

**STATE OF CONNECTICUT PROCUREMENT NOTICE**

# Request for Proposals (RFP) For Prison Rape Elimination Act (PREA) Auditing of Correctional Facilities and Halfway House Programs

RFP Name: DOC-PREA-2023-SJH

Issued By:  
Department of Correction  
February 17, 2023

The Request for Proposal is available in electronic format on the State Contracting Portal by filtering by Organization for Department of Correction

<https://portal.ct.gov/DAS/CTSource/BidBoard>

or from the Agency's Official Contact:

Name: Stacey Hubert  
Address: 24 Wolcott Hill Road, Wethersfield, CT 06109  
Phone: 860-692-7635  
Fax: 860-692-7576  
E-Mail: DOC.RFP@ct.gov

The RFP is also available on the Agency's website at

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

**RESPONSES MUST BE RECEIVED NO LATER THAN****March 24, 2023****At 3:00 PM EST**

The Department of Correction is an Equal Opportunity/Affirmative Action Employer.

The Agency reserves the right to reject any and all submissions or cancel this procurement at any time if deemed in the best interest of the State of Connecticut (State).

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## I. GENERAL INFORMATION

### ■ A. INTRODUCTION

1. **RFP Name and Number.** DOC-PREA-2023-SJH.
2. **RFP Summary.** The Prison Rape Elimination Act (PREA) National Standards require that the Department ensure that each of its correctional facilities and halfway house programs is audited once every three years. The Department is seeking proposals from qualified entities and individuals to perform such PREA audits.
3. **RFP Purpose.** The purpose of this RFP is to solicit proposals to secure a contract to provide PREA Auditing Services to the Department's correctional facilities and halfway house programs, in order for the Department to remain compliant with the PREA National Standards.
4. **Commodity Codes.** The services that the Agency wishes to procure through this RFP are as follows:
  - 80000000: Management and Business Professionals and Administrative Services
  - 93140000: Community and social services
  - 93151607: Government auditing services

### ■ B. INSTRUCTIONS

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

Name: Stacey Hubert  
Address: 24 Wolcott Hill Road, Wethersfield, CT 06109  
Phone: 860-692-7635  
E-Mail: DOC.RFP@ct.gov

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

2. **Registering with State Contracting Portal.** Respondents must register with the State of CT contracting portal at <https://portal.ct.gov/DAS/CTSource/Registration> if not already registered. Respondents shall submit the following information pertaining to this application to this portal (on their supplier profile), which will be checked by the Agency contact.
  - Secretary of State recognition – Click on appropriate response
  - Non-profit status, if applicable
  - Notification to Bidders, Parts I-V

- Campaign Contribution Certification (OPM Ethics Form 1):  
<https://portal.ct.gov/OPM/Fin-PSA/Forms/Ethics-Forms>

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

- Agency's RFP Web Page  
<https://portal.ct.gov/DOC>.
- 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 Agency may amend the schedule as needed. Any change to non-target dates will be made by means of an amendment to this RFP and will be posted on the State Contracting Portal and, if available, the Agency's RFP Web Page.

- RFP Released: February 17, 2023
- RFP Conference: Not Applicable
- Letter of Intent Due: March 03, 2023, 3:00 p.m. Eastern Time
- Deadline for Questions: March 03, 2023, 3:00 p.m. Eastern Time
- Answers Released (tentative): March 10, 2023
- Proposals Due: March 24, 2023, 3:00 p.m. Eastern Time
- (\*) Start of Contract: May 01, 2023 (tentative)

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

- Total Funding Available: To be determined
- Number of Awards: One (1)
- Contract Cost: To be determined
- Contract Term: Three (3) years with the option to renew for three (3) years
- Funding Source: State funds

**6. Eligibility.** Private provider organizations (defined as nonstate entities that are either nonprofit or proprietary corporations or partnerships), state agencies, units of local government, and individuals are eligible to submit proposals in response to this RFP. The Department is prohibited from entering into a Personal Service Agreement (PSA) with a retired State employee. (See OLR, General Notice 2003-15: Reemployment of Retired Employees, April 9, 2003.)

The Department reserves the right to reject the submission of any proposer in default of any current or prior contract.

- 7. Minimum Qualifications of Proposers.** To qualify for a contract award, a proposer must have the following minimum qualifications:
- Member of a correctional monitoring body that is not part of, or under the authority of, the Department; or
  - Member of an auditing entity such as an inspector general's or ombudperson's office that is external to the Department; and
  - Certified by the U.S. Department of Justice to conduct PREA audits; and
  - Demonstrated corrections experience; and
  - Has not received financial compensation from the Department within the three years prior to the Department's retention of the auditor (except for compensation received for conducting prior PREA audits).
- 8. Letter of Intent.** A Letter of Intent (LOI) **is required** by this RFP. Proposers must use the LOI form provided by the Department in Section VI. Appendix. The LOI is non-binding and does not obligate the sender to submit a proposal. The LOI must be submitted to the Official Contact by e-mail by the deadline established in the Procurement Schedule. The LOI must clearly identify the sender, including name, postal address, telephone number, and e-mail address. It is the sender's responsibility to confirm the Agency's receipt of the LOI. **Failure to submit the required LOI in accordance with the requirements set forth herein shall result in disqualification from further consideration.**
- 9. Inquiry Procedures.** All questions regarding this RFP or the Department's procurement process must be directed, in writing, electronically (e-mail) to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Agency will not answer questions when the source is unknown (i.e., nuisance or anonymous questions). Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Agency may or may not respond to questions received after the deadline. If this RFP requires a Letter of Intent, the Agency reserves the right to answer questions only from those who have submitted such a letter. The Agency may combine similar questions and give only one answer. All questions and answers will be compiled into a written amendment to this RFP. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such.
- The agency will release the answers to questions on the date(s) established in the Procurement Schedule. The Agency will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Agency's RFP Web Page. At its discretion, the Agency may distribute any amendments to this RFP to prospective proposers who submitted a Letter of Intent.
- 10. RFP Conference.** An RFP conference **will not** be held to answer questions from prospective proposers.
- 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:
- Due Date: March 24, 2023
  - Time: 3:00 p.m. Eastern Time

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

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

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

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

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

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

## **II. PURPOSE OF RFP AND SCOPE OF SERVICES**

### ■ **A. AGENCY OVERVIEW**

The Department of Correction shall strive to be a global leader in progressive correctional practices and partnered re-entry initiatives to support responsive evidence-based practices aligned to law-abiding and accountable behaviors. Safety and security shall be a priority component of this responsibility as it pertains to staff, victims, citizens and offenders.

