

**STATE OF CONNECTICUT PROCUREMENT NOTICE**

Request for Proposals (RFP) For  
Quality Assurance Services & Core Correctional Practices  
Training

RFP Name: DOC-QA-2023-SM

Issued By:

Department of Correction

February 14, 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:

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

<https://portal.ct.gov/DOC/Common-Elements/Common-Elements/RFP>

RESPONSES MUST BE RECEIVED NO LATER THAN

**April 4, 2023**

At 3pm 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.** Quality Assurance Services - DOC-QA-2023-SM.
- 2. RFP Summary.** The State of Connecticut Department of Correction (DOC) is seeking proposals from experienced organizations and individuals who are certified in the administration, scoring, and training of SCORES (Statewide Collaborative Offender Risk Evaluation System aka Ohio Risk Assessment System (ORAS), and Womens Risk Needs Assessment (WRNA) and can provide quality assurance/coaching services to DOC staff and CT Board of Pardons and Paroles (BOPP) staff for SCORES, and WRNA. DOC is also seeking services for curriculum development, End User Training and Train the Trainer training to DOC staff on Core Correctional Practices. Respondents that are also certified in SCORES and WRNA training may include an option for this training services in their proposal.
- 3. RFP Purpose.** To procure consultant(s) that can:
  1. Continue the Department efforts in Quality Assurance of the SCORES and WRNA Assessment tools and CCP Intervention.
  2. Create a training curriculum for CCP and train staff in assessments and interventions as needed.

The Department seeks to improve its implementation of these tools and interventions as well as garner curriculum that can be used in the future by DOC to train new staff. Respondents can submit a proposal for one service or any combination of the services listed in this RFP.

- 4. Commodity Codes.** The services that the Agency wishes to procure through this RFP are as follows:
  - 93000000: Politics and Civic Affairs Services
  - 86000000: Education and Training Services
  - 91000000: Personal and Domestic Services
  - 80000000: Management and Business Professionals and Administrative 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: Suzanne Mazzotta  
Address: 24 Wolcott Hill Road, Wethersfield, CT 06109  
Phone: 860-692-7866  
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, amendments to the RFP, and other information associated with this procurement are available in electronic format from the Official Contact or from the Internet at the following locations:

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

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

- 4. Procurement Schedule.** See below. Dates after the due date for proposals ("Proposals Due") are non-binding target dates only (\*). The 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 14, 2023
- Letter of Intent Due: February 28, 2023
- Deadline for Questions: Tuesday, March 14, 2023
- Answers Released: Friday, March 17, 2023
- Proposals Due: **Tuesday, April 4, 2023, 3pm EST**
- (\*) Start of Contract: June 1, 2023 or as soon as possible

**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: 1 or 2
- Contract Cost: Confidential
- Contract Term: One and Two-year term with option to extend an additional year.
- Funding Source: State DOC Community Service funding/SCAP funding

**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.

Non-profits shall attach a copy of their IRS Non-profit determination letter in Section E: Attachments of their proposal

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

- ✓ experienced organizations and individuals who are certified in the administration, scoring, and training of SCORES (Statewide Collaborative Offender Risk Evaluation System aka Ohio Risk Assessment System (ORAS), and Womens Risk Needs Assessment (WRNA).
- ✓ Experience in training and application of Core Correctional Practices (CCPs).
- ✓ Experience providing quality assurance for assessments and interventions in criminal justice agencies.
- ✓ Experience in writing curriculum

**8. Letter of Intent.** A Letter of Intent (LOI) is required by this RFP. Proposers shall use the LOI form provided in Section IV Appendix E. Forms.

**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 Agency'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:

**April 4, 2023 by 3:00 PM EST**

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 carry signatures. Unsigned proposals will not be evaluated.

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

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

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

**12. Multiple Proposals.** The submission of multiple proposals is an option for this procurement.

Proposals can include only one component or they can include both the QA and CCP Curriculum Development and Training Components.

Respondents that are certified to provide SCORES and WRNA training may include in their submitted proposals the option to add on SCORES and WRNA training services.

