

ADDENDUM #1

ANSWERS TO QUESTIONS

CTDOC OUTPATIENT SPECIALTY SERVICES – UTILIZATION MANAGEMENT RFP # 2021DOC-IMSUM-RFPSH

1. **Question:** What is the anticipated level of state appropriations for this contract?
A: TBD. Unknown at this time.
2. **Question:** How many contractors does DOC anticipate using to fulfill this contract?
A: TBD. Unknown at this time.
3. **Question:** "Page 15 and Page 32, Sec. 6. Style Requirements and Formatting Checklist - RFP Text: "Line Spacing: Single Space" and "Does the proposal format follow normal (1 inch) margins and 1 ½ line spacing?"
A: Yes
4. **Question:** There appears to be a discrepancy for the line spacing. Page 15 indicates single spacing (1.0), and page 32 indicates a line spacing of 1.5. Which is correct?
A: Line spacing 1.5 is correct. See question # 3.
5. **Question:** "Page 13-14, Sec. D. Performance Measures - RFP Text: "1. Respondent's 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."
Question: The Required Proposal Submission Outline (pages 19-22 of RFP) does not designate a section to respond to the Performance Measure requirements. Can the bidder include responses to these requirements as Section 4.8 Performance Measures under D: Main Proposal Submission Questions?"
A: Yes.
6. **Question:** "Page 5, Sec. 8. Letter of Intent - RFP Text: It is the sender's responsibility to confirm the Department's receipt of the LOI.
A: Yes
7. **Question:** Per the RFP, we submitted our LOI via email to the Official Contact by the due date/time; however, we did not receive verification of receipt of the LOI. What is the best way to receive verification of the LOI – via email or by phone?"
A: Email is the preferred method.
8. **Question:** "Page 4, Sec. 2. Registering with State Contracting Portal - RFP Text:
 - Consulting Agreement Affidavit (OPM Ethics Form 5) – Requires Notarization
 - Affirmation of Receipt of State Ethics Affidavit (OPM Ethics Form 6) – Requires Notarization
 - Iran Certificate (OPM Ethics Form 7) – Requires NotarizationThe links for the forms listed above do not take the respondent to the required form(s). Can you please provide new links to these forms or provide bidders/respondents updated forms to complete and upload? "
A: The required forms are included in the RFP package that must be submitted with the proposal.
9. **Question:** "Page 4, Sec. 2. Registering with State Contracting Portal - RFP Text: Notification to Bidders, Parts I-V. Is the above-named document the same as Form #3 Acknowledgement of Contract Compliance Notification to Bidders? If so, is the reference to Parts I-V really A-E, or is there another form bidders need to complete? Please clarify. "
A: The Notification to Bidders and Acknowledgement of Contract Compliance Notification to Bidders is the same form and included in the RFP package and must be included with the proposal.
10. **Question:** "Page 4, Sec. 2. Registering with State Contracting Portal. RFP Text: Non-profit status, if applicable Where in the Proactis system is the bidder to acknowledge non-profit status, if applicable? Is it the Enterprise Type field?"

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A: Yes, it would show in the Enterprise type field. See suppliers choices below.

G. Enterprise Type* - Should be one of the following:

PARTNERSHIP

BENEFIT CORPORATION (B CORP)

