

# STATE OF CONNECTICUT PROCUREMENT NOTICE



**Request for Proposals (RFP) Log # 2024-0908 For  
Alzheimer's Disease and Related Dementias  
Training Programs for  
1) Healthcare Professionals  
and  
2) Community Professionals**

**Issued by the:  
Connecticut Department of Public Health  
on October 6, 2023**

The Request for Proposal is available in electronic format on the State Contracting Portal by filtering by Organization for the Connecticut Department of Public Health

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

or from the Agency's Official Contact:

Name: Elizabeth Conklin  
Address: 410 Capitol Avenue, Hartford, CT 06134  
E-Mail: [CtBrainHealth@ct.gov](mailto:CtBrainHealth@ct.gov)

The RFP is also available on the Department's website at <http://www.ct.gov/dph/rfp>

**RESPONSES MUST BE RECEIVED NO LATER THAN  
Tuesday, November 21, 2023, 3:00pm EST**

The Connecticut Department of Public Health is an Equal Opportunity/Affirmative Action Employer.

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

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## I. GENERAL INFORMATION

### ■ A. INTRODUCTION

#### 1. **RFP Log # 2024-0908: Alzheimer’s Disease and Related Dementias Training Programs for Healthcare and Community Professionals**

2. **RFP Summary.** The Connecticut Department of Public Health (DPH), Chronic Diseases Unit is seeking proposals from Connecticut public and private organizations and community-based agencies to provide training programs for the Alzheimer’s Disease and Related Dementias (ADRD) Program for medical professionals and community professionals. An anticipated total of approximately \$100,000 annually for a total of \$500,000 of federal Centers for Disease Control and Prevention (CDC) ADRD funds are available to support this project.
- Component 1: Training for Medical Professionals will be supported by \$50,000 annually for 5 funding periods and
  - Component 2: Training for Community Professionals will be supported by \$50,000 annually for 5 funding periods.

Applicants may apply for one or both components of funding; however, if applying for both components, a separate scope of services and budget must be provided.

3. **RFP Purpose.** Over 6 million people in the United States age 65 and older are estimated to have Alzheimer’s disease. That number is projected to grow to 14 million by 2060 as more Americans live into their 80s, 90s and beyond. A recent annual report released by the Alzheimer’s Association (2022) estimated 80,000 people in Connecticut (CT) age 65 and over had Alzheimer’s disease in 2020 and projected this number to grow to 91,000 by 2025. This RFP is seeking trainer(s) with subject matter expertise to conduct educational trainings for two primary audiences in CT’s ADRD workforce: 1) medical and health care professionals and 2) community professionals, including municipal and school staff, emergency responders, public safety staff, personal and health aides, professional caregivers, and community partner agencies that interface with people facing or experiencing ADRD. The shortage of professionals trained to care for people with ADRD is not only a CT concern, but a national and global problem that requires major commitment and resources to build the workforce necessary to adequately meet the needs of people with ADRD.

4. **Commodity Codes.** The services that the Agency wishes to procure through this RFP are as follows:

- 86000000: Education and Training Services

### B. INSTRUCTIONS

1. **Official Contact.** The Agency 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 Agency. Proposers, prospective proposers, and other interested parties

are advised that any communication with any other Agency employee(s) (including appointed officials) or personnel under contract to the Agency about this RFP is strictly prohibited. Proposers or prospective proposers who violate this instruction may risk disqualification from further consideration.

Name: Elizabeth Conklin  
Address: 410 Capitol Avenue, Hartford, CT 06134  
E-Mail: [ctbrainhealth@ct.gov](mailto:ctbrainhealth@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/CTSource> 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
- Notification to Bidders, Parts I-V
- Campaign Contribution Certification (OPM Ethics Form 1):  
<https://portal.ct.gov/OPM/Fin-PSA/Forms/Ethics-Forms>

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

- Agency's RFP Web Page  
<http://www.ct.gov/dph/rfp>
- State Contracting Portal (go to CTsource bid board, filter by Connecticut Department of Public Health)  
<https://portal.ct.gov/DAS/CTSource/BidBoard>

It is strongly recommended that any proposer 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 Agency 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 Agency's RFP Web Page.

- RFP Released: Friday, October 6, 2023
- Letter of Intent Due: Friday, October 13, 2023
- Deadline for Questions: Monday, October 23, 2023
- Answers Released: Monday, October 30, 2023
- Proposals Due: Tuesday, November 21, 2023
- (\*) Proposer Selection: Monday, January 9, 2023

- (\*) Start of Contract (anticipated): May 1, 2024

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

- Total Funding Available: \$100,000 per year (\$50,000 per component)
- Number of Awards: Up to 2
- Contract Cost: Varies
- Contract Term: 5 funding periods (05/01/2024-09/29/2028)
- Funding Source: Centers for Disease Control and Prevention

**6. Eligibility.** Proposals will be accepted from CT public and private organizations (defined as non-state entities that are either nonprofit or proprietary corporations or partnerships), community-based agencies, CT State agencies and municipalities. Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

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

- Proposer must be public, nonprofit, for-profit, or private organizations.
- Proposals must be complete and comply with all requirements specified in the RFP.
- Proposers must be in good standing with the Department and have no longstanding, significant unresolved issues on current or prior contracts with the Department.
- Documented ability to execute the proposed plan of service delivery, including accounting and financial reporting systems and sound fiscal stability.
- Sufficient experienced staff, or the ability to hire qualified personnel, and/or subcontract for services; to execute the proposed plan of service delivery.
- Knowledge and experience coordinating, developing, and conducting capacity building, technical assistance, and training programs serving healthcare and/or community professionals.

**8. Letter of Intent.** A Letter of Intent (LOI) is recommended and preferred, but not 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 must clearly identify the sender, including name, postal address, telephone number, and e-mail address. It is the sender's responsibility to confirm the Agency's receipt of the LOI.

**9. Inquiry Procedures.** All questions regarding this RFP or the Agency's procurement process must 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, the Agency 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 Agency may or may not respond to questions received after the deadline. The Agency 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 Agency will publish any and all amendments to this RFP on the State Contracting Portal and on the Agency's RFP Web Page. At its discretion, the Agency may distribute any amendments to this RFP to prospective proposers who submitted a Letter of Intent.

**10. RFP Conference.** An RFP conference will not be held to answer questions from prospective proposers, but questions received by the deadline will be answered in writing.

**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 November 21, 2023, at 3 pm.

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

**An acceptable submission must include the following:**

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

The proposal must be complete, properly formatted and outlined, and ready for evaluation by the Screening Committee.

The electronic copy of the proposal(s) must be emailed to the official agency contact for this procurement. The subject line of each email must read:

- a. ADRD Training RFP for Healthcare Professionals  
or
- b. ADRD Training RFP for Community Professionals.

Required forms and appendices may be scanned and submitted as PDFs at the end of the main proposal document. Please ensure the entire email submission is less than 25MB as this reflects The Agency's server limitations. Respondents should work to ensure there are not additional IT limitations from their side.

**12. CDC Funding:** This Request for Proposal(RFP) is supported by the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling \$585,000 with 70 percent funded by CDC/HHS and 30 percent funded by non-federal sources. The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

## II. PURPOSE OF RFP AND SCOPE OF SERVICES

### ■ A. DEPARTMENT OVERVIEW

The Connecticut Department of Public Health (DPH) is the state's leader in public health policy and advocacy; the agency is the center of a comprehensive network of public health services and is a partner to local health departments. The agency provides advocacy, training and certification, technical assistance and consultation, and specialty services such as risk assessment that are not available at the local level. The agency is a source of accurate, up-to-date health information to the Governor, the Legislature, the Federal government, and local communities. This information is used to monitor the health status of Connecticut's residents, set health priorities, and evaluate the effectiveness of health initiatives. The agency is focused on health outcomes, maintaining a balance between assuring quality and administrative functions among personnel, facilities, and programs. DPH is a leader on the national scene through direct input to Federal agencies and the United States Congress. The mission of DPH is: To protect and improve the health and safety of the people of Connecticut by:

- Assuring the conditions in which people can be healthy;
- Preventing disease, injury, and disability; and
- Promoting the equal enjoyment of the highest attainable standard of health, which is a human right and a priority of the state.

### ■ B. PROGRAM OVERVIEW

Dementia is an overall term referring to loss of memory, language, problem-solving and other thinking ability severe enough to interfere with everyday life. Dementia develops when brain cells are damaged and cannot communicate with each other normally. When that happens, a person's ability to think, behave, and feel can be affected (Alzheimer's Association, 2022). There are many types of dementia, including Alzheimer's disease, Vascular dementia, Lewy body dementia, Parkinson's disease, Frontotemporal dementia, Huntington's disease, Creutzfeldt-Jakob disease, Normal pressure hydrocephalus, and Wernicke-Korsakoff syndrome (Dementia.org, 2022). Mixed dementia refers to someone having two or more types of dementia.

Alzheimer's disease is the most common type of dementia, accounting for 60-80% of all dementia cases (Alzheimer's Association, 2022). The causes of Alzheimer's disease are not fully understood by scientists. People with Alzheimer's disease have plaques and tangles in their brains that result in loss of neurons and their connections (1 National Institute on Aging, 2019). Plaques are formed by clumps of amyloid proteins that damage brain cells, and tangles are fibrous tangles made up of tau proteins that prevent brain cells from communicating (The Alzheimer's Organization, 2022).