## II. PURPOSE OF RFP AND SCOPE OF SERVICES

### ■ A. DEPARTMENT OVERVIEW

The Department of Correction strives 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.

The Department currently operates fifteen (15) correctional facilities throughout the state, with a current population of 10,047 incarcerated offenders as of February 2023. The Department's Parole & Community Services Division supervises and provides support to approximately 3,070 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(s) 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

- *Quality Assurance Services on the delivery of SCORES, WRNA, and CCP by CTDOC Staff and BOPP staff;*
- *Training to DOC Staff and BOPP Staff on SCORES, WRNA;*
- *CCP Curriculum Development for End User Training and Train the Trainer Training that DOC shall have the rights to use indeterminately, beyond the life of any contractual agreement for these services.*

The Department through its Statewide Recidivism Reduction Implementation Plan initiatives has trained staff on SCORES and WRNA assessment tools and the CCP Intervention. To ensure the fidelity and integrity of the delivery of these tools, trained staff received quality assurance coaching. The Department seeks to improve its implementation of these tools and interventions, as well as, garner curriculum that can be used in the future by DOC to train new staff

The Department is seeking the services of a consultant that can continue the Department efforts in Quality Assurance of DOC staff and BOPP staff's delivery of the SCORES and WRNA Assessment tools and CCP Intervention.

The Department is also seeking a consultant to create End-User and Train the Trainer training curriculum for CCP, which provides the rights to DOC to use this curriculum to train its staff beyond any contractual agreement with the consultant. Upon acceptance of the developed curriculum, the Consultant shall provide End-User and Train the Trainer training to DOC staff.

The Department may need training for staff in SCORES and WRNA on an as needed basis. Certified SCORES and WRNA proposers may include an option in their proposal to provide SCORES and WRNA trainings. Proposals should clearly describe deliverables and cost.



## ■ C. SCOPE OF SERVICE DESCRIPTION

### 1. Organizational Expectations

- *Entity Type: Proposers must be registered to do business in the State of Connecticut through the Office of the Secretary of State and on CTSOURCE the State's secure, web-based statewide eProcurement system.*
- *Location of Offices/Services – Services requested in the RFP can be delivered virtually and in-person. In person services can be delivered at DOC Facility and Office Locations. Preference will be given to proposals that can deliver services on-site.*

### 2. Service Expectations:

- **Quality Assurance Services (QA) on the delivery of SCORES, WRNA, and CCP by CTDOC Staff and BOPP staff**

The Department required the services of a consultant that is certified in the administration, scoring, and training of SCORES (Statewide Collaborative Offender Risk Evaluation System aka Ohio Risk Assessment System (ORAS), -and WRNA (Womens Risk Needs Assessment) and is experienced in training and application of Core Correctional Practices (CCP) and can provide quality assurance/coaching services to CT Department of Correction staff and Board of Pardons and Paroles staff for SCORES, WRNA, and CCPs.

The Department has staff trained in these assessment tools and intervention and has been performing quality assurance of Staff's delivery to ensure fidelity and integrity. This RFP is seeking proposals for a consultant to continue the Department's Quality Assurance efforts.

*The Proposer shall be able to deliver the following:*

- Shall provide quality assurance to support the growth of staff skills to ensure that all assessments and interventions are being conducted with fidelity and integrity.
- Shall audit and track accuracy and efficacy of staff,
- Shall help staff identify deficits and set goals to achieve growth overtime.
- Shall ensure long term skill acquisition and professional development of staff;
- Shall support CTDOC's implementation efforts and to ensure fidelity evidence based practices.

The proposer shall provide QA coaching to staff upon referrals from DOC and BOPP and to newly trained staff beginning one month after staff complete training on the tools and/or intervention.

The QA Coach is expected to evaluate and provide verbal and written feedback based on either recorded submissions or role play with the Coach. The QA Coach shall review tape submissions with the focus on staff use of skill, fidelity and integrity to the intervention, tools and model.

