

STATE OF CONNECTICUT PROCUREMENT NOTICE

Request for Proposals (RFP)

**Issued by the State of Connecticut Department of
Mental Health and Addiction Services
(DMHAS)**

**Dialectical Behavioral Therapy Residential
Program for Young Adults
(DMHAS-YAS-DBT-2023)**

September 29, 2022

The Request for Proposal is available in electronic format on the State Contracting Portal by filtering by Organization for The Department of Mental Health and Addiction Services <https://portal.ct.gov/DAS/CTSource/BidBoard> or from the Agency's Official Contact:

Name: **Donna LoCurto**
Address: 410 Capitol Avenue
Hartford, CT 06134
Phone: (860) 418-6746
E-Mail: DMHAS.FiscalContracts@ct.gov

The RFP is also available on the Department's website at: <http://www.ct.gov/dmhas/site/default.asp>

**RESPONSES MUST BE RECEIVED NO LATER THAN
November 30, 2022 3:00 PM EST**

**A MANDATORY BIDDERS' CONFERENCE WILL BE HELD
Thursday, October 20, 2022
at 10:00 AM**

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

Dear Provider Community,

Thank you for your interest in our Request for Proposal. DMHAS Young Adult Services (YAS) is actively considering proposals to procure a specialized residential program for young adults. This program is in response to the unique challenges facing a cohort of young adults with histories of developmental trauma that require more intensive treatment, an in-house therapeutic milieu, and highly trained staff. Without an evidenced-based structure that is tailored to the needs and symptomatology of clients with complex trauma, we have observed a pattern of repeated emotional and behavioral crises that result in inpatient admissions and other complications (e.g., incarceration, out-of-state placements, periods of homelessness, etc.). It is our stated intention to procure a program that offers the full continuum of on-site therapeutic services with Dialectical Behavioral Therapy (DBT) as the foundational framework.

We are offering a highly collaborative opportunity with a YAS-funded DBT consultant already under contract with DMHAS to provide DBT consultation, training and supervision for the staff and young adults residing at the residential program. Adjunct consultative services provided by the YAS Office of the Commissioner (OOC) Consultation Team will also be available for psychological assessments with a particular emphasis on specialized trauma and self-harm assessments and applied behavioral treatment elements, as needed. The program will serve 6 young adults of all genders with challenges primarily associated with severe childhood adversity. The residential program must comprise on-site DBT-trained staff, at all levels, a flexible staff scheduling pattern, as well as on-site or nearly all on-site nursing, psychiatric, psychological, recreational, vocational and community-integrative staff dedicated to the needs of the residents. Programs that have converted, or commit to convert or obtain a Connecticut DPH license as a mental health residential living center by the start of program implementation, can provide a continuum of care as stated above, with the capability to train staff in the DBT framework, will be judged as fulfilling key elements needed for this specialized program. Outcomes would be objectively measureable in areas of symptom reduction, self-care, emotional and behavioral regulation and coping skills, community participation/integration as well as successful inclusion in education and/or employment endeavors that enhance quality of life and more successful adjustment to young adult roles and life tasks.

Our vision is to establish a true therapeutic residential treatment milieu with trained, highly competent (and eventually DBT credentialed) staff in DBT mentoring and skill building. The program would commit to structures and practices (e.g., staff supervision and ongoing training) that create and maintain an environment of felt safety and security, with intentional, proactive, evidence-based interventions. Once established, it is our intention to grow this specialized residential model state-wide with at least regional in-state programs to meet the needs of this cohort.

Thank you once again for your interest. We look forward to your proposal and opportunities for meaningful collaboration in our efforts to serve the special needs of young adults.

Daniel R. Brockett, Ph.D.
Clinical Director
State of Connecticut
Department of Mental Health and Addiction Services

TABLE OF CONTENTS

	PAGE
I. GENERAL INFORMATION	4
A. Introduction.....	4
B. Instructions	4
II. PURPOSE OF RFP AND SCOPE OF SERVICES	8
A. Agency Overview.....	8
B. Program Overview.....	8
C. Scope Of Service Description	9
D. Performance Measures	12
E. Contract Management/Data Reporting.....	13
III. PROPOSAL SUBMISSION OVERVIEW	14
A. Submission Format Information	14
B. Evaluation Of Proposals.....	15
IV. REQUIRED PROPOSAL SUBMISSION OUTLINE AND REQUIREMENTS	18
A: Cover Sheet	18
B: Table of Contents.....	18
C: Executive Summary	18
D: Main Proposal Submission/Questions	18
E: Attachments	19
F: Declaration of Confidential Information.....	19
G: Conflict of Interest – Disclosure Statement.....	19
H: Statement of Assurances.....	19
V. MANDATORY PROVISIONS	20
A. Pos Standard Contract, Parts I And II.....	20
B. Assurances.....	20
C. Terms And Conditions.....	21
D. Rights Reserved To The State.....	22
E. Statutory And Regulatory Compliance	23
VI. APPENDIX	26
A. Abbreviations / Acronyms / Definitions.....	26
B. Statement Of Assurances.....	27
C. Required Letter Of Intent	28
D. Cover Sheet	29
E. Budget And Budget Narrative	30
F. Acknowledgement Of Contract Compliance – Notification To Bidders.....	32
G. Equal Employment Opportunity.....	34
H. Campaign Contribution Certification	35
I. Proposal Checklist.....	37
J. Proof of Non-Profit Status	
K. Proof of Registering with Secretary of State	
L. Proof of DPH Clinical licensure	
M. Organizational Chart	
N. Resume of Key Personnel	
O. Cover Letters from previous 3 Audits	

