
PROCUREMENT NOTICE

LEGAL NOTICE

Request for Proposal # 2022-0902
for
Early Hearing Detection and Intervention (EHDI) Family Partners

The Connecticut Department of Public Health is seeking proposals to establish a formal partnership with a statewide, family-based organization(s) or program(s) that provide family support to families/parents/caregivers of infants who are deaf or hard of hearing (DHH). This organization will support the Early Hearing Detection and Intervention (EHDI) program's effort to support comprehensive and coordinated state and territory EHDI systems of care so families with newborns, infants, and young children up to 3 years of age who are deaf or hard-of-hearing (DHH) receive appropriate and timely services that include hearing screening, diagnosis, and early intervention (EI).

The Request for Proposal is available in electronic format on the State Contracting Portal at https://biznet.ct.gov/scp_Search/ or from the Department's Official Contact:

Name:	John Lamb
Address:	410 Capitol Avenue, MS# 11 MAT P.O. Box 340308 Hartford, CT 06134
Phone:	860-509-8175
Fax:	860-509-8132
E-Mail:	DPH.EHDI@ct.gov

The RFP is also available on the Department's website at www.ct.gov/dph/rfp. A printed copy of the RFP can be obtained from the Official Contact upon request. **Proposals must be postmarked by June 30, 2021. Hand delivered proposal will not be accepted.**

TABLE OF CONTENTS

*Below is an outline of this Request For Proposal. The outline presents the standard structure of all RFPs for POS: meaning, the same sections and subsections appear in all RFPs for POS; in other words, they are identically organized. The subsections of **Section II** are standard and their contents are the same for all RFPs for POS; they do not vary. The subsections of **Sections I, III, IV, and V** are standard, but their contents vary by RFP, depending on the Department's procurement requirements.*

	Page
Procurement Notice	1
Section I — GENERAL INFORMATION	3
A. Introduction	3
B. Abbreviations / Acronyms / Definitions	3
C. Instructions	4
D. Proposal Format	7
E. Evaluation of Proposals	8
Section II — MANDATORY PROVISIONS	11
A. POS Standard Contract, Parts I and II	11
B. Assurances	11
C. Terms and Conditions	12
D. Rights Reserved to the State	13
E. Statutory and Regulatory Compliance	13
Section III — PROGRAM INFORMATION	15
A. Department Overview	15
B. Program Overview	15
C. Main Proposal Components	16
D. Cost Proposal Components	21
Section IV — PROPOSAL OUTLINE	22
Section V — ATTACHMENTS	23
A. Application Forms	
1. Cover Sheet	24
2. Applicant Information Form (continuation)	25
3. Budget Summary Instructions	26
4. Budget Summary 1 Form	28
5. Budget Justification Schedule B Form	29
6. Position Schedule #2a Form	30
7. Subcontractor Schedule A Detail Form	31
8. Work Plan Form.	32
9. Staffing Form.	33
10. OPM Consulting Agreement Affidavit	34
11. Affirmative Action Contract Compliance Policy Statement	35
12. Workforce Analysis	37
13. Notification of Bidders.	38
B. Informational Attachments	
1. Review Team Technical Review Criteria	39
2. Nondiscrimination Certification Instructions	41
3. Nondiscrimination Certifications	42
4. Code of Ethics	44
5. False Claims Act Notification	45
6. False Claims Act Policy	46
7. False Claims Act Procedure	49
8. SEEC Form 11	52

I. GENERAL INFORMATION

This section of the RFP provides general information about the Department's procurement and, most importantly, gives instructions to proposers and prospective proposers about how to comply with the RFP process and how to submit an acceptable proposal for review. Failure to comply with the RFP process or instructions may deem a proposal non-responsive and subject to rejection without further consideration. The subsections of Section I are standard, but their contents vary by RFP, depending on the Department's procurement requirements.

A. INTRODUCTION

- 1. RFP Name or Number.** Early Hearing Detection and Intervention (EHDI) Family Partners, DPH RFP #2022-0902.
- 2. Summary.** The Connecticut Department of Public Health, hereafter the Department, is seeking proposals to establish a formal partnership with a statewide, family-based organization(s) or program(s) that provide family support to families/parents/caregivers of infants who are deaf or hard of hearing (DHH).
- 3. Synopsis.** The selected organization(s) will support the Department's Early Hearing Detection and Intervention (EHDI) program's goal to improve family engagement, partnership, and leadership within the program and statewide EHDI system.
- 4. Commodity Codes.** The services that the Department wishes to procure through this RFP are as follows:
 - 0600: Services (Professional, Support, Consulting and Misc. Services)
 - 1000: Primary care physician consultation services
 - 2000: Community and Social Services
 - 3000: Education and Training

B. ABBREVIATIONS / ACRONYMS / DEFINITIONS

AAP	American Academy of Pediatrics
BFO	Best and Final Offer
CCMV	Congenital Cytomegalovirus
CDC	Centers for Disease Control and Prevention
C.G.S.	Connecticut General Statutes
CFHPS	Community, Family Health, and Prevention Section
CHRO	Commission on Human Rights and Opportunity (CT)
CT	Connecticut
CYSHCN	Children and Youth with Special Health Care Needs
DAS	Department of Administrative Services (CT)
DHH	Deaf or Hard of Hearing
DPH	Department of Public Health (CT)
EHDI	Early Hearing Detection and Intervention
EI	Early Intervention support services
FOIA	Freedom of Information Act (CT)
HRSA	Health Resources and Services Administration
IRS	Internal Revenue Service (US)
JCIH	Joint Committee on Infant Hearing
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)

TF Connecticut EHDI task force
U.S. United States

- *contractor*: a private provider organization, CT State agency, or municipality that enters into a POS contract with the Department as a result of this RFP.
- *proposer or applicant*: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP.
- *prospective proposer*: a private provider organization, CT State agency, or municipality that may submit a proposal to the Department in response to this RFP, but has not yet done so.
- *subcontractor*: an individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific health or human service as part of a POS contract with the Department as a result of this RFP.
- *children and youth with special health care needs (CYSHCN)*: Children and youth less than twenty-one years of age with special health care needs are those who have, or are at increased risk for, a chronic physical, developmental, behavioral, or emotional condition and who also require health and related services of a type or amount beyond that required by children generally.
- *care coordination*: process that links CYSHCN and their families/caregivers to services and resources beyond the primary care site and even beyond health care, ensuring collaboration with schools, mental health services, social services, and other community-based programs. Care coordination for CYSHCN is complicated because there is no single-entry point to multiple systems of care, and complex criteria determine the availability of funding and services among public and private payers.
- *family/caregiver support*: Family/caregiver support services provide assistance and education to families/caregivers of CYSHCN enabling the acquisition of skills necessary to access needed medical, social, behavioral, and related other services. Family support services include an integrated network of community-based resources and services that assist and support parents in their role as caregivers and strengthens parenting practices and the healthy development of children.
- *infant*: A young child between the ages of 29 days and 364 days.
- *medical homes*: are the foundations of the system of care for CYSHCN. Medical Homes are pediatric and family practices that provide family- centered care through developing a trusting partnership with families, respecting their diversity, and recognizing that they are the constant in a child's life.
- *newborn infant*: A newborn infant, or neonate, is a child under 28 days of age.

