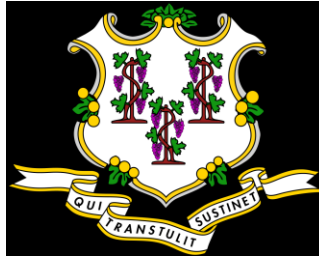


STATE OF CONNECTICUT PROCUREMENT NOTICE

Request for Proposals (RFP) For Outpatient Specialty Services Utilization Management

RFP Name: 2021DOC-IMSUM-RFPSH

Issued By:
Department of Correction
June 1, 2021

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

Name: Salina Hargrove
Address: 24 Wolcott Hill Road, Wethersfield, CT 06109
Phone: 860-692-6837
E-Mail: DOC.RFP@ct.gov

The RFP is also available on the Department's website at <https://portal.ct.gov/DOC/Common-Elements/Common-Elements/RFP>

RESPONSES MUST BE RECEIVED NO LATER THAN

August 6, 2021

3:00 pm EST

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*Below is an outline of this Request for Proposal. The outline presents the standard structure of all RFPs for POS: meaning, the same sections and subsections appear in all RFPs for POS. The subsections of **Section V** are standard and their contents are the same for all RFPs for POS. The subsections of **Sections I, II, III, and IV** are standard, but their contents vary by RFP, depending on the Department's procurement requirements.*

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I. GENERAL INFORMATION

This section of the RFP provides general information about the Department's procurement and, most importantly, gives instructions to proposers and prospective proposers about how to comply with the RFP process and how to submit an acceptable proposal for review. Failure to comply with the RFP process or instructions may deem a proposal non-responsive and subject to rejection without further consideration. The subsections of Section I are standard, but their contents vary by RFP, depending on the Department's procurement requirements.

■ A. INTRODUCTION

1. RFP Name or Number. 2021DOC_IMSUM_RFPSH

2. Executive Summary. The Connecticut Department of Correction (DOC) is seeking proposals for a utilization management solution to manage the receipt of requests for specialty care medical services including the pre-approval of such requests with the provision of data necessary to support and inform patient care decisions.

The objective of this RFP is to solicit responses related to utilization management solutions that can streamline the preapproval and assessment process and augment DOC's Inmate Medical Services Division patient care decision-making process. The Inmate Medical Services Division provides oversight and provision of health services to the supervised Inmate Population, including, but not limited to: diagnostic, medical, mental and behavioral health, pharmacological, dental and ancillary and augmentive therapeutic services.

3. RFP Purpose. The Department's primary objective is to provide quality healthcare while reducing cost, where possible. This Request for Proposal (RFP) contemplates the creation of a Professional Services Contract as defined by Connecticut law. Contract(s) will be awarded to the most responsive and responsible Respondent(s) found to be in the best interest of the State of Connecticut and not necessarily to the lowest price Respondent(s).

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

Commodity Codes	Services
85000000 Healthcare Services	
85121700 Healthcare Provider Specialists	
85101700 Healthcare Administration Services	85101703 Health service planning 85101707 Health systems evaluation services
85121500 Primary care practitioners services	85121502 Primary care physician consultation services 85121503 Primary care physicians control 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. Proposers, prospective proposers, 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. Proposers or prospective proposers who violate this instruction may risk disqualification from further consideration.

Name: Salina Hargrove
Address: 24 Wolcott Hill Road Wethersfield, CT 06109
Phone: 860-692-6837
E-Mail: DOC.RFP@ct.gov

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

- 2. Registering with State Contracting Portal.** Respondents must register with the State of CT contracting portal at <https://portal.ct.gov/DAS/CTSource/Registration> if not already registered. Respondents shall submit the following information pertaining to this application to this portal (on their supplier profile), which will be checked by the Department contact.
- Secretary of State recognition – Click on appropriate response
 - Non-profit status, if applicable
 - Notification to Bidders, Parts I-V
 - Consulting Agreement Affidavit (OPM Ethics Form 5) – Requires Notarization
<https://portal.ct.gov//media/OPM/OPMForm5ConsultingAgreementAffidavit32814pdf.pdf?la=en>
 - Affirmation of Receipt of State Ethics Affidavit (OPM Ethics Form 6) – Requires Notarization
<https://portal.ct.gov/media/OPM/Finance/psa/OPMEthicsForm6Final91511PDFpdf.pdf?la=en>
 - Iran Certificate (OPM Ethics Form 7) – Requires Notarization
<https://portal.ct.gov/media/OPM/OPMForm7IranCertification32814pdf.pdf?la=en>
- 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:

- Department's RFP Web Page - <https://portal.ct.gov/DOC/Common-Elements/Common-Elements/RFP>
- State Contracting Portal (go to CTsource bid board, filter by "**Department of Correction**" <https://portal.ct.gov/DAS/CTSource/BidBoard>

