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OFFICE OF THE COMMISSIONER

STATE FISCAL YEAR 2016-2018
PLAN FOR COMPETITIVE PROCUREMENT
OF
HUMAN SERVICES

NOVEMBER 2014

I. PURPOSE

This plan details the steps the Connecticut Department of Correction (CTDOC or Department) has taken and will take for the procurement of human services. The plan allows CTDOC to meet operational requirements and provide reasonable provider/offender stability, while assuring an open, competitive, and transparent process for the procurement of human services. The plan directs CTDOC in all aspects of such procurements and will be reviewed at least annually to assure its continued relevance. Changes in statute, regulation, legal opinions, and direction from cognizant offices will dictate future adjustments.

II. HISTORY

For well over twenty (20) years, the CTDOC had, generally, renewed all existing contracts through no competitive procurement process. New community programs were sought through competitive bidding only as additional funding was provided through legislation or when the department received specific federal funding. This strategy, while acceptably effective, resulted in a patchwork of residential and day services that did not necessarily reflect the needs of the agency.

In 2009, for SFY 2010, following more than two (2) years of internal review, debate and planning, the entire network of community services was sent out to bid. The Request for Proposals (RFP) envisioned a state-wide, inter-connected network of residential and day programming that was designed to meet the evolving needs of CTDOC, while establishing a system that provided comprehensive continuity of care to CTDOC's offender population.

The 2009 RFP process culminated with the issuance of multi-year, consolidated contracts. While CTDOC had traditionally faced numerous impediments to competitive procurement (siting and zoning issues, statutory requirement to contract with private, non-profits) which precluded new groups or organizations from submitting proposals in response to a human services procurement, the resulting contracts from the 2009 RFP Process yielded the addition of six (6) new service providers to CTDOC's compliment of community human service providers.

During the subsequent five (5) years since the 2009 RFP process, CTDOC has conducted six (6) separate competitive procurements to address emergent or renewal needs of the agency. Of the programs subject to renewal, 26% were subjected to competitive procurement as opposed to renewal absent competitive procurement.

III. CURRENT STRUCTURE AND PRACTICES

It was CTDOC's intent, as a result of the 2009 RFP, to implement contracts for six (6) year time periods. This rendered stability and assurance to the service providers, while ensuring that the needs of the Department continued to be evaluated in a timely manner. At the time of the 2009 competitive procurement, CTDOC staggered the terms of its contracts in one (1), four (4) and five (5) year increments, with the intent to renew each contract once for a six (6) year term.

CTDOC's procurement plan was designed as follows: Contracts with an original one (1) year rotation, ending in June of 2010, were renewed for six (6) years (through June of 2016). Those with an original rotation of four (4) years, ending in June of 2013, were to be renewed through June of 2019. Finally, those with an original five (5) year rotation, ending in June of 2014, were to be renewed through June of 2020.

CTDOC has, for at least fifteen (15) years, consolidated contracts with each provider to reduce the administrative duplications inherent in one contract for each program. Annually, each provider is required to revise the existing budgets associated with their contract to reflect their changing needs. These budget revisions do not require the issuance of a new, revised or amended contract.

IV. PROCUREMENT PROCESS

The procurement process for human services within CTDOC begins in one of two ways. If additional dollars are allocated by the Legislature, the Director of Parole and Community Services, in consultation with the Strategic Planning Analysis Research and Contracts (SPARC), reviews then-current utilization data, facility wait lists and trending service needs of the offender population in order to identify the types of needed services and areas for those services that would be best served with additional procurement.

Absent new funding allocations as described above, the Parole and Community Services and SPARC conduct an Annual Community Service Needs Determination. This process involves the review of all contracted community services, both residential and non-residential.

The Parole and Community Services and SPARC initiate the development of an RFP for the identified services. The development of the RFP will include subject matter experts in the appropriate field within CTDOC (substance abuse, mental health, employment, women and children, etc). Final issuance of the RFP follows all pertinent state (OPM) guidelines.

