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PROCUREMENT NOTICE

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The Connecticut Department of Mental Health and Addiction Services (DMHAS) and The Connecticut Department of Housing (DOH) are issuing this RFP to expand the creation of permanent supportive housing. The purpose of this particular RFP is to stimulate the creation of at least 110 new units of permanent supportive housing through the use of existing rental housing. Resources made available through this RFP are limited to 145 units of supportive service funding and 110 units of State rental assistance.

For this RFP, DMHAS and DOH are requesting the submission of Proposals and Project Plans from eligible organizations interested in providing support services to individuals and families who will be living in eligible housing units, who are income eligible as defined in Attachment 1, who are coping with psychiatric disabilities and/or chemical dependency, and who are chronically homeless (including persons who are "long-term shelter stayers") as defined in Attachment 1.

The Request for Proposals is available in electronic format on the State Contracting Portal at <http://www.das.state.ct.us/cr1.aspx?page=12> or from the Department's Official Contact:

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The RFP is also available on the Department's website at [www.ct.gov/dmhas/rfp](http://www.ct.gov/dmhas/rfp).

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

Deadline for submission of proposals is 2:00 p.m. local time on November 3, 2014.

*This document is configured for 2-sided printing.*

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## I. GENERAL INFORMATION

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### ■ A. INTRODUCTION

1. RFP Name or Number. Permanent Supportive Housing Request for Proposals

2. Summary. The Department of Mental Health and Addiction Services (DMHAS) and The Department of Housing (DOH) are issuing this RFP to expand on the existing collaborative interagency effort designed to create supportive housing as an evidence-based response to the problem of chronic homelessness. The purpose of this particular RFP is to stimulate the creation of up to 110 new units of permanent supportive housing by existing eligible supportive housing providers and through the use of existing rental housing. Resources made available through this RFP are limited to 145 units of supportive service funding and 110 units of State rental assistance.

For this RFP, DMHAS and DOH are requesting the submission of Proposals and Project Plans from eligible organizations interested in providing support services to individuals and families who will be living in eligible housing units, who are income eligible as defined in Attachment 1, who are coping with psychiatric disabilities and/or chemical dependency, and who are homeless, particularly people experiencing chronic homelessness.

Submitting organizations, either singly or in collaboration with other public and private entities, must be part of an effort to create safe housing units, to assure the affordability of the units and their access by the target population, to participate in the local coordinated access network, and to provide appropriate support services. Selected organizations may be eligible to receive annual service funding through DMHAS as described in this RFP, subject to project feasibility and the availability of funding. In addition, these organizations may be eligible to direct their homeless clients to apply for rental assistance certificates from DOH, where rental assistance is not available from other sources.

### ■ B. ABBREVIATIONS / ACRONYMS / DEFINITIONS

BFO	Best and Final Offer
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CT	Connecticut
DAS	Department of Administrative Services (CT)
DMHAS	Department of Mental Health and Addiction Services
DSS	Department of Social Services
FOIA	Freedom of Information Act (CT)
IRS	Internal Revenue Service (US)
LOI	Letter of Intent
OAG	Office of the Attorney General
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
POS	Purchase of Service
P.A.	Public Act (CT)
RFP	Request For Proposal
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States

- contractor: a private provider organization, that enters into a POS contract with the Departments as a result of this RFP
- proposer: a private provider organization, that has submitted a proposal to the Departments in response to this RFP

- prospective proposer: a private provider organization, that may submit a proposal to the Departments 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

### ■ C. INSTRUCTIONS

1. Official Contact. The Departments have 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 Departments. 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: Steve DiLella  
Title: Director of Housing and Homeless Services, DMHAS  
Address: 410 Capitol Avenue 4<sup>th</sup> Fl, PO Box 341431 MS#14HOU Hartford, CT 06134  
Phone: 860-418-6845  
Fax: 860-418-6696  
E-Mail: steve.dilella@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:

- DMHAS RFP Web Page  
[www.ct.gov/dmhas/rfp](http://www.ct.gov/dmhas/rfp)
- DOH RFP Web Page  
[www.ct.gov/doh](http://www.ct.gov/doh)
- State Contracting Portal  
[http://www.das.state.ct.us/Purchase/Portal/Portal\\_Home.asp](http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp)

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 Departments. The Departments anticipates the following:
  - Total Funding Available: \$1,100,000 available annually
  - Number of Awards: Up to 25
  - Contract Cost: To be determined
  - Contract Term: 3 years

4. Eligibility. Private provider organizations (defined as nonstate entities that are either nonprofit or proprietary corporations or partnerships), that are currently funded by DMHAS to provide services in supportive housing or homeless outreach 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:

Submissions will be accepted only from incorporated not-for-profit, 501(c)(3) organizations that are currently funded by DMHAS to provide services in supportive housing or homeless outreach. Organizations must have extensive existing operations in the State. Submitting organizations must have a demonstrated track record in the delivery of supportive services to individuals or families who require services in order to live independently in the community, particularly chronically homeless individuals with disabilities.

The Department encourages the formation of partnerships and collaborations between organizations that will result in approaches that serve regional supportive housing needs and that address both housing and service aspects. The Departments are particularly interested in partnerships between community service providers and local housing authorities. In the case of collaborative submissions, there must be a clear delineation of respective roles and responsibilities between the joint submitting organizations. Strategies for coordinating the activities of team members must be clearly defined. The service fiduciary must be clearly identified and must assume primary responsibility for the success of the service program plan.

Selected submitting organizations must be willing to participate in a structured program monitoring process that will include tracking of client outcomes and documentation of units of service, cost per unit of service delivered, and costs of services delivered. Outcomes to be tracked may relate to housing retention, use of inpatient health and behavioral health services, tenant income and employment, involvement with authorities, quality of life, independent living skills, and tenant satisfaction. In addition, all staff funded through this RFP must participate in the identified "Core Courses" of the Supportive Housing Training Curriculum, which is offered through DMHAS' Division of Education and Training. And staff participation in the additional courses offered through this curriculum is also encouraged (but not mandatory) as a resource available to support and strengthen staff capacity in the delivery of high-quality services.

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

• RFP Released:	September 15, 2014
• RFP Conference:	September 23, 2014
• Deadline for Questions:	October 1, 2014
• Answers Released:	October 8, 2014
• Proposals Due:	November 3, 2014
• (*) Proposer Selection:	December 15, 2014
• (*) Start of Contract Negotiations:	December 22, 2014
• (*) Start of Contract:	February 1, 2015

7. Letter of Intent. A Letter of Intent (LOI) is not required by this RFP.
8. Inquiry Procedures. All questions regarding this RFP or the Departments procurement process must be directed, in writing, to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Departments 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 Departments may or may not respond to questions received after the deadline. If this RFP requires a Letter of Intent, the Departments reserve the right to answer questions only from those who have submitted such a letter. The Departments 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 agencies will release the answers to questions on the date(s) established in the Procurement Schedule. The Departments will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Departments RFP Web Page.

9. RFP Conference. An RFP conference will be held to answer questions from prospective proposers. Attendance at the conference is optional. Copies of the RFP will not be available at the RFP Conference. Prospective proposers are asked to bring a copy of the RFP to the conference. At the conference, attendees will be provided an opportunity to submit written questions, which the Department's representatives may (or may not) answer at the conference. Any oral answers given at the conference by the Departments representatives are tentative and not binding on the Departments. All questions submitted will be answered in a written amendment to this RFP, which will serve as the Departments official response to questions asked at the conference. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such. The agency will release the amendment on the date established in the Procurement Schedule. The Departments will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Departments RFP Web Page.

The RFP Conference will be held on:

- Date: September 23, 2014
- Time: 12:00 pm
- Location: Lee Auditorium in Merritt Hall on the campus of Connecticut Valley Hospital, Middletown CT

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

- Due Date: November 3, 2014
- Time: 2:00 P.M.