Alzheimer's disease is a progressive disease with worsening symptoms over time. Mild cognitive impairment (MCI) with visible signs of hallmark changes in the brain can be seen as an early stage of Alzheimer's disease, but not everyone with MCI will develop dementia. The stages of Alzheimer's disease are categorized as early-stage (mild), middle-stage (moderate), and late-stage (severe). Individuals with mild Alzheimer's disease may function independently, but experience having memory lapses, such as not remembering familiar words or the location of everyday objects. Other signs of mild symptoms include wandering and getting lost, repeating the same questions, and getting upset and angry more easily. In the moderate stage of Alzheimer's, dementia symptoms become more noticeable. Memory loss and confusion get worse, and those in the moderate stage start having problems recognizing their friends and family. Learning new things, dressing, and coping with new situations become increasingly difficult. They may begin to hallucinate, have delusions,

become paranoid, and/or act impulsively. At this stage, it is often too difficult to perform routine tasks without assistance. People in the severe stage of Alzheimer’s need extensive care as their brain tissue shrinks and memory and cognitive skills deteriorate significantly. They need around-the-clock care and require help with basic activities of everyday living, such as eating, bathing, dressing, and using the bathroom. They become unable to control their movement, and their ability to communicate with others may be lost. Alzheimer’s disease is ultimately fatal (Alzheimer’s Association, 2022; & National Institute on Aging, 2021).

## **Alzheimer’s Disease and Related Dementias (ARD) Training Programs for 1) Healthcare Professionals and 2) Community Professionals**

Background Information: By 2040, an estimated 633,000 CT residents will be 65 or older with more than half at least age 75. (Connecticut State Data Center, 2017). As CT’s population ages and the prevalence of ARD increases, so does the need for a workforce trained to diagnose, treat, and care for those living with ARD. Physicians, nurses, physical therapists, and social workers with specialized training in geriatrics and ARD care will be needed as well as for community health workers, home health aides, caregivers, and personal care aides to assist with ADLs (Activities of Daily Living) or household tasks. The Alzheimer’s Association (2022) reported that in 2021 only 91 geriatricians were practicing in CT. To meet the anticipated needs of 30% of the over-65 population in 2050, CT will need nearly 500 geriatricians. The shortage of professionals trained to care for people with ARD is not only a CT concern, but a national and global problem that requires major commitment and resources to build the workforce necessary to adequately meet the needs of people with ARD.

Program Outcome Goals:

- Increased availability and use of information, tools, resources, and training on ARD topics among healthcare providers and other professionals, which include comprehensive memory screening, diagnosis and disclosure, care for those with ARD, working with care partners, and the delivery of culturally attuned care for patients with ARD,
- Improved workforce capacity to identify and treat persons with ARD,
- Convening an expert panel, education on insurance coverage of memory screening, tools to support interdisciplinary team care, and referral networks to community-based programs.

See our [CT State ARD Plan](#) that discusses the need for an increased workforce and specific workforce training goals within the plan.

### **■ C. SCOPE OF SERVICE DESCRIPTION**

#### **1. Organizational Expectations**

The purpose of this subsection is to state the organizational requirements (beyond eligibility and minimum requirements) for proposers and to offer guidance in providing the necessary information about the proposer’s administrative and operational capabilities.

##### **a. Purpose, Mission, Vision, and History of Organization**

The proposer must provide a brief overview of the history and structure of the organization. The proposer must explain how the proposal will fit into the organization’s overall mission. Proposers with long-standing, significant unresolved



issues on current and/or prior year contracts with DPH may be removed from consideration for additional or future funding.

**b. Entity Type (profit/non-profit, etc.) / Years of Operation**

The proposer must indicate entity type and years of operation. Proposals will be accepted from Connecticut public and private organizations (defined as non-state entities that are either nonprofit or proprietary corporations or partnerships), and community-based agencies. Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

**c. Location of Office(s) or Facilities / Hours of Operation**

The proposer must define all locations where services will be provided and hours of operation, including nontraditional locations and hours.

**d. Accreditation / Certification / Licensure (if applicable)**

Please define any organizational accreditations, certifications or licensure.

**2. Service Expectations - Scope of Services**

- a. All proposers must describe and/or comply with the following service qualification specifications. Proposers may apply for Component 1, Component 2, or Component 1 and 2

**Component 1) Medical professionals and/or  
Component 2) Community professionals.**

**Component 1) Training Services for Healthcare Professionals:** It is expected that the contractor will recruit and train at least 150 healthcare professionals over the course of the contract period statewide on ADRD-related topics identified in an initial needs assessment that are included in the resources under subsection c. below. Preference will be given to organizations that offer **Continuing Medical Education credits (CMEs) or Continuing Education Unit credits (CEUs).**

**Component 2) Training Services for Community Professionals:** It is expected that the contractor will recruit and train at least 80 professionals, such as social workers, police officers, emergency management services staff, community health workers, caregivers, home health aides and personal care aides statewide over the course of the contract period on the specifics of ADRD that are included in the resources under #2 below.

Applicants for either or both components are expected to assess training needs, develop a training plan, identify existing or develop new training curricula, identify existing trainers or hire trainers, plan, implement, and deliver training, including promotion and registration tasks, and evaluate training in order to increase provider's knowledge and improve service provision. Training must be a combination of in person and online based on the needs of the audience to maximize training attendance.

**b. The proposer must describe how they plan to develop and conduct a training needs assessment for Component 1 and/or Component 2.**

The proposer must describe their experience assessing training needs of healthcare professionals and/or community professionals including the types of assessments used, how they are collated, analyzed, and interpreted, and how recommendations are made. Proposals must describe how individuals living with Alzheimer's disease or other dementias and/or organizations who work directly with this population will be included in the needs assessment, development, and delivery of the proposed trainings.

**c. Make recommendations and develop a Training Plan for training based on the assessment.**

This may include use of the following resources or the applicant may research use of others or develop their own:

- Alzheimer's Disease and Related Dementias Resources for Professionals by the National Institute on Aging: <https://www.nia.nih.gov/health/alzheimers-dementia-resources-for-professionals>.
- Alzheimer's Association Education Center Resources on Training: <https://training.alz.org/home>.
- Health Resources and Services Administration Train Health Care Workers About Dementia: <https://bhw.hrsa.gov/alzheimers-dementia-training>.
- National Council of Certified Dementia Practitioners Training for Health Care Professionals, Front Line Staff, First Responders, Correctional Personnel and Trainers, Educators, Government Personnel, Association Staff, Clergy, Support Group Leaders, Elder Care Attorneys, Mobile Dentistry and Hygienist, Ancillary Companies, etc., <https://www.nccdp.org/seminars.htm>.
- National Certification Board for Alzheimer's Care: <https://ncbac.net/>.
- Alzheimer's Disease and Healthy Aging, Training for Health Professionals: <https://www.cdc.gov/aging/services/index.htm>

**d. Experience Providing Training Services to Healthcare and/or Community Professionals**

The proposer must describe the experience the organization and subcontractors have delivering training to healthcare and/or community professionals, especially training regarding older adults. The proposer must describe their experience conducting in person and online trainings and how this has been accomplished. This includes planning, recruitment of trainers, advertising to appropriate audiences, logistical arrangements including event planning of in person training (venue, registration, refreshments, trainers, agenda, evaluation, etc.) and/or logistics of online training (including logistics of computer usage, registration, trainers, agenda, evaluation, etc.)

**e. Training Implementation**

The proposer must describe how training services outlined in this RFP will be implemented and provide a detailed narrative in the proposal. Collaborations and plans to subcontract with other agencies must be clearly defined, including the specific agencies that will provide services and their capacity to do so.

**f. Evaluation of Training Programs**

The proposer must describe the organization and subcontractors have evaluated training programs and trainers. The proposer must explain how evaluation results have been used to improve programming.

**3. Staffing Expectations**

- a. Key Personnel/Managers/Staff Assigned** The proposal must describe the staff assigned to this program. This includes job descriptions, number of hours per week, and hourly rates for all staff funded through this proposal. Resumes must be provided for all professional staff. The profile of staff who will be working in this program must be clear and adequate time allocated to manage the services to be provided.

The proposer must describe the administrative structure and oversight for the program. Identify the coordinator/supervisor and the individuals that will comprise the program and the staff assigned, including the extent to which they have the appropriate training and experience to perform assigned duties. The Proposer must complete and attach the Position Schedule 2a, Attachments Section VI. (Attach resumes and job descriptions for all staff assigned to this proposal as appendices).

**b. Staffing Level and Demographics of Organization Work Force**

The proposer must complete and attach an organizational Work Force Analysis in Attachments Section VI. Application Forms. The proposer must also provide evidence that the proposer will utilize small and minority businesses whenever feasible and appropriate in the purchase of supplies and services.

**c. Organizational Chart**

The proposer must include an organizational chart in Proposal Outline Section VI. Appendices.

**d. Subcontractors:**

For subcontractors, specify the following information for each one:

- Legal Name of Agency, Address, FEIN
- Contact Person, Title, Phone, Fax, E-mail
- Services Currently Provided
- Services to be Provided Under Subcontract
- Subcontractor Oversight
- Subcontract Cost and Term
- Subcontractor Qualifications (see Staffing Requirements above)

**Note.** The proposal must include a completed Subcontractor Schedule A— Detail Form for each subcontractor proposed see Attachments Section VI. Application Forms)

**4. Data and Technology Expectations,**

Successful proposers will clearly describe experience in the following criteria:

**a. E-Mail/Internet Capabilities**

Proposer must define current capabilities as well as system restrictions. Proposers must have access to and be able to access email and the internet for the purposes of data collection and record reporting, as well as for any required or recommended DPH webinars and teleconferences.

**b. IT Infrastructure / Hardware & Software Quality**

Proposer must describe current operating system, including the indication of any staff assigned to IT management. Such individual's name and contact information must be included. Proposer must have the ability to support online training and webinars.

**c. Data Collection / Storage / Reporting**

Proposer will be required to collect training registration information, enrollment data, training evaluation data, and send reports to DPH.

**5. Work Plan**

A comprehensive and realistic work plan must be provided on the Work Plan Form included in Section VI. The work plan must be consistent with the RFP and the project's goals and required activities. The work plan must include specific details about project goals, services to be provided, the responsible staff position and target population for each activity, timeframe for completion, including a project start date, and the expected outcome or measure of success for that activity. Detail should be provided about the relationship and tasks to be performed by each subcontractor.

