PROCUREMENT NOTICE

State of Connecticut
Department of Developmental Services
Fiscal Intermediary Services
Request for Proposals (RFP)
FIS RFP 12/29/2025

The State of Connecticut, Department of Developmental Services (DDS), is seeking proposals from Fiscal Intermediary vendors to administer fiscal intermediary (FI) services to applicable participants active with the DDS. The FI's role is vital in facilitating self-directed support options with the greatest level of choice and autonomy.

DDS shall issue contracts with at least one selected vendor for fiscal intermediary services. DDS participants that utilize FI services may be provided with a choice of which vendor they would receive FI services from. The term of the contracts shall be three (3) years, and the contract is anticipated to begin on July 1, 2026, with an inclusive transition phase of no more than six (6) months ending no later than December 31, 2026, and continue through June 30, 2029. There shall be two (2) one-year options that may be exercised at the sole discretion of the Department.

The Request for Proposals is available in electronic format on the State Contracting Portal by filtering by Organization for Department of Developmental Services at

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

on the CT Department of Development Services website at:

https://portal.ct.gov/dds/searchable-archive/rfps/general/rfp?language=en_US

or from the Department's official contact:

Name: Serenity Russell
Address: 460 Capitol Avenue
Hartford, CT 06106
E-Mail: serenity.russell@ct.gov

The Department of Developmental Services (DDS) is the lead agency for this procurement. The Department is an Equal Opportunity/Affirmative Action Employers. Deaf and hearing-impaired persons may use a TYY by calling 1-800-671-0737. DDS reserves the right to reject any and all proposals or cancel this procurement at any time if it is deemed in the best interest of the State of Connecticut.

There shall be an optional, virtual RFP conference on: 1/15/2026 at 10:00 AM EST

There is a MANDATORY Letter of Intent and a Non-Disclosure Form due on: 1/14/2026 at 12:00 PM EST

Responses must be received no later than 2/24/2026 at 4:00 PM EST

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I. GENERAL INFORMATION

A. INTRODUCTION

1. **RFP Name or Number.** Fiscal Intermediary Services Request for Proposals **(FIS RFP 33295).**

2. **RFP Summary.**

   The State of Connecticut Department of Developmental Services (DDS) is seeking proposals from Fiscal Intermediary (FI) vendors to administer fiscal intermediary (FI) services for applicable participants active with the DDS. Contracts shall be issued with at least one (1) selected vendor for fiscal intermediary services. DDS participants that utilize FI services may be provided with a choice of which vendor they would receive FI services from.

3. **RFP Purpose.**

   This RFP will procure FI services for individuals receiving self-directed supports funded by the Department of Developmental Services (DDS). This Department provides an array of supports and services to eligible individuals with intellectual disability. Most supports are provided through one of the three 1915(c) Medicaid Waivers, operated through DDS.

   DDS believes that individuals with disabilities have the right to control their lives and choose how they receive DDS services. Self-direction is a service delivery approach that provides the greatest level of autonomy in determining how supports can best be provided.

   Through self-direction individuals have the opportunity to design their own support plan, choose the assistance they want, and hire and manage the support they need, all while controlling their own personal budget for services. The FI's role is an important piece in ensuring the Department's ability to provide successful self-directed support options.

   Primary outcome goals for this procurement include the following:

   - Provides clearly defined, comprehensive FI services that are designed to benefit and empower participants in their ability to pursue lifelong opportunities and facilitate personal choices.
   - Establishes strong working relationships with all stakeholders including participants, families, support staff (also known as direct support professionals or DSPs), vendors and the Department, that encourages transparent communication and accountability.
   - Supports participants and the designated Employer of Record (EOR) in hiring and retaining DSPs. FI services focus on completing comprehensive background checks, enrolling and processing new DSPs quickly and confirming all required trainings are completed timely.

- Facilitates accurate and timely payroll for all DSPs that reflects authorized, entered and approved hours worked and paid out on time.
- Ensures performance standards are met or exceeded, while service level complaints are addressed promptly with clear mitigation efforts to reduce future challenges.
- Develops, implements and maintains systems to ensure compliance with the Department's policies and procedures.
- Ensures payroll services for vendors accurately reflect authorized, entered and approved hours worked that are paid out on time.
- Develops, implements and maintains clearly defined and well-established roles consistent with the principles of self-direction, for the FI and all stakeholders.
- Provides clarity, guidance and understanding to applicable stakeholders on the management of individual budgets and associated expenditures.
- Provides high-quality, accessible, and responsive customer service that contributes to autonomy and empowerment.
- Ensures smooth and seamless transitions to self-directed services, without disruption of services to the participants.

4. **Commodity Codes.** The services that the Department wish to procure through this RFP are as follows:
   - 80000000: Management and Business Professionals and Administrative Services
   - 85000000: Healthcare Services
   - 84000000: Financial and Insurance Services

B. INSTRUCTIONS

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

   Name: Serenity Russell
   Address: 460 Capitol Avenue
   Hartford, CT 06106
   E-Mail: serenity.russell@ct.gov

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

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

- https://portal.ct.gov/-/media/CHRO/NotificationtoBidderspdf.pdf Notification to Respondents, Parts I-V
- OPM Ethics Form 1 - Gift and Campaign Contribution Certification

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

- Department of Developmental Services' RFP Web Page
  - https://portal.ct.gov/dds/searchable-archive/rfps/general/rfp?language=en_US
- State Contracting Portal (go to the CTSource bid board, filter by "Department of Developmental Services"
  - https://portal.ct.gov/DAS/CTSource/BidBoard

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

4. **Procurement Schedule.** See below. Dates after the due date for proposals ("Proposals Due") are non-binding target dates only (*). The Department may amend the schedule as needed. Any change to non-target dates will be made by means of an amendment to this RFP and will be posted on the State Contracting Portal and, if available, the Department's RFP Web Page.

December 29, 2025	RFP Released
January 14, 2026, 12:00 PM	Letter of Intent and Non-Disclosure Form must be submitted on or before the deadline in order to attend the Proposer's Conference and be eligible for the award.
January 15, 2026, 10:00 AM	Proposers Conference.
January 22, 2026, 4:00 PM	Deadline for Inquiries
January 30, 2026	Anticipated Release of Official Answers to Inquiries
February 24, 2026, 4:00 PM	Proposals Due
March 2, 2026	Proposal Review Committee begins
March 23, 2026	Anticipated Selection of Contractor
July 1, 2026	Anticipated Date of Start of Contract/Transition
December 31, 2026	End of Transition Phase

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

   The term of the contract shall be three (3) years, and the contract is anticipated to begin on July 1, 2026, with an inclusive transition phase of no more than six (6) months, ending no later than December 31, 2026. There shall be two (2) one-year options that may be exercised at the discretion of the Department.

6. **Eligibility.** Private provider organizations (defined as non-state entities that are either nonprofit or proprietary corporations or partnerships). Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

7. **Minimum Qualifications of Respondents.** To qualify for a contract award, a Respondent must have the following minimum qualifications:
   a. Currently provide and bill for FI functions/financial management services (FMS),
   b. A minimum of five (5) years of experience working with bills for FI functions/Financial Management Services (FMS), and
   c. A minimum of one (1) year of experience using Electronic Visit Verification (EVV) systems for payroll services.

8. **RFP Conference.** An optional virtual RFP conference will be held to entertain clarifying questions from prospective proposers about this RFP. Details will be provided to all proposers who submit a letter of intent and Non-Disclosure Form by 12 pm on January 14, 2026. Attendance at the virtual conference is optional but is strongly encouraged. The RFP will not be available at the virtual RFP Conference. At the virtual conference, attendees will be provided an opportunity to submit written questions, which the Department's representatives may (or may not) answer. Any oral answers given at the virtual conference by representatives of the Department are tentative and not official. All questions submitted will be answered in a written amendment to this RFP, which will serve as the official response to questions asked at the virtual conference. 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.

9. **MANDATORY Letter of Intent and Non-Disclosure Form.** 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 e-mail by the deadline established in the Procurement Schedule. The LOI <u>must</u> clearly identify the sender, including name, postal address, telephone number, e-mail address and state whether the Prospective Proposer's intention to integrate FI services with the state's existing EVV system or propose a new EVV system solution. It is the sender's responsibility to confirm the designated Official Contact'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. The Non-Disclosure Form is an attachment to this RFP and should accompany the Letter of Intent.

10. **Inquiry Procedures.** All questions regarding this RFP or the procurement process <u>must</u> be directed, in writing, electronically, (e-mail) to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is

encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, questions from unknown sources (i.e., nuisance or anonymous questions) and/or questions deemed unrelated to the RFP or the procurement process will not be answered. At the Department's discretion, questions received after the deadline may not be answered. The Department reserves the right to answer questions only from those who have submitted the MANDATORY letter of intent. Similar questions may be combined with a single response. 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.

- Answers to questions will be released on the date(s) established in the Procurement Schedule. Any and all amendments to this RFP will be published by DDS on the State Contracting Portal @ https://portal.ct.gov/DAS/CTSource/BidBoard and on the Department's RFP Web Page @ https://portal.ct.gov/dds/searchable-archive/rfps/general/rfp?language=en_US.

11. **Proposal Due Date and Time.** The Official Contact is the **only authorized recipient** of proposals submitted in response to this RFP. Proposals must be received by the Official Contact on or before the due date and time:

- **Due Date:** February 24, 2026
- **Time:** 4:00 pm. Eastern Standard Time

The submission of the electronic copy of the proposal must be emailed to the Official Contact for this RFP to serenity.russell@ct.gov.

The subject line of the email must read: **FIS RFP 33295**

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

THIS IS AN ELECTRONIC SUBMISSION. Please be aware of the amount of time it may take for an electronic submission to be sent from one server and accepted by another server. Each file sent to the official contact, **MUST NOT** be larger than 35 MB per e-mail.

An acceptable submission must include the following:

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

  The proposal **must** be complete, properly formatted and outlined, and ready for evaluation by the Evaluation Committee. Unsigned proposals will not be evaluated.

  The electronic copies of the proposal must be compatible with Microsoft Office Word, except for the Budget and Budget Justification, which may be compatible with Microsoft Office Excel. Only the required forms and appendices may be scanned and submitted as PDFs at the end of the main proposal document Respondents are responsible to ensure there are not additional IT limitations from the provider side.

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 Department, late proposals may be deleted.

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

II. PURPOSE OF RFP AND SCOPE OF SERVICES

A. DEPARTMENT OVERVIEW

A.1 Department of Developmental Services

The Department of Developmental Services (DDS)

DDS is responsible for the planning, development, and administration of complete, comprehensive and integrated statewide services for persons with intellectual disability and persons medically diagnosed as having Prader-Willi Syndrome. DDS provides services, within available appropriations, through a decentralized system that relies on private provider agencies under contract or enrolled with the Department in addition to self-directed and state-operated services. These services include residential service and in-home supports, day services and employment support, family support, respite, case management, and other periodic services such as transportation, interpreter services, and clinical services.

Vision and Values:

All citizens supported by the Department of Developmental Services are valued contributors to their communities as family members, friends, neighbors, students, employees, volunteers, members of civic and religious associations, voters and advocates. These individuals:

- Live, learn, work and enjoy community life in places where they can use their personal strengths, talents and passions.
- Have safe, meaningful and empowering relationships.
- Have families who feel supported from the earliest years and throughout their lifetimes.
- Have lifelong opportunities and the assistance to learn things that matter to them.
- Make informed choices and take responsibility for their lives and experience the dignity of risk.
- Earn money to facilitate personal choices.
- Know their rights and responsibilities and pursue opportunities to live the life they choose

Mission

We partner with the individuals we support and their families, to support lifelong planning and join with others to create and promote meaningful opportunities for individuals to fully participate as valued members of their communities.