INDIVIDUAL/SOLE PROPRIETOR

C CORPORATION

S CORPORATION

LIMITED LIABILITY COMPANY - C CORPORATION

LIMITED LIABILITY COMPANY - PARTNERSHIP

LIMITED LIABILITY COMPANY - S CORPORATION

TRUST/ESTATE

OTHER: FEDERAL TAX EXEMPTION / NON-PROFIT

OTHER: GOVERNMENT ENTITY

- 11. Question:** "Page 3, Sec. A. Introductions, #2 RFP Text: "...streamline the preapproval and assessment process and augment DOC's Inmate Medical Services Division patient care decision-making process." Question: Will the selected contractor be responsible for creating a Consult Request Form used by prison primary care providers and, if not, can the contractor create a more efficient form if necessary?
A: TBD dependent upon necessity and feasibility as mutually determined by CTDOC and contractor.
- 12. Question:** Page 1 of RFP - Question: Please clarify whether the bidder submits their proposal package (i.e., proposal and associated forms and appendices) to Salina Hargrove via DOC.RFP@ct.gov or via the State's contracting portal at <https://portal.ct.gov/DAS/CTSource/BidBoard>.
A: Proposals must be submitted to the CT Source contracting portal's Bid Board. Instructions on how to use the bid board are located at <https://portal.ct.gov/DAS/CTSource/CTSource>.
- 13. Question:** Page 13, C- This section lists Appendix F, however it seems the Appendices listed in the RFP end at Appendix C. Could the State supply this appendix?
A: Credentials / Licensure: Proposal much include credentials and resumes for each staff that would listed in the staffing model listed as Appendix F. Please label this section of the proposal as indicated using a coverpage.
- 14. Question:** Page 10, C, 1 – this section lists Appendix D and Appendix E, however it seems the Appendices listed in the RFP end at Appendix C. Could the State supply these appendices?
A: Evidence of licenses/certification of all staff working on this contract shall be provided listed as Appendix D in the submitted proposal. Proposal must include 3 letters of references and listed as Appendix E in the submitted proposal. Please label these sections of the proposal as indicated using a coverpage
- 15. Question:** Page 23, A – Can the State supply Part I of the Standard contract?
A: Part I is included on page 4 of this document.
- 16. Question:** Page 9: "Offenders are classified according to their medical needs". Who is currently classifying the offenders? When does the assessment/(re) assessment occur?
A: A facility Medical Unit Nurse classifies inmate medical needs upon initial intake into a facility and then reassesses at the time of any significant medical event or illness, as well upon receipt of inmates transferring between facilities.

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17. Question: Page 10: “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.”

1. How does this process currently work?

A: A DOC physician provider and or contracted outpatient specialty provider enters a request and or recommendation in the EHR. The request is routed through the EHR to the DOC lead provider physician for review and then forwarded to the Specialty Care Liaison for processing and scheduling.

2. Who is submitting these requests?

A: DOC physician providers and contracted outpatient specialty providers.

3. How are these requests submitted?

A: DOC currently uses a stand-alone software system, Patient Prioritization and Transportation (PPT) provided by the CTDOC current outpatient specialty contractor.

4. Who is approving the requests

A. Requests are adjudicated upon submission; no approval is required.

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Part I. Section II. Agency Terms and Conditions

A. Contract Termination, Cancellation and Recoupment

Absent termination determinations delineated in subsections (a)-(d) below, this Contract shall remain in full force and effect for the entire term of the contract period unless either party provides written notice sixty (60) days or more from the date of termination, except that no cancellation by the Contractor may be effective for failure to provide services for the agreed price or rate and cancellation by the Agency shall not be effective against services already rendered, so long as the services were rendered in compliance with the contract during the term of the contract.

1. Termination in Best Interest of State - Notwithstanding any provisions in this Contract, the Agency, through a duly authorized employee, may terminate the Contract whenever the Agency makes a written determination that such termination is in the best interests of the State. The Agency shall notify the Contractor in writing of termination pursuant to this section, which notice shall specify the effective date of termination and the extent to which the Contractor must complete its performance under the contract prior to such date. If the Agency makes the determination that termination is in the best interests of the State, such termination shall be effective on the date specified in the notice to the Contractor.
2. Termination for Breach - Notwithstanding any provisions in this Contract, the Agency, through a duly authorized employee, may, after making a written determination that the Contractor has breached the Contract, terminate the Contract in accordance with the provisions of Part II. Terms & Conditions; section D.3
3. Termination for Health and Welfare - In the event the health or welfare of the service recipients is endangered, the Agency may cancel the contract and, without notice, take any immediate action it deems appropriate to protect the health and welfare of service recipients.
4. Termination for Lack of Funding - The Agency reserves the right to cancel the contract without prior notice when the funding for the contract is no longer available.
5. Recoupment of Funds - The Agency reserves the right to recoup any deposits, prior payment, advance payment or down payment made if the contract is terminated by either party. Allowable costs incurred to date of termination for operation or transition of program(s) under this contract shall not be subject to recoupment. The Contractor agrees to return to the Agency any funds not expended in accordance with the terms and conditions of the contract and, if the contractor fails to do so upon demand, the Agency may recoup said funds from any future payments owing under this contract or any other contract between the State and the Contractor.
6. Recoupment of Equipment - In the event this contract is terminated or not renewed, the Agency reserves the right to recoup any equipment, deposits or down payments made or purchased with start-up funds or other funds specifically designated for such purpose under this contract. For purposes of this provision, equipment