C. INSTRUCTIONS

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

Name: John Lamb, Health Program Associate
Address: Department of Public Health

410 Capitol Avenue, MS# 11 MAT, Hartford, CT 06134-0308
 Phone: 860-509-8251
 Fax: 860-629-6965
 E-Mail: DPH.EHDI@ct.gov

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

- 2. 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:

- Department's RFP Web Page <http://www.ct.gov/dph/rfp>
- State Contracting Portal https://biznet.ct.gov/scp_Search/

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

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

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

- Total Funding Available: \$295,000 (\$59,000 per year), anticipated
- Number of Awards: One (1)
- Contract Term: 5-years (4/1/2022 – 3/31/2027) dependent upon availability of funding

- 4. Eligibility.** Private provider organizations (defined as nonstate entities that are either nonprofit or proprietary corporations or partnerships), local or state government agencies, and municipalities are eligible to submit proposals in response to this RFP. Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

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

Applications will be accepted from public and private organizations, community-based agencies and individuals who are a duly formed business entity. Proposals shall include demonstrated past experience working with families of children who are deaf or hard of hearing. Applicants who fail to follow instructions or to include all required elements will be deemed incomplete and removed from further review. **In addition, applicants with long-standing, significant, outstanding, unresolved issues on current and prior year contracts with the Department may be removed from consideration for additional funding.**

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

- RFP Planning Start Date: March 2021
- RFP Released: 5/5/2021
- Letter of Intent Due: 5/26/2021
- Deadline for Questions: 5/26/2021
- Answers Released: 6/9/2021
- RFP Conference: Not Applicable
- Proposals Due: 6/30/2021

- (*) Proposer Selection: 8/30/2021
- (*) Start of Contract Negotiations: 08/1/2021
- (*) Start of Contract: 4/1/2022

7. Letter of Intent A Letter of Intent (LOI) is recommended, but not required by this RFP. The LOI is non-binding and does not obligate the sender to submit a proposal. The LOI can be submitted to the Official Contact by US mail, or e-mail by the deadline established in the Procurement Schedule. The LOI must clearly identify the sender, including name, postal address, telephone number, fax number, and e-mail address. It is the sender's responsibility to confirm the Department's receipt of the LOI.

8. Inquiry Procedures. All questions regarding this RFP or the Department's procurement process must be directed, in writing, to the Official Contact before the deadline specified in the Procurement Schedule.

Questions submitted via e-mail must indicate in the e-mail subject line: RFP Log # 2022-0902.

The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or anonymous questions).

Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. The Department may combine similar questions and give only one answer. All questions and answers will be compiled into a written amendment to this RFP. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such. The agency will release the answers to questions on the date(s) established in the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and, on the Department's RFP Web Page. At its discretion, the Department may distribute any amendments to this RFP to prospective proposers who submitted a Letter of Intent.

9. RFP Conference. An RFP conference will not be held to answer questions from prospective proposers; however, the Department will accept questions in writing regarding the RFP.

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

- **Due Date Postmarked: Wednesday, June 30, 2021**

Proposals that have ONLY been faxed or emailed will not be evaluated: both paper and electronic copies are required. Proposals received after the postmark date may be accepted by DPH as a clerical function, however, all proposals must be postmarked by the due date. **Proposals may not be hand delivered.** An acceptable submission must include the following:

- One (1) original proposal
- Five (5) conforming copies of the original proposal
- One (1) conforming electronic (email) copy of the original proposal

The original proposal must carry original signatures and be clearly marked on the cover as "Original." Unsigned proposals will not be evaluated. The original proposal and each conforming copy of the proposal must be complete, properly formatted and outlined, and ready for evaluation by the Screening Committee. The electronic copy of the proposal must be compatible with **Microsoft Office Word 365**. For the electronic copy, required forms and appendices may be scanned and submitted in Portable Document Format (PDF) or similar file format. The electronic version shall be e-mailed to DPH.EHDI@ct.gov.

11. Multiple Proposals. Only one proposal per organization shall be accepted. However, an application may contain more than one organization if there is a formal partnership established. In this case, the proposals must list which organization is the contractor and which is the subcontractor.

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

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

D. PROPOSAL FORMAT

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

Applicants 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.

2. Cover Sheet. The Cover Sheet is Page 1 of the proposal. Proposers must complete and use the Cover Sheet form provided by DPH in Section V.A Attachments.

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.

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

4. Executive Summary. Proposals must include a high-level summary, not exceeding three (3) pages, of the main proposal and cost proposal.

5. Attachments. Letters of collaboration are only required from proposed subcontractors that detail the level of involvement and evidence of assistance that they will provide to the project. Letters of reference are optional. Letters of reference and letters of collaboration should be currently dated, and not copies from previous submissions. Letters of reference and collaboration cannot be provided by DPH staff.

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

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

- Binding Type: Use a single binding clip; do not use staples or other more permanent binding
- Dividers: None specified
- Paper Size: 8.5 x 11"
- Page Limit: 25 pages [Includes Proposal Outline Items A through F. Does not include Attachments or Forms; see Section IV Proposal Outline for more detail. (Page 22)]
- Print Style: 2-sided.
- Font Size: 12 pt. font
- Font Type: Easily Readable (e.g., Arial, Times New Roman, or Veranda)
- Margins: 0.5" top, bottom, left and right margins
- Line Spacing: 1.5 minimum spacing

NOTE: The pre-designed forms do NOT need to be re-formatted to fit within these specifications.

7. Pagination. The proposer's name must be displayed in the header of each page. All pages must be numbered in the footer.

8. Packaging and Labeling Requirements. All proposals – one (1) original and five (5) conforming copies - must be submitted in sealed envelopes or packages and be addressed to the Official Contact. The Legal Name and Address of the proposer must appear in the upper left corner of the envelope or package. The RFP Name or Number must be clearly displayed on the envelope or package. Any received proposal that does not conform to these packaging or labeling instructions will be opened as general mail. Such a proposal may be accepted by DPH as a clerical function, but it will not be evaluated. At the discretion of the Department, such a proposal may be destroyed or retained for pick up by the submitters.

E. EVALUATION OF PROPOSALS

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

2. Screening Committee. The Department will designate a Screening Committee to evaluate proposals submitted in response to this RFP. The contents of all submitted proposals, including any confidential information, will be shared with the Screening Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Screening Committee may result in disqualification of the proposer.

3. Minimum Submission Requirements. All proposals must comply with the requirements specified in this RFP. To be eligible for evaluation, proposals must (1) be received on or before the due date; (2) meet the Proposal Format requirements; (3) follow the required Proposal Outline; and (4) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Department will reject any proposal that deviates significantly from the requirements of this RFP. See Minimum Review Criteria Checklist in Section V.B. Informational Attachments.

