitted proposals must conform to the following specifications:

Paper Size:	8 ½ x 11 (Standard Letter)
Font Size:	12
Font Type:	Times New Roman
Margins:	Normal (1 inch)
Line Spacing:	1 ½
Print Style:	Single-Sided
Page Limit:	Maximum 20 pages , exclusive of Executive Summary, Appendices, Budget Forms and Budget Narrative

- 7. Pagination.** The proposer's name must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.

8. Packaging and Labeling Requirements. Not Applicable

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

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

B. EVALUATION OF PROPOSALS

1. Evaluation Process. It is the intent of the Agency to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful proposers, and awarding contracts, the Agency will conform with 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. Evaluation Review Committee. The Agency will designate a Review Committee to evaluate proposals submitted in response to this RFP. The Review Committee will be composed of individuals, Agency 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 Agency Head will make the final selection. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Review Committee may result in disqualification of the proposer.

- 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) meet the Eligibility and Qualification requirements to respond to the procurement, (4) follow the required Proposal Outline; and (5) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Agency 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.

Criteria	Points
Organizational Profile	10
Scope of Services	25
Staffing Plan	5
Data and Technology	10
Budget and Budget Narrative	10
Work Plan	25
Cultural Competence	15
Total	100

Evaluation Criterion Title	Total Points	What would a top score look like?
Organizational Profile	10	Would provide but not limited to a general overview of the organization including its history and prior experience conducting gambling research and how they are qualified.
Scope of Services	25	Having expertise in gambling research and would provide but not limited to a proposal addressing all desired components of study with a

		focus on expediency, depth, and data-orientation.
Staffing Plan	5	Would include but not limited to staff. resumes. titles. % of time dedicated to this study. If subcontractor is being used. provide a description of their specific role.
Data and Technology	10	Would include but not limited to process to use data sources. programs. and technology to complete the study; use of reliable and relevant data necessary to ensure compliance.
Budget and Budget Narrative	10	Would include but not limited to a high-level report by July 1, 2023 with early takeaways, along with a comprehensive report by August 1, 2023.
Work Plan	25	Would provide but not limited to a clear, detailed outline of how a comprehensive report may be completed in a condensed period of time.
Cultural Competence	15	Would include but not limited to examples of the ability to interact and effectively communicate with people of different cultures and socio-economic backgrounds.

5. Proposer Selection. Upon completing its evaluation of proposals, the Review Committee will submit the rankings of all proposals to the Commissioner or Agency Head. The final selection of a successful proposer is at the discretion of the Commissioner or Agency Head. Any proposer selected will be so notified and awarded an opportunity to negotiate a contract with the Agency. Such negotiations may, but will not automatically, result in a contract. Any resulting contract will be posted on the State Contracting Portal. All unsuccessful proposers will be notified by e-mail or U.S. mail, at the Agency's discretion, about the outcome of the evaluation and proposer selection process. The Agency reserves the right to decline to award contracts for activities in which the Commissioner or Agency Head considers are not adequate respondents.

6. Debriefing. Within ten (10) days of receiving notification from the Agency, unsuccessful proposers may contact the Official Contact and request information about the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the ten (10) days. If unsuccessful proposers still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Agency 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 Agency may schedule and hold the debriefing meeting within fifteen (15) days of the request. The Agency will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.

- 7. Appeal Process.** Proposers may appeal any aspect of the Agency's competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Agency head. A proposer may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful proposers about the outcome of the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. The filing of an appeal shall not be deemed sufficient reason for the Agency to delay, suspend, cancel, or terminate the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.
- 8. Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Agency'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 and the Agency website.

IV. REQUIRED PROPOSAL SUBMISSION OUTLINE AND REQUIREMENTS

A: Cover Sheet

The Respondent must use the Cover Sheet provided.

Legal Name is defined as the name of provider, vendor, 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 proposer 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: Proposer Executive Summary

The page limitation for this section is 2 pages briefly describing how the Respondent meets the eligibility and qualification 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.

D: Main Proposal Submission Requirements to Submit a Responsive Proposal:

*****Please note the maximum total page length for this section is 20 pages** (all appendices and other attachments should be referred to in section D and then placed in section E. The Agency Review Committee will not read answers longer than 20 pages in this section.