■ B. PROGRAM OVERVIEW

B.1 Structure and Design

The Department of Developmental Services (DDS) is seeking to contract with at least one (1) vendor to administer Fiscal Intermediary (FI) services to eligible DDS participants that self-direct their supports. DDS participants that utilize FI services may be provided with a choice of which vendor they would receive FI services from. Factors including but not limited to receipt of other state or federal program participation may influence such choice of vendors.

DDS believes that individuals with disabilities have the right to control their lives and choose how they receive DDS services. Self-direction is a service delivery approach that provides the greatest level of autonomy in determining how supports can best be provided. Through self-direction individuals have the opportunity to design their own support plan, choose the assistance they want, and hire and manage the support they need all while controlling their own personal budget for services. The FI's role is an important piece to ensuring the Department's ability to provide successful self-directed support options.

DDS recognizes the complex nature of supports and services under self-direction. As program participation expands, and the evolving landscape of social services continues to transform, the FIs must maintain program integrity while embracing a flexible approach that adapts to ongoing change on both the state and federal levels. The FI responsibility should center around meeting the needs of the individuals utilizing the FI services in a responsive and timely manner. Information needs to be easily accessible and offered in various modes of communication and platforms.

A significant component of self-direction includes the ability for participants and the designated Employer of Record (EOR) to hire and retain self-directed support staff as employees, also known as direct support professionals (DSPs). FI services should focus on enrolling and processing new DSPs properly and quickly. Payroll for all DSPs should accurately reflect authorized, entered and approved hours worked and should be paid out on time.

FI customer service must be accessible, with minimal wait or response times. Customer service staff should be knowledgeable and one-touch resolution focused.

The Department expects the FIs to provide timely responses to all Department requests including but not limited to reporting requests and requirements in an accurate and standardized manner.

B.2 Goals

The primary outcome goals for this procurement include the following:

- Provides clearly defined, comprehensive FI services that are designed to benefit and empower participants in their ability to pursue lifelong opportunities and facilitate personal choices.

- Establishes strong working relationships with all stakeholders including participants, families, DSPs, vendors and the Department, that encourages transparent communications and accountability.
- Supports participants and the designated Employer of Record (EOR) in hiring and retaining DSPs. FI services focus on completing comprehensive background checks, enrolling and processing new DSPs quickly and then confirming all required trainings are completed timely.
- Facilitates accurate and timely payroll for all DSPs that reflects authorized, entered and approved hours worked and paid out on time.
- Performance standards are met or exceeded, while service level complaints are addressed promptly with clear mitigation efforts to reduce future challenges.
- Payroll services for vendors accurately reflect authorized, entered and approved hours worked and paid out on time.
- Develops, implements and maintains clearly defined and well-established roles consistent with the principles of self-direction, for the FI and all stakeholders.
- Provides clarity, guidance and understanding to applicable stakeholders on the management of individual budgets and associated expenditures.
- Provides high-quality, accessible, and responsive customer service that contributes to autonomy and empowerment.
- Ensures smooth and seamless transitions to self-directed services, without disruption of services to the participants.

B.3 Electronic Visit Verification:

Section 12006(a) of the 21st Century Cures Act mandates that states implement EVV for all Medicaid personal care services (PCS) and home health services (HHCS) that require an in-home visit by a Provider. This applies to PCS provided under sections 1905(a)(24), 1915(c), 1915(i), 1915(j), 1915(k), and Section 1115; and HHCS provided under 1905(a)(7) of the Social Security Act or a waiver.
DDS has successfully implemented Electronic Visit Verification (EVV) as required by federal legislation in the 21st Century Cures Act. SanData currently serves as the state's single EVV vendor. The selected FIs will be responsible for continued compliance with all EVV requirements through the existing state vendor or through an EVV aggregator that has been agreed upon with the Department. Any EVV system will need to be credentialed by SanData.

B.4 Overview of DDS Medicaid Waiver Programs

Through self-direction, individuals are provided the opportunity to hire their own support staff and receive services through a qualified provider or vendor. Services may include residential, day, employment, transportation or other ancillary support. Although some DDS self-directed services may be funded through state means, most DDS supports and services are provided through one of the three 1915(c) Medicaid Waivers, operated through DDS. Below is a description of each waiver:

1. Comprehensive Supports Waiver – provides services to individuals with intellectual and developmental disabilities who live in licensed community settings, as well as individuals who live in their own or their family home and require a level of support not available under the Individual and Family Support waiver due to significant behavioral, medical and/or physical support needs and/or the absence of natural

supports. FI supports are provided to those waiver participants that live in their own or family home.

2. Individual and Family Supports Waiver – provides direct services and supports to people with intellectual and developmental disabilities who live in their own home or their family home and do not require 24-hour paid supports.
3. Employment and Day Supports Waiver – provides day and employment services and supports for individuals with intellectual and developmental disabilities.

■ C. SCOPE OF SERVICE REQUIREMENTS

C.1 Summary

DDS is seeking contracts with at least one (1) FI to collectively serve over 3,000 program participants and manage payroll for approximately 7,500 support staff employees also known as Direct Support Professionals or DSPs, with the capacity to scale up to accommodate program growth. The Department is interested in reviewing proposals that focus on modern, flexible, and technological solutions that efficiently handle payroll and reporting functions for growing populations while meeting stakeholders where they are with technology-based literacy and offering collaborative opportunities for education and training on such supports and services. Emphasis on timely, accessible, and solution-based customer service, that is professional and responsive to the needs of participants, EORs, DSPs and the Department is paramount. Additionally, the FIs must have the flexibility to adapt to the State and federal requirements as they change over time. General core requirements include the following:

- Accurately managing individual budgets.
- Timely payroll services.
- Timely enrollment and hiring process for new DSPs.
- Timely completion of background checks on behalf of EORs for their potential DSPs.
- Timely enrollment and tracking of required trainings and orientations for new DSPs.
- Obtaining workers' compensation insurance on behalf of EORs.
- Training development and ongoing assistance to EORs regarding their role and responsibility.
- Timely and comprehensive customer service.
- Responsive vendor services.
- Quality assurance.
- Accurate and timely reporting to the Department.
- Accurate, timely, professional and accessible communications with participants, EORs, DSPs and all other stakeholders on all aspects of services in the format chosen by the stakeholder receiving services from the FI.
- Ability and willingness to adapt FI systems to accept authorization data, prior approvals and other information in the format prescribed by the Department.
- Timely and accurate claims processing.
- Ability to provide ad hoc payments at the Department's request.
- Adherence to Collective Bargaining Agreements, including accurately implementing DSP CBA rate increases.
- Adherence to the Department's policies regarding self-directed services.

The selected FIs will be expected to work with the Department to develop, implement, maintain and update business rules and standard protocols that clearly define how they will operate in accordance with the Department, state and federal guidelines. The FIs will also be responsible for continually monitoring, measuring, and ensuring its ongoing compliance with the requirements and performance standards identified in the future contract with the Department. The Department reserves the right to put a contracted FI on enhanced monitoring based on concerns related to quality of work and lack of marked improvement when a deficiency is identified.

C.2 Organizational Capacity

Respondents must have the following minimum qualifications and experience:

- Currently provides and bills for FI functions/financial management services (FMS) and has provided such services for at least five (5) years.
- A minimum of one (1) year of experience using Electronic Visit Verification (EVV) systems for payroll services.
- Experience and ability transitioning FI services into an already established program.
- Ability to modify systems and business functions to meet programmatic needs.

C.3 Responsibilities and Service Requirements

Responsibilities and service requirements of the selected FIs are categorized into several sections:

a) EOR & Employee (DSP) Related Services
b) Payroll Services
c) Vendor Services
d) Management of Individualized Budgets
e) Administrative Services
f) Customer Services & Operational Requirements
g) Staffing Requirements
h) Reporting, Technology and Data Management
i) Financial Contract Requirements

a) EOR & Employee (DSP) Related Services

1) In collaboration with the Department, create and share materials for stakeholders on the role and responsibility of the EOR and who is able to fulfill such role.
2) Develop, maintain, and distribute an EOR Orientation Package for newly enrolled EORs.
3) Develop and provide training and training materials in various platforms including but not limited to online and print, for EORs regarding their role and responsibilities as an EOR.
4) Complete EOR enrollment and assist in completion of applicable forms. This includes establishing a FEIN number for each EOR and retiring the respective number upon conclusion of services, or if there is a FEIN change.
    i. This may include providing wage and tax information to another entity for processing for individuals utilizing both DSS and DDS funded services, as identified and required by DDS.
5) Assist EORs with all aspects of hiring DSPs, including but not limited to the completion of the application process, conducting a comprehensive background and applicable registry checks as outlined by Department requirements and working with EORs and DSPs to resolve issues regarding missing information or documentation. Primary goal is to ensure DSP hiring is done in a comprehensive and timely manner.

6) Assist onboarded DSPs with enrolling in trainings required by the Department, including but not limited to the union orientation and regularly scheduled reminders. Monitoring, tracking and timely notification to the Department and EORs of training completion within designated and required timeframes and stipend payment for completed training.
7) Terminate employees as requested by EORs and in accordance with Department requirements.
8) Purchase, maintain, and assist with management of worker's compensation insurance.
9) Assist in acquiring employee health insurance.

b) Payroll Services

1) Regularly monitor and apply EOR's authorized hours to weekly time reported for wages.
2) Calculate DSP gross/net payment for weekly payroll, including but not limited to, overtime, billing units, holiday time and paid time off.
3) Generate, track, adjust, and distribute payments to DSPs.
4) Track and adjust wage, rate and service changes for DSPs and vendors as authorized and appropriate. (This may be an EOR initiated rate change or a CBA mandated rate change).
5) Detect and rectify reported time errors in time to make scheduled payroll.
6) Process payroll services, with weekly payments to DSPs. Any payroll errors should be resolved timely. If payroll errors may delay payment, advanced and proper notification to the DSPs is necessary utilizing the contact preference stated by the employee including text, email, or phone.
7) Process recoupments in a manner agreed upon with the Department.
8) Compliance with the state Collective Bargaining Agreement (CBA), DOL laws, and all state and federal tax requirements.
9) Withhold, file, and issue timely payment of federal and state taxes for EORs and DSPs.
10) Prepare and process federal and state unemployment tax filings
    a. This may include providing wage and tax information to another entity for processing for individuals utilizing both DSS and DDS funded services, as identified and required by DDS.
11) Process deductions, recoupments and garnishments on payroll.
12) Process and ensure timely issuance of payments pursuant to the provisions of the Family Medical Leave Act.
13) Verification and processing of provider/vendor payments, in a timely manner, upon receipt of invoice/request for payment. Payroll cycle for provider/vendor payments should be clearly articulated to all such applicable providers and vendors. Any payroll errors should be resolved timely. If payroll errors or adjustments are necessary to the invoice that may delay payment, advanced and proper notification to the provider/vendor is necessary.
    a. This may include retroactive rate payments.
14) Process reimbursement requests that meet the requirements outlined by the Department.
15) Process training/orientation and other approved stipends timely based upon the requirements outlined by the Department.
16) Order and mail participant transportation tickets/services from vendors as necessary.

