

## Addendum 1

### Emergency Solutions Grants Program Rapid Re-housing Financial Assistance 8/23/2012 Request for Proposals

The State of Connecticut Department of Social Services is issuing Addendum 1 to the Emergency Solutions Grants (ESG) Program Rapid Re-housing Financial Assistance 8/23/2012 Request for Proposals (RFP). All requirements of the original RFP except those requirements specifically changed by this addendum shall remain in effect. In the event of any inconsistency between information provided in the RFP and information in this addendum, the information in this addendum shall prevail.

This addendum clarifies the following sections of the RFP.

1. Section I.C.3. Contract Offers
2. Section III.D.2.b. Budget
3. Section IV. Proposal Outline

This addendum also contains questions submitted by interested parties and the Department of Social Services official responses. These responses shall clarify the requirements of the RFP.

#### Clarifications to the RFP

1. **Section I.C.3. Contract Offers** is amended as follows:

3. **Contract Offers.** The offer of the right to negotiate a contract pursuant to this RFP is dependent upon the availability of funding to the Department. The Department anticipates the following:

Total Funding Available: ~~\$808,859,583,859~~ per budget year in federal funds for up to two years pending availability of funding  
Number of Awards: Up to one (1)  
Contract Cost: Not to exceed \$1,167,718  
Catchment Area: Statewide  
Contract Term: September 24, 2012 – June 30, 2014

2. **Section III.D.2.b. Budget** is amended as follows:

- b. *Budget.* **A responsive proposal must include separate budget forms**, which are embedded in this section as hyperlinks, for [budget year 1](#), [budget year 2](#), and the [total anticipated contract period](#).

The respondent's total administration costs including administrative salaries, administrative fringe benefits and payroll taxes, administrative overhead, legal, independent audit, and other contractual services shall not exceed 7.5 percent of the total funding request per budget year and the total anticipated contract period. In addition, the contractor's total administration costs shall not exceed 7.5 percent of the quarterly expenditures reported. The total administration costs of the proposed subcontractors shall be determined by the contractor, but shall not exceed 7.5 percent of the total funding request. The remaining balance of the total funding request shall be for the ESG Program rapid re-housing financial assistance activities required by this RFP.

Detailed [budget instructions](#) are embedded in this section as a hyperlink.

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3. **Section IV. Proposal Outline** is amended as follows:

**IV. PROPOSAL OUTLINE**

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

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<sup>1</sup> The respondent must upload this report through an automated system hosted by the Department of Administrative Services (DAS)/Procurement Division, and the Department of Social Services can review said document online. The [DAS guide to uploading affidavits and nondiscrimination forms online](#) is embedded in this section as a hyperlink.

<sup>2</sup> Required when the contract resulting from this RFP has an anticipated value of \$50,000 or more in a calendar or fiscal year. The respondent must upload this certification through an automated system hosted by the Department of Administrative Services (DAS)/Procurement Division, and the Department of Social Services can review said document online. The [DAS guide to uploading affidavits and nondiscrimination forms online](#) is embedded in this section as a hyperlink.

## Questions and Answers

1. Question: Please clarify which forms in Section E. Statutory and Regulatory Compliance (page 15) are required to be submitted with the proposal.

Answer: A responsive proposal shall include a Certification Regarding Lobbying form, which is embedded in Section II.E.4 of the RFP.

2. Question: Please clarify the annual and total funding available, and the number of households the Department expects to serve.

Answer: The total funding available is \$583,859 in federal funds for Budget Year 1 (September 24, 2012 – June 30, 2013) and \$583,859 in federal funds for Budget Year 2 (July 1, 2013 – June 30, 2014) pending availability of funding. The total contract cost shall not exceed \$1,167,718. The Department is silent concerning the number of households that it expects to serve, as a number of factors could impact the amount of financial assistance a program participant could receive, for example, the types of eligible costs (rental application fees; security deposits; short-term and medium-term rental assistance; utility deposits, payments, and arrears; moving costs, etc.). Please refer to Section 3 (Rapid Re-Housing Financial Assistance) on page 2 of the budget instructions.

3. Question: Has the department established caps on the amount of financial assistance to be provided to individuals and families?

Answer: No.

4. Question: If HUD does not require payment information to be entered into HMIS, will the department still require entry?

Answer: Yes. Please refer to Section III.B.7.g of the RFP.

5. Question: On page 21, Item 7.j states that the contractor must be able to perform habitability, lead-based paint and rent reasonableness activities if “participating housing relocation and stabilization services providers cannot assist.” Please provide an estimate of the number of inspections the contractor may have to perform.

Answer: The Department is unable to provide an estimated number of inspections at this time. The Department will consider budget revisions proposed by the contractor if funds are required for inspection costs.

6. Question: Please clarify how “barriers” are defined with regards to item 4.b.iii on page 26 of the RFP.

Answer: For the purposes of this RFP, barriers are obstacles that can adversely impact a program participant’s ability to achieve and maintain housing stability. Barriers usually fall into the following three general categories:

- a. Tenant Screening (for example, rental history, credit history, criminal history, etc.)

- b. Personal (for example, chemical/substance abuse, mental health, domestic violence/abuse, physical/medical condition, etc.)
- c. Income (for example, lack of income, underemployment, loss of income, etc.)

7. Question: On page 26, Item 4.b.iv states that the contractor must maintain “case management documentation” for each program participant. Does the department plan on requiring housing relocation and stabilization services providers to move their case management documentation to HMIS?

Answer: As the State of Connecticut is migrating to a new CTHMIS system within the next year or so, it is the Department’s expectation that the CTHMIS will be utilized to its full potential, which could include case management documentation.

8. Question: Does staff required to operate the program count the 7.5% administration allowed?

Answer: Total administration costs including administrative salaries, administrative fringe benefits and payroll taxes, administrative overhead, accounting, legal, independent audit, and other contractual services shall not exceed 7.5 percent of the total funding request per budget year and the total anticipated contract period. In addition, the contractor’s total administration costs shall not exceed 7.5 percent of the quarterly expenditures reported.

9. Question: The budget forms do not have a line item for short or medium term rental assistance (under item 3 Rapid Re-housing - Financial Assistance) although they are allowable expensed according to page 20 of the RFP. Is this an error that will be corrected?

Answer: All three budget forms, as well as the budget instructions, have been revised and embedded in this addendum as hyperlinks.

**Addendum 1**

**Emergency Solutions Grants Program Rapid Re-housing Financial Assistance 8/23/2012  
Request for Proposals**

Date Issued: September 4, 2012

Approved: Linda Burns  
Linda Burns  
(Original signature on document in procurement file)

This Addendum Acknowledgement must be signed and included with your proposal.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Name of Respondent

## PROCUREMENT NOTICE

### Emergency Solutions Grants Program Rapid Re-housing Financial Assistance 8/23/2012 Request for Proposals

The State of Connecticut, Department of Social Services (the Department), is seeking proposals from eligible 501(c)(3) nonprofit organizations to act as fiduciary administrator for the Emergency Solutions Grants (ESG) Program rapid re-housing financial assistance fund for literally homeless households that are receiving housing relocation and stabilization services from [entities identified by the Department](#), which are embedded as a hyperlink.

The U.S. Department of Housing and Urban Development (HUD) funds the Emergency Solutions Grants (ESG) Program. Based upon limited resources, Connecticut has targeted its resources in the creation of a rapid re-housing financial assistance fund to provide short-term and medium-term rental assistance to literally homeless households that are receiving housing relocation and stabilization services from entities identified by the Department.

Eligible respondents are private provider organizations (defined as non-state entities that are 501(c)(3) nonprofit corporations or partnerships with principal place of business in Connecticut) or Connecticut municipalities. The respondent must have the following qualifications:

- A minimum of three (3) years demonstrated experience administering a financial assistance fund for a government program;
- An established electronic financial management system (for example, QuickBooks);
- Demonstrated experience with statewide coordination of services; and
- Knowledgeable about federal and state homelessness prevention and rapid re-housing programs and services.