I. GENERAL INFORMATION

A. INTRODUCTION

- 1. RFP Name and Number. Dialectical Behavioral Therapy Residential Program for Young Adults Request for Proposal (DMHAS-YAS-DBT-2023).** The number will be used on each page of the main proposal and cover sheet of proposals submitted in response to this RFP.
- 2. RFP Summary.** The Connecticut Department of Mental Health and Addiction Services (DMHAS) Young Adult Services (YAS) is requesting proposals to develop a Dialectical Behavioral Therapy (DBT)-informed residential program that is designed to be a therapeutic residential milieu for six (6) young adults challenged with significant emotional and behavioral dysregulation.
- 3. RFP Purpose.** There is a substantial cohort of young adults in YAS, most with histories of developmental trauma and complex post-traumatic stress disorder (PTSD), who require more intensive outpatient services to reduce/avoid repeated emotional and behavioral crises that result in inpatient admissions and other complications (e.g., incarceration, out-of-state placements, periods of homelessness, etc.). The intent is to develop a DBT-informed therapeutic milieu within a residential program at an agency that provides all or nearly all clinical interventions and services on-site. The goals of the program will be to avoid or reduce inpatient hospitalizations, increase coping and tolerance skills for residents challenged with complex PTSD symptoms, decrease self-injury and suicidal behaviors, eventual transition to lower levels of care in the community.
- 4. Commodity Codes.** The services that the Agency wishes to procure through this RFP are as follows:
 - 85000000: Healthcare Services
 - 93000000: Politics and Civic Affairs Services
 - 93140000: Community and Social Services

B. INSTRUCTIONS

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

Name: **Donna LoCurto**
Address: 410 Capitol Avenue
Hartford, CT 06134
Phone: (860) 418-6746
E-Mail: DMHAS.FiscalContracts@ct.gov

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

2. Registering with State Contracting Portal. Respondents must register with the State of CT contracting portal at <https://portal.ct.gov/DAS/CTSource/Registration> if not already registered.

Respondents must submit the following information pertaining to this RFP with your proposal:

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

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

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

It is strongly recommended that any proposer or prospective proposer interested in this procurement check the Bid Board for any solicitation changes. Interested proposers may receive additional e-mails from CTSource announcing addendums that are posted on the portal. This service is provided as a courtesy to assist in monitoring activities associated with State procurements, including this RFP.

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

- | | |
|---------------------------------------|------------------------|
| • RFP Released: | 9/29/2022 |
| • Letter of Intent Due: | 10/13/2022 by 3:00 pm |
| • RFP/Bidder's Conference Date/Time: | 10/20/2022 at 10:00 am |
| • Deadline for Questions: | 10/27/2022 by 3:00 pm |
| • Answers Released: | 11/3/2022 by 3:00 pm |
| • Proposals Due: | 11/30/2022 by 3:00 pm |
| • (*) Proposer Selection: | TBD |
| • (*) Start of Contract Negotiations: | TBD |
| • (*) Start of Contract: | 4/1/2023 |

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

- Total Funding Available: \$3,750,000.00
- Number of Awards: 1
- Contract Cost: TBD
- Contract Term: 1 to 3-year term. The Department has the right to extend this contract based on funding availability
- Funding Source: State funding

- 6. Eligibility.** Private provider organizations (defined as non-state entities that are either nonprofit or proprietary corporations or partnerships), CT State agencies, and municipalities are eligible to submit proposals in response to this RFP. Individuals who are not a duly formed business entity are ineligible to participate in this procurement
- 7. Minimum Qualifications of Proposers.** To qualify for a contract award, a proposer must have the following minimum qualifications:
- The program site must be located in Connecticut and the contractor shall provide proof of an agreement for the site or a plan to secure the site.
 - The Contractor shall be required to maintain or obtain licensure by the Connecticut Department of Public Health as a Connecticut Mental Health Residential Living Center.
 - At least five (5) years of experience working with young adults (18-25) with histories of mental health challenges.
 - At least five (5) years of experience developing and implementing residential treatment programs.
- 8. An Electronic Letter of Intent.** An Electronic Letter of Intent (LOI) **is required** to respond to this RFP. The LOI is non-binding and does not obligate the sender to submit a proposal. The LOI must be submitted to the Official Contact by e-mail by the deadline established in the Procurement Schedule. The LOI must clearly identify the sender, including name, postal address, telephone number, and e-mail address. It is the sender's responsibility to confirm the Agency's receipt of the LOI. Failure to submit the required LOI in accordance with the requirements set forth herein shall result in disqualification from further consideration.
- 9. Inquiry Procedures.** All questions regarding this RFP or the Agency's procurement process must be directed, in writing, electronically, (e-mail) to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Agency will not answer questions when the source is unknown (i.e., nuisance or anonymous questions). Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Agency may or may not respond to questions received after the deadline. If this RFP requires a Letter of Intent, the Agency reserves the right to answer questions only from those who have submitted such a letter. The Agency may combine similar questions and give only one answer. All questions and answers will be compiled into a written amendment to this RFP. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such.

The agency will release the answers to questions on the date(s) established in the Procurement Schedule. The Agency will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Agency's RFP Web Page.

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

10. RFP Conference. A Virtual RFP Bidder's conference will be held on **October 20, 2022; Time 10:00 am. Invitations will be forwarded to prospective proposers who sent in the Required Letter of Intent.**

Prospective proposers will be provided an opportunity to submit questions via email to the Official Contact Person. All questions submitted will be answered in a written Addendum to this RFP, which will serve as the Department's official response to questions submitted by proposers that submitted an LOI. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the Addendum and duly noted as such. The agency will release the Addendum on the date established in the Procurement Schedule. The Department will publish any and all Addenda.

