

State of Connecticut
Office of Policy and Management
Request for Applications (RFA)
NONPROFIT GRANT PROGRAM
Round 8
Guidelines and Application Instructions
DATE: August 23, 2023

A. INTRODUCTION:

The Office of Policy and Management (OPM) is accepting applications for the Nonprofit Grant Program (NGP). **The application deadline for consideration for this current round of funding is not later than 4:00 p.m. (Eastern Time) on October 18, 2023.** The NGP will award Grants-in-aid to selected private, nonprofit health and human service organizations that are exempt under Section 501(c)(3) of the Internal Revenue Code of 1986 and receive funds from the State, including Medicaid, to provide direct health or human services to State of Connecticut agency clients. Applications involving a collaboration between two or more eligible nonprofit organizations may also be eligible to apply for NGP funds.

These Guidelines and Application Instructions may be amended at any time as determined necessary by OPM.

1. Synopsis:

The purpose of the NGP is to provide grants-in-aid to private, nonprofit health and human service organizations that are exempt under Section 501(c)(3) of the Internal Revenue Code of 1986, and that receive funds from the state to provide direct health or human services to state agency clients, for alterations, renovations, improvements, additions and new construction, including health, safety, compliance with the Americans with Disabilities Act (ADA) and energy conservation improvements, information technology systems, technology for independence, purchase of vehicles and acquisition of property.

2. Legislative and Funding Authority:

The NGP is funded by proceeds from State General Obligation Bonds. A total of \$35.5 million is available to grant during this eighth round of Nonprofit Grant funding in response to this RFA from the following bond authorizations:

- \$ 25 million -- Sec. 32(a)(1) of Public Act 20-1
- \$ 10.5 million remaining from the previous seven rounds of funding from:
 - Sec. 13(a)(1) of Public Act 13-239
 - Sec. 32(a)(1) of Public Act 13-239
 - Sec. 87 of Public Act 14-98
 - Sec. 13(a)(1) of Public Act 15-1, June Special Session
 - Sec. 32(a)(1) of Public Act 15-1, June Special Session as amended by Sec. 220 of Public Act 16-4, May Special Session
 - Sec. 389(a)(1) of Public Act 17-2, June Special Session
 - Sec. 408 (a)(1) of Public Act 7-2, June Special Session

3. Contract Awards:

Component 1: An amount up to \$8.875 million in funding, but no more than 25 percent of the total of any NGP funds awarded as a result of this RFA, may be reserved for projects requesting NGP funding in an amount greater than \$1 million and up to and including a maximum of \$3 million, **provided that additional matching funds equal to a minimum of 25% of the NGP award are contributed by the selected applicant.** Matching funds shall **not** include other state funds or the inclusion of provider non-cash in-kind contributions. Under Component 1, the Evaluation Committee will not recommend a project for award that does not receive a score of at least **80 points or more** on a scale out of 100 from the committee for any project request of more than \$1 million in NGP funds.

Component 2: The remaining amount of NGP funding will be for projects requesting up to \$1 million with a minimum project cost of \$35,000.

Note: Organizations applying for funds under Component 1 above may also apply for funds under Component 2, but will not be eligible for selection if they are selected for a proposed award under Component 1. Components 1 and 2 will be evaluated and ranked separately. Matching funds are not required for Component 2 projects; however the inclusion of funds for the project from non-state sources will be considered during the evaluation. Under Component 2, the Evaluation Committee will not recommend a project for award that does not receive a score of at least **70 points or more** on a scale out of 100 from the committee.

Component 3: As indicated, collaborations between two or more eligible nonprofit health and human services providers related to the consolidation or sharing of programs, services or facilities are eligible for funding. Component 3 projects will have to comply with the funding amounts and requirements outlined in Component 1 or 2 and will be evaluated and included in the rankings of the appropriate component (i.e., 1 or 2) depending on the level of funding requested.

The Evaluation Committee or OPM Secretary may recommend or approve awards different than the amount requested by the applicant.

Organizations may only submit three (3) applications under components 1 and 2 of this announcement. Project collaborations as defined under component 3 of this application do not count towards the individual organization project limit of three (3) applications.