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means tangible personal property with a normal useful life of at least one year and a value of at least \$5,000. Equipment shall be considered purchased from Contractor funds and not from Agency funds if the equipment is purchased for a program that has other sources of income equal to or greater than the equipment purchase price.

7. Termination Notices - The Agency shall send the notice of termination via certified mail, return receipt requested, to the Contractor at the most current address which the Contractor has furnished to the Agency for purposes of correspondence, or by hand delivery. Upon receiving the notice from the Agency, the Contractor shall immediately discontinue all services affected in accordance with the notice, undertake all commercially reasonable efforts to mitigate any losses or damages, and deliver to the Agency all records required by the Agency to be retaken. Records are deemed to be the property of the Agency and the Contractor shall deliver them to the Agency no later than thirty (30) days after the termination of the contract or fifteen (15) days after the Contractor receives a written request from the Agency for the Records, should the Agency determine that it will retake such Records. The Contractor shall deliver those records that exist in electronic, magnetic or other intangible form in a non-proprietary format, such as, but not limited to, ASCII or .TXT.
8. Cessation of Operations - Upon receipt of a written notice of termination from the Agency, the Contractor shall cease operations as the Agency directs in its notice, and take all actions that are necessary or appropriate, or that the Agency may reasonably direct, for the protection and preservation of the goods and any other property utilized pursuant to this Contract. Except for any work which the Agency directs the Contractor to perform in the notice prior to the effective date of termination, and except as otherwise provided in the notice, the Contractor shall terminate or conclude all existing subcontracts and purchase orders and shall not enter into any further subcontracts, purchase orders or commitments.
9. Final Reimbursement - The Agency shall, within forty-five (45) days of the effective date of termination, reimburse the Contractor for its performance rendered and accepted by the Agency prior to termination, in addition to all actual and reasonable costs incurred after termination in completing those portions of the performance which the notice required the Contractor to complete. However, the Contractor is not entitled to receive and the Agency is not obligated to tender to the Contractor any payments for anticipated or lost profits. Upon request by the Agency, the Contractor shall assign to the Agency, or any replacement contractor which the Agency designates, all subcontracts, purchase orders and other commitments, deliver to the Agency all records and other information pertaining to its performance, and remove from State premises, whether leased or owned, all of the Contractor's property, equipment, waste material and rubbish related to its performance, all as the Agency may request.

B. Encryption of Data

1. The Contractor, at its own expense, shall encrypt any and all electronically stored data now or hereafter in its possession or control located on non-State owned or managed devices that the State, in accordance with its existing state policies, classifies as confidential or restricted. The method of encryption shall be compliant with the State of Connecticut Enterprise Wide Technical Architecture

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("EWTA") or such other method as deemed acceptable by the Agency. This shall be a continuing obligation for compliance with the EWTA standard as it may change from time to time.