17) Submit timely routine and ad hoc EVV reporting based on agency needs and monthly and quarterly reporting of expenditures.
18) Operate the EVV system consistent with policies established by DDS and within the requirements of the 21st Century Cures Act.
19) Monitor, manage and maintain compliance with EVV requirements.
20) Develop and provide comprehensive online training for EORS and DSPs on the EVV system.

c) **Vendor Services**

1) Timely enrollment of new vendors.
2) Develop, maintain, and distribute a Vendor Orientation Package for newly enrolled Vendors.
3) Develop and provide training and training materials in various platforms including but not limited to online and print, for Vendors regarding enrollment, invoice submission and payment tracking.
4) Verify and process reimbursement requests that meet the requirements outlined by the Department in a timely manner upon receipt of invoice/request for payment. If invoice errors or adjustments are necessary that may delay payment, advanced and proper notification to the provider/vendor is necessary.
5) Payroll cycle for provider/vendor payments should be clearly articulated to all such applicable providers and vendors.
6) Provide clear remittance details to providers and vendors.
7) Provide detailed payment reporting to vendors and the Department.
8) Monitor, manage and maintain compliance with EVV requirements.
9) Process and pay EVV required vendor shifts based off of EVV data. (May be from Respondent's own EVV system or EVV data forwarded from DDS.
10) At the request of the Department, provide ad hoc payments to the applicable providers within 2 weeks of receiving all required information.

d) Management of Individualized Budgets

1) Provide accounting services for budgets generated from the Department for program participants. This includes timely processing of adjustments, amendments, and renewals.
2) Provide external facing utilization data in real time to EORs, Departments' case management teams and other designated staff, as appropriate.
    i. Preferably via API/data exchange.
    ii. Any external portal needs to meet WCAG 2.1 AA accessibility standards per the DOJ under Title II of the ADA.
3) Notify EORs and Case Managers when utilization is over the authorized service amounts, or at a specific threshold percentage as defined by the Department. This may include notification when year-to-date expenditures exceed the year-to-date authorized amount.
4) Ensure services and supports align with authorized budgets. Ongoing outreach and communication to the Department is necessary for resolution or clarification on any issues related to budget authorizations.

e) Administrative Services

1) Provide quality assurance, as outlined and upon request by the Department.

2) Timely submission of routine and ad hoc reporting based on agency needs including but not limited to ongoing reporting of expenditures.
3) Ability to understand and implement waiver and Department specific guidelines and policies, relative to payments and billing of supports.
4) Ability to communicate and effectively work with various vendors/providers contracted by DDS. This includes transfer of services from one agency to another, with no disruption in services.
5) Ability to process service changes with no disruption in services.
6) Complete internal auditing, as established by the Department.
7) Maintain records, according to applicable document retention procedures and produce for auditing purposes.
8) Detection and reporting of fraud.
9) Ability to provide forms, materials, information and communicate to participants, EORs and DSPs in different formats based on their preference, including but not limited to telephonic, mail service and email.
10) Timely responses to inquiries, concerns, and questions are necessary for all stakeholders.
11) Maintain appropriate financial/operational record storage and maintenance systems.
12) Ensure financial solvency and certify the accuracy of all financial data.
13) Effectively communicate with individuals who have a variety of disabilities. Information and updates on tax and labor laws or other written reports or materials provided to individuals must be available in alternative format if requested (e.g., large print, use of telecommunication devices for the deaf, hard of hearing and speech impaired). Must have at a minimum, the capacity to access translation services and interpreter services when necessary.
14) Perform spectrum audits on quarterly basis as requested by the Department on service documentation, invoicing and Medicaid billing. These audits shall include gathering information electronically from qualified vendors billing for services. The information includes documentation and progress notes to support invoices and verifying the documentation is consistent with invoice, the payment, and Medicaid claims submitted through Medicaid billing data submitted to the Department of Administrative Services.
15) Conduct internal audits on pre- and post-employment requirements for self-directed DSPs and collect service documentation for the Department as requested.
16) Maintain a data management system.
    - Develop and maintain a Disaster Recovery Plan for restoring software and master files and hardware backup if management information systems are disabled and for continuation of client payroll and invoice payment services
    - Develop processes and technologies to interact with each Department’s data systems
    - Ensure that the transfer of information between the Respondent and the Department(s) will be in a format determined by the Department and follow the National Institute of Standards and Technology (NIST) Special Publication 800-34 standards. The successful Respondent must have the hardware to support the software needed to manage the information required in this RFP and be able to accommodate the volume of information specified in this RFP. The successful Respondent must have a secure Internet connection or any other means of secure electronic data transfer that the Departments require (secure file transfer protocol, secure e-mail, and virtual private networks).
    - Provide System and Organization Controls (SOC-2) report.

17) Manage disbursements, accounting, and associated policies.
18) Operate within the Department's established Cost Standards.
19) Implement culturally sensitive business practices in order to communicate effectively with a diverse population of individuals.
20) FI policies and procedures must reflect the philosophy of self-direction.
21) Perform Medicaid claims submission, resubmission, and other associated tasks as directed by DDS (currently submitted to DAS via FTP).
22) Generate a revenue report for provider services and submit to the DDS as requested.

f) Customer Services & Operational Requirements

1) Staff and operate a toll-free customer service call center, available at a minimum from 8 am – 5 pm, Monday through Friday, with multi-lingual staff and access to translation and interpretation services for stakeholders to ask questions, gather information on services and troubleshoot any payroll related concerns. Call center must comply with subsection (h) of section 31-57aa of the Connecticut General Statutes.
2) Staff and operate a physical location in central CT that provides in-person, walk-in services to stakeholders during regular business hours (i.e. Monday through Friday 9am-5pm).
    i. The office(s) must be located on an accessible bus route with accessible entrance.
3) Have voice messaging capability when call center representatives are unavailable, a toll-free fax machine available 24 hours each day and an accessible secure internet/e-mail address to receive correspondence.
4) Have a comprehensive and ADA compliant website that meets WCAG 2.1 AA accessibility standards for all public facing materials and secure portals.
5) FI services shall be consistent with the State's efforts to promote the delivery of services in a culturally sensitive manner to all participants, including those with limited English proficiency and diverse cultural and ethnic backgrounds. Communications with all participants, EORs and DSPs shall be in their primary language.
6) Have a customer service satisfaction plan for evaluating customer service feedback. Draft plan shall be reviewed and approved by the Department. The satisfaction plan should be implemented no less than annually and all final results shall be shared with the Department.
7) Provide substantive responses to union-escalated grievance cases that detail the issue and follow up actions to be taken, and by which party, per the Collective Bargaining Agreement within 48 business hours.

g) Staffing Requirements

1) Implement an organizational structure and staffing plan to meet all of the requirements set forth in the contract and share such structure and staffing plan with the Department upon request. Plan shall include back up contingencies if staffing levels fail to support operational needs as determined by the Department.
2) Develop and implement effective recruitment strategies that result in ability to attract and maintain an adequate workforce.
3) Provide training to the staff of the FI on person-centered principles, self-direction, racial equity and cultural sensitivity.

4) Provide ongoing training to staff of the FI to ensure high quality customer service on all department policies, procedures and programmatic guidance. Such trainings shall be shared with the Department upon request.
5) Provide direct contact information (telephone and email address) to all stakeholders to ensure timely resolution and consistent follow up on issues.
6) Respondent may be required to hire additional staff should the Department determine it is needed to meet contractual requirements.

h) Reporting, Technology and Data Management

1) The transfer of information between the Contractor and the Department will be in a format determined by the Department. There should be a two-way exchange where the Department sends budget and authorization information and receives utilization and summary payment information from the Proposer. Proposer shall accept budget information via a daily data exchange in a format specified by the Department. Software and data exchanges should adhere to the standards outlined in the Minimal Acceptable Risk Standards for Exchanges (MARS-E) as outlined by CMS. The Contractor and software must be FedRAMP compliant. The Contractor shall obtain and maintain the ability to support the software necessary to produce the reports prescribed with a secure Internet connection or any other means of secure electronic data transfer as required by the Department (secure file transfer protocol, secure e-mail, and virtual private networks). All data transfer is required to meet Health Insurance Portability and Accountability Act (HIPAA) based security and privacy requirements as amended by the Health Information Technology for Economic and Clinical Health Act (HITECH), Pub. L. 111-5, §§ 13400 to 13423.
2) Software must have the capability to integrate with or be interoperable with the state’s Medicaid Management Information System (MMIS) and the state’s EVV system managed by SanData. Technical specifications for interoperability with SanData will be made available upon request following a Respondent’s submission of the mandatory letter of intent.
   In lieu of integrating with the state’s EVV system operated by SanData, the Respondent may propose an alternative EVV system that complies with the specifications set forth in **Appendix G** and demonstrate the requisite data transfer capacity. Data transfer must include unique identifiers for each claim associated to the MMIS associated with each Employee, each EOR, each Medicaid participant, each type of service/Procedure Code, and each date of service.
3) Establish a Data Governance and Quality Assurance Plan outlining data validation standards, reconciliation timelines, and audit procedures to ensure ongoing data integrity, accuracy, and accountability. Implement a Change Management Process for system updates and maintain SOC 2 Type II or ISO 27001 certification.
4) Define measurable Recovery Time Objectives (RTO) and Recovery Point Objectives (RPO) for critical systems and demonstrate annual testing, with results and corrective actions documented and shared with the Department.
5) Maintain a WCAG 2.1 AA–compliant and ADA-accessible website, verified through annual accessibility audits, user accessibility testing, and timely remediation of any identified issues.

i) Financial Contract Requirements

1) The FI will disburse program funds upon receipt of appropriate invoices, timesheets, and, if applicable, EVV visit data and receipts as authorized by the Department.

2) The FI shall comply with the required state and federal laws regarding the receipt and use of these funds.
3) The FI is responsible for any payments made that exceed the amount authorized by the Department and shall not have any recourse against the department for such payments.
4) The FI is responsible for maintaining Bond Insurance in an amount determined by the Department.
5) The FI is required to maintain separate program trust accounts and to manage and invest excess cash from the account.
6) The FI is responsible for the timely submission of complete and accurate financial expenditure reports related to any funds allocated to the FI through the contract in a frequency and format defined by the Department.
7) The FI is responsible for having an independent audit of its records, bank account, and payments for goods and services in the individual budget as directed by the Department.
8) The Department or the state auditors may periodically audit FI records for contract compliance and fiscal reporting as specified in the contract.
9) The FI shall comply with all federal and state single audit standards as applicable.
10) The Department may require the FI to obtain and maintain specified insurance coverage(s) for the duration of the contract.
11) The FI shall comply with the Cost Standards issued by the CT Office of Policy and Management, which may be amended from time to time. More information is provided at OPM's website at POS Cost Standards.
12) Funding sources for the awarded contract may include state and federal funds which will be administered as described in the contract.
13) Prospective cash advances shall be made to the FI sufficient to cover one month of self-hire payroll, and other vendor costs or reimbursements, dependent on subsequent submission of reports. FI service fees will be paid either through a per member per month rate or through an administrative flat rate per contract year.

■ D. QUALITY MEASURES

D1. Performance Metrics

The following performance metrics highlight key priorities that will be analyzed during the life of the contract. This is not an exhaustive list, but rather an indication of significant performance metrics of interest to the Department. The Department and the selected FIs will work together to define additional important performance metrics.

Outcome Metrics

- Number of complaints from stakeholders to the FI customer service center. The term complaint will be defined as part of the future contract.
- Number of complaints from stakeholders to Department leadership, CT legislature, and Governor's office.
- Number of grievances brought through the Workforce Council.
- Payment timelines for vendors/providers based on correctly submitted invoices.
- Paycheck timelines for authorized DSP services based on correctly submitted and approved time.
- Processing timelines for reimbursements and/or stipends to participants and others as appropriate.

- FI compliance and progress towards continuous improvement plans (created in collaboration with the Department) and the goals captured therein.
- DSP turnover metrics, including overall turnover rate and average length of employment.
- Accuracy of real-time tracking of individualized budgets and utilization.