A printed copy of the RFP can be obtained from the Official Contact upon request:

Name: Linda Burns, Contract Administration and Procurement  
Address: 25 Sigourney Street, 9<sup>th</sup> Floor, Hartford, CT 06106  
Phone: 860-424-5661  
Fax: 860-424-5800  
E-Mail: [Linda.burns@ct.gov](mailto:Linda.burns@ct.gov)

The deadline for submission of proposals is September 17, 2012, 2:00 p.m. Eastern Time. Questions or requests for information in alternative formats must be directed to the Department's Official Contact at 860-424-5661. Persons who are deaf or hearing impaired may use a TDD by calling 1-800-842-4524.

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## I. GENERAL INFORMATION

### ■ A. INTRODUCTION

**1. RFP Name. Emergency Solutions Grants (ESG) Program Rapid Re-housing Financial Assistance 8/23/2012**

- 2. Summary.** The State of Connecticut, Department of Social Services (the Department), is seeking proposals from eligible 501(c)(3) nonprofit organizations to act as fiduciary administrator for the Emergency Solutions Grants (ESG) Program rapid re-housing financial assistance fund for literally homeless households that are receiving housing relocation and stabilization services from [entities identified by the Department](#), which are embedded as a hyperlink.

The U.S. Department of Housing and Urban Development (HUD) funds the Emergency Solutions Grants (ESG) Program. Based upon limited resources, Connecticut has targeted its resources in the creation of a rapid re-housing financial assistance fund to provide short-term and medium-term rental assistance to literally homeless households that are receiving housing relocation and stabilization services from entities identified by the Department.

- 3. Synopsis.** Eligible respondents are private provider organizations (defined as non-state entities that are either 501(c)(3) nonprofit corporations or partnerships with principal place of business in Connecticut) or Connecticut municipalities. The respondent must have the following qualifications:

- a. A minimum of three (3) years demonstrated experience administering a financial assistance fund for a government program;
- b. An established electronic financial management system (for example, QuickBooks);
- c. Demonstrated experience with statewide coordination of services ; and
- d. Knowledgeable about federal and state homelessness prevention and rapid re-housing programs and services.

- 4. Commodity Codes.** The services that the Department wishes to procure through this RFP are as follows:

2000: Community and Social Services

### ■ B. ABBREVIATIONS / ACRONYMS / DEFINITIONS

BFO	Best and Final Offer
CFDA	Catalog of Federal Domestic Assistance
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunities (CT)
Contractor	A private 501(c)(3) nonprofit corporation or partnership with principal place of business in Connecticut or Connecticut municipality that enters into a contract with the Department as a result of this RFP
CT	Connecticut
CTHMIS	Connecticut Homeless Management Information System
DAS	Department of Administrative Services (CT)
DSS	Department of Social Services (CT)
DUNS	Data Universal Numbering System

ESG	Emergency Solutions Grants
Fiduciary Administrator	An entity that issues payments to housing owners, utilities, and other third parties for eligible costs on behalf of ESG Program participants
FOIA	Freedom of Information Act (CT)
Household	All persons residing within the same dwelling
HUD	Department of Housing & Urban Development (U.S.)
IRS	Internal Revenue Service (U.S.)
Literally homeless	Individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning: (i) Has a primary nighttime residence that is a public or private place not meant for human habitation; (ii) Is living in a publicly or privately operated shelter designated to provide temporary living arrangements (including congregate shelters, transitional housing, and hotels and motels paid for by charitable organizations or by federal, state and local government programs); or (iii) Is exiting an institution where (s)he has resided for 90 days or less <u>and</u> who resided in an emergency shelter or place not meant for human habitation immediately before entering that institution
LOI	Letter of Intent
Medium-term rental assistance	Assistance limited to 4 - 12 months of rent
MOU	Memorandum of Understanding
OAG	Office of the Attorney General (CT)
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
P.A.	Public Act (CT)
POS	Purchase of Service
Prospective Respondent	A private 501(c)(3) nonprofit provider corporation or partnership with principal place of business in Connecticut or Connecticut municipality that may submit a proposal to the Department in response to this RFP, but has not yet done so
Respondent	A private 501(c)(3) nonprofit provider corporation or partnership with principal place of business in Connecticut or Connecticut municipality that has submitted a proposal to the Department in response to this RFP
RFP	Request for Proposals
SEEC	State Elections Enforcement Commission (CT)
Short-term rental assistance	Assistance limited to 1 -3 months of rent
Subcontractor	An individual (other than an employee of the contractor) or business entity hired by the contractor to perform any of the activities required by this RFP as part of a contract with the Department as a result of this RFP
U.S.	United States

■ **C. INSTRUCTIONS**

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

Name: Linda Burns, Contract Administration and Procurement

Address: 25 Sigourney Street, 9<sup>th</sup> Floor, Hartford, CT 06106  
Phone: 860-424-5661  
Fax: 860-424-5800  
E-Mail: Linda.burns@ct.gov

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

**2. RFP Information.** The RFP, addenda 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:

- Department's RFP Web Page  
[www.ct.gov/dss/cwp/view.asp?a=2345&q=304920&dssNav=](http://www.ct.gov/dss/cwp/view.asp?a=2345&q=304920&dssNav=)
- State Contracting Portal  
<http://das.ct.gov/cr1.aspx?page=12>

It is strongly recommended that any respondent or prospective respondent interested in this procurement subscribe to receive e-mail alerts from the State Contracting Portal. Subscribers will receive a daily e-mail announcing procurements and addenda 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.

Printed copies of all documents are also available from the Official Contact upon request.

**3. Contract Offers.** The offer of the right to negotiate a contract pursuant to this RFP is dependent upon the availability of funding to the Department. The Department anticipates the following:

Total Funding Available: \$808,859 per year in federal funds for up to two years pending availability of funding  
Number of Awards: Up to one (1)  
Contract Cost: Not to exceed \$1,167,718  
Catchment Area: Statewide  
Contract Term: September 24, 2012 – June 30, 2014

**4. Eligibility.** Eligible respondents are private provider organizations (defined as non-state entities that are 501(c)(3) nonprofit corporations or partnerships with principal place of business in Connecticut) or Connecticut municipalities. Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

**5. Minimum Qualifications of Respondents.** To be considered for the right to negotiate a contract, a respondent must have the following minimum qualifications:

- a. A minimum of three (3) years demonstrated experience administering a financial assistance fund for a government program;
- b. An established electronic financial management system (for example, QuickBooks);
- c. Demonstrated experience with statewide coordination of services; and
- d. Knowledgeable about federal and state homelessness prevention and rapid re-housing programs and services.

The Department reserves the right to reject the submission of any respondent in default of any current or prior contract.

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

- RFP Released: August 23, 2012
- Deadline for Questions: August 30, 2012, 2:00 p.m. Eastern Time
- Letter of Intent Due: August 30, 2012, 2:00 p.m. Eastern Time
- Answers Released (tentative): September 7, 2012
- Proposals Due: September 17, 2012, 2:00 p.m. Eastern Time
- (\*) Start of Contract: September 24, 2012

**7. Letter of Intent.** Prospective respondents are strongly encouraged, but not required to submit a Letter of Intent (LOI). 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 fax or e-mail by the deadline established in the Procurement Schedule. The LOI must clearly identify the sender, including name, mailing address, telephone number, fax number, and e-mail address. It is the sender's responsibility to confirm the Department's receipt of the LOI.