11. Electronic 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: November 30, 2022**
- **Time: 3:00 PM EST**

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

An acceptable submission must include the following:

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

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

The electronic copy of the proposal must be emailed to the Official Agency Contact for this procurement. The subject line of the email must read: **DMHAS-YAS-DBT-2023**. Required forms and appendices may be scanned and submitted as PDFs at the end of the main proposal document. Please ensure the entire email submission is less than 25MB as this reflects The Agency's server limitations. Respondents should work to ensure there are not additional IT limitations from the provider side.

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

II. PURPOSE OF RFP AND SCOPE OF SERVICES

A. AGENCY OVERVIEW

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

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

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

Department Mission

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

B. PROGRAM OVERVIEW

DBT Residential Treatment Program for Young Adults

There is a substantial cohort of young adults, most with histories of developmental trauma and complex Post Traumatic Stressed Disorder (PTSD), who require more intensive outpatient services to reduce/avoid repeated emotional and behavioral crises that result in inpatient admissions and other complications (e.g., incarceration, out-of-state placements, periods of homelessness, etc.).

The goals of the program will be to:

- a. Avoid or reduce inpatient hospitalizations;
- b. Increase coping and tolerance skills for residents challenged with complex PTSD symptoms;
- c. Decrease self-injury and suicidal behaviors; and
- d. Transition young adults to more independent and less intensive levels of care.

The target population is young adults (male, female, transgender) between ages 18 -25 challenged with significant emotional and behavioral dysregulation who have high vulnerability, without intensive supports, to self-harm, become suicidal, or be placed in inpatient, correctional, or out-of-state settings. Young adults in this target population have often endured significant childhood adversity and developmental trauma and require more intensive and comprehensive treatment interventions directed at their unique needs for skill building in interpersonal effectiveness, emotional and behavioral regulation, as well as age-appropriate enrichment in areas of education, employment, self-care, and community integration.

This program will be required to be licensed as a Mental Health Residential Living Center, fully adopt and implement Dialectical Behavioral Therapy (DBT) and training for all staff, with adjunct Evidence-Based Treatment (EBT) models for trauma treatment (e.g., Cognitive Restructuring for Post-Traumatic Stress Disorder (PTSD), Attachment Regulation, and Competency frameworks).

DBT is a structured outpatient treatment, as defined by Marsha Linehan, PhD, which combines strategies from behavioral, cognitive, and other supportive psychotherapies. DBT services encompass individual therapy, DBT skills group, therapeutic consultation with the young adult on the telephone, as well as providers' internal consultation meeting(s). DBT has been implemented in milieu settings including residential programs with documented success. In this setting, it is carefully adapted to maintain fidelity to the model including embedding the DBT treatment into all elements at the residence. Through an integrated treatment team approach to services, DBT seeks to enhance the quality of the young adult's life through group skills training and individual therapy with a dialectical approach of support, validation and change. More information on the Linehan Institute and the certification process can be found at the DBT-Linehan Board of Certification.

The successful proposer will commit to a true therapeutic residential treatment milieu with trained, highly competent staff in DBT mentoring and skill building. The residential program must comprise on-site DBT-trained staff, at all levels, a flexible staff scheduling pattern, as well as on-site or nearly all on-site nursing, psychiatric, psychological, recreational, vocational and community-integrative staff. The program would commit to support structures and practices (e.g., supervision and ongoing training) that create and maintain an environment of felt safety and security, with intentional, proactive, evidence-based interventions. Outcomes would be objectively measureable in areas of symptom reduction, self-care, emotional and behavioral regulation and coping skills, community participation/integration as well as successful inclusion in education and/or employment endeavors that enhance quality of life and overall adjustment to young adult roles and life tasks. All practices will be developmentally appropriate, non-punitive, restraint-free, trauma-informed, and client centered.

C. SCOPE OF SERVICE DESCRIPTION

1. **Organizational Requirements:** Proposers should address each of the following:
 - a. **Entity Type/Licensure/Credentialing:** Mental Health Residential Living Center (CT DPH Licensed). If full licensure has not yet been attained, the applicant's plan and timeline for securing such must be delineated in their proposal.
 - b. **Location of Offices / Services:** While organizations out of state are welcome to submit proposals, the site of the program must reside in Connecticut.
 - c. **Residential Setting Characteristics: Staff offices/space:** While we invite proposals that outline the physical layout of the program residence, there must be sufficient professional space for staff offices as well as therapy spaces for individual

