

PROCUREMENT NOTICE
State of Connecticut
Department of Developmental Services

Notice of a procurement opportunity for qualified Department of Developmental Service (DDS) providers of autism services to develop and operate up to **three (3) specialized inpatient Autism hospital beds** for individuals experiencing the most acute and complex Autism Spectrum and co-occurring psychiatric disorders is available for review, download and printing on the State's Procurement/Contracting Portal at:

https://www.biznet.ct.gov/SCP_Search/

The Request for Proposals is also available on the Department's website at <http://www.ct.gov/dds/site/default.asp?ddssiNAV=1> under "Provider Gateway (RFP's)" link. Questions may be directed to the Department's official contact:

Name: Marie House
Address: 460 Capitol Ave., Hartford, CT 06106
Phone: 860-418-8734
Fax: 860-418-6001/6009
E-Mail: Marie.House@ct.gov

A printed copy of the RFP can be obtained from the Official Contact upon request.

Deadline for submission of proposals is **June 19, 2015 3 p.m.**

PLEASE NOTE: Bidders must be DDS Qualified Providers to provide services to individuals with Autism Spectrum Disorder (ASD).

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GENERAL INFORMATION

■ A. INTRODUCTION

1. RFP Name or Number. Specialized Inpatient Autism Hospital Beds or DDS-SIHBEDS-15

2. Summary. The State of Connecticut, Department of Developmental Services (DDS) is seeking proposals from **qualified DDS providers of autism services** to develop and operate up to three (3) specialized inpatient hospital beds for individuals experiencing the most acute and complex Autism Spectrum and co-occurring psychiatric disorders.

Activities will fall under the below:

- The proposed program must include the development of up to three inpatient hospital beds to be designated as sole use to individuals experiencing the most acute and complex Autism and co-occurring psychiatric symptoms in order for stabilization.
- The beds must be located in an area that is appropriate for individuals with ASD and co-occurring psychiatric symptoms.
- The beds must be appropriate for individuals across the life span (ages 14 – 25 years old).
- Placement of each individual will be approved by the ASO (Value Options) utilization data will be collected by the ASO and reported to DDS annually.
- Staff will be provided training prior to admission of patients, in specific services and treatment of individuals with ASD and co-occurring psychiatric disorders.
- Staff identification and staffing levels will be appropriate for the population designated for this service.

The due date for proposals is 6/19/15. Proposals must be received in the required packaging and labeling at the DDS Central Office at 460 Capitol Ave. Hartford, CT 06106 not later than the deadline. Late submissions will not be accepted. Faxed or e-mailed proposals will not be accepted.

DDS is authorized in accordance with Section 17a-210 of the Connecticut General Statutes. The requested services will be awarded through a competitive procurement process and funded by State Dollars.

3. Commodity Codes. The services that the Department wishes to procure through this RFP are as follows:

- 0098: Health Care Management Medical Services or Medical Testing Services
- 1000: Healthcare Services

■ B. ABBREVIATIONS / ACRONYMS / DEFINITIONS

ASD	Autism Spectrum Disorder
BFO	Best and Final Offer
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CT	Connecticut
DAS	Department of Administrative Services (CT)
DDS	Department of Developmental Services
EEO	Equal Employment Opportunities
FOIA	Freedom of Information Act (CT)
HIPPA	Health Insurance Portability and Accountability Act
LOI	Letter of Intent
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
SDE	State Department of Education (CT)
SEEC	State Elections Enforcement Commission (CT)
SERC	Special Education Resource Center
U.S.	United States

- *Contractor*: a private provider organization, CT State agency, or municipality that enters into a POS contract with the Department as a result of this RFP
- *Department*: for the purposes of this RFP, 'Department' shall mean the Connecticut Department of Developmental Services.
- *Health Insurance Portability and Accountability Act*: Administrative, technical and physical safeguards required to prevent unauthorized access to protected health care information
- *Official Agency contact*: the only authorized contract for this procurement and, as such, who will handle all related communications on behalf of the Department
- *proposer*: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP
- *Proposers authorized representatives*: the authorized employees of the contractor to communicate and discuss the merits of the proposal with the Department
- *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
- *Qualified Provider*: a private agency that has submitted a complete application packet and has been approved by DDS to have met the minimum standards for providing supports to individuals with ASD
- *Subcontractor*: an individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific health or human service as part of a POS contract with the Department as a result of this RFP

■ C. INSTRUCTIONS

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

Official Agency Contract for this RFP is:

Name: Marie House
 Address: 460 Capitol Ave, Hartford, CT 06106
 Phone: 860-418-8734
 Fax: 860-418-6001/6009
 E-Mail: Marie.House@ct.gov

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

DDS reserves the right to appoint an alternate Official Agency Contract if necessary. A formal amendment will be issued to provide contact information for the alternate Official Agency Contact. Proposers will be required to limit their contact regarding the RFP to the person named therein. The amendment will be posted on the State Contracting Portal at: https://www.biznet.ct.gov/SCP_Search/

Proposers may also access the "Provider Gateway (RFP)" link on the State of Connecticut Department of Developmental Services web site at <http://www.ct.gov/dds/site/default.asp?ddssiNav=1> to view the amendment.