In addition, applicants with long-standing, significant, unresolved issues on current or prior year contracts with the 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 Screening Committee will use to evaluate the technical merits of the proposals. The criteria listed below will be used to evaluate proposals. A maximum of 100 points will be awarded. The criteria are weighted according to their relative importance. The weights are disclosed below.

- **Organizational Profile (20%)**
 - The extent to which the applicant has demonstrated successful experience providing similar services. (12 points).
 - The Department's prior experience with the applicant organization including issues of contract compliance. (5 points)
 - The applicant's history of successful contract fulfillment with State of CT Agencies including the orderly transfer of services following contract termination or conclusion. (3 points)
- **Scope of Services – What Services and Activities are proposed? (25% total)**
 - The extent to which the proposed services are described clearly and demonstrate an effective approach to providing the service components and activities outlined in the RFP. (15 points)
 - The extent to which the proposal builds upon existing resources and services and promotes collaboration. (4 points)
 - The extent to which the proposal demonstrates an understanding of the target population and describes the available resources. (4 points)
 - The extent to which applicant provided evidence that it will demonstrate cultural competence in the design and implementation of services. (2 points)
- **Staffing Plan (10%)**
 - The extent to which the profile of staff and subcontractors are clear and adequate to manage the services to be provided. (5 points)
 - The extent to which adequate time is allocated to manage the services to be provided. (3 points)
 - Does the proposer have a qualified program administrator responsible for overseeing the overall operation of the program and functioning as the single point of contact? (1 points)
 - A thorough organizational chart is provided. (1 points)
- **Data and Technology (15% total)**
 - The extent to which the applicant has demonstrated the ability to develop or maintain a data collection and reporting system and staff trained in its use. (5 points)
 - The extent to which individual customer data will be tracked using the data system, and the ability to report that data and respond to data request to the EHDI program. (5 points)
 - The extent of data quality assurance and data quality improvement measures. (5 points)
- **Work Plan – How will the Services and Activities be achieved? (25% total)**
 - The extent to which a thorough, realistic work plan is presented with clear activities, measurable objectives, and specific, appropriate timelines, including a start date. (15 points)
 - The extent to which the proposer provides details to demonstrate how it will measure or prove the completion of major tasks, functions, or activities (e.g., identification of key events/outcomes/deliverables). (10 points)
- **Cost Proposal (5%)**
 - Financial profile: The fiscal competitiveness of the proposal. (2.5 points)
 - Budget and Budget Narrative: The extent to which a cost-effective budget is presented which follows eligibility guidelines. (2.5 points)

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

The Review Team Technical Review Criteria Worksheet can be found in Section V.B. Informational Attachments.

- 5. Proposer Selection.** Upon completing its evaluation of proposals, the Screening Committee will submit the rankings of all proposals to the Department head. The Screening Committee can make recommendations to partially fund proposals. The final selection of a successful proposer is at the discretion of the Department head. Any proposer selected will be notified and awarded an opportunity to negotiate a contract with the Department. Such negotiations may, but will not automatically, result in a contract.

Pursuant to Governor M. Jodi Rell's Executive Order No. 3, any resulting contract will be posted on the State Contracting Portal. All unsuccessful proposers will be notified by e-mail or U.S. mail, at the Department's discretion, about the outcome of the evaluation and proposer selection process.

- 6. Debriefing.** Within ten (10) days of receiving notification from the Department, unsuccessful proposers may contact the Official Contact and request information about the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the ten (10) days. If unsuccessful proposers still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the evaluation process and their proposals. If held, the debriefing meeting will not include any comparisons of unsuccessful proposals with other proposals. The Department will schedule and hold the debriefing meeting within fifteen (15) days of the request. The Department will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.
- 7. Appeal Process.** Proposers may appeal any aspect the Department's competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Department head. A proposer may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful proposers about the outcome of the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. The filing of an appeal shall not be deemed sufficient reason for the Department to delay, suspend, cancel, or terminate the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.
- 8. Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Department's contracting procedures, which may include approval by the Office of the Attorney General.

The rest of this page is intentionally blank.

II. MANDATORY PROVISIONS

A. POS STANDARD CONTRACT, PARTS I AND II

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

Part I of the standard contract is maintained by the Department and will include the scope of services, contract performance, quality assurance, reports, terms of payment, budget, and other program-specific provisions of any resulting POS contract. A sample of Part I is available from the Department's Official Contact upon request.

Part II of the standard contract is maintained by OPM and includes the mandatory terms and conditions of the POS contract. Part II is available on OPM's website at: http://www.ct.gov/opm/fin/standard_contract

Note:

Included in Part II of the standard contract is the State Elections Enforcement Commission's notice (pursuant to C.G.S. § 9-612(g)(2)) advising executive branch State contractors and prospective State contractors of the ban on campaign contributions and solicitations. If a proposer is awarded an opportunity to negotiate a contract with the Department and the resulting contract has an anticipated value in a calendar year of \$50,000 or more, or a combination or series of such agreements or contracts has an anticipated value of \$100,000 or more, the proposer must inform the proposer's principals of the contents of the SEEC notice.

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

B. ASSURANCES

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

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

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

C. TERMS AND CONDITIONS

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

1. **Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.
2. **Preparation Expenses.** Neither the State nor the Department shall assume any liability for expenses incurred by a proposer in preparing, submitting, or clarifying any proposal submitted in response to this RFP.
3. **Exclusion of Taxes.** The Department is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Proposers are liable for any other applicable taxes.
4. **Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.
5. **Changes to Proposal.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Department may request and authorize proposers to submit written clarification of their proposals, in a manner or format prescribed by the Department, and at the proposer's expense.
6. **Supplemental Information.** Supplemental information will not be considered after the deadline submission of proposals, unless specifically requested by the Department. The Department may ask a proposer to give demonstrations, interviews, oral presentations, or further explanations to clarify information contained in a proposal. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Department. At its sole discretion, the Department may limit the number of proposers invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per proposer.
7. **Presentation of Supporting Evidence.** If requested by the Department, a proposer must be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. The Department may make onsite visits to an operational facility or facilities of a proposer to evaluate further the proposer's capability to perform the duties required by this RFP. At its discretion, the Department may also check or contact any reference provided by the proposer.
8. **RFP Is Not An Offer.** Neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or the Department or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the Department and will supersede all prior negotiations, representations, or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the proposer or for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by the Department and, if required, by the Attorney General's Office.