**8. Inquiry Procedures.** All questions regarding this RFP or the Department's procurement process must be submitted 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 will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or anonymous questions). Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. The Department reserves the right to answer questions only from those who have submitted a Letter of Intent. The Department may combine similar questions and give only one answer. All questions and answers will be compiled into a written addendum 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 addendum and duly noted as such. The agency will release the answers to questions on the date established in the Procurement Schedule. The Department will publish any and all amendments or addenda to this RFP on the State Contracting Portal and on the Department's RFP Web Page. At its discretion, the Department may distribute any amendments and addenda to this RFP to prospective respondents who submitted a Letter of Intent. **Proposals must include a signed Addendum Acknowledgement, which will be placed at the end of any and all addenda to this RFP.**

**9. 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: September 17, 2012
- Time: 2:00 p.m. Eastern Time

Faxed or e-mailed proposals will not be evaluated. The Department shall not accept a postmark date as the basis for meeting the proposal due date and time. Respondents should not interpret or otherwise construe receipt of a proposal after the due date and time as acceptance of the proposal, since the actual receipt of the proposal is a clerical function. The Department suggests the respondent use certified or registered mail, or a delivery service such as United Parcel Service (UPS) to deliver the proposal. When hand-delivering proposals, submitters should allow extra time to comply with building security and delivery procedures.

Hand-delivered proposals must be delivered to the loading dock located on the north side of the building, at 555 Capitol Avenue. Upon arriving at the loading dock, the respondent or courier must ring the buzzer by the door. The Official Contact or designee will receive the proposal and provide the respondent or courier with a receipt upon request.

Proposals shall not be considered received by the Department until they are in the hands of the Official Contact or another representative of the Contract Administration and Procurement Unit designated by the Official Contact. At the discretion of the Department, late proposals may be destroyed or retained for pick-up by the submitters.

An acceptable submission must include: one (1) original main proposal; four (4) conforming copies of the original main proposal; and two (2) conforming electronic copies of the original main proposal (one copy on each of two Compact Disks clearly labeled with the Legal Name of the respondent and **ESG RFP Main Proposal**. **THE MAIN PROPOSAL MUST INCLUDE THE FOLLOWING SECTIONS ONLY:**

- Cover Sheet
- Table of Contents
- Declaration of Confidential Information
- Conflict of Interest – Disclosure Statement
- Executive Summary
- Organizational Requirements
- Service Requirements
- Staffing Requirements
- Data and Technology Requirements
- Subcontractors
- Work Plan
- Appendices
- Forms

The original main proposal must carry original signatures and be clearly marked on the cover as “Original.” Unsigned proposals will not be evaluated.

An acceptable submission must also include: one (1) original cost proposal; four (4) conforming copies of the original cost proposal; and two (2) conforming electronic copies of the original cost proposal (one copy on each of two Compact Disks clearly labeled with the Legal Name of the respondent and **ESG RFP Cost Proposal**. **THE COST PROPOSAL MUST INCLUDE THE FOLLOWING SECTIONS ONLY:**

- Financial Requirements
- Budget Requirements

The original proposal and each conforming copy of the proposal must be complete, properly formatted and outlined, and ready for evaluation by the Evaluation Team. **The electronic copies of the proposal must be compatible with Microsoft Office Word except for the Budget, which may be compatible with Microsoft Office Excel.** For the electronic copy, only the required Appendices and Forms identified in Section IV may be scanned and submitted in Portable Document Format (PDF) or similar file format.

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

#### ■ D. PROPOSAL FORMAT

- 1. Required Outline.** All proposals must follow the required outline presented in Section IV. Proposal Outline. Proposals that fail to follow the required outline will be deemed, at the discretion of the Department, non-responsive and not evaluated.
- 2. Cover Sheet.** The Cover Sheet is Page 1 of the proposal. Respondents must complete and use the [Cover Sheet](#) form, which is embedded in this section as a hyperlink.
- 3. Table of Contents.** All proposals must include a Table of Contents that conforms to the required proposal outline. (See Section IV.)

4. **Executive Summary.** Proposals must include a high-level summary, not exceeding two (2) pages, of the main proposal. The Executive Summary shall include the respondent's: (a) principal place of business; (b) minimum of three (3) years demonstrated experience administering a financial assistance fund for a government program; (c) established electronic financial management system (for example, QuickBooks); d) demonstrated experience with statewide coordination of services; and (d) knowledge of federal and state homelessness prevention and rapid re-housing programs.

The Department will not evaluate proposals from organizations that do not meet these minimum qualifications.

5. **Attachments.** Attachments other than the required Appendices and Forms identified in Section IV are not permitted and will not be evaluated. Further, the required Appendices and Forms must not be altered or used to extend, enhance or replace any requirement of this RFP. Failure to abide by these instructions will result in disqualification.
6. **Style Requirements.** The original proposal and each of the four (4) conforming copies of the original proposal must conform to the following specifications:

Binding Type: Loose leaf binders with the Legal Name of the respondent, and the RFP Name and Section appearing on the outside front cover of each binder: **Emergency Solutions Grants (ESG) Program Rapid Re-housing Financial Assistance 8/23/2012 RFP Main Proposal** or **Emergency Solutions Grants (ESG) Program Rapid Re-housing Financial Assistance 8/23/2012 RFP Cost Proposal**

Dividers: A tab sheet keyed to the table of contents must separate each subsection of the proposal; the title of each subsection must appear on the tab sheet

Paper Size: 8½" x 11", "portrait" orientation

Print Style: 1-sided

Font Size: Minimum of 11-point

Font Type: Arial or Tahoma

Margins: The binding edge margin of all pages shall be a minimum of one and one half inches (1½"); all other margins shall be one inch (1")

Line Spacing: Single-spaced

7. **Pagination.** The Legal Name of the respondent must be displayed in the header of each page. All pages, from the Cover Sheet through the required Appendices and Forms, must be numbered consecutively in the footer.
8. **Packaging and Labeling Requirements.** **THE MAIN PROPOSAL AND COST PROPOSAL MUST BE SUBMITTED IN SEPARATE SEALED ENVELOPES OR PACKAGES** and be addressed to the Official Contact. The Legal Name and Address of the respondent must appear in the upper left corner of the envelope or package. The RFP Name and Section must be clearly displayed on the envelope or package: **ESG RFP Main Proposal** or **ESG RFP Cost Proposal**.

Any received proposal that does not conform to these packaging or labeling instructions will be opened as general mail. Such a proposal may be accepted by the Department as a clerical function, but it will not be evaluated. At the discretion of the Department, such a proposal may be destroyed or retained for pick-up by the submitters.

## ■ E. EVALUATION OF PROPOSALS

1. **Evaluation Process.** It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful respondents, and offering the right to negotiate a contract, the Department will conform to its written procedures for POS 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).
2. **Evaluation Team.** The Department will designate an Evaluation Team to evaluate proposals submitted in response to this RFP. The contents of all submitted proposals, including any confidential information, will be shared with the Evaluation Team. 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. Attempts by any respondent (or representative of any respondent) to contact or influence any member of the Evaluation Team may result in disqualification of the respondent.
3. **Minimum Submission Requirements.** All proposals must comply with the requirements specified in this RFP. To be eligible for evaluation, proposals must (a) be received on or before the due date and time; (b) meet the Proposal Format requirements; (c) follow the required Proposal Outline; and (d) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Department will reject any proposal that deviates significantly from the requirements of this RFP.
4. **Evaluation Criteria (and Weights).** Proposals meeting the Minimum Submission Requirements will be evaluated according to the established criteria. The criteria are the objective standards that the Evaluation Team will use to evaluate the technical merits of the proposals. Only the criteria listed below will be used to evaluate proposals. The criteria are weighted according to their relative importance. The weights are confidential.
  - Organizational Requirements
  - Service Requirements
  - Staffing Requirements *see note*
  - Data and Technology Requirements
  - Subcontractors
  - Work Plan
  - Financial Requirements
  - Budget Requirements
  - Appendices

**Note:**

As part of its evaluation of the Staffing Requirements, the Evaluation Team will consider the respondent's demonstrated commitment to affirmative action, as required by the Regulations of CT State Agencies § 46A-68j-30(10).

Proposals will be evaluated in three phases. In Phase 1, the minimum submission requirements will be evaluated pursuant to Section I.E.3 above. In Phase 2, the main proposal (Organizational Requirements, Service Requirements, Staffing Requirements, Data and Technology Requirements, Subcontractors, Work Plan, and Appendices subsections of the proposal) will be evaluated. In Phase 3, the cost proposal (Financial Requirements and Budget Requirements subsections of the proposal) will be evaluated, only for proposals that achieve a minimum of 75 percent of the total available points in Phase 2.