4.1. Organizational Profile

The purpose of this subsection is to gather information about the administrative and operational capabilities of the proposer to provide the purchased service.

4.2. Scope of Services

The purpose of this subsection is to gather information about how the proposer intends to provide the purchased service (including the use of any subcontractors).

4.3. Work Plan:

The purpose of this subsection is to gather information about the quality and quantity of personnel that the proposer intends to employ to deliver the purchased service.

4.4. Data and Technology

The purpose of this subsection is to gather information about the proposer's information management and performance measurement systems.

4.5. Financial Profile

The purpose of this subsection is to gather information about the proposer's fiscal stability, accounting and financial reporting systems, or relevant business practices.

4.6. Budget and Budget Narrative

The purpose of this subsection is to gather information about how the proposer developed the proposed budget and cost allocations.

4.7. Staffing Plan

- a. Team overview: Describe the team that would work on this project. Include a list of key team members and their general availability while on this project. Make the case for why they will be great partners on this project. Please provide bios, and additional information you think best highlights the strength of the team that would be working on this project.
- b. General capacity: Please describe your organization's capacity to take on additional work if you are awarded this contract. How would you create additional capacity, if needed? How would you quickly pivot directions, should feedback from the DMHAS require a change in direction?

4.8. Cultural Competence:

- a. What experience do you have interacting effectively and communicating with people of different cultures and socio-economic backgrounds?

- b. Please provide an example of your work with underserved/under-represented groups of people or communities.
- a. Describe your proposed method of project management for this project or service.

E: Attachments

Attachments other than the required attachments identified are not permitted and will not be evaluated. 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 proposer deems that certain information required by this RFP is confidential, the proposer must label such information as CONFIDENTIAL prior to submission. The proposer must reference where the information labeled CONFIDENTIAL is located in the proposal. *EXAMPLE: Section G.1.a.* For each subsection so referenced, the proposer must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the proposer that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).

G: Conflict of Interest – Disclosure Statement

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

H: Statement of Assurances

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

V. MANDATORY PROVISIONS

A. STANDARD CONTRACT PROVISIONS

Please contact the Official Agency Contract for a copy of the PSA Terms and Conditions.

B. ASSURANCES

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

- 1. Collusion.** The proposer represents and warrants that the proposer did not participate in any part of the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance. The proposer further represents and warrants that no agent, representative, or employee of the State participated directly in the preparation of the proposer's proposal. The proposer also represents and warrants that the submitted proposal is in all respects fair and is made without collusion or fraud.
- 2. State Officials and Employees.** The proposer certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFP. The Agency may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the proposer, contractor, or its agents or employees.
- 3. Competitors.** The proposer assures that the submitted proposal is not made in connection with any competing organization or competitor submitting a separate proposal in response to this RFP. No attempt has been made, or will be made, by the proposer to induce any other organization or competitor to submit, or not submit, a proposal for the purpose of restricting competition. The proposer further assures that the proposed costs have been arrived at independently, without consultation, communication, or agreement with any other organization or competitor for the purpose of restricting competition. Nor has the proposer knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.
- 4. Validity of Proposal.** The proposer certifies that the proposal represents a valid and binding offer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto. The proposal shall remain valid for a period of 180 days after the submission due date and may be extended beyond that time by mutual agreement. At its sole discretion, the Agency may include the proposal, by reference or otherwise, into any contract with the successful proposer.

- 5. Press Releases.** The proposer agrees to obtain prior written consent and approval of the Agency for press releases that relate in any manner to this RFP or any resultant contract.

C. TERMS AND CONDITIONS

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

- 1. Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.
- 2. Preparation Expenses.** Neither the State nor the Agency shall assume any liability for expenses incurred by a proposer in preparing, submitting, or clarifying any proposal submitted in response to this RFP.
- 3. Exclusion of Taxes.** The Agency is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Proposers are liable for any other applicable taxes.
- 4. Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.
- 5. Changes to Proposal.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Agency may request and authorize proposers to submit written clarification of their proposals, in a manner or format prescribed by the Agency, and at the proposer's expense.
- 6. Supplemental Information.** Supplemental information will not be considered after the deadline submission of proposals, unless specifically requested by the Agency. The Agency may ask a proposer to give demonstrations, interviews, oral presentations or further explanations to clarify information contained in a proposal. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Agency. At its sole discretion, the Agency may limit the number of proposers invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per proposer.
- 7. Presentation of Supporting Evidence.** If requested by the Agency, a proposer must be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. The Agency may make onsite visits to an operational facility or facilities of a proposer to evaluate further the proposer's capability to perform the duties required by this RFP. At its discretion, the Agency may also check or contact any reference provided by the proposer.