- 2. Proposer's Authorized Representatives** (Form 1) Proposers must designate an authorized representative and one (1) alternate. The form is available at <http://www.ct.gov/dds/site/default.asp?ddssiNav=1> under "Provider Gateway (RFP's)" link. The form must be signed by the organization's Chief Executive Officer or another official with signatory authority and submitted as Attachment A. Providers must submit a Proposer's Authorized Representative Form along with the Letter of Intent to enable other staff to communicate with the Department during the open submission period. A new Proposer's Authorized Representative Form may be submitted with the proposal to reflect any changes the provider may wish to make

- 3. RFP Information.** The RFP, amendments to the RFP, and other information associated with this procurement are available in hard copy, upon request from the Official Agency Contact or in electronic format from the Internet at the following locations:

- Department's RFP Web Page
[https:// http://www.ct.gov/dds/site/default.asp?ddssiNav=1](https://http://www.ct.gov/dds/site/default.asp?ddssiNav=1)
 State Contracting Portal
https://www.biznet.ct.gov/SCP_Search/

It is strongly recommended that any proposer or prospective proposer interested in this procurement subscribe to receive e-mail alerts from the State Contracting Portal. Subscribers will receive a daily e-mail announcing procurements and addendums that are posted on the portal. This service is provided as a courtesy to assist in monitoring activities associated with State procurements, including this RFP.

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

- 4. Contract Awards.** The award of any contract pursuant to this RFP is dependent upon the availability of funding to the Department. The Department anticipates the following:

- Total Funding Available: Not to exceed \$500,000.00
- Number of Awards: 1
- Contract Cost: Not to exceed \$500,000.00
- Contract Term: 1 year

- 5. Eligibility.** Qualified DDS ASD Providers are eligible to submit proposals in response to this RFP. An Agency that has been placed on Enhanced Monitoring may be disqualified in accordance with the Enhanced Monitoring Policy.
- 6. Minimum Qualifications of Proposers.** To qualify for a contract award, a proposer must have the following minimum qualifications:
- A. The Principal of the entity must have three (3) years' experience in an administrative capacity for an organization that provides supports and services to individuals with Autism Spectrum Disorder.
 - B. At least one (1) staff member of the Executive Management Team must have at least three (3) years of experience supervising staff providing supports to individuals with Autism Spectrum Disorder.
 - C. Must be an approved qualified provider by DDS.
- 6. Procurement Schedule.** See below. Dates after the due date for proposals ("Proposals Due") are target dates only (*). The Department may amend the schedule, as needed. Any change will be made by means of an amendment to this RFP and will be posted on the State Contracting Portal and, if available, the Department's RFP Web Page.
- RFP Planning Start Date: September 2014
 - RFP Released: April 28, 2015
 - Letter of Intent Due: Not Applicable
 - Deadline for Questions: May 19, 2015
 - Answers Released (Round 1): May 28, 2015
 - RFP Conference: Not Applicable
 - Proposals Due: June 19, 2015
 - (*) Proposer Selection: June 26, 2015
 - (*) Start of Contract: July 20, 2015
- 7. Letter of Intent.** A Letter of Intent (LOI) is not required by this RFP.
- 8. Inquiry Procedures.** All questions regarding this RFP or the Department's procurement process must be directed, in writing, to the Official Contact by 12:00 p.m. on 5/19/15. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or anonymous questions). Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. The Department may combine similar questions and give only one answer. All questions and answers will be compiled into a written amendment to this RFP. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such. The agency will release the answers to questions on the date(s) established in the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Department's RFP Web Page.
- 9. RFP Conference.** An RFP conference will not be held for this RFP
- 10. Proposal Due Date and Time.** The Official Contact is the **only authorized recipient** of proposals submitted in response to this RFP. Proposals must be received by the Official Contact on or before the due date and time:
- Due Date: June 19, 2015
 - Time: 3 p.m.

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

An acceptable submission must include the following:

- one (1) original proposal;
- five (4) conforming copies of the original proposal; and
- one (1) conforming electronic copy of the original proposal.

The original proposal must carry original signatures and be clearly marked on the cover as "Original." Unsigned proposals will not be evaluated. The original proposal and each conforming copy of the proposal must be complete, properly formatted and outlined, and ready for evaluation by the Screening Committee. The electronic copy of the proposal must be compatible with *Microsoft Office Word 2010*. For the electronic copy, required forms and appendices may be scanned and submitted in Portable Document Format (PDF) or similar file format.

11. Multiple Proposals. The submission of multiple proposals is not an option with this procurement

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

13. Conflict of Interest - Disclosure Statement. Proposers must include a disclosure statement concerning any current business relationships (within the last three (3) years) that pose a conflict of interest, as defined by C.G.S. § 1-85. A conflict of interest exists when a relationship exists between the proposer and a public official (including an elected official) or State employee that may interfere with fair competition or may be adverse to the interests of the State. The existence of a conflict of interest is not, in and of itself, evidence of wrongdoing. A conflict of interest may, however, become a legal matter if a proposer tries to influence, or succeeds in influencing, the outcome of an official decision for their personal or corporate benefit. The 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."*

■ D. PROPOSAL FORMAT

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

2. Cover Sheet. The Cover Sheet is Page 1 of the proposal. The proposer must develop a Cover Sheet that includes the information below. *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.

- RFP Name or Number:

- Legal Name:
- FEIN:
- Street Address:
- Town/City/State/Zip:

- Contact Person:
- Title:
- Phone Number:
- FAX Number:
- E-Mail Address:

- Authorized Official:
- Title:
- Signature:

3. Table of Contents. All proposals must include a Table of Contents that conforms with the required proposal outline. (See Section IV.)

4. Executive Summary. Proposals must include a high-level summary, not exceeding 2 pages, of the main proposal and cost proposal.

5. Attachments. Attachments other than the required Appendices or Forms identified in Section IV are not permitted and will not be evaluated. Further, the required Appendices or Forms must not be altered or used to extend, enhance, or replace any component required by this RFP. Failure to abide by these instructions will result in disqualification.

6. Style Requirements. Submitted proposals must conform to the following specifications:

- Binding Type: Loose Leaf, Bound with a Butterfly Clip
- Dividers: No Dividers
- Paper Size: 8 ½ x11, Portrait
- Page Limit: None specified
- Print Style: All pages **except** Financial Statement(s) must be numbered and double-sided
- Font Size: 12
- Font Type: Times New Roman
- Margins: 1" minimum on the top, bottom and sides of all pages
- Line Spacing: Single Space

7. Pagination. The proposer's name must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer. The RFP and all attachments must be paginated in sequential order from beginning to end, even if some attachments have their own pagination system (e.g. the financial audit, annual reports, etc.)