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

4. Procurement Schedule. See below. Dates after the due date for proposals ("Proposals Due") are non-binding target dates only (*). The 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: June 1, 2021 3:00 PM EST
- Letter of Intent Due: June 14, 2021 3:00 PM EST
- Deadline for Questions: June 28, 2021 3:00 PM EST
- Answers Released: July 9, 2021 3:00 PM EST
- Proposals Due: August 6, 2021 3:00 PM EST
- (*) Proposer Selection: TBD
- (*) Start of Contract Negotiations: TBD
- (*) Start of Contract: 12/1/2021

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:

- Total Funding Available: TBD
- Number of Awards: 1
- Contract Cost: TBD
- Contract Term: TBD
- Funding Source: State funding

6. Eligibility. The Department welcomes responses from anyone in the healthcare industry, in the provision of healthcare services at the community level, in government or in academia with practical knowledge of the provision of inmate medical services or who provides healthcare to large institutionalized patient populations, operates large health systems, or manages large patient practices. The Department reserves the right to reject the submission of any Respondent(s) in default of any current or prior contract.

The Respondent may partner or subcontract with other entities to provide services under the RFP.

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

Expertise in health management, utilization review and healthy policy development.

Those with correctional healthcare expertise will be given preference.

8. Letter of Intent. A Letter of Intent (LOI) is, required by this RFP. The LOI is non-binding and does not obligate the sender to submit a proposal. The LOI must be submitted to the Official Contact by e-mail by the deadline established in the Procurement Schedule. The LOI must clearly identify the sender, including name, postal address, telephone number, and e-mail address. It is the sender's responsibility to confirm the Department's receipt of the LOI. Failure to submit the required LOI in accordance with the requirements set forth herein shall result in disqualification from further consideration. **LOI Form #1** in this RFP must be submitted.

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. If this RFP requires a Letter of Intent, the Department reserves the right to answer questions only from those who have submitted such a letter. The Department may combine similar questions and give only one answer. All questions and answers will be compiled into a written amendment to this RFP. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such.

The agency will release the answers to questions on the date(s) established in the Procurement Schedule. The Department will publish any and all amendments 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 amendments to this RFP to prospective proposers who submitted a Letter of Intent.

10. RFP Conference. An RFP conference **will not** be held to answer questions from prospective proposers. All questions submitted will be answered in a written amendment 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 amendment and duly noted as such. The agency will release the amendment on the date established in the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Department's RFP Web Page.

11. Proposal Due Date and Time. The Official Contact is the **only authorized recipient** of proposals submitted in response to this RFP. Proposals must be received by the Official Contact on or before the due date and time:

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.

An acceptable submission must include the following:

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

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

Responses must include the name, mailing address, telephone number, and email address of the respondent.

Responses must be provided in searchable PDF form and uploaded to the CT Source Solicitations Board at, <https://portal.ct.gov/DAS/CTSource/BidBoard>. The response document must be uploaded to the solicitation.

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

II. PURPOSE OF RFP AND SCOPE OF SERVICES

Reserved for Department use. In this section, the Department provides proposers with background information about the Department and program. More specific information is provided about the service that the Department seeks to procure. This information is designed to promote a better understanding of the needs of the Department and its clients and, thus, assist proposers in preparing better proposals in response to this RFP. The structure of Section II is standard, but the content of the subsections will vary by RFP, depending on the Department's procurement requirements.

■ A. DEPARTMENT OVERVIEW

CTDOC is a recognized leader in the provision of institutional and community correction services. It is one of only six state correctional agencies in the country with a combined system of pre-trial jails for accused inmates and prisons for sentenced inmates. Thus, Connecticut has an integrated jail and prison system, with approximately 28 percent accused and 72 percent sentenced inmates detained in the facilities. CTDOC provides healthcare services in accordance with the [American Correctional Association \(ACA\)](#) and the [National Commission on Correctional Healthcare \(NCCHC\)](#) standards, as well as prevailing professional practices and community standards of care. The department also follows the guidelines established by the U.S. Preventative Services Taskforce (<https://www.uspreventiveservicestaskforce.org/>).

The Department incarcerates approximately 8,952 offender inmates throughout the State of Connecticut. CTDOC is responsible for incarceration of youth, male, and female sentenced and un-sentenced individuals, as well as ensuring appropriate community supervision for approximately 3,790 offender inmates residing in the community prior to completion of their criminal sentences. [Note: Respondent(s) will not be responsible for the provision of healthcare to the individuals supervised in the community.] The CT DOC is one of only six state correctional agencies in the country with a combined system of pretrial jails for accused offenders and prisons for sentenced offenders. The Department houses its offenders throughout fourteen (14) facilities and/or campuses and is responsible for incarceration of youth (in the adult court system), male, and female sentenced and un-sentenced individuals. Approximately 33 percent are accused, and 67 percent are sentenced.

Inmates are classified in level 2 (minimum) through level 5 (maximum) security statuses. Most facilities house inmates in several levels, while the newer celled facilities house predominantly level 4 and 5 offender inmates. The number of persons supervised by CTDOC at any given time fluctuates and the number of facilities operated by CTDOC is subject to change. Information about all CTDOC facilities can be found at <https://portal.ct.gov/DOC/Miscellaneous/Facilities>.

