

**STATE OF CONNECTICUT PROCUREMENT NOTICE****Request For Proposals****Department of Mental Health and Addiction Services****Prevention in Connecticut Communities****Part B 2021****(RFP #DMHAS-PCC Part B 2021)**

Issued by the State of Connecticut  
Department of Mental Health and Addiction Services  
January 21, 2021

The Request For Proposal is available in electronic format on the  
State Contracting Portal by searching by Organization  
[https://biznet.ct.gov/SCP\\_Search/BidResults.aspx](https://biznet.ct.gov/SCP_Search/BidResults.aspx)  
or from the Department's Official Contact:

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The RFP is also available on the Department's website  
[https://biznet.ct.gov/SCP\\_Search/default.aspx?Src=CISplash](https://biznet.ct.gov/SCP_Search/default.aspx?Src=CISplash)

**RESPONSES MUST BE RECEIVED ELECTRONICALLY  
NO LATER THAN MARCH 12, 2021 3:00 PM EST**

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## I. GENERAL INFORMATION

### A. INTRODUCTION

**1. RFP Name and Number:** *Prevention in Connecticut Communities Part B 2021, (RFP #DMHAS- PCC Part B 2021)*. The name and number will be used on each page of the main proposal and cover sheet of proposals submitted in response to this RFP.

**2. Executive Summary.**

The Connecticut Department of Mental Health and Addiction Services (hereafter referred to as DMHAS, or the Department), requests proposals from eligible applicants for the Prevention in Connecticut Communities 2021 Initiative, Part B (PCC- Part B 2021) to implement the Substance Abuse and Mental Health Services Administrations (SAMHSA) Strategic Prevention Framework (SPF) to prevent alcohol, tobacco and other drug use among 12-20 year olds.

This funding opportunity is intended for communities with existing capacity, infrastructure and experience implementing the SPF planning model. DMHAS anticipates funding up to eight (8) eligible applicants. Funding for each awardee will be \$125,000 per year for an initial contract term of one (1) year. After completion of the initial one (1) year contract term, successful PCC- Part B 2021 awardees will be evaluated and may be eligible for contract renewal that provides for continuation of project activities, based on available funding. *(The Department reserves the right to amend/extend the contract due to available funding)*

**3. RFP Purpose.**

Since 2005, DMHAS has promoted SAMHSA's Strategic Prevention Framework (SPF) model for data driven decision-making, capacity building, community collaboration and ongoing evaluation for all its funded providers. The SPF is an evidence-based public health planning process composed of five (5) elements designed to guide communities through the selection, implementation, and evaluation of effective, culturally appropriate, and sustainable prevention activities.<sup>1</sup> The five (5) steps of the SPF are:

- a. Step 1 Assessment;
- b. Step 2 Capacity;
- c. Step 3 Planning;
- d. Step 4 Implementation; and
- e. Step 5 Evaluation.

DMHAS recognizes that not all communities are at the same level of readiness and capacity to adopt a systematic public health planning process and to implement a comprehensive set of evidence-based prevention programs, policies, and practices to prevent and/or reduce misuse of substances by youth. The purpose of PCC- Part B 2021 is to utilize the Strategic Prevention Framework (SPF) to fund community prevention coalitions to implement strategies to address alcohol use among 12-20 year olds.

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<sup>1</sup> Additional information about each of the steps of the SPF can be found at: <https://www.samhsa.gov/sites/default/files/20190620-samhsa-strategic-prevention-framework-guide.pdf>

Applicants for PCC- Part B 2021 are expected to focus their efforts on all five (5) steps of the SPF: (1) assessment of readiness, needs, resources, and capacity; (2) capacity building, coalition or partnership development, and community mobilization; (3) strategic planning; (4) implementation of evidence based strategies and activities; and (5) evaluation.

4. **Commodity Codes.** The services that the Department wishes to procure through this RFP are as follows:
  - a. 0600: Services (Professional, Support, Consulting and Misc. Services)
  - b. 1000: Healthcare Services
  - c. 2000: Community and Social Services

## B. INSTRUCTIONS

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

### Official Contact:

Name: Marcia McDonough  
Address: 410 Capital Ave, Hartford, CT  
Phone: 860-418-6672  
E-Mail: Marcia.mcdonough@ct.gov

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

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

2. **Registering with State Contracting Portal.** Respondents must register with the State of CT contracting portal at <https://biznet.ct.gov/AccountMaint/NewLogin.aspx> if not already registered. Respondents shall submit the following information pertaining to this application to this portal, which will be checked by the Department contact.
  - a. Register to do business in CT (issued by the Office of the Secretary of the State). Proof of the Proposer agency's is registered with the Office of the Secretary of the State) shall be provided as **Appendix 1** - Please refer to the following hyperlink:  
<https://www.concord-sots.ct.gov/CONCORD/online?sn=InquiryServlet&eid=99>
  - b. CT non-profit status as **Appendix 2**
  - c. Notification to Bidders (Part I-V)
  - d. Consulting Agreement Affidavit (OPM Ethics Form 5) – Requires Notarization  
<https://portal.ct.gov/search-results/?q=Consulting%20Affidavit%20Agreement%20OPM%20Form%205#gsc.tab=0&gsc.q=Consulting%20Affidavit%20Agreement%20OPM%20Form%205&gsc.page=1>
  - e. Affirmation of Receipt of State Ethics Affidavit (OPM Ethics Form 6) – Requires Notarization <https://portal.ct.gov/search->

[results/?q=Affidavit%20of%20receipt%20of%20state%20ethics%20affidavit%20OPM%20form%206#gsc.tab=0&gsc.q=Affidavit%20of%20receipt%20of%20state%20ethics%20affidavit%20OPM%20form%206&gsc.page=1](https://www.ct.gov/opm/lib/opm/OPM_Form_7_Iran_Certification_3-28-14.pdf)

- f. Iran Certificate (OPM Ethics Form 7) – Requires Notarization  
[https://www.ct.gov/opm/lib/opm/OPM\\_Form\\_7\\_Iran\\_Certification\\_3-28-14.pdf](https://www.ct.gov/opm/lib/opm/OPM_Form_7_Iran_Certification_3-28-14.pdf)

