

STATE OF CONNECTICUT PROCUREMENT NOTICE**Request for Proposals (RFP)****For****Biennial Statewide Healthcare Facility Utilization Study and
Statewide Healthcare Facilities Services Plan****Issued By:****May 17, 2022**

The Request For Proposal is available in electronic format on the State Contracting Portal by filtering by Organization for Office of Health Strategy.

<https://portal.ct.gov/DAS/CTSource/BidBoard> or from the Agency's Official Contact:

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The RFP is also available on the Agency's website at:

<https://portal.ct.gov/OHS/Services/Data-and-Reports/To-Access-Data/Contracts-and-RFPs>

RESPONSES MUST BE RECEIVED NO LATER THAN**June 22, 2022 by 3pm EST**

The Office of Health Strategy is an Equal Opportunity/Affirmative Action Employer.
The Office of Health Strategy 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).

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I. GENERAL INFORMATION

■ A. INTRODUCTION

- 1. RFP Name and Number.** Biennial Statewide Healthcare Facility Utilization Study and Statewide Healthcare Facilities Services Plan, RFP # 22OHS324
- 2. RFP Summary.** The Office of Health Strategy ("OHS" or "Office") is seeking a contractor with expertise in healthcare markets and economics, advanced health data analytics and healthcare systems planning to conduct two separate healthcare market analyses. The first phase of the project is a review of the impact of Connecticut hospital consolidations over the past five years on the healthcare market including a utilization and cost impact analysis. The second phase of the project is a detailed Connecticut healthcare market analysis to assess the current climate and make projections/plans and recommendations for needed regulations, staffing needs, appropriate pricing, and gaps in the market that are not regulated but may need future regulation. Data from OHS will be provided as needed to assist in data analysis.
- 3. RFP Purpose.** OHS is publishing this Request for Proposal (RFP) as part of its statutory requirements under section 19a-613 of the general statutes to conduct health systems planning and specifically under 19a-634 to develop a biennial healthcare facility utilization study and statewide healthcare facilities and services plan. These planning documents and the resulting recommendations will allow Connecticut to be positioned to exercise its regulatory roles on health systems planning, financial oversight, and certificate of need, and its broader mission with an eye toward an equitable future delivery system across the lifespan, which must include a focus on community-based and community-led initiatives and care delivery.
- 4. Commodity Codes.** The services that the Agency wishes to procure through this RFP are as follows:

0600: Services (Professional, Support, Consulting and Misc. 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.

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- 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 shall submit the following information pertaining

to this application to this portal (on their supplier profile), which will be checked by the Agency contact.

- Secretary of State recognition – Click on appropriate response
- Non-profit status, if applicable
- Notification to Bidders, Parts I-V
- 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/OHS/Services/Data-and-Reports/To-Access-Data/Contracts-and-RFPs>
- State Contracting Portal (go to CTsource bid board, filter by Office of Health Strategy)
<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: May 17, 2022
- RFP Conference: Not Applicable
- Letter of Intent Due: Not Applicable
- Deadline for Questions: May 27, 2022
- Answers Released: June 8, 2022
- Proposals Due: June 22, 2022
- (*) Proposer Selection: July 22, 2022
- (*) Start of Contract: Approximately August 31, 2022

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:

- Total Funding Available: insert amount (optional to include)
- Number of Awards: 1
- Contract Cost: \$400,000 (total for phase 1 and phase 2 deliverables)
- Contract Term: Approximately, August 1, 2022-December 1, 2023

6. Eligibility. To be eligible, the applicant must be recognized as a single legal entity by the state where it is incorporated and must have a unique Taxpayer Identification Number (TIN) designated to receive payment. Applications will be screened to determine eligibility for further review using criteria detailed in this RFP and in applicable law.

Evidence of Qualified Entity: The Respondent shall provide written assurance to OHS from its legal counsel that it is qualified to conduct business in Connecticut and is not prohibited by its articles of incorporation, bylaws, or the law under which it is incorporated from performing the services required under any resultant contract.

Sanction – Disclosure: The Respondent shall provide a statement that attests that no sanction, penalty or compliance action has been imposed on the Respondent within three years immediately preceding the date of this RFP. If the Respondent proposes the use of a subcontractor, each proposed subcontractor must provide the same statement.