8. Packaging and Labeling Requirements. All proposals must be submitted in sealed envelopes or packages and be addressed to the Official Contact. The Legal Name and Address of the proposer must

appear in the upper left corner of the envelope or package. The RFP Name or Number must appear in the lower left hand corner of the envelope or package. Any received proposal that does not conform to these packaging or labeling instructions will be opened as general mail. Such a proposal may be accepted by the Department as a clerical function, but it will not be evaluated. At the discretion of the Department, such a proposal may be destroyed or retained for pick up by the submitters.

■ E. EVALUATION OF PROPOSALS

- 1. Evaluation Process.** It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful proposers, and awarding contracts, the Department will conform with its written procedures for POS procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85). Only proposals found to be responsive (that is, complying with all instructions listed herein) to this RFP will be evaluated, rated, and scored. The Screening Committee will reject any proposal if the components required by this RFP are not submitted as directed.
- 2. Screening Committee.** The Department will designate a Screening Committee to evaluate proposals submitted in response to this RFP. The contents of all submitted proposals, including any confidential information, will be shared with the Screening Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Screening Committee may result in disqualification of the proposer.
- 3. Minimum Submission Requirements.** All proposals must comply with the requirements specified in this RFP. To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the Proposal Format requirements; (3) follow the required Proposal Outline; and (4) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Department will reject any proposal that deviates significantly from the requirements of this RFP.
- 4. Quality Reviews.** Proposals meeting the Minimum Submission Requirements will be reviewed for quality. The quality review includes the demonstrated commitment to individualized supports for people with disabilities, affirmative action, and organizational profile, statement of work, personnel resources, and proposed cost.
- 5. Review Criteria (and Weights).** The review criteria are the objective standards that the Screening Committee will use to evaluate the merits of the proposals submitted in response to this RFP. Only the criteria listed below will be used to evaluate proposals. Depending on the number of proposals, the Screening Committee may rank the proposals to limit the number of interviews. The top candidates, as determined by the scoring of the Selection Committee, will be interviewed. The criteria are weighted according to their relative importance.
 - Organization: 15%
 - Agency Performance: 15%
 - Support Strategies: 15%
 - Preferences & Relationships: 15%
 - Proposed Time Frames: 10%
 - Staffing Patterns: 15%
 - Budget/Cost Effectiveness: 15%

Note:

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

- 6. Meetings with Proposers.** The Screening Committee may convene meetings with proposers in order to gain a fuller understanding of their proposals. The meetings may involve demonstrations, interviews, presentations or review of sample clinical support plans. The Official Agency Contact will contact proposers to make an appointment. During such meetings, proposals may not be supplemented, changed or corrected in any way. No comments about other proposers or proposals will be permitted. Any and all costs associated with such meetings will be entirely at the proposer's expense. The criteria listed below will be used to evaluate the proposal to determine the top-ranking proposers.
- Support Strategies: 20%
 - Preferences & Relationships: 20%
 - Staffing Patterns: 20%
 - Budget/Cost Effectiveness: 20%
 - Proposed Time Frames: 20%
- 7. Site Visits.** At the discretion of the Screening Committee, committee members may visit a facility of the proposers in order to gain a better understanding of the agency. All site visits will be scheduled through the Official Agency Contract. Neither the Principal of the Entity or any staff from the agency that may be involved in the interview process can be present during the visit. An appearance of the Principal of the Entity or any staff member of the representing the contractor may result in disqualification of the proposer.
- 8. Contractor Selection.** Upon completing its evaluation of proposals, the Screening Committee will submit the rankings of all proposals to the Commissioner. The final selection of a successful proposer is at the discretion of the Commissioner. Any proposer selected will be so notified and awarded an opportunity to negotiate a contract 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. All unsuccessful proposers will be notified by e-mail or U.S. mail, at the Department's discretion, about the outcome of the evaluation and proposer selection process.
- 9. Debriefing.** Within ten (10) days of receiving notification from the Department, unsuccessful proposers may contact the Official Contact and request information about the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the ten (10) days. If unsuccessful proposers still have questions after receiving this information, they may contact the Official Contact and request a meeting with the 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. The Department will schedule and hold the debriefing meeting within fifteen (15) days of the request. The Department will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.
- 10. Appeal Process.** Proposers may appeal any aspect the Department's competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Department head. A proposer may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful proposers about the outcome of the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. The filing of an appeal shall not be deemed sufficient reason for the Department to delay, suspend, cancel, or terminate the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.
- 11. 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.

II. MANDATORY PROVISIONS

■ A. POS STANDARD CONTRACT, PARTS I AND II

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

Part I of the standard contract is maintained by the 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: http://www.ct.gov/opm/fin/standard_contract

Note:

Included in Part II of the standard contract is the State Elections Enforcement Commission's notice (pursuant to C.G.S. § 9-612(g)(2)) advising executive branch State contractors and prospective State contractors of the ban on campaign contributions and solicitations. If a proposer is awarded an opportunity to negotiate a contract with the 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 proposer must inform the proposer's principals of the contents of the SEEC notice.

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

■ B. ASSURANCES

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

1. **Collusion.** The proposer represents and warrants that the proposer did not participate in any part of the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance. The proposer further represents and warrants that no agent, representative, or employee of the State participated directly in the preparation of the proposer's proposal. The proposer also represents and warrants that the submitted proposal is in all respects fair and is made without collusion or fraud.
2. **State Officials and Employees.** The proposer certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFP. The Department may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the proposer, contractor, or its agents or employees.
3. **Competitors.** The proposer assures that the submitted proposal is not made in connection with any competing organization or competitor submitting a separate proposal in response to this RFP. No attempt has been made, or will be made, by the proposer to induce any other organization or competitor to submit, or not submit, a proposal for the purpose of restricting competition. The proposer further assures that the proposed costs have been arrived at independently, without consultation, communication, or agreement with any other organization or competitor for the purpose of restricting competition. Nor has

the proposer knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.