QA Coach shall schedule role play or feedback sessions with staff. Sessions can be virtual and/or on-site in person. Preference will be given to proposals with an in

person option. Visits shall be scheduled after the coach has listened to the staff's tape submission and has scored their delivery of the tool.

QA Coach on-site visits shall be held at Parole and Community Services District Offices with locations in Bridgeport, Hartford, New Haven, Norwich, and Waterbury, CT and at the BOPP Waterbury Office, as well as at DOC facilities. Preference will be given to proposals with services provided on-site, but virtual is allowed.

QA Coach shall provide individual feedback for the particular Assessment (SCORES, WRNA) or intervention (CCP).

The Coach shall provide strength based feedback reviews providing staff with information as to their strengths and weaknesses when administering the particular Assessment or intervention.

Individual Feedback sessions shall be conducted and should be between 45-60 minutes in length.

The QA Coach shall meet with staff and identify and build on an individual's motives and strengths.

The QA Coach shall act in a professional way at all times.

The QA Coach shall provide formative feedback regarding the process of facilitating skill acquisition and professional growth through direct feedback. The formative feedback shall focus on enhancing the strengths of the staff through brainstorming, modeling, and role-play. The Coach shall review the relevant part of the observation and shall model behaviors and skills with staff using Motivational Interviewing Techniques. The Coach shall collaborate with staff and develop individualized professional development goals.

The Contractor shall be required to track and report to CTDOC/BOPP staff compliance and QA results. QA results shall be shared with CTDOC and BOPP Supervisors/Managers.

Aggregate analysis of QA performance including individual and group level change over time shall be provided. Results shall be provided on a semi-annual basis in a written summary.

The QA Coach shall document staff progress on a Coding Sheet, which shall contain the content of the observed sessions including session length, what topics were covered, scoring measure and full description of each section that was coded. Coding sheets shall contain areas of strengths, areas to develop and a collaborative goal.

QA Coach prior to all visits with staff shall conduct a check-in-session with the staff's Supervisor/Manager to alert that the QA Coach is in the building, to learn of any existing barriers that would impede staff's progress, and to get the

Supervisor's/Manager's input on the staff's progress since the last visit. Check-in sessions shall be short lasting between 5 to 10 minutes.

QA Coach will schedule the next visit with staff.

QA Coach will provide contact information to both staff and CTD/DOC/BOPP Supervisor/Manager.

The Proposer shall submit their Quality Assurance Protocols for CTD/DOC review with its proposal.

The Proposer shall provide a per hour fee for service rate for: Tape reviews, role-play sessions, feedback sessions, group-sessions, and report writing

<b>Service</b>	<b>Per Hour Rate for Service</b>
Tape Reviews:	\$
Feedback Session - In-Person:	
Feedback Session - Virtual:	
Role-Play Session - In-Person:	
Role-Play Session - Virtual	
Group Session - In-Person	
Group Session - Virtual	
	<b>Cost per Service</b>
CCP Curriculum Development	
CCP End-User Training Session	
CCP Train the Trainer Training Session	
WRNA Training Session	
SCORES Training Session	
Report Writing:	

### **Number of Staff and Frequency of Services:**

The proposer shall have the ability to provide services based on the following breakout of services and number of staff identified. Unless otherwise noted, QA services shall be provided at minimum on a quarterly basis, but if funding allows may be done monthly.

#### SCORES QA:

Parole: 127 Parole Officers (POs)

BOPP: 10 POs / 2-4 assessments per month

DOC Facilities: 20 Correctional Counselors (CC) /Correctional Supervisors (CS)  
monthly QA (depending on cost, maybe quarterly)

#### WRNA:

Parole: 5-6 POs; Quarterly, possibly monthly depending on cost

BOPP: 1 or 2 POs; monthly  
DOC York Correctional Facility: 6 CCs/CSs – quarterly QA

Core Correctional Practices (CCPs) (Parole Staff only)

Initial (End User) Training after Curriculum has been developed, followed by Train the Trainer Training for PO staff.

