

PROCUREMENT NOTICE

State of Connecticut

Department of Mental Health and Addiction Services

and

Department of Housing

REQUEST FOR PROPOSALS (RFP)

RFP #DMHAS-HOUSING-HMIS-2018

Legal Notice

Notification of a procurement opportunity for the **Connecticut Homeless Management Information System (HMIS) Lead Agency and HMIS System Administration Services** required by the Connecticut Department of Mental Health and Addiction Services (DMHAS) and Department of Housing (DOH) is available for review, download and printing on the State's Procurement/Contracting Portal at:

<http://das.ct.gov/cr1.aspx?page=12>

Bid notices may also be accessed on the Department of Mental Health and Addiction Services and the Department of Housing's web pages at:

<http://www.ct.gov/dmhas/site/default.asp>
<http://www.ct.gov/doh>

DMHAS and DOH are Equal Opportunity/Affirmative Action Employers.

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

Questions may be directed to the DMHAS Contracts Administration Unit at (860) 418-6672.

Disclaimer: Housing Innovations, LLC, Focus Strategies, Melville Charitable Trust, CT Balance of State Continuum of Care and Opening Doors Fairfield County Continuum of Care assisted with the development of this RFP language. Organizations that assisted with the development of the language in this RFP are not eligible to apply for the services requested herein.

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I. GENERAL INFORMATION

A. INTRODUCTION

1. **RFP Name or Number.** DMHAS-HOUSING-HMIS-2018 / Connecticut HMIS Lead Agency and HMIS System Administration Services
2. **Summary.** The State of Connecticut's DMHAS, DOH, the CT Balance of State (CTBOS) Continuum of Care (CoC) and Opening Doors Fairfield County (ODFC) CoC are seeking proposals for a HMIS Lead Agency and HMIS System Administration Services.
3. **Synopsis (Optional).** The objective of this RFP is to seek applications for a HMIS Lead Agency and HMIS System Administration services. One entity may apply to provide both services. Separate entities partnering to provide both services are required to submit a collaborative proposal, with one entity clearly designated as the applicant and lead agency. Proposals for provision of one but not both of the above-mentioned services will not be considered.

To receive homeless assistance funding through the U.S. Department of Housing and Urban Development (HUD), communities are required to establish and maintain a CoC. CoCs are responsible for coordinating funding, policies, strategies and activities toward ending homelessness in their region. There are two CoCs within the State of Connecticut: The CTBOS and ODFC. For the purposes of this RFP, the HMIS Lead Agency and HMIS System Administration services will cover both the CTBOS and ODFC.

4. **Commodity Codes.** The services that the Departments wish to procure through this RFP are as follows:
 - 0600: Services (Professional, Support, Consulting and Misc. Services)
 - 2000: Community and Social Services

B. ABBREVIATIONS / ACRONYMS / DEFINITIONS

AIDS	Acquired Immune Deficiency Syndrome
BFO	Best and Final Offer
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
COC	Continuum of Care refers to one of the HUD-recognized subdivisions with responsibility for implementing homelessness services and programs for the state of Connecticut.
CT	Connecticut
CTBOS	Connecticut Balance of State Continuum of Care; covers Litchfield, Hartford, Tolland, Windham, New London, Middlesex and New Haven counties as well as the City of Danbury
DAS	Department of Administrative Services (CT)
DMHAS	Department of Mental Health and Addiction Services (CT)
DOH	Department of Housing (CT)
ESG	Emergency Solutions Grants
ESS	Emergency Shelter Services
FOIA	Freedom of Information Act (CT)
FTE	Full Time Equivalent
HDX	Homelessness Data Exchange (US)
HIC	Housing Inventory Count
HMIS	Homeless Management Information System
HUD	Department of Housing and Urban Development (US)
LOI	Letter of Intent
OAG	Office of the Attorney General
ODFC	Opening Doors Fairfield County Continuum of Care; the CoC for Fairfield County CT, excluding Danbury which is part of CTBOS

SECTION I. GENERAL INFORMATION

OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
OSHA	Occupational Safety and Health Administration
PATH	Projects for the Assistance in Transition from Homelessness
POS	Purchase of Service
PSH	Permanent Supportive Housing
P.A.	Public Act (CT)
PIT	Point in Time Count
RFP	Request for Proposal
RHYP	Runaway and Homeless Youth Programs
RRH	Rapid Re-Housing
SAGE	HMIS Reporting Repository
SAM	System Award Management
SEEC	State Elections Enforcement Commission (CT)
TLP	Transitional Living Program
U.S.	United States
VA	Veterans Affairs

- *Coordinated Access Network (CAN):* A group of service providers that work together to standardize the assessment and referral process to access community resources within a geographic region for people experiencing a housing crisis or homelessness
- *Contractor:* a private provider organization, CT State agency, or municipality that enters into a POS contract with the Departments as a result of this RFP
- *Connecticut Homeless Management Information System (CT HMIS):* A computerized data collection application and reporting system designed to capture information about homeless people and homeless programs over time. "CT HMIS" is the general name for one or more HUD-compliant software applications implemented and adopted in the state.
- *CT HMIS Lead Agency:* The party responsible for oversight of HMIS System Administration and the successful execution of the responsibilities of an HMIS Lead Agency, as described in section 578.57 of the CoC Program Interim Rule, as well as the duties that are described in this RFP and in any subsequent agreements between DMHAS and the CT HMIS Lead Agency.
- *CT HMIS Local Systems Administration:* The set of local/community practices and responsibilities related to CT HMIS for which agencies participating in CT HMIS are responsible, whether discharged directly or under contract.
- *CT HMIS Security Officer:* The party responsible for duties as delineated in the CT HMIS Policy and Procedures.
- *CT HMIS Steering Committee (CT HMIS SC):* The group established by the aggregated CT Continuum of Care entities responsible for CT HMIS oversight, implementation, planning, policies and procedures, software selection, and managing the CT HMIS in compliance with HUD's national HMIS Standards and regulations.
- *CT HMIS System Administrator:* The organization contracted to serve as the CT HMIS technical support entity responsible for carrying out the day-to-day administration and operation of the HMIS system. For the purposes of this RFP, the CT HMIS Lead agency and the CTHMIS System Administrator can either be the same entity or the CTHMIS System Administrator can be a different entity and subcontracted by the CT HMIS Lead Agency.
- *CT HMIS Data Coordinator (HDC):* An individual designated by each Participating HMIS Agency as responsible for ensuring that the Agency meets HMIS participation standards and in the CT HMIS Policies and Procedures.

- *Continuous Quality Improvement (CQI)*: An approach to quality management that builds upon traditional quality assurance methods by emphasizing the organization and systems while promoting the need for objective data to analyze and improve processes.
- *Federal Partners*: The Federal agencies currently participating in HMIS, and who collectively develop HMIS data collection standards. Federal partners include HUD-CoC, ESG, and HOPWA; VA; HHS-RHY and PATH.
- *Licensed End Users (End Users)*: Persons at the Participating Program and Participating HMIS Agency levels who require legitimate access to the software system and are granted such access after training and participating program authorization. Individuals with specific authorization and established roles within CT HMIS software can access the software application for the purpose of conducting data management tasks associated with their area of responsibility
- *Participating HMIS Agency*: A legal entity responsible for one or more "Participating HMIS Programs" that is licensed to use the CT HMIS.
- *Participating HMIS Program*: A program operated by a Participating HMIS Agency which records data elements regarding clients served and enters these data elements through agreed upon means to the CT HMIS operated by the CT HMIS Lead Agency.
- *Participating HMIS Agency Security Coordinator (Agency Security Coordinator)*: An individual designated by each Agency as responsible for ensuring that the Agency meets and maintains state and national HMIS security standards as outlined herein.
- *Proposer*: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Departments in response to this RFP
- *Prospective Proposer*: a private provider organization, CT State agency, or municipality that may submit a proposal to the Departments in response to this RFP, but has not yet done so
- *Subcontractor*: an individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific health or human service as part of a POS contract with the Departments as a result of this RFP

■ C. INSTRUCTIONS

1. **Official Contact.** The Departments have 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 Departments. Proposers, prospective proposers, and other interested parties are advised that any communication with any other Department employee(s) (including appointed officials) or personnel under contract to the Departments about this RFP is strictly prohibited. Proposers or prospective proposers who violate this instruction may risk disqualification from further consideration.