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

- a. Department's RFP Web Page <https://portal.ct.gov/>  
 b. State Contracting Portal (go to search solicitations, select BizNet as the organization type)  
[https://biznet.ct.gov/SCP\\_Search/default.aspx?Src=CISplash](https://biznet.ct.gov/SCP_Search/default.aspx?Src=CISplash)

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

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

- RFP Released: January 21, 2021
- A RFP Bidder's Virtual Conference: February 3, 2021 2:00 PM
- Deadline for Questions: February 5, 2021 3:00 PM
- Answers Released: February 11, 2021 3:00 PM
- Deadline for Recommended Letter of Intent (LOI): February 19, 2021 3:00 PM
- **Deadline for Electronic Proposal Submission: March 12, 2021 3:00 PM**
- (\*) Proposer Selection: April 5, 2021
- (\*) Start of Contract Negotiations: April 12, 2021
- (\*) Start of Contract: July 1, 2021

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

- a. Total Funding Available: Up to \$1,000,000
- b. Number of Awards: Eight (8) (\$125,000, annually)
- c. Contract Cost: To be determined
- d. Contract Term: One (1) year. After completion of the initial one (1) year contract term, successful PCC- Part B 2021 awardees will be evaluated and may be eligible for contract renewal that provides for continuation of project activities, based on available funding. *(The Department reserves the right to amend/extend the contract due to available funding)*

**The Department reserves the right to award one (1) Proposer per organization/municipality and one (1) Proposer per service area.**

- e. Funding Source: Substance Abuse and Mental Health Services Administration (SAMHSA)

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

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

- a. **A Municipality (city or town)** – An individual municipality.
- b. **A Cluster of Municipalities (cities or towns)** – A lead municipality (city or town) applying as a lead applicant in collaboration with at least one (1) other municipality within their region.
- c. **A Community Agency** applying on behalf of a community/communities. Proposers within this group are required to obtain and submit a Memorandum of Understanding (MOU) from the municipality/municipalities in which the program is directed, that demonstrates awareness of the application and support for the project. In this group, DMHAS actively encourages applications from entities and organizations that work with sub-groups within the community experiencing health disparities (e.g., families who are housing unstable; families with a history of incarceration; veteran and military families; LGBTQ youth populations; and Native youth, including cross-tribal and state-recognized tribal organizations).
- d. Agencies or municipalities with existing (that are not in their final year of funding) or pending applications for Stop ACT, DFC, SPF/PFS or any direct federal funding to implement any or all steps of the SPF, must select a community different from the designated community in the existing or pending applications.

- e. Local Prevention Councils (LPC's) are eligible following the same above stated eligibility criteria.
- f. **Proposed Service Area.** While Proposers are limited to municipalities or community organizations, the coverage area of this project is not necessarily limited by geographic boundaries such as town lines or zip codes. Proposers may propose, for example, to work within sub-municipal units (e.g., school districts, neighborhoods, census tracts) or within existing cross-municipal systems (e.g., regional school districts, areas with shared transportation systems, shared hospital systems), as long as these areas have not previously received funding to address substance abuse prevention as indicated above. As part of their submission, Proposers will be required to describe and provide a justification for their focus on the entire municipality, a sub-municipal unit, or an existing cross-municipal system. **The Department reserves the right to award one (1) Proposer per organization/municipality and one (1) Proposer per service area.**

### 7.1 Respondents Ineligible to Respond to the RFP.

- a. The following organizations are ineligible to respond to this RFP: Wheeler Clinic (Connecticut Clearinghouse), The Governor's Prevention Partnership, Regional Behavioral Health Action Organizations (RBHAOs), Prevention Training and Technical Assistance Service Center (TTASC), Cross Sector Consulting, University of Connecticut (UConn) Health, colleges and universities.
- b. Proposers for PCC- Part B 2021, are ineligible to simultaneously apply or be included in applications for the Prevention in Connecticut Communities Initiative Part A 2021, (PCC- Part A 2021).
- c. Additionally, ineligible are organizations representing a city, town or community that is currently receiving funding from Stop ACT, Drug Free Communities (DFC), SPF/PFS or any direct federal funding to implement any or all steps of the SPF, unless they are in their final year of funding for such.

**8. Recommended Electronic Letter of Intent.** A Letter of Intent (LOI) is **recommended** by this RFP. Please refer to **Attachment A**. The LOI is non-binding and does not obligate the sender to submit a proposal. The LOI must be submitted to the Official Contact by e-mail by the deadline established in the Procurement Schedule. The LOI must clearly identify the sender, including name, postal address, telephone number, and e-mail address. It is the sender's responsibility to confirm the Department's receipt of the LOI. At its discretion, the Department may distribute any amendments to this RFP to prospective proposers who submitted a Letter of Intent or attended the RFP Conference.

**9. Inquiry Procedures.** All questions regarding this RFP or the Department's procurement process must be directed, in writing, to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or anonymous questions). Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. The

Department 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(s) established in the Procurement Schedule. The Department will publish any and all addenda to this RFP on the State Contracting Portal and, if available, on the Department's RFP Web Page at its discretion, the Department may distribute any addenda to this RFP to prospective Respondents who submitted a Letter of Intent or attended the RFP Conference.

**10. Recommended Virtual RFP Conference.** An RFP conference will be held to answer questions from prospective Respondents. Attendance at the conference is recommended. **Pre-registration is required to attend. An Addendum including Virtual RFP Conference information will be posted as an Addendum to the RFP** Prospective Respondents are asked to reference a copy of the RFP to the conference. At the conference, attendees will be provided an opportunity to submit written questions, which the Department's representatives may (or may not) answer at the conference. Any oral answers given at the conference by the Department's representatives are tentative and not binding on the Department. All questions submitted will be answered in a written addendum to this RFP, which will serve as the Department's official response to questions asked at the conference. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the addendum and duly noted as such. The agency will release the addendum on the date established in the Procurement Schedule. The Department will publish any and all addenda to this RFP on the State Contracting Portal and, if available, on the Department's RFP Web Page.