The Department currently operates thirteen (13) correctional facilities throughout the state, with an estimated current population of 9,903 incarcerated offenders as of December 1, 2022. In addition, the Department's Parole & Community Services Division supervises and provides support to approximately 2,538 offenders released to the community under the jurisdiction of both the Commissioner of Correction and the Board of Pardons & Paroles.

For more information regarding the Department's initiatives please visit the Department of Correction's website <https://portal.ct.gov/DOC>

The proposer awarded a contract as a result of this procurement will be required to adhere to the Department Agency Terms and Conditions, copies of which are available upon request to the Agency Official Contact of this Procurement.

### ■ **B. SERVICE OVERVIEW**

The federal Prison Rape Elimination Act of 2003, 42 U.S.C. Section 15601 *et seq.* (PREA), seeks "To provide for the analysis of the incidence and effects of prison rape in Federal, State, and local institutions and to provide information, resources, recommendations, and funding to protect individuals from prison rape."

The purposes of PREA are to:

1. Establish a zero-tolerance standard for the incidence of prison rape in prisons in the United States;
2. Make the prevention of prison rape a top priority in each prison system;

3. Develop and implement national standards for the detection, prevention, reduction, and punishment of prison rape;
4. Increase the available data and information on the incidence of prison rape, consequently improving the management and administration of correctional facilities;
5. Standardize the definitions used for collecting data on the incidence of prison rape;
6. Increase the accountability of prison officials who fail to detect, reduce, and punish prison rape;
7. Protect the Eighth Amendment rights of Federal, state, and local prisoners;
8. Increase the efficiency and effectiveness of Federal expenditures through grant programs such as those dealing with health care; mental health care; disease prevention; crime prevention, investigation, and prosecution; prison construction, maintenance, and operation; race relations; poverty; unemployment; and homelessness; and
9. Reduce the costs that prison rape imposes on interstate commerce.

In accordance with the PREA National Standards, Part 115.401, during each one-year period starting on August 20, the Department shall ensure that at least one third of each facility type operated by the Department, or by a private organization on behalf of the Department, is audited. The Department is seeking proposals from qualified entities and individuals to perform such PREA audits, in compliance with the PREA National Standards found at 28 C.F.R. Part 115 and the Department's Administrative Directive 6.12. PREA audits of prisons and jails shall be performed in collaboration with Department staff. PREA audits of Department-contracted community confinement facilities shall be performed in collaboration with such facilities' staff.

## ■ C. SCOPE OF SERVICE DESCRIPTION

### 1. Organizational Expectations

Private provider organizations (defined as nonstate entities that are either nonprofit or proprietary corporations or partnerships), state agencies, units of local government, and individuals are eligible to submit proposals in response to this RFP. The Department is prohibited from entering into a Personal Service Agreement (PSA) with a retired State employee. (See OLR, General Notice 2003-15: Reemployment of Retired Employees, April 9, 2003.)

To be eligible to submit a response to this Request for Proposals a proposer must have the following minimum qualifications:

- a. Member of a correctional monitoring body that is not part of, or under the authority of, the Department; or
- b. Member of an auditing entity such as an inspector general's or ombudperson's office that is external to the Department; and
- c. Certified by the U.S. Department of Justice to conduct PREA audits; and
- d. Demonstrated corrections experience; and
- e. Has not received financial compensation from the Department within the three years prior to the Department's retention of the auditor (except for compensation received for conducting prior PREA audits).

The Department reserves the right to reject the submission of any proposer in default of any current or prior contract.

**A responsive proposal must include** the following information about the administrative and operational capabilities of the proposer.



- a. *Administrative Office Location.* Provide the location of the proposer's administrative offices.
- b. *Qualifications/Certification.* Describe the qualifications and experience of the proposer. Include information regarding U.S. Department of Justice PREA auditor certification, corrections experience, PREA auditing experience, and any other relevant experience.
- c. *References.* Provide three (3) letters of reference in Section IV.E. Attachments. Letters must be from individuals or entities familiar with the proposer's experience providing the requested services. Letters cannot be from the proposer's current employees or volunteers. Not all three (3) letters can be from the same entity. Letters must include the organization name, contact name, mailing address, telephone number, and e-mail address of the writer. Letters must also include the nature of the writer's relationship with the proposer and detail the services provided by the proposer to the writer. These are **NOT** Letters of Support.

## 2. Service Expectations

### a. Audit Schedule

The contractor shall perform PREA audits in accordance with the Audit Schedule provided by the Department in Section V. Attachments. Specific scheduling of facilities will be mutually agreed upon by the Department, community confinement facilities' staff as applicable, and the contractor, at the final discretion of the Department.

### b. Work Plan

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

- i. *Tasks and Deliverables.* Describe **what** start-up and implementation activities, actions, tasks, and deliverables the proposer will accomplish to perform each audit, as well as the staff **who** will be responsible for accomplishing each task and deliverable.
- ii. *Methodologies.* Describe **how** each task and deliverable will be accomplished, providing a detailed explanation of the procedures or processes that will be used to attain the expected outcomes.
- iii. *Timetable/Schedule.* Include a proposed timetable indicating **when** each task and deliverable will be accomplished. Identify any significant milestones or deadlines.
- iv. *Start Date.* Indicate when services are expected to begin.

## 3. Staffing Expectations

**A responsive proposal must include** the following information about all staff that the proposer intends to assign to this project.

- a. *Staffing Plan.* Identify the number and type of all staff positions that will be assigned to this project, including but not limited to a Project Manager. The Project Manager's responsibilities shall include but not be limited to day-to-day oversight, attending all meetings at the request of DOC, and responding to DOC's

requests for status updates and reports. Indicate whether each position will be newly created or existing. If the proposer currently employs the staff that will be assigned to the project, include their names and position titles.