Name: Amy Lopez
 State Agency: Department of Mental Health and Addiction Services
 Address: 410 Capitol Avenue
 PO Box 341431
 Hartford, CT 06134
 Phone: 860-418-6927
 Fax: 860 418-6698
 E-Mail: Amy.lopez@ct.gov

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

2. 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:

- Departments' RFP Web Pages
<http://www.ct.gov/dmhas>
<http://www.ct.gov/doh>
- State Contracting Portal
<http://das.ct.gov>

It is strongly recommended that any proposer or prospective proposer interested in this procurement subscribe to receive e-mail alerts from the State Contracting Portal. Subscribers will receive a daily e-mail announcing procurements and 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.

Printed copies of all documents are also available from the Official Contact upon request.

3. Contract Awards. The award of any contract pursuant to this RFP is dependent upon the availability of funding to the Departments. The Departments anticipate the following:

- Total Funding Available: \$2,433,950, contingent upon funding availability
- Number of Awards: 1
- Contract Cost: \$486,790, per year, contingent upon funding availability
- Contract Term: 5 Years, at the Departments' discretion

Note: Please see the anticipated annual breakdown of funds by Department within the table below. Please be advised that the awardee will be required to apply for and be directly funded by HUD for the amount of \$432,422 and will be awarded a contract with DMHAS and a contract with DOH for these services:

DMHAS	DOH	HUD	Total
\$196,000	\$290,790	\$432,422	\$919,212

4. Eligibility. Eligibility is limited to organizations registered with the Connecticut Office of the Secretary of the State to do business in the State of Connecticut. Eligible applicants are limited to those that are eligible to apply for a HUD CoC Program HMIS grant and include only non-profit organizations, local government agencies, and instrumentalities of state and local governments. Eligible applicants must register with System Award Management (SAM) and HMIS Reporting Repository (SAGE) in order to receive federal funds and provide reporting.

For profit entities are not eligible to apply, but applicants may propose to sub-contract with a for-profit entity to provide services outlined in this RFP.

The Departments reserve the right to reject the submission of any respondent in default with any current or prior contract.

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

- Experience in successfully designing and leading a collaborative data collection and reporting initiative of similar or greater size and scope.
- Experience managing similar projects and a proven track record of ensuring timely delivery of all products and coordinating closely with project partners to ensure that projects remain on schedule.

- Knowledge of HMIS requirements and data standards and experience working with HMIS, HDX, SAM and SAGE systems.
- Familiarity with HUD PIT Sheltered and Unsheltered Count and HIC guidelines and methodologies.
- Familiarity with HUD Systems Performance Measures, including HMIS programming specifications as well as other federal partner reports.
- Experience with the successful design of customized HMIS reports, beyond what is required by federal partners, to ensure that the data collected can be actively used to inform policy planning, advocacy and both system and project evaluation efforts.
- Experience with data visualization and other advanced reporting competencies.
- Qualifications and experience in design and implementation of security, privacy and data quality plans.
- Qualifications and experience in using data to inform Continuous Quality Improvement strategies.
- Experience in gaining buy-in and participation from community leaders, consumers, providers, and others for similar initiatives.
- Strong customer service orientation, as evidenced by end-user satisfaction with the HMIS Lead Agency support of end-users, response-time and performance.
- Demonstrated ability to communicate clearly, prevent and resolve issues, and organize complex projects.
- Ability to write clear, concise, and compelling documents and to present data in a manner that that is easily understood by a range of stakeholders and useful for informing project and systems level decisions.
- The ideal candidate will have a working knowledge of Connecticut’s homeless population and homeless services delivery system and strong community outreach and community organizing capacity.

6. Procurement Schedule. See below. Dates after the due date for proposals (“Proposals Due”) are target dates only (*). The Departments may amend the schedule, as needed. Any change will be made by means of an amendment to this RFP and will be posted on the State Contracting Portal and, if available, the Departments’ RFP Web Pages.

• RFP Planning Start Date:	October 1, 2017
• RFP Released:	February 28, 2018
• Letter of Intent Due:	3:00 PM, March 14, 2018
• Deadline for Questions:	3:00 PM, March 28, 2018
• Answers Released	April 11, 2018
• Proposals Due:	3:00 PM, April 25, 2018
• (*) Proposer Selection:	May 31, 2018
• (*) Start of Contract Negotiations:	June 1, 2018
• (*) Start of Contract:	July 1, 2018

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

8. Inquiry Procedures. All questions regarding this RFP or the Departments' procurement process must be directed, in writing, to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Departments 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 their discretion, the Departments may or may not respond to questions received after the deadline. If this RFP requires a Letter of Intent, the Departments reserve the right to answer questions only from those who have submitted such a letter. The Departments 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 agencies will release the answers to questions on the date(s) established in the Procurement Schedule. The Departments will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Departments' RFP Web Pages.

9. RFP Conference. An RFP conference will not be held.

10. 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: April 25, 2018
- Time: 3:00 PM

Faxed or e-mailed proposals will not be evaluated. When hand-delivering proposals by courier or in person, allow extra time due to building security procedures. The Departments will not accept a postmark date as the basis for meeting the submission due date and time. Proposals received after the due date and time may be accepted by the Department as a clerical function, but late proposals will not be evaluated. At the discretion of the Departments, late proposals may be destroyed or retained for pick up by the submitters.

An acceptable submission must include the following:

- one (1) original proposal;
- five (5) conforming copies of the original proposal; and
- one (1) conforming electronic copy of the original proposal.

The original proposal must carry original signatures and be clearly marked on the cover as "Original." Unsigned proposals will not be evaluated. The original proposal and each conforming copy of 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 submitted via email to the Official Contact for this procurement. For the electronic copy, required forms and appendices may be scanned and submitted in Portable Document Format (PDF) or similar file format.

11. Multiple Proposals. The submission of multiple proposals **is not** an option with this procurement. Proposers interested in applying for more than 1 geographic area must submit a separate proposal for each area. Multiple proposal submission for the same geographical areas will **not** be accepted.

12. 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. In Section C 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).

13. 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 Departments 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."*

■ D. PROPOSAL FORMAT

- 1. Required Outline.** All proposals must follow the required outline presented in Section IV (Proposal Outline). Proposals that fail to follow the required outline will be deemed non-responsive and not evaluated.
- 2. Cover Sheet.** The Cover Sheet is Page 1 of the proposal. Proposers must complete and use the Cover Sheet form provided by the Department in Section IV (Forms).
- 3. Table of Contents.** All proposals must include a Table of Contents that conforms with the required proposal outline. (See Section IV.)
- 4. Executive Summary.** Proposals must include a summary of the main proposal and cost proposal. This summary must not exceed one (1) page. The Executive Summary should include: a description of the applicant demonstrated experience, established partnerships and/or collaborations with other community providers, location of program, a brief demonstration of need, a brief agency history, and a brief program philosophy.
- 5. Attachments.** Attachments other than the required Appendices or Forms identified in Section IV 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.** Submitted proposals must conform to the following specifications:
 - Binding Type: Butterfly Clip
 - Dividers: None
 - Paper Size: 8 ½ x 11 (Letter)
 - Page Limit: 20 pages, for the Main Proposal only (see Section IV.)
 - Print Style: 2-sided
 - Font Size: 12

- Font Type: Times New Roman
- Margins: Normal (1 inch)
- Line Spacing: 1 ½

- 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. Packaging and Labeling Requirements.** All proposals must be submitted in sealed envelopes or packages and be addressed to the Official Contact. The Legal Name and Address of the proposer must appear in the upper left corner of the envelope or package. The RFP Name or Number must be clearly displayed on the envelope or package. Any received proposal that does not conform to these packaging or labeling instructions will be opened as general mail. Such a proposal may be accepted by the Departments as a clerical function, but it will not be evaluated. At the discretion of the Departments, such a proposal may be destroyed or retained for pick up by the submitters.