The applicant organization must prepare a detailed work plan for the first two (2) years of the award Period 1: 5/1/2024-9/29/2024 & Period 2: 9/30/2024-9/29/2025 and a high-level plan for subsequent years (Periods 3, 4, and 5). If funded, the Department will provide feedback and technical assistance to help finalize the work plan post-award. At a minimum the work plan should:

- Describe major strategies and activities to be conducted to meet the proposed program outcomes.
- List objectives that are Specific, Measurable, Achievable, Relevant, and Time-phased (SMART) during the year of the budget period. The applicant should also develop a long-term work plan of overarching goals that will be accomplished over the entire contract project cycle tied to the identified outcome measures.
- Provide a timeline that identifies key activities and assigns approximate dates for inception and completion.
- Describe any collaborations that will be utilized to assist in carrying out the proposed activities.
- Describe staff and administrative roles and functions to support implementation of the award, including subcontractor roles assessment, and evaluation functions.
- Include the anticipated number of persons to be trained.

## **6. Financial Expectations**

The proposer's approach must be addressed as to the extent to which a cost-effective budget correlates to the services provided in each line item or fee for service item and follows eligibility guidelines.

### **a. Financial Controls Procedures**

The proposer must have financial control procedures in place, including Cost Allocation Plan, and Time and Effort reporting system to verify the actual work performed by staff charged to this program. The proposer must have a process in place used by program and fiscal staff to ensure adequate reporting, reconciliation, and tracking of program expenditure by funding source. The proposer must have a process for reimbursing subcontractors, from the time an invoice is received to payment.

### **b. Audited Financial Statements**

The proposer must also define fiscal stability as indicated in the organization's last two years of most recent annual audited financial statements, this includes auditor management letter and corrective action plan if applicable.

### **c. Budget Expectations**

Fiscal Competitiveness

The proposer must describe how the proposal is fiscally competitive, including how staffing and service delivery costs are competitive with similar organizations to attract and maintain qualified staff and provide services in a cost-efficient manner.

Budget Forms

The proposal must contain an itemized budget with justification for each line item on the budget forms included in the Application Forms. A detailed budget is required for each of the five budget periods. Applicants applying for funds under Component 1 and 2 must supply separate budgets.

Funding Period	Funding Year	Component 1	Component 2
1	Ending September 29, 2024	\$50,000 / year	\$50,000 / year
2	September 30, 2024–September 29, 2025	\$50,000 / year	\$50,000 / year
3	September 30, 2025–September 29, 2026	\$50,000 / year	\$50,000 / year
4	September 30, 2026–September 29, 2027	\$50,000 / year	\$50,000 / year
5	September 30, 2027–September 29, 2028	\$50,000 / year	\$50,000 / year

- i. For an Itemized budget, all costs (travel, printing, supplies, etc.) must be included in the proposal. Competitiveness of the budget will be considered as part of the proposal review process and the administrative cap is 15%.
- ii. For an itemized budget please complete and attach the budget summary and budget justification forms in Attachments Section VI. Application Forms. Add pages to the required forms as needed in the format provided.
- iii. The State of Connecticut is exempt from the payment of excise, transportation and sales taxes imposed by the Federal and/or State government. Such taxes must not be included in contract prices.
- iv. The maximum amount of the bid may not be increased after the proposal is submitted. All cost estimates will be considered as “not to exceed” quotations against which time and expenses will be charged.
- v. The proposed budget is subject to change during the contract award negotiations based on availability of funds.

Component 1:

Funding in the amount of \$50,000 per year is available for 5 funding periods, beginning approximately May 1, 2024, through September 29, 2028. \*

Component 2:

Funding in the amount of \$50,000 per year is available for 5 funding periods, beginning approximately May 1, 2024, through September 29, 2028. \*

\*The Department reserves the right to decrease the amount of funding and the timeframe associated with the first funding period (ending 9/29/2024) to account for the administrative timeframe necessary for contract negotiations and execution.

■ **D. PERFORMANCE MEASURES**

The following performance metrics highlight key priorities that will be analyzed with providers collaboratively during the life of the contract. This is not an exhaustive list, but rather an indication of significant performance metrics of interest to The Agency. The Agency looks forward to working with providers to define additional important performance metrics.

<b>Performance Measures</b>	<b>Outcomes</b>
The training assessment will assess subject areas that medical professionals and community professionals report preferring training in.	The training assessment will result in at least 5-6 subject areas that medical professionals and/or community professionals prefer training in.
Training for Medical Professionals will improve knowledge, skills, and ability to care for patients with ADRD and support their care partners.	At least 75% of those trained will report their knowledge, skills, and abilities and have increased as a result of training.
Training for Community Professionals will improve knowledge, skills, and ability to support patients with ADRD and their care partners within their community	At least 75% of those trained will report their knowledge, skills, and abilities and have increased as a result of training.
Evaluations will be administered and reflect that trainees are satisfied with trainings.	75% of evaluations will report a rating of satisfactory or higher.

■ **E. CONTRACT MANAGEMENT/DATA REPORTING**

As part of the State’s commitment to becoming more outcomes-oriented, the Connecticut Department of Public Health, seeks to actively and regularly collaborate with providers to enhance contract management, improve results, and adjust service delivery and policy based on learning what works. Reliable and relevant data is necessary to ensure compliance, inform trends to be monitored, evaluate results and performance, and drive service improvements. As such, Connecticut Department of Public Health reserves the right to request/collect other key data and metrics from providers.

- Monthly meetings with DPH.
- Written quarterly narratives corresponding to expectations in contract including Workplan updates
- Monthly data reports on Training events including # of registrants, titles, roles, place of employment, type of training, and aggregated evaluations of trainings.

### 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.** Proposers must complete and use the Cover Sheet form provided by the DPH in Section VI. Attachments and indicate whether the proposal is for 1) Training for Healthcare Professionals or 2) Training for Community Professionals or both 1) and 2).
- 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 summary must also include the organization’s eligibility and qualifications to respond to this RFP. The Executive Summary must include a brief description of the proposed service delivery including needs to be addressed, proposed services, and the proposed cost.
- 5. 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: 8.5” x 11”
  - Page Limit: 2-page limit Executive Summary, 12-page limit Main Proposal Components, this does not include Required Forms and Attachments
  - Font Size: No smaller than 12-point type
  - Font Type: Easily readable (e.g. Arial, Times New Roman, Verdana)
  - Margins: No less than 0.5” top, bottom, left and right margins
  - Line Spacing: 1.5 line spacing
- 7. Pagination.** The proposer’s name must be displayed in the header of each page. All pages of the main proposal, must be numbered in the footer, excluding the required Appendices and Forms.
- 8. Packaging and Labeling Requirements.** All proposals must be e-mailed by 3:00 PM on the submission due date and be addressed to the Official Contact. The RFP Name must be clearly displayed in the subject line. Any received proposal that does not conform to these instructions will be considered general mail. Such a proposal may be accepted by the Department as a clerical function, but it will not be evaluated.

**9. 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 the Application Forms VI 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).

**10. 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 Agency 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 Agency 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 Agency 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 Agency will designate a Review Committee to evaluate proposals submitted in response to this RFP. The Review Committee will be composed of individuals, Agency 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 recommendations for awards. The Commissioner of DPH will make the final selection. Requirements by score and rank ordered will result in



recommendations for awards. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Review Committee may result in disqualification of the proposer.

**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) meet the Eligibility and Qualification requirements to respond to the procurement, (4) follow the required Proposal Outline; and (5) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Agency will reject any proposal that deviates significantly from the requirements of this RFP.

- **Proposers with significant outstanding unresolved issues on current and/or prior year contracts with DPH or other state agencies may be removed from consideration for additional or future funding.**

**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.

- Organizational Profile (10 points)
- Scope of Service (30 points)
- Staffing Plan (15 points)
- Data and Technology (10 points)
- Work Plan (20 points)
- Financial Profile and Budget (15 points)

**Note:**

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

**5. Proposer Selection.** Upon completing its evaluation of proposals, the Review Committee will submit the rankings of all proposals to the Commissioner or Agency Head. The final selection of a successful proposer is at the discretion of the Commissioner or Agency Head. Any proposer selected will be so notified and awarded an opportunity to negotiate a contract with the Agency. Such negotiations may, but will not automatically, result in a contract. 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 Agency's discretion, about the outcome of the evaluation and proposer selection process. The Agency reserves the right to decline to award contracts for activities in which the Commissioner or Agency Head considers there are not adequate respondents.

**6. Debriefing.** Within ten (10) days of receiving notification from the Agency, 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 Agency 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 Agency may schedule and hold the debriefing meeting within fifteen

(15) days of the request. The Agency will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.

- 7. Appeal Process.** Proposers may appeal any aspect the Agency's competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Agency 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 Agency to delay, suspend, cancel, or terminate the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.
- 8. Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Agency's contracting procedures, which may include approval by the Office of the Attorney General. Fully executed and approved contracts will be posted on State Contracting Portal and the Agency website.

## IV. PROPOSAL SUBMISSION OUTLINE AND REQUIREMENTS

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### 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

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#### ***A: Cover Sheet***

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

- RFP Name or Number:
- Legal Name:
- FEIN (not required for currently contracted providers/vendors):
- 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: Proposer Executive Summary**

The page limitation for this section is 2 pages briefly describing how the Respondent meets the eligibility and qualification 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 12 pages** (all appendices and other attachments should be referred to in section D and then placed in section E. The Agency Review Committee will not read proposals longer than 12 pages in this section.