B. ELIGIBLE APPLICANTS, PROJECTS AND COSTS:

1. Eligible Applicants:

Eligible applicants are private, nonprofit health and human service organizations that are exempt under Section 501(c)(3) of the Internal Revenue Code of 1986, and that receive funds from the State, including Medicaid, to provide direct health or human services to State of Connecticut agency clients. As indicated, applications involving a collaboration between two or more eligible nonprofit organizations serving State of Connecticut agency clients may also be eligible for award.

You must be registered with CTsource to apply for this funding.

Supplier Registration information can be found at this link:

<https://portal.ct.gov/DAS/CTSource/CTSource>. **Applications submitted by applicants who have not registered on CTsource by the application deadline will be automatically disqualified.**

2. Program Priorities and Eligible Projects:

The NGP is for capital projects or items that achieve or address at least one of the two following priorities.

- a. Improving or enhancing the efficiency or effectiveness of nonprofit providers delivering health and human services.
- b. Addressing need for health, safety and ADA improvements of nonprofit providers delivering health and human services.

The following capital projects or items will be considered, provided they address one of the priorities as outlined above.

A. Facility Improvements, New Construction or Property Acquisition:

- Facility alterations, renovations, improvement and additions.
- New construction.
- Property or facility acquisition.
- Improvements related to health, safety (including installation of sprinklers and security systems) and compliance with Americans with Disabilities Act.
- Energy conservation improvement projects, including HVAC and other systems.

NOTE: Applications for Facility Improvements, New Construction or Property Acquisition projects, as defined above, must include a completed (Modified) Lien Analysis in Part 2, Section K of the application in order to be reviewed by the Evaluation Committee. Applications that do not include a completed (Modified) Lien Analysis will be automatically disqualified.

B. Equipment, Technology and Vehicles:

- Information technology (I/T) projects, with examples including encryption or client confidentiality projects, Electronic Health Records and other health information technology systems, and systems that help maximize third-party or federal funding or reimbursements (i.e., Medicaid) for these services.

Allowable use of bond funds for information technology projects are: Consulting services for the planning, design, development and testing, training and implementation of new I/T systems or capabilities; Costs associated with migration from legacy systems; initial software and hardware related to licensing or subscriptions necessary for the design, development or testing of new I/T systems or capabilities; Other costs typically associated with traditional I/T projects up

to and until final acceptance and implementation and a post implementation stabilization period of not more than 6 months.

- Technology that promotes client independence.
- Permanent Generators (Note: Generator projects that are part of renovations to properties that will improve their value should be submitted as facility improvement projects). Minor work on a fuse box related to a generator would not, for example, constitute a renovation that would change the value of a facility or property.
- Purchase of vehicles.
- Capital equipment needed to enhance efficiency or effectiveness or facilitate a collaboration between two or more eligible nonprofit organizations.

C. Component 3 applications only:

- Relocation expenses related and part of physical consolidation being funded in whole or in part by NGP funds.

C. NON-ELIGIBLE COSTS, LIMITATIONS AND DISBURSEMENT OF FUNDS

Non-Eligible Costs Include(s) but are not limited to:

- Portable air conditioners and generators.
- Procurements, items or any costs not eligible to be financed by bond funds.
- Interior or exterior painting unless part of an allowable cost as defined under section 2.A.
- Furniture, copiers or similar equipment unless part of an allowable cost as defined under section 2.A.
- Supplanting of Funds. Funds received for any project under the grant program must be used to supplement and not supplant, any federal, state, private or other funds received for the project.
- Staffing or operating costs (i.e., annual maintenance, supplies, and newspaper advertisements).
- Rebates and extended service contracts.
- For I/T upgrades: costs associated with dues/fees/subscriptions/software/licensing (including reoccurring software licensing) beyond that which renders the hardware operational.
- For I/T upgrades: service/maintenance contracts.
- Utilities, supplies, ordinary repairs or maintenance.
- Training outside the grant award period.
- Leasing any equipment (i.e., vehicles, propane tanks).
- Costs to pay permit fees related to federal, state and local laws, ordinances and regulations and property, sales taxes, registration or emission fees related to vehicles.
- Any costs incurred prior to grant award contract execution unless otherwise explicitly stated as allowable in the Nonprofit Grant Program Special Grant Conditions for this RFA.