4. **Validity of Proposal.** The proposer certifies that the proposal represents a valid and binding offer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto. The proposal shall remain valid for a period of 180 days after the submission due date and may be extended beyond that time by mutual agreement. At its sole discretion, the Department may include the proposal, by reference or otherwise, into any contract with the successful proposer.
5. **Press Releases.** The proposer agrees to obtain prior written consent and approval of the Department for press releases that relate in any manner to this RFP or any resultant contract.

■ C. TERMS AND CONDITIONS

By submitting a proposal in response to this RFP, a proposer implicitly agrees to comply with the following terms and conditions:

1. **Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.
2. **Preparation Expenses.** Neither the State nor the Department shall assume any liability for expenses incurred by a proposer in preparing, submitting, or clarifying any proposal submitted in response to this RFP.
3. **Exclusion of Taxes.** The Department is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Proposers are liable for any other applicable taxes.
4. **Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.
5. **Changes to Proposal.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Department may request and authorize proposers to submit written clarification of their proposals, in a manner or format prescribed by the Department, and at the proposer's expense.
6. **Supplemental Information.** Supplemental information will not be considered after the deadline submission of proposals, unless specifically requested by the Department. The Department may ask a proposer to give demonstrations, interviews, oral presentations or further explanations to clarify information contained in a proposal. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Department. At its sole discretion, the Department may limit the number of proposers invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per proposer.

7. **Presentation of Supporting Evidence.** If requested by the Department, a proposer must be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. The Department may make onsite visits to an operational facility or facilities of a proposer to evaluate further the proposer's capability to perform the duties required by this RFP. At its discretion, the Department may also check or contact any reference provided by the proposer.
8. **RFP Is Not An Offer.** Neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or the Department or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the Department and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the proposer or for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by the Department and, if required, by the Attorney General's Office.

■ D. RIGHTS RESERVED TO THE STATE

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

1. **Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the Department.
2. **Amending or Canceling RFP.** The Department reserves the right to amend or cancel this RFP on any date and at any time, if the Department 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 Department 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 Department 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 Department may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Department reserves the right to reject the proposal of any proposer who submits a proposal after the submission date and time.
5. **Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.
6. **Contract Negotiation.** The Department reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Department further reserves the right to contract with one or more proposer for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFO) on cost from proposers. The Department may set parameters on any BFOs received.
7. **Clerical Errors in Award.** The Department reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract

with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the proposer.

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

■ E. STATUTORY AND REGULATORY COMPLIANCE

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

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

- 4. Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8 and No. 7C, Para. 10; C.G.S. § 9-612(g)(2).** If a proposer is awarded an opportunity to negotiate a contract with an anticipated value of \$50,000 or more in a calendar or fiscal year, the proposer must fully disclose any gifts or lawful contributions made to campaigns of candidates for statewide public office or the General Assembly. Municipalities and CT State agencies are exempt from this requirement. The gift and campaign contributions certification (OPM Ethics Form 1) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms
IMPORTANT NOTE: The successful proposer must complete and submit OPM Ethics Form 1 to the Department prior to contract execution.

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

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

III. PROGRAM INFORMATION

■ A. DEPARTMENT OVERVIEW

Mission Statement

The Department of Developmental Services (DDS) Mission Statement is displayed in various documents and on the front page of the DDS website, but when was the last time you read it, understood it and practiced its principals. As caregivers, we have a responsibility to uphold our mission to those we serve and their families. We need to hear the voices of those individuals who cannot speak for themselves. Our DDS Self Advocate Coordinators were kind enough to be that voice. Here are their thoughts on what the DDS Mission means.

Presence and participation in Connecticut life

“Everyone has the ability to contribute to their community in a meaningful way. Giving of ourselves helps us to establish a sense of belonging and identify in our own community. Being part of Connecticut town life/Community means, we are equal citizens and have the opportunity to be employed, own our own home, and be involved in all aspects of our town including voting for the people representing us. We want to be a part of our community so we can share and make a difference.”

Opportunities to develop and exercise competence

“We want opportunities to learn and do!”

Opportunities to make choices in pursuit of a personal future

“We have the right to choose our lifestyles, our careers, our friends, and to have positive people around us who support our dreams, goals, and ambitions.”

Good Relationships with family members and friends

“We want to have healthy and safe relationships that support us in every part of our lives. Friends and family are very important and they assist, strengthen and secure who we are and who we want to be. We want support and acceptance to build our own families and leave a mark on the world.”

Respect and dignity

“Everyone has the right to be treated as human beings with respect and dignity. We want to be respected not judged. We understand that we learn from life and that we need to have the right to the dignity of risk. Having control over our lives means we take the responsibility that comes with it. Being respected means others listen to us and understand that we are in control of our own lives.”

The mission may just be words on a page, but those words carry a lot of responsibility, dedication and commitment. To remind all of us of our mission, please print out the DDS Mission and put it in a place where it can be seen and practiced. On your desk, at the back door, inside of the van, on the employee bulletin board, anywhere that the words are not just words, but the words become actions.

The department’s services are also designed to reflect the principles and practices of Self Determination. Self-determination is a national movement about rights and personal freedom. It 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. Individuals may use their individual budgets to hire their own staff, to purchase supports from a traditional agency or from an Agency with Choice, or may select a combination of these approaches.