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

An acceptable submission must include the following:

- one (1) original proposal;
- six (6) conforming copies of the original proposal; and
- one (1) conforming electronic copy of the original proposal.

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

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

12. Declaration of Confidential Information. Proposers are advised that all materials associated with this procurement are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations and interpretations resulting from them. If a proposer deems that certain information required by this RFP is confidential, the proposer must label such information as CONFIDENTIAL. In Section C of the proposal submission, the proposer must reference where the information labeled CONFIDENTIAL is located in the proposal. EXAMPLE: Section G.1.a. For each subsection so referenced, the proposer must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the proposer that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).
13. Conflict of Interest - Disclosure Statement. Proposers must include a disclosure statement concerning any current business relationships (within the last three (3) years) that pose a conflict of interest, as defined by C.G.S. § 1-85. A conflict of interest exists when a relationship exists between the proposer and a public official (including an elected official) or State employee that may interfere with fair competition or may be adverse to the interests of the State. The existence of a conflict of interest is not, in and of itself, evidence of wrongdoing. A conflict of interest may, however, become a legal matter if a proposer tries to influence, or succeeds in influencing, the outcome of an official decision for their personal or corporate benefit. The Department will determine whether any disclosed conflict of interest poses a substantial advantage to the proposer over the competition, decreases the overall competitiveness of this procurement, or is not in the best interests of the State. In the absence of any conflict of interest, a proposer must affirm such in the disclosure statement. Example: "[name of proposer] has no current business relationship (within the last three (3) years) that poses a conflict of interest, as defined by C.G.S. § 1-85."

■ D. PROPOSAL FORMAT

1. Required Outline. All proposals must follow the required outline presented in Section IV – Proposal Outline. Proposals that fail to follow the required outline will be deemed non-responsive and not evaluated.
2. Cover Sheet. The Cover Sheet is Page 1 of the proposal. Proposers must complete and use the Cover Sheet form provided by the Department in Section V. - Attachment 3.
3. Table of Contents. All proposals must include a Table of Contents that conforms with the required proposal outline. (See Section IV.)
4. Executive Summary. Proposals must include a high-level summary, not exceeding 2 pages, of the main proposal and cost proposal.
5. Attachments. Attachments other than the required Appendices or Forms identified in Section IV are not permitted and will not be evaluated. Further, the required Appendices or Forms must not be altered or used to extend, enhance, or replace any component required by this RFP. Failure to abide by these instructions will result in disqualification.

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

- Binding Type: None specified
- Dividers: Dividers must be placed between each section
- Paper Size: 8.5 x 11
- Page Limit: The narrative, exclusive of attachments, should not exceed 15 pages. Please be clear and concise; should it exceed the stated limit, it will be disqualified.
- Print Style: 2-sided
- Font Size: None specified
- Font Type: None specified
- Margins: None specified
- Line Spacing: None specified

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

8. Packaging and Labeling Requirements. All proposals must be submitted in sealed envelopes or packages and be addressed to the Official Contact. The Legal Name and Address of the proposer must appear in the upper left corner of the envelope or package. The RFP Name or Number must 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 the Departments as a clerical function, but it will not be evaluated. At the discretion of the Departments, 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 Departments 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 Departments 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 Departments will designate a Screening Committee to evaluate proposals submitted in response to this RFP. The contents of all submitted proposals, including any confidential information, will be shared with the Screening Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Screening Committee may result in disqualification of the proposer.

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

4. Evaluation Criteria. 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. Only the criteria listed below will be used to evaluate proposals.

- A. Compliance. The submitting organization's conformance with the instructions and specifications as outlined in this RFP.