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

- a) Expertise in healthcare analytics
- b) Expertise in analyzing healthcare utilization data
- c) Experience reporting on healthcare utilization data using tables, charts, and maps
- d) Experience with healthcare quality measures and metrics
- e) Experience with health equity measures and metrics
- f) Expertise contracting with other government agencies to provide services like those the State of CT is seeking
- g) Expertise in presenting analytic results to and obtaining input from stakeholders, advisory bodies, and the public
- h) Expertise in developing web-based analytic reports
- i) Experience as healthcare economists or demonstration of ability to contract with healthcare economists for market impacts and analysis
- j) Experience with large-scale health systems planning and analysis
- k) Experience in developing large scale plans and issuing public reports

8. Letter of Intent. A Letter of Intent (LOI) **is not** required by this RFP

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

10. RFP Conference. An RFP conference **will not** be held to answer questions from prospective proposers.

- 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: **JUNE 22, 2022 by 3pm**

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 Screening Committee.

The electronic copy of the proposal must be emailed to official agency contact for this procurement to Abby.Alter@ct.gov

The subject line of the email must read: *Biennial Statewide Healthcare Facility Utilization Study and Statewide Healthcare Facilities Services Plan*. Name. 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.

II. PURPOSE OF RFP AND SCOPE OF SERVICES

■ A. AGENCY OVERVIEW

Formally established in 2018, the Office of Health Strategy (OHS) was created in 2017 through a bipartisan effort of the Connecticut General Assembly to promote high-quality, affordable, and accessible healthcare for all residents. Connecticut re-organized existing state resources into one entity, uniting health policymaking and advancing healthcare reform initiatives that will drive down healthcare costs; close deeply entrenched racial, economic, and gender health disparities; and undertake technology-driven modernization efforts throughout the system.

Section 19a-634 of the Connecticut General Statutes (Conn. Gen. Stat.) charges the Health Systems Planning Unit (HSP) with the responsibility of developing and maintaining a Statewide Healthcare Facilities and Services Plan (the Plan) along with establishing and maintaining an inventory--not part of this RFP, inventory data will be provided to contractor--of all Connecticut healthcare facilities and services and conducting a biennial utilization study. The Plan is an advisory document intended to be a blueprint for healthcare delivery in Connecticut, a resource for policymakers and those involved in the Certificate of Need (CON) process, and a planning tool to identify unmet needs and gaps in service.

The CON program is intended to guide the establishment of healthcare facilities and services which best serve public needs, ensure that high quality health services are provided, prevent unnecessary duplication of healthcare facilities and services, and promote cost containment. However, the CON statutes do not include a definition of "clear public need." Accordingly, the Health Systems Planning Unit has utilized professional societies and organizations held to be the experts to establish standards, guidelines, and need methodologies to facilitate the review and analysis of Certificate of Need applications. In

reviewing CON applications, HSP first applies the guidelines and principles in Conn. Gen. Stat. 19a-639, and then considers any additional standards, guidelines, and need methodologies provided in the Plan.

■ B. SERVICE OVERVIEW

OHS is publishing this Request for Proposal (RFP) as part of its statutory requirements under section [19a-613](#) of the general statutes to oversee and coordinate health system planning for the state and specifically under section [19a-634](#) to develop a biennial healthcare facility utilization study, a statewide healthcare facilities and services analysis and plan. OHS is also pursuing this study under authority granted by HB5506 of the 2022 regular session, signed by the Governor in the original. Additionally, OHS is interested in a full analysis on the impact of such services and facilities on equity and underserved populations and on the healthcare market in the state.

■ C. SCOPE OF SERVICE DESCRIPTION

Phase 1 – Due by December 15, 2022

Review data from OHS data systems (Data from the OHS All-Payer Claims Data (APCD), other OHS data and publicly available data) and analyze the impact of horizontal and vertical acquisitions in the Connecticut market over the past five years including a utilization and impact analysis on populations in the state by payer mix and demographic indicators, where possible, including impacts on affordability of care.