Output Metrics

- Weekly volume of timesheets processed by FIs.
- Accuracy of timesheets processed by the FIs.
- Monthly billing – number and dollar amount of payments (including the accuracy of billing).
- Utilization (including numbers of active vs inactive budgets).
- Wait times for stakeholders to reach a live customer service representative providing one-touch resolution.
- Response times for customer service to respond to stakeholders via email after initial outreach.
- Number of days to enroll and onboard new participants and EORs.
- Number of days to enroll and onboard new DSPs including the administration and completion of the full background check and proper set up to begin working.
- Number of new DSPs in quarter who completed timely DDS required training as required by the waiver.
- Number of days to enroll new vendors.
- Number of days to resolve FI related payment errors for DSPs.
- The number of days to resolve complaints that went to the FI customer service, as well as those complaints that went to DDS leadership, the CT legislature and the Governor's office.
- Timeliness of reporting to the Department.

D.2 Service Level Agreements

The Department expects the FIs to track compliance with the following Service Level Agreements (SLAs). The SLAs are the minimum standards that the FI shall be required to meet to ensure contract compliance. Unlike performance metrics, which are designed to measure progress towards long-term outcome goals, and not always within a contractor's control, the FI will be directly held responsible for ensuring consistent maintenance of these SLAs. The future contracts with the selected FIs shall include negotiated performance terms based on SLAs including, but not necessarily limited to the following:

1) Timely responses to customer requests (including Department, EOR, DSP and Vendor "customers"), including:

   i. 100% of all DSPs without issues with timesheets shall be paid within five (5) business days of close of service work week.
   ii. 100% of all providers/vendors with correctly submitted invoices will be paid timely based on payroll cycle agreed upon with the Department.
   iii. 100% of all EORs shall receive EOR training and have EOR paperwork submitted to DOL for federal employer identification number within fourteen calendar days of an accurate, complete referral packet from department.

iv. 100% compliance with all CMS and State of Connecticut regulations, policies, procedures and guidelines.
v. Timely assistance with managing budgets.
vi. Successful onboarding of DSPs within five (5) business days from the FI's receipt of the initial request to hire DSP and properly completed new hire packet, to start date for DSP. If the new hire packet is incomplete, the FI shall request any missing information/documentation from the EOR or DSP no later than two (2) business days after receipt of the new hire packet.
vii. Emergency DSP onboarding – The FI must have a two (2) hour emergency process to enroll DSPs, from initial request from the Department for the FI to enroll a DSP, to the time the DSP can start providing services.
viii. A minimum of 99% of all DSP payroll must be processed through EVV. Paper timesheet submission is acceptable for the remaining 1% of the DSPs based on individual needs of EORs and DSPs as approved by the Department.
ix. Required reporting received by mutually agreed to timeline in a format agreed upon by the Department, including weekly payment reports.
x. Timely secure data transfer.
xi. Respondent's EVV and other IT system uptime and time to resolution.
xii. Enrollment and notification to newly enrolled DSPs about Department training requirements within 24 hours of completing onboarding and enrollment process. Notifications and reminders regarding training requirements to DSPs and EORs to be provided at the durations agreed upon by the Department.
xiii. Customer Service-timely response and one-touch resolution as defined by the Department and agreed upon in the future contract.
xiv. Maximum of ten (10) minutes customer service call center wait time from call initiation to speaking with a live customer service representative providing one-touch resolution.
xv. Maximum of two (2) business day response time for union escalated grievance cases per the Collective Bargaining Agreement, with substantive response including actionable next steps needed for resolution.
xvi. Maximum of three (3) business day response time to stakeholder when outreach is via email to FI customer service inbox.
xvii. Proper and complete processing of any wage or service change request that meets requirements within three (3) business days of receipt.
xviii. Contractor shall be responsible for cost of payment errors (overpayments, underpayments or lack of payments) that are unresolved for over 90 days due to contractor error/lack of responsiveness.
xix. Worker's Compensation insurance for 100% of DSPs that is effective from date of hire or transfer to the new FI.
xx. Timely and accurate submission of Medicaid claims.

■ E. CONTRACT MANAGEMENT/DATA REPORTING

The Department is committed to continuously improving the quality of all FI supports and services as a vital component to providing a successful and enriching self-direction program to DDS participants. To ensure ongoing advancement, the FIs and the Department must regularly review and reflect on the work being done and determine detail-oriented steps toward development and enhancing services and supports. Reliable and relevant data is necessary to ensure compliance, monitor trends, evaluate performance, and drive service improvements. The future contracts with the selected FIs shall include negotiated and agreed upon expectations for regular contract management and data review meetings. Expectations may include but are not limited to the following:

- Random sample auditing as requested by the Department
- Tracking and reporting EOR hiring of DSP data
- Tracking and reporting spending relative to budget allocations
- Tracking and reporting Department, waiver and Union training requirements for DSPs, including training completion dates
- Tracking and reporting payroll processing and timeliness
- Regular cadence of meetings with each FI regarding FI activities
- Regular cadence of meetings with each FI regarding FI technology-based initiatives and IT to review file transfers, EVV, portal and budget utilization
- Regular cadence of Escalation meeting with each FI to address any current payment issues
- Expenditure reporting will align with a structure as determined by the Department
- Regular cadence of meetings with each FI to create, finalize and implement business rules based on CT DDS policies, procedures and guidelines
- Meetings as needed to address service level complaints, issues or challenges

III. PROPOSAL SUBMISSION OVERVIEW

A. SUBMISSION FORMAT INFORMATION

1. **Required Outline.** All proposals **must** follow the required outline presented in Section IV – Proposal Outline. Proposals that fail to follow the required outline will be deemed non-responsive and not evaluated.

2. **Cover Sheet.** The Cover Sheet is Page 1 of the proposal. Proposers **must** complete and use the Cover Sheet format provided by the Department in the Section IV. Required Proposal Submission Outline.

3. **Table of Contents.** All proposals must include a Table of Contents that conforms with the required proposal outline.

4. **Executive Summary.** Proposals **must** include a high-level summary, not exceeding 2 pages of the main proposal and cost proposal. The executive summary must provide a summarization of the services being offered to meet the Department's needs, the Respondent's approach to providing the services, and why this approach is in the best interest of the Department and the individuals the Department supports. The summary must also include the organization's eligibility and qualifications to respond to this RFP.

4. **Attachments.** Attachments other than the required Appendices or Forms identified in the RFP are not permitted and will not be evaluated. Further, the required Appendices or Forms must not be altered or used to extend, enhance, or replace any

component required by this RFP. Failure to abide by these instructions will result in disqualification.

6. **Style Requirements.**
THIS IS AN ELECTRONIC SUBMISSION.

Submitted proposals **must** conform to the following specifications:

- Paper Size: 8½" x 11", "portrait" orientation. Optionally key graphics, diagrams and flow charts can use 11" x 17" in "landscape" orientation.
- Print Style: 1 side
- Font Size: Minimum of 11-point
- Font Type: Arial or Tahoma
- Margins: The margin of all pages shall be a minimum of one and one half inches (1½"); all other margins shall be one inch (1")
- Line Spacing: Single-spaced

7. **Pagination.** The Respondent's name **must** be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.

8. **Declaration of Confidential Information.** Respondents are advised that all materials associated with this procurement are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations and interpretations resulting from them. If a proposer deems that certain information required by this RFP is confidential, the proposer must label such information as CONFIDENTIAL prior to submission. In Subsection F of the proposal submission, the proposer must reference where the information labeled CONFIDENTIAL is located in the proposal. EXAMPLE: Section G.1.a. For each subsection so referenced, the proposer must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the proposer that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).

9. **Conflict of Interest - Disclosure Statement.** Respondents **must** include a disclosure statement in Subsection H 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 Department will determine whether any disclosed conflict of interest poses a substantial advantage to the proposer over the competition, decreases the overall competitiveness of this procurement, or is not in the best interests of the State. In the absence of any conflict of interest, a proposer must affirm such in the disclosure statement. Example: "[name of proposer] has no

current business relationship (within the last three (3) years) that poses a conflict of interest, as defined by C.G.S. § 1-85."

■ B EVALUATION OF PROPOSALS

1. **Evaluation Process.** It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with the successful Respondent, and awarding the contracts, the Department will conform with its written procedures for POS and PSA procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85). Final funding allocation decisions will be determined during contract negotiation.

2. **Evaluation Review Committee.** The Department will designate representatives to participate in the Review Committee. The Review Committee shall evaluate proposals submitted in response to this RFP. The Review Committee will be composed of individuals, Department staff or other designees as deemed appropriate. The contents of all submitted proposals, including any confidential information, will be shared with the Review Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. The Review Committee shall evaluate all proposals that meet the Minimum Submission Requirements by score and rank ordered and make a recommendation for an award. The Commissioner of DDS will make the final selections. Attempts by any Respondent (or representative of any Respondent) to contact or influence any member of the Review Committee may result in disqualification of the Respondent.

3. **Minimum Submission Requirements.** To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the Proposal Format requirements; (3) 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. Any proposal that deviates significantly from the requirements of this RFP will be rejected from consideration.

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

Evaluation Criterion Title	**Points**	**What would a top score look like?**
Organizational Capacity, Experience and Qualifications	20	The Respondent has an established purpose, mission, and vision that aligns with the principles of self-direction and meets the Department's needs. The Respondent's proposal demonstrates that they have successfully provided FI services in the past to both new and

		existing programs and have the ability to transition services into an already established program. This includes flexibility to modify systems and business process to meet programmatic needs.
General Scope of Service Requirements-overview of all responsibilities and service requirements	10	Respondent has proposed a plan to meet the requirements set forth in the scope of service requirements section. The plan articulates details to provide all stakeholders with timely, accurate, comprehensive, professional and accessible services and supports.
EOR and DSP Services	10	The Respondent has proposed a detailed plan for onboarding EORs and DSPs in a comprehensive and expedited manner. The Plan includes details on training and orientation options for EORs to learn their role using different materials in various platforms. The plan should also detail steps and process for onboarding DSPs and enrolling, monitoring and tracking their training requirements, including the plan for notifications on completion of such trainings.
Payroll Services	10	Respondent has a proposed plan that meets each of the payroll requirements outlined in the scope of service requirements section. The plan articulates the methods that will be used to track and ensure proper and timely payment for DSPs, vendors and providers. Plan also details how errors or late payments will be resolved in a timely manner.
Vendor Services	10	Respondent has a proposed plan that meets each of the vendor requirements outlined in the scope of service requirements section. The plan articulates the methods that will be used to track and ensure proper and timely payment for vendors and providers. Plan also details how errors or late payments will be resolved in a timely manner.

Management of Individualized Budgets	10	Respondent has proposed a detailed plan to provide real time and accurate accounting services of budgets for participants, EORs and the Department. Such services include details on methods in which utilization data will be present and how EORs will be notified if utilization is over, or trending over the authorized budget.
Administrative Services	10	Respondent has proposed a detailed plan of how it will develop, maintain and monitor compliance with Department, state and federal requirements, including the areas of auditing, accounting, technology and communication.
Customer Service and Operational Requirements	15	Respondent has proposed a detailed plan that will meet the varying customer needs for quick and accurate responses, minimizes wait times and provides excellent customer care. Plans include different methods for accessing assistance and willingness to be flexible and meet the participant, EOR or DSP where they are on their journey with self-direction. The Respondent proposes a chain of command to ensure issues are addressed and resolution is timely. The Respondent proposes detailed training plan.
Staffing Requirements	20	Respondent has proposed a plan or existing staffing model, of diverse employees capable of meeting the needs of the stakeholders. Plan includes back up contingencies if staffing levels fail to support operational needs. The Respondent has proposed a chain of command to ensure that issues are addressed, and resolution is timely. The proposed plan provides training details on person-centered principles and self-direction. The plan includes recruitment methods and incentives for employee retention, in order to avoid frequent turnover.

