STATE OF CONNECTICUT PROCUREMENT NOTICE

Request for Proposals (RFP) For

Inmate Medical Services-Dental Services

RFP Name: 2021DOC-IMSDEN-RFPSH

Issued By:

Department of Correction

September 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:

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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

November 19, 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-IMSDEN-RFPSH**

2. **Executive Summary.** The Department provides access to dental and periodontal care to inmates, upon intake admission or transfer to a CTDOC facility inmates are provided with information on available dental services and the procedure for accessing the service. Within seven days of admission to a CTDOC facility each newly admitted inmate shall receive a dental screening consisting of a visual observation of the teeth and gums by appropriately trained health services staff. After the dental screening is completed each inmate shall receive instruction regarding routine care or referral for urgent care as appropriate. An initial dental examination is provided to each newly admitted inmate within three (3) months of admission. The Department seeks to secure Oral Health and Oral Maxillofacial Surgery services by qualified professionals in accordance with American Dental Association (ADA) and American Association of Oral and Maxillofacial Surgeons (AAOMS) guidelines.

3. **RFP Purpose.** The purpose of the RFP is to solicit proposals to contract with a temporary employment agency for medical professionals consisting of experienced licensed Dentists and Oral Maxillofacial Surgeons and or dental/oral surgeon clinics and practices to provide General Dentistry and Maxillofacial Surgery services to inmates.

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

   85000000 Healthcare Services
   85121600 Medical Doctor Specialist Services
   - 85121609 Surgery Services

   85122000 Dental Services
   - 85122001 Dental Services
     85122004 Oral Surgeon 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: 860-694-6837
E-Mail: Salina.Hargrove@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 in order to respond to this RFP via the CT Source Bid Board which is a requirement of this RFP.

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: September 1, 2021
   - RFP Conference: Not Applicable
   - Letter of Intent Due: September 22, 2021 3pm EST
   - Deadline for Questions: October 13, 2021 3pm EST
   - Answers Released: October 29, 2021 3pm EST
   - Proposals Due: November 19,2021 3pm EST
   - (*) Proposer Selection: TBD
   - (*) Start of Contract Negotiations: TBD
   - (*) Start of Contract: TBD

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: To be determined
   - Number of Awards: Up to 4 or more (1 for each region)- Dependent upon responses
   - Contract Cost: Dependent upon responses
   - Contract Term: 3 year contract
   - Funding Source: State funds

6. **Eligibility.** Staffing agency for dentist and oral surgeons. Dental and or Oral Surgeon providers/practices/clinics. This RFP is not for Dental Hygienists or Assistants.

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

   - Current active Connecticut licensure for DMD, DDS
   - Current active Connecticut licensure for dental office practice and oral/maxillofacial surgery practice/clinic
   - Current and active DEA registration and Connecticut control substance certificate
   - Oral surgeons must be Board Certified in Oral and Maxillofacial surgery
   - Current and active CPR certification
   - Infection Control, Risk Management and OSHA training within the last 24 months
   - Available at minimum 6-month employment term contract for providers hired by temporary staffing agency

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. Respondents must use the LOI form located in **Appendix D** and submit via email to the address listed under the Official Contact.

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/Questions. An RFP conference **will not** be held to answer questions from prospective proposers.

All RFP questions must be submitted in a written format through the CT Source Solicitation Board at https://portal.ct.gov/DAS/CTSource/BidBoard to the solicitation by the due date listed in the RFP Procurement Schedule on page 4 of this document.

Answers to questions will be provided in written format as an Addendum to this RFP, which will be uploaded to the CT Source Solicitation Board under the solicitation Addendum documents section labeled **Addendum #: Answers to RFP Questions**.

This Addendum will serve as the Department's official response to questions submitted by **Respondents that submitted a Letter of Intent (LOI)** and written questions by the due dates listed in the RFP Procurement Schedule on page 4 of this document.

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 Solicitation Board and on the Department's RFP Web Page at https://portal.ct.gov/DOC/Common-Elements/Common-Elements/RFP .

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** an option for this procurement. Respondents can submit separate proposals for each service which must be identified on the cover page. One proposal may be submitted for both services, which all required information of the components of the RFP must be provided for each service.

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 strives to provide 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 8,990 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 of 4,958 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-Polices-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. 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

A CTDOC staff dentist assigns each inmate a dental classification score to identify the inmate's oral health status and shall document the classification in the health record. Classification scores are as follows:

A. Class 1. No treatment needed;
B. Class 2. Treatment required, not urgent;
C. Class 3. Treatment required, urgent;
D. Class 4. Emergency treatment required; and,
E. Class 5. Treatment requiring approval of the Utilization Review Committee

CTDOC conducts visual screenings of inmates to determine the level of care appropriate for the oral health needs by the following:

1. **Routine Care.** If the dental screening identifies only routine dental needs, the inmate shall be instructed to submit a written request for Dental Sick Call.