2. The Contractor and Contractor Parties shall notify the State, the Agency, and the Connecticut Office of the Attorney General as soon as practical, but no later than twenty-four (24) hours after they become aware of or suspect that any and all data which Contractor has come to possess or control under subsection 1 above have been subject to a "data breach". For the purpose of this Section, a "data breach" is an occurrence where (a) any or all of the data are misplaced, lost, stolen or in any way compromised; or (2) one or more third parties have had access to or taken control or possession of any or all of the data without prior written authorization from the Agency.
3. In addition to the notification requirements of subsection 2, should a data breach occur, the Contractor shall, within three (3) business days after the notification, present to the State, the Agency and the Connecticut Office of the Attorney General, for review and approval, a credit monitoring or protection plan that the Contractor shall make available at its own cost and expense to all individuals affected by the data breach. Unless otherwise agreed to in writing by the Connecticut Office of the Attorney General, such a plan shall be offered to each such individual free of charge and shall consist of, at a minimum, the following:
 - a. Reimbursement for the cost of placing and lifting one (1) security freeze per credit file pursuant to Connecticut General Statute Section 36a-701a;
 - b. Credit monitoring services consisting of automatic daily monitoring of at least three (3) relevant credit bureaus reports;
 - c. Fraud resolution services, including writing dispute letters, initiating fraud alerts and security freezes, to assist affected individuals to bring matters to resolution; and
 - d. Identity theft insurance with at least \$25,000 coverage.

Such monitoring or protection plans shall cover a length of time commensurate with circumstances of the data breach, but under no circumstances shall the Contractor's credit monitoring and protection plan be for less than two (2) calendar years from the plan start date. The Contractor's costs and expenses for the credit monitoring and protection plan shall not be recoverable from the State or the Agency.

4. The Contractor resolves and warrants that it shall obligate each Contractor Party in a written contract to all of the terms of this section just as if each Contractor Party had executed this Agreement as in original signatory and each were bound by this Section to the same extent that the Contract is bound.
5. The Contractor's or Contractor Parties' failure to encrypt the data, provide notice, or to provide the credit monitoring or protection plan shall be deemed to be, without more, a material breach of this Agreement. The Contractor shall be responsible for any Contractor Parties' breach as if the Contractor itself had

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breached the Agreement. Consequently, and without otherwise limiting the rights of the State at law or in equity, the Contractor shall indemnify and hold harmless the State and the Agency, as appropriate, for any and all damages, costs and expenses associated directly or indirectly with Contractor's or Contractor Parties' breach. The damages, costs and expenses shall include, but not be limited to those resulting from any corresponding contracting for credit or identity protection services, or both, and from any subsequent non-State use of any data.

C. Prison Rape Elimination Act (PREA)

The Contractor shall adhere to the federal Prison Rape Elimination Act of 2003, Public Law 108-79, as such requirements apply to the services required by this contract. A copy of the federal PREA Standards is available upon request to the Agency's Contracts Administration Office or on the agency website:

<https://portal.ct.gov/DOC/Miscellaneous/PREA>

D. Entrance into a Correctional Facility

Entry of any Contractor, Contractor staff, volunteer, personnel and/or subcontractor into any correctional facility is contingent upon successful completion of the Agency's *Application Form for VIP's-Volunteers, Interns & Professional Partners* if required, successful completion of a background check, and where appropriate, participation and completion in Volunteers, Interns and Professional Partners training.

CTDOC reserves the right to deny entrance into any correctional facility to any individual at any time based on operational need and/or prior inappropriate conduct of the individual.

E. Submission of Required Forms/Reports/Budgets: The Contractor shall file the following reports:

- 1. Insurance Certificate:** To be filed electronically, (pursuant to Part II, Section C.12 of this contract) with the Contracts Administration Office or uploaded to the Contractor's Connecticut Department of Administrative Services (hereinafter 'DAS') CTSOURCE account by July 31 of each year.
- 2. Budget Submissions:** Contract budgets shall be submitted as required by the contract, or as requested by the Contract Administration Office. Budgets shall be submitted electronically to the Contracts Administration Office and shall be considered accepted as final upon notification from the Contracts Administration Office. Increases or decreases to the budget, will be made at the discretion of CTDOC and will require a formal written amendment.