- therapy, family therapy, and small meetings. In addition, a conference room space is necessary for group therapies and staff meetings, large enough to accommodate all six (6) young adult residents as well as any staff present on shift.
- d. **Residential Setting Characteristics: Client space:** Each young adult resident must have a private bedroom, ideally their own bathrooms, or multiple full resident bathrooms to ensure a felt sense safety and privacy. Common areas ideally include several rooms for individuals to congregate (e.g., living/family rooms, spacious kitchen for group cooking and an adequate dining room for meal sharing to include staff and young adult residents). Additional spaces will help manage social interactions and coping needs.
- 2. Service Requirements:** Proposers should address each of the following:
- Location of Offices / Facilities:** Service site must be in Connecticut.
 - Hours of Operation:** 24/7.
 - Target Population:** Describes Agency's ability to ensure a culture—and gender responsive delivery of services that recognizes and affirms diversity and the specific needs of young adults (ages 18-25)
 - Number / Types of Clients:** Describes the specific type and length of experience of the organization in the referral and delivery of case management services to individuals six (6) young adults, all genders, challenged with impaired emotional and behavioral regulation, suicidal and non-suicidal self-injury, requiring DBT-informed specialized therapeutic services to be successful in a community setting.
 - Capacity / Waitlist Protocol:** six (6) young adults. Waitlist managed through Young Adults Services (YAS) Office of the Commissioner (OOC) office.
 - Program Qualifications, Commitments, and Competencies:** Organizations must have the qualifications and interest in providing DBT foundational therapies in a community-based residential program with all or nearly all on-site therapeutic services.
 - Culturally Competent Services:** Requires cultural competency in age and developmentally appropriate trauma-informed care for young adults of all genders.
 - Program Collaboration / Coordination:** Funded and supported by DMHAS YAS. DMHAS YAS has funded a DBT trainer/supervisor to provide DBT skills training and ongoing supervision/consultation to all staff and young adults in the program. In addition, the YAS OOC consultation and assessment team is available for psychological assessments/consultations, as needed, by the program.
- 3. Staffing Requirements:** Proposers should address each of the following:
- Staffing Coverage:** A minimum of (direct care) staff to client ratio of 1:3 is required with 24/7 staff support, overnight awake staff, and flexible clinical staff scheduling for maximum clinical supports on weekends, evenings, and holidays. DBT clinicians are located full time at the residential site. The proposer should provide a plan that addresses clinical coverage for evening, weekends and holidays that conforms with the requirements of this RFP.
 - Staffing Model:** An ideal staffing configuration would include: DBT Program Director (to oversee logistical operations, staff coverage, non-clinical documentation, etc.), DBT Clinical Director (a senior clinician or clinician in training to supervise the junior clinician, supervise milieu clinical interventions e.g., group co-leading, residential non-clinical groups, DBT coaching, etc.), DBT Clinician, DBT-trained direct care staff (all shifts), ancillary services: Nursing, Psychiatry, Vocational and Recreational Counseling, Occupational Therapy. The proposer should submit resumes of key personal and a plan for staff recruitment that conforms with the requirements of this RFP.
 - Supervision/Management:** The prospective contractor will be responsible for the overall management of services and timely delivery of all components to the

program. Provide a table of organization to describe the reporting route for proposed positions.

- d. **Training:** All staff including leadership, clinicians, residential counselors and ancillary staff (e.g., OT, RT, nursing) are required to obtain comprehensive trainings in DBT. This will likely include other related topics (e.g., suicide and non-suicidal self-injury), based on program needs. These trainings will be conducted by the DMHAS funded and contracted DBT consultant. The proposer should submit a staff education and training plan and how it will conform to the DBT training requirements of this RFP.

All staff, as previously defined, are to attend five (5) full day DBT trainings which cover:

- An overview of DBT
- Dialectical philosophy and principles
- DBT skills from four (4) modules
- Leading and co-leading DBT skills training groups
- Use of diary cards
- DBT coaching
- DBT milieu interventions and
- Other associated topics (aimed at providing treatment interventions in groups, therapy sessions, in the milieu, and the community).

In addition to formal training, all staff will participate in DBT consultation team meetings, which focuses on applying DBT and clinical interventions in the program.

Four (4) additional trainings are for clinical staff (which can include leadership and other staff who may benefit from full training). The clinicians providing individual therapy must partake in all 9 trainings. Consultation and supervision with the DBT consultant is required.

Clinicians will continue supervision with the DBT consultant.

- **Credentials / Licensure:** Licensed clinical staff (or licensed eligible) is required. DBT certification for the clinicians is not required but an aspirational goal for this program.

4. Data and Technology Requirements: Proposers should address each of the following:

- a. **Computer Hardware/Software:** Proposers must demonstrate sufficient on-site capacity to collect and manage Department-required data.
- b. **E-Mail/Internet Capability:** Proposers and the proposed program must have the capability to access the internet, send/receive outside email and to maintain electronic health records on-site.
- c. **Telecommunication:** Proposers will be required to install on-site teleconferencing technology and equipment adequate for remote consultation team meetings with the DBT consultant.
- d. **Program Evaluation:** Proposers will be required to submit information related to client outcomes as defined in this RFP (Section II. D. Performance Measures)
- e. **Records/Data Collection/Reporting:** Program service site will have processes in place that utilize data to monitor and inform program management and improvement. Proposers will have sufficient capacity to collect and manage DMHAS required data regarding admission, discharge, and services.

5. Subcontractor – The use of a Subcontractor is not allowed

6. Work Plan

- a. The proposal must include a work plan to describe the activities and timeline for securing a site, DPH licensure, services, staff recruitment and training, technologies required, performance measures, as well implementation of DBT.
- b. Below is the required format and information being requested for a comprehensive and realistic work plan that demonstrate the flow of activities in a logical and sequential manner:
 - i. **Tasks and Deliverables:** Describe what start-up and implementation activities, actions, tasks, and deliverables needed to accomplish providing the identified service.
 - ii. **Responsible Staff:** Indicate staff position and their related qualifications for those who will be responsible for providing the identified service.
 - iii. **Methodologies:** Describe how each service and deliverable will be accomplished, providing a detailed explanation of the procedures or processes that will be used to attain the expected outcomes.
 - iv. **Timetable/Schedule:** Include a proposed timetable indicating when each task and deliverables will be accomplished. Identify any significant milestones or deadlines. Timetable/schedule must include the day and time service is to be provided, if applicable.

7. Financial Requirements (Cost Proposal Component)

- a. **Financial Status Reports:** If the three (3) most recent audits are available via the Office of Policy and Management's EARS system, such may be noted in the proposal, and a hardcopy of the audit cover letters need not be provided.
- b. **Audited Financial Statements:** Any proposer agency that does not hold a current contract with the Department, must submit cover letters from their auditor for the last three (3) annual audits of their agency and a copy of their most recent financial audit, included in the proposal. If less than three (3) audits were conducted, detail must be provided as to why, and any supporting documentation assuring the financial efficacy of the applicant agency should be included (i.e. an accountant prepared financial statement, a tax return, etc.).