#### **1. Organizational Requirements Profile (10 points)**

- a. Overview of the history and structure of the organization
  - i. Purpose, Mission, Vision, and History of Organization
  - ii. Entity Type / Parent Organization / Years of Operation
  - iii. Location of Offices / Facilities
  - iv. Accreditation / Certification / Licensure
- b. How this proposal will fit into the organization's overall mission and meet the intent of this RFP
- c. History of past affiliation with Training Programs
- d. Indicate whether the agency is incorporated, the type of agency applying for funding, the fiscal year for the proposed agency, federal ID number and/or town code and, Medicaid number, and if registered as a Connecticut Minority Business Enterprise and /or Women Business Enterprise

#### **2. Service Expectations-Scope of Services (30 points)**

- a. Describe how the applicant will recruit and train the minimum number of participants over the course of the contract period on the specifics of ADRD for Component 1 and/or Component 2. Preference will be given to organizations that offer CMEs/CEUs for healthcare professionals and who describe how they will engage individuals or organizations who work with individuals living with Alzheimer's disease or other dementias.
- b. Describe how the applicant will develop and conduct a training needs assessment for Component 1 and/or Component 2.
- c. Describe how the applicant will make recommendations and develop a Training Plan for training based on the assessment.
- d. Describe the experience the applicant and subcontractors have delivering training to healthcare and/or community professionals, especially training regarding older persons. The proposer must describe their experience conducting either in person and online trainings and how this has been accomplished. This includes planning, recruitment of trainers, advertising to appropriate audiences, logistical arrangements including event planning of in person training (venue, registration, refreshments, trainers, agenda, evaluation, etc.) and/or logistics of online training also include registration, trainers, agenda, evaluation, etc.)

- e. Describe how training services outlined in this RFP will be implemented and provide a detailed narrative in the proposal. If applicable, describe collaborations and plans to subcontract with other agencies and clearly define including the specific agencies who will provide services and their capacity to do so.
- f. Describe how the organization and subcontractors have evaluated training programs and trainers. The proposer must explain how evaluation results have been used to improve programming.

### 3. Staffing Expectations, (15 points)

#### a. Key Personnel/Managers/Staff Assigned

Describe the staff assigned to this program. This includes job descriptions, number of hours per week, and hourly rates for all staff funded through this proposal. Resumes must be provided for all professional staff. The profile of staff who will be working in this program must be clear, and adequate time allocated to manage the services to be provided.

The proposer must describe the administrative structure and oversight for the program. Identify the coordinator/supervisor and the individuals that will comprise the program and the staff assigned, including the extent to which they have the appropriate training and experience to perform assigned duties. The Proposer must complete and attach the Position Schedule 2a, Attachments Section VI. (Attach resumes and job descriptions for all staff assigned to this proposal as appendices).

#### b. Staffing Level and Demographics of Organization Work Force

The proposer must complete and attach an organizational Work Force Analysis in Attachments Section VI. Application Forms. The proposer must also provide evidence that the proposer will utilize small and minority businesses whenever feasible and appropriate in the purchase of supplies and services.

#### c. Organizational Chart

The proposer must include an organizational chart in Proposal Outline Section VI Attachments/Appendices.

#### d. Subcontractors:

For subcontractors, specify the following information for each one:

- Legal Name of Agency, Address, FEIN
- Contact Person, Title, Phone, Fax, E-mail
- Services Currently Provided
- Services to be Provided Under Subcontract
- Subcontractor Oversight
- Subcontract Cost and Term
- Subcontractor Qualifications (see Staffing Requirements above)

**Note.** The proposal must include a completed Subcontractor Schedule A— Detail Form for each subcontractor proposed see Attachments Section VI. Application Forms)

### 4. Data and Technology Expectations (10 points)

Successful proposers will clearly describe experience in the following criteria:

**a. E-Mail/Internet Capabilities**

Define current capabilities as well as system restrictions. Proposers must describe access to and describe access to email and the internet for the purposes of data collection and record reporting, as well as for any required or recommended DPH webinars and teleconferences.

**b. IT Infrastructure / Hardware & Software Quality**

Describe your current operating system, including the indication of any staff assigned to IT management. Such individual's name and contact information must be included. Proposer must describe their ability to support online training and webinars.

**c. Data Collection / Storage / Reporting**

Describe your ability to collect training registration information, enrollment data, training evaluation data, and to send reports to DPH.

**5. Workplan (20 points)**

A comprehensive and realistic work plan must be provided on the Work Plan Form included in Section VI. The work plan must be consistent with the RFP and the project's goals and required activities. The work plan must include specific details about project goals, services to be provided, the responsible staff position and target population for each activity, timeframe for completion, including a project start date, and the expected outcome or measure of success for that activity. Detail should be provided about the relationship and tasks to be performed by each subcontractor.

The applicant organization must prepare a detailed work plan for the first two (2) years of the award Period 1: 5/1/2024-9/29/2024 & Period 2: 9/30/2024-9/29/2025 and a high-level plan for subsequent years (Periods 3, 4, and 5). If funded, the Department will provide feedback and technical assistance to help finalize the work plan post-award. At a minimum the work plan should:

- Describe major strategies and activities to be conducted to meet the proposed program outcomes.
- List objectives that are Specific, Measurable, Achievable, Relevant, and Time-phased (SMART) during the year of the budget period. The applicant should also develop a long-term work plan of overarching goals that will be accomplished over the entire contract project cycle tied to the identified outcome measures.
- Provide a timeline that identifies key activities and assigns approximate dates for inception and completion.
- Describe any collaborations that will be utilized to assist in carrying out the proposed activities.
- Describe staff and administrative roles and functions to support implementation of the award, including subcontractor roles assessment, and evaluation functions.
- Include the anticipated number of persons to be trained.

**6. Financial Expectations (15 points)**

- a. Financial Profile & Expectations (5 points)
  - i. Annual Budget and Revenues
  - ii. Financial Control Procedures
  - iii. Revenue Generation / Billing / Third Party Reimbursement
  - iv. History of Violations (financial or programming)
  - v. Audited Financial Statements for the last 2 years

**b. Budget Expectations (10 points)**

**a. Itemized Budget**

Include itemized budget. Complete and attach the budget summary and justification forms (See Attachments Section VI.).

- i. Include subcontractors Cost
- ii. Include copies of state set aside certifications for small and/or minority business

**8. Attachments-Forms included**

**9. Appendices**

- a. Job descriptions
- b. Staff / Resumes
- c. Organizational Chart
- d. Audited Financial Statements

Attachments other than the required attachments identified are not permitted and will not be evaluated. See the Proposal Checklist in the Appendix 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 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***

Place after Conflict of Interest-Disclosure Statement. Sign and return in the Appendices.

## 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: [http://www.ct.gov/opm/fin/standard\\_contract](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 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 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 Agency 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 Agency 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 Agency 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 Agency 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 Agency may request and authorize proposers to submit written clarification of their proposals, in a manner or format prescribed by the Agency, 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 Agency. The Agency 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 Agency. At its sole discretion, the Agency 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 Agency, 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 Agency 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 Agency 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 Agency 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 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 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 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 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 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 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 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 proposer for such services. After reviewing the scored criteria, the Agency may seek Best and Final Offers (BFO) on cost from proposers. 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 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 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 proposer'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 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 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 [https://seec.ct.gov/Portal/data/forms/ContrForms/seec\\_form\\_11\\_notice\\_only.pdf](https://seec.ct.gov/Portal/data/forms/ContrForms/seec_form_11_notice_only.pdf)
- 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 bidder or proposer 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 proposer or the next lowest responsible qualified bidder 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 bidder is awarded an opportunity to negotiate a contract, the proposer must provide the State agency with *written representation* in the resulting contract that certifies the bidder 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 bidder or vendor refuses to agree to this representation, such bidder 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 bidder 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

BFO	Best and Final Offer
CDC	Centers for Disease Control and Prevention
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CT	Connecticut
DAS	Department of Administrative Services (CT)
FOIA	Freedom of Information Act (CT)
IRS	Internal Revenue Service (US)
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
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States

- *ADRD*: Alzheimer’s Disease and Related Dementias
- *contractor*: a private provider organization, CT State agency, or municipality that enters into a POS contract with the Agency as a result of this RFP
- *dementia*: condition characterized by progressive or persistent loss of intellectual functioning, especially with impairment of memory and abstract thinking, and often with personality change, resulting from organic disease of the brain.
- *proposer*: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Agency 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 Agency in response to this RFP, but has not yet done so
- *subcontractor*: an individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific health or human service as part of a POS contract with the Agency as a result of this RFP

**B. STATEMENT OF ASSURANCES**

Connecticut Department of Public Health

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 or any official of the organization nor any subcontractor the Respondent or 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 or any official of the organization nor any subcontractor to the Respondent 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.

Legal Name of Organization:

\_\_\_\_\_  
Authorized Signatory

\_\_\_\_\_  
Date

## C. PROPOSAL CHECKLIST

To assist respondents in managing proposal planning and document collation processes, this document summarizes key dates and proposal requirements for this RFP. Please note that this document does not supersede what is stated in the RFP. Please refer to the Proposal Submission Overview, Required Proposal Submission Outline, and Mandatory Provisions (Sections II, III, and IV of this RFP) for more comprehensive details. It is the responsibility of each respondent to ensure that all required documents, forms, and attachments, are submitted in a timely manner.

### **Key Dates**

<b><u>Procurement Timetable</u></b>		
The Agency reserves the right to modify these dates at its sole discretion.		
Item	Action	Date
1	RFP Released	October 6, 2023
2	Letter of Intent	October 13, 2023
3	Deadline for Questions	October 23, 2023
4	Answers Released	October 30, 2023
5	Proposals Due	November 21, 2023, by 3:00 PM
6	Start of Contract	Estimated: May 1, 2024

### **Registration with State Contracting Portal (if not already registered):**

- Register at: <https://portal.ct.gov/DAS/CTSource/Registration>
- Submit Campaign Contribution Certification (OPM Ethics Form 1):  
<https://portal.ct.gov/OPM/Fin-PSA/Forms/Ethics-Forms>

### **Proposal Content Checklist**

- Cover Sheet** including required information:
- Table of Contents**
- Executive Summary:** high-level summary of proposal and cost
- Main proposal body answering all questions with relevant attachments.**  
*Proposers should use their discretion to determine whether certain required information is sufficiently captured in the body of their proposal.*

### **Proposal Content Checklist**

- Cover Sheet** including required information:
- Table of Contents**
- Executive Summary:** high-level summary of proposal and cost
- Main proposal body,** answering all questions with relevant attachments.
- Budget Summary, Budget Justification,** Schedule B Form, Position Schedule 2a, Subcontractor Schedule A-Detail
- Agency and program organizational chart detailing Reporting Structure, Staff resumes, and applicable licenses
- Work Plan Form

### **Formatting Checklist**

- Is the proposal formatted to fit 8 ½ x 11 (letter-sized) paper?
- Is the main body of the proposal within the page limit?
- Is the proposal in 12-point font (Verdana, Arial, Time New Roman)
- Does the proposal format follow normal (>0.5 inch) margins and 1.5 line spacing?