Reporting, Technology, and Data Management (Includes both EVV and non-EVV services)	20	Respondent's proposal includes a description of their established systems for providing data and such systems are flexible in formatting requests and have the ability to provide up-to-date information for utilization reports, budgets, and other key data points. Respondent's proposal includes a secure email system or plan for securing electronic communication, and the ability to comply with all other confidentiality requirements (including HIPAA). The Respondent's proposal describes their ability and capacity to communicate with text and ability to adapt and integrate new technology as they emerge.
Financial Contract Requirements	10	The Respondent's proposal includes a detailed plan for how it plans to develop, implement, maintain and monitor compliance with each of the financial contract required tasks.
Quality Measures	15	The Respondent's proposal includes a detailed plan for how it plans to deliver the specific scope as described.
Cost Proposal/ Budget	10	The Respondent's proposal includes a detailed budget of overall cost with a projection for continued growth. They provide an explanation for expense of operating the FI program.

Since subcontractors are allowed but not required as part of this RFP, the Subcontractor criteria shall be scored in conjunction with the Scope of Services. Scoring will take into consideration how the Respondent intends to use Subcontractor as part of their program approach. Respondents will not be penalized for declining to utilize Subcontractors.

5. **Demonstration.** The Department reserves the right to select finalists to demonstrate their proposed approach to the provision of FI services, including the proposed approach to integrate with the existing or development or utilization of an EVV system for payroll services.

6. **Respondent Selection.** Upon completing its evaluation of proposals, the Review Committee will submit the rankings of all proposals to the heads of the Department. The final selection of successful Respondents is at the discretion of the Commissioner of DDS. The Respondents selected will be so notified and awarded an opportunity to negotiate contracts with the Department. 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. Unsuccessful Respondent will be notified by e-mail or U.S. mail, about the outcome of the evaluation and selection process. The Department reserves the right to decline to award contracts for activities in which the Commissioner determines there are not adequate respondents.

7. **Debriefing.** Within ten (10) days of receiving notification from the Department, unsuccessful Respondents may contact the Official Contact and request information about the evaluation and 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 Respondents still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the evaluation process and their proposals. If held, the debriefing meeting will not include any comparisons of unsuccessful proposals with other proposals. DDS will schedule and hold the debriefing meeting within fifteen (15) days of the request. The outcome of the evaluation or selection process will not be changed, altered or modified as a result of any debriefing meeting.

8. **Appeal Process.** Respondents may appeal any aspect of this procurement, including the evaluation and selection process. Any such appeal must be submitted to the official contact as stated in this RFP. A Respondent may file an appeal at any time after the proposal due date, but not later than thirty (30) days after the unsuccessful Respondents receive notification of the outcome of the evaluation and 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 a delay, suspension, cancellation, or termination of the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.

9. **Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Department's contracting procedures, which may include approval by the Office of the Attorney General. The fully executed contract will be posted on the State Contracting Portal.

IV. REQUIRED PROPOSAL SUBMISSION OUTLINE

*This section presents the **required** outline that must be followed when submitting a proposal in response to this RFP. Proposals must include a Table of Contents that exactly conforms with the required proposal outline (below). Proposals must include all the components listed below, in the order specified, using the prescribed lettering and numbering scheme. Incomplete proposals will not be evaluated. While the proposal outline is standard, the information requested from proposers will vary by RFP, depending on the Department's procurement requirements.*

A. **Cover Sheet**

B. **Table of Contents**

C. **Executive Summary**

D. **Main Proposal**

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

F. **Declaration of Confidential Information**

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

H. **Statement of Assurances**

A: Cover Sheet

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

- RFP Name or Number:
- Legal Name:
- FEIN:
- Street Address:
- Town/City/State/Zip:
- Contact Person:
- Title:
- Phone Number:
- E-Mail Address:
- Authorized Official:
- Title:
- Signature:

Legal Name is defined as the name of private provider organization, CT State agency, or municipality submitting the proposal. *Contact Person* is defined as the individual who can provide additional information about the proposal or who has immediate responsibility for the proposal. *Authorized Official* is defined as the individual empowered to submit a binding offer on behalf of the proposer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto.

B: Table of Contents

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

C: Executive Summary

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

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

*****Please note the maximum total page length for this section is** 30 pages (all appendices and other attachments should be referred to in Section IV.D and then placed in Section IV.E. The Review Committee will not consider any information provided in the Main Proposal section that exceeds the stated 30-page limit for this section. All attachments shall not be counted in the total page length of this section.

1. Administrative and Operational Capabilities

To submit a responsive proposal, The Respondent shall provide the following information regarding the administrative and operational capabilities of the Respondent and any Subcontractor proposed to provide direct services in response to this RFP.

1.1.1. Purpose/Mission: Describe the mission, vision, and values of the respondent organization and the management philosophy that will be used to successfully provide the FI services as described in this RFP to support all Participants requiring these services.

1.1.2. Organization/Support: Provide an organization chart detailing how the FI services structure fits within the organization's overall structure, including any proposed Subcontractors. Such chart shall be attached to the proposal as **Appendix A.**

1.1.3. Describe how the organization's existing structure will support and enhance the FI services.

2. Minimum Qualifications: Respondent's Experience:

2.1. The Respondent must (a) currently provide and bill for FI functions/financial management services; (b) have a minimum of five (5) years of experience working with bills for FI functions/ financial management services; (c) have a minimum of one (1) year of experience using EVV systems for payroll services; (d) have experience with and ability to transition FI services into an already established program; and (e) have the ability to modify systems and business functions to meet programmatic needs.

2.2. To submit a responsive proposal, the Respondent shall, at a minimum, describe how its current and past experience meets the minimum qualifications for required experience. The response must:

2.2.1. Identify all state agencies, other governmental jurisdictions (counties, cities, and/or territories) and organizations for which the Respondent has engaged in similar or related contract work;

2.2.2. Describe all current or past contract(s) where the Respondent performed similar work for those state agencies, other jurisdictions or organizations and for each contract, include the name of the customer's program officer, title, address, telephone number, and e-mail address, and the term of the contract.

2.2.2.1. The description must include, but is not limited to, the types of programs for which the respondent has provided FI services or other services related to self-direction; the organization's role and experience in providing FI services for those programs, and if applicable, highlight the FI services that have been provided for self-directed Medicaid programs and programs in Connecticut.

2.2.2.2. The description must address the Respondent's experience with using EVV systems and providing support services for administering payroll through EVV systems.

2.2.3. Include demonstrated experience providing FI or similar services for the calendar years 2020- 2025. This must include at a minimum, the following data elements:

2.2.3.1. Average number of unique EORs served per year.
2.2.3.2. Average number of unique Employees paid per year.
2.2.3.3. Average number of timesheets processed per payroll period.
2.2.3.4. Average amount of payroll processed per year.
2.2.3.5. Average number of FTEs employed by FI per year by function.

2.3. Include a description of the Respondent's involvement with the community, including but not necessarily limited to engagement with participants, specifically participants with disabilities, advocates, a unionized workforce.

3. Experience and Capacity of Subcontractors.

3.1. A Respondent that proposes the use of any subcontractor for the provision or delivery of a service described in this RFP, must include, as **Appendix B**, the following information for each proposed Subcontractor:

3.1.1. Legal Name of Agency, Address, FEIN
3.1.2. Annual revenue of the Subcontractor and number of FTEs
3.1.3. Contact Person, Title, Phone, Fax, E-mail
3.1.4. Services Currently Provided
3.1.5. Services To Be Provided Under Subcontract
3.1.6. Description of experience and success related to the subcontract
3.1.7. Subcontract Cost and Term

4. Governance – Disclosure

4.1. To submit a responsive proposal, the Respondent shall provide the following information:

4.1.1. The name and percentage of time allocated to this resultant contract for each member of the leadership team;

4.1.2. A complete description of any and all related party relationships and transactions. Fully disclose its anticipated payments to a related party. (Such payments are non-allowable unless the Respondent provides sufficient data to satisfy the Departments that the costs are necessary and reasonable.

4.1.2.1. "Related party" means a person or organization related through marriage, ability to control, ownership, family or business association. Past exercise of influence or control need not be shown, only the potential or ability to directly or indirectly exercise influence or control. "Related party transactions" between the Respondent or "Respondent's Parties" include but are not limited to: (a) Real estate sales or leases; (b) leases for equipment, vehicles or household furnishings; (c) Mortgages, loans and working capital loans; and (d) Contracts for management, consultant and professional services as well as for materials, supplies and other services purchased by the Contractor or Contractor Party.

4.1.2.1.1. "Respondent's Parties" mean a Respondent's members, directors, officers, shareholders, partners, managers, principal officers, representatives, agents, servants, consultants, employees or any one of them or any other person or entity with whom the Respondent is in privity of oral or written contract (e.g. subcontractor) and the Respondent intends for such other person or entity to perform services under the resultant contract in any capacity. For the purpose of this RFP, vendors of support services, not otherwise known as human service providers or educators, shall not be considered subcontractors, e.g. lawn care, unless such activity is considered part of a training, vocational or educational program.

4.1.3. An overview of how organization policies and procedures are reviewed and updated by the Respondent whenever there are federal and state regulation changes and/or operational changes, as well as those requested by the Departments.

5. Ownership – Disclosure

5.1. To submit a responsive proposal, the Respondent shall provide a description of the relationship with other entities including:

5.1.1. Whether the Respondent is an independent entity or a subsidiary or division of another company or business entity (if the Respondent is not an independent entity, Respondent shall describe the organization linkages and the degree of integration/ collaboration between the organizations including any roles of the organizations' principals); and

5.1.2. A description of the relationship of any parent company or entity when the Respondent is an affiliate of another organization.

6. Audit Compliance

6.1. To submit a responsive proposal, the Respondent shall:

6.1.1. Describe the Respondent's success with contract compliance requirements during the past three (3) years.

6.1.2. Identify any deficiencies in program audits and, if applicable, detail what steps the organization has taken to address any recommendations.

6.1.3. List all sanctions, fines, penalties or letters of noncompliance issued against the Respondent by any funding source (public and/or private) during the last three (3) years including but not limited to if the Respondent was ever placed on or designated in an enhanced monitoring status due to contract level deficiencies.

6.1.4. Describe the circumstances leading to the sanction, fine, penalty or letter of noncompliance and the corrective action or resolution to the sanction, fine, penalty or letter of noncompliance. If no sanctions, fines, penalties or letters of noncompliance were issued, a statement that attests that no sanction, fine, penalty or compliance action has been imposed on the Respondent within the past three (3) years shall be submitted.

7. Scope of Service Requirements

General Statement of Expectations - A responsive proposal shall demonstrate understanding of the role and function of an FI. The Respondent shall detail how it or proposed subcontractor(s) will define and perform each required task or deliverable requirement identified in Section II.C.3 of the RFP.

7.1. **Scope of Service Requirements (RFP Section II.C.3)**

7.1.1. To submit a responsive proposal, the Respondent shall provide an overall description of how it intends to provide FI services as described in Sections II.C.3. Description should consider the performance measures and SLAs outlined in Section II.D and include timeframes that the proposer will commit to in the subsequent contract.

7.1.2. **EOR & Employee (DSP) Services**

7.1.2.1. The Respondent must provide a detailed narrative of how it will develop, implement, maintain and monitor compliance with each of the required EOR and DSP service-related tasks listed in Sections II.C.3.a. Details should include how tasks are performed within the articulated timeframes and meet all Department, state and federal requirements.

7.1.2.2. Describe its process for collecting and processing the information contained in the EOR enrollment packages, including the timeframes associated with such processing.