Note: The Department must be notified in writing and in advance regarding the departure of any key personnel assigned to the project.

- b. *Resumes.* Provide resumes, not exceeding two pages per resume, for all staff identified above that are currently employed by the organization, in Section IV.H. Appendices. Resumes must reflect staff qualifications including credentials, licenses, education, training, experience with the proposer, corrections experience, PREA auditing experience, and other relevant experience.
- c. *Multilingual and Multicultural Competency.* Describe the cultural and linguistic background of all staff identified above.

#### 4. Data and Technology Expectations

**A responsive proposal must provide** the following information about the information management system of the proposer.

- a. *Equipment.* The proposal must describe the proposer's ability to access the Internet, send and receive secure outside e-mail, view PDF documents, and create correspondence and reports.
- b. *Confidentiality Requirements.* Through performance of facility audits, the contractor will be privy to confidential information that can potentially compromise the safety and security of the public, Department staff, incarcerated individuals, and/or staff and residents of Department-contracted community confinement facilities. The contractor shall respect the confidentiality of all Department staff, incarcerated individuals, and staff and residents of Department-contracted community confinement facilities, as well as adhere to the Department's confidentiality requirements regarding receipt and dissemination of information that has the potential of compromising the Department's safety and security. Whenever practical, data, information, and documents shall be provided to the contractor electronically. The contractor shall not store hardcopy data of any kind; all data shall be stored electronically, in accordance with State and federal guidelines for storage of confidential information and personal health information, and encryption guidelines. The proposal must describe the proposer's ability to comply with these requirements.

#### 5. Financial Expectations

**A responsive proposal must include** the following information about the proposer's fiscal stability. One (1) copy only shall be included with the original proposal in Section IV.E.

- a. *Financial Statements.* A copy of the proposer's most recent three (3) annual financial statements, prepared by an accountant. If less than three (3) financial statements have been prepared, any supporting documentation assuring the financial efficacy of the proposer should be included (for example, a copy of the most recent tax return(s) filed with the Internal Revenue Service.)
- b. *Balance Sheet.* A copy of the proposer's 2022 year-to-date balance sheet.

- c. Income Statement. A copy of the proposer's 2022 year-to-date income statement.

## 6. Budget Expectations

*Cost Standards.* All proposed costs are subject to the federal *Uniform Guidance: Cost Principles, Audit, and Administrative Requirements for Federal Awards*, and OPM *Cost Standards*. In the event of any inconsistency, the federal uniform guidance shall supersede the OPM cost standards. Be advised that the cost proposal is subject to revision prior to contract execution in order to ensure compliance with the OPM cost standards and federal uniform guidance.

More information about the OPM cost standards is available on OPM's web site: [Cost Standards](#).

- b. *Budget.* **A responsive proposal must include a separate budget form for each facility** to be audited, provided by the Department in Section VI. Appendix F.
- c. *Budget Justification.* **A responsive proposal shall detail** how costs included in the budget were calculated. For example, specify how items included in Travel Costs were calculated (hotel, airfare, mileage, etc.) Either Microsoft Office Word or Excel format is acceptable.

Note 1: Consideration will be given to proposals that have more efficient and economical costs.

Note 2: The Department reserves the right to fund portions of a proposed budget and/or require adjustments.

Note 3: The Department reserves the right to consider all factors including cost in the final selection of a proposal. The opportunity to negotiate a contract with the Department may not be offered based on cost alone.

## ■ D. PERFORMANCE MEASURES

A responsive proposal must describe the proposer's ability to meet the following requirements.

*Administrative and Reporting Requirements.* The contractor shall be responsible for completion of all administrative and reporting functions associated with the performance of each PREA audit. This shall include, but not be limited to the:

- a. *Pre-Audit Questionnaire.* Sent by the auditor to the facility prior to the audit. This should be completed by the facility's PREA Compliance Manager or similar person.
- b. *Auditor Compliance Tool.* Guides auditors in making compliance determinations for each provision of every PREA Standard.
- c. *Auditor Report.* Auditor generates final report and sends it to agency no later than 30 days after completion of on-site audit.
- d. *Corrective Action Plan.* A finding of "Does Not Meet Standard" in the Auditor Report shall trigger a 180-day corrective action plan. This period begins the day that the agency received the interim report.

- e. *Final Report.* Final report delivered to agency within 30 days of completion of corrective action plan period.

Note: the federal government may provide a portion of the total funding. Therefore, additional reporting functions may be required.

### III. PROPOSAL SUBMISSION OVERVIEW

#### ■ A. SUBMISSION FORMAT INFORMATION

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 Agency in Section VI. Appendix.
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 **two** (2) pages, of the main proposal and cost proposal. The summary must also include the organization's eligibility and qualifications to respond to this RFP, and include the proposer's demonstrated corrections experience.
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
  - Page Limit: **None specified**
  - Font Size: 11
  - Font Type: Times New Roman or Arial
  - Margins: One inch (1")
  - Line Spacing: Single-Spaced
7. **Pagination.** The proposer's name must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.
8. **Declaration of Confidential Information.** Proposers are advised that all materials associated with this procurement are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations and interpretations resulting from them. If a proposer deems that certain information required by this RFP is confidential, the proposer must label such information as CONFIDENTIAL prior to submission. In subsection **F** of the proposal submission, the proposer must

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

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

## ■ B. EVALUATION OF PROPOSALS

- 1. Evaluation Process.** It is the intent of the Agency to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful proposers, and awarding contracts, the Agency will conform with its written procedures for POS and PSA procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85). Final funding allocation decisions will be determined during contract negotiation.
- 2. Evaluation Review Committee.** The Agency will designate a Review Committee to evaluate proposals submitted in response to this RFP. The Review Committee will be composed of individuals, Agency staff or other designees as deemed appropriate. The contents of all submitted proposals, including any confidential information, will be shared with the Review Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. The Review Committee shall evaluate all proposals that meet the Minimum Submission Requirements by score and rank ordered and make recommendations for awards. **The 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) meet the Eligibility and Qualification requirements to respond to the procurement, (4) follow the required Proposal Outline; and (5) be

complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Agency will reject any proposal that deviates significantly from the requirements of this RFP.