D. RIGHTS RESERVED TO THE STATE

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

- 1. Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the Department.
- 2. Amending or Canceling RFP.** The Department reserves the right to amend or cancel this RFP on any date and at any time, if the Department deems it to be necessary, appropriate, or otherwise in the best interests of the State.
- 3. No Acceptable Proposals.** In the event that no acceptable proposals are submitted in response to this RFP, the Department may reopen the procurement process, if it is determined to be in the best interests of the State.
- 4. Award and Rejection of Proposals.** The Department reserves the right to award in part, to reject any and all proposals in whole or in part, for misrepresentation or if the proposal limits or modifies any of the terms, conditions, or specifications of this RFP. The Department may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Department reserves the right to reject the proposal of any proposer who submits a proposal after the submission date and time.
- 5. Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.
- 6. Contract Negotiation.** The Department reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Department further reserves the right to contract with one or more proposer for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFO) on cost from proposers. The Department may set parameters on any BFOs received.
- 7. Clerical Errors in Award.** The Department reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the proposer.
- 8. Key Personnel.** When the Department is the sole funder of a purchased service, the Department reserves the right to approve any additions, deletions, or changes in key personnel, except for key personnel who have terminated employment. The Department also reserves the right to approve replacements for key personnel who have terminated employment. The Department further reserves the right to require the removal and replacement of any of the proposer's key personnel who do not perform adequately, regardless of whether they were previously approved by the Department.

E. STATUTORY AND REGULATORY COMPLIANCE

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

- 1. Freedom of Information, C.G.S. § 1-210(b).** The Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b).

Proposers are generally advised not to include in their proposals any confidential information. If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State has no obligation to initiate, prosecute, or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. The proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a proposer may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.

- 2. Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to insure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.
- 3. Consulting Agreements, C.G.S. § 4a-81.** Proposals for State contracts with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall include a consulting agreement affidavit attesting to whether any consulting agreement has been entered into in connection with the proposal. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of C.G.S. Chapter 10 as of the date such affidavit is submitted in accordance with the provisions of C.G.S. § 4a-81. The Consulting Agreement Affidavit (OPM Ethics Form 5) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms
IMPORTANT NOTE: A proposer must complete and submit OPM Ethics Form 5 to the Department with the proposal.
- 4. Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8 and No. 7C, Para. 10; C.G.S. § 9-612(g)(2).** If a proposer is awarded an opportunity to negotiate a contract with an anticipated value of \$50,000 or more in a calendar or fiscal year, the proposer must fully disclose any gifts or lawful contributions made to campaigns of candidates for statewide public office or the General Assembly. Municipalities and CT State agencies are exempt from this requirement. The gift and campaign contributions certification (OPM Ethics Form 1) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms
IMPORTANT NOTE: The successful proposer must complete and submit OPM Ethics Form 1 to the Department prior to contract execution.
- 5. Nondiscrimination Certification, C.G.S. §§ 4a-60(a)(1) and 4a-60a(a)(1).** If a proposer is awarded an opportunity to negotiate a contract, the proposer must provide the Department with *written representation* or *documentation* that certifies the proposer complies with the State's nondiscrimination agreements and warranties. A nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. The nondiscrimination certification forms are available on OPM's website at http://www.ct.gov/opm/fin/nondiscrim_forms
IMPORTANT NOTE: The successful proposer must complete and submit the appropriate nondiscrimination certification form to the awarding Department prior to contract execution.

III. PROGRAM INFORMATION

A. DEPARTMENT OVERVIEW

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 for which it 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 government.

The mission of the Connecticut Department of Public Health is to protect and improve the health and safety of the people of Connecticut by:

- Assuring the conditions in which people can be healthy;
- Promoting physical and mental health, and;
- Preventing disease, injury, and disability.

At the DPH, there is an emphasis on evidence-based practices centered on the collection of health data to shape policy and program initiatives. In collaboration with partners and other stakeholders the Department works to provide an integrated public health system that maximizes the public's investment in public health and strives for continuous quality improvement.

The CT DPH is the state agency responsible for the administration of the Title V Maternal and Child Health Services Block Grant. Organizationally, the Early Hearing Detection and Intervention (EHDI) Program is located within the Community, Family Health, and Prevention Section (CFHPS). The CFHPS works to improve the health of the overall population across the lifespan, especially mothers, infants, children, adolescents and other vulnerable groups, by establishing opportunities that support healthy living habits through education, early detection, access to care, and chronic disease prevention.

This RFP is being issued by the Early Hearing Detection and Intervention (EHDI) Program.

B. PROGRAM OVERVIEW

EHDI and Universal Newborn Hearing Screening Legislation

Beginning July 1, 2000, Connecticut General Statute 19a-59 required the creation of the state's Early Hearing Detection and Intervention Program (EHDI), and that all birth facilities to conduct universal hearing screening on all newborns as a standard of care.

Congenital Cytomegalovirus (cCMV) Legislation

Additionally, on January 1, 2016, Connecticut General Statute 19a-55 was amended to require birth facilities to test all newborns who failed their newborn hearing screening for congenital Cytomegalovirus (cCMV) and report the results to the DPH.

Program Responsibilities

The department's Early Hearing Detection and Intervention Program (EHDI) is responsible for ensuring that all Connecticut-born infants receive the appropriate newborn hearing screenings, congenital Cytomegalovirus (cCMV) tests, diagnostic hearing evaluations, Birth to Three early intervention (EI), and family support and mentoring services to maximize their language, literacy, and social-emotional development. Children ages 0-3 years are the focus of the program's activities; however, the program does serve children through age five on a limited basis.

Goals

Specifically, the EHDI Program works to improve developmental outcomes for infants identified with hearing loss by:

- Ensuring all Connecticut newborns are screened for hearing loss before hospital discharge or by one (1) month of age.
- Ensuring all children who fail their newborn hearing screening are tested for cCMV before 21 days of age.

- Ensuring that diagnostic audiological follow-up evaluations are completed by three (3) months of age for infants who failed their newborn hearing screening.
- Ensuring infants diagnosed with a hearing loss are referred to and enrolled in an Early Intervention (EI) program by six (6) months of age.
- Tracking and surveilling each of the 35,000-plus births in CT to ensure the above are met.
- Collecting and analyzing screening, cCMV, audiology, hearing loss, EI, and demographic data.
- Reducing the number of cases classified as “lost to follow-up” and “lost to documentation”.
- Maintaining or building partnerships with local, regional, state, and federal stakeholders, and improving family engagement and leadership in the statewide EHDI system.
- Initiating and supporting provider and parent educational initiatives.
- Connecting families of children with identified hearing loss to family-to-family support and deaf hard of hearing (DHH) adult mentors.
- Conducting outreach and education to parents, birth facilities, audiology centers, midwife centers, pediatric centers, community partners, state and federal partners, other associated individual health practitioners or providers, and others in the EHDI system.

The above goals align with National EHDI goals as defined by the Health Resources and Services Administration (HRSA) the 2019 Joint Committee on Infant Hearing (JCIH) Position Statement¹, as well as with the Centers for Disease Control and Prevention (CDC), the Connecticut EHDI task force (TF), and generally accepted best practices.