7.1.2.3. EOR Experience: A responsive proposal must include a narrative, written from the perspective of an EOR, describing their engagement and experience with the FI Contractor from the point that the EOR was referred to the FI to the point of the EOR's DSP successfully began receiving wages. Please assume that the DSP had errors on their initial timesheet/EVV submission which required resolution and the time from the identification of the errors to the successful resolution.

7.1.2.4. Describe its process of enrolling a participant who has only vendor services (no self-hire supports, or FEIN required), including the timeframes associated with such processing.

7.1.3. **Payroll Services**

7.1.3.1. The Respondent must provide a detailed narrative of how it will develop, implement, maintain and monitor compliance with each of the payroll service-related tasks listed in Section II.C.3.b. Details should include how tasks are performed within the articulated timeframes and meet all Department, state and federal requirements.

7.1.3.1.1. The Respondent should provide their solution for tracking time worked and paying wages for each pay period, in instances where the Employer has been granted an exemption from EVV usage.

7.1.4. **Vendor Services**

7.1.4.1. The Respondent must provide a detailed narrative of how it will develop, implement, maintain and monitor compliance with each of the required Vendor Service-related tasks listed in Sections II.C.3.c. Details should include how tasks are performed within the articulated timeframes and meet all Department, state and federal requirements.

7.1.4.2. Describe its process for collecting and processing the information contained in the Vendor enrollment packages, including the timeframes associated with such processing for both "typical" Vendor payments and ad hoc Vendor payments.

7.1.4.3. Vendor Experience: A responsive proposal must include a narrative, written from the perspective of an agency Vendor, describing their engagement and experience with the FI Contractor from the point that the Vendor was referred to the FI to the point the Vendor successfully began receiving payment. Please assume that the Vendor had errors on their initial invoice submission which required resolution and the time from the identification of the errors to the successful resolution.

7.1.5. **Management of Individualized Budgets**

7.1.5.1. The Respondent must provide a detailed narrative of how it will develop, implement, maintain and monitor compliance with each of the required Individualized Budget tasks listed in Section II.C.3.d. Details should include how tasks are performed within the articulated timeframes and meet all Department, state and federal requirements.

7.1.5.1.1. The Respondent shall provide an example of an individual budget variance monthly report designed to inform the EOR and the DDS team about budget utilization. Such example shall be attached to the proposal as **Appendix C.**

7.1.6. **Administrative Services**

7.1.6.1. The Respondent must provide a detailed narrative of how it will develop, implement, maintain and monitor compliance with each of the Administrative required tasks listed in Section II.C.3.e. Details should include how tasks are performed within the articulated timeframes and meet all Department, state and federal requirements.

As part of its narrative, the Respondent must include the following:

7.1.6.1.1. The address of the off-site storage facility at which records will be stored; and

7.1.6.1.2. A description of how it will ensure all financial records and transactions are maintained pursuant to Generally Accepted Accounting Principles (GAAPs) in accordance with Sec 3-115 State of CT including the reconciliation processes it has in place to ensure accuracy and accountability in all financial transactions and adherence to the Generally Accepted Government Auditing Standards (GAGAS).

7.1.7. **Customer Services & Operational Requirements**

7.1.7.1. The Respondent must provide a detailed narrative of how it will develop, implement, maintain and monitor compliance with each of the customer service and operational required tasks listed in Section II.C.3.f. Details should include how tasks are performed within the articulated timeframes and meet all Department, state and federal requirements.

7.1.7.1.1. A description of the specific customer service metrics it will track, along with how it intends to use these metrics to gauge the success of its customer service efforts and execute ongoing programmatic improvement efforts.

7.1.7.1.2. A description of how the Respondent will ensure that it meets stakeholders where they are in all aspects of self-direction, including but not limited to how customer service resources are made accessible for a wide range of linguistically, culturally, and geographically diverse individuals with varying abilities, needs, and communication methods and how the Respondent plans to accommodate stakeholders who require flexibility and in-person assistance with FI related processes..

7.1.7.1.3. A description of how the Respondent will plan, coordinate and execute the initial transfer of participants within the transition period. Details should include any additional customer service resources and any contingency plans to address outstanding operational needs.

7.1.7.1.4. A description of how the Respondent plans to accept, address, prioritize, escalate, and resolve pay issues as reported by the Department, the EOR or the DSP and how the Respondent would determine how to address or prevent similar future pay issues based on that resolution.

7.1.7.1.5. A description of how the Respondent plans to address complaints and grievances. Including but not limited to how the Respondent will appropriately analyze, escalate, and resolve complaints/grievances and provide documentation thereof, upon request of the complainant and/or the Department.

7.1.7.1.6. A listing of accessible office locations the Respondent intends to use for in-person customer service activities, clearly differentiating between commercial properties currently owned/leased by the Respondent, versus properties the Respondent intends to open at a future date in order to fulfill its contractual obligation. Such listing shall be attached to the proposal as **Appendix D.**

7.1.8. **Staffing Requirements**

7.1.8.1. The Respondent must provide a detailed narrative of how it will develop, implement, maintain and monitor compliance with each of the staffing required tasks listed in Section II.C.3.g. Details should include how tasks are performed within the articulated timeframes and meet all Department, state and federal requirements.

7.1.8.1.1. The proposal must include an organizational chart attached as **Appendix E** that identifies key personnel senior managers, and other staff by title to be assigned to accomplish the Contractor Responsibilities as articulated in the RFP.

7.1.8.1.2. The number of full-time equivalent (FTEs) for supervision, administration, customer service, and payroll positions.

7.1.8.1.3. The titles, job responsibilities, and qualifications for staff directly responsible for ensuring compliance with all billing requirements.

7.1.8.1.4. A description of the Respondent's recruitment plans with timelines, specifying which roles and personnel will be specific to Connecticut, contrasted against any roles or personnel that will not be physically present in Connecticut for the majority of their duties in fulfilling the responsibilities in Section II.C.

7.1.8.1.5. A description of the Respondent's customer service training curriculum both initially and ongoing; processes and procedures for the onboarding of staff and customer service scripts or other external scripts to ensure consistency and effective delivery of customer service specific to regions across Connecticut.

7.1.9. **Reporting, Technology and Data Management -** [Note: This section includes response related to EVV only]

7.1.9.1. The Respondent must provide a detailed narrative of how it will develop, implement, maintain and monitor compliance with each of the reporting, technology and data management required tasks listed in Section II.C.3.h. Details should include how tasks are performed within the articulated timeframes and meet all Department, state and federal requirements.

7.1.9.1.1. Include a description of the EVV option proposed by the Respondent.

7.1.9.1.1.1. If the Respondent is using the state's EVV solution, provide detailed justification explaining why the Respondent selected the state's EVV solution. Justification should clearly identify how this option advances Performance Measures as defined in Section II.D.

7.1.9.1.1.2. If the Respondent is using their own EVV solution, provide detailed justification explaining why the Respondent selected this option. Justification should clearly identify how this option advances Performance Measures as defined in Section II.D.

7.1.9.1.1.2.1. Include a completed **CT PCA EVV Requirements Matrix** included as an attachment to this RFP and provide the completed Matrix as **Appendix G** to its response, and in accordance with the instructions provided on the Instructions tab and as described below, The respondent should explain, in detail, how it plans to develop or otherwise obtain, implement, maintain, and operate an EVV system compliant with the 21st Century Cures Act (CURES), Section 12006, all state and federal accessibility laws, and all additional EVV-related policies established by the Department. The Respondent should also consider federal certification of the EVV system in the proposal.

7.1.9.1.1.2.2. In accordance with the instructions described in the Instructions tab of the **CT PCA EVV Requirements Matrix** included as an attachment to this RFP, the Respondent must describe for each requirement detailed in the document how the Respondent's proposed EVV will or will not meet the suggested functionality. In doing so, the Respondent should provide additional context for the anticipated compliance with each requirement. For those requirements in the EVV Requirements Matrix that the Respondent's proposed EVV will not comply, the Respondent should provide a description of an alternative functionality that would meet the goal of the requirement.

7.1.9.1.2. Describe the process for consuming EVV data extracts from the state's existing EVV vendor and utilizing the EVV data to process payroll. The process must include a description of how the Respondent will automate the process for comparing EVV data to the individual budgets of service plans to assure that budget authorizations are not exceeded.

7.1.9.1.3. Describe the process for paying EVV required vendor shifts based off of EVV data. (May be from EVV data that is forwarded from DDS).

7.1.9.1.3.1. Describe the process for addressing corrections to the EVV vendor data, both before and after a shift has been paid.

7.1.9.1.4. Provide a detailed explanation of how integration of the EVV system with payroll processing and operations will support the following functionality:

7.1.9.1.4.1. Create a process and have system capacity to retrieve EVV files via a secure file transfer protocol (SFTP) site hosted by DSS.

7.1.9.1.4.2. Automate a process to compare the data submitted via the EVV system to the individual's service authorization for purposes of processing payroll.

7.1.9.1.4.3. Utilize the standard reports in the EVV system to support and manage daily EVV operations for the consumer-directed population, including encouraging EVV system compliance.

7.1.9.1.4.4. Concurrently support a paper payroll process for Employers and Employees who have a Department approved accommodation to use paper in lieu of EVV and the electronic payroll process for all other Employees and Employees who are required to use EVV.

7.1.9.1.5. The ability for the Respondent to manage and produce comprehensive reports regarding non-utilization of EVV.

7.1.9.1.6. The ability to utilize EVV-generated data to issue reports to EORs, DSPs and the Department.

7.1.9.1.7. The ability for the Respondent to produce weekly timesheets retained by the EVV system and make them accessible in real time to appropriate users for a time period defined by Departments.

7.1.9.1.8. The Respondent must describe its organizational capacity to identify data adequacy and/or integrity issues and proactively seek to obtain required information.

7.1.9.1.9. The Respondent must explain its proposed process for reconciling paid earned time, vacation time, holiday time, overtime, paid time off, and/or travel time prior to issuing payment to DSPs, regardless of whether the EVV system supports reconciliation at the time of Contract commencement.

7.1.9.1.10. Describe the transition plan, if applicable, for operationalizing EVV in partnership with the state's EVV vendor. The transition plan must include:

7.1.9.1.10.1. A proposed timeline, including specific dates, outlining the plan to have the selected EVV software or system tested and implemented by May 1, 2026. This timeline should include key operational milestones deemed essential by the Respondent, in addition to milestones relative to FI software development required to integrate with the state's EVV system, testing, user/stakeholder, and initial implementation training.

7.1.9.1.10.2. A description of how the Respondent will ensure that all EVV system users including EORs, DSPs, Department staff and other stakeholders are made aware of the best way to contact the Respondent for tier one EVV-related support and how the Respondent will ensure that such information is easily accessible to non-English speakers and those requiring differing communication methods. Tier one EVV-related support includes but is not limited to password resets in the EVV system.

7.1.9.1.11. The Respondent must describe its plan to provide EVV-related customer service, including training and a call center, in partnership with the state's EVV vendor, for the benefit of EORs, DSPs Department staff and other appropriate stakeholders. The description of customer service must include how the Respondent will meet the following criteria:

7.1.9.1.11.1. How the Respondent will ensure the availability of customer service personnel, including supervisors, where appropriate, for ongoing customer support with capacity to resolve EVV entry problems that otherwise could delay pay.

7.1.9.1.11.2. A plan for identifying EVV related issues and a pro-active approach of working with the Employer to correct.

7.1.9.1.11.3. A detailed description of the Respondents EVV training and outreach plan to support ongoing EOR and DSP enrollment for review and approval by DDS including but not limited to methods and platforms to deliver training documents and tools.

7.1.9.2. The Respondent must explain how it intends to ensure staff are trained on, and maintain compliance with, applicable EVV rules and responsibilities, as defined by the Department as well as state and federal laws.