Once POs have been trained:

Quarterly QA on CCPs needed. Preferred model of QA is one that allows the option for one of the following:

- Role Play a CCP skill during session with QA;
- PO records CCP skill with real offender.

- **Curriculum Development for Core Correctional Practices Intervention**

**CCP Training Curriculum:**

Proposals are requested for CCP curriculum that should include: (1) Trainer's manual, (2) Training Slides, and (3) Participant Manual.

The training curriculum, including an outline of topics to be covered, shall be developed in collaboration with DOC within the first three months of the contract start date. An initial draft of the curriculum shall be presented to the DOC for review, feedback, and requests for revisions no later than 6 months after the start date of the contract. The final curriculum and first end user training shall be completed by month 12 of the first year of the contract. The initial training will include 127 Parole Staff. The Proposer shall anticipate that multiple sessions will be needed to train all 127 Parole Staff.

Upon completion of the initial End-User Training, a subsequent Train the Trainer Training session (TforT) shall be completed for approximately 10 Parole Staff. The TforT shall be completed by Month 18 of the contract.

The curriculum developed shall provide rights to DOC to immediately use the curriculum as well as rights to use the curriculum beyond any contractual agreement entered into for services.

The delivery of services can be done in person or virtually. Preference will be given to proposals that provide the majority of services in person. Arrangements can be made for services to be delivered in person at DOC facilities and Parole Offices.

### **3. Staffing Expectations**

- *The Proposal shall describe the staff necessary to provide the services indicated in the RFP, which must include individuals that are certified in the administration, scoring, and training of SCORES and WRNA and knowledge, experience and training in CCPs. Staff positions, names, and qualifications shall be included. Staff resumes shall be included in Appendix E*

#### 4. Data and Technology Expectations

Proposer must demonstrate sufficient capacity to collect and manage Department required data. The Department expects the following:

- Current office operating systems, must be able to maintain electronic case management records
- Proposers shall have the capability to access the internet, send/receive e-mail and view PDF documents
- Ability to provide remote capability to include, but not limited to virtual meetings
- Ability to receive taped sessions recorded by DOC/BOPP staff
- Ability to maintain records/data collection and reporting

#### 5. Financial Expectations

*Proposers must be fiscally stable, have accounting and financial reporting systems, and relevant business practices. Proposal shall describe:*

- *Financial Control Procedures*
- *Financial Status Reports*
- *Audited Financial Statements*

#### 6. Budget Expectations

Proposals shall quote a fixed hourly rate for QA services and coaching under this contract. The hourly rate quoted for QA shall be inclusive of all costs associated with this contract. Proposals shall provide a cost for curriculum development and training, which includes details regarding the minimum and maximum # of staff that can be trained per session, the # of trainers per session and training materials.

Service	Per Hour Rate for Service
Tape Reviews:	\$
Feedback Session - In-Person:	
Feedback Session - Virtual:	
Role-Play Session – In-Person:	
Role-Play Session - Virtual	
Group Session – In-Person	
Group Session - Virtual	
	<b>Cost per Service</b>
CCP Curriculum Development	
CCP End-User Training Session	
CCP Train the Trainer Training Session	
WRNA Training Session	
SCORES Training Session	
Report Writing:	

#### ■ D. PERFORMANCE MEASURES

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

On an annual basis, the Contractor shall meet the following objectives:

- Quality Assurance provided shows the growth of staff skills to ensure that all interventions are being conducted with fidelity and integrity.
- Coaching has identified deficits and staff is achieving growth toward set goals.
- Coaching is demonstrating long term skill acquisition and professional development of staff
- Coaching/QA and training provided are supporting DOC's efforts to ensure fidelity evidence based practices.

## ■ E. CONTRACT MANAGEMENT/DATA REPORTING

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

Meetings/Reports/Training:

- The Contractor shall be required to attend monthly meetings
- Aggregate analysis of QA performance including individual and group level changes over time shall be provided semi-annually.
- Staff observation and growth shall be submitted to DOC Supervisors.
- Training Certifications for all staff receiving training.

### 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 the Appendix.

*Legal Name* is defined as the name of the 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.