Phase 2 – Due by December 1, 2023

The second phase of the project is a detailed Connecticut healthcare market analysis from economic and legal perspectives to assess the current climate and make projections/plans and recommendations for needed statutory or regulatory revisions for the state, potential staffing/expertise needs, appropriate pricing, gaps in the market that are not currently regulated but may be considered for future regulation, utilizing community health needs assessments and community benefit reporting to determine gaps in current services and potential sources for supporting such services, and actions that may need to be taken within the current statutory scheme to assure access and promote affordability and competition. Data from OHS will be provided as needed to assist in data analysis. The market analysis should include, but is not limited to, the following:

- Planning for Connecticut's future healthcare needs
- Review of Connecticut's current healthcare facilities and services using current inventory provided by OHS. **Please refer to the 2012 plan, [2012 Full - Facilities and Services Plan and Inventory \(ct.gov\)](#)** for an example and guide of type of inventory that will be available.
- Inventory recommendations-where should inventory be located for optimal healthcare equity and market demand
- Review of bed need methodology and observations/conclusions about where beds are needed in future
- Review/recommendations of equity, pricing, costs, quality, and access issues and recommended conditions to assure a well-functioning equitable and competitive market for all Connecticut residents
- Review of current statutes and regulations and gaps for needed revisions or additions to statutory oversight and regulation to make optimal healthcare market decisions and ensure competition. (Recommendations may go beyond OHS governing authority.)
- Review current OHS data and programs (All Payer Claims Database, Health Information Exchange etc.) and make recommendations on gaps in data to effectively make Certificate of Need (CON) decisions and other healthcare regulatory decisions to help ensure a competitive market, promote

affordability, ensure appropriate staffing expertise, and overall healthcare utilization.

- Hold engagements with stakeholders and Advisory body to ensure input and feedback on the plan
- Make recommendations on dashboards or data visualizations to develop transparent and highly visible access to changes in the CT market.
- Work with OHS to test potential policy changes utilizing the Healthcare Affordability Index.

KEY OUTPUTS AND TIMELINE GRID (Possible timeline changes to be expected)

Priority	Key Milestones	Timeline
	Please note: these are all tentative dates contingent upon contracting and agreed upon start dates	
1.	Meet regularly with OHS to finalize phase 1 outputs	August 2022-September 2022
2.	Working draft to OHS for discussion	November 15, 2022
4.	Final Draft for Approval	December 31, 2022
5.	Meet with OHS for Phase 2 planning	January-February 2023
6.	Meet with OHS Advisory Board(stakeholders) to help planning for Phase 2	January-February 2023
	Working Draft for Phase 2 report to OHS for Discussion	November 30, 2023
7.	Meet with Advisory Board (stakeholders) to present findings of Phase 2 report	December 2023
8.	Final Report to OHS	December 31, 2023

III. PROPOSAL SUBMISSION OVERVIEW

■ A. SUBMISSION FORMAT INFORMATION

- 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, The proposer must develop a Cover Sheet that includes the information below. *Legal Name* is defined as the name of the 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.
 - RFP Name or Number:
 - Legal Name:
 - FEIN:
 - Street Address:
 - Town/City/State/Zip:
 - Contact Person:
 - Title:
 - Phone Number:
 - E-Mail Address:
 - Authorized Official:
 - Title:
 - Signature:
- 3. Executive Summary.** Proposals must include a high-level summary, not exceeding 1 page, of the main proposal and cost proposal. The summary must also include the organization's eligibility (must be a CT state approved vendor in Core) and qualifications to respond to this RFP.
- 4. 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.** Electronic Submissions only.
Submitted proposals must conform to the following specifications:
 - Paper Size: Formatted to fit 8 ½ x 11 (letter-sized) paper
 - Font: 12-point, Times New Roman font
 - Margins: 1 inch margins and 1 ½ line spacing
 - Header: Proposer name on header of each page
 - Page Numbers: Page numbers should appear on footer
 - Page Limit: 8 pages not including Appendix

- 7. Pagination.** The proposer's name must be displayed in the footer of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.
- 8. 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 subsection of E (Section IV) 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). The proposer understands that the final decision on the release of information rests with the agency.
- 9. 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 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. 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.

3. Evaluation Criteria. 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.

- Organization Description and History, Scope of Services, Subcontractors, Work Plan= 60%
- Organizational Qualifications, Resumes and Staffing Plan= 30%
- Budget and Budget Narrative -Need to budget each phase separately= 10%

Note:

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

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 there are not adequate respondents.