- 8. RFP Is Not An Offer.** Neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or the Agency or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the Agency and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the proposer or for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by the Agency and, if required, by the Attorney General's Office.

D. RIGHTS RESERVED TO THE STATE

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

- 1. Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the Agency.
- 2. Amending or Canceling RFP.** The Agency reserves the right to amend or cancel this RFP on any date and at any time, if the Agency 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 Agency 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 Agency 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 Agency may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Agency reserves the right to reject the proposal of any proposer who submits a proposal after the submission date and time.
- 5. Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.
- 6. Contract Negotiation.** The Agency reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Agency further reserves the right to contract with one or more proposer for such services. After reviewing the scored criteria, the Agency may seek Best and Final Offers (BFO) on cost from proposers. The Agency may set parameters on any BFOs received.

- 7. Clerical Errors in Award.** The Agency reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the proposer.
- 8. Key Personnel.** When the Agency is the sole funder of a purchased service, the Agency reserves the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Agency also reserves the right to approve replacements for key personnel who have terminated employment. The Agency further reserves the right to require the removal and replacement of any of the proposer's key personnel who do not perform adequately, regardless of whether they were previously approved by the Agency.

E. STATUTORY AND REGULATORY COMPLIANCE

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

- 1. Freedom of Information, C.G.S. § 1-210(b).** The Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b). Proposers are generally advised not to include in their proposals any confidential information. If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State has no obligation to initiate, prosecute, or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. The proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a proposer may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.
- 2. Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to ensure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.

- 3. Consulting Agreements Representation, C.G.S. § 4a-81.** Pursuant to C.G.S. §§ 4a-81 the successful contracting party shall certify that it has not entered into any consulting agreements in connection with this Contract, except for the agreements listed below. "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 contracts. "Consulting agreement" does not include any agreements entered into with a consultant who is registered under the provisions of chapter 10 of the Connecticut General Statutes as of the date such contract is executed in accordance with the provisions of section 4a-81 of the Connecticut General Statutes. Such representation shall be sworn as true to the best knowledge and belief of the person signing the resulting contract and shall be subject to the penalties of false statement.
- 4. Campaign Contribution Restriction, C.G.S. § 9-612.** For all State contracts, defined in section 9-612 of the Connecticut General Statutes as having a value in a calendar year of \$50,000 or more, or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to the resulting contract must represent that they have received the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice, as set forth in "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations." Such notice is available at https://seec.ct.gov/Portal/data/forms/ContrForms/seec_form_11_notice_only.pdf
- 5. Gifts, C.G.S. § 4-252.** Pursuant to section 4-252 of the Connecticut General Statutes and Acting Governor Susan Bysiewicz's Executive Order No. 21-2, the Contractor, for itself and on behalf of all of its principals or key personnel who submitted a bid or proposal, represents:
- (1) That no gifts were made by (A) the Contractor, (B) any principals and key personnel of the Contractor, who participate substantially in preparing bids, proposals or negotiating State contracts, or (C) any agent of the Contractor or principals and 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 requests 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;
 - (2) That no such principals and key personnel of the Contractor, or agent of the Contractor or of such principals and key personnel, knows

of any action by the Contractor to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the Contractor to provide a gift to any such public official or State employee; and

(3) That the Contractor is submitting bids or proposals without fraud or collusion with any person.

Any bidder or proposer that does not agree to the representations required under this section shall be rejected and the State agency or quasi-public agency shall award the contract to the next highest ranked proposer or the next lowest responsible qualified bidder or seek new bids or proposals.