8. Budget Requirements

- a. Proposals must contain an itemized annual budget on the budget form delineated in Section VI. Appendix, E. Budget and Budget Narrative, of this RFP. All startup costs must be clearly identified as one (1) line item in the budget.
- b. A budget narrative must be provided, explaining all costs contained in the budget. All start-up costs must be listed separately and clearly detailed in the budget narrative.
- c. All other funding, including agency financial support must be identified.

D. PERFORMANCE MEASURES

The following performance metrics highlight key priorities that will be analyzed with providers collaboratively during the life of the contract. This is not an exhaustive list, but rather an indication of significant performance metrics of interest to The Agency. The

Agency looks forward to working with providers to define additional important performance metrics.

The primary outcome metrics anticipated to be used to assess the success of the DBT RP will be:

1. **Outcome:** Completion of DBT staff training.
Measure: Staff training log indicates that target goals for completion of DBT trainings were met within the designated time parameters. Targets include 100% completion for clinical and residential staff; 90% for administrative and support staff.
2. **Outcome:** Evidence of progress in emotional and behavioral stability
Measure: Compared to baseline data, reductions in the average number of the following targets during any six (6) month reporting period (compared to the previous six (6) months):
 - a. **Self-injurious behaviors**
 - b. **Suicidal behaviors**
 - c. **Outburst behaviors**
 - d. **Emergency department and/or mobile crisis contacts**
 - e. **Inpatient days**
3. **Outcome:** Evidence of progress in life adjustment.
Measure: Compared to baseline data, increases in the average number of the following targets during any six (6) month reporting period (compared to the previous six (6) months):
 - a. Hours participating in educational or vocational activities
 - b. Hours participating in community and leisure activities
4. **Outcome:** Evidence of progress in emotion regulation.
Measure: Compared to baseline data, increase scores on the Difficulty in Emotion Regulation Scale (DERS) (administered semi-annually).

E. CONTRACT MANAGEMENT/DATA REPORTING

As part of the State's commitment to becoming more outcomes-oriented, DMHAS, seeks to actively and regularly collaborate with providers to enhance contract management, improve results, and adjust service delivery and policy based on learning what works. Reliable and relevant data is necessary to ensure compliance, inform trends to be monitored, evaluate results and performance, and drive service improvements. As such, DMHAS reserves the right to request/collect other key data and metrics from providers.

- a. **Frequency of data collection and review:** Key outcome metrics are required to be collected, charted (data tables), and summarized in written progress reports on a monthly basis in a manner required by the department.
- b. **Program Monitoring:** DMHAS YAS will convene quarterly meetings with the YAS DBT RP clinical and administrative staff to review the status of the young adults' progress, as well as review general organizational, program, service, staffing, budgetary, and contractual updates as required in this RFP.

III. PROPOSAL SUBMISSION OVERVIEW

A. SUBMISSION FORMAT INFORMATION

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

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

- 3. Table of Contents.** All proposals must include a Table of Contents that conforms with the required proposal outline.
- 4. Executive Summary.** Proposals must include a high-level summary, not exceeding three (3) pages. The summary must also include the organization's eligibility and qualifications to respond to this RFP. The executive summary is not part of the main proposal and cost proposal.
- 5. Attachments.** Attachments other than the required Appendices or Forms identified in the RFP are not permitted and will not be evaluated. Further, the required Appendices or Forms must not be altered or used to extend, enhance, or replace any component required by this RFP. Failure to abide by these instructions will result in disqualification. All attachments should be included in VI. Appendix.
- 6. Style Requirements.** This is an electronic submission.

Submitted proposals must conform to the following specifications:

- Paper Size: 8 ½ x 11 (Standard Letter)
 - Font Size: 12
 - Font Type: Times New Roman
 - Margins: Normal (1 inch)
 - Line Spacing: 1 ½
 - Print Style: Single-Sided
 - Page Limit: Maximum **25 pages**, exclusive of Executive Summary, Appendices Budget Forms and Budget Narrative
- 7. Pagination.** The proposer's name must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.
 - 8. Packaging and Labeling Requirements.** Not Applicable

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

B. EVALUATION OF PROPOSALS

- 1. Evaluation Process.** It is the intent of the Agency to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful proposers, and awarding contracts, the Agency will conform with its written procedures for POS and PSA procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85). Final funding allocation decisions will be determined during contract negotiation.
- 2. Evaluation Review Committee.** The Agency will designate a Review Committee to evaluate proposals submitted in response to this RFP. The Review Committee will be composed of individuals, Agency staff or other designees as deemed appropriate. The contents of all submitted proposals, including any confidential information, will be shared with the Review Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. The Review Committee shall evaluate all proposals that meet the Minimum Submission Requirements by score and rank ordered and make recommendations for awards. The Agency Head will make the final selection. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Review Committee may result in disqualification of the proposer.

- 3. Minimum Submission Requirements.** To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the Proposal Format requirements; (3) meet the Eligibility and Qualification requirements to respond to the procurement, (4) follow the required Proposal Outline; and (5) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Agency will reject any proposal that deviates significantly from the requirements of this RFP.
- 5. Evaluation Criteria (and Weights).** Proposals meeting the Minimum Submission Requirements will be evaluated according to the established criteria. The criteria are the objective standards that the Review Committee will use to evaluate the technical merits of the proposals. Only the criteria listed below will be used to evaluate proposals. The weights are disclosed below:

Criteria	Points
Organizational Requirements	10
Scope of Services	20
Staffing Requirements	25
Data and Technology Requirements	10
Work plan	15
Financial Requirements - Budget/Narrative	15
Appendices	5
Total	100

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

- 5. Proposer Selection.** Upon completing its evaluation of proposals, the Review Committee will submit the rankings of all proposals to the Commissioner or Agency Head. The final selection of a successful proposer is at the discretion of the Commissioner or Agency Head. Any proposer selected will be so notified and awarded an opportunity to negotiate a contract with the Agency. Such negotiations may, but will not automatically, result in a contract. Any resulting contract will be posted on the State Contracting Portal. All unsuccessful proposers will be notified by e-mail or U.S. mail, at the Agency's discretion, about the outcome of the evaluation and proposer selection process. The Agency reserves the right to decline to award contracts for activities in which the Commissioner or Agency Head considers there are not adequate respondents.
- 6. Debriefing.** Within ten (10) days of receiving notification from the Agency, unsuccessful proposers may contact the Official Contact and request information about the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the ten (10) days. If unsuccessful proposers still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Agency to discuss the evaluation process and their proposals. If held, the debriefing meeting will not include any comparisons of unsuccessful proposals with other proposals. The Agency may

schedule and hold the debriefing meeting within fifteen (15) days of the request. The Agency will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.