**11. Electronic Proposal Due Date and Time.** The Official Contact is the **only authorized recipient** of proposals submitted in response to this RFP. Electronic Proposals must be received by the Official Contact on or before the due date and time which is **March 12, 2021, 3:00 PM EST.**

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

**a. An acceptable submission must include the following:**

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

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



## II. PURPOSE OF RFP AND SCOPE OF SERVICES

### A. DEPARTMENT OVERVIEW

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

#### ***Department Mission***

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

### B. PROGRAM OVERVIEW

#### **1. The goals of PCC Part B 2021 are to:**

- a. Prevent and/reduce use and first use of alcohol among youth;
- b. Increase the utilization of evidence-based prevention programs, policies, and practices;
- c. Increase and enhance the collective and utilization of local data sources (both qualitative and quantitative) to assist in the assessment, planning, and evaluation of substance use of misuse prevention strategies.

#### **2. The objectives of PCC Part B 2021 are associated with the steps of the SPF:**

- a. Development or Enhancement of a Community-Based Partnership/Coalition;
- b. Conducting an Assessment of Needs, Resources, and Readiness;
- c. Mobilize and Build Capacity to Address Identified Needs;
- d. Develop a Comprehensive Strategic Plan;
- e. Implement a Comprehensive Set of Evidence-Based Prevention Programs, Policies, and Practices;
- f. Sustainability of Public Health Planning Process and Outcomes;
- g. Cultural Competence and Health Disparities;
- h. Work with the State's Prevention Support System; and
- i. Monitor and Evaluate Project Activities.

#### **2.1 Additional details pertaining to PCC Part B 2021 Objectives include:**

- a. Development or Enhancement of a Community-Based Partnership/Coalition:

SAMHSA has identified 12 sectors that are considered to be instrumental in the implementation of substance misuse prevention efforts with youth. These 12 sectors are: (1) parents and caregivers; (2) schools; (3) young people under 18 years of age; (4) youth-serving organizations; (5) law enforcement; (6) religious/fraternal organizations; (7) businesses; (8) media; (9) civic/volunteer groups committed to volunteerism; (10) healthcare professionals and/or organizations; (11) state, local, or tribal government agencies with expertise in public health; and (12) other organizations involved in preventing substance use or misuse among youth.

Over the course of this project, awardees will be expected to develop a new local partnership/coalition or expand and enhance an existing partnership/coalition

with representatives from SAMHSA's twelve (12) sectors. This group should meet at least eight (8) times per year for the duration of the project and be active participants in decision-making processes and in helping shape and inform the activities undertaken by the awardee.

Priority should be given to securing participation from a municipal representative from each municipality/neighborhood in the cluster, the public school systems serving the proposed service area identified in the proposal, the local or regional health department or board of health, and local or regional health systems such as hospital systems or healthcare providers.

Awardees will be responsible for developing written meeting agendas, taking minutes at all coalition/partnership meetings, and developing and maintaining an active membership roster and are required to provide this documentation, upon request, to ensure compliance with initiative requirements.

b. Conducting an Assessment of Needs, Resources, and Readiness:

Awardees are expected to work with the DMHAS designated Prevention Resource Links to conduct an assessment of needs, resources, and readiness to guide data-informed substance use and misuse prevention efforts with youth – including data collection or retrieval; data management and analysis; and/or the identification and prioritization of target issues and populations

c. Mobilize and Build Capacity to Address Identified Needs:

Awardees are expected to identify and mobilize resources to establish and maintain a prevention system that can identify and respond to community needs – including the acquisition of training and skills; human, fiscal, and technical capacities needed to support evidence-based prevention efforts; recruitment, retention, maintenance and functioning of a coalition or partnership of diverse stakeholders; and skills to mobilize key stakeholders.

d. Develop a Comprehensive Strategic Plan:

Awardees will develop and submit a strategic prevention plan – including results of needs assessment activities (task 2); infrastructure development needs (task 3); prioritization of needs, risk and protective factors, and population(s)/area(s) of focus; a logic model; a comprehensive set of programs, policies, and practices to be implemented; examination of cultural appropriateness and competence; consideration of health disparities; monitoring and evaluation; and a plan for sustainability of programs and processes.

e. Implement a Comprehensive Set of Evidence-Based Prevention Programs, Policies, and Practices:

A comprehensive approach to substance use/misuse prevention is based on the implementation of multiple programs, policies, and practices in multiple settings and across multiple domains of influence. PCC-2021 Part B funds may be used to support: (1) universal prevention interventions and (2) selective prevention interventions. Universal prevention interventions are intended to reach all members of the population and are not differentiated based on levels of risk. For example, environmental approaches designed to affect community or system level policies, practices, or regulations. Selective prevention interventions are intended to reach specific groups within the larger population that are at elevated levels of risk in comparison to the general population. For example, an after school group for students found to be in violation of the school's chemical health policy. Funds may not be used for indicated prevention interventions for individuals based on their personal level of risk.

**Applicants should not identify or select any prevention strategies at the time of application.** Strategies should not be considered until after the assessment has been completed and the substance use/misuse patterns and risk and protective factors have been described and prioritized.

f. Sustainability of Public Health Planning Process and Outcomes:

Awardees are expected to take steps to help ensure that the application of an evidence-based public health planning process and positive outcomes from prevention activities are sustained over time. Emphasis should be placed on sustaining prevention infrastructure (i.e., capacity and connections) and on sustaining outcomes versus programs. Efforts in this area may include, but are not limited to, the following:

- 1) Developing and fostering relationships and connections with data gatekeepers.
- 2) Creating a professional development and capacity-building work plan and schedule.
- 3) Building awareness and support for evidence-based prevention (e.g. local champions).
- 4) Pinpointing which efforts have had the most impact and prioritizing their continuation.
- 5) Planning for program leadership and staff turnover or succession.
- 6) Working to integrate and embed prevention within multiple agencies/organizations in the service area.

g. Cultural Competence and Health Disparities:

Awardees are expected to provide prevention services that are inclusive and culturally appropriate for the populations living within the service area and help identify and address disparities in patterns of use, consequences of use, access to prevention services, and/or outcomes of prevention activities. Efforts in this area may include, but are not limited to:

- 1) Building the capacity of the prevention workforce to consider cultural competence and health disparities during each step of the SPF and as part of the implementation of all project activities.
- 2) Identifying and describing differences in patterns of use or consequences among sub-populations.
- 3) Addressing gaps in available data to gain a more thorough understanding of the factors leading to any observed disparities in patterns of use, consequences, access to services, or prevention outcomes.
- 4) Engaging members of the broader community and identified sub-populations in decision-making, planning, and implementation.

h. Work with the State's Prevention Support System:

Awardees are expected to work with the DMHAS Prevention Resource Links to identify and prioritize their prevention support needs. Resource Links include: Regional Behavioral Health Action Organizations (RBHAO's), The Prevention Training and Technical Assistance Service Center (TTASC), The DMHAS Center

for Prevention Evaluation & Statistics at UConn Health (CPES), and The Governor's Prevention Partnership.

i. Monitor and Evaluate Project Activities:

Awardees will work with the DMHAS Center for Prevention Evaluation & Statistics at UConn Health (CPES) to document and track project activities and outcomes. As part of this initiative, awardees will:

- 1) Participate in the state's data reporting system to document project activities.
- 2) Complete Program Coordinator survey upon award and annually thereafter to track changes related to the steps of of the SPF.
- 3) Participate in the Coalition Vitality Assessment Tool (CVAT) by completing an initial assessment and annually thereafter by the Program Coordinator and all partnership/coalition members that are part of the project.
- 4) Ten percent (10%) of the total award will be used to support development and/or enhancement of data collection/analysis in order to support data collection and reporting requirements.

## **C. SCOPE OF SERVICE REQUIREMENTS**

### **1. Organizational Requirements**

Proposers must demonstrate experience executing the Strategic Prevention Framework (SPF):

- a. Conducting a comprehensive needs assessment of contributing factors associated with substance abuse, identifying whenever possible those shared risk and protective factors that also related to mental health;
- b. Building capacity to address community specific substance abuse patterns and enhance mental health;
- c. Preparing data-driven strategic plans with logic model that addresses substance abuse based on documented needs including setting measurable objectives;
- d. Implementing evidence-based and environmental strategies;
- e. Evaluating process and outcome data to substantiate program findings including preparing reports and public summaries for stakeholders and the community;
- f. Addressing the intentional inclusion of identified populations in the design and implementation of prevention strategies, activities, and polices; and
- g. Using sustainability planning to support the maintenance of gains in the reduction of substance abuse.
- h. Current or past relationships with the DMHAS Prevention Resource Links;

### **2. Service Requirements**

Proposers must comply with the following program components:

- a. Demonstrate experience executing the Strategic Prevention Framework (SPF) or a similar public health planning model that requires an assessment of needs and

gaps, capacity building, strategic planning, implementation of interventions, evaluation, cultural competency, and sustainability.

- b. Identify and describe the service area where PCC- Part B 2021 will be implemented.
- c. Identify and describe the coalition of community stakeholders that will advise and direct the program.
- d. Provide a statement that demonstrates willingness to collaboration with DMHAS Resource Links.
- e. Provide a statement of need that demonstrates collaboration with the Regional Behavioral Health Action Organization (RBHAO) to identify problem substance(s) using the relevant regional data. This should be no longer than two (2) pages, inclusive of charts, graphs and references. Supported by local data the statement of need must include a description of underage drinking in the service area.
- f. Provide a chart for the entire project period that includes a realistic timeline, staff responsible, and milestones for completion.

### **3. Staffing Requirements**

PCC Part B 2021 staff must include:

- a. One (1) full-time Program Coordinator (PC) for 1.0 FTE (minimum of 35-hours per week) with experience implementing the SPF or similar public health planning model, or provide a detailed job description for a prospective PC. DMHAS prefers, but is not required, that this individual be someone who has the Certified Prevention Specialist (CPS) designation, or someone who will work towards obtaining their CPS within two (2) years from the project start date. The PC should have the skills, qualifications, and background needed to appropriately engage with the cultural and linguistic tapestry of individuals living within the proposed project area.
- b. One part-time Youth Peer Advocate (YPA) between the ages of 16 and 24 with experience in community organizing/prevention/health promotion at the community or school level, or provide a detailed job description for a prospective YPA. This position will be a paid position at no less than a five (5) hour work week.
- c. Proposals must include the names of all known personnel, estimated percentage of time personnel will work on project, salaries of each position, including all subcontractors, and associated personnel, who will be assigned to work on the project. Resumes for each known staff member or job descriptions for staff positions must be included as part of Section IV.
- d. Additional staff or consultants can be funded to work on project activities, as needed. Unless there are unusual circumstances, supervisor time should be limited to 0.1 FTE and administrative time should be limited to 0.2 FTE.

### **4. Letters of Commitment**

Proposers must provide letters of commitment demonstrating planned coordination and collaboration with existing coalitions/community groups and the local municipality. If the Proposer is not the designated Local Prevention Council (LPC) for the target community, the Proposer must include a letter of collaboration from the

LPC demonstrating willingness to participate in PCC- Part B 2021. Letters must include at minimum a:

- a. Detailed description of the role of the LPC in the partnership; and
- b. Commitment of the municipal office(s) represented can include but is not limited to:
  - 1) Health departments/districts
  - 2) Human services
  - 3) Youth services
  - 4) First responders
  - 5) School(s)

## **5. Data and Technology Requirements**

Respondents must indicate their willingness to comply with DMHAS Compliance Measures including but not limited to:

- a. Attend and participate in meetings, trainings, and ongoing project monitoring and technical assistance activities as directed by DMHAS.
- b. Participate in evaluation activities as instructed by DMHAS.
- c. Collect and enter process and outcomes data and complete quarterly reports using the Mosaix Impact cloud-based data collection platform used to meet DMHAS' Prevention data requirements.

## **6. Financial Requirements**

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

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

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

## **7. Budget Requirements**

Proposers must provide a line item budget delineating all costs associated with the proposed services and to include any subcontractor costs. Please refer to **budget template, Attachment C**. All other funding, including applicant agency financial support and income from other sources must be identified. All startup costs must be clearly identified.

Budgets must also include a separate and distinct **budget narrative and justification plan** to correlate to all identified line item costs, as indicated in Attachment C. All **startup** costs must also be separately and clearly detailed in the budget narrative and justification plan.