Additional information regarding DOC and its facilities can be found at <http://portal.ct.gov/DOC>.

CTDOC Administrative Directives can be found on the DOC website at: <https://portal.ct.gov/DOC/Common-Elements/Common-Elements/Directives-and-Policies-Links>.

All inmates must have access to healthcare services that meet the Department's standards of care and reasonable accommodations as specified in Chapter 8 of the Administrative Directives or modifications are made in accordance with the Americans with Disabilities Act to allow inmates with disabilities the same opportunities for access to care as non-disabled inmates. Information about CTDOC standards of care can be found at <https://portal.ct.gov/DOC/AD/ADChapter-8>.

CTDOC currently provides primary healthcare services by healthcare professionals who are appropriately licensed and/or credentialed in their appropriate field of practice by the State of Connecticut, including board certification for all physicians. CTDOC provides a full continuum of services including medical, dental and behavioral healthcare services at all levels of clinical acuity which is available for inmates beginning with the initial intake process and throughout their incarceration. Services for inmates range from preventive and primary care to hospital inpatient and outpatient including chronic and specialty care, i.e., podiatry, optometry, infectious disease, cardiology, obstetrics/gynecology, neurology, end of life/hospice/palliative care, medication-assisted treatment, etc. Medical personnel have access to translation services (language and services for the hearing or visually impaired) in order to ensure proper assessment and care. All medical and behavioral health services include access to 24 hour on-call coverage to address emergent/critical care issues. Healthcare providers perform services under the supervision of the Chief Medical Officer.

Offenders are classified according to their medical needs. CTDOC defines criteria for assigning medical levels:

- M1 - No medical problems that require nursing attention, other than problems that might arise in the future due to illness or injury
- M2 - Are not expected to require nursing care on any regular basis; have some sub-acute or chronic disease that requires occasional nursing attention, but not on an urgent basis
- M3 - Need predictable access to nursing care for 16 hours a day, 7 days a week (Any need for directly observed therapy at least once a day qualifies as M3)
- M4 - Need 24-hour access to nursing care, but most of the time do not actually access that care. There is a reasonable likelihood that from time to time they will need 24-hour actual nursing care (not just access to it)
- M5 - Need 24-hour nursing care, possibly for an extended time

■ B. PROGRAM OVERVIEW

The Connecticut Department of Correction (DOC) is seeking proposals for a utilization management solution to manage the receipt of requests for specialty care medical services including the pre-approval of such requests with the provision of data necessary to support and inform patient care decisions.

The objective of this RFP is to solicit responses related to utilization management solutions that can streamline the preapproval and assessment process and augment DOC's Inmate Medical Services Division patient care decision-making process. The Inmate Medical Services Division provides oversight and provision of health services to the supervised Inmate Population, including, but not limited to: diagnostic, medical, mental and behavioral health, pharmacological, dental and ancillary and augmentive therapeutic services.

The RFP is seeking to procure services by an individual and or entity that employs qualified professionals to develop policies or practices to prioritize the hundreds of approved outpatient specialty requests for specialty clinics that have limited appointments. The department is seeking assistance and guidance in developing a structure that will ensure inmate specialty outpatient requests are prioritized, CTDOC PCP's review the recommended treatment plan in a timely manner, documented alternative specialist treatment plans inclusive of clinical rationale. The goal is to reduce the risk of poor outcomes and increase the value of specialty consultation. Respondents must be qualified to evaluate specialty referrals by the facility and monitor the referral practices by PCP's. Respondents must develop a clear UM process that evaluates, triages, and prioritizes those in need. Currently all referrals are now executed with no review without formal consultation with specialty providers, which is problematic and has unanticipated consequences such as:

- Large volume of specialist referrals, increasing the likelihood of clinically unnecessary referrals
- Specialty visits occurring without necessary documentation of patient history, treatment, and work-up, creating duplication of diagnostic testing and a delay in providing treatment.

■ C. SCOPE OF SERVICE REQUIREMENTS

1. Organizational Requirements

- A. Executive Summary: A high level summary, not exceeding one (1) page must be included.
- B. Description of Organization: A description of the organization, date established, number of employees (full and part-time), business type (e.g. LLC, corporation, etc.), and ownership is required.
- C. Business and Administrative Office Location(s): Location(s) of the organization's administrative offices and all office addresses from which services will be provided, if applicable is required.
- D. Qualifications / Certification / Licensure: Description of the organization's experience providing the kinds of services being requested through this solicitation. Describe the following:
 - i. Applicable licensure/certifications held by your organization and staff, its relevance to the proposed service and your ability to adhere to such licensure/certification requirements. Respondent must complete assurance statement in **Appendix B** of this RFP that you are aware of all required licenses, certifications or other formal and informal approvals required for the proposed service and that your organization holds all such approvals.
 - ii. Evidence of licenses/certification of all staff working on this contract shall be provided listed as **Appendix D** in the submitted proposal.
- E. References: Responses should include a description past or existing work performed providing similar services requested in this RFP, as well as the outcomes of work performed.
 - i. Proposal must include 3 letters of references and listed as **Appendix E** in the submitted proposal.