The program is funded via HRSA’s Universal Newborn Hearing Screening grant, which requires the following objectives be met by 2024:

- 1) Increase the number of infants that completed a newborn hearing screen no later than 1 month of age.
- 2) Increase the number of infants that completed a diagnostic audiological evaluation no later than 3 months of age.
- 3) Increase the number of infants identified to be DHH that are enrolled in EI services no later than 6 months of age.
- 4) Increase the number of families enrolled in family-to-family (F2F) support services by no later than 6 months of age.
- 5) Increase the number of families enrolled in DHH adult-to-family support services by 9 months old.
- 6) Increase the number of health professionals and service providers trained on key aspects of the EHDI Program.
- 7) Develop a state/territory plan to expand infrastructure, including data collection and reporting, for continued hearing screening for children up to age 3 at scheduled intervals, regardless of past screening results.
- 8) Establish and maintain partnerships for referral, training, and information sharing with various state or territory stakeholder organizations and programs that include, but are not limited to, health professionals, service providers, birthing centers, and state or territory organizations and programs.
- 9) Support inclusion in the EHDI system to ensure that the state or territory’s EHDI system activities are inclusive of and address the needs of the populations it serves.

C. MAIN PROPOSAL COMPONENTS (25 page maximum)

Please Note: The Proposal Format Components Section D.1-4 detailed on page 7 must precede the Main Proposal Components.

1. Applicant Organizational Profile (20% review criteria)

The purpose of this subsection is to state the organizational requirements (beyond eligibility and minimum requirements) for applicants 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 and meet the

¹Year 2007 Position Statement: Principles and Guidelines for Early Hearing Detection and Intervention programs. Joint Committee on Infant Hearing. *Pediatrics* 2007; 120; 898. DOI: 10.1542/peds.2007-2333

intent of this RFP. 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), community-based agencies, CT State agencies and municipalities. Individuals who are not a duly formed business entity are ineligible to participate in this procurement. The proposal must contain a completed Cover Sheet, Contractor Information Form, and a signed Notification to Bidders Form, which are included in the attached Application Forms (See Section V.A). Provide the name, title, address, telephone and FAX number of staff persons responsible for the completion and submittal of:

1. Contract and legal documents/forms
2. Program progress reports
3. Financial expenditure reports

Accurate information is needed by the Department concerning the applicant's legal status.

Indicate whether the agency is incorporated, the type of agency applying for funding, the fiscal year for the applicant agency, the agency's federal employer ID number and/or town code number.

c. Current Range of Services / Clients

Describe the current range of services provided by the applicant organization and populations served, including the annual number of clients reached and age range. Discuss successes and challenges in serving these populations. Relevant services are to include: Family and/or child mentoring; outreach and education for families and primary care and/or community providers; education and/or parent-networking activities; and assistance connecting families to community resources, including CT Birth to Three.

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

The proposer must define locations (physical and/or electronic) where services will or may be provided and hours of operation, including nontraditional locations and hours; include an accompanying description of how clients can reach their organization.

e. Accreditation / Certification / Licensure (if applicable)

Define any organizational accreditations, certifications, or licensure.

f. Organization's experience in providing family support services

Describe experience in the following areas:

- Knowledge about and experience working with families/parents/caregivers of DHH children.
- The types and quantities of resources you provide to families of children who are DHH.
- Providing culturally appropriate education and training to families/caregivers of DHH infants that enable families/caregivers to acquire the skills necessary to access needed medical and related support services.
- Conducting culturally appropriate training for healthcare providers and their practice staff, which may include hospital maternity staff and/or audiologists and audiology staff.
- Working with other statewide or local family organizations.
- Developing community-based resources independently or with other organizations.
- Providing or developing family and/or child mentoring.
- Providing or developing parent and family educational workshops and networking opportunities.

2. Service Requirements – Scope of Services (25% review criteria)

a. Service Area

The contractor must provide statewide services and support, and the contractor's approach or methodology must be addressed in the proposal.

b. Program Collaboration / Coordination

Proposals that build upon existing resources and services, and that also promote collaboration among various agencies, programs, providers, parent groups, professional organizations, or other relevant groups, will be given top scores in this area.

c. Documentation of Community Needs and Gaps / Resources

Demonstrate an understanding of the uniqueness of the target population by describing the needs in services and resources as well as identifying gaps in these areas.

d. Service Components and Activities

Outreach and Education - The applicant must describe how they would implement the following activities. Please note, activities may include, but are not limited to the following:

1. Describe the development and dissemination of resources for the parent/family of the DHH **and** the development and the implementation of family of the DHH workshops (in-person or electronically) aimed at expanding knowledge of:
 - The importance of completing newborn hearing screening by one month of age, diagnostic audiologic testing by three months of age; enrollment into EI support services by six months (Henceforth referred to as "1-3-6"), and enrollment into services/activities with the applicant's family based organization.
 - Risk factors for hearing loss and the continued monitoring of hearing.
 - Congenital Cytomegalovirus (cCMV).
 - The Connecticut Birth to Three System's Early Intervention (EI) services.
 - The importance of regular hearing screening through age three, regardless of screening results and risk factors.
 - Other services/activities for DHH children ages 0-3, and their families, the applicant would like to propose.
2. Describe the development and dissemination of pediatric practitioner resources **and** the development and implementation of workshops (in-person or electronically) aimed at expanding pediatric practitioner knowledge of:
 - The EHDI system and the EHDI 1-3-6 goals.
 - Joint Committee on Infant Hearing (JCIH) and CT EHDI task force guidelines.
 - Risk factors for hearing loss and the need for the continued monitoring of hearing.
 - Congenital Cytomegalovirus.
 - The importance of regular hearing screening through age three, regardless of screening results and risk factors.
3. Describe an approach to establishing a homebirth\midwife liaison to develop a relationship with homebirth and/or midwife practitioners, facilities, and organizations for the purposes of education and improving 1-3-6 outcomes. This position would work no more than 10-20 hours per month and may not be needed every month.
4. Describe an approach to establishing a cCMV liaison to develop a relationship with birthing facilities, pediatric practitioners, midwives, and other relevant entities or persons for the purposes of education and improving cCMV awareness and outcomes. This position would work no more than 10-20 hours per month and may not be needed every month.
5. Develop a social media and marketing management plan and subsequently maintain a regular social media presence offering resources, event information, and support to local families of DHH children.
6. Describe plans to expand activities to medically underserved portions of Eastern Connecticut that are classified as Health Professional Shortage Area.

Support Services

Describe an approach to providing parent-to-parent support services for the parents/families of children who are DHH. Activities may include but are not limited to:

1. Describe how the applicant would develop a DHH mentoring program. This program would utilize DHH adults to interact with the families of DHH children on a regular basis to act as a role model and provide guidance and insights.
2. Offer telephone, electronic, and in-person consultation to families of infants (0-3 years old) diagnosed with hearing loss from another parent of a DHH child.

3. Work with families who have an infant or toddler who is DHH and their primary care provider to build strong communication networks through the promotion of family-professional partnerships.
4. Describe the implementation and methods used to increase DHH family enrollment into services provided by applicant.
5. Describe ability and infrastructure to design, print, and mail informational letters or packets on a regular basis. Volume would be 10-100 letters per month. Designing and printing can be done in house, if qualified staff are available.