- B. Track Record, & Experience of Each Submitting Organization (25 points)
- 1) The organization's eligibility to make a submission under this RFP (See Section I.C.)
  - 2) The degree to which the submission demonstrates collaboration between the submitting organization and other community-based organizations in the creation of the proposed project.
  - 3) Experience and track record of the submitting organization in the delivery of supportive services to individuals and families who are chronically homeless.
  - 4) Experience and track record of the organization in performing the service role it is proposing to play in the project, if any (i.e., in the provision case management services or other supportive residential or community based services) and experience in working with the targeted population(s), including persons experiencing chronic homelessness
  - 5) Experience and track record of the organization in performing the housing role it is proposing to play in the project, if any (i.e., in the ownership or management of rental for the targeted population(s), in subsidy administration, in operating a scattered site leasing program, etc.).
  - 6) For collaborative submissions, the collective experience and track record of the joint submitting organizations in all of the above, the clear delineation of respective responsibilities between the participating organizations, and a clear strategy for coordinating the activities of the partners on an on-going basis.
  - 7) General organizational capacity (including factors such as length of existence, breadth and sophistication of current program activities, staff capacity, tenure and experience of board members, and financial capacity of fiduciary) and performance on previous contracts.
- C. Project Plan (50 points)
1. Compliance with the Program Guidelines (Section IV).
  2. Submitting organization's willingness to participate in performance evaluation of the project through a program of Quality Assurance Monitoring.
  3. The overall coherence, comprehensiveness and feasibility of the submitting organization's project plan, including the applicants' understanding of the goals of this initiative
  4. PRIORITY FACTORS (25 points)
    - a. Degree to which the submitting organization proposes to serve individuals and families who are experiencing chronic homelessness.
    - b. Submitting organization: Has secured a commitment of subsidies, or subsidized units, from the local housing authority or other entity.
    - c. Degree to which the submitting organization has engaged the targeted communities in the planning and creation of the housing and services (e.g., engagement with the continuum of care and other community planning processes in identifying needs that have not been met, developing local solutions or models, and including groups traditionally left out of local planning processes, engagement in the local planning processes for developing the local Coordinated Access Network, and intent to use the Vulnerability Index/Services Prioritization Decision Assistance Tool (VI/SPDAT) to prioritize chronically homeless individuals for permanent supportive housing). If not yet engaged, are they planning to do so? Consistency of the proposed housing and services with local priorities (current and in development) for affordable or supportive housing.
    - d. The extent using peers in the design of the service approach and the provision of services.
    - e. The use of SSI/SSDI Outreach, Access, and Recovery (SOAR) in assisting chronically homeless individuals obtain income.
  5. The demonstrated level of need for the type of housing proposed for the target population in the targeted geographic areas identified by the submitting organization, the relative availability of alternative resources in the identified target areas.
  6. The quality of the submitting organization's Housing Plan and its consistency with the program guidelines.

7. The general suitability of the proposed target area(s) from the perspective of the availability of existing housing units and a service linkages, and access to transportation and community amenities.
  8. Degree to which the housing approach integrates housing units serving the targeted population(s) with units serving people without identified special needs.
  9. The quality of the submitting organization's Recovery Plan, including the degree to which the services will have a positive impact on the self-sufficiency of the tenants, and its consistency with the program guidelines.
  10. Degree to which the services to be funded add to the service capacity of the submitting organization(s) and the service system within the locality and region.
  11. Degree of linkage with existing rehabilitation, employment, education, healthcare and treatment systems.
5. Proposer Selection. Upon completing its evaluation of proposals, the Screening Committee will submit the rankings of all proposals to the Department heads. The final selection of a successful proposer is at the discretion of the Department heads. Any proposer selected will be so notified and awarded an opportunity to negotiate a contract with the Departments. Such negotiations may, but will not automatically, result in a contract. Any resulting contract will be posted on the State Contracting Portal. All unsuccessful proposers will be notified by e-mail or U.S. mail, at the Department's discretion, about the outcome of the evaluation and proposer selection process.
  6. Debriefing. Within ten (10) days of receiving notification from the Departments, 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 Departments 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 Departments will schedule and hold the debriefing meeting within fifteen (15) days of the request. The Departments 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 Departments competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Department heads. 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 Departments 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.