- 6. Iran Energy Investment Certification C.G.S. § 4-252(a).** Pursuant to C.G.S. § 4-252(a), the successful contracting party shall certify the following: (a) that it has not made a direct investment of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010, and has not increased or renewed such investment on or after said date. (b) If the Contractor makes a good faith effort to determine whether it has made an investment described in subsection (a) of this section it shall not be subject to the penalties of false statement pursuant to section 4-252a of the Connecticut General Statutes. A "good faith effort" for purposes of this subsection includes a determination that the Contractor is not on the list of persons who engage in certain investment activities in Iran created by the Department of General Services of the State of California pursuant to Division 2, Chapter 2.7 of the California Public Contract Code. Nothing in this subsection shall be construed to impair the ability of the State agency or quasi-public agency to pursue a breach of contract action for any violation of the provisions of the resulting contract.
- 7. Nondiscrimination Certification, C.G.S. § 4a-60 and 4a-60a.** If a bidder is awarded an opportunity to negotiate a contract, the proposer must provide the State agency with *written representation* in the resulting contract that certifies the bidder complies with the State's nondiscrimination agreements and warranties. This 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 authorized signatory of the contract shall demonstrate his or her understanding of this obligation by either (A) initialing the nondiscrimination affirmation provision in the body of the resulting contract, or (B) providing an affirmative response in the required online bid or response to a proposal question, if applicable, which asks if the contractor understands its obligations. If a bidder or vendor refuses to agree to this representation, such bidder or vendor shall be rejected and the State agency or quasi-public agency shall award the contract to the next highest ranked vendor or the next lowest responsible qualified bidder or seek new bids or proposals.
- 8. Access to Data for State Auditors.** The Contractor shall provide to OPM access to any data, as defined in C.G.S. § 4e-1, concerning the resulting contract that are in the possession or control of the Contractor

upon demand and shall provide the data to OPM in a format prescribed by OPM [or the Client Agency] and the State Auditors of Public Accounts at no additional cost.

VI. APPENDIX

A. ABBREVIATIONS / ACRONYMS / DEFINITIONS

BFO	Best and Final Offer
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CT	Connecticut
DAS	Department of Administrative Services (CT)
FOIA	Freedom of Information Act (CT)
IRS	Internal Revenue Service (US)
LOI	Letter of Intent
OAG	Office of the Attorney General
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
PSA	Personal Service Agreement
P.A.	Public Act (CT)
RFP	Request For Proposal
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States

- *contractor*: a private provider organization, CT State agency, or municipality that enters into a POS contract with the Agency as a result of this RFP.
- *proposer*: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Agency in response to this RFP. This term may be used interchangeably with respondent throughout the RFP.
- *prospective proposer*: a private provider organization, CT State agency, or municipality that may submit a proposal to the Agency in response to this RFP, but has not yet done so
- *subcontractor*: an individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific service as part of a PSA with the Agency as a result of this RFP

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

The undersigned Proposer affirms and declares that:

1) General

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

Legal Name of Organization:

Authorized Signatory

Date

C. REQUIRED LETTER OF INTENT**Department of Mental Health and Addiction Services
REQUEST FOR PROPOSALS****DMHAS SWS Gambling Impact Study 2023**

Return to:

DMHAS Official Contact

Pamela Mabry

DMHAS.FiscalContracts@ct.gov

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,	Zip Code	
() -	() -		
Telephone Number	FAX	E-mail Address	

Person Authorized to Sign Contract:

Name		Title	
Signature		Date	

D. COVER LETTER

DMHAS-SWS-GAMBLING IMPACT STUDY-2023
Department of Mental Health and Addiction Services
Due Date: 12/1/2022 3:00 PM EST

 Primary Business Name

 FEIN # & DUNS#

 Business Address

 Telephone Number

 Town, State

 Zip Code

Contact Person: *(Individual other than Authorized Official who can provide additional information about the proposal or who has immediate responsibility for the proposal)*

 Name

 Title

 Street Address

 Town, State, Zip Code

 Telephone
Number

 Fax Number

 E-mail Address

Authorized Official: *(Individual empowered to enter into and amend contractual instruments in the name and on behalf of the Contractor)*

 Name

 Title

 Street Address

 Town, State, Zip Code

 Telephone Number

 Fax Number

 E-mail Address

 Signature

Total Amount of Proposal: _____

E. BUDGET AND BUDGET NARRATIVE

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

Note:

This budget is available in an excel document. Please contact the official contact person for a copy.