5. **Respondent Selection.** Upon completing its evaluation of proposals, the Evaluation Team will submit the rankings of all proposals to the Department head. The final selection of a successful respondent is at the discretion of the Department head. Any respondent selected will be so notified and offered an opportunity to negotiate a contract with the Department. Such negotiations may, but will not automatically, result in a contract. Pursuant to Governor M. Jodi Rell's Executive Order No. 3, any resulting contract will be posted on the State Contracting Portal. All unsuccessful respondents will be notified by e-mail or U.S. mail, at the Department's discretion, about the outcome of the evaluation and respondent selection process.
6. **Debriefing.** After receiving notification from the Department, any respondent may contact the Official Contact and request a Debriefing of the procurement process and its proposal. If respondents still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the procurement process. The Department shall schedule and conduct Debriefing meetings that have been properly requested, within **fifteen (15) days** of the Department's receipt of a request. The Debriefing meeting must not include or allow any comparisons of any proposals with other proposals, nor should the identity of the evaluators be released. The Debriefing process shall not be used to change, alter or modify the outcome of the competitive procurement. More detailed information about requesting a Debriefing may be obtained from the Official Contact.
7. **Appeal Process.** Any time after the submission due date, but **not later than thirty (30) days** after the Department notifies respondents about the outcome of the competitive procurement, respondents may submit an Appeal to the Department. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. Respondents may appeal any aspect of the Department's competitive procurement; however, such Appeal must be in writing and must set forth facts or evidence in sufficient and convincing detail for the Department to determine whether during any aspect of the competitive procurement there was a failure to comply with the State's statutes, regulations or standards concerning competitive procurement or the provisions of the RFP. Any such Appeal must be submitted to the Agency Head with a copy to the Official Contact. The respondent must include the basis for the Appeal and the remedy requested. The filing of an Appeal shall not be deemed sufficient reason for the Department to delay, suspend, cancel or terminate the procurement process or execution of a contract. More detailed information about filing an Appeal may be obtained from the Official Contact.
8. **Contest of Solicitation or Award.** Pursuant to Section 4e-36 of the Connecticut General Statutes, "Any bidder or proposer on a state contract may contest the solicitation or award of a contract to a subcommittee of the State Contracting Standards Board..." More detailed information is available on the State Contracting Standards Board web site at <http://www.ct.gov/scsb/site/default.asp>.
9. **Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Department's contracting procedures, which may include approval by the Office of the Attorney General.

## II. MANDATORY PROVISIONS

### ■ A. STANDARD CONTRACT, PARTS I AND II

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

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

Part II of the standard contract is maintained by OPM and includes the mandatory terms and conditions of the contract. Part II is available on OPM's web site at: [http://www.ct.gov/opm/fin/standard\\_contract](http://www.ct.gov/opm/fin/standard_contract).

Note:

Included in Part II of the standard contract is the State Elections Enforcement Commission's notice (pursuant to C.G.S. § 9-612(g)(2)) advising executive branch State contractors and prospective State contractors of the ban on campaign contributions and solicitations.

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

### ■ B. ASSURANCES

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

- 1. Collusion.** The respondent represents and warrants that it did not participate in any part of the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance. The respondent further represents and warrants that no agent, representative, or employee of the State participated directly in the preparation of the respondent's proposal. The respondent also represents and warrants that the submitted proposal is in all respects fair and is made without collusion or fraud.
- 2. State Officials and Employees.** The respondent certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFP. The Department may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the respondent, contractor, or its agents or employees.

3. **Competitors.** The respondent assures that the submitted proposal is not made in connection with any competing organization or competitor submitting a separate proposal in response to this RFP. No attempt has been made, or will be made, by the respondent to induce any other organization or competitor to submit, or not submit, a proposal for the purpose of restricting competition. The respondent further assures that the proposed costs have been arrived at independently, without consultation, communication, or agreement with any other organization or competitor for the purpose of restricting competition. Nor has the respondent knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.
4. **Validity of Proposal.** The respondent certifies that the proposal represents a valid and binding offer to provide services in accordance with the terms and provisions described in this RFP and any amendments or addenda hereto. The submission shall remain valid for a period of 180 days after the submission due date and may be extended beyond that time by mutual agreement. At its sole discretion, the Department may include the proposal, by reference or otherwise, into any contract with the successful respondent.
5. **Press Releases.** The respondent agrees to obtain prior written consent and approval of the Department for press releases that relate in any manner to this RFP or any resultant contract.

#### ■ C. TERMS AND CONDITIONS

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

1. **Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.
2. **Preparation Expenses.** Neither the State nor the Department shall assume any liability for expenses incurred by a respondent in preparing, submitting, or clarifying any proposal submitted in response to this RFP.
3. **Exclusion of Taxes.** The Department is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Respondents are liable for any other applicable taxes.
4. **Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.
5. **Changes to Proposal.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Department may request and authorize respondents to submit written clarification of their proposals, in a manner or format prescribed by the Department, and at the respondent's expense.

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

■ **D. RIGHTS RESERVED TO THE STATE**

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

1. **Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the Department.
2. **Amending or Canceling RFP.** The Department reserves the right to amend or cancel this RFP on any date and at any time, if the Department deems it to be necessary, appropriate, or otherwise in the best interests of the State.
3. **No Acceptable Proposals.** In the event that no acceptable proposals are submitted in response to this RFP, the Department may reopen the procurement process, if it is determined to be in the best interests of the State.
4. **Offer and Rejection of Proposals.** The Department reserves the right to offer in part, and/or to reject any and all proposals in whole or in part, for misrepresentation or if the proposal limits or modifies any of the terms, conditions, or specifications of this RFP. The Department may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Department reserves the right to reject the proposal of any respondent who submits a proposal after the submission due 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 offered as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.
6. **Contract Negotiation.** The Department reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Department further reserves the right to contract with one or more respondent(s) for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFOs) on cost from respondents. The Department may set parameters on any BFOs received.
7. **Clerical Errors in Offer.** The Department reserves the right to correct inaccurate offers resulting from its clerical errors. This may include, in extreme circumstances, revoking the offering of the right to negotiate a contract already made to a respondent and subsequently offering the right to negotiate a contract to another respondent. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial respondent is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the respondent.
8. **Key Personnel.** When the Department is the sole funder of a purchased service, the Department reserves the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Department also reserves the right to approve replacements for key personnel who have terminated employment. The Department further reserves the right to require the removal and replacement of any of the respondent's key personnel who do not perform adequately, regardless of whether they were previously approved by the Department.

#### ■ E. STATUTORY AND REGULATORY COMPLIANCE

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

1. **Freedom of Information, C.G.S. § 1-210(b).** The Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b). Respondents are generally advised not to include in their proposals any confidential information. If the respondent indicates that certain documentation, as required by this RFP in Section I.C.11 above, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State has no obligation to initiate, prosecute, or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. The respondent has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a respondent may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.