- 4. Evaluation Criteria (and Weights).** Proposals meeting the Minimum Submission Requirements will be evaluated according to the established criteria. The criteria are the objective standards that the Review Committee will use to evaluate the technical merits of the proposals. Only the criteria listed below will be used to evaluate proposals. The weights are disclosed below.

- Organizational Profile (20)
- Scope of Services (25)
- Staffing Plan (10)
- Data and Technology (10)
- Work Plan (10)
- Budget and Budget Narrative (25)

Note:

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

- 5. Proposer Selection.** Upon completing its evaluation of proposals, the Review Committee will submit the rankings of all proposals to the Commissioner or Agency Head. The final selection of a successful proposer is at the discretion of the Commissioner or Agency Head. Any proposer selected will be so notified and awarded an opportunity to negotiate a contract with the Agency. Such negotiations may, but will not automatically, result in a contract. Any resulting contract will be posted on the State Contracting Portal. All unsuccessful proposers will be notified by e-mail or U.S. mail, at the Agency's discretion, about the outcome of the evaluation and proposer selection process. The Agency reserves the right to decline to award contracts for activities in which the Commissioner or Agency Head considers there are not adequate respondents.
- 6. Debriefing.** Within ten (10) days of receiving notification from the Agency, unsuccessful proposers may contact the Official Contact and request information about the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the ten (10) days. If unsuccessful proposers still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Agency to discuss the evaluation process and their proposals. If held, the debriefing meeting will not include any comparisons of unsuccessful proposals with other proposals. The Agency may schedule and hold the debriefing meeting within fifteen (15) days of the request. The Agency will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.
- 7. Appeal Process.** Proposers may appeal any aspect the Agency's competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Agency head. A proposer may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful proposers about the outcome of the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. The filing of an appeal shall not be deemed sufficient reason for the Agency to delay, suspend, cancel, or

terminate the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.

- 8. Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Agency's contracting procedures, which may include approval by the Office of the Attorney General. Fully executed and approved contracts will be posted on State Contracting Portal and the Agency website.

#### **IV. PROPOSAL SUBMISSION OUTLINE AND REQUIREMENTS**

**A. Cover Sheet**

**B. Table of Contents**

**C. Executive Summary**

**D. Main Proposal**

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

**F. Declaration of Confidential Information**

**G. Conflict of Interest - Disclosure Statement**

**H. Statement of Assurances**

A-H are defined more specifically below.

**A: Cover Sheet**

The Cover Sheet is Page 1 of the proposal. Proposers must use the Cover Sheet form provided by the Agency in Section VI Appendix which captures the following information:

- RFP Name or Number:
- Legal Name:
- FEIN (not required for currently contracted providers/vendors):
- Street Address:
- Town/City/State/Zip:
- Telephone Number:
- Contact Person:
- Title:
- Telephone Number:
- E-Mail Address:
- Authorized Official:
- Title:
- Telephone Number:
- E-mail Address:
- Signature:

*Legal Name* is defined as the name of provider, vendor, CT State agency, or municipality submitting the proposal. *Contact Person* is defined as the individual who can provide additional information about the proposal or who has immediate responsibility for the proposal. *Authorized Official* is defined as the individual empowered to submit a binding

offer on behalf of the proposer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto.

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

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

### ***C: Proposer Executive Summary***

The page limitation for this section is 2 pages briefly describing how the Respondent meets the eligibility and qualification criteria outlined in the Proposal Overview and a brief overview of why the Respondent should be selected for the activities highlighted in the scope of services.

***D: Main Proposal Submission Requirements To Submit a Responsive Proposal:***

**\*\*\*Please note the maximum total page length for this section is 30** (all appendices and other attachments should be referred to in section D and then placed in section E. The Agency Review Committee will not read answers longer than 30 pages in this section.

#### 4.1 Strengths and Qualifications of Agency & Staff

**4.10 Organization Description and History:** Provide a general overview of your organization including its history and prior experiences engaging with relevant key stakeholders

|    |  |   |   |   |   |   |   |   |   |
|----|--|---|---|---|---|---|---|---|---|
| a. | Purpose, Mission, Vision, Values.          | . | . | . | . | . | . | . | . |
| b. | Entity Type / Years of Operation           | . | . | . | . | . | . | . | . |
| c. | Location of Offices / Facilities           | . | . | . | . | . | . | . | . |
| d. | Functional Organization                    | . | . | . | . | . | . | . | . |
| e. | Current Range of Services / Clients        | . | . | . | . | . | . | . | . |
| f. | Qualifications                             | . | . | . | . | . | . | . | . |
| g. | Relevant Experience                        | . | . | . | . | . | . | . | . |
| h. | Accreditation / Certification / Licensure. | . | . | . | . | . | . | . | . |
| i. | References (3)                             | . | . | . | . | . | . | . | . |

## 4.2 Scope of Services

|    |   |   |   |   |   |   |   |   |   |   |
|----|---|---|---|---|---|---|---|---|---|---|
| a. | <i>Documentation of Needs / Resources</i>                     | . | . | . | . | . | . | . | . | . |
| b. | <i>Collaboration Approach</i>                                 | . | . | . | . | . | . | . | . | . |
| c. | <i>Service Capacity / Delivery Plan / Systems / Processes</i> | . | . | . | . | . | . | . | . | . |
| d. | <i>Quality Assurance Protocols</i>                            | . | . | . | . | . | . | . | . | . |
| e. | <i>Administrative Support</i>                                 | . | . | . | . | . | . | . | . | . |
| f. | <i>Special Health or Safety Requirements</i>                  | . | . | . | . | . | . | . | . | . |

### 4.3 Staffing Plan

Proposals must include a proposed staffing plan for the services requested in the RFP. Possible areas of inquiry may include, but are not limited, to the following:

|    |  |   |   |   |   |   |   |   |   |   |
|----|--|---|---|---|---|---|---|---|---|---|
| a. | Key Personnel / Managers                     | . | . | . | . | . | . | . | . | . |
| b. | Staffing Levels & Qualifications             | . | . | . | . | . | . | . | . | . |
| c. | Job Descriptions                             | . | . | . | . | . | . | . | . | . |
| d. | Personnel Organization Chart (if applicable) | . | . | . | . | . | . | . | . | . |



- e. *Staff Training / Education / Development* . . . . .
- f. *Resumes.* . . . .