■ E. EVALUATION OF PROPOSALS

- 1. Evaluation Process.** It is the intent of the Departments 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 Departments will conform with its written procedures for POS 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).
- 2. Screening Committee.** The Departments will designate a Screening Committee to evaluate proposals submitted in response to this RFP. The contents of all submitted proposals, including any confidential information, will be shared with the Screening 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. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Screening Committee may result in disqualification of the proposer.
- 3. Minimum Submission Requirements.** All proposals must comply with the requirements specified in this RFP. To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the Proposal Format requirements; (3) follow the required Proposal Outline; and (4) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Departments 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 Screening Committee will use to evaluate the technical merits of the proposals. Only the criteria listed below will be used to evaluate proposals. The criteria are weighted according to their relative importance. The weights are disclosed below.
 - Organizational Profile: 20%
 - Scope of Services: 20%
 - Staffing Plan: 10%
 - Data and Technology: 10%
 - Subcontractors: 3%
 - Work Plan: 20%
 - Financial Profile: 2%
 - Budget and Budget Narrative: 10%
 - Appendices: 5%

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

- 5. Proposer Selection.** Upon completing its evaluation of proposals, the Screening Committee will submit the rankings of all proposals to the Department heads. The final selection of a successful proposer is at the discretion of the Department heads. Any proposer selected will be so notified and awarded an opportunity to negotiate a contract with the Departments. Such negotiations may, but will not automatically, result in a contract. Pursuant to Governor M. Jodi Rell's Executive Order No. 3, any resulting contract will be posted on the State Contracting Portal. All unsuccessful proposers will be notified by e-mail or U.S. mail, at the Departments' discretion, about the outcome of the evaluation and proposer selection process.
- 6. Debriefing.** Within ten (10) days of receiving notification from the Departments, 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 Departments 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 Departments will schedule and hold the debriefing meeting within fifteen (15) days of the request. The Departments 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 Departments' competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Department heads. 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 Departments 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 Departments' contracting procedures, which may include approval by the Office of the Attorney General.

II. MANDATORY PROVISIONS

■ A. POS STANDARD CONTRACT, PARTS I AND II

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

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

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

Note:

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

Part I of the standard contract may be amended by means of a written instrument signed by the Departments, 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 Departments 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 Departments 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 Departments 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 Departments 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 Departments are 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 Departments may request and authorize proposers to submit written clarification of their proposals, in a manner or format prescribed by the Departments, 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 Departments. The Departments 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 Departments. At its sole discretion, the Departments 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 Departments, 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 Departments 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 Departments 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 Departments 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 Departments 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 Departments 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 Departments.
- 2. Amending or Canceling RFP.** The Departments reserve the right to amend or cancel this RFP on any date and at any time, if the Departments deem 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 Departments 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 Departments reserve 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 Departments may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Departments 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 Departments reserve the right to negotiate or contract for all or any portion of the services contained in this RFP. The Departments further reserve the right to contract with one or more proposer for such services. After reviewing the scored criteria, the Departments may seek Best and Final Offers (BFO) on cost from proposers. The Departments may set parameters on any BFOs received.
- 7. Clerical Errors in Award.** The Departments reserve 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 Departments are the sole funder of a purchased service, the Departments reserve the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Departments also reserve the right to approve replacements for key personnel who have terminated employment. The Departments further reserve 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 Departments.

■ E. STATUTORY AND REGULATORY COMPLIANCE

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

1. **Freedom of Information, C.G.S. § 1-210(b).** The Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b). Proposers are generally advised not to include in their proposals any confidential information. If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State has no obligation to initiate, prosecute, or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. The proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a proposer may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.
2. **Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to insure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.
3. **Consulting Agreements, C.G.S. § 4a-81.** Proposals for State contracts with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall include a consulting agreement affidavit attesting to whether any consulting agreement has been entered into in connection with the proposal. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of C.G.S. Chapter 10 as of the date such affidavit is submitted in accordance with the provisions of C.G.S. § 4a-81. The Consulting Agreement Affidavit (OPM Ethics Form 5) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms IMPORTANT NOTE: A proposer must complete and submit OPM Ethics Form 5 to the Department with the proposal.
4. **Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8 and No. 7C, Para. 10; C.G.S. § 9-612(g)(2).** If a proposer is awarded an opportunity to negotiate a contract with an anticipated value of \$50,000 or more in a calendar or fiscal year, the proposer must fully disclose any gifts or lawful contributions made to campaigns of candidates for statewide public office or the General Assembly. Municipalities and CT State agencies are exempt from this requirement. The gift and campaign contributions certification (OPM Ethics Form 1) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms

IMPORTANT NOTE: The successful proposer must complete and submit OPM Ethics Form 1 to the Department prior to contract execution.

- 5. Nondiscrimination Certification , C.G.S. §§ 4a-60(a)(1) and 4a-60a(a)(1).** If a proposer is awarded an opportunity to negotiate a contract, the proposer must provide the Departments with *written representation* or *documentation* that certifies the proposer complies with the State's nondiscrimination agreements and warranties. A nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. The nondiscrimination certification forms are available on OPM's website at http://www.ct.gov/opm/fin/nondiscrim_forms

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

III. PROGRAM INFORMATION

A. DEPARTMENT OVERVIEW

The Department of Mental Health and Addiction Services is the state healthcare service agency responsible for behavioral health promotion, and the prevention and treatment of mental illness and substance abuse in Connecticut. The single overarching goal of the Department is promoting and achieving a quality-focused, culturally responsive and recovery-oriented system of care. The Department has focused its efforts on greater involvement of persons in recovery in the planning and development of services, expanding system capacity through better care management of persons in treatment, promoting age, gender, sexual orientation and culturally responsive services and strengthening supportive community-based services. These efforts are captured in the Department's mission statement: "To improve the quality of life of the people of Connecticut by providing an integrated network of comprehensive, effective and efficient behavioral health services that foster self-sufficiency, dignity and respect."

The Department of Housing works in concert with municipal leaders, public agencies, community groups, local housing authorities, and other housing developers in the planning and development of affordable homeownership and rental housing units, the preservation of existing multi-family housing developments, community revitalization and financial and other support for our most vulnerable residents through our funding and technical support programs. As the State's lead agency for all matters relating to housing, the Department provides leadership for all aspects of policy and planning relating to the development, redevelopment, preservation, maintenance and improvement of housing serving very low, low, and moderate income individuals and families. The Department is also responsible for overseeing compliance with applicable statutes, regulations and financial assistance agreements for funded activities through long-term program compliance monitoring. The Department strengthens and revitalizes communities by promoting affordable housing opportunities. The Department seeks to eliminate homelessness and to catalyze the creation and preservation of quality, affordable housing to meet the needs of all individuals and families statewide to ensure that Connecticut continues to be a great place to live and work.

B. PROGRAM OVERVIEW

The objective of this RFP is to seek applications for an HMIS Lead Agency and HMIS System Administration services.

To receive homeless assistance funding through HUD, communities are required to establish and maintain a Continuum of Care (CoC). In general, CoCs are required by HUD to perform the following functions related to HMIS:

- Designating and operating an HMIS. The Continuum of Care must:
 - (1) Designate a single HMIS for the geographic area;
 - (2) Designate an eligible applicant to manage the Continuum's HMIS, which will be known as the HMIS Lead;
 - (3) Review, revise, and approve a privacy plan, security plan, and data quality plan for the HMIS;
 - (4) Ensure consistent participation of recipients and sub-recipients in the HMIS; and
 - (5) Ensure the HMIS is administered in compliance with requirements prescribed by HUD.
- Compiling an inventory of emergency shelter, transitional housing, safe havens, and permanent housing projects designated to serve homeless individuals and families (i.e., Housing Inventory Count or HIC);
- Planning and conducting a PIT of unsheltered and sheltered persons who are homeless that meets all requirements established by HUD;
- Conducting an annual gap analysis of the homeless needs and services available in the CoC;
- Maintaining and using the HMIS to generate systems performance measures in compliance with standards determined by HUD;
- In consultation with the collaborative applicant and the HMIS Lead, developing, following, and updating annually, a governance charter, which will include all procedures and policies needed to comply with HMIS requirements as prescribed by HUD;

SECTION III. PROGRAM INFORMATION

- Consulting with recipients and sub-recipients to establish performance targets appropriate for population and program type, monitoring recipient and sub-recipient performance, evaluating outcomes, and taking action against poor performers; and
- Evaluating outcomes of projects funded under the Emergency Solutions Grants program and the Continuum of Care program, and reporting to HUD.

HMIS is used by homeless services, emergency assistance and local government agencies to collect demographic and service information about homeless and formerly homeless households who seek and obtain services. Data generated from HMIS is analyzed to identify emerging trends and generate reports for provider agencies and CoCs/sub-CoCs, funding agencies, and local, state, and federal governments. The current HMIS software is CaseWorthy and there are no plans to change it at this time.

DMHAS, DOH, CT BOS and ODFC seek an HMIS Lead Agency that has experience operating an HMIS database or similar system, has implemented data quality control and security, and brings an understanding of HUD regulations and grant processes. A successful proposal will demonstrate having a working knowledge of various types of homeless programs including, but not limited to: permanent supportive housing, rapid re-housing, emergency assistance, transitional housing, emergency shelter programs, safe havens, street outreach, homelessness prevention and Coordinated Entry. It is critical that HMIS be operated pursuant to federal partner requirements and HUD regulations detailed in the documents available at: <https://www.hudexchange.info/programs/hmis/hmis-requirements/>

Per HUD policy, CoCs are responsible for HMIS Project oversight and implementation, which encompasses planning, administration, software selection, and reviewing and approving of all policies, procedures, and data management plans governing contributing CT HMIS Organizations. The CT BOS and ODFC CoC oversight and governance responsibilities are carried out by the statewide CT HMIS Steering Committee.