- a. Grant funds can be used for staff salaries, benefits, payroll taxes, facilities, and program supplies. Annual funding is pending federal and state legislative appropriations.
- b. Up to 15% of administrative costs for the funded entity can be charged to the grant.
- c. Submit a one (1) year budget narrative and justification plan.

**D. CONTRACT MANAGEMENT/DATA REPORTING REQUIREMENTS**

Proposers must address how they will evaluate the selected interventions with attention to cultural competence. Awardees must set aside ten percent (10%) of funding for evaluation services. An expected evaluation should include but may not be limited to the following:

1. Attending meetings as required by the DMHAS Program Manager;
2. Evaluation of coalition implemented program strategies, including process and outcomes;
3. Preparing community information briefs; and
4. Collecting and entering process and outcomes data and complete quarterly reports using the Mosaix Impact cloud-based data collection platform used to meet DMHAS' Prevention data requirements.

### III. PROPOSAL SUBMISSION OVERVIEW

#### A. SUBMISSION FORMAT

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

Submitted proposals must conform to the following specifications:

- a. Paper Size: 8 ½ x 11" (Standard Letter)
- b. Page Limit: Main Proposal limit 15 pages (not including appendices)
- c. Font Size: 12 points (tables and charts can be 10 points)
- d. Font Type: Times New Roman
- e. Margins: 1 inch
- f. Line Spacing: 1



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

## **B. EVALUATION OF PROPOSALS**

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

score and rank ordered and make recommendations for awards. The Department Head will make the final selection. Attempts by any Respondent (or representative of any Respondent) to contact or influence any member of the Review Committee may result in disqualification of the Respondent.

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

**a. Program Narrative = 80 points**

- 1) Agency Description and Experience (10 points)
- 2) Program Design and Service Objectives (35 points, subsection points include:
  - a) Community Description (15 points)
  - b) Coalition Description (10 points)
  - c) Community Data (10 points)
- 3) Management Plan (20 points)
- 4) Data Collection and Evaluation (15 points)

**b. Budget, Budget Narrative and Justification = 10 points**

**c. Appendices = 10 points**

**A total of 100 points**

Evaluation Criterion Title	Total Points	What would a top score look like?
Example: Agency Description and Experience:	10 Points	Ex) Applicant clearly demonstrates: the agencies experience conducting a needs assessment through available data, ability to build capacity to address substance abuse patterns, experience preparing strategic plans with a logic model and implementation plan, experience implementing evidence-based and environmental strategies on the community level, ability and knowledge to evaluate process and outcomes data, knowledge and experience addressing the intentional inclusion of identified populations and experience sustaining initiatives to support and continue the reduction of substance misuse in the community,

Note:

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

- 5. Respondent Selection.** Upon completing its evaluation of proposals, the Review Committee will submit the rankings of all proposals to the Department head. The final selection of a successful Respondent is at the discretion of the Department head. Any Respondent selected will be so notified and awarded an opportunity to negotiate a contract with the Department. Such negotiations may, but will not automatically, result in a contract. Pursuant to Governor M. Jodi Rell's Executive Order No. 3, any resulting contract will be posted on the State Contracting Portal. All unsuccessful Respondents will be notified by e-mail, at the Department's discretion, about the outcome of the evaluation and Respondent selection process. The Department reserves the right to decline to award contracts for activities in which the Department head considers there are not adequate respondents.
- 6. Debriefing.** Within ten (10) days of receiving notification from the Department, unsuccessful Respondents may contact the Official Contact and request information about the evaluation and Respondent selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the ten (10) days. If unsuccessful Respondents still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the evaluation process and their proposals. If held, the debriefing meeting will not include any comparisons of unsuccessful proposals with other proposals. The Department will schedule and hold the debriefing meeting within fifteen (15) days of the request. The Department will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.
- 7. Appeal Process.** Respondents may appeal any aspect the Department's competitive procurement, including the evaluation and Respondents selection process. Any such appeal must be submitted to the Department head. A Respondent may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful Respondents about the outcome of the evaluation and Respondent selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. The filing of an appeal shall not be deemed sufficient reason for the Department to delay, suspend, cancel, or terminate the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.
- 8. Contest of Solicitation or Award.** Pursuant to Section 4e-36 of the Connecticut General Statutes, "Any bidder or Proposer on a state contract may contest the solicitation or award of a contract to a subcommittee of the State Contracting Standards Board..." More detailed information is available on the State Contracting Standards Board website at <http://www.ct.gov/scsb/site/default.asp>.
- 9. Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Department's contracting procedures, which may include approval by the Office of the Attorney General. Fully executed and approved contracts will be posted on State Contracting Portal and the Department website.

## IV. PROPOSAL SUBMISSION OUTLINE

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

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### A. Cover Sheet

### B. Table of Contents

### C. Executive Summary

### D. Main Proposal

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

### F. Declaration of Confidential Information

### G. Conflict of Interest - Disclosure Statement

### H. Statement of Assurances

#### **A: Cover Sheet**

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

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

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

#### **B: Table of Contents**

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

**C: Executive Summary**

The page limitation for this section is two (2) pages briefly describing how the Respondent meets the eligibility criteria outlined in the Proposal Overview and a brief overview of why the Respondent should be selected for the activities highlighted in the scope of services. Response to the Executive Summary is not counted in the 15-page limitation.

**D: Main Proposal Submission Questions****\*\*\*Please note the maximum total page length for this section is 15 pages.**

Appendices and other attachments should be referred to in section D and then placed in section E. The Department Review Committee will not read answers longer than **15 pages** in this section.

Responses to this RFP must include the following sections in the order specified below. Please refer to the description of each section and its subcomponents shown below. The content of each section and the number of points used to evaluate the section (and its subcomponents) are provided. The maximum evaluation score is 100 points.