- Does the proposer's name appear in the header of each page?
- Does the main proposal include page numbers in the footer?
- Are page limits adhered to?
- Are confidential labels applied to sensitive information (if applicable)?

**D. APPLICATION FORMS**

**COVER SHEET**

**REQUEST FOR PROPOSAL  
RFP DPH Log# 2024-0909**

**CONNECTICUT DEPARTMENT OF PUBLIC HEALTH**

**Applicant Information**

Applicant Agency: \_\_\_\_\_

Legal Name

\_\_\_\_\_

Address

\_\_\_\_\_

City/Town

State

Zip Code

Telephone No. \_\_\_\_\_

FAX No. \_\_\_\_\_

Email Address \_\_\_\_\_

Contact Person: \_\_\_\_\_ Title: \_\_\_\_\_

Telephone No: \_\_\_\_\_

**TOTAL PROGRAM COST: \$** \_\_\_\_\_

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

\_\_\_\_\_  
Authorizing Official: \_\_\_\_\_ Date \_\_\_\_\_ Signature of  
\_\_\_\_\_  
Typed Name and Title

The applicant agency is the agency or organization, which is legally and financially responsible and accountable for the use and disposition of any awarded funds. Please provide the following information:

- Full legal name of the organization or corporation as it appears on the corporate seal and as registered with the Secretary of State
- Mailing address
- Main telephone number
- Fax number, and email address, if any
- Principal contact person for the application (person responsible for developing application)

The funding application and all required submittals must include the signature of an officer of the applicant agency who has the legal authority to bind the organization. The signature, typed name and position of the authorized official of the applicant agency must be included as well as the date on which the application is signed.

**Applicant Information Form (continuation)**

PLEASE LIST THE AGENCY CONTACT PERSONS RESPONSIBLE FOR COMPLETION AND SUBMITTAL OF:

**Contract and Legal Documents/Forms:**

Name	Title	Tel. No.
Street	Town	Zip Code
Email		Fax No.

**Program Progress Reports:**

Name	Title	Tel. No.
Street	<b>Town</b>	Zip Code
Email		Fax No.

**Financial Expenditure Reporting Forms:**

Name	Title	Tel. No.
Street	Town	Zip Code
Email		Fax No.

**Incorporated:**  YES  NO

**Agency Fiscal Year:**

**Type of Agency:**  Public  Private  Other,  
Explain:

Profit  Non-Profit

**Federal Employer I.D. Number:**

**Town Code No:**

**Medicaid Provider Status:**  YES  NO

**Medicaid Number:**

**Minority Business Enterprise (MBE):**  YES  NO

**Women Business Enterprise (WBE):**  YES  NO

---

**A. Budget Summary Instructions**

**1. Position Schedule #2a**

- a. Complete the schedule for all positions to be funded even if currently vacant.
- b. Complete one Position Schedule #2a for each Program/Fund to be included in the Budget.

**2. Personnel (lines #1 - #2)**

- a. Line #1 **Salary and Wages**: Enter the total salary charged, as listed on Position Schedule 2a.
- b. Line #2 **Fringe Benefits Line**: Enter the total fringe benefits charged, as listed on Position Schedule 2a.

**3. Line #8 Contractual (Subcontracts):** Provide the total of all subcontracts and complete Subcontractor Schedule.

**4. Lines #3 - #7, #9, and #10:** Complete categories as appropriate,

**5. Line #11:** Other Expenses are any other types of expense that do not fit into the categories listed.

For example: Equipment. Please note that the state's definition of equipment is tangible personal property with a normal useful life of at least one year and a value of at least \$5,000 or more.

**6. Audit Costs:** The cost of audits made in accordance with OMB Circular A133 (Federal Single Audit) are allowable charges to Federal awards. The cost of State Single Audits (CGS 4-23 to 4-236) are allowable charges to State awards. Audit costs are allowable to the extent that they represent a pro-rata share of the cost of such audit. Audit costs charged to Department of Public Health contracts **must be budgeted, reported and justified as an audit cost line item within the Administrative and General Cost category.**

**7. Administrative and General Costs, Line Item #12**

- a. Are defined as those costs that have been incurred for the overall executive and administrative offices of the organization or other expenses of a general nature that do not relate solely to any major cost objective of the overall organization. Examples of A&G costs include salaries of executive directors, administrative & financial personnel, accounting, auditing, management information systems, proportional office costs such as building occupancy, telephone, equipment, and office supplies. Please review the OPM website on Cost Standards for more information at: [http://www.opm.state.ct.us/finance/pos\\_standards/coststandards.htm](http://www.opm.state.ct.us/finance/pos_standards/coststandards.htm).
- b. **Administrative and General Costs** must be itemized on the Budget Justification Schedule. Costs that have a separate line item in the Budget Summary may not be duplicated as an Administrative and General Cost. For example, if the Budget Summary includes an amount for telephone costs, this cannot also be included as an Administrative and General Cost.

**8. Other Program Income** list any other program income, if appropriate, such as in-kind contributions, fees collected, or other funding sources and include brief explanation on Budget Justification.

**9. Multiple Funding Period Contracts:** Please complete a full budget for each Funding Period of the contract, clearly indicating the Period on each form. Absent other instructions, assume level funding for the second year.

**B. Budget Justification Schedule B**

1. Please provide a brief explanation for each line item listed on the Budget Summary. This must include a detailed breakdown of the components that make up the line item and any calculation used to compute the amount.

Line Item (Description)	Amount	Justification - Breakdown of Costs
Travel	\$730	1,659 miles @ .44 = \$730.00 outreach workers going to meetings and site visits.

2. For contractors who have subcontracts, a brief description of the purpose of each subcontract must be provided. Use additional sheets as necessary.

*\*\*\*Please note: If Laboratory Services is a line item on the primary or subcontract budget, please supply a justification as to why a private laboratory is being used as opposed to the Connecticut State Laboratory.*

**C. Subcontractor Schedule A--Detail**

1. All subcontractors used by each program must be included, if it is not known who the subcontractor will be, an estimated amount and whatever budget detail is anticipated should be provided. (Submit the actual detail when it is available). A separate subcontractor schedule must be completed for each program included in the contract. For example: The contract is providing both a Needle Exchange program and an AIDS Prevention Education Program and Subcontractor "A" is providing services to both program there must be a separate budget for Subcontractor "A" for each.

2. Detail of Each Subcontractor:

a. Choose a category below for each subcontract using the basis by which it is paid:

A. Budget Basis       B. Fee for Service       C. Hourly Rate.

b. Choose whether the subcontractor is a minority or woman owned a business:

c.  MBE       WBE       Neither

d. Provide the detail for each subcontract just as for the primary contract budget referencing the corresponding program of the contract. Detail must be provided for each subcontractor listed in the Summary.

Note: If space allowed is not sufficient for large or complex subcontract budgets, the primary Budget Summary format may be copied and used instead.

**Budget Summary Form**

**Applicant's Organization Name**

**FUNDING PERIOD 1: 5/1/2024 to 9/29/2024**

**Contract Period: 5/1/2024 to 9/29/2028**

**Budget Summary**

/Program:	Name	Total
<b>1. Salaries &amp; Wages</b>		
<b>2. Fringe Benefits</b>		
<b>3. Travel</b>		
<b>4. Training</b>		
<b>5. Educational Materials</b>		
<b>6. Office Supplies</b>		
<b>7. Medical Materials</b>		
<b>8. Contractual (Sub-Contracts)**</b>		
<b>9. Telephone</b>		
<b>10. Advertising</b>		
<b>11. Other Expenses (list)</b>		
<b>a.</b>		
<b>b.</b>		
<b>c.</b>		
<b>d.</b>		
<b>e.</b>		
<b>f.</b>		
<b>g.</b>		
<b>h.</b>		
<b>i.</b>		
<b>12. Administrative and General Costs</b>		
<b>Total DPH Grant</b>		
<b>Other Program Income</b>		

\*\*Complete Sub-contractor Schedule A

**Budget Justification Schedule B\***

**Applicant's Organization Name**

**FUNDING PERIOD 1: 5/1/2024 to 9/29/2024**

**Contract Period: 5/1/2024 to 9/29/2028**

**Budget Justification Schedule B  
Program/Site:**

<b>Line Item (Description)</b>	<b>Amount</b>	<b>Justification including Breakdown of Costs</b>

**Position Schedule #2a**

**Applicant's Organization Name**

**FUNDING PERIOD 1: 5/1/2024 to 9/29/2024**

**Contract Period: 5/1/2024 to 9/29/2028**

**Position Schedule #2a**

**Program/Fund:**

<b>Position Description and Staff Person Assigned</b>	<b>Site/ Location</b>	<b>Hours wk/ wks per Year</b>	<b>Hourly Rate</b>	<b>Total Salary Charged</b>	<b>Fringe Benefit Rate %</b>	<b>Total Fringe Benefits</b>
1.Position: Name:		/			%	
2.Position: Name:		/			%	
3.Position: Name:		/			%	
4.Position: Name:		/			%	
5.Position: Name:		/			%	
6.Position: Name:		/			%	
7.Position: Name:		/			%	
8.Position: Name:		/			%	
9.Position: Name:		/			%	
10.Position: Name:		/			%	
11.Position: Name:		/			%	
12.Position: Name:		/			%	
13.Position: Name:		/			%	
14.Position: Name:		/			%	
15.Position: Name:		/			%	
16.Position: Name:		/			%	
<b>Totals</b>						