#### 4.4 Data and Technology

Proposers must demonstrate sufficient capacity to collect and manage Department-required data. Possible areas of inquiry may include, but are not limited, to the following:

- a. *E-Mail / Internet Capabilities* . . . . .
- b. *IT Infrastructure / Hardware & Software Quality* . . . . .
- c. *Data Collection / Storage / Reporting* . . . . .
- d. *Assessment of Client Satisfaction* . . . . .
- e. *Evaluation / Outcome Measures* . . . . .
- f. *Confidentiality Requirement* . . . . .

#### 4.5 Subcontractors

If the RFP includes the use of any subcontractors for the provision or delivery of a service, the purpose of this subsection is to gather information about the administrative and operational capabilities of each such subcontractor.

Possible areas of inquiry may include, but are not limited, to the following:

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

#### 4.6 Work Plan

Proposers must explain the tasks, participants, time estimates, and schedule for providing the purchased service. Possible areas of inquiry may include, but are not limited, to the following:

- a. *Start Date* . . . . .
- b. *Timetable / Audit Schedule* . . . . .
- c. *Tasks, Deliverables* . . . . .
- d. *Methodologies.* . . . .
- e. *Performance Measures* . . . . .

#### 4.7 Financial Profile

The Proposer must provide information about their fiscal stability, accounting and financial reporting systems, or relevant business practices. Possible areas of inquiry may include, but are not limited, to the following:

- a. *Financial Statements* . . . . .
- b. *Balance Sheet.* . . . .
- c. *Income Statement.* . . . .

#### 4.8 Cost Competitiveness and Budget Narrative

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

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

#### **E: Attachments**

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

- a. *Letters of Reference* . . . . .
- b. *Résumés of Key Personnel* . . . . .
- c. *Audited Financial Statements* . . . . .
- d. *Budget form for each facility.* . . . .

#### **F: Declaration of Confidential Information**

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

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

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

#### **H: Statement of Assurances**

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

## V. MANDATORY PROVISIONS

### ■ A. STANDARD CONTRACT PROVISIONS

*Agencies may include any standard PSA contract provisions that are valuable to communicate in advance to the provider/vendor community. This may include a sample agency PSA, an agency specific PSA contract template, or a reference to the [Comptroller's Office PSA Terms and Conditions](#), which includes generic state contract requirements.*

### ■ B. ASSURANCES

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

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

## ■ C. TERMS AND CONDITIONS

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

- 1. Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.
- 2. Preparation Expenses.** Neither the State nor the Agency shall assume any liability for expenses incurred by a proposer in preparing, submitting, or clarifying any proposal submitted in response to this RFP.
- 3. Exclusion of Taxes.** The Agency is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Proposers are liable for any other applicable taxes.
- 4. Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.
- 5. Changes to Proposal.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Agency may request and authorize proposers to submit written clarification of their proposals, in a manner or format prescribed by the Agency, and at the proposer's expense.
- 6. Supplemental Information.** Supplemental information will not be considered after the deadline submission of proposals, unless specifically requested by the Agency. The Agency may ask a proposer to give demonstrations, interviews, oral presentations or further explanations to clarify information contained in a proposal. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Agency. At its sole discretion, the Agency may limit the number of proposers invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per proposer.
- 7. Presentation of Supporting Evidence.** If requested by the Agency, a proposer must be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. The Agency may make onsite visits to an operational facility or facilities of a proposer to evaluate further the proposer's capability to perform the duties required by this RFP. At its discretion, the Agency may also check or contact any reference provided by the proposer.
- 8. RFP Is Not An Offer.** Neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or the Agency or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the Agency and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the proposer or for payment of services under the terms of the contract until the successful proposer is notified that the contract has been

accepted and approved by the Agency and, if required, by the Attorney General's Office.

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

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

- 1. Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the Agency.
- 2. Amending or Canceling RFP.** The Agency reserves the right to amend or cancel this RFP on any date and at any time, if the Agency deems it to be necessary, appropriate, or otherwise in the best interests of the State.
- 3. No Acceptable Proposals.** In the event that no acceptable proposals are submitted in response to this RFP, the Agency may reopen the procurement process, if it is determined to be in the best interests of the State.
- 4. Award and Rejection of Proposals.** The Agency reserves the right to award in part, to reject any and all proposals in whole or in part, for misrepresentation or if the proposal limits or modifies any of the terms, conditions, or specifications of this RFP. The Agency may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Agency reserves the right to reject the proposal of any proposer who submits a proposal after the submission date and time.
- 5. Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.
- 6. Contract Negotiation.** The Agency reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Agency further reserves the right to contract with one or more proposer for such services. After reviewing the scored criteria, the Agency may seek Best and Final Offers (BFO) on cost from proposers. The Agency may set parameters on any BFOs received.
- 7. Clerical Errors in Award.** The Agency reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the proposer.
- 8. Key Personnel.** When the Agency is the sole funder of a purchased service, the Agency reserves the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Agency also reserves the right to approve replacements for key personnel who have terminated employment. The Agency further reserves the right to require the

removal and replacement of any of the proposer's key personnel who do not perform adequately, regardless of whether they were previously approved by the Agency.