**1. Program Narrative (80 Points)**

The Proposal Narrative must be clear, concise, and paginated and must not exceed 15 single-spaced pages in length. The document must have one (1) inch margins and use Times New Roman 12 pitch font, but charts and tables can be in 10 pitch font. The Proposal Narrative shall be scored accordingly, and contain the following subcomponents in this RFP:

**a. Agency Description and Experience (10 Points)**

Proposers must demonstrate experience executing the Strategic Prevention Framework (SPF) as follows:

- 1) Conducting a comprehensive needs assessment of contributing factors associated with substance abuse; identifying whenever possible those shared risk and protective factors that are also related to mental health;
- 2) Building capacity to address community specific substance abuse patterns and enhance mental health;
- 3) Preparing data-driven strategic plans with logic model that address substance abuse based on documented needs including setting measurable objectives;
- 4) Implementing evidence-based and environmental strategies;
- 5) Evaluating process and outcome data to substantiate program findings including preparing reports and public summaries for stakeholders and the community;
- 6) Addressing the intentional inclusion of identified populations in the design and implementation of prevention strategies, activities, and policies; and
- 7) Using sustainability planning to support the maintenance of gains in the reduction of substance abuse.

**b. Program Design and Service Objectives (35 Points)**

- 1) Provide a community description that identifies and describes the service area where PCC- Part B 2021 will be implemented to address universal substance abuse prevention and mental health promotion efforts. Summarize

why this service area/community was selected and describe its associated need and readiness. Include at a minimum the following information with supporting data: **(15 Points)**

- a) Geographic boundaries and/or sub-municipal unit;
- b) Key socio-demographic and cultural characteristics;
- c) Evidence of underserved populations and non-traditional subgroups;
- d) Substance abuse prevention needs; including those risk and protective factors that may also impact positive mental health in the identified community,
- e) Resources and assets, including major service providers and organizations; and
- f) Public support for or resistance to implementing substance abuse prevention and mental health promotion efforts (readiness).

Suggested sources for data include but are not limited to:

- Census Data <https://data.census.gov/cedsci/>
- Town Profile <https://www.advancect.org/advancing-business/data-information/town-profiles/>
- Strategic School Profile <http://edsight.ct.gov/SASPortal/main.do>
- Connecticut SEOW Prevention Data Portal <http://preventionportal.ctdata.org/>
- Contact Regional Behavioral Health Action Organizations (RBHAOs) for regional data on youth alcohol use <https://portal.ct.gov/DMHAS/Commissions-Councils-Boards/Index/Regional-Behavioral-Health-Action-Organizations-RBHAOs>

- 2) Identify and describe the coalition within the proposed service area/community that your organization will partner with to engage in this initiative. Include the following information about the coalition with supporting data: **(10 Points)**
  - a) Mission and vision;
  - b) Coalition representation of these twelve community sectors –
    - (1) Youth and Parents (particularly from the focus population), Business Community, Media, Schools, Youth-Serving Organizations, Law Enforcement Agencies, Faith-Based Organizations, Civic and Volunteer Groups, Healthcare Professionals, Government Agencies, other prevention organizations including local mental health organizations, and the recovery community when relevant;
  - c) Reflect the socio-demographic and cultural diversity of the community being served;
  - d) Coalition’s knowledge of prevention and health promotion issues across the lifespan;
  - e) History of service to the community and major projects accomplished; and
  - f) Prior relationship or collaborations with the agency responding to this RFP.
- 3) Proposers must exhibit that they have current underage drinking data for their selected community and address the following items: **(10 Points)**

- a) Review and submit data that describes the prevalence and consequences of underage drinking from the Regional Behavioral Health Action Organization and other community sources; and
- b) Demonstrate the organization's baseline data and the ability to track long and short term outcomes in connection with expected target population(s).

**c. Management Plan (20 Points)**

- a. Provide an organizational chart and specific managerial plan indicating who will direct and be responsible for the coordination of the program and program deliverables. Identify one (1) part-time Program Coordinator (PC) with their qualifications and past experience, or provide a detailed job description for a prospective PC. The PC will be responsible for:
  - 1) Program coordinating with identified community coalition;
  - 2) Serving as the primary liaison to DMHAS;
  - 3) Attending trainings, technical assistance meeting and conferences;
  - 4) Completing and submitting all data in the Mosaix Impact prevention data collection system; and
  - 5) Collaborating with the state-level evaluator and ensuring evaluation deliverables.
- b. Identify one (1) part-time Youth Peer Advocate (YPA) with his/her qualifications and past experience, or provide a detailed job description for a prospective YPA.

**d. Data Collection and Evaluation (15 Points)**

Proposers must address how they will evaluate the selected interventions, with attention to cultural competence. Awardees must set aside ten percent (10%) of funding for evaluation services. Expected evaluation work should include but may not be limited to the following:

- a. Attending meetings as required by the DMHAS Program Manager;
- b. Evaluation of coalition implemented program strategies, including process and outcomes;
- c. Preparing biennial community information briefs; and
- d. Preparing an annual evaluation report.

**2. Budget, Budget Narrative and Justification (10 Points)**

Proposers must provide a line item budget delineating all costs associated with the proposed services and to include any subcontractor costs. Please refer to **budget template, Attachment C**. All other funding, including applicant agency financial support and income from other sources must be identified. All startup costs must be clearly identified.

Budgets must also include a separate and distinct **budget narrative and justification plan** to correlate to all identified line item costs, as indicated in Attachment C. All **startup** costs must also be separately and clearly detailed in the budget narrative and justification plan. The budget narrative and justification plan shall at a minimum:

- a. Describe how costs were determined;
- b. Describe other sources of funds that may be used to supplement the budget; and

- c. Describe the extent of "in-kind" resources the Proposer will provide to this program.
- d. The proposed budget should be consistent with the Connecticut Office of Policy and Management (OPM) Cost Standards, which can be found at the following OPM website:  
[http://www.ct.gov/opm/cwp/view.asp?a=2981&Q=382994&opmNav\\_GID=1806](http://www.ct.gov/opm/cwp/view.asp?a=2981&Q=382994&opmNav_GID=1806)

### 3. Appendices (10 Points)

Only the following appendices may be included in the proposal. These appendices must not be used to extend or replace sections of the Program Narrative.