2. **Urgent Care.** If the screening identifies a priority and/or painful dental condition, health-screening personnel shall immediately refer the inmate for a dental examination. If the screening and assessment indicates that a dental condition is identified as a priority treatment need, the dental examination shall be conducted within the first 72 hours of admission. Transfer to a community dental health care facility for emergency care shall be provided when determined by the dentist to be necessary.

The contracted oral care provider shall provide inmates with oral care services including but not limited to:

1. **Dental Examination**. The dental examination shall include an assessment based upon a review of intake health screening information, health record documentation, dental health history, pertinent laboratory studies, including HIV status and an oral examination including teeth, gums, and soft and hard tissue with radiographic and other studies, as appropriate.

2. **Diagnostic Services.** Diagnostic services including radiographs and oral examinations.

3. **Preventive Services.** Preventive services including prophylaxis and oral hygiene instruction.

4. **Restorative Services.** Restorative services including permanent fillings and temporary fillings. Restorative services shall be limited to teeth with stable structural integrity as determined by appropriately trained and licensed health services staff.

5. **Endodontic Services.** Endodontic services shall include root canal and/or Apioectomy.

6. **Removable Prosthodontics**. Removable prosthodontic (an artificial structure made by or under the supervision of a dentist to replace a full or partial set of teeth) services, including construction and/or replacement, relining/re-basing or repair as determined by appropriately trained and licensed health services staff.

7. **Dental Surgical and Outpatient Procedures**. Dental surgical procedures and outpatient dental procedures must be approved by the Utilization Review Committee. All inmates upon whom oral surgery is performed shall be instructed on how to dispose of gauze used to stop bleeding to avert the transmission of bloodborne pathogens.

8. **Treatment Plans**. An individualized treatment plan shall be developed by the contracted provider for each inmate with a dental condition requiring close dental supervision, prior to the initiation of treatment.

9. **Dental Emergency Services**. The contracted provider will be responsible for providing emergency care within X amount of time of referral, or be on call X amount of days and times.

10. **Off-Site Dental Referral**. If the contracted provider determines that an inmate requires a level of dental care beyond that which can be provided within the Department of Correction facility, then the provider shall make a referral to the Utilization Review Committee for review and approval for off-site care.

The Contractor maybe be responsible for providing care and treatment to those who are known HIV infected. CTDOC will refer a known HIV infected inmate to be examined by the facility dentist within three (3) to seven (7) days for HIV related dental conditions.

CTDOC will be responsible for all maintenance of radiology equipment, radiation protection equipment for staff and inmates. All dental x-ray units are registered with the Department of Environmental Protection. CTDOC has annual inspection and calibration of all of it's medical and dental X-ray machines.

All health services/dental services personnel working in DOC dental units comply with the Occupational Safety and Health Administration, Occupational Exposure to Bloodborne Pathogens guidelines during the delivery of dental services, the contracted provider will be expected to adhere to the guidelines as well. CTDOC will be responsible for providing all supplies including dental instruments, medical supplies and supplies associated with providing oral health services and oral surgery services.

C. SCOPE OF SERVICE REQUIREMENTS

1. Organizational Requirements

A. Executive Summary: Proposal must include a high level summary, not exceeding one (1) page of the Respondents experience with providing the requested services.

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 in the proposal.

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: 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 indicated in the Staffing Plan of this proposal and the licensure/certifications obtain by the organization shall be provided listed as **Attachment 1** in the submitted proposal.

E. References: Responses must include a description of past or existing work performed providing similar services requested in this RFP, as well as the outcomes of worked performed.

i. Proposal must include 3 letters of references and listed as **Attachment 2** in the submitted proposal.

2. Scope of Service Requirements

A. Catchment Areas – The Department is looking for provider(s) that can provide statewide and or regional coverage in relation to CTDOC facilities as indicated in the regional map in **Attachment I**. The Respondent's proposal must indicate whether they can provide statewide or regional coverage.