- 2. Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to ensure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons. Detailed information is available on CHRO's web site at [Contract Compliance](#)  
IMPORTANT NOTE: The respondent must upload the Workplace Analysis Affirmative Action Report through an automated system hosted by the Department of Administrative Services (DAS)/Procurement Division, and the Department of Social Services can review said document online. The [DAS guide to uploading affidavits and nondiscrimination forms online](#) is embedded in this section as a hyperlink.
- 3. Consulting Agreements, C.G.S. § 4a-81.** Proposals for State contracts with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall require a consulting agreement affidavit attesting to whether any consulting agreement has been entered into in connection with the proposal. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of C.G.S. Chapter 10 as of the date such affidavit is submitted in accordance with the provisions of C.G.S. § 4a-81. The Consulting Agreement Affidavit (OPM Ethics Form 5) is available on OPM's website at [OPM: Ethics Forms](#)  
IMPORTANT NOTE: The respondent must upload the Consulting Agreement Affidavit (OPM Ethics Form 5) through an automated system hosted by the Department of Administrative Services (DAS)/Procurement Division, and the Department of Social Services can review said document online. The [DAS guide to uploading affidavits and nondiscrimination forms online](#) is embedded in this section as a hyperlink.
- 4. Limitation on Use of Appropriated Funds to Influence Certain Federal Contracting and Financial Transactions, 31 USC § 1352.** A responsive proposal shall include a [Certification Regarding Lobbying form](#), which is embedded in this section as a hyperlink, attesting to the fact that none of the funds appropriated by any Act may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the: (A) awarding of any Federal contract; (B) making of any Federal grant; (C) making of any Federal loan; (D) entering into of any cooperative agreement; or (E) extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

- 5. Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8 and No. 7C, Para. 10; C.G.S. § 9-612(g)(2).** If a respondent is offered an opportunity to negotiate a contract with an anticipated value of \$50,000 or more in a calendar or fiscal year, the respondent must fully disclose any gifts or lawful contributions made to campaigns of candidates for statewide public office or the General Assembly. Municipalities and CT State agencies are exempt from this requirement. The gift and campaign contributions certification (OPM Ethics Form 1) is available on OPM's website at [OPM: Ethics Forms](#)  
IMPORTANT NOTE: The selected respondent must upload the Gift and Campaign Contributions Certification (OPM Ethics Form 1) through an automated system hosted by the Department of Administrative Services (DAS)/Procurement Division prior to contract execution, and the Department of Social Services can review said document online. The [DAS guide to uploading affidavits and nondiscrimination forms online](#) is embedded in this section as a hyperlink.
- 6. Nondiscrimination Certification, C.G.S. §§ 4a-60(a)(1) and 4a-60a(a)(1).** If a respondent is offered an opportunity to negotiate a contract, the respondent must provide the Department with *written representation* or *documentation* that certifies the respondent complies with the State's nondiscrimination agreements and warranties. A nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. The nondiscrimination certification forms are available on OPM's website at [OPM: Nondiscrimination Certification](#)  
IMPORTANT NOTE: The selected respondent must upload the Nondiscrimination Certification through an automated system hosted by the Department of Administrative Services (DAS)/Procurement Division prior to contract execution, and the Department of Social Services can review said document online. The [DAS guide to uploading affidavits and nondiscrimination forms online](#) is embedded in this section as a hyperlink.

### III. PROGRAM INFORMATION

#### ■ A. DEPARTMENT OVERVIEW

The Department of Social Services provides a broad range of services to the elderly, persons with disabilities, families, and individuals who need assistance in maintaining or achieving their full potential for self-direction, self-reliance, and independent living. It administers more than 90 legislatively authorized programs and one third of the State budget. By statute, it is the State agency responsible for administering a number of programs under federal legislation including the Rehabilitation Act, the Food and Nutrition Act of 2008, the Older Americans Act, and the Social Security Act. The Department is also designated as a public housing agency for the purpose of administering the Section 8 program under the federal Housing Act.

The Department is headed by the Commissioner of Social Services and there are two Deputy Commissioners -- a Deputy Commissioner for Programs and a Deputy Commissioner for Health Services, Finance, and Administration. There is a regional administrator responsible for each of three service regions. By statute, there is a statewide advisory council to the Commissioner and each region must have a regional advisory council.

The Department administers most of its programs through 12 offices located in the three service regions, with central office support located in Hartford. In addition, many services funded by the Department are available through community-based agencies including the 156 senior centers throughout Connecticut. The Department has out-stationed employees at hospitals to expedite Medicaid applications and funds Healthy Start sites, which can accept applications for Medicaid for pregnant women and young children. Many of the services provided by the Department are available via mail or telephone call.

There are two entities attached to the Department for administrative purposes only. They are the Child Day Care Council and the Department of Rehabilitation Services. The Department of Rehabilitation Services is comprised of the former DSS Bureau of Rehabilitation Services; Board of Education and Services for the Blind; Commission on the Deaf and Hearing Impaired; Workers' Rehabilitation Program; and Driver Training Program for People with Disabilities.

#### **Department Mission**

The Connecticut Department of Social Services provides a continuum of core services to:

- Meet basic needs of food, shelter, economic support, and health care
- Promote and support the choice to live with dignity in one's own home and community
- Promote and support the achievement of economic viability in the workforce

We gain strength from our diverse environment to promote equal access to all Department programs and services.

#### **Department Vision**

The Connecticut Department of Social Services is people working together to support individuals and families to reach their full potential and live better lives. We do this with humanity and integrity.

■ **B. EMERGENCY SOLUTIONS GRANTS (ESG) PROGRAM RAPID RE-HOUSING FINANCIAL ASSISTANCE OVERVIEW**

**1. Program Description**

The State of Connecticut, Department of Social Services (the Department), is seeking proposals from eligible 501(c)(3) nonprofit organizations to act as fiduciary administrator for the Emergency Solutions Grants (ESG) Program rapid re-housing financial assistance fund for literally homeless households that are receiving housing relocation and stabilization services from entities identified by the Department.

The U.S. Department of Housing and Urban Development (HUD) funds the Emergency Solutions Grants (ESG) Program. ESG-funded programs are identified by the Catalog of Federal Domestic Assistance (CFDA) Number **14.231**. Based upon limited resources, Connecticut has targeted its resources in the creation of a rapid re-housing financial assistance fund to provide short-term and medium-term rental assistance to literally homeless households that are receiving housing relocation and stabilization services from entities identified by the Department.

For more information on the ESG Program, see the [Emergency Solutions Grants \(ESG\) Program fact sheet](#), which is embedded in this section as a hyperlink.

- 2. Program Purpose:** The defined purpose of rapid re-housing services is to help literally homeless households transition as quickly as possible into permanent housing, as well as to help such individuals and families achieve stability in that housing. Connecticut's *Substantial Amendment to the FY 2011 Annual Action Plan for the Second Allocation of Emergency Solutions Grants Program Funds* states that Connecticut will utilize a portion of its ESG allocation to provide rapid re-housing financial assistance to literally homeless households.

- 3. Program Design:** Program success is based upon three (3) key design elements:

- a. Through the utilization of short-term and medium-term rental assistance, households will achieve and maintain housing stability;
- b. Through collaboration with the Department's housing relocation and stabilization services providers, housing stability will be documented in program participant files and the Connecticut Homeless Management Information System (CTHMIS); and
- c. The ESG Program rapid re-housing financial assistance fund will offer as little support as needed to transition households as quickly as possible into permanent housing and conserve as many resources as possible for other households.

**4. Program Policies and Guidelines**

- a. Per HUD, 24 CFR §576.104, Rapid Re-housing assistance component, ESG funds may be used to provide housing relocation and stabilization services and short-term and/or medium-term rental assistance as necessary to help a homeless individual or family move as quickly as possible into permanent housing and achieve stability in that housing.
- b. Per HUD, 24 CFR §576.105(a), Financial assistance costs, ESG funds may be used to pay housing owners, utility companies, and other third parties for the following costs: rental application fees; security deposits; first and last month's rent; utility deposits; utility payments; and moving costs.