## ■ E. STATUTORY AND REGULATORY COMPLIANCE

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

- 1. Freedom of Information, C.G.S. § 1-210(b).** The Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b). Proposers are generally advised not to include in their proposals any confidential information. If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State has no obligation to initiate, prosecute, or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. The proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a proposer may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.
- 2. Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to ensure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.
- 3. Consulting Agreements Representation, C.G.S. § 4a-81.** Pursuant to C.G.S. §§ 4a-81 the successful contracting party shall certify that it has not entered into any consulting agreements in connection with this Contract, except for the agreements listed below. "Consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information, or (C) any other similar activity related to such contracts. "Consulting agreement" does not include any agreements entered into with a consultant who is registered under the provisions of chapter 10 of the Connecticut General Statutes as of the date such contract is executed in accordance with the provisions of section 4a-81 of the Connecticut General Statutes. Such representation shall be sworn as true to the best knowledge and belief of the person signing the resulting contract and shall be subject to the penalties of false statement.
- 4. Campaign Contribution Restriction, C.G.S. § 9-612.** For all State contracts, defined in section 9-612 of the Connecticut General Statutes as having a value in a calendar year of \$50,000 or more, or a combination or series of such agreements or

contracts having a value of \$100,000 or more, the authorized signatory to the resulting contract must represent that they have received the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice, as set forth in "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations." Such notice is available at

[https://seec.ct.gov/Portal/data/forms/ContrForms/seec\\_form\\_11\\_notice\\_only.pdf](https://seec.ct.gov/Portal/data/forms/ContrForms/seec_form_11_notice_only.pdf)

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

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

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

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

Any bidder or proposer that does not agree to the representations required under this section shall be rejected and the State agency or quasi-public agency shall award the contract to the next highest ranked proposer or the next lowest responsible qualified bidder or seek new bids or proposals.

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

public agency to pursue a breach of contract action for any violation of the provisions of the resulting contract.

- 7. Nondiscrimination Certification, C.G.S. § 4a-60 and 4a-60a.** If a bidder is awarded an opportunity to negotiate a contract, the proposer must provide the State agency with *written representation* in the resulting contract that certifies the bidder complies with the State's nondiscrimination agreements and warranties. This nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. The authorized signatory of the contract shall demonstrate his or her understanding of this obligation by either (A) initialing the nondiscrimination affirmation provision in the body of the resulting contract, or (B) providing an affirmative response in the required online bid or response to a proposal question, if applicable, which asks if the contractor understands its obligations. If a bidder or vendor refuses to agree to this representation, such bidder or vendor shall be rejected and the State agency or quasi-public agency shall award the contract to the next highest ranked vendor or the next lowest responsible qualified bidder or seek new bids or proposals.
- 8. Access to Data for State Auditors.** The Contractor shall provide to OPM access to any data, as defined in C.G.S. § 4e-1, concerning the resulting contract that are in the possession or control of the Contractor upon demand and shall provide the data to OPM in a format prescribed by OPM [or the Client Agency] and the State Auditors of Public Accounts at no additional cost.



## VI. APPENDIX

### A. ABBREVIATIONS / ACRONYMS / DEFINITIONS

|                       |  |
|-----------------------|--|
| BFO                   | Best and Final Offer   |
| CC                    | Correctional Center (CT)/Prison or Jail (U.S.)   |
| CCF                   | Halfway House (CT)/Community Confinement Facility (U.S.)   |
| C.G.S.                | Connecticut General Statutes   |
| CHRO                  | Commission on Human Rights and Opportunities (CT)  |
| CI                    | Correctional Institution (CT)/Prison or Jail (U.S.)  |
| Contractor            | A private provider organization, state agency, or municipality that enters into a Purchase of Service (POS) contract with the Agency as a result of this RFP   |
| Correctional Facility | Correctional Center or Correctional Institution (CT)/Prison or Jail (U.S.)   |
| CT                    | Connecticut  |
| DAS                   | Department of Administrative Services (CT)   |
| Department            | Department of Correction (CT)  |
| DOC                   | Department of Correction (CT)  |
| FOIA                  | Freedom of Information Act (CT)  |
| Halfway House         | Community Confinement Facility (U.S.)  |
| IRS                   | Internal Revenue Service (U.S.)  |
| LOI                   | Letter of Intent   |
| OAG                   | Office of the Attorney General (CT)  |
| OPM                   | Office of Policy and Management (CT)   |
| OSC                   | Office of the State Comptroller (CT)   |
| P.A.                  | Public Act (CT)  |
| Proposer              | A private provider organization, state agency, or municipality that has submitted a proposal to the Agency in response to this RFP. This term may be used interchangeably with respondent throughout the RFP |
| Prospective Proposer  | A private provider organization, state agency, or municipality that may submit a proposal to the Agency in response to this RFP, but has not yet done so   |
| RFP                   | Request for Proposal   |
| SEEC                  | State Elections Enforcement Commission (CT)  |
| Subcontractor         | An individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific service as part of a PSA with the Agency as a result of this RFP                     |
| U.S.                  | United States  |

**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 Agency the cost proposed in the RFP and within the timeframes therein.
- c. The Respondent will seek prior approval from the Agency before making any changes to the location of services.
- d. Neither the Respondent or any official of the organization nor any subcontractor the Respondent or any official of the subcontractor organization has received any notices of debarment or suspension from contracting with the State of CT or the Federal Government.
- e. Neither the Respondent or any official of the organization nor any subcontractor to the Respondent or any official of the subcontractor's organization has received any notices of debarment or suspension from contracting with other states within the United States.

Legal Name of Organization:

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

\_\_\_\_\_  
Date

**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 detail **This is a tool for proposers to use.** It is the responsibility of each respondent to ensure that all required documents, forms, and attachments, are submitted in a timely manner.