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

IV. PROPOSAL SUBMISSION OUTLINE AND REQUIREMENTS

A. Cover Sheet

B. Table of Contents

C. Executive Summary

D. Main Proposal

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

F. Declaration of Confidential Information

G. Conflict of Interest - Disclosure Statement

H. Statement of Assurances

A-H are defined more specifically below. The listing above is just to provide an initial outline for proposers.

A: Cover Sheet

The Respondent must use a Cover Sheet provided.

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

B: Table of Contents

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

C: Executive Summary

The page limitation for this section is three (3) pages briefly describing how the Respondent meets the eligibility and qualification criteria outlined in the Proposal Overview and a brief overview of why the Respondent should be selected for the activities highlighted in the scope of services.

D: Main Proposal Submission/Questions

*****Please note the maximum total page length for this section is 25** (all appendices and other attachments should be referred to in section D and then placed in section E.

1. Organizational Requirements
2. Service Requirements/Scope of Services
3. Staffing Requirements
4. Data and Technology Requirements
5. Subcontractor – (not applicable)

6. Work Plan
7. Financial Requirements
8. Budget and Budget Narrative

E: Attachments

Attachments other than the required attachments identified are not permitted and will not be evaluated. See the Proposal Checklist in Appendix I, pages 37 and 38 for a list of relevant attachments. Further, the required attachments must not be altered or used to extend, enhance, or replace any component required by this RFP. Failure to abide by these instructions may result in disqualification.

F: Declaration of Confidential Information

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

G: Conflict of Interest – Disclosure Statement

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

H: Statement of Assurances

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

V. MANDATORY PROVISIONS

A. POS STANDARD CONTRACT, PARTS I AND II

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

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

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

Note:

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

Part I of the standard contract may be amended by means of a written instrument signed by the Department, the selected proposer (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 proposer implicitly gives the following assurances:

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

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

C. TERMS AND CONDITIONS

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

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

demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Agency. At its sole discretion, the Agency may limit the number of proposers invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per proposer.

- 7. Presentation of Supporting Evidence.** If requested by the Agency, a proposer must be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. The Agency may make onsite visits to an operational facility or facilities of a proposer to evaluate further the proposer's capability to perform the duties required by this RFP. At its discretion, the Agency may also check or contact any reference provided by the proposer.
- 8. RFP Is Not an Offer.** Neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or the Agency or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the Agency and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the proposer or for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by the Agency and, if required, by the Attorney General's Office.

D. RIGHTS RESERVED TO THE STATE

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

- 1. Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the Agency.
- 2. Amending or Canceling RFP.** The Agency reserves the right to amend or cancel this RFP on any date and at any time, if the Agency deems it to be necessary, appropriate, or otherwise in the best interests of the State.
- 3. No Acceptable Proposals.** In the event that no acceptable proposals are submitted in response to this RFP, the Agency may reopen the procurement process, if it is determined to be in the best interests of the State.
- 4. Award and Rejection of Proposals.** The Agency reserves the right to award in part, to reject any and all proposals in whole or in part, for misrepresentation or if the proposal limits or modifies any of the terms, conditions, or specifications of this RFP. The Agency may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Agency reserves the right to reject the proposal of any proposer who submits a proposal after the submission date and time.
- 5. Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.

- 6. Contract Negotiation.** The Agency reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Agency further reserves the right to contract with one or more proposer for such services. After reviewing the scored criteria, the Agency may seek Best and Final Offers (BFO) on cost from proposers. The Agency may set parameters on any BFOs received.
- 7. Clerical Errors in Award.** The Agency reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the proposer.
- 8. Key Personnel.** When the Agency is the sole funder of a purchased service, the Agency reserves the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Agency also reserves the right to approve replacements for key personnel who have terminated employment. The Agency further reserves the right to require the removal and replacement of any of the proposer's key personnel who do not perform adequately, regardless of whether they were previously approved by the Agency.

E. STATUTORY AND REGULATORY COMPLIANCE

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

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

3. Consulting Agreements, C.G.S. § 4a-81. Consulting Agreements

Representation, C.G.S. § 4a-81. Pursuant to C.G.S. §§ 4a-81 the successful contracting party shall certify that it has not entered into any consulting agreements in connection with this Contract, except for the agreements listed below. "Consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information, or (C) any other similar activity related to such contracts. "Consulting agreement" does not include any agreements entered into with a consultant who is registered under the provisions of chapter 10 of the Connecticut General Statutes as of the date such contract is executed in accordance with the provisions of section 4a-81 of the Connecticut General Statutes. Such representation shall be sworn as true to the best knowledge and belief of the person signing the resulting contract and shall be subject to the penalties of false statement.