- c. Financial assistance may be provided only to eligible program participants ***not*** located in Connecticut's ESG Eligible Metropolitan area. Connecticut's ESG Metropolitan area includes Bridgeport, Hartford, New Haven, and Waterbury. Financial assistance may ***not*** be provided to households located in Connecticut's ESG Eligible Metropolitan area unless approved by the Department in advance.
  - d. The Contractor must utilize the CTHMIS, as required by HUD, for data entry and reporting purposes.
- 5. Eligible Participants:** Literally homeless households who are receiving housing relocation and stabilization services from entities identified by the Department. [Recordkeeping requirements](#) are embedded in this section as a hyperlink.
- 6. Eligible Costs.** ESG funds may be used to pay for the following types of eligible costs specific to this RFP.
- a. *Rental application fees.* The rental housing application fee that is charged by the housing owner to all applicants.
  - b. *Security deposits.* A security deposit that is equal to no more than two (2) months' rent.
  - c. *First and last month's rent.* If necessary to obtain housing for a program participant, the last month's rent may be paid from ESG funds to the owner of that housing at the time the owner is paid the security deposit and the first month's rent. The last month's rent must not exceed one month's rent and must be included in calculating the program participant's total rental assistance, which cannot exceed 12 months during any three-year period.
  - d. *Short-term rental assistance.* Assistance limited to 1 - 3 months of rent.
  - e. *Medium-term rental assistance.* Assistance limited to 4 – 12 months of rent.
  - f. *Utility deposits.* A standard utility deposit required by the utility company for all customers.
  - g. *Utility payments.* Up to 12 months of utility payments per program participant, per service, including up to six (6) months of utility payments in arrears, per service. Total utility payment assistance cannot exceed 12 months during any three-year period.
  - h. *Moving costs.* Moving costs, such as truck rental or hiring a moving company. This assistance may include payment of temporary storage fees for up to three (3) months, provided that the fees are accrued after the date the program participant begins receiving housing relocation and stabilization services and before the program participant moves into permanent housing. Temporary storage fees in arrears are not eligible costs.
- 7. Fiduciary Administrator Activities.** The contractor shall perform the following activities to administer the ESG Program rapid re-housing financial assistance fund specific to this RFP in accordance with program guidance issued by the Department and HUD.
- a. Receive statewide referrals for rapid re-housing financial assistance from the Department's housing relocation and stabilization service providers.
  - b. Review documentation received from the Department's housing relocation and stabilization services providers, to ensure compliance with program regulations and approvals, as appropriate based upon the availability of funds. Required documentation is being developed by HUD.
  - c. Approve requests for financial assistance and update all applicable information systems including the CTHMIS and the contractor's financial management system.
  - d. Issue all financial assistance payments to the appropriate third parties and send copies to the appropriate housing relocation and stabilization services provider for the program participant's file.

- e. Issue financial assistance payments to third parties within 3–5 business days, provided all required documentation is complete and in compliance with program requirements.
- f. Generate financial reports, specifically payments issued by type of eligible cost as identified in Section III.B.6 above, using the contractor's financial management system.
- g. Reconcile CTHMIS payment information with the financial reports generated from the contractor's financial management system. The Department expects the CTHMIS payment information to reconcile with the contractor's financial management system at 100%.
- h. Retain copies of all issued checks in the contractor's program participant and financial files.
- i. Retain all paper records concerning this contract for a period of seven (7) years after the completion and submission to the State of the contractor's annual financial audit.
- j. Perform habitability, lead-based paint, and rent reasonableness activities, as required by the ESG Program, if participating housing relocation and stabilization services providers cannot assist (*DSS has requested guidance from HUD concerning this activity. No response has been received from HUD as of the RFP issue date.*).

**8. Primary Performance Indicators** include but are not limited to:

- a. Number of persons or households who received financial assistance quarterly and program-to-date;
- b. Income levels of persons or households by very low, low, and moderate income categories quarterly and program-to-date;
- c. Average financial assistance (including all types of eligible costs as identified in Section III. B.6 above except security deposits) provided per person or household quarterly and program-to-date;
- d. Average financial assistance (security deposits) provided per person or household quarterly and program-to-date;
- e. Average length of financial assistance per person or household quarterly and program-to-date;
- f. Number of persons or households that exit homelessness after receiving financial assistance quarterly and program-to-date;
- g. Demographic breakdown of persons or households who received financial assistance (including but not limited to race, ethnicity, and disability status categories) quarterly and program-to-date; and
- h. Compliance with Department-approved parameters for data completeness.

*NOTE: The Department will identify final performance indicators when HUD issues guidance.*

■ **C. MAIN PROPOSAL**

Eligible respondents are private provider organizations (defined as non-state entities that are 501(c)(3) nonprofit corporations or partnerships with principal place of business in Connecticut) or Connecticut municipalities. Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

If the respondent is proposing the use of any subcontractors to perform any of the activities required by this RFP, provide this information about each proposed subcontractor where indicated throughout this section of the RFP.

The Department reserves the right to reject the submission of any respondent in default of any current or prior contract.

## 1. Organizational Requirements

**A responsive proposal must** include the following information about the administrative and operational capabilities of the respondent, and each proposed subcontractor where indicated throughout this section of the RFP.

- a. *Entity Type.* Provide proof of the respondent's 501(c)(3) nonprofit status, such as a copy of the Internal Revenue Service (IRS) determination letter, in Section IV.G. Appendices.
- b. *Location of Offices.* Specify the location of the respondent's principal place of business.
- c. *Functional Organization.* Provide an organization chart showing the hierarchical structure of functions and positions within the respondent's and each proposed subcontractor's organization, and the respondent's hierarchical and programmatic relationships with each proposed subcontractor, in Section IV.G. Appendices. Indicate on the chart(s) where the following functions related to this program will be located: Program Manager; contract management; administrative support; and other functions and positions associated with the performance of the required ESG Program activities.
- d. *Current Range of Services.* Summarize the services the respondent and each proposed subcontractor currently provide with emphasis on fund administration and issuance of payments to third parties, habitability and lead-based paint activities, and rent reasonableness activities.
- e. *Qualifications/Relevant Experience.* Describe the respondent's and each proposed subcontractor's experience performing the activities required by this RFP. Identify all public and private contracts in all states, for which the respondent and each proposed subcontractor has performed activities that are similar or related to the activities required by this RFP during the past three (3) years. Provide a signed release allowing the Department to access any evaluative information including but not limited to site reviews conducted by any public or private entities for which the respondent and each proposed subcontractor have performed similar or related activities during the past three (3) years, in Section IV.G. Appendices. Provide evidence of sound financial management processes and the ability to manage public (city, state, and/or federal) grants, contracts, and third-party reimbursement systems. Summarize the respondent's ability to lead a collaborative effort and coordinate multiple subcontractors.
- f. *Audit Compliance.* Describe the respondent's and each proposed subcontractor's success with contract compliance requirements during the past three (3) years. Identify any deficiencies in program audits and, if applicable, detail what steps the organization has taken to address any recommendations. List all sanctions, fines, penalties or letters of noncompliance issued against the respondent and each proposed subcontractor by any funding source (public and/or private). Describe the circumstances eliciting the sanction, fine, penalty or letter of noncompliance and the corrective action or resolution to the sanction, fine, penalty or letter of noncompliance. If no sanctions, fines, penalties or letters of noncompliance were issued, a statement that attests that no sanction, fine, penalty or compliance action has been imposed on the respondent and each proposed subcontractor within the past three (3) years must be submitted.

- g. *References.* Provide three (3) specific programmatic references for the respondent and each proposed subcontractor. References must be individuals able to comment on the organization's ability to perform the activities required by this RFP. References must include the company name, and the name, mailing address, telephone number, and e-mail address of a specific contact person. The contact person must be an individual familiar with the organization and its day-to-day performance. References cannot be the organization's current employees. If the organization has provided services directly or indirectly through a subcontract to the State of Connecticut within the past three (3) years, the organization must include a State of Connecticut reference. The organization may include a DSS reference in the proposal; however, the individual named may have to refuse if s/he will be involved in the evaluation of proposals received in response to this RFP. The organization may also include former DSS staff as references. **Organizations are strongly encouraged to contact their references to ensure the accuracy of their contact information, and their willingness and ability to provide references.** The Department expects to contact these references as part of the evaluation process.
- h. *Dun & Bradstreet (D-U-N-S) Number.* Submit a Dun & Bradstreet (D-U-N-S) number for the respondent and each proposed subcontractor. The D-U-N-S number is a nine-digit identification number.

## 2. Service Requirements

The respondent shall perform the activities required by this RFP to administer the ESG Program rapid re-housing financial assistance fund. The respondent and each proposed subcontractor, if applicable, shall implement whatever changes are necessary in their policies, procedures, and communication practices to achieve common goals and outcomes for the ESG Program.

**A responsive proposal must describe** how the respondent shall, directly or indirectly through subcontracts, perform the activities identified in Section III.B.7 above.