**\*Attach resumes and job descriptions for all Professional Staff**



## Subcontractor Schedule A-Detail

**Applicant's Organization Name**

**FUNDING PERIOD 1: 5/1/2024 to 9/29/2024**

**#1**

Subcontractor Name:

Address:

Telephone: (     ) (     -     )

Select One: **A**  Budget Basis    **B**  Fee-for-Service    **C**  Hourly Rate

Indicate One:     MBE         WBE         Neither

<b>Program:</b>	<b>Name</b>	<b>Total</b>
<b>Fund:</b>		
Line Item(s)		
<b>Total Subcontract Amount:</b>		

**#2**

Subcontractor Name:

Address:

Telephone: (     ) (     -     )

Select One: **A**  Budget Basis    **B**  Fee-for-Service    **C**  Hourly Rate

Indicate One:     MBE         WBE         Neither

<b>Program:</b>	<b>Name</b>	<b>Total</b>
<b>Fund:</b>		
Line Item(s)		
<b>Total Subcontract Amount:</b>		

**#3**

Subcontractor Name:

Address:

Telephone: (     ) (     -     )

Select One: **A**  Budget Basis    **B**  Fee-for-Service    **C**  Hourly Rate

Indicate One:     MBE         WBE         Neither

<b>Program:</b>	<b>Name</b>	<b>Total</b>
<b>Fund:</b>		
Line Item(s)		
<b>Total Subcontract Amount:</b>		

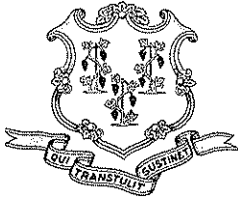
**Work Plan Form**

Year 1 May 1, 2024 through September 29, 2024  
(Duplicate as needed and for subsequent years.)

<b>Activities</b>	<b>Staff Responsible</b>	<b>Deliverables</b>	<b>Time Frame (Quarter 1,2,3 or 4)</b>



**STATE OF CONNECTICUT**  
**DEPARTMENT OF PUBLIC HEALTH**



OFFICE OF COMMISSIONER

**AFFIRMATIVE ACTION**  
**CONTRACT COMPLIANCE POLICY**  
**STATEMENT**

The Department of Public Health (DPH) is an Affirmative Action/Equal Employment Opportunity employer, in compliance with all state and federal laws and shall comply with the Contract Compliance Regulations and CGS 4a-60 Nondiscrimination and affirmative action provisions in contracts of the state and political subdivisions other than municipalities. Consistent with the Contract Compliance Regulations of Connecticut State Agencies, Sections 46a-68j-21 through 46a-68j-43, DPH encourages bidders, contractors, subcontractors, and suppliers to:

- Develop and follow a plan of affirmative action to achieve or exceed parity of employment with the applicable labor market
- Develop and follow an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive
- Submit employment statistics contained in the "Employment Information Form", indicating that the composition of its workforce is at or near parity when compared to the race/sex composition of the workforce in the relevant labor market area
- Develop and follow a plan to set aside a portion of the contract for legitimate minority business enterprises per Section 46a-68j-30(10)(E) of the Contract Compliance Regulations

DPH considers bidders success in these factors in reviewing the bidder's qualifications under the Contract Compliance requirements. Accordingly, any individual or organization that desires to do business with DPH shall:

- Not discriminate or permit discrimination against any protected class person or protected group in the performance of contracts
- Not engage in discriminatory practices or permit discriminatory practices in their workplace
- Cooperate with the Connecticut Commission on Human Rights and Opportunities in all activities
- In all contract solicitations or advertisements, state that they are an "affirmative action-equal opportunity employer"
- Sign a Notification to Bidders Form, and complete a workforce analysis questionnaire necessary for the contract award process

DPH notifies bidders, contractors, subcontractors, and suppliers of this policy and will not knowingly do business with any contractor, subcontractor or supplier of materials who unlawfully discriminates against members of any class protected under state or federal law. Contractors whose overall employment statistics are not reflective of the general employment area may be required to show good faith efforts to ensure that their personnel policies and practices do not have a discriminatory impact.

  
\_\_\_\_\_  
Jewel Mullen, MD, MPH, MPA  
Commissioner, DPH

  
\_\_\_\_\_  
Date

**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 46a-68j-43 of the Regulations of Connecticut State agencies, which establish a procedure for the awarding of 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 the 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) Women ... (4) Asian Pacific Americans and Pacific Islanders; or (5) American Indians." 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-68-18 of the Connecticut General Statutes, inclusive;
- c) the bidder's promise to develop and implement a successful affirmative action plan;
- d) the bidder's submission of EEO-1 data indicating 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.

**INSTRUCTION:** Bidder must sign acknowledgment below line and return acknowledgment to Awarding Agency along with the bid proposal.

---

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

---

Signature

---

Date

On behalf of:

---

### WORKFORCE ANALYSIS

Contractor Name:  
Address:

Total Number of CT employees:  
Full Time: Part Time:

Complete the following Workforce Analysis for employees on Connecticut worksites who are:

Job Categories	Overall Totals (sum of all cols. male & female)	White (not of Hispanic Origin)		Black (not of Hispanic Origin)		Hispanic		Asian or Pacific Islander		American Indian or Alaskan Native		People with Disabilities	
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Officials & Managers													
Professionals													
Technicians													
Office & Clerical													
Craft Workers (skilled)													
Operatives (semi-skilled)													
Laborers (unskilled)													
Service Workers													
Totals Above													
Totals 1 year Ago													
FORMAL ON-THE-JOB TRAINEES (Enter figures for the same categories as are shown above)													
Apprentices													
Trainees													
EMPLOYMENT FIGURES WERE OBTAINED FROM:						Visual Check:			Employment Records		Other:		

1. Have you successfully implemented an Affirmative Action Plan?  YES  NO  
Date of implementation: \_\_\_\_\_ If the answer is "No", explain.

1. a) Do you promise to develop and implement a successful Affirmative Action?  
 YES  NO  Not Applicable Explanation:

2. Have you successfully developed an apprenticeship program complying with Sec. 46a-68-1 to 46a-68-18 of the Connecticut Department of Labor Regulations, inclusive:  YES  NO  Not Applicable Explanation:

3. According to EEO-1 data, is the composition of your work force at or near parity when compared with the racial and sexual composition of the work force in the relevant labor market area?  YES  NO Explanation:

4. If you plan to subcontract, will you set aside a portion of the contract for legitimate minority business enterprises? YES  NO  Explanation:

\_\_\_\_\_  
Contractor's Authorized Signature

\_\_\_\_\_  
Date

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■ **B. INFORMATIONAL ATTACHMENTS:** *The information and forms in this section are for your reference only. The information contained herein will be required of applicants awarded funding and will be requested during the contract development process. Some of the indicated information may be submitted electronically. **Do not include any of the forms included here with your proposal.***

1. Nondiscrimination Certification Instructions.....	42
2. Nondiscrimination Certification .....	43
3. False Claims Act Notification .....	44
4. False Claims Act Policy .....	45
5. False Claims Act Procedure .....	48
6. SEEC Form 11 .....	51
7. Technical Review Criteria Worksheet .....	53

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## Nondiscrimination Certification Instructions

The governing body of your **corporation, company, or entity** must adopt policies and/or pass a resolution adopting and supporting nondiscrimination agreements and warranties as indicated in the *attached* Certification form.

If an **individual**, you must certify that you will adhere to the required nondiscrimination agreements and warranties, as indicated in the *attached* Certification form.

<b>Individual</b> Use FORM A	<b>Corporation, Company or Entity</b> <i>Use FORM B (under \$50,000) or FORM C ( \$50,000 or more)</i>
<b>For an individual, enter your full legal name and address of residence.</b>	<b>Enter the legal Name and Title of the Authorized Signatory if not already included on the form. This is the person <u>named</u> in the Secretarial Certification as authorized to sign.</b>  Alternately, the person authorized to certify the authorized signatory may sign this certification. If this option is chosen, the individual signing the secretarial certification and the nondiscrimination certification should be the same individual.
<b>This does not apply for contracts with individuals.</b>	Enter Corporation / Contractor Name with <b>no</b> abbreviations unless it is legally abbreviated in the charter if not already included on the form. Exception: Corp. is a legal abbreviation.
<b>This does not apply for contracts with individuals.</b>	Enter State or Commonwealth of Incorporation where required if not already included on the form
Enter the <u>Day, Month, Year</u> on which the certification is signed. This date <u>must be the same or later</u> than the date the Contract is signed	Enter the <u>Day, Month, Year</u> on which the certification is signed. This date <u>must be the same or later</u> than the date the Contract is signed
Enter the Signer's Signature.	Enter the Signer's Signature.

### IMPORTANT

Name of Signer must be typed **exactly** the same at the beginning of Document as at the end of the Document. Signature must match typed name **exactly**.

It is **not** necessary to have the form notarized unless an area for such appears on the form. Notarization is required, however, if so indicated on the form.

The requirement for notarization exists for contracts including funding in excess of \$50,000 per year.

The enclosed form is an official document approved by the Connecticut Office of Attorney General. Substitute documents are not acceptable.

**Any type of correction fluid or tape is not acceptable! \*\*\***

\*\*\* We can supply additional forms if necessary.

cert.instr. 7/10/09





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**FALSE CLAIMS ACT**  
**COMPLIANCE NOTIFICATION**

**This Contract requires compliance with The Deficit Reduction Act (“Act”) of 2005, which requires that the contractor or “qualified provider” receiving the contract comply with the Department’s False Claims Act Policy and Procedure as follows:**

1. Review, print, and maintain on file the following Department’s False Claims Act Policy and False Claims Act Procedure.
2. Provide appropriate notice of the requirements of the Policy and Procedure by providing copies of the Department’s False Claims Policy and False Claims Procedure to all employees of your organization, including officers and officials as well as subcontractors providing services funded by this Contract, in accordance with the requirements of Section 4.3.3 of the Department’s False Claims Act Procedure.