- a. **Appendix 1:** Register to do business in CT (issued by the Office of the Secretary of the State) - Proof of the Proposer agency's is registered with the Office of the Secretary of the State) shall be provided as **Appendix 1** - Please refer to the following hyperlink:  
<https://www.concord-sots.ct.gov/CONCORD/online?sn=InquiryServlet&eid=99>
- b. **Appendix 2:** CT non-profit status as **Appendix 2**
- c. **Appendix 3:** Biographical Sketches/Resumes for Existing Staff and/or Job Descriptions for New Positions including any Prevention CPS credentials
- d. **Appendix 4:** Provide letters of commitment demonstrating planned coordination and collaboration with existing coalitions/community groups and the local municipality. If the Proposer is not the designated Local Prevention Council (LPC) for the target community, the Proposer must include a letter of collaboration from the LPC demonstrating willingness to participate in the PCC-Part B 2021 Initiative. Letters must include at minimum:
  - a) a detailed description of the role of the LPC in the partnership; and
  - b) a commitment of the municipal office(s) represented that can include but is not limited to Health departments/districts, Human Services, Youth Services, First Responders and school(s).
- e. **Appendix 5:** If the Proposer is a community agency, they must obtain a Memorandum of Understanding (MOU) from the municipality in which the program is directed, that demonstrates awareness of the proposal and support for the project.
- f. **Appendix 6:** Organizational Structure (Table of Organization)
- g. **Appendix 7:** Copy of Most Recent Financial Audit (If not a current DMHAS-funded agency)
- h. **Appendix 8:** Additional Required Documents – Proposals must contain all of the following documents to be considered responsive (see Forms)
  - 1) Notice to Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban
  - 2) Consulting Agreement Affidavit
  - 3) Affirmation of Receipt of Summary of State Ethics Law



**E: Attachments**

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

*The purpose of this subsection is to gather any other additional information that the Department needs to evaluate the Respondent. The specifics of the information requested are left to the Department's discretion. Respondents should be asked to provide these as supplementary documents only referenced in the main proposal to not go against their page limits.*

**F: Declaration of Confidential Information**

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

**G: Conflict of Interest – Disclosure Statement**

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

**H: Statement of Assurances**

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

## V. MANDATORY PROVISIONS

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

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

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

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

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

Note:

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

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

### ■ B. ASSURANCES

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

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

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

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

## ■ C. TERMS AND CONDITIONS

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

- 1. Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.
- 2. Preparation Expenses.** Neither the State nor the Department shall assume any liability for expenses incurred by a Respondent in preparing, submitting, or clarifying any proposal submitted in response to this RFP.
- 3. Exclusion of Taxes.** The Department is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Respondents are liable for any other applicable taxes.

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

#### ■ D. RIGHTS RESERVED TO THE STATE

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

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

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

## ■ E. STATUTORY AND REGULATORY COMPLIANCE

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

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

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

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

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

## VI. APPENDIX

### A. ABBREVIATIONS / ACRONYMS / DEFINITIONS

ATOD	Alcohol, tobacco, other drug
BFO	Best and Final Offer
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CPES	The DMHAS Center for Prevention Evaluation and Statistics at UConn Health
CPS	Certified Prevention Specialist
CSC	Connecticut Strategic Prevention Framework Coalitions
CT	Connecticut
DAS	Department of Administrative Services (CT)
DCF	Department of Families and Children
DFC	Drug Free Communities
EARS	Electronic Audit Reporting System
FOIA	Freedom of Information Act (CT)
GPP	The Governor's Prevention Partnership
IRS	Internal Revenue Service (US)
LOI	Letter of Intent
MB	Megabit(s)
MOU	Memorandum of Understanding
OAG	Office of the Attorney General
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
PC	Program Coordinator
PFS	Partnerships for Success
PCC	Prevention in Connecticut Communities
POS	Purchase of Service
P.A.	Public Act (CT)
RBHAO	Regional Behavioral Health Action Organization
RFP	Request For Proposal
SAMHSA	Substance Abuse and Mental Health Services Administration
SEEC	State Elections Enforcement Commission (CT)
SPF	Strategic Prevention Framework
SPF/PFS	Strategic Prevention Framework-Partnerships for Success
STOP ACT	Sober Truth on Prevention Underage Drinking Act
TOC	Table of Contents
TTASC	Prevention Training and Technical Assistance Service Center
U.S.	United States
YPA	Youth Peer Advocate

***Applicant/Proposer/Respondent:*** a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP

***Awardee/contractor:*** a private provider organization, CT State agency, or municipality that enters into a POS contract with the Department as a result of this RFP

***DMHAS Prevention Resource Links*** – Connecticut Clearinghouse, The Governor's Prevention Partnership (GPP), Regional Behavioral Action Organizations (RBHAO), Prevention Training and Technical Assistance Service



Center (TTASC), The DMHAS Center for Prevention Evaluation and Statistics at UConn Health (CPES)

***prospective Respondent:*** a private provider organization, CT State agency, or municipality that may submit a proposal to the Department in response to this RFP, but has not yet done so

***Service area:*** the town/city, towns/cities, or section of a town/city that is proposed in the RFP

***subcontractor:*** an individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific health or human service as part of a POS contract with the Department as a result of this RFP

**B. STATEMENT OF ASSURANCES**

**Department of Mental Health and Addiction Services**

The undersigned Respondent affirms and declares that:

**1) General**

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

Legal Name of Organization: \_\_\_\_\_

\_\_\_\_\_  
Authorized Signatory

\_\_\_\_\_  
Date

**C. PROPOSAL CHECKLIST provided as a tool for the Proposer to check critical sections of the RFP.**

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**

<b><u>Procurement Timetable</u></b>		
The Department reserves the right to modify these dates at its sole discretion.		
<b>Item</b>	<b>Action</b>	<b>Date</b>
1		
2		
3		
4		
5		
6		

**Registration Link for Pre-bid Conference:**

Link will be provided to organizations that register to attend the Virtual Bidder's Conference.