**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 2 pages, of the main proposal and cost proposal. The summary should include any prior experience in the delivery of the requested services and the organization's eligibility and qualifications to respond to this RFP.

**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: 8 ½ x 11 (Letter)
- Page Limit: None specified
- Font Size: Minimum of 11 point
- Margins: 1"
- Line Spacing: None specified

**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

Criteria	Possible Points
Organizational Profile	10
Scope of Services	20
Staffing	10
Data and Technology	10
Work Plan	20
Financial Profile	10
Budget and Budget Narrative	10
Appendices	10
Total Possible Points	100

Evaluation Criterion Title	Percentage of Total	What would a top score look like?
Organizational Profile	10%	Proposal is consistent with proposer's purpose/mission and has history of providing services identified. Proposer has experience in providing services to DOC within the past three years or reference letters that support proposer's experience in providing identified services. For Proposers with past DOC contract experience, performance met or exceeded expectations.
Service Requirements:	20%	Proposer is certified in the administration, scoring and training in SCORES, CCP, and WRNA; Proposer has experience in providing QA coaching in these instruments to Correctional staff; Proposer has created training curriculum with these interventions and instruments.

		Proposer has experience in delivering trainings.
Staffing	10%	Staffing is reasonable and effective to implement the services identified; Proposal identifies QA coaches, curriculum writers, and trainers; Proposal identifies staffing responsible for reporting and invoicing.
Data and Technology	10%	Proposer has the ability to access the internet, send and receive secure outside e-mail, receive and review taped Parole Officer/Client sessions, view PDF documents, and can meet virtually with video and audio connections. Proposer demonstrates the ability to file required reports, track DOC/BOPP staff performance in implementation of the tools and interventions, maintain data and provide certifications regarding staff trained.
Work Plan	20%	Proposal contains work plan that is comprehensive and realistic to services identified; Proposal describes tasks, timetable/schedule, methodologies, and deliverables.
Financial Profile	10%	Proposer's audited financial statement demonstrate proposer's fiscal stability; proposer has financial capacity to properly isolate contract-related income and expenditures; internal controls are reasonable and effective to ensure that a thorough record of expenditures can be provided for the purpose of an audit.
Budget and Narrative	10%	Proposer's costs are complete, reasonable, cost-effective, and consistent with all sections of the proposal, especially the budget. Proposal provides detail and justification of costs and rates are provided as requested.
Appendices	10%	Proposal includes all the required affidavits, certifications, and attachments; All affidavits and certifications are properly completed.

**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.

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## IV. REQUIRED PROPOSAL SUBMISSION OUTLINE AND REQUIREMENTS

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### A. Cover Sheet

### B. Table of Contents

### C. Executive Summary

### D. Main Proposal

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

### F. Declaration of Confidential Information

### G. Conflict of Interest - Disclosure Statement

### H. Statement of Assurances

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

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

- RFP Name or Number:
- Legal Name:
- FEIN (not required for currently contracted providers/vendors):
- Street Address:
- Town/City/State/Zip:
- Contact Person:
- Title:
- Phone Number:
- E-Mail Address:
- Authorized Official:
- Title:
- 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 \_\_\_\_\_** (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 \_\_\_\_\_ 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 / Parent Organization / Years of Operation* . . . . .
- c. *Location of Offices / Facilities*. . . . .
- d. *Functional Organization* . . . . .
- e. *Current Range of Services / Clients* . . . . .
- f. *Qualifications* . . . . .
- g. *Relevant Experience* . . . . .
- h. *Accreditation / Certification / Licensure* . . . . .
- i. *References* . . . . .

#### **4.2 Scope of Services**

- a. *Proposers should demonstrate how they would meet service requirements as outlined in the scope of services.*
- b. *Collaboration Approach* . . . . .
- c. *Service Capacity / Delivery Plan / Systems / Processes / Protocols* . . . . .
- d. *Quality Assurance Protocols* . . . . .
- e. *Administrative Support* . . . . .