A Committee chosen by the Commissioner completes a review and critical evaluation of received proposals. Proposals are independently reviewed and scored by each of the committee members, who subsequently meet to discuss each proposal and produce a consolidated score and ranking of each.

Based on the score and ranking of each proposal, the committee develops recommendations and submits such to the Commissioner for approval. If the Commissioner accepts the recommendation of the Committee, a letter is dispatched to those bidders identified in the recommendation informing them that they have been awarded the right to negotiate a contract. Letters are also sent

to bidders who were not selected for possible funding.

If negotiations with any selected bidder fail to produce a contract, the Committee may decide to offer those services to another bidder.

A full description of CTDOC's procurement processes is on file with the Office of Policy and Management.

V. PLANNING APPROACH

Planning for the procurement of human services required by CTDOC is an on-going and long established process. On an annual basis the Parole and Community Services and SPARC conduct a formal Annual Community Service Needs Determination. This process involves the comprehensive review of all contracted community services, both residential and non-residential and encompasses the following factors:

- Current and historic utilization trends
- Current and historic performance outcomes
- Current and historic programmatic concerns
- Current facility program wait lists
- Current and trending Parole Stipulations
- Current assessed level of offender need
- Current and anticipated funding/allocations
- Current and historic Annual Performance Reports
- Current and historic audit report/findings

During this annual review, specific emphasis is placed on those contracts scheduled for expiration in the current fiscal year. While being cognizant of zoning restrictions and the reasonable viability of zoning a new community program for offenders, CTDOC also extensively evaluates the program's ability to meet established performance measures and/or correct identified deficiencies. Program's that consistently fail to meet these goals are placed on Enhanced Monitoring. Continued failure to correct their deficiencies plays a significant factor in CTDOC's determination as to whether a competitive procurement or renewal absent competitive procurement will be utilized.

VI. PROCUREMENT SCHEDULE

The following schedule references the re-procurement schedule for community programs currently under contract with CTDOC, scheduled for expiration during State Fiscal Years 2016, 2017 or 2018:

Provider	Program Name	Program Type	Program Delineation	Last RFP	Next RFP	Annual Cost	RFP Cycle	Date of Next Procurement Review
APT Foundation	Residential Services Division	In-Patient	Residential	January 2010	OPM Waiver	\$582,114	6 Years	October 2015
Career Resources	ReEntry Works	Employment	Non-Residential	January 2009	OPM Waiver	\$210,650	6 Years	October 2015
Columbus House	Starting Over	Employment	Non-Residential	January 2009	OPM Waiver	\$760,581	6 Years	October 2015
The Connection, Inc.	January Center	Sex Offender Treatment	Residential	January 2010	January 2017	\$760,855	7 years	October 2016
The Connection, Inc.	Norwich TCCC	Behavioral Health	Non-Residential	January 2013	January 2015	\$529,044	1 year	October 2014
Easter Seals Goodwill	Community ReEntry	Employment	Non-Residential	January 2009	OPM Waiver	\$246,367	6 Years	October 2015
New Directions	Behavioral Health	Behavioral Health	Non-Residential	January 2009	OPM Waiver	\$75,764	6 Years	October 2015
Perception Programs	Brooklyn Bridge	In-Patient	Residential	January 2009	January 2016	\$1,267,213	6 Years	October 2015
Perception Programs	Next Step Cottage	In-Patient	Residential	January 2009	January 2016	\$926,363	6 Years	October 2015
Perception Programs	Outpatient Services	Multi-Service Center	Non-Residential	January 2009	January 2016	\$309,213	6 Years	October 2015
Wellmore, Inc.	Outpatient Services	Behavioral Health	Non-Residential	January 2009	January 2016	\$475,000	2 Years	October 2015
Wellmore, Inc.	Therapeutic Shelter	In-Patient	Residential	January 2009	January 2016	\$202,038	2 Years	October 2015
Schulman & Associates, LLC	ILAP	Inmate Legal Assistance	Facility-Based	40179	42005	\$906,127	6 Years	October 2014