7.1.9.3. The Respondent must describe its capacity and plan to generate and provide to the state EVV vendor/aggregator the following data files using the state EVV Vendor's/aggregator's standard data specifications which shall be provided to the Respondent upon request following the submission of the Mandatory Letter of Intent:

7.1.9.3.1. Individual file;

7.1.9.3.2. DSP file;

7.1.9.3.3. Individual/DSP crosswalk file;

7.1.9.3.4. Authorized representatives (may be included on employer file).

7.1.9.3.5. DSP termination data and include this information in the DSP and Individual files.

7.1.10. **Reporting, Technology, and Data Management** [Note: This section does not include responses related to EVV]

7.1.10.1. The Respondent shall describe its capacity to perform the information management and reporting functions specified in Section II.C.3.h including maintaining data and producing the required reports described at Section II.E and any other reports requested by DDS, by describing its current and proposed information systems and software to be used. A responsive proposal must:

7.1.10.2. Describe its information system and architecture, including the name of the systems and the vendors the Respondent uses for hardware, billing, customer service, financial systems, and reporting. Describe the technical qualifications of staff operating the information system(s).

7.1.10.3. Describe the use of its information system(s) for day-to-day management of operations and long-term planning of the key organization functions described in each of the sections under the Contract.

7.1.10.4. Describe how its Management Information Systems will satisfy the requirements noted in Section II.C.3.h, including, but not limited to:

7.1.10.4.1. The name and description of all software used to perform the functions. The Respondent must specify whether such software is currently used by the Respondent and in what capacity or whether it needs to be purchased.

7.1.10.4.2. A description of how the Respondent's software has the capacity to serve the volume of the Participants and EORs served by DDS including the ability to provide a user-facing portal for real time reporting of data sets, including, but not limited to expenditures.

7.1.10.4.3. A description of how the Respondent's software will satisfy all payment, authorization tracking, and unique identifier requirements noted in Section II.C.3.

7.1.10.4.4. A description of how the Respondent intends to ensure that its software can track and integrate applicable EVV data and transmit data to other systems as required by DDS.

7.1.10.4.5. A description of how data pertaining to EORs and DSPs in the aggregate, is collected, retrieved, and compiled for reporting purposes.

7.1.11. **Financial Contract Requirements**

7.1.11.1. The Respondent must provide a detailed narrative of how it will develop, implement, maintain and monitor compliance with each of the financial contract required tasks listed in Section II.C.3.i. Details should include how tasks are performed within the articulated timeframes and meet all Department, state and federal requirements.

8. Quality Measures

8.1. A responsive proposal must include a description of how the Respondent intends to comply with the Quality Measures outlined in Section II.D. The Respondent shall provide:

8.1.1. A general description of the Respondent's plan to meet all quality measures including but not limited to performance metrics and service level agreements in all aspects of its service delivery system.

8.1.2. A detailed narrative of how the Respondent will develop, implement, and maintain compliance with each of the required tasks listed in Section II.D. including a description of the internal controls it has in place to ensure that the tasks are performed accurately and within required timeframes.

8.1.3. The Respondent should outline the Quality Assurance (QA) work plan that describes all QA activities the Respondent intends to perform during the Contract year. The Respondent is encouraged to include in its work plan the following:

8.1.3.1. Other QA activities that strengthen internal controls.

8.1.3.2. Measures to promote efficiency and accuracy in the delivery of services; and

8.1.3.3. Systems and protocols for the prevention, identification, and mitigation of waste, fraud, abuse, and errors.

8.1.4. A description of the Respondent’s plan to meaningfully integrate stakeholder feedback into improved practices.

8.1.5. A description or summary, not to exceed two pages, of the contents of the Respondent’s Fiscal Intermediary Policies and Procedures Manual, or comparable policies and procedures substantially similar to a Fiscal Intermediary Policies and Procedures Manual, and an attestation, provided as **Appendix F**, that the Respondent’s policies and procedures manual will meet the requirements of Section II.D and Section II.E.

9. Cost Proposal (No page limitations)

9.1. Financial Requirements: A responsive proposal must include information about the Respondent’s fiscal stability, accounting and financial reporting systems, and relevant business practices.
No cost information or other financial information may be included in any other portion of the proposal. Any proposal that fails to adhere to this requirement may be disqualified as non-responsive.

9.2. Each proposal must include cost information and other financial information in the following order:

9.2.1. Audited Financial Statements

9.2.1.1. To submit a responsive proposal, the Respondent shall provide two (2) most recent annual financial statements prepared by an independent Certified Public Accountant and reviewed or audited in accordance with Generally Accepted Accounting Principles (GAAP). The copies shall include all applicable financial statements, auditor’s reports, management letters, and any corresponding reissued components. The Department reserves the right to reject the proposal of any Respondent that is not financially viable based on the assessment of the annual financial statements. The Respondent must include, as **Appendix H** the Audited Financial statements, as part of the Cost Proposal.

9.2.2. Financial Capacity

9.2.2.1.1. Describe the Respondent’s financial capacity to properly isolate contract-related income and expenditures. Discuss the internal controls used to ensure that a thorough record of expenditures can be provided for purposes of an audit.

9.2.3. Financial Policies and Procedures

9.2.3.1. Include Respondent's financial policies and procedures. All State agencies entering into contracts, grants, or other agreements with organizations that receive funding from the State of Connecticut must implement the provisions of cost standards. More information about the cost standards is available on OPM's web site: Cost Standards. The Respondent's Cost Allocation Plan, as specified in the Cost Standards, should be included in the Financial Policies and Procedures. The Respondent must include as **Appendix I** the Financial Policies and Procedures, as part of Financial Requirements.

10. Budget Requirements

10.1. All proposed costs are subject to the standards developed by the State Office of Policy and Management for determining the cost of contracts, grants, and other agreements with organizations that receive funding from the State. Be advised that the cost proposal is subject to revision prior to contract execution in order to ensure compliance with the OPM cost standards. More information about the cost standards is available on OPM's web site: Cost Standards

To submit a responsive proposal, The Respondent must complete and include as **Appendix J** the Fiscal Intermediary Budget Template. To complete the FIS Budget Template, the Respondent must refer to the following RFP attachments: the Fiscal Intermediary Budget Template and FIS Budget Template, and to the submission requirements below.

10.2. To submit a responsive proposal, The Respondent must provide a cost response that includes the Respondent's proposed Administrative Fee for its performance of the Administrative Tasks, EOR Required Tasks, Payroll Related Tasks and Vendor Related Tasks specified in this RFP that it calculates is necessary to reimburse it for the performance of these functions. The cost response must include budget and narrative.

10.3. The Respondent must also provide with its cost response, the Respondent's proposed one-time payment the Respondent calculates is necessary to reimburse the Respondent for costs associated with integrating the State's EVV system or implementing the Respondent's EVV system as well as transitional costs to support a transition period that shall not exceed six (6) months.

10.4. As part of its Cost Response, the Respondent must include a detailed and itemized budget for all costs by function and FTE associated with its performance of all functions covered under this RFP both as related to costs incorporated into the Administrative Fee including start-up costs associated with the integration of the FI systems with the State's EVV system or implementing the Respondent's EVV system and costs associated with the transition plan.

10.4.1. The detailed and itemized budget must include a separate description of the actual, anticipated, or estimated cost for EVV-related functions and associated components, including implementation, maintenance, initial training, ongoing trainings, training materials, certification costs, and other costs as applicable that are incorporated into the Respondent's proposed Administrative Fee and/or the Respondent's proposed one-time start up payment, as applicable.

10.4.2. Cost Response must be presented with 2 options:

10.4.2.1. Flat fee annual functional costs; and

10.4.2.2. Per member per month.

10.4.2.3. The Cost Response must include the one-time costs associated with a 6-month transition, including costs associated with EVV.

10.4.3. The Respondent must create a document and include as **Appendix K** of its Cost Response, a completed Cost Response statement that sets forth the following information providing both a per member/per month cost response as well as an alternative flat fee with functional line by line detail per year based on the Department's estimates of members served per year:

10.4.3.1. Per member/ per month Cost Response

10.4.3.1.1 The Respondent's proposed per member/per month Administrative Fee for performing the Administrative Tasks, Employer Required Tasks, and Payroll-Related Tasks specified in this RFP must include actual, anticipated or estimated fees proposed by entering cost data on following schedule.

10.4.3.1.2 Participants with payroll $____ per month;

10.4.3.1.3 Participants with payroll and providers/vendor $___ per month;

10.4.3.1.4 Participants with providers/vendor/no payroll $____ per month;

10.4.3.1.5 Close out fee for terminations or transfers $ ___ per Participant;

10.4.3.1.6 Set up/training fee for new Participants hiring staff $ ____; and

10.4.3.1.7 Ad hoc payments $___ per Payment

10.4.3.1.8 Any issue regarding reimbursement category disputes and exceptions shall be communicated by the successful respondent in writing to the Department for resolution within the existing rate structure.

10.4.3.1.9 The Contractor shall separately bill any one-time (initial) set up/training fee of each Participant's account.

10.4.3.2 Annual Flat Administrative Fee Cost Response

10.4.3.2.1 The Respondent's proposed annual flat Administrative Fee for performing the Administrative Tasks, Employer Required Tasks, and Payroll-Related Tasks specified in this RFP. This cost should assume 1,500 Employers in year 1 with 3,750 Employees.

10.4.3.2.2 One time startup payment to support up to a 6-month transition.

10.4.3.2.2.1 The portion of the Respondent's proposed one-time startup payment that is related to its integration of the State's EVV functions as well as costs associated with the transition plan.

10.4.3.3 The Respondent must also include, as **Appendix L** of its Cost Response, a copy of its most recent Uniform Financial Statement that includes its line-by-line expenditures and revenue for its Fiscal Intermediary program.

E: Attachments

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

F: Declaration of Confidential Information

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

G: Conflict of Interest – Disclosure Statement

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

H: Statement of Assurances

Proposer shall review and sign the Statement of Assurances and include as **Appendix N**.

V. 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 Department and will include the scope of services, contract performance, quality assurance, reports, terms of payment, budget, and other program-specific provisions of any resulting POS contract. A sample of Part I 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: POS Standard Contract Part II

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 respondent is awarded an opportunity to negotiate a contract with the Department 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 respondent must inform the respondent'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 Department, the selected respondent (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 respondent implicitly gives the following assurances:

1. **Collusion.** The respondent represents and warrants that the respondent 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 respondent further represents

and warrants that no agent, representative, or employee of the State participated directly in the preparation of the respondent's proposal. The respondent 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 respondent certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFP. The Agency may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the respondent, contractor, or its agents or employees.

3. **Competitors.** The respondent 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 respondent to induce any other organization or competitor to submit, or not submit, a proposal for the purpose of restricting competition. The respondent 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 respondent knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.

4. **Validity of Proposal.** The respondent certifies that the proposal represents a valid and binding offer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto. The proposal shall remain valid for a period of 180 days after the submission due date and may be extended beyond that time by mutual agreement. At its sole discretion, the Agency may include the proposal, by reference or otherwise, into any contract with the successful respondent.

5. **Press Releases.** The respondent agrees to obtain prior written consent and approval of the agency with which it is entering into a contract 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 respondent implicitly agrees to comply with the following terms and conditions:

1. **Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.

2. **Preparation Expenses.** Neither the State nor the Agency shall assume any liability for expenses incurred by a respondent in preparing, submitting, or clarifying any proposal submitted in response to this RFP.

3. **Exclusion of Taxes.** The Agency is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Respondents are liable for any other applicable taxes.

4. **Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.

5. **Changes to Proposal.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Agency may request and authorize respondents to submit written clarification of their proposals, in a manner or format prescribed by the Agency, and at the respondent's expense.