2. Service Requirements

- A. Catchment Areas – Respondent will be responsible for all DOC facilities throughout the state.
- B. Location of Offices / Facilities-Respondent can provide services at their offices.
- C. Hours of Operation – Monday – Friday 7 a.m. – 4 p.m.

- D. Target Population – Respondents should include an overview on their ability to conduct utilization management for inmates referred, approved and receiving outpatient specialty services. Services include but not limited to:
- i. Audiology
 - ii. Cardiothoracic Surgery
 - iii. Clinical Neurophysiology
 - iv. Colon/Rectal Surgery
 - v. Dental
 - vi. Dermatology
 - vii. Endodontics
 - viii. ENT
 - ix. Gastroenterology
 - x. Geriatrics
 - xi. Interventional Radiology
 - xii. Nephrology
 - xiii. Neurology
 - xiv. Neuroradiology
 - xv. Neurosurgery
 - xvi. Nuclear Medicine
 - xvii. Ophthalmology Retinal
 - xviii. Oral Pathology
 - xix. Oral Surgery OMFS
 - xx. Pathology
 - xxi. Plastic Surgery
 - xxii. Prosthodontics
 - xxiii. Pulmonary
 - xxiv. Radiation Oncology
 - xxv. Radiology
 - xxvi. Reconstructive Surgery
 - xxvii. Rheumatology
 - xxviii. Speech Therapy
 - xxix. Sleep Study
 - xxx. Surgery Oncology
 - xxxi. Urology
 - xxxii. Vascular Medicine
- E. Number / Types of Clients - Overall, in 2019, over 90% of specialty requests were approved and appointments completed, averaging nearly 800 per month. In 2020, the pandemic has significantly reduced the number of specialty requests and approvals to only 376 per month. The complete data set for 2020 is not yet available for further analysis. Analysis of referrals by specialty for January – December 2019 noted that of the 11,094 specialty requests submitted, 9954 were approved (90%). Commensurate 2020 numbers are not available at this time.
- F. Client Eligibility / Exclusion – Currently all inmates referred for outpatient specialty services in all CTDOC prisons and jails without restrictions. Proposal responses must provide details for eligibility criteria for approved outpatient specialty services and exclusion parameters.
- G. Client Evaluation / Assessment – The initial medical assessment for new and or returning offenders is conducted by a licensed nurse typically prior to being assigned housing. Currently outpatient specialty services are centralized through CTDOC health services staff. Proposal responses should include how respondents will develop and implement policy or practice that evaluates, triages, and prioritize PCP assessments. As well as PCP documentation of recommended and alternative treatment plan in a timely manner.

- H. Treatment Approaches – Respondents will be expected to describe how the National Correctional NCCHC standards will be implemented for timely inmate access to specialty care and that a written summary of assessment, treatment, and follow-up recommendations accompany the inmate upon return to the facility. Standards call for the jail and prison provider to consider and act on recommendations made by a specialist in a timely manner. Where the facility provider opts not to implement the specialist recommendations, the medical record is expected to show consultation with the specialist on an alternative treatment plan.
- I. Program Access / Referral Process - Respondent proposal must indicate how a referral and specialty care system will be implemented that empowers both the primary care team to make appropriate clinical decisions and connects them with needed expertise and a clear method for obtaining that expertise. The system should guide the process that determines which diagnostics and treatments are appropriate to be done in-house. Respondents to the RFP will be expected to detail how they can perform the following:
- i. Develop and establish protocols to prioritize approved specialty visit requests
 - ii. Monitor PCP tracking of incomplete and unseen patient referrals for specialty care.
 - iii. Collect data on specialty care to assist leadership in making informed decisions about PCP training, e-consultation, UM practices, on-site clinics, and more.
 - iv. Integrate a UM process and e-consultation to ensure timely access to care for complex conditions.
- J. Capacity / Waitlist Protocol – Respondents must provide details on how utilization management protocols and principles can reduce the number of waitlisted referrals or waitlist time. The department has processed about a total 30 thousand specialty referrals for appointments since 2018. On average there is up to a 6-month waitlist for inmates to be seen by specialist for consultations. The CTDOC current contractor has provided the following number of appointments across all specialty medical services for DOC inmates:
- i. 2021 5k appointments – (between 115-175 appointments per week)
 - ii. 2020 10k appointments
 - iii. 2019 10k appointments
- K. Culturally Competent Services – Respondents must describe how all services will be provided in a culturally competent manner including offering interpretation and translated written materials to inmate.
- L. Program Collaboration / Coordination – Ideally if compatibility allows, respondent will be expected to interface with CTDOC EHR (GE Centricity) or in conjunction with CTDOC develop a portal to conduct a two-way sharing of information. Proposal should include a description on possible systems (software, cloud systems, shared networks) to achieve electronic access, monitoring and information sharing of specialty referrals and utilization review findings.