4. Campaign Contribution Restriction, C.G.S. § 9-612. For all State contracts, defined in section 9-612 of the Connecticut General Statutes as having a value in a calendar year of \$50,000 or more, or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to the resulting contract must represent that they have received the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice, as set forth in "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations." Such notice is available at https://seec.ct.gov/Portal/data/forms/ContrForms/seec_form_11_notice_only.pdf

5. Gifts, C.G.S. § 4-252. Pursuant to section 4-252 of the Connecticut General Statutes and Acting Governor Susan Bysiewicz's Executive Order No. 21-2, the Contractor, for itself and on behalf of all of its principals or key personnel who submitted a bid or proposal, represents:

(1) That no gifts were made by (A) the Contractor, (B) any principals and key personnel of the Contractor, who participate substantially in preparing bids, proposals or negotiating State contracts, or (C) any agent of the Contractor or principals and key personnel, who participates substantially in preparing bids, proposals or negotiating State contracts, to (i) any public official or State employee of the State agency or quasi-public agency soliciting bids or proposals for State contracts, who participates substantially in the preparation of bid solicitations or requests for proposals for State contracts or the negotiation or award of State contracts, or (ii) any public official or State employee of any other State agency, who has supervisory or appointing authority over such State agency or quasi-public agency;

(2) That no such principals and key personnel of the Contractor, or agent of the Contractor or of such principals and key personnel, knows of any action by the Contractor to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the Contractor to provide a gift to any such public official or State employee; and

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

Any bidder or proposer that does not agree to the representations required under this section shall be rejected and the State agency or quasi-public agency shall award the

contract to the next highest ranked proposer or the next lowest responsible qualified bidder or seek new bids or proposals.

6. Iran Energy Investment Certification C.G.S. § 4-252(a). Pursuant to C.G.S. § 4-252(a), the successful contracting party shall certify the following: (a) that it has not made a direct investment of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010, and has not increased or renewed such investment on or after said date. (b) If the Contractor makes a good faith effort to determine whether it has made an investment described in subsection (a) of this section it shall not be subject to the penalties of false statement pursuant to section 4-252a of the Connecticut General Statutes. A "good faith effort" for purposes of this subsection includes a determination that the Contractor is not on the list of persons who engage in certain investment activities in Iran created by the Department of General Services of the State of California pursuant to Division 2, Chapter 2.7 of the California Public Contract Code. Nothing in this subsection shall be construed to impair the ability of the State agency or quasi-public agency to pursue a breach of contract action for any violation of the provisions of the resulting contract.

7. Nondiscrimination Certification, C.G.S. § 4a-60 and 4a-60a. If a bidder is awarded an opportunity to negotiate a contract, the proposer must provide the State agency with *written representation* in the resulting contract that certifies the bidder complies with the State's nondiscrimination agreements and warranties. This nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. The authorized signatory of the contract shall demonstrate his or her understanding of this obligation by either (A) initialing the nondiscrimination affirmation provision in the body of the resulting contract, or (B) providing an affirmative response in the required online bid or response to a proposal question, if applicable, which asks if the contractor understands its obligations. If a bidder or vendor refuses to agree to this representation, such bidder or vendor shall be rejected and the State agency or quasi-public agency shall award the contract to the next highest ranked vendor or the next lowest responsible qualified bidder or seek new bids or proposals.

8. Access to Data for State Auditors. The Contractor shall provide to OPM access to any data, as defined in C.G.S. § 4e-1, concerning the resulting contract that are in the possession or control of the Contractor upon demand and shall provide the data to OPM in a format prescribed by OPM [or the Client Agency] and the State Auditors of Public Accounts at no additional cost.

VI. APPENDIX

A. ABBREVIATIONS / ACRONYMS / DEFINITIONS

BFO	Best and Final Offer
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CT	Connecticut
DAS	Department of Administrative Services (CT)
DBT	Dialectical Behavioral Therapy
DMHAS	Department of Mental Health and Addiction Services (CT)
DPH	Department of Public Health (CT)
FOIA	Freedom of Information Act (CT)
IRS	Internal Revenue Service (US)
LOI	Letter of Intent
OAG	Office of the Attorney General
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
POS	Purchase of Service
PTSD	Post-traumatic stress disorder
P.A.	Public Act (CT)
RFP	Request for Proposal
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States
YAS	Young Adult Services

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

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

The undersigned Respondent affirms and declares that:

1) General

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

Legal Name of Organization:

Authorized Signatory

Date

C. REQUIRED LETTER OF INTENT

**State of Connecticut
Department of Mental Health and Addiction Services
REQUEST FOR PROPOSALS
DMHAS-YAS-DBT-2023**

Return to:

DMHAS Official Contact
Donna LoCurto

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

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

Prospective Proposer:

		()-
Legal Name		Telephone Number
Mailing Address	Town, State	Zip Code

Contact Person:

Name		Title	
Mailing Address	Town, State	Zip Code	
()-	()-		
Telephone Number	FAX Number	E-mail Address	

Person Authorized to Sign Contract:

Name	Title
Signature	Date

D. COVER SHEET

DMHAS-YAS-DBT-2023
Department of Mental Health and Addiction Services
Due Date: 11/30/2022 3:00 PM EST