The Importance of Data: Each year, CoCs across the country compete with one another to secure federal funds to end homelessness. In recent years, HUD has dramatically increased the emphasis in the national competition on CoCs' ability to measure and improve systems and project performance. To compete successfully and maximize federal awards, CoCs must use data to:

- Determine the characteristics of households with the highest needs and longest periods of homelessness;
- Determine critical gaps in the CoC's inventory of housing and services;
- Determine how best to spend scarce CoC program resources to reduce the amount of time households spend homeless and ultimately to end homelessness within the CoC;
- Evaluate and improve systems performance on measures defined by HUD (for more information see <https://www.hudexchange.info/programs/coc/system-performance-measures/>)
- Evaluate and improve performance on project level indicators as defined by the CoCs (for more information see <http://www.openingdoorsfc.org/> and <http://www.ctbos.org>)

Additionally, CoCs, individuals, agencies, communities, researchers, local, state, and federal agencies, and funders in addition to HUD have all indicated a desire for more readily available and more reliable data. Ideally, the data generated from HMIS will be transparent, easily accessible and used for system and program improvements, service provision planning and reporting, including:

- Describing the populations of interest and the extent of homelessness on a multitude of different levels including, but not limited to: agency, municipality, CAN, CoC, and state-wide;
- Identifying patterns of service use;
- Measuring system-level performance;
- Measuring program effectiveness and outcomes;
- Meeting all state, HUD and federal partner reporting requirements;
- Focusing on an analytic approach that incorporates data from HMIS, the HIC, as well as program operating budgets, to demonstrate:
 - 1) Extent to which homelessness is rare, brief and non-recurring;
 - 2) Where to target resources and efforts to become more effective;
 - 3) How to prioritize system and program resources; and
 - 4) How to achieve continuous improvement.
- Increasing leadership, collaboration, and civic engagement on the local level through regular reporting;
- Assisting in utilization of housing and homeless strategies that are grounded in research;

- Encouraging data driven policy and practice;
- Allowing for knowledge sharing; and
- Providing a data driven foundation for advocacy.

The Applicant chosen as the HMIS Lead will be responsible for the overall management of the project and timely completion of all deliverables as indicated in this RFP, including both HMIS Lead and Vendor Services. The chosen applicant will also be responsible for delivery in a manner that complies with all relevant HUD requirements and guidance. This includes ensuring timely delivery of all products by subcontractors and coordinating closely with other project partners to ensure the project remains on schedule. In order to provide a better understanding of the current system, the table below lists the current system coverage and the scope of the HMIS system. Since the system covers the entire state of Connecticut, moderate system growth is anticipated over the course of the next five (5) years and will be funded separately through other funding streams as new projects come online.

Current System Coverage and Scope	
Continuums of Care	2
Other Federal Partner Projects	ESG, HOPWA, PATH, RHYP, VA
State of CT DOH	ESS, RRH, TLP, AIDS, PSH, Shelter Diversion
Current Software Provider for State	Case-Worthy
Active End User Count (at present)	1,753
Active Agency Count (at present)*	162
Passive Agency Count (at present)*	180
Active Program Count (at present)*	810
Active Client Count (at present)*	44,858
Service Transactions Count in 2016	706,313
New Clients Created in HMIS in 2016	22,482
New Client Enrollments in 2016	30,178
Clients Exited in 2016	31,709

*Definitions:

- Active Agencies: Agencies that have Active Programs
- Passive Agencies: Agencies that have no open Programs (either the programs have been ended or they are a 'referral' agency)
- Active Programs: Programs that have open enrollments
- Active Clients: a client that has an open enrollment

■ C. MAIN PROPOSAL COMPONENTS

- 1. Executive Summary.** The Executive Summary should include: a description of the applicant demonstrated experience, established partnerships and/or collaborations with other community providers, location of program, a brief demonstration of need, a brief agency history, and a brief program philosophy.
- 2. Organizational Requirements.** Proposals must clearly describe the Applicant's:
 - (a) Entity Type / Years of Operation:** Please provide a brief history of the agency. Proposer may be established as a non-profit organization, local government agency, or an instrumentality of a state or local government prior to submission of a proposal, and must provide proof of such status in Section H of the proposal.
 - (b) Organizational Structure:** Please describe the overall agency structure and where the proposed program would fit into such structure. A Table of Organization must be submitted in Section H of the proposal.
 - (c) Evaluation and Experience to include:**
 - i. Experience in successfully designing and leading a collaborative data collection and reporting initiative of similar size and scope;

- ii. Experience managing similar projects and a proven track record of ensuring timely delivery of all products and coordinating closely with project partners to ensure that projects remain on schedule;
 - iii. Knowledge of HUD HMIS requirements and data standards and experience working with HMIS, HDX, and SAGE systems;
 - iv. Familiarity with HUD PIT Sheltered and Unsheltered Count and HIC guidelines and methodologies;
 - v. Familiarity with HUD Systems Performance Measures, including HMIS programming specifications as well as other federal partner reports;
 - vi. Experience with the successful design of customized HMIS reports, beyond what is required by federal partners, to ensure that the data collected can be actively used to inform policy planning, advocacy and both system and project evaluation efforts;
 - vii. Experience with data visualization and other advanced reporting competencies;
 - viii. Qualifications and experience in design and implementation of security, privacy and data quality plans;
 - ix. Qualifications and experience in using data to inform Continuous Quality Improvement strategies;
 - x. Experience in gaining buy-in and participation from community leaders, consumers, providers, and others for similar initiatives;
 - xi. Customer service philosophy and examples of end-user satisfaction with HMIS Software;
 - xii. Knowledge of Connecticut's homeless population and homeless services delivery system and strong community outreach;
 - xiii. Experience and/or expertise with performing IT system administration. If none, provide your experience and approach to monitoring IT subcontractors;
- (d) **References:** The proposal must include a minimum of 3 Letters of Reference. This is not a Letter of Support. Letters must include name, title, address, phone number, email address and a description of a project completed by the applicant agency for the referencing agency within the past 4 years. Letters of Reference should be included in Section H of the proposal. This is **NOT** a Letter of Support. The writer must be able to detail a prior relationship of services provided by the proposing agency.

3. Service Requirements

Proposals must address each of the following areas:

- (a) **Lead Agency Service Requirements:** The HMIS Lead Agency will be responsible for the following. These activities may be delegated to or performed in collaboration with a subcontractor. Proposals must describe how the activities will be performed and by whom:
- i. **Oversight and Planning:**
 - Manage and maintain mechanisms for soliciting, collecting and responding to feedback from end users, homeless persons and Participating Agency personnel such as: CT HMIS administrators, program managers, and executive directors. Incorporate systematically gathered user feedback into planning;
 - Staff the Statewide CT HMIS Steering Committee, to include scheduling meetings, securing meeting space, working with the CT HMIS SC co-chairs to develop agendas and minutes for all meetings, conducting outreach, and ensuring that the information necessary to make effective decisions is available during meetings as well as support any other related steering committee activities;