Limitations Include:

- For projects involving facility improvements, alterations or renovations or property acquisition, the requested funds shall be less than the current market value of the property minus: (1) any liens on the property; (2) amounts received from prior NGP grants for this property; and (3) any outstanding mortgage balance. In the case of new construction, it would need to be demonstrated, to the satisfaction of the State, that the fair market value of the new facility and associated land would exceed the total amount of: (1) any liens on the property; (2) amounts received from prior NGP grants for this property; (3) any outstanding mortgage balance; and (4) any new NGP funds awarded as a result of this RFA.
- Provisions regarding related party transactions shall be treated the same as in [OPM's Cost Standards](#).
- Architectural fees limited to no more than 10% of total project costs; applicant may submit justification, based on project complexity, to exceed this percentage.

Disbursement of Funds:

- Work to be funded from the NGP cannot begin until the contract has been signed by both the Grantee and the Secretary of OPM. Payments will be made on a reimbursement basis only for allowable expenditures incurred pursuant to the terms and conditions of the grant. The reimbursement process will require the grantee to provide expenditure information and certify, on a form provided by OPM, that it has paid the project expenses for which it is seeking reimbursement. OPM shall email forms for grantees to use to request reimbursement from the State of Connecticut after contracts have been signed/executed by both the Grantee and the Secretary of OPM.

D. OFFICIAL STATE NGP APPLICATION CONTACT (i.e. Official State Contact) and INQUIRY PROCEDURES:

Official State Contact and Communications Notice. OPM has designated the individual below as the Official State Contact for the purpose of this RFA. The Official State Contact is the only authorized contact for this solicitation and, as such handles all related communications on behalf of the Agency. All communications with the State or any person representing the State concerning this RFA are strictly prohibited, except as permitted by this RFA. Any violation of this prohibition by proposers or their representatives may result in disqualification or other sanctions, or both.

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450 Capitol Avenue
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E-mail: OPM.NPGrantProgramApplication@ct.gov

Inquiry Procedures. All questions regarding this RFA must be directed via e-mail to the Official State Contact before the deadline specified in the RFA timeline. Questions will not

be accepted or answered verbally. OPM will not answer questions when the source is unknown, or questions are deemed unrelated to the RFA. All questions and answers will be compiled into a written amendment to this RFA and will be published to the CTsource website and on OPM's website on the date specified in the RFA timeline. If any answer to any question constitutes a material change to the RFA, the question and answer will be placed at the beginning of the amendment and duly noted as such.

E. APPLICATION TIMELINE:

Timeline. The timeline, up to and including the deadline for submitting applications, shall be changed only by an amendment to this RFA. Dates after the submittal deadline are target dates only.

August 23, 2023		RFA Released
September 20, 2023	4 p.m. ET	Deadline for Questions
October 2, 2023	4 p.m. ET	Written Answers to Questions Released
October 18, 2023	4 p.m. ET	Applications Due/Submittal Deadline
January 26, 2024		Notice of Grant Award Announced
April 24, 2024		Start of Contract

F. APPLICATION CONTENTS AND INSTRUCTIONS:

A link to the application for this funding program is posted on the [CTsource website](#) and also on [OPM's website](#) under the link for Request for Proposals/Request for Applications/Request for Information/Request for Quotes (RFP/RFA/RFI/RFQ). **Unsigned or incomplete applications will be disqualified.**

1. Application Contents:

- **Part 1 – Participant Profile**
- **Part 2 - Project Application**

2. Part 1 - Participant Profile Instructions:

Complete and submit the following information pertaining to the participant:

- A. Organization profile
- B. Description of organization and services provided
- C. State of Connecticut health and human services contracts or agreements
- D. Required documents, financial audits, questions and other information
- E. Certification

Only one Part 1, Participant Profile is required for Component 1 and 2 applications regardless of how many projects you are submitting and should be placed at the beginning of an organization's submittal. Project collaborations, defined below under Component 3 of this application, do not count towards the individual organization project limit of three (3) applications.