**Key Dates**

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

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

Not Applicable

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

- Register at: <https://portal.ct.gov/DAS/CTSource/Registration>
- Submit required forms:
  - Campaign Contribution Certification (OPM Ethics Form 1):  
<https://portal.ct.gov/OPM/Fin-PSA/Forms/Ethics-Forms>

**Proposal Content Checklist**

- ☐ **Cover Sheet** including required information:
  - RFP Name or Number
  - Legal Name
  - FEIN
  - Street Address
  - Town/City/State/Zip
  - Contact Person
  - Title
  - Phone Number
  - E-Mail Address
  - Authorized Official
  - Title
  - Signature
- ☐ **Table of Contents**
- ☐ **Executive Summary:** high-level summary of proposal and cost
- ☐ **Main proposal body answering all questions with relevant attachments.**  
*Proposers should use their discretion to determine whether certain required information is sufficiently captured in the body of their proposal or requires additional attachments for clarification. Additional attachments may include (bullets below are examples only):*

- Staffing plan with FTE status
  - Agency and program organizational chart detailing reporting structure
  - Staff resumes and applicable licensures
  - Work plan describing organization's efforts, progress, or plans to diversify workforce
  - Detailed plan on cultural competence and humility in service delivery
  - Memoranda of Agreement/Understanding with service partners
  - Written financial policies and procedures
- ☐ **IRS Determination Letter** (for nonprofit proposers)
- ☐ **Two years of most recent annual audited financial statements; OR any financial statements prepared by a Certified Public Accountant** for proposers whose organizations have been incorporated for less than two years.
- ☐ **Proposed budget**, including budget narrative and cost schedules for planned subcontractors if applicable.
- ☐ **Conflict of Interest Disclosure Statement**
- ☐ **Statement of Assurances**

**Formatting Checklist**

- ☐ Is the proposal formatted to fit 8 ½ x 11 (letter-sized) paper?
- ☐ Is the main body of the proposal within the page limit?
- ☐ Is the proposal in 12-point, Times New Roman font?
- ☐ Does the proposal format follow normal (1 inch) margins and 1 ½ line spacing?
- ☐ Does the 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)?

**APPENDIX D.****Letter of Intent**Return to:

**Name:** Stacey Hubert  
**Address:** Connecticut Department of Correction  
24 Wolcott Hill Road  
Wethersfield, CT 06109  
**Phone:** 860-692-7635  
**Fax:** 860 692-7576  
**Email:** [DOC.RFP@ct.gov](mailto:DOC.RFP@ct.gov)  
**Include:** DOC-PREA-2023-SJH 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 | Email Address |

**Person Authorized to Sign Contract:**

|       |       |
|-------|-------|
| _____ | _____ |
| Name  | Title |

|           |       |
|-----------|-------|
| _____     | _____ |
| Signature | Date  |

**APPENDIX E.****STATE OF CONNECTICUT  
DEPARTMENT OF CORRECTION  
COVER SHEET**

**RFP NAME:** PREA Auditing Services  
**RFP NUMBER #:** DOC-PREA-2023-SJH

**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 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 E-mail Address

Signature

Total Amount of Proposal: \_\_\_\_\_

## APPENDIX F. BUDGET FORM

## RFP #DOC-PREA-2023-SJH

Facility: \_\_\_\_\_

## I. Pre-Audit Phase

|    | PERSONNEL COSTS              | FTEs | Cost |
|----|------------------------------|------|------|
| A. | Project Manager              |      |      |
| B. | Auditor(s)                   |      |      |
| C. | Other (specify):             |      |      |
|    | <b>Total Personnel Costs</b> |      |      |
| D. | Travel Costs                 |      |      |
| E. | Other (specify):             |      |      |
|    | <b>TOTAL PRE-AUDIT COSTS</b> |      |      |

## II. On-Site Audit Phase

|    | PERSONNEL COSTS                  | FTEs | Cost |
|----|----------------------------------|------|------|
| A. | Project Manager                  |      |      |
| B. | Auditor(s)                       |      |      |
| C. | Other (specify):                 |      |      |
|    | <b>Total Personnel Costs</b>     |      |      |
| D. | Travel Costs                     |      |      |
| E. | Other (specify):                 |      |      |
|    | <b>TOTAL ON-SITE AUDIT COSTS</b> |      |      |

## III. Post-Audit Phase

|    | PERSONNEL COSTS               | FTEs | Cost |
|----|-------------------------------|------|------|
| A. | Project Manager               |      |      |
| B. | Auditor(s)                    |      |      |
| C. | Other (specify):              |      |      |
|    | <b>Total Personnel Costs</b>  |      |      |
| D. | Travel Costs                  |      |      |
| E. | Other (specify):              |      |      |
|    | <b>TOTAL POST-AUDIT COSTS</b> |      |      |

**TOTAL PRE-, ON-SITE & POST-AUDIT COSTS**

## IV. Corrective Action Plan (CAP)

|    | PERSONNEL COSTS              | FTEs | Cost |
|----|------------------------------|------|------|
| A. | Project Manager              |      |      |
| B. | Auditor(s)                   |      |      |
| C. | Other (specify):             |      |      |
|    | <b>Total Personnel Costs</b> |      |      |
| D. | Travel Costs                 |      |      |
| E. | Other (specify):             |      |      |
|    | <b>TOTAL CAP COSTS</b>       |      |      |

**TOTAL COSTS**

## Appendix G.

**Connecticut Department of Correction  
Facilities Map**





## APPENDIX H.

**REQUEST FOR PROPOSALS**  
**RFP # DOC-PREA-2023-SJH**  
**Department of Correction**  
**February 2023**

**Audit Schedule**

| <b>Prisons and Jails</b>                               |                            |                      |                                 |                   |                     |
|--|----------------------------|----------------------|---------------------------------|-------------------|---------------------|
| <b>Facility/Location</b>                               | <b>Completion Due Date</b> | <b>Facility Type</b> | <b># of Dorms/Housing Units</b> | <b># of Staff</b> | <b># of Inmates</b> |
| Brooklyn CI<br>59 Hartford Rd, Brooklyn                | August 2023                | Prison               | 4 Dorms                         | 123               | 371                 |
| New Haven CC<br>245 Whalley Ave, New Haven             | August 2023                | Jail                 | 3 Dorms/10 Housing Units        | 275               | 636                 |
| Garner CI<br>50 Nunnawauk Rd, Newtown                  | August 2023                | Prison               | 11 Housing Units                | 369               | 517                 |
| Robinson CI<br>285 Shaker Rd, Enfield                  | August 2023                | Prison               | 11 Dorms                        | 311               | 938                 |
| Manson Youth Institution<br>42 Jarvis St, Cheshire     | August 2024                | Prison               | 10 Housing Units                | 283               | 316                 |
| Willard-Cybulski CI<br>391 Shaker Rd, Enfield          | August 2024                | Prison               | 10 Dorms                        | 217               | 626                 |
| Bridgeport CC<br>1106 North Ave, Bridgeport            | August 2024                | Jail                 | 7 Dorms/7 Housing Units         | 325               | 550                 |
| Corrigan CC<br>986 Norwich-New London Tpke, Uncasville | August 2024                | Prison               | 8 Housing Units                 | 434               | 632                 |
| Hartford CC<br>177 Weston St, Hartford                 | August 2025                | Jail                 | 4 Dorms/8 Housing Units         | 337               | 846                 |
| Cheshire CI<br>900 Highland Ave, Cheshire              | August 2025                | Prison               | 1 Dorm/16 Housing Units         | 428               | 1,182               |
| Osborn CI<br>335 Bilton Rd, Somers                     | August 2025                | Prison               | 7 Dorms/12 Housing Units        | 426               | 937                 |
| MacDougall-Walker CI<br>1153 East St South, Suffield   | August 2025                | Prison               | 24 Housing Units                | 678               | 1,562               |
| York CI<br>201 West Main St, Niantic                   | August 2025                | Prison               | 1 Dorms/13 Housing Units        | 544               | 743                 |