3. Staffing Requirements

- A. Staffing Model: Identify the number and type of all staff positions that will be assigned to the proposed services, including an Administrative Liaison, who will serve as the principal contact with CTDOC, responding to CTDOC's requests for status updates and reports.
- B. Indicate whether each position will be newly created or is existing. If the staff that will be assigned are currently employed by the Respondent, include their names and position titles.

- C. Credentials / Licensure: Proposal must include credentials and resumes for each staff that would be listed in the staffing model listed as **Appendix F**.
- D. Required Staff Positions: One full time clinical healthcare professional position with expertise in healthcare utilization review and management, or health policy.
- E. Subcontractors: Use of subcontractors is allowed. Respondent must provide information for any subcontractor that will be used to deliver any service requested in this RFP, and provide a justification for use including subcontractor expertise and staffing and what services will be provided.

4. Work Plan

A responsive proposal must include a comprehensive and realistic work plan. The Work Plan must demonstrate the flow of activities in a logical and sequential manner.

- A. Tasks and Deliverables: Describe what start-up and implementation activities, actions, tasks, and deliverables needed to accomplish providing the identified service, as well as the staff and their related qualifications for those who will be responsible for providing the identified service.
- B. Methodologies: Describe how each service and deliverable will be accomplished, providing a detailed explanation of the procedures or processes that will be used to attain the expected outcomes.
- C. Timetable/Schedule: Include a proposed timetable indicating when each task and deliverables will be accomplished. Identify any significant milestones or deadlines. Timetable/schedule must include the day and time service is to be provided, if applicable.

5. Data and Technology Requirements

- Computer Hardware / Software – The respondent's proposal must include information on their IT infrastructure and security. If applicable the ability to interface with CTDOC EHR GE Centricity.
- E-Mail / Internet Capability- The proposal must indicate the Respondent's capability to access the internet, send/receive outside email and view PDF documents.
- Records / Data Collection / Reporting – Respondent must describe staff capability to utilize data gathering and analysis software such as Microsoft Excel, Access Databases and Atlas TI to conduct trending, forecasting, utilization and quality assurance analysis.

6. Budget Requirements

- A. The Respondent must include a budget narrative detailing direct and indirect costs and expenditures itemized in the budget forms. The narrative also must include a rationale for use of subcontractors.
- B. The Respondent must submit itemized budget for staffing and administrative costs listed as **Appendix G** in the proposal.
- C. Period of Award: 3 year contract with one 2 year renewal
- D. Program funding source: State funds
- E. Total Available Funding: TBD

■ D. PERFORMANCE MEASURES

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

1. Respondent proposal must include a description on how performance measures and standards will be used to drive protocol development and tracking. Respondents are encouraged to include additional national and correctional measures in addition to those listed below that will be applicable in ensure measures are met and quality of care is increased.

- i. **Process Performance Measures:**

1. Specialty care is ordered and provided based on patient need as determined by the treating provider.
 2. Specialty care that is ordered and approved is to be completed in a timely manner.

- i. **Utilization Metrics:**

1. Number of requests submitted per specialty service
 2. Number requests containing insufficient information to be processed
 3. Number of requests approved
 4. Timeliness metrics – request priority defined by number of days/weeks till recommended service VS actual time from submission to completed service

- ii. **Standards to Address:**

1. NCCHC Policies - Hospital and Specialty Care
 2. NCCHC Jail Standards 2018 - J-D-08
 3. NCCHC Prison Standards 2018 - P-D-08
 4. ACA-ACI (Prison) - 5-ACI-6A-08 (M) and 5-ACI-6D-06

■ E. CONTRACT MANAGEMENT/DATA REPORTING

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

1. The Respondent will be required to submit quarterly utilization and metric reports. The proposal should include a description on how reports are generated, including and programming software used to conduct data analysis and provide a rationale on how reporting can contribute to continuous performance and quality improvement.

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 is Page 1 of the proposal. Proposers must complete and use the Cover Sheet form provided by the Department as **FORM # 1**.
3. **Table of Contents.** All proposals must include a Table of Contents that conforms with the required proposal outline.
4. **Executive Summary.** Proposals must include a high-level summary, not exceeding 1 page, of the main 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. THIS IS AN ELECTRONIC SUBMISSION.**

Submitted proposals must conform to the following specifications:

- Paper Size: Standard Letter
 - Font Size: 12
 - Font Type: Times New Roman
 - Margins: One inch (1")
 - Line Spacing: Single Space
 - Page limit: No page limit
7. **Pagination.** The proposer's name must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.
 8. **Declaration of Confidential Information.** Proposers are advised that all materials associated with this procurement are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations and interpretations resulting from them. If a proposer deems that certain information required by this RFP is confidential, the proposer must label such information as CONFIDENTIAL prior to submission. In subsection **F. Confidential Information** of the proposal submission, the proposer must reference where the information labeled CONFIDENTIAL is located in the proposal. *EXAMPLE: Section G.1.a.* For each subsection so referenced, the proposer must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the proposer that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).