DDS serves children and adults with both autism and intellectual disabilities in a variety of settings. These include:

Extensive in-home services

Out of home placement

- Community Companion Home (CCH formerly known as CTH)
- Individualized Home Supports (IHS formerly known as Supported Living)
- Continuous Residential Supports (CRS)
- Community Living Arrangement (CLA or group home)
- ICF/MR facilities

Employment

- Competitive Employment
- Individual Supported Employment
- Group Supported Employment
- Work Crew
- Individual Enterprise or Entrepreneurship
- Business Enterprise

Day Support Options

- Community Experience (CEP)
- Opportunities for Older Adults(OOA)
- Retirement Options
- Individualized Day Supports
- Blended programs
- Sheltered workshop

■ B. PROPOSAL OVERVIEW,

1. DDS is seeking proposals from qualified providers to provide up to three (3) specialized inpatient hospital beds for individuals experiencing the most acute and complex ASD and co-occurring psychiatric disorders.
2. Preference will be given to proposers that are able to demonstrate experience serving individuals with Autism Spectrum Disorder.
3. Proposers must have experience working with individuals who have complex autism spectrum and co-occurring psychiatric disorders.
4. Proposers must (1) be an accredited hospital in good standing with the Joint Commission; (2) have sufficient space and appropriate environment for serving persons with ASD across the life span. (3) have sufficient resources to adequately staff and treat persons with ASD and co-occurring psychiatric disorders; (4) have a continuous improvement process to ensure quality services.
5. Proposers must develop a work plan to address operational activities for the development of this program.
6. The successful proposer will be notified on or around **June 29, 2015**.
7. Supports and Services - Outcomes and Measures

The successful proposer shall implement the programs and services described herein to result in the following outcomes. Such outcomes shall be measured in the manner described herein. The Department through the Autism Advisory Council meeting reports will monitor outcome results achieved pursuant to these terms and conditions. The successful proposer will be required to take immediate actions to address any identified deficiencies.

Contracted Programs with Autism Services

Outcomes	Measures
1. Location of specialized inpatient beds both facility address and location of beds within the facility.	July 30 ,2015
2. Staffing pattern of all caregivers	Included with proposal 6/19/15
3. Identification of evidence based treatment program.	8/10/15
4. Training schedule for staff in ASD specific treatment	8/10/15
5. Outline of evidence based treatment program to be utilized.	8/10/15
6. Quality improvement program to be utilized	8/10/15
7. Admittance of first patient	8/10/15
8. 6 month report of utilization rate showing 90 % occupancy for six months	1/15/2016

8. Successful Proposers will receive a 30-day Cash Advance as well as funding for startup in accordance with DDS policies and procedures. Proposers must provide a budget outline for both cash advance and start-up projections.
9. The award will have a maximum amount of \$500,000 per year for one year.

■ C. MAIN PROPOSAL COMPONENTS

1. Organizational Requirements:

- a) *Qualifications.* Provide an overview of your organization including years in operation, mission statement, and the current range of services the organization provides. Describe how your organization meets the required contractor qualifications to this RFP: (1) experience and demonstrate success working with the target population; (2) Board of Directors composition and role in management and oversight; (3) sufficient managerial and administrative support to implement the services required by this RFP in the proposed service area including the ability to meet data submission requirements; (4) sufficient resources to operate the proposed programs; (5) the ability to supervise staff in community settings; (6)

the capacity to provide staff with professional development or training opportunities; and (7) a continuous improvement process to ensure quality services: (8) a copy of the Internal Revenue Service letter that verifies the provider is a 501(3) private non-profit organization.

- b) *Summary of Relevant Experience.* Provide a list of projects that your organization has completed within the last three (3) years in the subject area with emphasis on activities relevant and related to the proposed project.
- c) *Organization Chart.* Provide a diagram showing the hierarchical structure of functions and positions within your organization (Attachment D). Indicate on the diagram where the following functions related to this project will be located: supervision of the Program Manager, contract management, staff development, program development, continuous quality improvement and administrative support.
- d) *Executive Management Personnel.* Provide the names and job titles of the administrator of the organization and the Executive Management Team. Provide a copy of each individual's resume. (Attachment E).
- e) *Proposer Performance Reviews.* Provide documentation to demonstrate that the proposer has provided quality programs and services to individuals with Autism Spectrum Disorder over the past few years. (Attachment F) Include four consumer satisfaction surveys, if available, the two most recent Quality Service Reviews performed by DDS or a similar review completed by another State agency, the most recent CARF/TJC Accreditation (if applicable), any such documentation should be redacted of HIPPA protected information for individuals not associated with the facility or program for which the agency proposal is submitted.
- f) *Service Requirements.* Provide a rationale explaining why your organization is well suited to provide services in the proposed area.
- g) *References.* Include three (3) letters of reference from individuals and/or family members the agency has recently provided supports and services (Attachment H). For the purpose of this RFP, "individual" is defined as an individual with ASD who has been supported by or otherwise benefitted from the proposer's services. Provide the following information for each reference: name, title, address, and telephone number where the person can be reached during daytime hours

2. Scope of Services:

- a) *Proposed Services.* Provide a description of the proposed services to be provided. At a minimum, the description should identify the proposed support, any identified individual specific needs to be provided, staffing, administrative oversight, clinical behavioral supports, nursing oversight, and use of community resources.
- b) *Support Strategies.* Describe how the proposed program will meet the health and safety, behavioral, psychiatric, education, habilitative, and the overall quality of life needs of the people to be served. Detail any specialized services and supports for one or more of the people to be served, which may include medical and nursing services adaptive equipment, recreation, fitness and social needs, unique staff skills, language and cultural needs, etc. Describe how the organization will incorporate the utilization of community services and the development of individual networks of support, including family and friends,

community organizations, self-advocacy opportunities, and social networks that might reduce the reliance on segregated services.