- Implement Statewide CT HMIS Steering Committee decisions;
 - Oversee selection and procurement of HMIS software, as needed;
 - Work with the HMIS SC to update HMIS Governance Charter & MOU annually;
 - Update CoCs, DMHAS and DOH on HMIS implementation and maintenance;
 - Maintain compliance with all HMIS Technical and Data standards including keeping abreast of all HMIS notices, requirements and guidance, regular monitoring to ensure that the system accurately complies with all federal partner requirements and proactive efforts to update all relevant HMIS system elements to respond to changing HMIS standards;
 - Ensure inclusion of the required data elements needed for federal HMIS reporting according to HUD, Department of Veterans Affairs (VA), Department of Health and Human Services(DHHS) PATH and Runaway & Homeless Youth; ensure that the HMIS software can produce all required federal partner reports in a timely manner, to ensure grantee compliance with federal partner reporting requirements;
 - Ensure HMIS participation and compliance for all programs; including, but not limited to, working in consultation with the CoC, ESG, HOPWA, PATH, SAMHSA, and RHY recipients as well as other state funded programs ;
 - Confirm Software Compliance with any HMIS requirements;
 - Provide monthly data and reports to the CT HMIS SC to track project milestones, objectives and benchmarks;
 - Ensure software license and set up: web-based application that should include access and operation by multiple levels of users including basic end user, agency administration and CoC/universal administration, as needed;
 - Ensure - all levels of unrestricted access to data are provided to the funding agencies, including DMHAS, DOH and HUD staff;
 - Conduct annual monitoring of HMIS participating agencies, to ensure compliance with all HMIS standards and regulations; and
 - Make all documentation and information available, as needed for monitoring of the CT HMIS project by the CTBOS.
- ii. HMIS Project Administration:
- Complete the annual HUD CoC HMIS Project applications as required by HUD and the CoCs;
 - Oversee software upgrades including timely identification of data quality issues that impact HUD reporting requirements and timely notification to HMIS users on how to correct these errors;
 - Ensure grant recipients can submit accurate Annual Performance Reports for all CoC grants as required by HUD and the CoCs, includes performing quality assurance reviews on a representative sample of APRs annually to identify and correct data quality issues;
 - Ensure grant recipients can submit accurate Reports for all DOH grants;
 - Ensure that the required matching contributions are secured during each operating year for all CoC HMIS grants and that documentation of match is maintained in accordance with HUD requirements;
 - Ensure HUD CoC HMIS Project funds are expended and all activities are administered in accordance with HUC CoC Program Requirements: (https://www.hudexchange.info/resources/documents/CoCProgramInterimRule_FormattedVersion.pdf);
 - Maintain Administrative Certification Checklists and Security Certification Checklists;
 - Track Agency HMIS Fees;
 - Manage software vendor payments;
 - Develop and manage HMIS budget;
 - Submit detailed budget reports to DMHAS and DOH upon request;
 - Facilitate discussion with funders to ensure sufficient HMIS funding;
 - Employ HMIS project staffing to meet the needs of a state-wide HMIS system;
 - Manage subcontractors to ensure fulfillment of contractual obligations (including System Administration if subcontracted), timely delivery of all products, compliance with HUD requirements, and responsiveness to CoC, Agency Administrator, and End User Needs;
 - Maintain Participant Agreement MOUs and documentation in order for HMIS Agencies to contribute data to CT HMIS to ensure compliance with all applicable HUD and CoC HMIS requirements, including the operation of a program level CT HMIS compliant system;
 - Submit a Security Plan, Data Plan, Data Quality Plan, and a Privacy Plan to the CT HMIS

- Steering Committee for approval, with review and updates of these plans done annually;
 - Submit a plan to the CT HMIS Steering Committee for approval to achieve 100% HMIS coverage rates for each program component type;
 - Provide HMIS policies and procedures training;
 - Training for providers on how to run the reports described in this document, how to identify and correct data quality problems that may be impacting validity of the performance data, and providing examples of how a project might use the reports to inform Continuous Quality Improvement efforts; and
 - Provide written instructions for providers on how to run the reports and how to identify and correct data quality problems that may be impacting validity of the performance data.
- iii. Policies and Procedures:
- Update data and system security guidelines annually;
 - Update HMIS policies and procedures annually (HMIS Steering Committee responsible for final approval);
 - Ensure CoCs have a policy regarding Client Acknowledgement of Data Collection;
 - Ensure CoCs have an HMIS Data Release Protocol;
 - Update Confidentiality, Informed Consent, and System Wide Release of Information policy, as needed;
 - Update Disaster Recovery Plan, as needed; and
 - Develop and update as necessary model policies and procedures that participating agencies can use to support compliance with HUD and CoC policy and procedure requirements.
- iv. Monitoring and enforcing compliance with all HMIS requirements by HMIS Participating Agencies, including:
- Working with the CT HMIS Steering Committee to ensure individual agency HMIS participation for each Homeless Program: CoC, ESG, PATH, RHYP, VA, state programs, etc.;
 - Working with the CT HMIS Steering Committee to develop a plan for selection of and on-site and/or remote data quality review of at least 25% of HMIS Participating Agencies annually;
 - Monitoring data quality;
 - Monitoring data and system security;
 - Monitoring data privacy;
 - Providing monitoring reports summarizing findings to the CT HMIS Steering Committee, CoCs, DMHAS, DOH, and HMIS Participating Agencies;
 - Requiring submission of Corrective Action Plans for all significant monitoring findings;
 - Reviewing and approving or requiring re-submission, as necessary, of all Corrective Action Plans;
 - Conducting follow up monitoring and technical assistance as necessary to ensure corrective action has been effective;
 - Providing a summary of key findings from monitoring at least annually to the CT HMIS Steering Committee and CoCs; and
 - Working with the CT HMIS Steering Committee and CoCs to take action, as necessary, to enforce compliance by HMIS Participating Agencies with all HUD and CoC HMIS requirements.
- v. Continuous Quality Improvement:
- Identify training and technical assistance needs to ensure HMIS Administrators and end users receive sufficient and timely training and support;
 - In collaboration with the CT HMIS Steering Committee, develop a training and technical assistance plan at least annually. This includes provision at a minimum of training in the following content areas:
 - HMIS Orientation for End Users (maximum of 30 days after hire);
 - HMIS Orientation for HMIS Administrators (maximum of 30 days after hire);
 - Using HMIS to complete the HUD APR;
 - Using HMIS to complete reports of other federal partners;
 - Using HMIS to complete reports for state programs;
 - Using HMIS Reports to strengthen data quality;
 - Using HMIS Reports to monitor and improve project performance;
 - HMIS Refresher training for end users; and

➤ HMIS Administrator reporting

- Provide all training participants with the ability to evaluate and provide feedback regarding each session;
- Compile evaluation data and recommendations for strengthening into a report and provided at least annually to DMHAS, DOH, the CT HMIS Steering Committee, and CoCs; and
- In collaboration with the CT HMIS Steering Committee obtaining input from key stakeholders including, DMHAS, DOH and other funders, HMIS administrators, end users, HMIS Lead Agency, HMIS Vendor staff, CoC governance bodies and CoC staff to identify and prioritize strategies for data quality improvement and for advancing data driven policy & practice at the program and systems levels; develop an annual plan for continuously improving data quality and use.

vi. Reporting: At a minimum the following are required annually and must comply with all HUD and CoC requirements:

- Submission of accurate AHAR reports (HMIS Steering Committee responsible for final approval before HUD submission and Public Release);
- Quarterly submission of accurate Systems Performance Measures (SPM) data that reflects trends in SPMs over the course of the previous two fiscal years and the current fiscal year (CoC Governance Bodies responsible for final approval before HUD submission and Public Release). An example of such will be provided by the Official Agency Contact.
- Submission of accurate Housing Inventory Count (HIC) data (CoC Governance Bodies responsible for final approval before HUD submission and Public Release);
- Submission of accurate Point-in-Time Count (PIT) data (CoC Governance Bodies responsible for final approval before HUD submission and Public Release);
- Submission of accurate project-level APR data for project evaluation purposes;
- Submission of data necessary to complete the annual CoC Competition Application; and
- Presentations to CoC governance bodies at least semi-annually to help stakeholders to understand trends over time in AHAR, PIT, HIC and SPM data.

For each requirement listed above, the HMIS Lead is responsible for developing a project work plan in collaboration with the CoCs that ensures adequate time for CoC review and approval of the data prior to submission.

In addition, the HMIS lead is responsible for responding in a timely manner to other reasonable reporting requests from DMHAS, DOH, the CT HMIS Steering Committee, and the CoCs.