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

■ B. EVALUATION OF PROPOSALS

- 1. Evaluation Process.** It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful proposers, and awarding contracts, the 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 of Correction Commissioner will make the final selection. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Review Committee may result in disqualification of the proposer.
- 3. Minimum Submission Requirements.** To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the Proposal Format requirements; (3) 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.

Criteria	Possible Points
Organizational Profile	10
Service requirements	30
Staffing requirements	10
Data Technology	10
Work Plan requirements	20
Budget requirements	20
Appendix	5
Total Possible Points	105

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

- 5. Proposer Selection.** Upon completing its evaluation of proposals, the Review Committee will submit the rankings of all proposals to the Department head. The final selection of a successful proposer is at the discretion of the Department head. Any proposer 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 proposers will be notified by e-mail or U.S. mail, at the Department's discretion, about the outcome of the evaluation and proposer 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 proposers may contact the Official Contact and request information about the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the ten (10) days. If unsuccessful proposers still have questions after receiving this information, they may contact the Official Contact and request a meeting with the 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.** Proposers may appeal any aspect the Department's competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Department head. A proposer may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful proposers about the outcome of the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. The filing of an appeal shall not be deemed sufficient reason for the 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. 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. REQUIRED 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. While the proposal outline is standard, the information requested from proposers will vary by RFP, depending of the Department's procurement requirements.*

A. Cover Sheet

B. Table of Contents

C. Executive Summary

D. Main Proposal

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

F. Declaration of Confidential Information

G. Conflict of Interest - Disclosure Statement

H. Statement of Assurances

A: Cover Sheet

The Respondent must use the Cover Sheet listed as **FORM #1**.

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

B: Table of Contents

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

C: Executive Summary

The page limitation for this section is one (1) page 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.

D: Main Proposal Submission Questions

All appendices and other attachments should be referred to in section D and then placed in section E.

4.1 Strengths and Qualifications of Agency & Staff

Organization Description and History: Provide a general overview of your organization including its history and prior experiences providing the relevant services indicated in this RFP. Overview should include the following areas:

- a. Purpose, Mission, Vision, Values.
- b. Entity Type / Parent Organization / Years of Operation
- c. Location of Offices / Facilities
- d. Functional Organization
- e. Current Range of Services / Clients
- f. Qualifications
- g. Relevant Experience
- h. Accreditation / Certification / Licensure.
- i. References

4.2 Scope of Services

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

Application Target Population: Proposal should detail respondent's capacity to perform utilization review, management and policy development of CTDOC inmates being referred and received outpatient specialty services.

- a. Service Capacity / Delivery Plan / Systems / Processes / Protocols
- b. Quality Assurance Protocols
- c. Administrative Support

4.3 Staffing Plan

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

- a. Key Personnel / Managers
- b. Staffing Levels & Qualifications
- c. Job Descriptions

4.4 Data and Technology

The purpose of this subsection is to gather information about the proposer's information management and performance measurement systems. The specifics of the information requested are left to the Department's discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a. E-Mail / Internet Capabilities
- b. IT Infrastructure / Hardware & Software Quality
- c. Data Collection / Storage / Reporting

4.5 Subcontractors

The purpose of this subsection is to gather information about the administrative and operational capabilities of each such subcontractor and what services they will be providing. Proposal should include the following:

- a. Legal Name of Agency, Address, FEIN
- b. Contact Person, Title, Phone, Fax, E-mail
- c. Services Currently Provided
- d. Services To Be Provided Under Subcontract
- e. Subcontractor Oversight
- f. Subcontract Cost and Term

4.6 Work Plan

The purpose of this section is for the proposer to explain the tasks, participants, time estimates, and schedule for providing the purchased service. to the following:

- a. Start Date
- b. Timetable / Schedule.
- c. Tasks, Deliverables
- d. Methodologies.

4.7 Cost Competitiveness and Budget Narrative

The purpose of this subsection is to gather information about how the proposer developed the proposed budget and cost allocations. The specifics of the information requested are left to the Department's discretion. Possible areas of inquiry may include, but are not limited, to the following:

- a. Narrative
- b. Line Item Budget Form
- c. Subcontractor Costs

E: Attachments

Attachments other than the required attachments identified are not permitted and will not be evaluated. See the Proposal Checklist in **Appendix C** 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.

- a. FORMS

F: Declaration of Confidential Information

If a proposer deems that certain information required by this RFP is confidential, the proposer must label such information as CONFIDENTIAL prior to submission. The proposer must reference where the information labeled CONFIDENTIAL is located in the proposal.

EXAMPLE: Section G.1.a. For each subsection so referenced, the proposer must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the proposer that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).

G: Conflict of Interest – Disclosure Statement

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

H: Statement of Assurances

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

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, proposer 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.

■ A. POS STANDARD CONTRACT, PARTS I AND II

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

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

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

Note:

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

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

■ B. ASSURANCES

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

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

directly in the preparation of the proposer's proposal. The proposer also represents and warrants that the submitted proposal is in all respects fair and is made without collusion or fraud.