- c) *Personal Preferences and Relationships*. Describe and provide specific examples of how the organization will address the personal preferences and relationships of the people to be served. Detail how the organization will recognize and value the person-centered planning process and the ability of the individual to determine the focus of services. Describe how the individual will be empowered to determine the activities of his/her leisure time, routines, schedules, location, work, hobbies, service providers, etc. Detail how the organization will assist individuals and their families and friends to maintain important relationships.

3. Staffing Plan:

- a) *Staff Plan*. Submit a staffing plan that discussed how and when your organization will hire staff and orient them to your organization, the program, the community, and their roles and responsibilities.
- b) *Recruitment and Retention*. Describe the direct support staff turnover rate, staff recruitment and retention strategies for the agency.
- c) *Staffing Schedule*. Provide a staff schedule for the program. Include the number of staff, what days and hours they will be working (Attachment I)
- d) *Organization Chart for the Program*. Provide an organization chart showing anticipated lines of authority (reporting relationships) of the program staff (Attachment J).
- e) *Key Personnel*. Provide the name and job title of the individual within your organization who will supervise the Program Manager. Provide a copy of this individual's resume (Attachment K). On the organization chart required in Section 3, indicate this individual's location within your organization.

4. Data and Technology Requirements

Provide a description of the agency's computer hardware and Email/Internet capabilities. Describe any technology used to enhance staff effectiveness or improve the efficiency of your organization.

5. Subcontractors

If the proposer plans to use subcontractors, provide a list with the following information:

- Legal Name of Agency or Individual Practitioner, Address, FEIN
- Contact Person, Title, Phone, Fax, E-mail
- Services Currently Provided
- Services to be provided under subcontract

6. Work Plan:

- a) *Work Plan*. Develop a work plan to address operational activities for the development of these beds. The following items should be included in the plan:

1. Location of specialized inpatient hospital beds both facility address and location of beds within the facility
2. Staffing pattern
3. Identification of staff titles and job descriptions
4. Training schedule for staff in ASD specific treatment
5. Outline of evidence based treatment program to be utilized
6. Quality improvement program to be utilize

- b) *Methods*. Describe how your organization will accomplish each step of the work plan, providing a detailed explanation of the procedures or processes that will be used to attain the expected outcomes.
- c) *Timetable* Identify the tasks to be completed in the first 30, 60, 91, 120, 180 and 365 days of the award..

NOTE: The timetable may be amended if mutually agreed upon between the successful proposer and the Department of Developmental Services.

D. COST PROPOSAL COMPONENT

- 1. Financial Condition:** Provide a description of the financial condition of the company. This should include a history of the proposer's experience in managing an operation within budget and managing consumer's individual finances. Describe what credit lines, with the associated financial institutions are available to the proposer to meet its financial needs.
- 2. Budget and Budget Narrative Requirements,** the Department has allocated a maximum annualized financial amount of \$500,000 for these inpatient hospital beds.
 - Include Budget Summary (Form 8)
 - Include a budget narrative to detail operation and administrative expenses. Narrative should include the wage rate structure for staff and supervisors including the starting wage. The budget narrative should provide the background descriptive information for each of the budget lines in the Budget Summary Form.

NOTE: All proposed costs are subject to the standards developed by the State's Office of Policy and Management for the purchase of service (POS). The cost standards must be incorporated into the provisions of all new State awards effective on or after January 1, 2007. Be advised that your organization's cost proposal is subject to revision prior to award in order to ensure compliance with the cost standards. For more information, go to www.ct.gov/opm, click on "Publications," then click on "Purchase of Service (POS) Cost Standards".

IV. PROPOSAL OUTLINE

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d. Résumés of Executive Management : Administrator of the organization and the Executive Management team	
e. Proposer Performance Reviews	
f. Annual Financial Statements (most recent) prepared by an independent Certified Public Accountant (CPA) and reviewed or audited in accordance with Generally Accepted Accounting Principles (GAAP) (USA). If a proposer has been in business for less than two years, such proposer must include any financial statements prepared by a CPA and reviewed or audited in accordance with GAAP (USA) for the entire existence of such firm or corporation.	
g. Three Letters of Reference	
h. Staffing Schedule	
i. Organization Chart	
j. Résumés of Key Personnel	

I. Forms

- Form 1 – Proposer’s Authorized Representatives
- Form 2 – Non Disclosure Form
- Form 3 – Agency Agreement and Assurance Form
- Form 4 – Notification to Bidders, Parts I-V (CHRO)
- Form 5 – Conflict of Interest Form
- Form 6 – Consulting Agreement Affidavit (OPM Ethics Form 5)
- Form 7 – Gift and Campaign Contributions Certification (OPM Ethics Form 1)
- Form 8 – Budget Summary Form

PROPOSER INFORMATION

STATE OF CONNECTICUT Department of Developmental Services

Applicant Agency: _____
Legal Name

Authorized Representatives. Applicants must designate an authorized representative and one (1) alternate. The form must be signed by the organization's Chief Executive Officer or another official with signatory authority.

Authorized Representative:

		() -
Name	Title	Telephone Number
Street	Town	Zip Code
E-mail Address	Facsimile Number	
Normal Working Hours		

Alternate:

		() -
Name	Title	Telephone Number
Street	Town	Zip Code
E-mail Address	Facsimile Number	
Normal Working Hours		

I, the undersigned, for and on behalf of the named applicant agency, do herewith apply for this funding and attest that to the best of my knowledge the statements made herein are true.