(b) HMIS System Administration Services: The HMIS Lead Agency will be responsible for the following. Proposals must describe how the activities will be performed:

i. System Administration:

- System operation including managing security, user access, and perform routine operations;
- System maintenance including the routine updating of databases, software, adding or deleting end users, etc.; and
- Tracking and resolving HMIS issues.

ii. Training and Technical Support:

- New agency and user set up;
- Track and assign a priority level to all requests to the HMIS Help Desk;
- Respond within 2 business hours to all Help Desk requests providing the requestor with an estimated timeline for resolution of their request;
- Resolve at least 80% of high priority requests within two (2) business days;
- Resolve at least 80% of medium priority requests within 5 business days;
- Resolve at least 80% of low priority requests within 7 business days;
- Ensure that the Help Desk is staffed at a minimum during normal business hours of Monday-Friday, 9:00AM-5:00PM;
- Periodically provide Help Desk users with the ability to evaluate and provide feedback regarding their experience;
- Provide a report, at a minimum annually, to DMHAS, DOH, the CT HMIS Steering Committee,

and the CoCs analyzing user evaluation data, Help Desk request and response data, identifying training and technical assistance needs and recommending strategies to improve Help Desk effectiveness;

- Provide software training to end users;
- Provide direct software TA to agencies; and
- Create a TA plan to expand individualized services to participating agencies. (CoC Governance Bodies responsible for approval of the plan). The plan should include the following:
 - Expansion of current technical assistance and training to individual agencies and programs;
 - Evaluation of service expansion and course correction, if needed;
 - Assessment of support level needed for individual agencies;
 - Prioritization of low performing agencies; and
 - Support plan for moderate to high performing agencies.

iv. Security and Privacy: Technical safeguards to ensure highest level of client confidentiality, specifically, but not limited to:

- Back end server data encryption and transmission;
- Automatic timeout/logoff; and
- User name/password access.

v. Reporting:

- Ensure reporting capability to describe the populations of interest and the extent of homelessness on a multitude of different levels including, but not limited to: agency, municipality, CAN, sub-CoC, CoC, and state-wide;
- Provide data for CoC-level & NOFA reporting as required by HUD in the annual competition;
- Ensure availability of program level reports for program monitoring on SPMs and other HUD-required outcomes;
- Compile AHAR Data Reports;
- Compile System Performance Measurement Reports (SPMs);
- Develop reporting tools to ensure each participating agency has the ability to run SPMs for their individual program(s) and agency;
- Ensure each CoC and CAN has the ability to run SPMs on a geographic basis;
- Develop reporting tools to ensure each CoC and CAN has the ability to review SPMs performance on a component basis; e.g., all PSH for singles, RRH for families, etc.
- Compile reports as needed for CANs;
- Support Individual Agency Reporting Needs for each Homeless Program: CoC, ESG, PATH, RHYP, VA, DOH, as prioritized by the HMIS Steering Committee;
- Other Individual Agency Reporting Requests as approved, at minimum, on a by-monthly basis by the HMIS Steering Committee; and
- Ensure access to reports and reporting tools to enable CoC funded and non-CoC funded projects operating within the identified geographic area run project level performance reports on the applicable systems performance measures as defined by HUD. Current guidance is available at: <https://www.hudexchange.info/programs/coc/system-performance-measures/>.

(c) Oversight and Planning. Proposals must clearly describe the Applicant's:

- i. Experience and approach to gaining buy-in and participation from community leaders, consumers, providers, and others for similar initiatives.
- ii. Experience and approach to convening stakeholders in a collaborative manner and facilitating workgroups- particularly groups of stakeholders covering a large geographic area (state or regional).
- iii. Experience working with other relevant social service systems and providers, including the homeless service system.
- iv. Experience or familiarity with systems planning, including coordinated entry or system coordination.

-
- v. Experience and ability to communicate clearly, prevent and resolve issues, and organize complex projects.
- (d) HIMIS Project Administration: Proposals must clearly describe the Applicant's:
- i. Experience and approach to grant administration and project management.
 - ii. Experience with managing project budgets.
 - iii. Relevant experience managing an IT project similar to HMIS in scope and size.
 - iv. Experience with developing cross-agency policies and/or procedures.
 - v. Capacity for monitoring compliance with policies and procedures, including approach to providing feedback to stakeholders being monitored.
 - vi. Experience with HUD homeless assistance programs and HMIS, HDX, eSNAPS, and SAGE systems.
- (e) Training and Support: Proposals must clearly describe the Applicant's:
- i. Experience relevant to providing IT support and training/technical assistance.
 - ii. Approach to identifying and providing Training and Support for both administrators and end users, including ways in which you are able to be responsive to user needs by providing innovative and accessible mechanisms of training and support.
 - iii. Ability to work with users that have a wide range of experience, capacity and skill levels.
 - iv. Describe how your organization will plan and expand upon current TA being offered while ensuring an appropriate level of customer service and technical support is offered and how that level of support is determined.
- (f) Reporting: Proposals must clearly describe the Applicant's:
- i. Ability to write clear, concise, and compelling documents and to present data in a manner that that is easily understood by a range of stakeholders and useful for informing project and systems level decisions.
 - ii. Experience and/or expertise with reporting.
 - iii. Experience and/or expertise with reviewing and analyzing data.
 - iv. Please describe your plan to create and implement the following:
 - Develop reporting tools to ensure each participating agency has the ability to run SPMs for their individual program(s) and agency;
 - Develop reporting tools to ensure each CoC and CAN has the ability to review SPMs on a geographic basis; and
 - Develop reporting tools to ensure each CoC and CAN has the ability to review SPMs on a component and population basis; e.g., all PSH for singles, RRH for families, TH only, etc.
- (g) Continuous Quality Improvement: Proposals must clearly describe the Applicant's:
- i. Qualifications and experience in the design and implementation of data quality plans.
 - ii. Qualifications and experience in using data to inform Continuous Quality Improvement strategies.

4. Staffing Requirements

- (a) Provide an HMIS Staff organizational chart, including subcontractors and associated personnel, as an attachment showing your proposed staffing pattern. Resumes for each known staff member must be included as part of Section H of the proposal.

- (b) For those included on the organizational chart, provide each person's education and previous professional experience on projects of a similar size and scope and identify each person's role and responsibilities on the project and how this staffing pattern will lead to the overall success of the project while keeping costs at a minimum.
- (c) Briefly discuss workflow and how this group will function together to meet the desired outcomes and deliverables described within this RFP.
- (d) Describe how your organization will keep track of staff hours dedicated to HMIS.

5. Data and Technology Requirements

- (a) Proposal must provide a minimum of two detailed examples of the applicant's recent experience designing and leading initiatives of similar size and scope, including dates and names of partners on the initiative and the technology used to communicate, train and manage data.
- (b) Describe the applicant's ability to design and implement customized reports, and to deliver that data to a variety of stakeholders.
- (c) Illustrate your understanding of HMIS programming specifications, as well as your practices for ensuring that the HMIS software vendors programming matches/is in alignment with what the federal partner required in their HMIS programming specifications.
- (d) Provide a detailed description of your process for managing data, with particular emphasis on how you set and ensure that all data quality standards have been met and that there are a minimal number of duplicate client records.
- (e) Describe your process for integrating HMIS data with other systems, and/or your practices for receiving data into HMIS from other systems.

6. Workplan (In chart format and not counted toward page limit)

- (a) Identify the project's deliverables and milestones.
- (b) Describe each of the deliverables and the tasks/activities needed to achieve those aims as well as the person responsible.
- (c) Provide a detailed schedule for the completion of all project activities.

7. Sub-Contractors

Proposals must disclose the proposed use of subcontractors and/or partner organizations to accomplish program services. If the proposed program includes the use of subcontractors and/or partners, the relationship of the subcontractor/partner to the applicant, a detailed description of the services to be provided by the subcontractor/partner, the staffing to be allocated by the subcontractor/partner and the costs of utilizing a subcontractor/partner must be delineated in the proposal.

If this proposal is being submitted as a stand-alone program, this section of the proposal may be omitted.

D. COST PROPOSAL COMPONENT

1. Financial Requirements

Proposers must submit cover letters from their auditor for the last 3 annual audits of their agency and a copy of their most recent financial audit, included in Section H of the proposal. If less than 3 audits were conducted, detail must be provided as to why, and any supporting documentation assuring the financial efficacy of the applicant agency should be included (i.e. an accountant prepared financial statement, a tax return, etc.).

If the 3 most recent audits are available via the Office of Policy and Management's EARS system, such may be noted in the proposal, and a hardcopy of the audit cover letters need not be provided.

2. Budget Requirements

- (a) Proposals must contain an itemized budget. All startup costs must be clearly identified as 1 line item in the budget. Reasonable startup costs associated with implementation of the program will be allowable at the discretion of DMHAS. If such costs are to be requested, budgets must indicate the amounts and provide specific line item justification. One time startup costs will not be annualized into future costs operations.
- (b) A budget narrative must be provided, explaining all costs contained in the budget. The budget narrative must include an explanation of how your organization will maintain sound financial records for this project. All startup costs must be listed separately and clearly detailed in the budget narrative.
- (c) Please provide a detailed personnel schedule that includes: Name and title, annual salary, rate per hour, total hours per week, percentage of time, fringe and annualized cost and a brief description of the services each person will perform. For non-personnel services, each cost must include a brief description of the cost and amount, as well as whether or not it will be a subcontracted cost.
- (d) The budget and budget narrative must be submitted as excel documents. Budgets must provide sufficient detail to enable a thorough understanding of all personnel and non-personnel project costs. Please do not title a line item "miscellaneous." Administrative overhead at 10% is an allowable expense.