For Component 3 applications involving a collaboration between two or more eligible nonprofit organizations, each organization that is a part of such

collaboration must submit a separate Part 1, Participant Profile. In addition, the provider with whom the State would enter a grant award agreement, the lead, must be identified in Part 1.

3. Part 2 –Project Application Instructions

Complete and submit the following information pertaining to each requested project:

- A. Name of project and project type
- B. Amount of NGP Funds Requested
- C. Health and human service programs operated by your organization
- D. Purpose and description of the project
- E. Scope of work for the project
- F. Line-item budget and narrative
- G. Non-NGP funds project budget
- H. List of procurements
- I. Project sustainability
- J. Improvements to be achieved
- K. Property value and lien analysis for facility improvements, new construction, and property acquisition projects
- L. Questions for facility improvements, new construction, and property acquisition projects

Organizations may only submit three (3) applications under components 1 and 2 of this announcement. Project collaborations as defined under component 3 of this application do not count towards the individual organization project limit of three (3) applications.

A separate Application must be submitted for each project. For example, an organization seeking funding for 1) the implementation of an electronic health record (EHR) system and 2) the renovation a kitchen would need to file separate Project Applications (one for the EHR system and the one for the kitchen renovation) since these are unrelated projects. However, an EHR system involving multiple locations would be considered to be one project. With respect to generators, if a provider is seeking to purchase generators for multiple locations and none of the purchases include renovations to properties that will improve their value, the purchase of the generators can be submitted as one project. Similarly, if a purchase of vehicles is part of a larger program of purchasing or replacing vehicles, it could be submitted as one project.

A separate Application must be submitted for each different property address if the project is for Facility Improvements, New Construction or Property Acquisition as defined in section B.2 of these instructions. *Example: If renovating bathrooms at two different property locations, with different addresses, a separate application must be submitted for each address counting as two Applications.*

Clarifying Information.

Applicants may be requested by the Official State Contact or the Evaluation Committee to submit clarifying information related to their application as well as additional information as may be required by the Official State Contact, the Evaluation Committee, the OPM Secretary or the State Bond Commission.

G. SUBMITTAL OF APPLICATIONS:

1. **Submittal of Applications:** Applicants must submit a **full, complete, and signed application package, including all attachments to the designated email box OPM.NPGrantProgramApplication@ct.gov** by the application deadline indicated in Section E of these guidelines. **Unsigned or incomplete applications will not be evaluated.**

H. EVALUATION AND SELECTION OF APPLICATIONS; GRANT AWARD

1. **Evaluation Process.** OPM will conduct a comprehensive, fair, and impartial evaluation of applications received. Due to the anticipated amount of a large number of applications to be submitted, only complete applications submitted by the deadline to the designated email box OPM.NPGrantProgramApplication@ct.gov will be evaluated. **Late and/or incomplete applications will be disqualified.**
2. **Evaluation Committee:** The OPM Secretary will designate an Evaluation Committee comprised of three (3) or more State staff, at least one (1) of whom shall be an OPM employee, to evaluate qualified proposals submitted in response to this RFA and to recommend finalists for consideration. The Selection Committee shall evaluate all proposals that meet the Minimum Submission Requirements. Additionally, an elimination round may be implemented by the Evaluation Committee utilizing selected evaluation criteria contained in these guidelines. The Committee will be able to use non-voting "programmatic and technical advisors" from state agencies or outside entities, as appropriate, to assist, as needed, in reviewing the programmatic and technical aspects of proposals.
3. **Minimum Submission Requirements.** Only complete, signed applications deemed to be responsive to these instructions and requirements will be evaluated. ***Responses deemed incomplete or unresponsive to the instructions will be disqualified from the evaluation process.*** At its sole discretion, the Evaluation Committee **may** allow applicants to correct applications in order to ensure minimum submission requirements are met.