- a. *Location of Offices/Hours of Operation.* Specify the location of the respondent's and each proposed subcontractor's administrative offices and hours of operation. Demonstrate compliance with the Americans with Disabilities Act regarding handicapped access for administrative offices. Program staff must be willing to travel throughout the State.
- b. *Target Population.* Literally homeless individuals and families.
- c. *Service Capacity/Delivery Plan.* Describe in detail activities that will be performed. Specifically, the proposal shall describe a Service Capacity/Delivery Plan to ensure that services are available no later than September 24, 2012. Said plan shall include but not be limited to:
- i. Information about the respondent's and each proposed subcontractor's staffing capacity, and existing resources and relationships to ensure a seamless delivery system;
  - ii. All planned implementation activities and a description of how said activities will be carried out;

- iii. Activities specific to ESG Program requirements associated with rent reasonableness, lead-based paint, and habitability standards; and
  - iv. Information about the respondent's electronic financial management system to issue third-party payments.
- d. *Capacity/Waitlist Procedures.* The selected respondent will be required to develop and submit to the Department, prior to contract execution, a waitlist process and procedure. The process and procedure shall be a consistent, fair, and predictable method by which the contractor shall manage the capacity/waitlist.
- e. *Program Collaboration/Coordination:* The contractor will be expected to enter into a Memorandum of Understanding (MOU) with each of the Department's housing relocation and stabilization services providers.
- f. *Quality Assurance Protocols.* Describe the respondent's and each proposed subcontractor's internal process to ensure the quality and appropriateness of the activities to be performed. If an external quality assurance process is used, describe the process.
- g. *Confidentiality Policies and Procedures.* Provide a copy of the respondent's and each proposed subcontractor's confidentiality policies and procedures for protecting client records in Section IV.G. Appendices.
- h. *Department Responsibilities.* Identify specific support the respondent requires from the Department to perform the activities required by the resultant contract. If the respondent does not require any specific support from the Department, a responsive proposal must state such. The Department retains the ultimate decision-making authority required to ensure program activities are completed. Specific Department responsibilities shall include:
- i. Program management -- A program director will be assigned by the Department. This individual will be responsible for monitoring program progress and will have final authority to approve or disapprove deliverables;
  - ii. Staff coordination -- The program director will coordinate all necessary contacts between the contractor and Department staff;
  - iii. Approval of deliverables -- The program director will review, evaluate, and approve all deliverables prior to the contractor's being released from further responsibility;
  - iv. Linking the contractor with the Department's housing relocation and stabilization providers;
  - v. Developing forms and tools that the contractor will utilize to administer the financial assistance fund; and
  - vi. Issuing additional program guidance as necessary.

### 3. Staffing Requirements

**A responsive proposal must** include the following information about the number and qualifications of staff that the respondent and each proposed subcontractor intend to employ to perform the activities required by this RFP.

- a. *Program Staff/Key Personnel.* Identify all staff positions that will be responsible for performing the ESG Program activities including but not limited to a Program Manager. The Program Manager's responsibilities shall include but not be limited to day-to-day oversight of the program. Include the number of hours per week and percentage of time each position will be dedicated to the program activities. Indicate whether each position will be newly created or existing. If the staff that will be assigned to the program are currently employed by the organization, include their names and job titles. If the staff that will be assigned to the program are not currently employed by the organization, present a strategy to recruit and hire staff that possess the qualifications specified in the job descriptions requested in Section III.C.3.b below.

Note: The Department must be notified in writing and in advance regarding the departure of any staff from the program.

- b. *Job Descriptions.* Provide current job descriptions for all staff positions identified in Section III.C.3.a above, in Section IV.G. Appendices. The job descriptions must include specific job duties and minimum credentials, education, training, and experience requirements.
- c. *Staff Training.* Describe the training techniques that will be used to ensure staff competency in the performance of program activities.

### 4. Data and Technology Requirements

**A responsive proposal must** provide the following information about the respondent's and each proposed subcontractor's information management and performance measurement systems.

- a. *Equipment.* The contractor shall be required to provide wireless Internet services via wireless card or tethered cell phone, virus software protection, and password protected workstations. The proposal must describe the respondent's ability to comply with these equipment requirements and ensure that each proposed subcontractor also complies with these requirements.

b. *Data Collection.* The contractor must utilize the Connecticut Homeless Management Information System (CTHMIS), as required by HUD, for data entry and reporting purposes, and keep all data current with data quality and completeness at 95% or more. CTHMIS training and license (ServicePoint) will be provided by the Connecticut Coalition to End Homelessness (CCEH) through its partner, Nutmeg Consulting, LLC. As of the RFP issue date, HUD has not identified the required data fields, other than the Universal Data Elements (UDE). UDE are identified in the CCEH CTHMIS Data and Technical Standards. CCEH CTHMIS Data and Technical Standards include, but are not limited to standardized information on the characteristics, service patterns, and service needs of homeless individuals and families. The contractor shall be required to develop and maintain, at a minimum, the following information for each program participant:

- i. A list of each program participant by type of eligible cost as identified in Section III.B.6 above;
- ii. Application, intake, and denial of financial assistance;
- iii. Need for financial assistance and barriers;
- iv. Income, assessment of need, case management documentation, type of financial assistance provided, and follow-up activities;
- v. File closure documentation; and
- vi. An encrypted list of each individual/household applicant including the Social Security Number(s).

The proposal must describe the respondent's ability to utilize the CTHMIS to comply with these data collection requirements and ensure that each subcontractor also complies with these requirements. Provide examples of reports the contractor will generate from the CTHMIS using data the contractor will enter into the system specific to the ESG Program rapid re-housing financial assistance provided. Describe the results of the reports. Please note that the Department will provide technical assistance to the contractor in relation to data collection.

c. *Data Reporting.* The contractor shall be required to submit the following reports.

- i. Quarterly and annual reports in a format to be defined by HUD and the Department. Once HUD issues guidance, the Department will communicate the format requirements to the selected respondent.
- ii. Six (6) month progress narrative reports on forms provided by the Department. The progress narrative report shall be submitted within 30 days following the end of each six (6) month period. Each progress narrative report shall discuss changes in the ESG Program including but not limited to population trends, needs of program participants being served, technical or programmatic assistance needs or problems, potential gaps in services, and the respondent's ESG Program outcomes and performance measures. A final progress narrative report shall be submitted within forty-five (45) days after the contract end date.

The proposal must describe the respondent's ability to utilize technology to comply with these data reporting requirements.

- d. *Program Evaluation.* Describe the evaluation methodologies that will be used to measure achievement of program goals including how goals will be evaluated, frequency of evaluation, and evaluation instruments to be used. Include the tracking methodology that will be implemented to review progress toward meeting goals, and to present suggestions for revising goals if it is demonstrated that goals cannot be met.
- e. *Performance Measures.* Performance measures shall include but not be limited to:
- i. Number of persons or households who received financial assistance quarterly and program-to-date;
  - ii. Income levels of persons or households by very low, low, and moderate income categories quarterly and program-to-date;
  - iii. Average financial assistance (including all types of eligible cost types as identified in Section III.B.6 above except security deposits) provided per person or household quarterly and program-to-date;
  - iv. Average financial assistance (security deposits) provided per person or household quarterly and program-to-date;
  - v. Average length of financial assistance per person or household quarterly and program-to-date;
  - vi. Number of persons or households that exit homelessness after receiving financial assistance quarterly and program-to-date;
  - vii. Demographic breakdown of persons or households served (including but not limited to race, ethnicity, and disability status categories) quarterly and program-to-date; and
  - viii. Compliance with Department-approved parameters for data completeness

The Department will identify final performance measures when HUD issues guidance. At a minimum, the proposal must describe the respondent's ability to capture and document the above information in the interim including the systems, processes, and procedures that the respondent will utilize to capture such information.

- f. *Disclosure Policy.* Case file information on program participants, including names, Social Security Numbers, and other sensitive information is considered confidential and may not be released. The contractor must protect confidential and private information gained from program participants. Appropriate physical and computer security policies must be in place to protect sensitive information. The proposal must describe the respondent's and each proposed subcontractor's ability to comply with this disclosure policy.