IV. PROPOSAL OUTLINE

	<u>Page</u>
A. Cover Sheet	1
B. Table of Contents	2
C. Declaration of Confidential Information	Etc.
D. Conflict of Interest - Disclosure Statement	
E. Main Proposal	
1. Executive Summary.	
2. Organizational Profile	
a. Entity Type / Years of Operation	
b. Organizational Structure	
c. Evaluation and Experience	
d. References	
3. Service Requirements	
a. Lead Agency Requirements.	
b. HMIS System Administration Services	
c. Oversight and Planning	
d. HMIS Project Administration.	
e. Training and Support	
f. Reporting	
g. Continuous Quality Improvement	
4. Staffing Plan	
a. HMIS Staff Organizational Chart	
b. Education and Professional Experience	
c. Workflow and Outcomes and Deliverables	
d. Tracking of Staff Hours.	
5. Data and Technology	
a. Two Detailed Examples of Recent Experience	
b. Ability to Design and Implement Customized Reports	
c. Illustration of HMIS Programming Specifications	
d. Process for Managing Data.	
e. Process for Integrating HMIS Data with other Systems.	
6. Workplan	
a. Project Deliverables and Milestones.	
b. Deliverables and Tasks/Activities	
c. Schedule for Completion of Project Activities.	
7. Subcontractors	

If the proposal includes the use of subcontractors, please detail the following. If this proposal is being submitted as a stand-alone program, this section of the proposal may be omitted.

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

F. Cost Proposal

- 1. Financial Profile
- 2. Budget and Budget Narrative

G. Appendices

- 1. Proof of Non-Profit Status
- 2. Proof of CT Business Licensure
- 3. Table of Organization
- 4. Job Descriptions/Résumés
- 5. Letters of Reference
- 6. Staffing Plan
- 7. Work Product Example
- 8. Cover Letters from Previous 3 Audits (if required)

H. Forms

- a. **Form #1:** Gift and Campaign Contribution Certification
This form must be completed and included in Section I of the proposal
- b. **Form #2:** Consulting Agreement Affidavit
This form must be completed and included in Section I of the proposal
- c. **Form #3:** Notification to Bidders
This form must be completed and included in Section I of the proposal
- d. **Form #4:** Contract Compliance Monitoring Report
This form must be completed and included in Section I of the proposal. For more information on completion of this report, go to www.ct.gov/chro
- e. **Form #5:** Employer Information Report
This form must be completed and included in Section I of the proposal. For more information on completion of this report, go to www.eeoc.gov
- f. **Form #6:** Cover Sheet
This form must be completed if the proposal is being submitted for a program NOT currently under contract with the Department
- g. **Form #7:** Iran Certification
This form must be completed and included in Section I of the proposal



STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Written or electronic certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2)

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution and 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. Such person shall also submit an accurate, updated certification not later than fourteen days after the twelve-month anniversary of the most recently filed certification or updated certification.

CHECK ONE: Initial Certification 12 Month Anniversary Update (Multi-year contracts only.)
 Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

GIFT CERTIFICATION:

As used in this certification, the following terms have the meaning set forth below:

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is a twelve-month anniversary update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "Gift" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am a Principal or Key Personnel of the person, firm or corporation authorized to execute this certification on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or 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 request 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.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding **Gifts** by providing for any other Principals, Key Personnel, officials, or employees of the Contractor, or its or their agents, to make a **Gift** to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

CAMPAIGN CONTRIBUTION CERTIFICATION:

I further certify that, on or after December 31, 2006, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(g)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(g)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(g)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

Lawful Campaign Contributions to Candidates for Statewide Public Office:

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

Lawful Campaign Contributions to Candidates for the General Assembly:

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

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Contractor Name

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)



STATE OF CONNECTICUT CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a bid or proposal for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b). For sole source or no bid contracts the form is submitted at time of contract execution.

INSTRUCTIONS:

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete all sections of the form. If the bidder or contractor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. **If the bidder or contractor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1):** Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: _____]

I, the undersigned, hereby swear that I am a principal or key personnel of the bidder or contractor awarded a contract, as described in Connecticut General Statutes § 4a-81(b), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, **except for the agreement listed below:**

Consultant's Name and Title

Name of Firm (if applicable)

Start Date

End Date

Cost

Description of Services Provided: _____

Is the consultant a former State employee or former public official? YES NO

If YES:

Name of Former State Agency

Termination Date of Employment

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Name of Bidder or Contractor

Signature of Principal or Key Personnel

Date

Printed Name (of above)

Awarding State Agency

Sworn and subscribed before me on this _____ day of _____, 20____.

**Commissioner of the Superior Court
or Notary Public**

**Acknowledgement of Contract Compliance
Notification to Bidders**

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

According to Section 4-114a-3(9) of the Contract Compliance regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4-114a of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets, belong to a person or persons: “(1) Who are active in the daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprises; and (3) who are members of a minority, as such term is defined in sub-section (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “ (1) Black Americans...(2) Hispanic American...(3) Women...(4) Asian Pacific Americans and Pacific Islanders; or (5) American Indians...” The above definitions apply to the contract compliance requirement virtue of Section 4-114a-1 (10) of the Contract Compliance Regulations.

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

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

* INSTRUCTIONS Proposer must sign acknowledgment below, and return acknowledgment to awarding agency along with signed proposal.

The undersigned acknowledges receiving and reading a copy of the “Notification to Bidders” form.

Signature

Date

BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I - Bidder Information

(Page 1)

Company Name Street Address City & State Chief Executive	Bidder Federal Employer Identification Number _____ Or Social Security Number _____
Major Business Activity (brief description)	Bidder Identification (response optional/definitions on page 1) -Bidder is a small contractor. Yes ___ No ___ -Bidder is a minority business enterprise Yes ___ No ___ (If yes, check ownership category) Black ___ Hispanic ___ Asian American ___ American Indian/Alaskan Native ___ Iberian Peninsula ___ Individual(s) with a Physical Disability Female ___ - Bidder is certified as above by State of CT Yes ___ No ___ - DAS Certification Number _____
Bidder Parent Company (If any)	
Other Locations in Ct. (If any)	

PART II - Bidder Nondiscrimination Policies and Procedures

1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards? Yes ___ No ___	7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.? Yes ___ No ___
2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards? Yes ___ No ___	8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? Yes ___ No ___
3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy? Yes ___ No ___	9. Does your company have a mandatory retirement age for all employees? Yes ___ No ___
4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes ___ No ___	10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? Yes ___ No ___ NA
5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes ___ No ___	11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor? Yes ___ No ___ NA
6. Does your company have a collective bargaining agreement with workers? Yes ___ No ___ 6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes ___ No ___ 6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct? Yes ___ No ___	12. Does your company have a written affirmative action Plan? Yes ___ No ___ If no, please explain. 13. Is there a person in your company who is responsible for equal employment opportunity? Yes ___ No ___ If yes, give name and phone number.

Part III - Bidder Subcontracting Practices

1. Will the work of this contract include subcontractors or suppliers? Yes__ No__

1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes__ No__

PART IV - Bidder Employment Information

Date:

JOB CATEGORY	OVERALL TOTALS	WHITE (not of Hispanic origin)		BLACK (not of Hispanic origin)		HISPANIC		ASIAN or PACIFIC ISLANDER		AMERICAN INDIAN or ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	male	female
Management											
Business & Financial Ops											
Computer Specialists											
Architecture/Engineering											
Office & Admin Support											
Bldg/ Grounds Cleaning/Maintenance											
Construction & Extraction											
Installation , Maintenance & Repair											
Material Moving Workers											
TOTALS ABOVE											
Total One Year Ago											
FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)											
Apprentices											
Trainees											

PART V - Bidder Hiring and Recruitment Practices

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)				2. Check (X) any of the below listed requirements that you use as a hiring qualification (X)	3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination	
SOURCE	YES	NO	% of applicants provided by source			
State Employment Service						Work Experience
Private Employment Agencies						Ability to Speak or Write English
Schools and Colleges				Written Tests		

SECTION IV. PROPOSAL OUTLINE

Newspaper Advertisement					High School Diploma
Walk Ins					College Degree
Present Employees					Union Membership
Labor Organizations					Personal Recommendation
Minority/Community Organizations					Height or Weight
Others (please identify)					Car Ownership
					Arrest Record
					Wage Garnishments

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

(Signature)	(Title)	(Date Signed)	(Telephone)
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- Joint Reporting Committee
- Equal Employment Opportunity Commission
- Office of Federal Contract Compliance Programs (Labor)

**EQUAL EMPLOYMENT OPPORTUNITY
EMPLOYER INFORMATION REPORT EEO-1**

Standard Form 100
REV 01/2006
O.M.B. No. 3048-9007
EXPIRES 01/2009
100-214

Section A—TYPE OF REPORT

Refer to instructions for number and types of reports to be filed.