Signature of Authorizing Official

Date

Typed Name and Title



State of Connecticut
Department of Developmental Services



Dannel P. Malloy
Governor

Terrence W. Macy, Ph.D.
Commissioner

Joseph W. Drexler, Esq.
Deputy Commissioner

Non-Disclosure Form
HIPAA and Privacy Rights
Acknowledgement and Agreement

The undersigned in submitting a Letter of Intent for _____ to participate
(Name of Proposer)
in a Request for proposal process hereby acknowledges the applicability of HIPAA and state
law protections of DDS client information and agrees that any protected health
information/individually identifiable health information, and any other DDS client information
which is obtained during Participation in the RFP process shall be maintained confidential.
Further the undersigned acknowledges and agrees to return any of the aforementioned
information to DDS if the provider agency is not selected at the conclusion of the RFP process.

Executive Director/Authorized Agent

Date

**Department of Developmental Services (DDS)
2011 RFP
AGREEMENTS AND ASSURANCES**

The undersigned proposer 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 proposer will deliver services to DDS at the cost proposed in the RFP and within the time frames therein.
- c. Neither the proposer or any official of the organization nor any subcontractor to the proposer or any official of the subcontractor's organization has received any notices of debarment or suspension from contracting with the State of Connecticut or the Federal Government.
- d. Neither the proposer or any official of the organization nor any subcontractor to the proposer or any official of the subcontractor's organization has received any notices of debarment or suspension from contracting with other states within the United States.

2. DDS Policies and Procedures

- a. The proposer has read and understands the DDS Policies and Procedures Manual and will adhere to all DDS policies and procedures.
- b. The proposer will participate in the Individual Planning Process and attend regular meetings.
- c. The proposer will seek prior approval from DDS before making any changes to the level of services.
- d. The proposer will seek prior approval from DDS before making any changes to the location of services.
- d. The proposer will follow the Continuous Quality Improvement policies and procedures.

Legal Name of Organization

Authorized Signatory Date

**COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES
CONTRACT COMPLIANCE REGULATIONS
NOTIFICATION TO BIDDERS**

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

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

- (a) the bidder’s success in implementing an affirmative action plan;
- (b) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- (c) the bidder’s promise to develop and implement a successful affirmative action plan;
- (d) the bidder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) the bidder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

INSTRUCTIONS AND OTHER INFORMATION

The following BIDDER CONTRACT COMPLIANCE MONITORING REPORT must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidders’ good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1) Definition of Small Contractor

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

2) Description of Job Categories (as used in Part IV Bidder Employment Information) (Page 2)

<p>MANAGEMENT: Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.</p> <p>BUSINESS AND FINANCIAL OPERATIONS: These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.</p> <p>COMPUTER SPECIALISTS: Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists</p> <p>ARCHITECTURE AND ENGINEERING: Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.</p> <p>OFFICE AND ADMINISTRATIVE SUPPORT: All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, payroll clerks, bill and account collectors, customer service representatives, files clerks, dispatchers, shipping clerks, secretaries and administrative assistants, computer operators, mail clerks, and stock clerks.</p>	<p>BUILDING AND GROUNDS CLEANING AND MAINTENANCE: This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.</p> <p>CONSTRUCTION AND EXTRACTION: This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category..</p> <p>INSTALLATION, MAINTENANCE AND REPAIR: Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.</p> <p>MATERIAL MOVING WORKERS: The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.</p> <p>PRODUCTION WORKERS: The job titles included in this category are chemical production machine setters, operators and tenders; crushing/grinding workers; cutting workers; inspectors, testers sorters, samplers, weighers; precious stone/metal workers; painting workers; cementing/gluing machine operators and tenders; etchers/engravers; molders, shapers and casters except for metal and plastic; and production workers.</p>
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3) Definition of Racial and Ethnic Terms (as used in Part IV Fidler Employment Information) (page 3)

<p>White (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.</p> <p>Black(not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa.</p> <p>Hispanic- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race</p>	<p>Asian or Pacific Islander- All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa.</p> <p>American Indian or Alaskan Native- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.</p>
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BIDDER CONTRACT COMPLIANCE MONITORING REPORT

Part 1 – Bidder Information

<p>Company Name Street Address City & State Chief Executive</p>	<p>Bidder Federal Employer Identification Number _____ Or Social Security Number _____</p>
<p>Major Business Activity (brief description)</p>	<p>Bidder Identification (response optional/definitions on page 1) -Bidder is a small contractor. Yes__ No__ -Bidder is a minority business enterprise Yes__ No__ (If yes, check ownership category) Black__ Hispanic__ Asian American__ American Indian/Alaskan Native__ Iberian Peninsula__ Individual(s) with a Physical Disability__ Female__ - Bidder is certified as above by State of CT Yes__ No__ DAS Certification Number _____</p>
<p>Bidder Parent Company (If any)</p>	
<p>Other Locations in Ct. (If any)</p>	

PART II- Bidder Nondiscrimination Policies and Procedures

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

PART III - Bidder Subcontracting Practices

<p>1. Will the work of this contract include subcontractors or suppliers? Yes__ No__</p> <p>1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)</p> <p>1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes__ No__</p>

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PART IV - Bidder Employment Information

Date:

(page 4)

Job Category*	Overall Totals	WHITE (not of Hispanic Origin)		BLACK (not of Hispanic Origin)		HISPANIC		ASIAN or PACIFIC ISLANDER		AMERICAN INDIAN or ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Management											
Business & Financial Ops											
Marketing & Sales											
Legal Occupations											
Computer Specialists											
Architecture/Engineering											
Office & Admin Support Bldg/Grounds											
Cleaning/Maintenance											
Construction & Extraction											
Installation Maintenance & Repair											
Material Moving Workers											
Production Occupations											
TOTALS ABOVE											
Total One Year Ago											
FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)											
Apprentices											
Trainees											

* NOTE: JOB CATEGORIES CAN BE CHANGED OR ADDED TO (EX; SALES CAN BE ADDED OR REPLACE CATEGORY NOT USED IN YOUR COMPANY)

PART V - Bidder Hiring and Recruitment Practices (Page 5)

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)				2. Check (X) any of the below listed requirements that you use as a hiring qualification (X)	3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination
SOURCE	YES	NO	% of applicants provided by source		
State Employment Service					Work Experience
Private Employment Agencies					Ability to Speak or Write English
Schools and Colleges					Written Tests
Newspaper Advertisement					High School Diploma
Walk Ins					College Degree
Present Employees					Union Membership
Labor Organizations					Personal Recommendation
Minority/Community Organizations					Height or Weight
Others (please identify)					Car Ownership
					Arrest Record
					Wage Garnishments

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

(Signature)	(Title)	(Date Signed)	(Telephone)
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CONFLICT OF INTEREST

This form must be printed on your company letterhead.