4. Evaluation Criteria

Evaluation Criteria and Definitions	
(a)	Location Preference will be given to providers headquartered in the State of Connecticut.
(b)	Efficiencies and Effectiveness Demonstrated efficiencies or effectiveness in the delivery of health and human services.
(c)	Health, Safety and ADA Addresses the need for health, safety and ADA improvements to benefit clients.
(d)	<p>Non-NGP Funds The extent to which the application contains funds in addition to the NGP funds requested. Potential sources of these other funds include those provided from the applicant's own assets or bank loans or from federal or private sources. These funds should be those that have been already secured or will be readily available in order to ensure project completion in a timely manner.</p> <p>NOTE: Applications for projects greater than \$1 million, up to a maximum of \$3 million, supplemental matching funds equal to a minimum of 25% of the NGP award are required and must be documented in the budget and budget narrative. The matching funds may not include other state funds or non-cash in-kind contributions.</p>
(e)	Project Sustainability Demonstrated sustainable funding in the years following the completion of the project.
(f)	Fiscal Stability Demonstrated fiscal stability of the organization as determined by response to questions in Part 1 Section D, Items 2 through 4 and by calculated these financial ratios: Current Ratio and Program Efficiency Ratio.
(g)	Quality of application in terms of project plans and description and reasonableness and accuracy of cost estimates and project budgets.
(h)	Affirmative Action and Equal Employment Opportunity. Applicant's compliance with requirements.

- 5. Meetings with Applicants.** The Evaluation Committee may request a meeting with an applicant in order to gain a better understanding of the application. The meeting may involve a site visit. If the Evaluation Committee decides such a meeting is warranted, the Official State Contact will notify the applicant and provide detailed procedures for the meeting. An applicant must not use a meeting with the Evaluation Committee to supplement, improve, or amend the application. At its sole discretion, OPM may invite only certain applicants to meetings and may limit the number of attendees per applicant.

- 6. Recommendations by the Evaluation Committee.** Upon completing its evaluation of applications, the Evaluation Committee will submit its written recommendations to the Secretary of OPM. The Evaluation Committee may recommend none, all or part of any application to the Secretary of OPM. The Evaluation Committee will not recommend a project request between \$35,000 and \$1 million that does not receive a score of at least **70** points or more on a scale out of 100 from the committee, or at least **80** points or more on a scale out of 100 for any project request of more than \$1 million in NGP funds.
- 7. Selection by Secretary.** The final selection of any application is at the discretion of the Secretary of OPM. The OPM Secretary has full discretion to accept or reject, in whole or in part, any funding recommendation submitted by the Evaluation Committee. The award of any grant pursuant to this program is dependent upon the review and approval of OPM.
- 8. Notification by OPM.** Applicants will be notified by OPM as to the status of their applications both for awards and non-awards. Any selected applicant notified by OPM for an award will be given an opportunity to enter into a grant award contract with the State. As part of this process, the applicant will be required to submit such additional information and documentation as required by OPM (see Section I. of these Guidelines and Instructions). Work to be funded from the NGP cannot begin until the grant award contract has been signed by both the grantee and the Secretary of OPM.
- 9. Grant Administration.** If a grant is awarded, OPM or another state agency selected by OPM will seek to execute the grant award contract with the successful applicant and to oversee the grantee's implementation of the approved project(s). Work to be funded from the NGP cannot begin until the grant award contract has been signed/executed by both the Grantee and the State. If OPM is not a party to the contract with the grantee, OPM will continue to exercise its statutory authority related to the overall direction and implementation of the program.
- 10. Freedom of Information Act.** Applications submitted are the sole property of the State. Applicants are encouraged NOT to include in their applications any information that is proprietary. Applicants are advised that all materials associated with an application are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations, and interpretations resulting from them. The FOIA generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content falls within certain categories of exemption.

If the information is not readily available to the public from other sources and the applicant submitting the information requests confidentiality, then the information is generally considered to be "given in confidence." If the applicant indicates that certain documentation is submitted in confidence, by specifically and clearly marking said documentation as CONFIDENTIAL, OPM will endeavor to keep said information confidential to the extent permitted by law. OPM, however, 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 applicant has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. In no event shall OPM or

any of its staff have any liability for disclosure of documents or information in the possession of OPM which OPM or such staff believes to be required pursuant to the FOIA or other requirements of law.