Contracted funds may not be expended prior to the starting date of the contract or beyond the ending date of the contract. The Contractor agrees to follow the State of Connecticut Office of Policy and

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Management Cost Standards in the preparation of all budgets and reports to the Department.

Department grant funding may only be spent on items that are allowable under the standards;

however, an item that is allowable based on the standards may be disallowed in the initial or revised budgets or reports if it is deemed not appropriate for the program to which it is assigned.

3. Annual Audit:

No later than six (6) months after the end of the Contractor's fiscal year, the Contractor shall submit to the Department a complete annual financial audit, including a Federal and/or State Single Audit, if applicable. The Contractor shall comply with all applicable Federal and State Single Audit Standards. The audit shall be filed on the OPM Electronic Audit Reporting System (EARS).

If the Contractor operates under a fiscal year that differs from the contract period, the Contractor shall furnish CTDOC with a reconciliation of the total expenditures reported in the State and/or Federal Single Audit, broken down by State Fiscal Year (July 1 through June 30). Such reconciliation shall be submitted with the audit.

In lieu of the above reconciliation, the Contractor may elect to separately display program expenditures by contract period in the federal and State award schedules contained in the federal and State Single Audit Reports, as applicable. This election is only available if the aforementioned expenditure display by contract year is furnished for all award schedules encompassed by the contract period. In the event that adjustments are made to the Contractor's audit subsequent to filing the final expenditure report, a revised final report reflecting such audit adjustments shall be filed and the revised report shall be reconciled to the award schedules.

Notice: Single Audits are required based on total expenditures. If the Contractor receives funding in an amount that meets the state threshold of \$300,000 a Single State Audit is required; if the Contractor receives funding in an amount that meets the federal threshold of \$750,000, a Federal Single Audit is required. In certain cases, the provider may need both a Federal and Single Audit if eligible expenditures (federal) are \$750,000 or greater and remaining program expenditures (state) are \$300,000 or greater.

F. Closeout and Record Retention **FOR FEDERALLY FUNDED CONTRACTS**

Contractor shall retain all financial records, supporting documents, statistical records, and all other records pertinent to this agreement for at least 3 years after receiving notification from CTDOC that the federal grant this

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agreement is funded through has been financially and programmatically closed. Records may be retained in an electronic format.

G. Program Suspension or Closure and Transition

The contractor understands that facility operations take precedence over provision of this program; as such, CTDOC may suspend participation in this program, without notice, if it is determined that operational needs require such suspension.

If the program closes, for any reason, the Contractor and CTDOC shall negotiate and collectively resolve issues including the timeline for closure; the transition of the remaining clients; the amount of any final payments due to the Contractor or refunds due to CTDOC; the transfer or storage of all program records pursuant to the requirements of the Federal Confidentiality Regulations, 42 CFR Part 2; the disposition of property and equipment in which CTDOC has a financial interest pursuant to the requirements of Regulations of Connecticut State Agencies, including Bond Fund Award liens and obligations; and notification to the clients of the closure and their transition options.

H. Recording/Bringing Items into a Correctional Facility

The contractor understands that CTDOC prohibits the presence of certain items within a correctional facility including but not limited to: cell phones, computers, and video or other recording devices. The contractor understands that all items to be conveyed into a facility require prior approval from the warden; the warden's decision is final. The contractor understands that DOC prohibits recording within a correctional facility including recording of virtual classes and any programs involving inmates unless the contractor obtains prior written approval from the Warden.

I. Potential Risk

The Contractor understands that providing services within a correctional facility poses certain risks.

J. State Agency Regulations

The contractor understands that CTDOC is a state governmental agency, and as such, this Agreement is subject to all relevant contractual laws, regulations and policies of the State of Connecticut.

K. Attachments

1. Attachment A and the documents referenced therein are made part of this agreement;
2. The Contractor agrees to adhere to all terms and conditions set forth in the CTDOC Guide for Contractors in the Correctional Environment made part of this agreement in Attachment A.