1. Indicate by marking in the appropriate box the type of reporting unit for which this copy of the form is submitted (MARK ONLY ONE BOX).

(1) Single-establishment Employer Report

Multi-establishment Employer:

(2) Consolidated Report (Required)

(3) Headquarters Unit Report (Required)

(4) Individual Establishment Report (submit one for each establishment with 50 or more employees)

(5) Special Report

2. Total number of reports being filed by this Company (Answer on Consolidated Report only) _____

Section B—COMPANY IDENTIFICATION (To be answered by all employers)

1. Parent Company					OFFICE USE ONLY
a. Name of parent company (owns or controls establishment in item 2) omit if same as label					
Address (Number and street)					
City or town		State	ZIP code		b.
2. Establishment for which this report is filed. (Omit if same as label)					c.
a. Name of establishment					d.
Address (Number and street)		City or Town	County	State	ZIP code
b. Employer identification No. (IRS 9-DIGIT TAX NUMBER)					e.
c. Was an EEO-1 report filed for this establishment last year? <input type="checkbox"/> Yes <input type="checkbox"/> No					f.

Section C—EMPLOYERS WHO ARE REQUIRED TO FILE (To be answered by all employers)

<input type="checkbox"/> Yes	<input type="checkbox"/> No	1. Does the entire company have at least 100 employees in the payroll period for which you are reporting?																				
<input type="checkbox"/> Yes	<input type="checkbox"/> No	2. Is your company affiliated through common ownership and/or centralized management with other entities in an enterprise with a total employment of 100 or more?																				
<input type="checkbox"/> Yes	<input type="checkbox"/> No	3. Does the company or any of its establishments (a) have 50 or more employees AND (b) is not exempt as provided by 41 CFR 60-1.5, AND either (1) is a prime government contractor or first-tier subcontractor, and has a contract, subcontract, or purchase order amounting to \$50,000 or more, or (2) serves as a depository of Government funds in any amount or is a financial institution which is an issuing and paying agent for U.S. Savings Bonds and Savings Notes?																				
If the response to question C-3 is yes, please enter your Dun and Bradstreet identification number (if you have one):																						
<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>																						

NOTE: If the answer is yes to questions 1, 2, or 3, complete the entire form, otherwise skip to Section G.

Employment at this establishment - Report all permanent full- and part-time employees including apprentices and on-the-job trainees unless specifically excluded as set forth in the instructions. Enter the appropriate figures on all lines and in all columns. Blank spaces will be considered as zeros.

Section D-EMPLOYMENT DATA



Job Categories	Number of Employees (Report employees in only one category)														
	Hispanic or Latino							Not-Hispanic or Latino							
	Race/Ethnicity							Race/Ethnicity							
	Male			Female				Male			Female				
	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
	White	Black or African American	Native Hawaiian or Other Pacific Islander	Asian	Hispanic or Latino	Other	Native Hawaiian or Other Pacific Islander	Asian	Hispanic or Latino	Other	Native Hawaiian or Other Pacific Islander	Asian	Hispanic or Latino	Other	Native Hawaiian or Other Pacific Islander
Executive/Senior Level Officials and Managers															
First/Mid Level Officials and Managers															
Professionals															
Technicians															
Sales Workers															
Administrative Support Workers															
Craft Workers															
Operatives															
Laborers and Helpers															
Service Workers															
TOTAL															
PREVIOUS YEAR TOTAL															

1. Date(s) of payroll period used: _____ (Omit on the Consolidated Report.)

Section E - ESTABLISHMENT INFORMATION (Omit on the Consolidated Report.)

1. What is the major activity of this establishment? (Be specific, i.e., manufacturing steel castings, retail grocer, wholesale plumbing supplies, tile insurance, etc. Include the specific type of product or type of service provided, as well as the principal business or industrial activity.)

Section F - REMARKS

Use this item to give any identification data appearing on the last EEO-1 report which differs from that given above, explain major changes in composition of reporting units and other pertinent information.

Section G - CERTIFICATION

Check 1 All reports are accurate and were prepared in accordance with the instructions. (Check on Consolidated Report only.)

2 This report is accurate and was prepared in accordance with the instructions.

Name of Certifying Official _____ Title _____ Signature _____ Date _____

Name of person to contact regarding this report _____ Title _____ Address (Number and Street) _____ Email Address _____

City and State _____ Zip Code _____ Telephone No. (including Area Code and Extension) _____

All reports and information obtained from individual reports will be kept confidential as required by Section 709(c) of Title VII WILLFULLY FALSE STATEMENTS ON THIS REPORT ARE PUNISHABLE BY LAW, U.S. CODE, TITLE 18, SECTION 1001

REQUEST FOR APPLICATIONS
RFP # DMHAS-HOUSING-HMIS-2018
Department of Mental Health and Addiction Services
February 2018

Proposal Cover Sheet

Proposer/Agency Name _____ FEIN _____

Address _____

City/Town _____ State _____ Zip Code _____

Agency Contact: _____ Title: _____

Telephone Number _____ Fax Number _____ E-Mail Address _____

Total Annual Program Cost _____

Total Annual Cost to DMHAS _____

Proposer/Agency Fiscal Year: _____ to _____
(month) (month)

Proposed Program Address:

Is your agency a non-profit? Yes No Is your agency incorporated? Yes No

Is your agency registered as a:
Minority Business Enterprise? Yes No
Women Business Enterprise? Yes No
Small Business Enterprise? Yes No

I certify that to the best of my knowledge and belief, the information contained in this application is true and correct. The application has been duly authorized by the governing body of the applicant, the applicant has the legal authority to apply for this funding, the applicant will comply with applicable state and federal laws and regulations, and that I am a duly authorized signatory for the applicant.

Signature of Authorizing Official _____ Date _____

Typed Name and Title _____

**STATE OF CONNECTICUT**

Written or electronic PDF copy of the written certification to accompany a large state contract pursuant to P.A. No. 13-162 (Prohibiting State Contracts With Entities Making Certain Investments In Iran)

Respondent Name: _____

CHECK ONE: Initial Certification. Amendment or renewal.

A. Who must complete and submit this form. Effective October 1, 2013, this form must be submitted for any large state contract, as defined in section 4-250 of the Connecticut General Statutes. This form must always be submitted with the bid or proposal, or if there was no bid process, with the resulting contract, regardless of where the principal place of business is located.

Pursuant to P.A. No. 13-162, upon submission of a bid or prior to executing a large state contract, **the certification portion of this form must be completed** by any corporation, general partnership, limited partnership, limited liability partnership, joint venture, nonprofit organization or other business organization **whose principal place of business is located outside of the United States**. United States subsidiaries of foreign corporations are exempt. For purposes of this form, a "foreign corporation" is one that is organized and incorporated outside the United States of America.

Check applicable box:

Respondent's principal place of business is within the United States or Respondent is a United States subsidiary of a foreign corporation. Respondents who check this box **are not required to complete the certification portion of this form**, but must submit this form with its Invitation to Bid ("ITB"), Request for Proposal ("RFP") or contract package if there was no bid process.

Respondent's principal place of business is outside the United States and it is not a United States subsidiary of a foreign corporation. **CERTIFICATION required.** Please complete the certification portion of this form and submit it with the ITB or RFP response or contract package if there was no bid process.

B. Additional definitions.

- 1) "Large state contract" has the same meaning as defined in section 4-250 of the Connecticut General Statutes;
- 2) "Respondent" means the person whose name is set forth at the beginning of this form; and
- 3) "State agency" and "quasi-public agency" have the same meanings as provided in section 1-79 of the Connecticut General Statutes.

C. Certification requirements.

No state agency or quasi-public agency shall enter into any large state contract, or amend or renew any such contract with any Respondent whose principal place of business is located outside the United States and is not a United States subsidiary of a foreign corporation unless the Respondent has submitted this certification.

Complete all sections of this certification and sign and date it, under oath, in the presence of a Commissioner of the Superior Court, a Notary Public or a person authorized to take an oath in another state.

CERTIFICATION:

I, the undersigned, am the official authorized to execute contracts on behalf of the Respondent. I certify that:

Respondent has made no direct investments 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.

Respondent has either made direct investments 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, or Respondent made such an investment prior to October 1, 2013 and has now increased or renewed such an investment on or after said date, or both.

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Respondent 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