## 5. Subcontractors

Each organization that will be performing ESG Program rapid re-housing financial assistance activities must be identified in the proposal. All proposed subcontractors are subject to the Department's prior approval. **A responsive proposal must** include the following information about each proposed subcontractor.

- a. Legal Name, Address, Federal Employer Identification Number (FEIN)
- b. Contact Person Name, Title, Telephone Number, Fax Number, E-mail Address
- c. Services to be Provided

- d. Subcontract Cost and Term
- e. A sample subcontract must be included in Section IV.G. Appendices. The selected respondent shall be required to submit a copy of a written agreement with each subcontractor prior to contract execution.
- f. A letter of commitment from each proposed subcontractor, indicating willingness to perform the proposed activities throughout the entire contract period, shall be included in Section IV.G. Appendices. Each letter must specify the activities to be provided and be signed by an authorized official of the proposed subcontractor.

## 6. Work Plan

**A responsive proposal must** include a comprehensive and realistic work plan. The proposed work plan must include:

- a. **Start-up and implementation** activities to be carried out by the respondent and each proposed subcontractor if applicable, within 15 days of notification of the right to negotiate a contract;
- b. **Tasks and deliverables** to be carried out to perform the proposed activities, and the staff who will be responsible for carrying out each task and deliverable; and
- c. **Timetable/Schedule**, that is, a fund administration plan that clearly identifies when services will be fully operational.

## ■ D. COST PROPOSAL

### 1. Financial Requirements

**A responsive proposal must** include the following information about the respondent's fiscal stability, accounting and financial reporting systems, and relevant business practices.

- a. *Audited Financial Statements.* Submit one (1) copy each of the respondent's two most recent annual financial statements prepared by an independent Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (GAAP) (USA). The copies shall include all applicable financial statements, auditor's reports, management letters, and any corresponding reissued components. One copy only shall be included with the original proposal in Section IV.I. Cost Proposal.
- b. *Financial Policies and Procedures.* Include two (2) electronic copies of the respondent's financial policies and procedures (one copy on each of the two Compact Disks requested in Section I.C.9 of this RFP, clearly labeled with the Legal Name of the respondent and **ESG RFP Cost Proposal**). Written financial policies and procedures shall include at a minimum the following: managing and tracking cash receipts and disbursements; budgeting; procurement; reconciling expenditures; separation of duties and functions; and payroll.

- c. *Mixed Funding.* Describe how staff time dedicated to this program will be tracked, if staff assigned to the program will be paid from various funding sources. In addition, demonstrate how eligible program participants will be distinguished from clients served by the respondent's and each proposed subcontractor's other housing subsidy programs, which might have different programmatic requirements.

## 2. Budget Requirements

- a. *Cost Standards.* All proposed costs are subject to federal cost policy guidance and the standards developed by the State Office of Policy and Management for determining the cost of contracts, grants, and other agreements with organizations that receive funding from the State. In the event of any inconsistency, the federal cost policy guidance shall supersede the OPM cost standards. The applicable federal cost policy guidance is available at [OMB Circular A-133](#) and [OMB Circular A-122](#). Be advised that the cost proposal is subject to revision prior to contract execution in order to ensure compliance with the OPM cost standards and federal cost policy guidance. More information about the cost standards is available on OPM's web site: [Cost Standards](#).
- b. *Budget.* **A responsive proposal must include separate budget forms**, which are embedded in this section as hyperlinks, for [budget year 1](#), [budget year 2](#), and the [total anticipated contract period](#).

The respondent's total administration costs including administrative salaries, administrative fringe benefits and payroll taxes, administrative overhead, legal, independent audit, and other contractual services shall not exceed 7.5 percent of the total funding request per budget year and the total anticipated contract period. In addition, the contractor's total administration costs shall not exceed 7.5 percent of the quarterly expenditures reported. The total administration costs of the proposed subcontractors shall be determined by the contractor, but shall not exceed 7.5 percent of the total funding request. The remaining balance of the total funding request shall be for the ESG Program rapid re-housing financial assistance activities required by this RFP.

Detailed [budget instructions](#) are embedded in this section as a hyperlink.

- c. *Budget Justification.* A responsive proposal shall detail how costs included in the budget were calculated. Either Microsoft Office Word or Excel format is acceptable.

The Department reserves the right to consider all factors including cost in the final selection of a successful respondent. The opportunity to negotiate a contract with the Department will not be offered based on cost alone.

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**IV. PROPOSAL OUTLINE**

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

	Page
<b>A. Cover Sheet . . . . .</b>	<b>1</b>
<b>B. Table of Contents . . . . .</b>	<b>2</b>
<b>C. Declaration of Confidential Information . . . . .</b>	<b>Etc.</b>
<b>D. Conflict of Interest - Disclosure Statement . . . . .</b>	
<b>E. Executive Summary . . . . .</b>	
<b>F. Main Proposal . . . . .</b>	
<b>1. Organizational Requirements . . . . .</b>	
a. Location of Offices . . . . .	
b. Current Range of Services . . . . .	
c. Qualifications/Relevant Experience . . . . .	
d. Audit Compliance . . . . .	
e. References . . . . .	
f. Dun & Bradstreet (D-U-N-S) Number. . . . .	
<b>2. Service Requirements . . . . .</b>	
a. Location of Offices/Hours of Operation . . . . .	
b. Service Capacity/Delivery Plan . . . . .	
c. Quality Assurance Protocols . . . . .	
d. Confidentiality Policies and Procedures . . . . .	
e. Department Responsibilities . . . . .	
<b>3. Staffing Requirements . . . . .</b>	
a. Program Staff/Key Personnel. . . . .	
b. Staff Training . . . . .	
<b>4. Data and Technology Requirements . . . . .</b>	
a. Equipment. . . . .	
b. Data Collection . . . . .	
c. Data Reporting . . . . .	
d. Performance Measures . . . . .	
e. Disclosure Policy . . . . .	

**5. Subcontractors** . . . . .

    a. Legal Name, Address, Federal Employer Identification Number (FEIN) . . . . .

    b. Contact Person Name, Title, Telephone Number, FAX Number, E-mail Address . . . . .

    c. Services to Be Provided . . . . .

    d. Subcontract Cost and Term . . . . .

**6. Work Plan** . . . . .

**G. Appendices** . . . . .

    1. IRS Determination Letter . . . . .

    2. Organization Chart(s) . . . . .

    3. Confidentiality Policies and Procedures . . . . .

    4. Signed Release . . . . .

    5. Job Descriptions . . . . .

    6. Sample Subcontract . . . . .

    7. Letter(s) of Commitment . . . . .

**H. Forms** . . . . .

**1. Department** . . . . .

        a. Certification Regarding Lobbying . . . . .

        b. Addendum Acknowledgement(s) . . . . .

**2. Other** . . . . .

        a. Commission on Human Rights and Opportunities, Workplace Analysis  
            Affirmative Action Report <sup>1</sup> . . . . .

        b. Consulting Agreement Affidavit (OPM Ethics Form 5) <sup>2</sup> . . . . .

**I. Cost Proposal** . . . . .

    1. Audited Financial Statements . . . . .

    2. Financial Policies and Procedures . . . . .

    3. Mixed Funding . . . . .

    4. Budget . . . . .

    5. Budget Justification . . . . .

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<sup>1</sup> The respondent must upload this report through an automated system hosted by the Department of Administrative Services (DAS)/Procurement Division, and the Department of Social Services can review said document online. The [DAS guide to uploading affidavits and nondiscrimination forms online](#) is embedded in this section as a hyperlink.

<sup>2</sup> Required when the contract resulting from this RFP has an anticipated value of \$50,000 or more in a calendar or fiscal year. The respondent must upload this certification through an automated system hosted by the Department of Administrative Services (DAS)/Procurement Division, and the Department of Social Services can review said document online. The [DAS guide to uploading affidavits and nondiscrimination forms online](#) is embedded in this section as a hyperlink.

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