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

**Register to do business in the State of CT Secretary of State:**

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

**Proposal Content Checklist**

- Cover Sheet** including required information:
  - RFP Name or Number
  - Legal Name
  - FEIN
  - Street Address
  - Town/City/State/Zip
  - Contact Person
  - Title

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

#### **Formatting Checklist**

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

**D. ATTACHMENTS****ATTACHMENT A****LETTER OF INTENT****REQUEST FOR PROPOSALS**

RFP# \_\_\_\_\_

**Department of Mental Health and Addiction Services**

Return to:  
 DMHAS  
 Marcia McDonough  
 Official Contact

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

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

**Prospective Proposer:**

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

**Contact Person:**

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

**Person Authorized to Sign Contract:**

Name	Title
Signature	Date

**ATTACHMENT B**

**COVER LETTER**

**REQUEST FOR PROPOSAL**

RFP # \_\_\_\_\_

Department of Mental Health and Addiction Services

\_\_\_\_\_  
Proposer/Agency Name FEIN

\_\_\_\_\_  
Address

\_\_\_\_\_  
City/Town                      State                      Zip Code

\_\_\_\_\_  
Agency Contact: Title:

\_\_\_\_\_  
Telephone Number                      Fax Number                      E-Mail Address

\_\_\_\_\_  
Total Annual Program Cost

\_\_\_\_\_  
Total Annual Cost to DMHAS

<p><b>Proposed <u>Program</u> Address:</b></p> <p>_____</p> <p>_____</p>
--

Proposer/Agency Fiscal Year: \_\_\_\_\_ to \_\_\_\_\_  
(month)                      (month)

Is your agency a non-profit? Yes  No       Is your agency incorporated? Yes  No

Is your agency registered as a:  
Minority Business Enterprise? Yes  No   
Women Business Enterprise? Yes  No   
Small Business Enterprise? Yes  No

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

\_\_\_\_\_  
Signature of Authorizing Official Date

\_\_\_\_\_  
Typed Name and Title

**ATTACHMENT C- BUDGET**

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

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



**E. Forms**

**Form #1:** Gift and Campaign Contribution Certification . . . . .  
*This form must be completed and included in Section I of the proposal.*

**Form #2:** Consulting Agreement Affidavit . . . . .  
*This form must be completed and included in Section I of the proposal.*

**Form #3:** Acknowledgment of Contract Compliance . . . . .  
*This form must be completed and included in Section I of the proposal.*

**Form #4:** Notification To Bidders . . . . .  
*This form must be completed and included in Section I of the proposal. For more information on completion of this report, go to [www.ct.gov/chro](http://www.ct.gov/chro)*

**Form #5:** Employer Information Report . . . . .  
*This form must be completed and included in Section I of the proposal. For more information on completion of this report, go to [www.eeoc.gov](http://www.eeoc.gov)*

**Form #6:** IRAN Certification



**STATE OF CONNECTICUT**  
**GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION**

**Form 1**

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

**INSTRUCTIONS:**

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

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

**GIFT CERTIFICATION:**

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

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

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

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding **Gifts** by providing for any other Principals, Key Personnel, officials, or employees of the Contractor, or its or their agents, to make a **Gift** to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

**CAMPAIGN CONTRIBUTION CERTIFICATION:**

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

**Lawful Campaign Contributions to Candidates for Statewide Public Office:**

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

**Lawful Campaign Contributions to Candidates for the General Assembly:**

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

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

\_\_\_\_\_  
Printed Contractor Name

\_\_\_\_\_  
**Printed Name of Authorized Official**

\_\_\_\_\_  
**Signature of Authorized Official**

**Subscribed and acknowledged before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.**

\_\_\_\_\_



STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

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

INSTRUCTIONS:

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

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

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

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

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

Consultant's Name and Title Name of Firm (if applicable)

Start Date End Date Cost

Description of Services Provided:

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

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

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

Printed Name of Bidder or Contractor Signature of Principal or Key Personnel Date
Printed Name (of above) Awarding State Agency

Sworn and subscribed before me on this \_\_\_\_ day of \_\_\_\_\_, 20\_\_.

Commissioner of the Superior Court or Notary Public

**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](https://www.ct.gov/chro/lib/chro/Notification_to_Bidders.pdf)

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

## FORM #4

## Bidder Contract Compliance Monitoring Report

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

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

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

**PART I - Bidder Information**

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

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

(Page 4)

1. Will the work of this contract include subcontractors or suppliers? Yes  No

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

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

PART IV - Bidder Employment Information

Date: \_\_\_\_\_

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

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

- Joint Reporting Committee
- Equal Employment Opportunity Commission
- Office of Federal Contract Compliance Programs (Labor)

**EQUAL EMPLOYMENT OPPORTUNITY  
EMPLOYER INFORMATION REPORT EEO-1**

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

**Section A—TYPE OF REPORT**

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

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

- |   |   |
|---|---|
| (1) <input type="checkbox"/> Single-establishment Employer Report | Multi-establishment Employer:<br>(2) <input type="checkbox"/> Consolidated Report (Required)<br>(3) <input type="checkbox"/> Headquarters Unit Report (Required)<br>(4) <input type="checkbox"/> Individual Establishment Report (submit one for each establishment with 50 or more employees)<br>(5) <input type="checkbox"/> Special Report |
|---|---|

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Form 7. Iran Certification**

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

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

**F. Appendices.** The following appendices must be included in the submission. These appendices must not be used to extend or replace sections of the Program Narrative, and no other appendices are permitted for inclusion in the proposal.

1. **Appendix 1.** Proof of CT Registration - Proof of the Proposer agency's Connecticut Business Registration (issued through the Office of the Secretary of the State/CONCORD) shall be provided as **Appendix 1**. Please refer to the following hyperlink:  
<https://www.concord-sots.ct.gov/CONCORD/online?sn=InquiryServlet&eid=99>
2. **Appendix 2.** Proof of CT Non-Profit Status Proof of agency non-profit status, shall be provided as **Appendix 2**.
3. **Appendix 3.** Biographical Sketches/Resumes for Existing Staff and/or Job Descriptions
4. **Appendix 4.** Provide letters of commitment demonstrating planned coordination and collaboration with existing coalitions/community groups and the local municipality.
5. **Appendix 5.** Memorandum of Understanding (MOU).
6. **Appendix 6.** Organizational Structure (Table of Organization)
7. **Appendix 7.** Copy of Most Recent Financial Audit (If not a current DMHAS-funded agency)
8. **Appendix 8.** Additional Required Forms/Documents – Proposals must contain all of the forms.