B. Location of Offices / Facilities – The proposal must indicate the Respondent's office locations where they proposed to offer services based on the CT DOC facility map located in **Appendix I.** The proposal must indicate if the Respondent can provide Dental Services and Oral Surgery onsite at the following CTDOC facilities:
   i. Corrigan Correctional Institution located at 986 Norwich-New London Turnpike
      Uncasville, CT 06382
   ii. Wiilard-Cybulski Correctional Institution located at 391 Shaker Road Enfield, CT 06082
   iii. Carl Robinson Correctional Institution located at 285 Shaker Road, Enfield, CT 06082
C. Hours of Operation – Between the hours of 7 a.m. – 3:00 p.m. Respondent must indicate hours in which services will be conducted.
D. Target Population – Adult and juvenile population.
E. Number of Inmate Needing Services – The proposal must include a narrative stating the number of general dentistry and oral surgeon appointments that will be provided in order to meet and increase the current appointment capacity. As well as provide a Workplan, using the format described in Section 4 of this RFP to described detailed activities.
   iv. General Dentistry- currently 10 providers working 4 days a week, seeing 40 inmates per day/200 inmates seen per week statewide.
   v. Oral Surgery-current provider averages 10 appointments per month
F. Eligibility / Exclusion – Respondent will be responsible for providing services to inmate population in both CTDOC prisons and jails.
G. Emergency Treatment – The contracted provider will be responsible for providing prevention maintenance and acute dental care including examinations and diagnosing oral conditions. The proposal must indicate the Respondent's ability to offer emergency care or on-call services for emergency treatment.
H. Approaches – Respondent must provide services in accordance with the American Dental Association (ADA) and the American Association of Oral and Maxillofacial Surgeons (AAOMS) clinical guidelines.
I. Backlog Appointments– The proposal must include in a narrative on how the number of waitlisted inmate appointments for services will be reduced, and include the detailed activities in the Workplan, using formatting described in Section 4 of this RFP.
   i. General Dentistry – 3000
   ii. Oral Surgery - 100
J. Scheduling/ Coordination – Respondent will work with CTDOC facility and scheduling staff to coordinate appointments for services. Contracted staff will be working in conjunction with CTDOC Dentists and Dental Hygienists.
K. Basic Dental Services – The proposal must describe the Respondent's ability to provide contracted providers that can perform routine dental services such as the following:
   i. Operative and prosthetic dentistry,
   ii. Exodona and Periodona,
   iii. Prophylaxis;
   iv. Consult with physicians in order to aid in medical diagnoses by investigating possible foci of dental and oral infections which might affect physical condition of inmate;
   v. Radiology, request laboratory tests and x-rays;
   vi. Prescribe and administers drugs;
   vii. Responds to dental emergencies

viii. Educate inmates and staff on importance of good oral health and dental services offered by facility;
ix. Participate in instruction of dental residents and dental assistant students

L. Oral Surgery - Proposal must describe the Respondent's ability to provide contracted providers that can perform the following services:
i. Operative and prosthetic dentistry,
ii. Anesthesia Administration
iii. Dentoaveolar Surgery
iv. Dental Implants
v. Surgical Correction of Maxillofacial Skeletal Deformities
vi. Orthognathic Surgery
vii. Cleft and Craniofacial Surgery
viii. Treatment for Maxillofacial Trauma
ix. Management of the Temporomandibular Joint
x. Treatment and management of Pathologic Conditions
xi. Reconstructive Surgery

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.
   i. 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.
   ii. Resumes must be included in the proposals and labeled at **Attachment 3.**

B. Required Staff Positions: Full time Dentist and Oral Surgeon.

C. Subcontractors: The proposal must indicate if any subcontractors will be used to provide any aspect of services required in this RFP, as well as a rationale for the use of the subcontractor.

4. Workplan

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. Financial Requirements

A. Malpractice Insurance Certification: Respondent must provide documentation of an active policy for no less than $500,000 for one person, per occurrence, with an aggregate of not less than $1.5 million per C.G.S. 20-11b(a) listed as **Attachment 4** in submitted proposal.

6. Budget Requirements

A. The Respondent must include a budget narrative detailing direct and indirect costs

and expenditures itemized in the budget forms.

B. The Respondent must submit an itemized budget using the budget form in **Appendix G** for the following:
   i. Direct Costs – Salary & Fringe
   ii. Indirect Costs (includes Administrative fees, insurance etc..)
   iii. Travel costs
   iv. Any other costs associated with provided direct services not listed

C. Subcontractor Cost Schedules if applicable using the budget forms in **Appendix H**.

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 in the **Appendix E**.

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.

9. **Declaration of Confidential Information.** Proposers are advised that all materials associated with this procurement are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations and interpretations resulting from them. If a proposer deems that certain information required by this RFP is confidential, the proposer must label such information as CONFIDENTIAL prior to submission. In subsection **G. Conflict of Interest - Disclosure Statement,** as indicated in section **IV. REQUIRED PROPOSAL SUBMISSION OUTLINE** the of the proposal submission, the proposer must reference where the information labeled CONFIDENTIAL is located in the proposal. *EXAMPLE: Section G.1.a.* For each subsection so referenced, the proposer must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the proposer that would result if the identified

information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).