#### **4.3 Staffing Plan – Strengths and Qualifications of Agency & Staff**

*Proposals must include a proposed staffing plan for the services requested in the RFP. Staff Resumes must be included in Appendix E.*

- a. *Key Personnel / Managers* . . . . .
- b. *Staffing Levels & Qualifications* . . . . .
- c. *Job Descriptions* . . . . .
- d. *Personnel Organization Chart.* . . . .
- e. *Staff Training / Education / Development* . . . . .

#### 4.4 Data and Technology

*Proposer must demonstrate sufficient capacity to collect and manage Department required data. Proposals should include the following:*

- a. *E-Mail / Internet/Remote Capabilities*
- b. *IT Infrastructure / Operating System*
- c. *Data Collection / Storage / Reporting*
- d. *Assessment of Client Satisfaction.*
- e. *Evaluation / Outcome Measures ..*

#### 4.5 Work Plan

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

- a. *Start Date*
- b. *Timetable / Schedule*
- c. *Tasks, Deliverables*
- d. *Methodologies*
- e. *Measurable Objectives*

#### 4.6 Financial Profile

*The proposer shall provide information regarding their financial management, accounting and reporting systems including but not limited to:*

- a. *Audited Financial Statements.* Proposers should submit a copy of the cover letter from the proposer's auditor for each of the three most recent annual audits and a copy of the most recent audit prepared by an independent Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (GAAP) (USA). The copy shall include all applicable financial statements, auditor's reports, management letters, and any corresponding reissued components, including reports on compliance for each major State and federal program and on internal control over compliance. Cover letters and the annual audit do not count toward the page limit of the proposal. and should be attached in Section E. Appendices. If less than three audits have been conducted, detail must be provided as to why, and any supporting documentation assuring the financial efficacy of the proposer should be included (for example, a financial statement prepared by an accountant, a tax return, etc.

If the 3 most recent audit are available via OPM's Electronic Audit Reporting System (EARS), please note this as such in the proposal and copies of the audit do not need to be provided.

- b. *Financial Capacity.* Describe the proposer's financial capacity to properly isolate contract-related income and expenditures. Discuss the internal controls used to ensure that a thorough record of expenditures can be provided for purposes of an audit.

#### 4.7 Cost Competitiveness and Budget Narrative

Proposers shall quote a fixed hourly rate to perform services for QA under this contract. Proposers may provide a lump sum training rate, curriculum rate and report rate. Training rates shall provide details on the # of trainers, minimum/maximum # of staff to be trained per training session, # hours/days per training session and training materials to be provided. The proposal shall contain a budget narrative which provides a detailed explanation of costs.

- a. *Narrative .*
- b. *Line Item Budget.*

<b>Service</b>	<b>Per Hour Rate for Service</b>
Tape Reviews:	\$
Feedback Session - In-Person:	
Feedback Session - Virtual:	
Role-Play Session – In-Person:	
Role-Play Session - Virtual	
Group Session – In-Person	
Group Session - Virtual	
	<b>Cost per Service</b>
CCP Curriculum Development	
CCP/WRNA Training Session	
Report Writing:	

### ***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, which includes:

- a. *IRS Determination letter (required for Non-profits only)*
- b. *Résumés of Key Personnel*
- c. *Audited Financial Statements*
- d. *Budget*

### ***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 statement included as Appendix E.



## V. MANDATORY PROVISIONS

### ■ A. STANDARD CONTRACT PROVISIONS

By submitting a proposal in response to this RFP, the proposer implicitly agrees to comply with the provisions of Part I and II of the State's "standard contract" for Personal Service Agreement (PSA)

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

Part II of the standard contract includes the State's mandatory terms and conditions of the PSA contract.

A sample of Part I and II is available from the Department's Official Contact upon request.