| <b>Community Confinement Facilities</b>   |                        |                   |                  |
|---|------------------------|-------------------|------------------|
| <b>Facility/Location</b>  | <b>Completion Date</b> | <b># of Staff</b> | <b># of Beds</b> |
| The Connection, Inc.<br><b>Roger Sherman House</b><br>48 Howe St, New Haven                   | August 2023            | 12                | 61               |
| The Connection, Inc.<br><b>Sierra Work Release</b><br>48 Howe St, New Haven                   | August 2023            | 13                | 60               |
| Community Solutions Inc.<br><b>Chase Center</b><br>21 Cliff St, Waterbury                     | August 2023            | 22                | 56               |
| Community Solutions Inc.<br><b>Watkinson House</b><br>136 Collins St, Hartford                | August 2023            | 20                | 56               |
| The Connection, Inc.<br><b>Connection House</b><br>167 Liberty St, Middletown                 | August 2023            | 7                 | 15               |
| CT Renaissance<br><b>Maple Street</b><br>575 Maple St, Bridgeport                             | August 2023            | 21                | 61               |
| Perception Programs<br><b>Grace House</b><br>219 Valley St, Willimantic                       | August 2023            | 8                 | 5                |
| Community Solutions Inc.<br><b>Aileen's (Hartford) House</b><br>10 Irving St, Hartford        | August 2023            | 12                | 22               |
| The Connection, Inc. (RISE)<br>Howe Street<br>New Haven                                       | August 2023            | 8                 | 15               |
| Career Resources<br><b>Women and Children Reentry Center</b><br>1037 Sylvan Ave., Bridgeport  | August 2023            | 9                 | 5                |
| Perception Programs<br><b>Next Step Cottage</b><br>215 Valley St/7 Cottage Place, Willimantic | August 2024            | 10                | 15               |
| Project More<br><b>Walter Brooks House</b><br>690 Howard Ave, New Haven                       | August 2024            | 20                | 67               |
| The Connection, Inc.<br><b>January Center</b><br>984 Norwich-New London Tpke,<br>Uncasville   | August 2024            | 8                 | 12               |
| The Connection, Inc.<br><b>Cochegan House</b><br>984 Norwich-New London Tpke,<br>Uncasville   | August 2024            | 7                 | 24               |

|  |             |    |    |
|--|-------------|----|----|
| New Opportunities<br><b>Bishop House</b><br>31 Bishop St, Waterbury                    | August 2024 | 22 | 51 |
| Career Resources<br><b>Isaiah House</b><br>112,120 & 341 Clinton Ave, Bridgeport       | August 2024 | 37 | 45 |
| Career Resources<br><b>STARS (Mary Magdelene) House</b><br>407 Clinton Ave, Bridgeport | August 2024 | 15 | 15 |
| CT Renaissance<br><b>Waterbury East</b><br>31 Wolcott St, Waterbury                    | August 2024 | 19 | 64 |
| Community Solutions Inc.<br><b>Cheyney House</b><br>155 Wethersfield Ave, Hartford     | August 2024 | 18 | 41 |
| The Connection, Inc.<br><b>Sierra Mental Health</b><br>New Haven, CT                   | August 2024 | 6  | 14 |
| Community Solutions Inc.<br><b>Silliman House</b><br>199 Retreat Ave, Hartford         | August 2024 | 10 | 15 |
| CT Renaissance<br><b>Central Avenue</b><br>24 Central Ave, Waterbury                   | August 2025 | 18 | 45 |
| The Open Hearth<br><b>Open Hearth Men's WR</b><br>437 Sheldon St, Hartford             | August 2025 | 17 | 44 |
| CT Renaissance<br><b>Waterbury West</b><br>466 W. Main St., Waterbury                  | August 2025 | 8  | 10 |
| Community Partners in Action<br><b>(MEN'S WR)</b><br>121 Washington St, Hartford       | August 2025 | 10 | 24 |
| APT Foundation <b>(RSD)</b><br>425 Grant St, Bridgeport                                | August 2025 | 93 | 62 |
| The Connection, Inc.<br><b>Eddy Center</b><br>1 LaBella Cir, Middletown                | August 2025 | 8  | 38 |
| Community Solutions Inc.<br><b>Stein House</b><br>140 Sergeant St, Hartford            | August 2025 | 12 | 16 |
| Community Resources for Justice<br><b>Dana's House</b><br>75 Henry St, New Haven       | August 2025 | 8  | 15 |
| FHM Services<br><b>Fellowship House</b><br>466 Long Hill Rd, Groton                    | August 2025 | 13 | 18 |
| Project More<br><b>Roger Everson</b><br>593 & 595 Columbus Avenue<br>New Haven, CT     | August 2025 | 8  | 14 |

## APPENDIX I.

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

**Check One:**

☐ **Initial Certification**

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

**CAMPAIGN CONTRIBUTION CERTIFICATION:**

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

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

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

OPM Form 1

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**