10. **Conflict of Interest - Disclosure Statement.** Proposers must include a disclosure statement concerning any current business relationships (within the last three (3) years) that pose a conflict of interest, as defined by C.G.S. § 1-85. A conflict of interest exists when a relationship exists between the proposer and a public official (including an elected official) or State employee that may interfere with fair competition or may be adverse to the interests of the State. The existence of a conflict of interest is not, in and of itself, evidence of wrongdoing. A conflict of interest may, however, become a legal matter if a proposer tries to influence, or succeeds in influencing, the outcome of an official decision for their personal or corporate benefit. The 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.

3. **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	20
Budget requirements	20
Data Technology	10
Appendix	10
Total Possible Points	100

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 - Page 1 of proposal.

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

1. **Organization Description and History***:* Provide a general overview of your organization including its history and prior experiences providing the relevant key services required in this RFP.
2. **Scope of Service Requirements:** Provide responses on how services will be performed in the manner required as indicated in this RFP.
3. **Staffing Plan**: Provide information about the quality and quantity of personnel that is intended to be providing services under the contract.
4. **Data and Technology:** Information on the Respondent's computer system infrastructure and capability to secure confidential information received by CTDOC, and access such information to conduct inmate death reviews.
5. **Subcontractors**: Provide information on the use of subcontractors, if applicable.
6. **Financial Requirements:** Submission of Malpratice Insurance.
7. **Budget Requirement:** Proposal must have a budget narrative that provides information on the costs associated with providing services, including itemized budgets using budget forms provided in **Appendix F and G**.

E. Attachments: (Clearly referenced to summary and main proposal where applicable.) Attachments other than the required attachments identified are not permitted and will not be evaluated. Further, the required attachments must not be altered or used to extend, enhance, or replace any component required by this RFP. Failure to abide by these instructions may result in disqualification. The following attachments are required with proposal submission of this RFP:

1. Statement of Assurances - Appendix B
2. Proposal Checklist – Appendix C
3. Letter of Intent – Appendix D
4. Cover Sheet - Appendix E
5. Gift Campaign Certification – Appendix F
6. Budget Forms – Appendix G
7. Subcontractor Budget – Appendix H

8. CTDOC Facility Regional Map – Attachment I
9. Licenses/Certifications –Attachment 1
10. Letters of References – Attachment 2
11. Resumes – Attachment 3
12. Certificate of Malpractice Insurance – Attachment 4

F. 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. Declaration of 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).

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 A.**

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

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 with the proposal.

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

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

APPENDIX 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 of any official of the organization nor any subcontractor the Respondent of 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 of any official of the organization nor any subcontractor to the Respondent of 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

APPENDIX 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

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

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**

☐ **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

☐ **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 single 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 –
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: _____

OPM Form 1

STATE OF CONNECTICUT
CAMPAIGN CONTRIBUTION CERTIFICATION

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

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any 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 submission of your bid or proposal (if no bid or proposal– submit this completed form with the earliest submittal of any document to the state or quasi-public agency prior to the execution of the contract), and if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier.

Check One:

☐ **Initial Certification**

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

CAMPAIGN CONTRIBUTION CERTIFICATION:

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

Lawful campaign Contributions to Candidates for Statewide Public Office include:

Contribution Date	Name of Contributor	Recipient	Value	Description

Lawful Campaign Contributions to Candidates for the General Assembly:

Contribution Date	Name of Contributor	Recipient	Value	Description

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

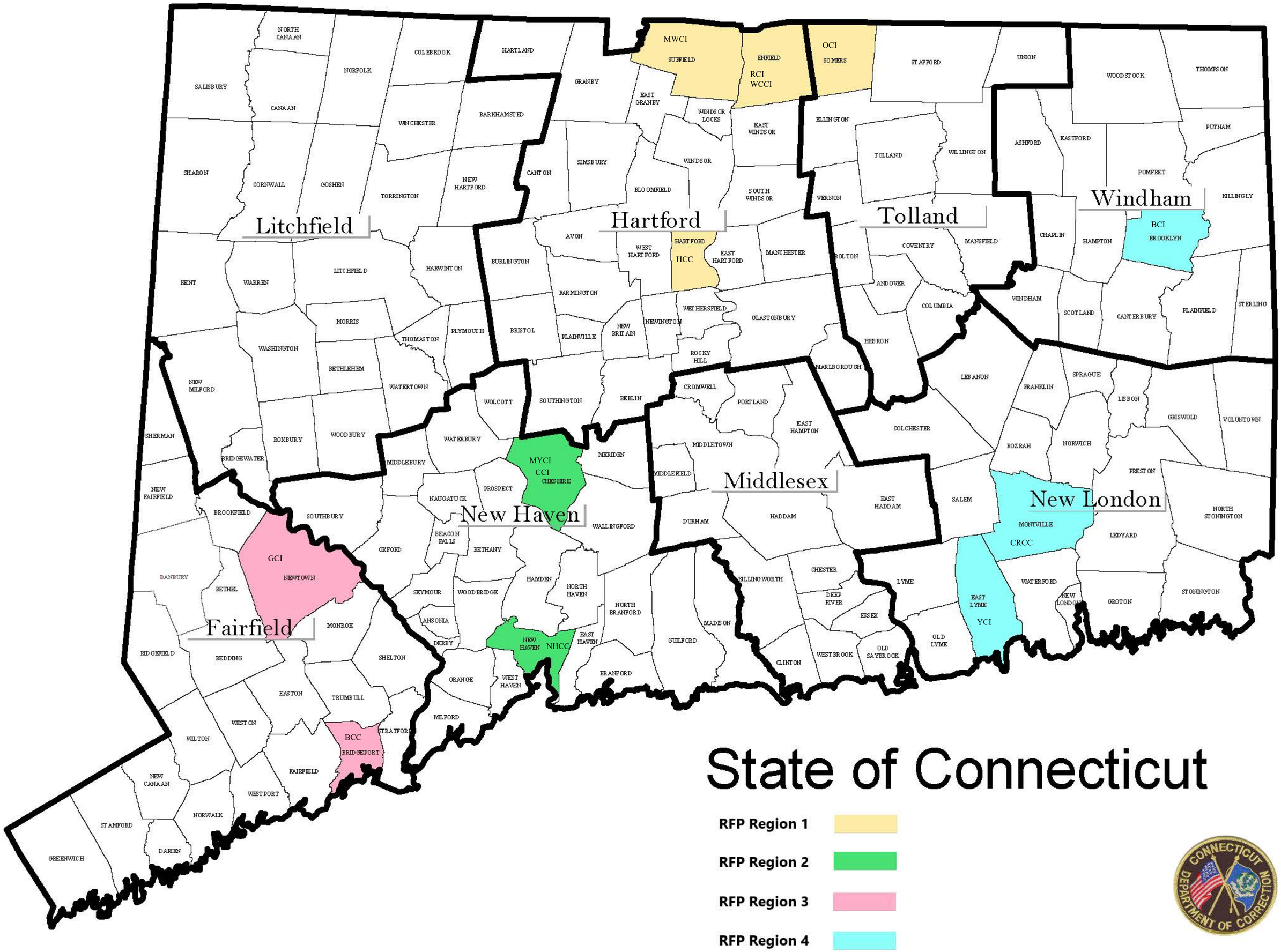
Subscribed and acknowledged before me this ___ day of _____, 20___.

_____

Commissioner of the Superior Court (or Notary Public)

My Commission Expires: _____

APPENDIX I



State of Connecticut

RFP Region 1

RFP Region 2

RFP Region 3

RFP Region 4

RFP Regions

RFP Region 1	Address	County
Hartford CC	177 Weston Street Hartford, CT 06120	Hartford
MacDougall-Walker CI	1153 East Street, South Suffield , CT 06080	Hartford
Osborn CI	335 Bilton Road, Somers, CT 06071	Tolland
Robinson CI	285 Shaker Road, Enfield , CT 06082	Hartford
Willard-Cybulski CI	391 Shaker Road Enfield , CT 06082	Hartford

RFP Region 2	Municipality	County
Cheshire CI	900 Highland Avenue Cheshire , CT 06410	New Haven
Manson YI	42 Jarvis Street Cheshire, CT 06410	New Haven
New Haven CC	245 Whalley Avenue New Haven, CT 06511	New Haven

RFP Region 3	Municipality	County
Bridgeport CC	1106 North Avenue Bridgeport, CT 06604	Fairfield
Garner CI	50 Nunnawauk Road, Newtown, CT 06470	Fairfield

RFP Region 4	Municipality	County
Brooklyn CI	59 Hartford Road Brooklyn , CT 06234	Windham
Corrigan-Radgowski CC	986 Norwich-New London Turnpike Uncasville, CT 06382	New London
York CI	201 West Main Street Niantic, CT 06357	New London