 Primary Business Name

 FEIN # & DUNS#

 Business Address

 Telephone Number

 Town, State

 Zip Code

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

 Name

 Title

 Street Address

 Town, State, Zip Code

 Telephone Number

 Facsimile Number

 E-mail Address

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

 Name

 Title

 Street Address

 Town, State, Zip Code

 Telephone Number

 Facsimile Number

 E-mail Address

 Signature

Total Amount of Proposal: _____

E. BUDGET AND BUDGET NARRATIVE

DIRECT EXPENSES	ANNUAL Costs
<u>5100: SALARIES</u>	
5101 Staff Salaries & Wages (title, hourly rate and % of FTE)	
5102 Overtime	
5103 Non-Routine Comp. (specify in narrative)	
Total Salaries	0.00
<u>5200: FRINGE BENEFITS</u>	
<u>5300: CONTRACTUAL SERVICES</u>	
5301 Medical Professional	
5302 Behavioral Health Professional	
5303 Contracted Workers - Non-Payroll	
5304 Other Contractual (specify in narrative)	
Total Contractual Services	0.00
<u>5400: TRANSPORTATION</u>	
5401 Staff Travel Reimbursement	
5402 Vehicle Leases	
5403 Vehicle Maintenance	
5404 Other Transportation (specify in narrative)	
Total Transportation	0.00
<u>5500: MATERIALS AND SUPPLIES</u>	
5501 Food	
5502 Lab & Medical Supplies	
5503 Equipment (Less than \$5,000)	
5504 Other Mtrls and Sppls (specify in narrative)	
Total Materials/Supplies	0.00
<u>5600: FACILITIES</u>	
5601 Rent and Real Estate Taxes	
5602 Security	
5603 Maintenance & Repair - Facility and Plant	
5604 Utilities	
5605 Other Facilities (specify in narrative)	
Total Facilities	0.00
<u>5700: CAPITAL EXPENSES (> \$5,000)</u>	
5701 Capital Equipment	
5702 Depreciation	
5703 Other Capital (specify in narrative)	
Total Capital Expenses	0.00
<u>5800: OTHER EXPENSES</u>	
5801 Communications	
5802 Insurance	

5803	Housekeeping	
5804	Staff Training and Conferences	
5805	Drug Testing	
5806	Other (specify in narrative)	
Total Other Expenses		0.00
5900: CLIENT SUBSIDIES		
5901	Transportation	
5902	Nutrition/Food Vouchers	
5903	Education	
5904	Housing	
5905	Personal Items	
5906	Other Client Subsidies (specify in narrative)	
Total Client Subsidies		0.00
TOTAL DIRECT EXPENSES		0.00
INDIRECT EXPENSES		
7100: ADMINISTRATIVE & GENERAL		
7111	Staff Salaries & Wages	
7120	Fringe Benefits	
	All Other A&G (Please provide details)	
TOTAL INDIRECT EXPENSES		0.00
TOTAL		0.00

Note:

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

Please attached an additional page describing the budget narrative.

F. Acknowledgement of Contract Compliance – Notification to Bidders

Acknowledgement of Contract Compliance - Notification to Bidders

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

(Revised 09/3/15)

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

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

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

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

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

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

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

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

Signature: _____

Date: _____

INSTRUCTIONS AND OTHER INFORMATION

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

1) Definition of Small Contractor

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

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

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

Please attach a copy of the **Bidder Contract Compliance Monitoring Report** to the Proposal.

G. Equal Employment Opportunity

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

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

H. Campaign Contribution Certification



STATE OF CONNECTICUT CAMPAIGN CONTRIBUTION CERTIFICATION

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

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of submission of your bid or proposal (if no bid or proposal- submit this completed form with the earliest submittal of any document to the state or quasi-public agency prior to the execution of the contract), and if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier.

Check One:

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

CAMPAIGN CONTRIBUTION CERTIFICATION:

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

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

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

I. PROPOSAL CHECKLIST

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

Key Dates

Procurement Timetable		
The Agency reserves the right to modify these dates at its sole discretion.		
Item	Action	Date
1	RFP Released	9/29/2022
2	Letter of Intent Due	10/13/2022 by 3:00 pm
3	RFP/Bidder's Conference Date	10/20/2022
4	RFP/Bidder's Conference Time	10:00 am
5	Deadline for Questions	10/27/2022 by 3:00 pm
6	Answers Released	11/3/2022 by 3:00 pm
7.	Proposals Due	11/30/2022 by 3:00 pm
8.	(*) Proposer Selection	TBD
9.	(*) Start of Contract Negotiations:	TBD
10.	(*) Start of Contract:	4/1/2023

Proposal Content Checklist

- Cover Sheet** including required information:
- Table of Contents**
- Executive Summary:** high-level summary of proposal and cost
- Main proposal and with relevant attachments.** *Proposers should use their discretion to determine whether certain required information is sufficiently captured in the body of their proposal or requires additional attachments for clarification.* Additional attachments may include (bullets below are examples only):
 - Organizational Requirements
 - Services Requirements/Scope of Services
 - Staffing Requirements
 - Data and Technology Requirements
 - Subcontractor – (not applicable)
 - Work plan
 - Financial Requirements
 - Budget and Budget Narrative (Include startup cost)

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

- Register at: <https://portal.ct.gov/DAS/CTSource/Registration>
- Submit Campaign Contribution Certification (OPM Ethics Form 1):
<https://portal.ct.gov/OPM/Fin-PSA/Forms/Ethics-Forms>
- Acknowledgement of Contract Compliance – Notification to Bidders**
- Equal Employment Opportunity**

- IRS Determination Letter** (for nonprofit proposers)
- Three years of most recent annual audited financial statements; OR any financial statements prepared by a Certified Public Accountant** for proposers whose organizations have been incorporated for less than three years.
- Proposed budget**, including budget narrative and cost schedules for planned subcontractors if applicable.
- Conflict of Interest Disclosure Statement**
- Statement of Assurances**
- Declaration of Confidential Information**
- Proof of DPH Clinical Licensure – (as applicable)**
- Organizational Chart**
- Resume of Key Personnel**

Formatting Checklist

- Is the proposal formatted to fit 8 ½ x 11 (letter-sized) paper?
- Is the main body of the proposal within the 25-page limit?
- Is the proposal in 12-point, Times New Roman font?
- Does the proposal format follow normal (1 inch) margins and 1 ½ line spacing?
- Does the proposer's name appear in the header of each page?
- Does the proposal include page numbers in the footer?
- Are confidential labels applied to sensitive information (if applicable)?