**Do not return the False Claims Policy or False Claims Procedure to the Department.** Your signature on the executed Contract confirms your receipt and compliance with the Department’s False Claims Act compliance requirement.

	<b>False Claims Act (Policy)</b>	<b>PL-CGMS C-001</b> <b>Revision: 1.0</b> <b>Effective Date:</b> <b>05/21/2010</b>
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APPROVAL SIGNATURES		DATE
J. Robert Galvin, M.D., M.P.H. (original signature on file)	Commissioner of Public Health	05/21/2010

REVISION HISTORY			
Revision	Description of Change	Author	Effective Date
Basic	Initial Release	Bruce Wallen	05/21/2010

REFERENCE DOCUMENTS	
Document	Title
The Deficit Reduction Act ("Act") of 2005	Section 6032
United States Code (U.S.C.)	Sections 3729-3733
Connecticut General Statutes (C.G.S.)	Section 53a-290 Vendor Fraud
Connecticut General Statutes (C.G.S.)	Section 4-61dd Whistleblower
Connecticut General Statutes (C.G.S.)	Section 31-51m Blacklisting
Connecticut General Statutes (C.G.S.)	Section 17b-127 General Assistance

	<h2>False Claims Act (Policy)</h2>	<p><b>PL-CGMS C-001</b>  <b>Revision: 1.0</b>  <b>Effective Date:</b>  <b>05/21/2010</b></p>
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**1.0 Purpose**

The Deficit Reduction Act (“Act”) of 2005 is the federal government’s legislative effort to control spending for entitlement programs, such as Medicaid. The Act seeks to control spending by reducing federal overpayments for prescription drugs and medical services, thereby improving the integrity of federally funded entitlement programs.

**2.0 Scope**

Section 6032 of the Act states that any entity, such as the Department of Public Health (Department), which receives or makes payments under a state plan approved under Title XIX or under a waiver of such plan, totaling at least \$5,000,000 annually, is required to establish written policies providing detailed information about the False Claims Act (“FCA”) and any state false claims laws to all Department employees, contractors and agents. The Department is also required to establish and inform all employees, contractors, qualified providers and agents about the Department’s policies and procedures for the detection and prevention of fraud, waste and abuse, the protection afforded to any person who reports an incident of a false claim to a regulatory body (e.g., Whistleblower Protection) and any civil or criminal penalties for false claims.

**3.0 Definitions and Acronyms**

Specialized acronyms and definitions identified in this contract procedure are defined below.

**3.1 Acronyms**

- “CGMS”                                    The Connecticut Department of Public Health, Contracts & Grants Management Section
- “Department”                            The State of Connecticut Department of Public Health
- “FCA”                                        False Claims Act
- “PFCRA”                                    Program Fraud Civil Remedies Act

**3.2 Definitions**

Claim - means any request or demand, whether under a contract or otherwise, for money or property which is made by a contractor, grantee, or other recipient if the United States government provides any portion of the money or property which is requested or demanded or if the government will reimburse such contractor, grantee, or other recipient for any portion of the money or property which is requested or demanded.

Contractor or Agent - means any contractor, subcontractor, agent, qualified vendor, consumer or family member who act as an employer or other person which or who, on behalf of the entity, furnishes, or otherwise authorizes the furnishing of, Medicaid health care items or services, performs billing or coding functions, or is involved in the monitoring of health care provided by the entity.

Employee - means any officer or employee of the entity, contractor, or agent.

Entity - means a governmental agency, organization, unit, corporation, partnership or other business arrangement, including Medicaid managed care organizations, whether for profit or not-for-profit, which receives or makes payments, under a state plan approved under Title XIX or under any waiver of such plan, totaling at least \$5,000,000 annually.

Knowing and Knowingly - means that a person with respect to information 1) has actual knowledge of the information; 2) acts in deliberate ignorance of the truth or falsity of the information; or 3) acts in reckless disregard of the truth or falseness of the information.

	<h2>False Claims Act (Policy)</h2>	<p><b>PL-CGMS C-001</b>  <b>Revision: 1.0</b>  <b>Effective Date:</b>  <b>05/21/2010</b></p>
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#### 4.0 Compliance

##### 4.1 False Claim Act

The FCA prohibits any person, firm, corporation or entity from knowingly presenting, or causing to be presented, a false claim or statement to a federally funded program, including Medicaid, or conspiring to defraud the federal government. Any person, company or entity that acts in deliberate ignorance of or with reckless disregard of the truth of such information is considered to have acted knowingly.

The civil penalty for violating the FCA is a fine of not less than \$5,000 and not more than \$10,000 per violation. The person, company or entity may also be fined an additional three times the amount of damages sustained by the federal government. The PFCRA also provides that any person or company that commits fraud by making a false statement or claim can be assessed a penalty of \$5,000 per false claim or statement in addition to the penalties available under the FCA.

A person may bring a civil action for violating the FCA on behalf of said person and the United States government. If the federal government proceeds with an action brought by such person then that person shall receive at least 15 percent but not more than 25 percent of the proceeds of the action or settlement. If the federal government does not proceed with the action and the person initiating the action proceeds, then the person bringing the action shall receive a reasonable amount, to be determined by the court, but not less than 25% and not more than 30% of the proceeds of the action or settlement.


The FCA prohibits retaliation by an employer against an employee for bringing a false claim action or participating in such action (Whistleblower Protection). Any employee subject to retaliation by an entity, contractor or agent shall be entitled to all relief necessary to make the employee whole, including but not limited to reinstatement, two times the amount of back pay, interest on back pay and special damages.

##### 4.2 State False Claim Related Acts

Under Connecticut's Vendor Fraud statute it is illegal for a person on his own behalf or on the behalf of an entity, with intent, to fraudulently provide goods or services to a beneficiary or recipient under Title XIX or to fraudulently receive goods or services. Connecticut law also prohibits any vendor from fraudulently providing services or goods for any recipient of General Assistance. The State Whistleblower law provides any employee who reports a suspected violation of state or federal law with protection against retaliation by the employer. State law also prohibits any person, corporation, state or political subdivision from blacklisting any employee.

##### 4.3 Compliance Reporting


All DPH employees, contractors and agents, are required to report fraud, waste and abuse to: The Department of Public Health, Contracts & Grants Management Section, 410 Capitol Avenue, MS#13GCT, P.O. Box 340308, Hartford, CT 06134-0308.

	<b>False Claims Act (Procedure)</b>	<b>PR-CGMS C-001</b> <b>Revision: 1.0</b> <b>Effective Date:</b> <b>05/21/2010</b>
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<b>APPROVAL SIGNATURES</b>		<b>DATE</b>
J. Robert Galvin, M.D., M.P.H. (original signature on file)	Commissioner of Public Health	05/21/2010

<b>REVISION HISTORY</b>			
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	<h2>False Claims Act (Procedure)</h2>	<p><b>PR-CGMS C-001</b>  <b>Revision: 1.0</b>  <b>Effective Date:</b>  <b>05/21/2010</b></p>
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**1.0 Purpose**

This procedure provides guidance to the Department of Public Health on informing all employees, contractors and agents about the Department of Public Health False Claims Policy, PL-CGMS C-001.

**2.0 Scope**

This procedure applies to all Department of Public Health staff, and officers and employees of contractors, agents, qualified providers and subcontractors funded by the department.

**3.0 Definitions and Acronyms**

Specialized acronyms and definitions identified in this contract procedure are defined below.

**3.1 Acronyms**

<u>"CGMS"</u>	The Connecticut Department of Public Health, Contracts & Grants Management Section
<u>"Department"</u>	The State of Connecticut Department of Public Health
<u>"FCA"</u>	False Claims Act
<u>"PFCRA"</u>	Program Fraud Civil Remedies Act
<u>"POS"</u>	Purchase of Service Contract

**3.2 Definitions**

Claim - means any request or demand, whether under a contract or otherwise, for money or property which is made by a contractor, grantee, or other recipient if the United States government provides any portion of the money or property which is requested or demanded, or if the government will reimburse such contractor, grantee, or other recipient for any portion of the money or property which is requested or demanded.

Contractor or Agent - means any contractor, subcontractor, agent, qualified vendor, consumer or family member who act as an employer or other person which or who, on behalf of the entity, furnishes, or otherwise authorizes the furnishing of, Medicaid health care items or services, performs billing or coding functions, or is involved in the monitoring of health care provided by the entity.


Employee - means any officer or employee of the entity, contractor or agent.

Entity - means a governmental agency, organization, unit, corporation, partnership or other business arrangement, including Medicaid managed care organizations, whether for profit or not-for-profit, which receives or makes payments, under a state plan approved under Title XIX or under any waiver of such plan, totaling at least \$5,000,000 annually.

Knowing and Knowingly - means that a person with respect to information 1) has actual knowledge of the information; 2) acts in deliberate ignorance of the truth or falsity of the information; or 3) acts in reckless disregard of the truth or falseness of the information.

Purchase of Service Contract - Previously Human Service Contract, a contract document used to procure direct client services to populations served by the Department over a defined period and for an agreed upon maximum price.

Subcontractor – See "Contractor or Agent" above.

	<h2>False Claims Act (Procedure)</h2>	<p><b>PR-CGMS C-001</b>  <b>Revision: 1.0</b>  <b>Effective Date:</b>  <b>05/21/2010</b></p>
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#### 4.0 Process

##### 4.1 Dissemination to the Department’s New Employees

- 4.1.1 The Department’s Human Resources staff shall present and provide all newly hired Department employees with a copy of the False Claims Act Policy and Procedure during the new employee orientation.
- 4.1.2 Each new Department employee must acknowledge receipt of the False Claims Act Policy and Procedure by signing an acknowledgement that they received it. The acknowledgement shall be maintained in their personnel file.