Waiver Requests

The following schedule references anticipated waivers that may be requested by CTDOC for State Fiscal Years 2016, 2017 or 2018. CTDOC does not utilize blanket waiver's from competitive procurement, as the Department evaluates each of its consolidated, multi-program contracts during its Annual Service Needs Determination process, with particular attention paid to those contracts scheduled to terminate in the current fiscal year. Based on the following factors, the Department either requests a waiver from competitive procurement for each program under the contract, or issues a Request for Proposal for the re-alignment or re-procurement of services:

- Utilization Rates
- Program Performance Indicators
- Financial Solvency
- Continued Need of the Department
- Prioritized Need of the Department

Department of Correction Procurement Schedule – Anticipated Waiver Requests For SFY 2016-2018						
Provider	Program	Last RFP (SFY,QTR)	Total \$ Amount	# of Contracts	Next RFP (SFY, QTR)	Reason for Waiver Request
N/A	N/A	N/A	N/A	N/A	N/A	N/A

VII. PLANNING FACTORS

CTDOC has a history of issuing consolidated contracts, which are single Agreements that may contain upwards of ten (10) different program types, or fifteen (15) or more individual programs in multiple locations. For example, a consolidated contract may have Residential Work Release programs in Norwich, Hartford, Bridgeport, and Willimantic, while also providing for a Mental Health Residential program in Waterbury and a Day Reporting (Non-Residential) Behavioral Health program in Danielson. A single, consolidated contract will include multiple 'cost centers', each having the same contracted implementation and expiration dates.

Because of the efficiency and viability of this contracting modality and the significant administrative and programmatic gains realized by this modality, CTDOC bids by the contract expiration date, not by geographical location or program type.

The overarching consideration for the development of a procurement schedule is the fixed contract

termination dates. Because there are widespread and deep-rooted zoning issues impacting community programs (both residential and nonresidential), the Department has been only marginally successful in its ability to contract with truly new providers or new programs. On occasion, CTDOC has been able to take advantage of locations where other criminal justice programs operated by the Judicial Branch or community programs operated by other human service agencies have closed, but still retain their zoning approvals, although it is often the case that bidders are those agencies currently providing services for either the CTDOC, the Judicial Branch or another human service agency. Because of this, CTDOC has made the commitment to its sister agencies that, whenever the choice is practicable, CTDOC will not poach beds or program space from its sister agencies unless such agencies have already been consulted and agree to the modification.

The actual schedule for rebidding is staggered for efficiency purposes. Program stability and service delivery are also key factors in the rotation of program re-procurements. When CTDOC re-bid its entire community network in 2009, while needed and efficiently managed with few service interruptions, the process remained a significant stress on the missions of the units involved, and placed significant stress on an already over-burdened and fragile community network of services.

Due to factors related to zoning of criminal justice programs, viability and experience of Connecticut's existing community network of providers as it relates to supervision of a criminal population and CTDOC's statutory limitations regarding eligible contractors, and because of CTDOC's extensive and comprehensive Annual Review Process, CTDOC frequently requests waivers from competitive procurement when renewing existing contracts. Such waivers are requested only after extensive review to determine the financial, programmatic and performance viability of the programs.

VIII. COMMUNICATION PROTOCOL

The official contact person for this Procurement Plan is Fiscal Administrative Manager Michael Lettieri, who oversees SPARC.

The plan, as periodically modified, is disseminated to the Parole and Community Services, Best Practices and Legal Units within CTDOC. Copies are also sent to all current providers, via email to the Executive Director.

Questions concerning the plan or any aspect of the procurement process are routinely channeled through agency contracts staff. In addition, CTDOC maintains a "How To" page posted on its internet site describing the process and requirements for entering into a contract for community human services with the Department, while SPARC staff members are routinely reminded of the requirements and expectations associated with the RFP process.

S. Scott Semple, Interim Commissioner