6. 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

B. Executive Summary-Organization Profile

C. Main Proposal

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

E. Declaration of Confidential Information

F. Conflict of Interest - Disclosure Statement

G. Statement of Assurances

A: Cover Sheet

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

- RFP Name or Number:
- Legal Name:
- FEIN (not required for currently contracted providers/vendors):
- Street Address:
- Town/City/State/Zip:
- Contact Person:
- Title:
- Phone Number:
- E-Mail Address:
- Authorized Official:
- Title:
- Signature:

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: Proposer Executive Summary

The page limitation for this section is 1 page **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. Be mindful of the questions below which ask for more detailed information, this section should be a summary.

C: Main Proposal Submission Requirements To Submit a Responsive Proposal:

*****Please note the maximum total page length for this section is 7 pages** (all appendices and other attachments should be referred to in section C and then placed in section D. Section D does not count toward the **7 page** maximum for this section.

1. Organization Description and History: Provide a general overview of your organization including its history and prior experiences engaging with relevant key stakeholders
 - a. *Purpose, Mission, Vision, Values*
 - b. *Entity Type / Parent Organization / Years of Operation*
 - c. *Current Range of Services / Clients*
 - d. *Qualifications*
 - e. *Relevant Experience*
 - f. *Accreditation / Certification / Licensure or n/a*
2. Scope of Services
 - a. *Describe proposer's experience conducting large-scale healthcare utilization analytics and reporting using data, tables and charts*
 - b. *Describe proposer's health systems planning and evaluation expertise*
 - c. *Document understanding of Connecticut's healthcare landscape and how this knowledge impacts your proposal*
 - d. *Describe proposer's plan to complete project deliverables (timeline need not be included in this section, but in section 4.6)*
3. Staffing Plan
 - a. *Key Personnel / Managers*
 - b. *Staffing Levels & Qualifications*
4. Data and Technology
 - a. *E-Mail / Internet Capabilities*
 - b. *Data Collection / Storage / Reporting*
 - c. *Data Analyses capabilities*
5. Subcontractors: *OHS recommends working with an economist(s) who has experience with health systems planning and analysis. Please include the following in your proposals:*
 - a. *Legal Name of Entity, Address, FEIN*
 - 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. Work Plan
 - a. *Start Date*
 - b. *Timetable / Schedule*
 - c. *Methodologies*
7. Cost Competitiveness and Budget Narrative
 - a. *Narrative-please cost out Phase 1 and Phase 2 separately*
 - b. *Line-Item Budget Template is provided*
 - c. *Include Subcontractor Costs*

D: 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.

- a. *Résumés of Key Personnel*

- b. *Electronic Links (if possible) to previous research and reports/publication examples*

E: 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).

F: 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."*

G: Statement of Assurances

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

V. MANDATORY PROVISIONS

■ A. STANDARD CONTRACT PROVISIONS

By submitting a proposal in response to this RFP, the proposer agrees to comply with the provisions referenced in the Procurement Standards: For Personal Agreements and Purchase of Service Contracts: [PSA POS Procurement Standards \(ct.gov\)](https://www.ct.gov/psa)

■ 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

APCD	All-Payer Claims Data
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
OHS	Office of Health Strategy
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

Office of Health Strategy

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 Agency the cost proposed in the RFP and within the timeframes therein.
- c. The Respondent will seek prior approval from the Agency before making any changes to the location of services.
- d. Neither the Respondent or any official of the organization nor any subcontractor 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 to 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 detail **This is a tool for proposers to use.** 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 Agency reserves the right to modify these dates at its sole discretion.		
Item	Action	Date
1	RFP Released:	May 17, 2022
2	Deadline For Questions	May 27, 2022
3	Answers Released	June 8, 2022
4	Proposals Due	June 22, 2022
5	Proposer Selection	July 22, 2022
6	Start of Contract- Approximately	August 31, 2022

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

- Register at: <https://portal.ct.gov/DAS/CTSource/Registration>
- Submit required forms:
 - Campaign Contribution Certification (OPM Ethics Form 1): <https://portal.ct.gov/OPM/Fin-PSA/Forms/Ethics-Forms>

Proposal Content Checklist

- Cover Sheet** including required information:
 - RFP Name or Number
 - Legal Name
 - FEIN
 - 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
- 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.
- IRS Determination Letter** (for nonprofit proposers)
- Proposed budget,** including budget narrative and cost schedules for planned subcontractors if applicable (please use budget template)
- 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 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)?