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

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

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

- 1. Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the 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 proposer who submits a proposal after the submission date and time.
- 5. Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.
- 6. Contract Negotiation.** The 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 proposer for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFO) on cost from proposers. 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 proposer and subsequently awarding the contract to another proposer. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the proposer.
- 8. Key Personnel.** When the 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 proposer'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 proposer implicitly agrees to comply with all applicable State and federal laws and regulations, including, but not limited to, the following:

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

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

- 2. Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to 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
IMPORTANT NOTE: A proposer 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 proposer is awarded an opportunity to negotiate a contract with an anticipated value of \$50,000 or more in a calendar or fiscal year, the proposer 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
IMPORTANT NOTE: The successful proposer 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 proposer is awarded an opportunity to negotiate a contract, the proposer must provide the Department with *written representation* or *documentation* that certifies the proposer 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

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

VI. APPENDIX

A. ABBREVIATIONS / ACRONYMS / DEFINITIONS

Modify this subsection, as necessary, to meet the Department's procurement requirements. DO NOT DELETE the definitions of contractor, proposer, prospective proposer, or subcontractor.

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

- *contractor*: a private provider organization, CT State agency, or municipality that enters into a POS contract with the Department as a result of this RFP
- *proposer*: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP
- *prospective proposer*: 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
- *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 Correction

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 the Respondent or any official of the subcontractor organization has received any notices of debarment or suspension from contracting with the State of CT or the Federal Government.
- e. Neither the Respondent or any official of the organization nor any subcontractor to the Respondent or any official of the subcontractor's organization has received any notices of debarment or suspension from contracting with other states within the United States.

Legal Name of Organization:

Authorized Signatory

Date

C. PROPOSAL CHECKLIST

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

Key Dates

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

Registration Link for Pre-bid Conference:

Insert link if applicable (or details of physical meeting)

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

- Register at: <https://portal.ct.gov/DAS/CTSource/Registration>
- 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 pages in length
- ☐ **Main proposal body answering all questions with relevant attachments.**
Proposers should use their discretion to determine whether certain required information is sufficiently captured in the body of their proposal or requires additional attachments for clarification. Additional attachments may include (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
 - Letter of References
- ☐ **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 proposer's name appear in the header of each page?
- ☐ Does the proposal include page numbers in the footer?
- ☐ Are confidential labels applied to sensitive information (if applicable)?

Letter of Intent

Return to:

Name: Salina Hargrove
Address: Connecticut Department of Correction
24 Wolcott Hill Road
Wethersfield, CT 06109
Phone: 860-692-6837
Fax: 860 692-7576
Email: DOC.RFP@ct.gov

Include: LOI in the subject line

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 Organization Name

Telephone Number

Mailing Address

Town, State

Zip Code

Contact Person:

Name

Title

Mailing Address

Town, State

Zip Code

Telephone Number

Fax Number

Email Address

Person Authorized to Sign Contract:

Name

Title

Signature

Date

**STATE OF CONNECTICUT
DEPARTMENT OF CORRECTION
COVER SHEET**

RFP NAME: Inmate Medical Services – Utilization Management
RFP NUMBER #:

Organization:

Primary Business Name

FEIN/SSN# & DUNS# & CFDA#

Business Address

Telephone Number

Town, State

Zip Code

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

Name

Title

Street Address

Town, State, Zip Code

Telephone Number

Facsimile Number

E-mail Address

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

Name

Title

Street Address

Town, State, Zip Code

Telephone Number

Facsimile Number

E-mail Address

Signature

Total Amount of Proposal: _____

Acknowledgement of Contract Compliance
Notification to Bidders

The contract to be awarded is subject to contract compliance requirements mandated by Section 4-114a of the Connecticut General Statutes: and when the guarding agency is the state, Section 46a-71(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 4-11a-1 et seq. of the regulations of Connecticut State Agencies which establish a procedure for the awarding of all contracts covered by Sections 4-114a and 46a-71(d) of the Connecticut General Statutes.

According to Section 4-114a-3(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, Respondent(s), subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4-114a 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 the daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprises; and (3) who are members of a minority, as such term is defined in sub-section (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans... (2) Hispanic American... (3) Women...(4) Asian Pacific Americans and Pacific Islanders; or (5) American Indians...” The above definitions apply to the contract compliance requirement virtue of Section 4-114a-1 (10) of the Contract Compliance Regulations.

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

- (a) the proposer’s success in implementing an affirmative action plan;
- (b) the proposer’s success in developing an apprenticeship program complying with Sections 46a-68-17 of the Connecticut General Statutes, inclusive;
- (c) the proposer’s promise to develop and implement a successful affirmative action plan;
- (d) the proposer’s submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and
- (e) the proposer’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 4-11a-3(10) 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



STATE OF CONNECTICUT

GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

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), as amended by Public Act 07-1

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 on each anniversary date of a multi-year contract, if applicable).