Please attached an additional page describing the Budget Narrative

F. NOTIFICATION TO BIDDERS**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: _____

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

G. Equal Employment Opportunity

Please see link below for the EEO form or contact your Official Contact person for the form

[Home \(eeocdata.org\)](http://eeocdata.org)

Please Note: We will also accept a computerized EEO Form from your company.

H. Campaign Contribution Certification



STATE OF CONNECTICUT CAMPAIGN CONTRIBUTION CERTIFICATION

Written or electronic certification to accompany a bid or proposal or a non-competitive contract with a value of \$50,000 or more, pursuant to C.G.S. § 9-612.

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any 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 submission of your bid or proposal (if no bid or proposal- submit this completed form with the earliest submittal of any document to the state or quasi-public agency prior to the execution of the contract), 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.

Check One:

- Initial Certification**
- Updated Certification because of change of information contained in the most recently filed certification**

CAMPAIGN CONTRIBUTION CERTIFICATION:

I certify that neither the contractor or prospective state contractor, nor any of its principals, have made any contributions to, or solicited any contributions on behalf of, any party committee, exploratory committee, candidate for state-wide office or for the General Assembly, or political committee authorized to make contributions to or expenditures to or for, the benefit of such candidates, in the previous four years, that were determined by the State Elections Enforcement Commission to be in violation of subparagraph (A) or (B) of subdivision (2) of subsection (f) of Section 9-612 of the General Statutes, without mitigating circumstances having been found to exist concerning such violation. Each such certification shall be sworn as true to the best knowledge and belief of the person signing the certification, subject to the penalties of false statement. If there is any change in the information contained in the most recently filed certification, such person shall submit an updated certification not later than thirty days after the effective date of any such change or upon the submittal of any new bid or proposal for a state contract, whichever is earlier.

All Campaign Contributions on behalf of any party committee, exploratory committee, candidate for state-wide office or for the General Assembly, or political committee authorized to make contributions to or expenditures to or for, the benefit of such candidate, for a period of four years prior to signing the contract or date of the response to the bid, whichever is longer, include:

<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)

_My Commission Expires

I. 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

<u>Procurement Timetable</u>		
The Agency reserves the right to modify these dates at its sole discretion.		
Item	Action	Date
1	RFP Released	10/21/2022
2	Letter of Intent Due	11/3/2022 by 3:00 pm
3	RFP/Bidder's Conference Date	11/10/2022
4	RFP/Bidder's Conference Time	11:00
5	Deadline for Questions	11/14/2022
6	Answers Released	11/18/2022
7.	Proposals Due	12/01/2022 by 3:00 pm
8.	(* Proposer Selection	TBD
9.	(* Start of Contract Negotiations:	TBD
10.	(* Start of Contract:	1/2/2023

Proposal Content Checklist

- Cover Sheet**
- Table of Contents**
- Executive Summary:** Limit of two (2) pages high-level summary of proposal and cost
- Main proposal body answering all questions with relevant attachments.** *Proposers 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*

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

- Register at: <https://portal.ct.gov/DAS/CTSource/Registration>
- Submit Campaign Contribution Certification (OPM Ethics Form 1):
<https://portal.ct.gov/OPM/Fin-PSA/Forms/Ethics-Forms>
- Acknowledgement of Contract Compliance – Notification to Bidders**
- Equal Employment Opportunity**
- IRS Determination Letter** (for nonprofit proposers)
- Three years of most recent annual audited financial statements; OR any financial statements prepared by a Certified Public Accountant** for proposers whose organizations have been incorporated for less than two years. *Agencies may swap in use of EARS system if applicable.*
- Proposed budget**, including budget narrative and cost schedules for planned subcontractors if applicable.

- Conflict of Interest Disclosure Statement**
- Statement of Assurances**
- Declaration of Confidential Information**
- Organizational Chart**

Formatting Checklist

- Is the proposal formatted to fit 8 ½ x 11 (letter-sized) paper?
- Is the main body of the proposal within the 20-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 proposer'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)?