I, _____

(Name, Title)

(Organization)

(Address)

certifies that this business entity

does/does not (***circle one***)

have any current business relationships [within the past (3) years] that pose a conflict of interest as defined by Connecticut General Statutes Section 1-85.

Legal Signature

Date

If you circled "does" above, please explain:

Section 1-85. (Formerly Sec. 1-68). Interest in conflict with discharge of duties. *A public official, including an elected state official, or state employee has an interest which is in substantial conflict with the proper discharge of his duties or employment in the public interest and of his responsibilities as prescribed in the laws of this state, if he has reason to believe or expect that he, his spouse, a dependent child, or a business with which he is associated will derive a direct monetary gain or suffer a direct monetary loss, as the case may be, by reason of his official activity. A public official, including an elected state official, or state employee does not have an interest which is in substantial conflict with the proper discharge of his duties in the public interest and of his responsibilities as prescribed by the laws of this state, if any benefit or detriment accrues to him, his spouse, a dependent child, or a business with which he, his spouse or such dependent child is associated as a member of a profession, occupation or group to no greater extent than any other member of such profession, occupation or group. A public official, including an elected state official or state employee who has a substantial conflict may not take official action on the matter.*

STATE OF CONNECTICUT

CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a State contract for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b)

INSTRUCTIONS:

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

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

This affidavit must be amended if the contractor enters into any new consulting agreement(s) during the term of the State contract.

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

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

Consultant's Name and Title	Name of Firm (if applicable)	
Start Date	End Date	Cost
Description of Services Provided:		

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

If YES: _____
Name of Former State Agency Termination Date of Employment

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

Printed Name of Bidder or Vendor Signature of Chief Official or Individual Date

Printed Name (of above) Awarding State Agency

Sworn and subscribed before me on this _____ day of _____, 201__.

Commissioner of the Superior Court or Notary Public

GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2), as amended by Public Act 07-1

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution (and on each anniversary date of a multi-year contract, if applicable).

CHECK ONE: Initial Certification Annual Update (Multi-year contracts only.)

GIFT CERTIFICATION:

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

“Contract” means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;

If this is an Initial Certification, “Execution Date” means the date the Contract is fully executed by, and becomes effective between, the parties; if this is an Annual Update, “Execution Date” means the date this certification is signed by the Contractor;

“Contractor” means the person, firm or corporation named as the contractor below;

“Applicable Public Official or State Employee” means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);

“Gift” has the same meaning given that term in C.G.S. § 4-250(1);

“Planning Start Date” is the date the State agency began planning the project, services, procurement, lease or licensing arrangement covered by this Contract, as indicated by the awarding State agency below; and

“Principals or Key Personnel” means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am the official authorized to execute the Contract on behalf of the Contractor. I hereby certify that, between the Planning Start Date and Execution Date, neither the Contractor nor any Principals or Key Personnel has made, will make (or has promised, or offered, to, or otherwise indicated that he, she or it will, make) any Gifts to any Applicable Public Official or State Employee.

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

CAMPAIGN CONTRIBUTION CERTIFICATION:

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

STATE OF CONNECTICUT

GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Lawful Campaign Contributions to Candidates for Statewide Public Office:

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

Lawful Campaign Contributions to Candidates for the General Assembly:

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

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

Printed Contractor Name
Subscribed and acknowledged before me this _____ day of _____, 201__.

Signature of Authorized Official

Commissioner of the Superior Court (or Notary Public)

For State Agency Use Only

Awarding State Agency Planning Start Date

Contract Number or Description

Budget Summary Form

Proposal Submitted by: _____

Budget for: _____

Administrative and General Expenses:

Salary & Wages	Amount	FTE
Administration		
Business		
Secretarial/Clerical		
Other (Specify)		
Total Salary & Wages		

Non-Salary		
Accounting & Auditing		
Office Supplies (including paper)		
Occupancy Cost (utilities, telephone, repairs, rent, taxes)		
Insurance		
Employee Mileage		
Lease Equipment & Maintenance		
Other (Specify)		
Total Non-Salary		

Employee Benefits	
Total Administrative and General	

Program Costs:

Salaries & Wages	Amount	FTE
Managers		
Supervisors		
Direct Care Staff		
Per Diem/Substitute Staff		
Nursing		
Clinical Staff		
Other (Specify)		
Total Salaries and Wages		

Employee Benefits	Amount
Social Security (FICA)	
Unemployment	
Workers Compensation	
Insurance (Health, Dental, Disability, Lift	

Retirement	
Other (Specify)	
Total Benefits	

Non-Salary	Amount
Contract Personnel	
Occupational Therapy	
Physical Therapy	
Nurse	
Speech	
Behaviorist	
Psychiatry	
Psychology	
Other (Specify)	
Total Non-Salary Contract Personnel	

Supplies and Services	
General Supplies & Services	
Employee Training, Fees and Supplies	
Client Med. & Education & Recreation	
Total Supplies and Services	
Transportation	
Transportation (excluding Vehicle Interest)	
Vehicle Interest	
Total Transportation	
Other (Specify)	
Total Non-Salary	
Total Cost for Program	

Total Cost for Program and Administrative	
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