##### 4.2 Dissemination to the Department’s Existing Employees

Each existing Department employee shall receive a copy of the Department’s False Claims Act Policy and Procedure and must sign an acknowledgement that they have received it. The acknowledgement shall be maintained in their personnel file.

##### 4.3 Dissemination to Contractors and Qualified Providers

- 4.3.1 CGMS shall include the Department’s False Claims Act Policy and Procedure in all POS contracts between the Department and its contractors and agents.
- 4.3.2 Contractors and agents shall inform all employees providing services funded by the contract of the policy and procedure and obtain acknowledgement of receipt.
- 4.3.3 Execution of the contract by a contractor or agent, via authorized signature, shall indicate acceptance of and compliance with the Department’s False Claims Policy and Procedure in accordance with Part II, Section C.4, (Terms and Conditions, Contractor Obligations, Federal Funds) of the POS Contract.
- 4.3.4 Contractors and agents under contract with the Department shall inform all subcontractors, providing services funded by the contract, of the policy and procedure and obtain acknowledgement of receipt either via inclusion of a contract term/condition in the sub-contractual agreement as in 4.3.3 above, and execution of such subcontract, or via separate acknowledgement.

#### 5.0 Records

- 5.1 The following records shall be maintained, generated, or updated, and filed by the Department in accordance with this procedure and CGMS record retention requirements and schedules. Contractors shall maintain records according to their established record retention schedules.

Record Name	Responsible	Retention Req.	Location
Employee acknowledgement of receipt of False Claims Policy and Procedure	Human Resources Office	Until employee termination	Employee File
Fully Executed Contract Document	CGMS	3 Yrs. From end date of contract(s)	CGMS Contract File



## Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations

This notice is provided under the authority of Connecticut General Statutes §9-612(g)(2), as amended by P.A. 10-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the reverse side of this page).

### CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract* or *state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee (which includes town committees).

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

On and after January 1, 2011, no state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall **knowingly solicit** contributions from the state contractor's or prospective state contractor's employees or from a *subcontractor* or *principals of the subcontractor* on behalf of (i)

an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

### DUTY TO INFORM

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

### PENALTIES FOR VIOLATIONS

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

**Civil penalties**—Up to \$2,000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of up to \$2,000 or twice the amount of the prohibited contributions made by their principals.

**Criminal penalties**—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or not more than \$5,000 in fines, or both.

### CONTRACT CONSEQUENCES

In the case of a state contractor, contributions made or solicited in violation of the above prohibitions may result in the contract being voided.

In the case of a prospective state contractor, contributions made or solicited in violation of the above prohibitions shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State shall not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information may be found on the website of the State Elections Enforcement Commission, [www.ct.gov/seec](http://www.ct.gov/seec). Click on the link to "Lobbyist/Contractor Limitations."

## DEFINITIONS

“State contractor” means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. “State contractor” does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

“Prospective state contractor” means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. “Prospective state contractor” does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

“Principal of a state contractor or prospective state contractor” means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

“State contract” means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. “State contract” does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan, a loan to an individual for other than commercial purposes or any agreement or contract between the state or any state agency and the United States Department of the Navy or the United States Department of Defense.

“State contract solicitation” means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

“Managerial or discretionary responsibilities with respect to a state contract” means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

“Dependent child” means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

“Solicit” means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

“Subcontractor” means any person, business entity or nonprofit organization that contracts to perform part or all of the obligations of a state contractor's state contract. Such person, business entity or nonprofit organization shall be deemed to be a subcontractor until December thirty first of the year in which the subcontract terminates. “Subcontractor” does not include (i) a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or (ii) an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

“Principal of a subcontractor” means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a subcontractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a subcontractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a subcontractor, which is not a business entity, or if a subcontractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any subcontractor who has managerial or discretionary responsibilities with respect to a subcontract with a state contractor, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the subcontractor.

## Preliminary Technical Review Criteria

Criteria	Score
<p><b>1. Organizational Requirements Profile (10 points)</b></p> <ul style="list-style-type: none"> <li>a. The extent to which the overall purpose, mission and history of the organization fits within the intent of the RFP. <b>(4 points)</b></li> <li>b. The extent to which the history of past affiliation with Training Programs relates to the expectations of the training programs described in this RFP. <b>(6 points)</b></li> </ul>	
<p><b>2. Service Expectations-Scope of Services (30 points)</b></p> <ul style="list-style-type: none"> <li>a. The extent to which the applicant will recruit and train at least 150 healthcare professionals or 80 community professionals (at least 10) professionals in 8 different communities) over the course of the contract period on the specifics of ADRD for Component 1 and/or Component 2. Preference will be given to organizations that offer Continuing Medical Education or Education Credits (CMEs/CEUs) for healthcare professionals. <b>(9 points)</b></li> <li>b. The extent to which the applicant will describe how they will develop and conduct a training needs assessment for Component 1 and/or Component 2 that accurately captures the requirements for training. <b>(3 points)</b></li> <li>c. The extent to which the applicant will make recommendations and develop a Training Plan for training based on the assessment. <b>(3 points)</b></li> <li>d. The extent to which the applicant and subcontractors have delivered training to healthcare and/or community professionals, especially training regarding the older persons. The extent to which the applicant describes their experience conducting either in person and online trainings and how this has been accomplished. This includes planning, recruitment of trainers, advertising to appropriate audiences, logistical arrangements including event planning of in person training (venue, registration, refreshments, trainers, agenda, evaluation, etc.) and/or logistics of online training also include registration, trainers, agenda, evaluation, etc.) <b>(9 points)</b></li> <li>e. The extent to which the applicant describes training services outlined in this RFP and how they will be implemented and provides a detailed narrative in the proposal. If applicable, the extent to which the applicant describes collaborations and plans to subcontract with other agencies and clearly defines the specific agencies who will provide services and their capacity to do so. <b>(3 points)</b></li> <li>f. The extent to which the applicant organization and subcontractors have evaluated training programs and trainers. The proposer must explain how evaluation results have been used to improve programming. <b>(3 points)</b></li> </ul>	
<p><b>3. Staffing Expectations, (15 points)</b></p> <ul style="list-style-type: none"> <li>a. <b>Key Personnel/Managers/Staff Assigned</b> The extent to which the applicant the profile of staff who will be working in this is be clear, and adequate time allocated to manage the services to be provided. The extent to which the applicant describes the staff assigned to this program. This includes job descriptions, number of hours per week, and hourly rates for all staff funded through this proposal. Resumes must be provided for all professional staff. <b>(5 points)</b></li> <li>b. The extent to which the applicant describes the administrative structure and oversight for the program. This includes the extent to which the applicant identifies the coordinator/supervisor and the individuals that will comprise the program and the staff assigned, including the extent to which they have the appropriate training and experience to perform assigned duties. The Proposer</li> </ul>	

<p>must complete and attach the Position Schedule, Attachments Section VI.(Attach resumes and job descriptions for all staff assigned to this proposal as appendices).(5 points)</p> <p><b>c. Staffing Level and Demographics of Organization Work Force</b> A thorough organizational Work Force Analysis in Attachments Section VI. Application is provided. (1 point)</p> <p><b>d.</b> The extent to which the applicant provides evidence that the proposer will utilize small and minority businesses whenever feasible and appropriate in the purchase of supplies and services. (1 point)</p> <p><b>e. Organizational Chart</b> A thorough organizational chart is provided in Proposal Outline Section VI. Attachments/Appendices. (2 points)</p> <p><b>f.</b> A thorough completed Subcontractor Schedule A— Detail Form for each subcontractor proposed is completed in Attachments Section VI. Application Forms) (1 point)</p>	
<p><b>6. Data and Technology Expectations (10 points)</b> Successful proposers will clearly describe experience in the following criteria:</p> <p><b>a. E-Mail/Internet Capabilities</b> The extent to which the current capabilities as well as system restrictions are defined. The extent to which the applicants describe access describe access to email and the internet for the purposes of data collection and record reporting, as well as for any required or recommended DPH webinars and teleconferences. (4 points)</p> <p><b>b. IT Infrastructure / Hardware &amp; Software Quality</b> The extent to which the applicant describes their current operating system, including the indication of any staff assigned to IT management. Such individual's name and contact information must be included. Proposer must describe their ability to support online training and webinars. (4 points)</p> <p><b>c. Data Collection / Storage / Reporting</b> The extent to which the applicant describes their ability to collect training registration information, enrollment data, training evaluation data, and their ability to send reports to DPH. (2 points)</p>	
<p><b>7. Workplan (20 points)</b></p> <p><b>a.</b> The extent to which the applicant provides a comprehensive and realistic work plan that is consistent with the RFP and the project's goals and required activities. (5 points)</p> <p><b>b.</b> The extent to which the applicant includes specific details about project goals, services to be provided, the responsible staff position and target population for each activity, timeframe for completion, including a project start date, and the expected outcome or measure of success for that activity. The extent to which the applicant detail is provided about the relationship and tasks to be performed by each subcontractor. (8 points)</p> <p><b>c.</b> The extent to which the applicant the major strategies and activities to be conducted to meet the proposed program outcomes. (3 points)</p>	

<ul style="list-style-type: none"> <li>d. The extent to which the applicant lists objectives that are Specific, Measurable, Achievable, Relevant, and Time-phased (SMART) during the year of the budget period. <b>(2 points)</b></li> <li>e. The extent to which the applicant describes any collaborations that will be utilized to assist in carrying out the proposed activities. (1 pts)</li> <li>f. The extent to which the applicant includes the anticipated number of persons to be trained. <b>(2 point)</b></li> </ul>	
<p><b>6. Financial Expectations (15 points)</b></p> <ul style="list-style-type: none"> <li><b>a. Financial Profile &amp; Expectations (5 points)</b> The fiscal competitiveness of the proposal.</li> <li><b>b. Budget Expectations (10 points)</b> The extent to which a cost-effective budget is presented which follows eligibility guidelines.</li> </ul>	