Data management

1. Describe existing or proposed software that the applicant organization will develop and maintain a data collection system to collect, store, and report demographic and service utilization data on families served. Information collected will include standard demographic information such as child's name, mother's name, child's DOB, address, etc. Additionally, hearing screening results, diagnostic results, age at diagnosis, hearing aid use/nonuse, primary communication mode, EI status / service provider, EI enrollment dates, and other data points to be determined, must also be collected. Additionally, the proposed database will be used to report on education and outreach activities, which will be submitted to the Department for review and approval on a scheduled basis.
2. The applicant should describe quality improvement and quality assurance (e.g. conduct periodic data assessments to evaluate the quality, accuracy and validity of the data; assess, and validate data collection methods utilized by staff) methods used and at what intervals.
3. Concerning children who are missing hearing screening results, cCMV results, diagnostic audiology testing results, or enrollment into Birth to Three information, describe the methods used to collect this information from parents, **and** the subsequent submission of that information to EHDI. The collection of this information may involve sending letters, phone calls, faxes, secure emails, or other methods.
4. Discussion of data management must include plans for modifications to operations, protocols, data elements, software and/or equipment, staff training, and improved communication methods.

Other

1. The selected applicant will also be expected to participate in CT EHDI Task Force meetings. The CT EHDI Task Force serves as an informal advisory committee to the Department. Its membership is multidisciplinary and includes representation from all stakeholder groups working to ensure a coordinated state EHDI system. The Task Force meets on the first Thursday of each month (September to June) from 9:00 – 11:00 AM.
2. Furthermore, the selected applicant will assist with designing, distributing, collecting, and analyzing family surveys to conduct gaps analyses and support the program evaluation and strategic planning process. In addition, the selected applicant will be required to develop a database to record demographic and service utilization data on families served and commit to working with DPH EHDI staff and the HRSA Family Leadership in Language and Learning Center to accomplish the proposed objectives and activities.

e. Program Access / Referral Process

Describe different avenues for families to access the applicant organization's services, including program referral protocol and procedures, as well as client eligibility and exclusion criteria. The primary service population must be infants identified with congenital hearing loss.

3. Staffing Plan (10% review criteria)

The proposal must describe the staff assigned to this project, including the extent to which they have the appropriate training, experience, and sufficient time allocated to perform assigned duties. Job descriptions, hours per week, and hourly rates\stipend\per diem amounts must be provided for all staff assigned to this project on the Staffing Form included in Section V.A. 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.

Staff should have familiarity with the unique needs of parents and families of deaf and hard of hearing (DHH) children and can address the needs of the targeted population. Resumes must be provided for all professional staff assigned to this project. One person shall function as the single point of contact for the program.

The proposer must complete and attach an organizational Work Force Analysis included in Section V.A. 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.

The proposer must include an organizational chart as an Appendix.

a. Subcontractors

If subcontractors are utilized for the provision or delivery of a service, the purpose of this subsection is to specify the information to be provided about the administrative and operational capabilities of each such subcontractor.

If subcontractors will be used in the proposed program, 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 (If known at application time, otherwise, will be required to submit during contract negotiations; see Section V.A - Attachments.)

4. Data and Technology Requirements (15% review criteria)

Successful proposers will clearly describe experience in the following criteria:

a. E-Mail, Internet, Remote Conferencing Capabilities

Proposer must define current capabilities as well as system restrictions. Proposers must have access to and be able to access secure email and the internet for the purposes of communication, data collection, data reporting, remote conferencing, DPH database access, 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 indicating any staff assigned to IT management. Such individual's name and contact information must be included.

c. Data Collection / Storage / Reporting

Successful proposers will be required to set up and maintain client files as per DPH confidentiality requirements. Successful proposers will also be required to collect client level data, and track performance measures and client level indicators as required by DPH.

Monthly and/or periodic reports will be required from each contractor to report program data on an ongoing basis. The frequency of the reports will depend on the type of program and services to be offered. The applicant will also be expected to respond to questions from an independent evaluator on data submissions and program operations and may be expected to make data collection modifications in order to assure outcome measures are being tracked.

5. Workplan (25% review criteria)

A comprehensive and realistic work plan must be provided on the Work Plan Form included in Section V.A. 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, activities, timeframe for completion, including a project start date, outcome measures, and staff position(s) responsible. Detail should be provided about the relationship and tasks to be performed by each subcontractor.

All services should be described in as much detail as possible. This may include information such as what training curriculums will be utilized, the length of time for each program or session, materials that will be provided or developed through this effort, and any pertinent details that will further describe your proposed project.

The detailed work plan form shall be completed in the required format provided in the attachments and included as an Appendix. It does not count toward the page limit. (See Section V.A).

D. COST PROPOSAL COMPONENT (5% review criteria)

1. Financial Requirements - Profile

Monthly and/or periodic expenditure reports will be required, dependent on the type of program to be provided. Budget basis programs will require expenditure reports that are submitted to the Department via an electronic system that is provided by the Department. Any services that are going to be provided on a fee-for-service basis need to include an invoice.

2. Budget and Budget Narrative

The proposal must contain an itemized budget with justification for each line item on the budget forms included in the Attachments in Section V.A.

- a. All costs (travel, printing, supplies, etc.) must be included in the contract price. Any organization including administrative and general costs as part of the project budget must also provide their cost allocation plan that identifies what categories of costs are included in the plan and how they are allocated. **Competitiveness of the budget will be considered as part of the proposal review process.**
- b. 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.
- c. 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.
- d. The proposed budget is subject to change during the contract award negotiations.
- e. Use of subcontractors is allowed. Subcontractor information and details also must be in the itemized budget. All information required of the contractor must be applied to the subcontractor as well.
- f. Copies of state set aside certifications for small and/or minority business must also be provided.
- g. Payments will be negotiated based on time frames and deliverables described in section V of this RFP.
- h. Please complete and attach the budget summary and budget justification forms in Attachments Section V. A. 4. and 5. Application Forms. Add pages to the required forms as needed. The proposer must submit one budget summary and justification for each year in the five-year proposal.

Total available funding is \$295,000 for a five-year period (\$59,000 per year), beginning April 1, 2022 through March 31, 2027.*

*Recipients will be required to participate in the annual National Early Hearing Detection and Intervention (EHDI) Conference: The budget must include a Travel line item for at least one (1) family member to attend the annual EHDI conference; a three (3) day – two (2) night trip.

IV. PROPOSAL OUTLINE

This section presents the **required** outline that must be followed when submitting a proposal in response to this RFP. Proposals must include a Table of Contents that exactly conforms to the required proposal outline (below). Proposals must include all the components listed below, in the order specified, using the prescribed lettering and numbering scheme. Incomplete proposals will not be evaluated.