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

### ■ B. ASSURANCES

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

- 1. Collusion.** The proposer represents and warrants that the proposer did not participate in any part of the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance. The proposer further represents and warrants that no agent, representative, or employee of the State participated directly in the preparation of the proposer's proposal. The proposer also represents and warrants that the submitted proposal is in all respects fair and is made without collusion or fraud.
- 2. State Officials and Employees.** The proposer certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFP. The 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
BOPP	Board of Parole and Pardons (BOPP)
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CCP	Core Correctional Practices Intervention (CCP)
CT	Connecticut
DAS	Department of Administrative Services (CT)
DOC	Department of Correction (DOC)
FOIA	Freedom of Information Act (CT)
IRS	Internal Revenue Service (US)
LOI	Letter of Intent
OAG	Office of the Attorney General
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
PSA	Personal Service Agreement
P.A.	Public Act (CT)
QA	Quality Assurance (QA)
RFP	Request For Proposal
SEEC	State Elections Enforcement Commission (CT)
SCORES	Statewide Collaborative Offender Risk Evaluation System (SCORES) also referred to as Ohio Risk Assessment System (ORAS)
U.S.	United States
WRNA	Womens Risk Needs Assessment (WRNA)

- *contractor*: a private provider organization, CT State agency, or municipality that enters into a POS contract with the Agency as a result of this RFP.
- *proposer*: a private provider organization, CT 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, CT State agency, or municipality that may submit a proposal to the Agency in response to this RFP, but has not yet done so
- *subcontractor*: an individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific service as part of a PSA with the Agency as a result of this RFP



**APPENDIX B. STATEMENT OF ASSURANCES**

Agency Name: 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><u>Procurement Timetable</u></b>		
The Agency reserves the right to modify these dates at its sole discretion.		
Item	Action	Date
1	Deadline for Questions	February 14, 2023
2	Answers Released	February 17, 2023
3	Proposals Due	March 21, 2023
4	(*) Start of Contract	June 2023

(\*) Anticipated Date

### **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**

- ☐ Section A: **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
- ☐ Section B: **Table of Contents**
- ☐ Section C: **Executive Summary**: high-level summary of proposal and cost
- ☐ Section D: **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.*

- ☐ Section E: Attachments
  - ☐ **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.
    - ☐ OR, If an Organization utilizes the State's Electronic Audit Reporting System at <https://ears.opm.ct.gov/> and two years of its most recent annual audits are reported on EARS, then it should note this as such in the proposal and hard copies of the audits do not need to be submitted.
  - ☐ **Proposed budget**, including budget narrative and cost schedules for planned subcontractors if applicable.
  - ☐ **Resume's** of key personnel
- ☐ Section G: **Conflict of Interest Disclosure Statement**
- ☐ Section H: **Statement of Assurances**

**Formatting Checklist**

- ☐ Is the proposal formatted to fit 8 ½ x 11 (letter-sized) paper?
- ☐ 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 – FORMS****LETTER OF INTENT****RFP # DOC-QA-23-SM  
Department of Correction  
February 2023**

Return Letter of Intent form to: [DOC.RFP@ct.gov](mailto:DOC.RFP@ct.gov) Attention

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

Prospective Proposal: ☐ QA for SCORES, WRNA, CCP  
☐ CCP Curriculum Development, End User Training and Train the Trainer Training  
☐ Proposal includes option for SCORES/WRNA training.

**Prospective Proposer:**

		(     )     -
Legal Name	E-Mail Address	Telephone Number
Mailing Address	Town, State	Zip Code
<input type="checkbox"/> Yes <input type="checkbox"/> No (check one)	<input type="checkbox"/> Profit <input type="checkbox"/> Nonprofit (check one)	
Incorporated	Type of Organization	

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

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

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

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

**PROPOSAL COVER SHEET**  
**RFP # DOC-QA-23-SM**  
**Department of Correction**  
**February 2023**

**Proposer:**

		(     )     -
Legal Name	FEIN or Social Security Number	Telephone Number
Mailing Address	Town, State	Zip Code
<input type="checkbox"/> Yes <input type="checkbox"/> No (check one)	<input type="checkbox"/> Profit <input type="checkbox"/> Nonprofit (check one)	
Incorporated	Type of Organization	Fiscal Year End

\$

Total Cost

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

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

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

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

Signature