CHECK ONE: ☐ Initial Certification ☐ Annual Update (Multi-year contracts only.)

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 an Annual 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) "Planning Start Date" is the date the State agency began planning the project, services, procurement, lease or licensing arrangement covered by this Contract, as indicated by the awarding State agency below; and
- 7) "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 the official authorized to execute the Contract on behalf of the Contractor. I hereby certify that, between the Planning Start Date and Execution Date, neither the Contractor nor any Principals or Key Personnel has made, will make (or has promised, or offered, to, or otherwise indicated that he, she or it will, make) any **Gifts** to any Applicable Public Official or State Employee.

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:



STATE OF CONNECTICUT

GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

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

Signature of Authorized Official

Subscribed and acknowledged before me this _____ day of _____, 20____.

Commissioner of the Superior Court (or Notary Public)

For State Agency Use Only

Awarding State Agency

Planning Start Date

Contract Number or Description

WORKFORCE ANALYSIS

Contractor Name: _____

Total number of CT employees: _____

Address: _____

Full-time: _____ Part-time: _____

Complete the following Workforce Analysis for employees on Connecticut work sites who are:

JOB CATEGORIES	OVERALL TOTALS (SUM OF ALL MALE & FEMALE)	WHITE (NOT OF HISPANIC ORIGIN)	BLACK (NOT OF HISPANIC ORIGIN)	HISPANIC	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE	PEOPLE WITH DISABILITIES
M-MALE F-FEMALE	M / F	M / F	M / F	M / F	M / F	M / F	M / F
Officials & Managers		/	/	/	/	/	/
Professionals		/	/	/	/	/	/
Technicians		/	/	/	/	/	/
Sales Workers		/	/	/	/	/	/
Office & Clerical		/	/	/	/	/	/
Craft Workers (skilled)		/	/	/	/	/	/
Operative (semi-skilled)		/	/	/	/	/	/
Laborer (unskilled)		/	/	/	/	/	/
Service Workers		/	/	/	/	/	/
TOTALS - ABOVE		/	/	/	/	/	/
TOTALS ONE YEAR AGO		/	/	/	/	/	/
FORMAL, ON-THE-JOB TRAINEES (Enter figures for the same categories as shown above.)							
Apprentices		/	/	/	/	/	/
Trainees		/	/	/	/	/	/
EMPLOYMENT FIGURES WERE OBTAINED FROM: _____ VISUAL CHECK; _____ EMPLOYMENT RECORDS; _____ OTHER:							

1. Have you successfully implemented an Affirmative Action Plan? Yes ____ No ____
 Date of implementation _____ If the answer is "NO", explain _____

1a. Do you promise to develop and implement a successful Affirmative Action Plan?
 Yes ____ No ____ Not Applicable ____ Explanation: _____

2. Have you successfully developed an apprenticeship program complying with Sec. 46a-68-1 to 46a-68-17 of the Connecticut Department of Labor Regulations, inclusive: Yes ____ No ____ Not Applicable ____ Explanation: _____

3. According to EEO-1 data, is the composition of your work force at or near parity when compared with the racial and sexual composition of the work force in the relevant labor market area? Yes ____ No ____ Explanation: _____

If you plan to subcontract, will you set aside a portion of the contract for legitimate minority business enterprises?
 Yes ____ No ____ Explanation: _____

As part of the Department of Correction's commitment to Affirmative Action all contractors must provide the information necessary to evaluate them as part of the contract process. The criteria are established by law.

The Department will not knowingly do business with any contractor, subcontractor, bidder, grant applicant, or supplier of materials who does not actively support this commitment.

 Contractor's Authorized Signature

 Date

AFFIDAVIT FOR CERTIFICATION OF SUBCONTRACTORS
as MINORITY BUSINESS ENTERPRISES (MBE)
(to be completed only for subcontractors not certified as MBE's
by the Department of Administrative Services)

To document the •good faith efforts• of the below named state contractor to include minority business enterprises as subcontractors (for services and/or material suppliers) on the state contract also identified below, I certify that the following subcontractors meet the criteria for minority business enterprises set forth in CONN. GEN. STAT. §4a-60(b). I attest that each named minority business enterprise will be contracted by the named state contractor to participate on the identified state contract as a subcontractor.

The subcontractors being identified to be bona fide minority business enterprises are:

Subcontractor Name	Complete Address	Subcontractor's Principal Officer's Name

(use additional sheets as necessary)

I further certify and affirm that I have read and understand the contract compliance requirements codified at CONN. GEN. STAT. Sections 4a-60 & 46a-71(d), and the Contract Compliance Regulations codified at Sections 46a-68j-21 through 43 of the Administrative Regulations of Connecticut State Agencies. I also understand that any false statements made herein are punishable by law.

state contractor legal name

type full printed name and title of official submitting
this affidavit on behalf of contractor

state contract number

signature of official

Department of Correction

 state contract awarding agency

date of affidavit

Subscribed and sworn to before me, this ____ day of _____ 20 ____

Notary Public/Commissioner of the Superior Court
 My Commission expires _____