	Page
A. Cover Sheet	1
1. Applicant Information Form (continued)	
B. Table of Contents	2
C. Declaration of Confidential Information (Per instructions: Section I. C.12.)	Etc.
D. Conflict of Interest - Disclosure Statement (Per instructions: Section I. C.13.)	
E. Executive Summary (Per instructions: Section I. D. 4.).	
F. Main Proposal	
1. Organizational Profile	
2. Scope of Services	
3. Staffing Plan	
a. Narrative	
b. Staffing Form	
c. Subcontractor Schedule A Detail Form	
4. Data and Technology	
5. Work Plan	
G. Cost Proposal	
1. Financial Profile	
2. Budget and Budget Narrative	
a. Narrative	
b. Budget Summary 1 Form	
c. Budget Justification Schedule B	
H. Appendices	
a. Job Descriptions	
b. Resumes	
c. Organizational Chart	
d. Work Plan Form	
e. Staffing Form	
I. Forms	
a. Workforce Analysis	
b. Acknowledgment of Contract Compliance.	
c. Notification to Bidders (CHRO)	
d. Consulting Agreement Affidavit (OPM Ethics Form 5)	

V. ATTACHMENTS

Reserved for Department use. Section V is not standard and will vary by RFP, depending of the Department's procurement requirements.

A. APPLICATION FORMS: *The following forms must be completed and included in the proposal submission as applicable and directed.*

1. Cover Sheet	24
2. Applicant Information Form (continuation)	25
3. Budget Summary Instructions	26
4. Budget Summary 1 Form	28
5. Budget Justification Schedule B Form	29
6. Position Schedule #2a Form	30
7. Subcontractor Schedule A Detail Form	31
8. Work Plan Form	32
9. Staffing Form	33
10. OPM Consulting Agreement Affidavit	34
11. Affirmative Action Contract Compliance Policy Statement	35
12. Workforce Analysis	37
13. Notification to Bidders.	38

B. INFORMATIONAL ATTACHMENTS: *The following attachments are for your information only. Do not include any of these forms with your proposal. These attachments will be used for applicants awarded funding and will be requested during the contract development process.*

1. Review Team Technical Review Criteria Worksheet	39
2. Nondiscrimination Certification Instructions	41
3. Nondiscrimination Certifications	42
4. Code of Ethics	44
5. False Claims Act Notification	45
6. False Claims Act Policy	46
7. False Claims Act Procedure	49
8. SEEC Form 11	52

V.A. Application Forms

COVER SHEET

REQUEST FOR PROPOSAL
RFP DPH Log# 2022-0902
Early Hearing Detection and Intervention Family Partners
CONNECTICUT DEPARTMENT OF PUBLIC HEALTH
Community, Family Health, and Prevention Section

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.

Signature of Authorizing Official: _____

Date _____

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)
• Total program cost

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	Town	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: <https://portal.ct.gov/OPM/Fin-POS/Standards/POS-Cost-Standards>
 - 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.

Contractor Name, Contract Number

FUNDING PERIOD: 99/99/9999 to 99/99/9999

**Contract Period: Contract Start Date to Contract End Date
Budget Summary**

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

**Complete Sub-contractor Schedule A

Contractor Name, Contract Number

FUNDING PERIOD: 99/99/9999 to 99/99/9999

**Contract Period: Contract Start Date to Contract End Date
Position Schedule #2a
Program/Fund**

Position Description and Staff Person Assigned	Site/ Location	Hours wk/ wks per Year	Hourly Rate	Total Salary Charged	Fringe Benefit Rate %	Total Fringe Benefits
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:		/			%	
Totals						

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

Subcontractor Schedule A-Detail
Contractor Name, Contract Number

BUDGET PERIOD: 99/99/9999 to 99/99/9999
Contract Period: Contract Start Date to Contract End
#1

Subcontractor Name:

Address:

Telephone: () (-)

Select One: **A** Budget Basis **B** Fee-for-Service **C** Hourly RateIndicate One: MBE WBE Neither

Line Item(s)	Program:	Name		Name		Total
	Fund:	SID 1	SID 2	SID 1	SID 2	
Total Subcontract Amount:						

#2

Subcontractor Name:

Address:

Telephone: () (-)

Select One: **A** Budget Basis **B** Fee-for-Service **C** Hourly RateIndicate One: MBE WBE Neither

Line Item(s)	Program:	Name		Name		Total
	Fund:	SID 1	SID 2	SID 1	SID 2	
Total Subcontract Amount:						

#3

Subcontractor Name:

Address:

Telephone: () (-)

Select One: **A** Budget Basis **B** Fee-for-Service **C** Hourly RateIndicate One: MBE WBE Neither

Line Item(s)	Program:	Name		Name		Total
	Fund:	SID 1	SID 2	SID 1	SID 2	
Total Subcontract Amount:						

Work Plan (use Landscape orientation; make as many blank pages as needed)

Goal:				
Services to be Provided	Activities	Timeframe for Completion	Outcome Measure	Staff Position(s) Responsible
Goal:				
Services to be Provided	Activities	Timeframe for Completion	Outcome Measure	Staff Position(s) Responsible
Goal:				
Services to be Provided	Activities	Timeframe for Completion	Outcome Measure	Staff Position(s) Responsible

Staffing Form

Profile of staff providing services. Please provide the information requested below.

Professional Staff*	Name	Title	Hourly Rate	Assigned to Project: # hrs./wk.
Position 1				
Position 2				
Position 3				
Position 4				
Clerical/ Support Staff:				
Position 1				
Position 2				

***Attach resumes and job descriptions for all Professional Staff in proposal appendix.**



STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

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

INSTRUCTIONS:

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

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

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

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

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

Consultant's Name and Title _____ Name of Firm (if applicable) _____

Start Date _____ End Date _____ Cost _____

Description of Services Provided: _____

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

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

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

Printed Name of Bidder or Vendor _____ Signature of Chief Official or Individual _____ Date _____
Printed Name (of above) _____ Dept. of Public Health _____ Awarding State Agency _____

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

Commissioner of the Superior Court or Notary Public

STATE OF CONNECTICUT

DEPARTMENT OF PUBLIC HEALTH

Deidre S. Gifford, MD, MPH
Acting Commissioner



Nec Lamont
Governor
Susan Bysiewicz
Lt. Governor

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
- 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"
- Must 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



Phone: (860) 509-8000 • Fax: (860) 509-7184
Telecommunications Relay Service 7-1-1
410 Capitol Avenue, P.O. Box 340308
Hartford, Connecticut 06134-0308
www.ct.gov/dph

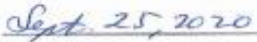
Affirmative Action/Equal Opportunity Employer



CONTRACT COMPLIANCE POLICY Page 2 of 2

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.


Deidre S. Gifford, MD, MPH
Acting Commissioner, Department of Public Health


DATE

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

NOTIFICATION TO BIDDERS

The contract to be awarded is subject to contract compliance requirements mandated by Section 4-114a of the Connecticut General Statutes; and, when the awarding agency is the state, Section 46a-71(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 4-114a et. seq. of the Regulations of Connecticut State Agencies which establish a procedure for the awarding of all contracts covered by Sections 4-114a and 46a-71(d) of the Connecticut General Statutes.