- 11. Conflict of Interest.** A conflict of interest exists when a relationship between an applicant and a public official (including an elected official) or State employee 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 an applicant tries to influence, or succeeds in influencing, the outcome of an official decision for personal or corporate benefit. Applicants are required to disclose any current business relationships (within the last three years) that pose a conflict of interest. OPM will determine whether the conflict of interest poses a substantial advantage to the applicant over the competition, decreases the overall competitiveness of the application, or is not in the best interests of the State.

I. INFORMATION AND DOCUMENT REQUIREMENTS-POST SELECTION

If selected for a possible grant award, the applicant will be required to submit additional documentation (listed below) within ninety (90) calendar days after OPM's Official Contact sends the applicant written instructions to do so. Failure to comply within the time stated above could result in forfeit of the award. A description of some of the information, depending on the nature of the project that may be required is included below:

- 1. Execution of Award.** Execution of Notice of Grant Award with accompanying Statement of Work and Approved Budget, General Grant Conditions, and Nonprofit Grant Program Special Grant Conditions.
- 2. Certified Resolution.** A certified resolution, adopted by the Board of Directors, authorizing the Executive Director or other designated representative to act on behalf of the Board of Directors to undertake the particular project awarded under this program and to execute the Notice of Grant Award. The certified resolution must include the name and title of the authorized representative, the name of the project for which the grant has been awarded, and the amount being awarded from the Nonprofit Grant Program for the project.
- 3. Facility Improvements, New Construction, Property Acquisition or All Other Projects Associated with Section B.2.a:**
 - a) Appraisals.** If the NGP funding for the project is less than \$150,000, one independent appraisal conducted by a MAI-Certified appraiser, is to be prepared and submitted. If the NGP funding for the project is \$150,000 or more, OPM may require that a second independent appraisal be prepared and submitted. The second appraisal, if required, may be done by the financial institution that grants a mortgage, unless the financial institution is the owner of the facility. Any appraisal submitted in fulfillment of the requirements of these instructions must have been prepared within the previous 365 days.
 - b) (Modified) Lien Analysis Form. ([Form 4](#))** If the current value of any liens on the property, plus the (anticipated) mortgage balance, plus the

requested funding amount exceeds the current market (appraisal) value of the property, grant funds for a project will either be, at the state's option, reduced or not awarded. In the case of new construction, the applicant would need to demonstrate, to the satisfaction of the State, that the fair market value of the new facility and associated land would exceed the total amount of: (1) any liens on the property; (2) amounts received from prior NGP grants for this property; (3) any outstanding mortgage balance; and (4) any new NGP funds awarded as a result of this RFA.

- c) Environmental or Inspection Report.** The applicant must provide an environmental or inspection report on the facility regarding the presence of lead paint, asbestos, radon, underground storage tanks, or other environmental hazards, including the ramifications of removal or abatement.

NOTE: Removal or abatement costs of potential hazards must be taken into account and addressed as part of the grant application.

The majority of pre-1978 construction contains lead paint. If a facility is to be used for residential purposes, strict guidelines concerning lead paint apply if a child age six or under will be living at the facility.

- d) Mortgage Commitment Agreement (if applicable).** Successful applicants (grantees) must provide the State administering agency with a copy of the fully executed mortgage commitment agreement. This is not a letter of intent, but an actual commitment.

- e) Owner Approval, Statement and Proof of Ownership for Facility Improvements.** The owner's written approval of the improvement project is required for each applicant-leased or applicant-owned facility including proof of ownership. In the case of a State-owned property, the applicant should obtain this approval from the State agency.

- f) Purchase Agreement for Property Acquisition.**

- g) Other, as deemed necessary by OPM.**

J. GRANT AWARD CONTRACT

OPM, or the state agency selected by OPM to administer the grant funds, will execute a grant award contract with the successful applicant, which contract shall outline the amount of the grant, the beginning and end dates, the work to be done and the state's [General Grant Conditions](#) and [Nonprofit Grant Program Special Grant Conditions](#). Work to be funded from the NGP cannot begin until the grant award contract has been signed by both the Grantee and the Secretary of OPM. The end date of the grant award contract shall be one (1) year from the date the grant award contract was signed/executed by both the Grantee and the Secretary of OPM. Amendments to extend the end date beyond one (1) year will be allowed in very limited cases where extreme circumstances are present.