6. **Supplemental Information.** Supplemental information will not be considered after the deadline submission of proposals, unless specifically requested by the Agency. The Agency may ask a respondent to give demonstrations, interviews, oral presentations or further explanations to clarify information contained in a proposal. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Agency. At its sole discretion, the Agency may limit the number of respondents invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per respondent.

7. **Presentation of Supporting Evidence.** If requested by the Agency, a respondent must be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. The Agency may make onsite visits to an operational facility or facilities of a respondent to evaluate further the respondent's capability to perform the duties required by this RFP. At its discretion, the Agency may also check or contact any reference provided by the respondent.

8. **RFP Is Not An Offer.** Neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or the Agency or confer any rights on any respondent unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the respondent and the Agency and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the respondent or for payment of services under the terms of the contract until the successful respondent is notified that the contract has been accepted and approved by the Agency and, if required, by the Attorney General's Office.

■ D. RIGHTS RESERVED TO THE STATE

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

1. **Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the Agency.

2. **Amending or Canceling RFP.** The Agency reserves the right to amend or cancel this RFP on any date and at any time, if the Agency deems it to be necessary, appropriate, or otherwise in the best interests of the State.

3. **No Acceptable Proposals.** In the event that no acceptable proposals are submitted in response to this RFP, the Agency may reopen the procurement process, if it is determined to be in the best interests of the State.

4. **Award and Rejection of Proposals.** The Agency reserves the right to award in part, to reject any and all proposals in whole or in part, for misrepresentation or if the proposal limits or modifies any of the terms, conditions, or specifications of this RFP. The Agency may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Agency reserves the right to reject the proposal of any respondent who submits a proposal after the submission date and time.

5. **Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.

6. **Contract Negotiation.** The Agency reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Agency further reserves the right to contract with one or more respondent for such services. After reviewing the scored criteria, the Agency may seek Best and Final Offers (BFO) on cost from respondents. The Agency may set parameters on any BFOs received.

7. **Clerical Errors in Award.** The Agency reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a respondent and subsequently awarding the contract to another respondent. 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 respondent is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the respondent.

8. **Key Personnel.** When the Agency is the sole funder of a purchased service, the Agency reserves the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Agency also reserves the right to approve replacements for key personnel who have terminated employment. The Agency further reserves the right to require the removal and replacement of any of the respondent’s key personnel who do not perform adequately, regardless of whether they were previously approved by the Agency.

■ E. STATUTORY AND REGULATORY COMPLIANCE

By submitting a proposal in response to this RFP, the respondent 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). Respondents are generally advised not to include in their proposals any confidential information. If the respondent 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 respondent has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a respondent may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.

2. **Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to ensure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.

3. **Consulting Agreements, C.G.S. § 4a-81. Consulting Agreements Representation, C.G.S. § 4a-81.** Pursuant to C.G.S. §§ 4a-81 the successful contracting party shall certify that it has not entered into any consulting agreements in connection with this Contract, except for the agreements listed below. "Consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information, or (C) any other similar activity related to such contracts. "Consulting agreement" does not include any agreements entered into with a consultant who is registered under the provisions of chapter 10 of the Connecticut General Statutes as of the date such contract is executed in accordance with the provisions of section 4a-81 of the Connecticut General Statutes. Such representation shall be sworn as true to the best knowledge and belief of the person signing the resulting contract and shall be subject to the penalties of false statement.

4. **Campaign Contribution Restriction, C.G.S. § 9-612.** For all State contracts, defined in section 9-612 of the Connecticut General Statutes as having a value in a calendar year of $50,000 or more, or a combination or series of such agreements or contracts having a value of $100,000 or more, the authorized signatory to the resulting contract must represent that they have received the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice, as set forth in "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations." Such notice is available at SEEC Form 10.

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

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

(3) That the Contractor is submitting bids or proposals without fraud or collusion with any person.
Any Respondent or respondent that does not agree to the representations required under this section shall be rejected and the State agency or quasi-public agency shall award the contract to the next highest ranked respondent or the next lowest responsible qualified Respondent or seek new bids or proposals.

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

7. Nondiscrimination Certification, C.G.S. § 4a-60 and 4a-60a. If a Respondent is awarded an opportunity to negotiate a contract, the respondent must provide the State agency with *written representation* in the resulting contract that certifies the Respondent complies with the State's nondiscrimination agreements and warranties. This nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. The authorized signatory of the contract shall demonstrate his or her understanding of this obligation by either (A) initialing the nondiscrimination affirmation provision in the body of the resulting contract, or (B) providing an affirmative response in the required online bid or response to a proposal question, if applicable, which asks if the contractor understands its obligations. If a Respondent or vendor refuses to agree to this representation, such Respondent or vendor shall be rejected and the State agency or quasi-public agency shall award the contract to the next highest ranked vendor or the next lowest responsible qualified Respondent or seek new bids or proposals.

8. Access to Data for State Auditors. The Contractor shall provide to OPM access to any data, as defined in C.G.S. § 4e-1, concerning the resulting contract that are in the possession or control of the Contractor upon demand and shall provide the data to OPM in a format prescribed by OPM [or the Client Agency] and the State Auditors of Public Accounts at no additional cost.

VI. APPENDIX

▪A. ABBREVIATIONS / ACRONYMS / DEFINITIONS

C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CT	Connecticut
CMS	Center for Medicare and Medicaid Services (US)
DAS	Department of Administrative Services (CT)
DDS	Department of Development Services
DSS	Department of Social Services
DSP	Direct Support Professional
EVV	Electronic Visit Verification system
EOR	Employer of Record
FI	Fiscal Intermediary
FIS	Fiscal Intermediary Services
FOIA	Freedom of Information Act (CT)
IRS	Internal Revenue Service (US)
LOI	Letter of Intent
HIPPA	Health Insurance Portability and Accountability Act
MMIS	Medicaid Management Information System
OAG	Office of the Attorney General
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
POS	Purchase of Service
P.A.	Public Act (CT)
RFP	Request For Proposal
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States

- Ad-hoc Report: A report that has not been previously produced and which may require specifications to be written, developed and tested prior to production to complete.

- Ad-hoc Payment: A payment to a vendor that is requested by the Department, and that is typically not part of an individual's budget authorization.

- Centers for Medicare & Medicaid Services (CMS): The Centers for Medicare and Medicaid Services (CMS) is a division within the United States Department of Health and Human Services ("HHS"). CMS oversees programs including Medicaid, and the Children's Health Insurance Program ("CHIP").

- Claim: A claim is the request for reimbursement for wages paid to Employers and Providers to the state's Medicaid Management Information System.

- Commissioner: The statutory leader, appointed by the Governor of the State of Connecticut, in charge of the Department of Developmental Services.

- Contractor: a private provider organization, CT State agency, or municipality that enters into a POS contract with DDS, as a result of this RFP.

- Department: Refers to the Department of Developmental Services (DDS).

- Employee: The support staff hired by the Employer of Record (EOR). Referred throughout this RFP as the Direct Support Professional (DSP).

- Employer of Record (EOR): The Participant/family member or responsible person who is the FEIN holder and self-hires the Employee/DSP to provide personal care services or direct support and provides all other employer related responsibilities including supervision and approval of time worked.

- Fiscal Intermediary: An entity that acts as an agent between a Participant and the Departments for the purpose of assisting the Employer to manage and distribute funds in accordance with the Participant's budget. An FI provides support with all of the financial responsibilities of being an employer.

- Health Insurance Portability and Accountability Act of 1996 (HIPAA): Federal law that protects individual's medical records and other personal health information.

- Key Personnel: Key management personnel are employees who have the authority to directly or indirectly plan and control business operations.

- Medicaid: means the program operated by the Department pursuant to section 17b-260 of the Connecticut General Statutes and authorized by Title XIX of the Social Security Act.

- Medicaid Management Information System (MMIS): DSS' automated claims processing and information retrieval system certified by CMS and operated by a contractor of DSS. It is organized into six function areas--Member, Provider, Claims, Reference, Management and Administrative Reporting subsystem (MAR) and Surveillance and Utilization Review subsystem (SUR).

- Participant: the individual eligible for and receiving self-directed services from DDS. The Participant may also be the Employer but not always.

- Proposer: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP. This term may be used interchangeably with respondent throughout the RFP.

- Prospective Proposer: a private provider organization, CT State agency, or municipality that may submit a proposal to the Department in response to this RFP but has not yet done so.

- Provider: A person or entity under an agreement with the Department or an individual to provide services to people served by the Department.

- Respondent: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP.

- Self-determination is a national movement about rights and personal freedom. Self-determination is an approach to service delivery that supports people with disabilities to live the lives they desire. Self-determination helps people, their families and friends determine their future, design their own support plans, choose the assistance they need to live full lives and control a personal budget for their supports.

- Self-Direction is a service delivery system where services are provided to individuals to assist the individual with the management of their authorized services budget; hiring their own staff and becoming an employer; purchasing supports from a traditional agency, from an Agency with Choice, or a combination of these approaches.

- Stakeholders: Eligible DDS participants, their families, EORs, DSPs, vendors, DDS staff and any other role that interacts with, or utilizes the services offered through the FI.

- State Fiscal Year (SFY): July 1st through June 30th of the following calendar year.

- Subcontractor: an individual (other than an employee of the contractor) or business entity hired by the contractor to provide a specific health or human service in the contract with the Department resulting from this RFP.

- Vendor: A person or entity under an agreement with the Department or an individual to provide services to people served by the Department.

B. STATEMENT OF ASSURANCES

STATE OF CONNECTICUT

DEPARTMENT OF DEVELOPMENTAL SERVICES

The undersigned Respondent affirms and declares that:

1) General

a. This proposal is executed and signed with full knowledge and acceptance of the RFP CONDITIONS stated in the RFP.

b. The Respondent will deliver services to the Agency the cost proposed in the RFP and within the timeframes therein.

c. The Respondent will seek prior approval from the Agency before making any changes to the location of services.

d. Neither the Respondent of any official of the organization nor any subcontractor the Respondent of any official of the subcontractor organization has received any notices of debarment or suspension from contracting with the State of CT or the Federal Government.

e. Neither the Respondent of any official of the organization nor any subcontractor to the Respondent of any official of the subcontractor's organization has received any notices of debarment or suspension from contracting with other states within the United States.

Legal Name of Organization:

____

____________________________ ____________________________

Authorized Signatory Date

C. ADDITIONAL RELEVANT FORMS

a. Attachments to RFP
   i. Nondisclosure form
   ii. EVV Matrix
   iii. Budget Template
   iv. Budget Template Instructions
b. Statement of Assurances (Included as part of RFP document)

D. REQUIRED APPENDICES

This page is for Proposer use only. This page is not required to be submitted.

Letter of Intent	Submit by 12 pm on January 14, 2026, to be eligible to submit a proposal.
Nondisclosure Form	Submit by 12 pm on January 14, 2026, to be eligible to submit a proposal.
Cover Sheet	To be submitted as first page of proposal
Appendix A	Organizational Chart (How FI fits within the organization’s overall structure)
Appendix B	Subcontractor Information (If applicable)
Appendix C	Individual Budget Variance Report Sample
Appendix D	Listing of accessible office locations for in person customer service activities
Appendix E	Key Personnel organizational chart
Appendix F	Summary of FI Policies and Procedures Manual
Appendix G	EVV Matrix
	Cost Proposal (Appendix H-L)
Appendix H	Audited Financial Statements
Appendix I	Financial Policies and Procedures, including Cost Allocation Plan?
Appendix J	Budget Template
Appendix K	Cost Response statement
Appendix L	Uniform Financial Statements
Appendix M	Conflict of Interest – Disclosure Statement
Appendix N	Statement of Assurances