According to Section 4-114a-3(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 4-114a 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 4-114a-1 (10) of the Contract Compliance Regulations.

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

- a) the bidder’s success in implementing an affirmative action plan;
- b) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the 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 work force is at or near parity when compared to the racial and sexual composition of the work force 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 4-114a-3 (10) of the Contract Compliance Regulations.

INSTRUCTION: Bidder must sign acknowledgment form below and return signed page to Awarding Agency along with bid proposal. Please retain a copy for your files.

The undersigned acknowledged receiving and reading a copy of the “Notification to Bidders” form.

Signature _____ Date _____

on behalf of:

_____ Contract No.: #
 _____ Letter of Award: _____

V.B. Informational Attachments

DPH RFP Log # 2022-0902	Review Team Technical Review Criteria Worksheet		
Early Hearing Detection and Intervention (EHDI) Family Partners			
Applicant:			
Criteria		Maximum Points	Bidder's Points
1. Organizational Profile (20 points)			
1a. The extent to which the applicant has demonstrated successful experience providing similar services.		12	
1b. The Department's prior experience with the applicant organization including issues of contract compliance.		5	
1c. The applicant's history of successful contract fulfillment with State of CT Agencies including the orderly transfer of services following contract termination or conclusion.		3	
2. Scope of Services (25 points)			
2a. The extent to which the proposed services are described clearly and demonstrate an effective approach to providing the service components and activities outlined in the RFP.		15	
2b. The extent to which the proposal builds upon existing resources and services and promotes collaboration.		4	
2c. The extent to which the proposal demonstrates an understanding of the target population and describes the available resources.		4	
2d. The extent to which applicant provided evidence that it will demonstrate cultural competence in the design and implementation of services.		2	
3. Staffing Plan (10 points)			
3a. The extent to which the profile of staff and subcontractors are clear and adequate to manage the services to be provided. to be provided: The extent to which the profile of staff and subcontractors are clear and adequate to manage the services to be provided.		5	
3b. The extent to which adequate time is allocated to manage the services to be provided.		3	
3c. Does the proposer have a qualified program administrator responsible for overseeing the overall operation of the program and functioning as the single point of contact?		1	
3d. A thorough organizational chart is provided.		1	
4. Data and Technology (15 points)			
4a. The extent to which the applicant has demonstrated the ability to develop or maintain a data collection and reporting system and staff trained in its use.		5	

4b. The extent to which individual customer data will be tracked using the data system, and the ability to report that data and respond to data request to the EDHI program.	5	
4c. The extent of data quality assurance and data quality improvement measures.	5	
5. Work Plan (25 points)		
5a. The extent to which a thorough, realistic work plan is presented with clear activities, measurable objectives and specific, appropriate timelines, including a start date.	15	
5b. The extent to which the proposer provides details to demonstrate how it will measure or prove the completion of major tasks, functions, or activities (e.g., identification of key events/outcomes/deliverables).	10	
Cost Proposal (5 points)		
a. Financial Profile: The fiscal competitiveness of the proposal.	2.5	
b. Budget and Budget Narrative: The extent to which a cost-effective budget is presented which follows eligibility guidelines.	2.5	
	100	

TOTAL _____

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

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.

Individual Use FORM A	Corporation, Company or Entity <i>Use FORM B (under \$50,000) or FORM C (\$50,000 or more)</i>
For an individual, enter your full legal name and address of residence.	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. 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.
This does not apply for contracts with individuals.	Enter Corporation / Contractor Name with no abbreviations unless it is legally abbreviated in the charter if not already included on the form. Exception: Corp. is a legal abbreviation.
This does not apply for contracts with individuals.	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.



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – Representation By Entity
For Contracts Valued at Less Than \$50,000

Written representation that complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended

INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at less than \$50,000 for each year of the contract. Complete all sections of the form. Submit to the awarding State agency prior to contract execution.

REPRESENTATION OF AN ENTITY:

I, _____ of _____,
Authorized Signatory Title Name of Entity

an entity duly formed and existing under the laws of _____,
Name of State or Commonwealth

represent that I am authorized to execute and deliver this representation on behalf of

_____ and that _____
Name of Entity Name of Entity

has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Authorized Signature

Date

Printed Name



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – Affidavit By Entity
For Contracts Valued at \$50,000 or More

Documentation in the form of an affidavit signed under penalty of false statement by a chief executive officer, president, chairperson, member, or other corporate officer duly authorized to adopt corporate, company, or partnership policy that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at \$50,000 or more for any year of the contract. Complete all sections of the form. Sign form in the presence of a Commissioner of Superior Court or Notary Public. Submit to the awarding State agency prior to contract execution.

AFFIDAVIT:

I, the undersigned, am over the age of eighteen (18) and understand and appreciate the obligations of an oath.

I am _____ of _____, an entity
Signatory's Title Name of Entity

duly formed and existing under the laws of _____
Name of State or Commonwealth

I certify that I am authorized to execute and deliver this affidavit on behalf of

_____ and that _____
Name of Entity Name of Entity

has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Authorized Signature

Printed Name

Sworn and subscribed to before me on this _____ day of _____, 20____.

Commissioner of the Superior Court/
Notary Public

Commission Expiration Date

CODE OF ETHICS
BUSINESS COMPLIANCE NOTIFICATION

All state contracts issued must comply with CGS 1-84(i) which requires that the business entity receiving a non-competitive contract is not associated with a public official or state employee, nor is it associated with a member of the immediate family of a state employee or public official. The following definitions are offered to facilitate compliance with CGS 1-84(i).


1. An associated business is one in which the individual or immediate family member is a director, officer, owner, partner, or holder of 5% or more of the total outstanding stock of any class. (Officer refers only to the positions of president, executive or senior vice-president, or treasurer). Associated business also includes trusts, if a family member has an interest that exceeds 10% of the value of the trust, or \$50,000, whichever is less.
2. The term business includes both profit and non-profit undertakings.
3. Immediate family includes any spouse, children, or dependent relatives residing in the individual's household.

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.

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

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

 <p>Keeping Connecticut Healthy DPH Connecticut Department of Public Health</p>	<h2>False Claims Act (Policy)</h2>	<p>PL-CGMS C-001 Revision: 1.0 Effective Date: 05/21/2010</p>
---	------------------------------------	---

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>PL-CGMS C-001 Revision: 1.0 Effective Date: 05/21/2010</p>
---	------------------------------------	--

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.

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

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 (Procedure)</h2>	<p>PR-CGMS C-001 Revision: 1.0 Effective Date: 05/21/2010</p>
---	---------------------------------------	--

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

“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
“POS”	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>PR-CGMS C-001 Revision: 1.0 Effective Date: 05/21/2010</p>
---	---------------------------------------	--

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. 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.