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

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

Note:

Included in Part II of the standard contract is the State Elections Enforcement Commission's notice (pursuant to C.G.S. § 9-612(g)(2)) advising executive branch State contractors and prospective State contractors of the ban on campaign contributions and solicitations. If a proposer is awarded an opportunity to negotiate a contract with the Departments 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 Departments, 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 Departments 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 Departments are 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 Departments. The Departments 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 Departments. At its sole discretion, the Departments 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 Departments, 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 Departments 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 Departments 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 Departments 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 Departments 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 Departments.
2. **Amending or Canceling RFP.** The Departments reserve the right to amend or cancel this RFP on any date and at any time, if the Departments deem 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 Departments 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 Departments reserve 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 Departments may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Departments 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 Departments reserve the right to negotiate or contract for all or any portion of the services contained in this RFP. The Departments further reserve the right to contract with one or more proposer for such services. After reviewing the scored criteria, the Departments may seek Best and Final Offers (BFO) on cost from proposers. The Departments may set parameters on any BFOs received.
7. **Clerical Errors in Award.** The Departments reserve 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 Departments are the sole funder of a purchased service, the Departments reserve the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Departments also reserve the right to approve replacements for key personnel who have terminated employment. The Departments further reserve 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 Departments.

■ 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](http://www.ct.gov/opm/fin/ethics_forms)  
IMPORTANT NOTE: A proposer must complete and submit OPM Ethics Form 5 to the Departments with the proposal.
4. Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); 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](http://www.ct.gov/opm/fin/ethics_forms)

IMPORTANT NOTE: The successful proposer must complete and submit OPM Ethics Form 1 to the Departments 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 Departments 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. The nondiscrimination certification forms are available on OPM's website at [http://www.ct.gov/opm/fin/nondiscrim\\_forms](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 Departments prior to contract execution.

### III. PROGRAM INFORMATION

#### STATE OF CONNECTICUT DEPARTMENT of MENTAL HEALTH and ADDICTION SERVICES

##### I. PURPOSE OF THE REQUEST FOR PROPOSALS

###### A. Purpose of the Submission

The Department of Mental Health and Addiction Services (DMHAS) and The Department of Housing (DOH) are issuing this RFP to expand on the existing collaborative interagency effort designed to create supportive housing as an evidence-based response to the problem of chronic homelessness. The purpose of this particular RFP is to stimulate the creation of up to 110 new units of permanent supportive housing by existing eligible supportive housing providers and homeless outreach providers through the use of rental housing. Resources made available through this RFP are limited to 145 units of supportive service funding and 110 units of State rental assistance.

For this RFP, DMHAS and DOH are requesting the submission of Proposals and Project Plans from eligible organizations interested in providing support services to individuals and families who will be living in eligible housing units, who are income eligible as defined in Attachment 1, who are coping with psychiatric disabilities and/or chemical dependency, and who are chronically homeless. Individuals or families that are not chronically homeless, or deemed in need of permanent supportive housing by the local Coordinated Access Network, are not eligible for this RFP without the consent of the Departments.

Submitting organizations, either singly or in collaboration with other public and private entities, must be part of an effort to create safe housing units, to assure the affordability of the units and their access by the target population, and to provide appropriate support services. Selected organizations may be eligible to receive annual service funding through DMHAS as described in this RFP, subject to project feasibility and the availability of funding. In addition, these organizations may be eligible to direct their homeless clients to apply for rental assistance certificates from DOH, where rental assistance is not available from other sources.

The Departments will utilize the Interagency Committee for Supportive Housing to review all submissions under this RFP. This Committee includes representatives from DMHAS and DOH, and also from the Connecticut Housing and Finance Authority, the Office of Policy and Management, the Department of Children and Families, the Department of Social Services, the Department of Developmental Disabilities, the State Department of Veterans Affairs, the Department of Correction, and the Judicial Branch's Court Support Services Division. The Departments are also working in collaboration with the Corporation for Supportive Housing (CSH), which will be available to provide technical assistance in supportive housing planning and creation to selected participants.

###### B. Goals of this RFP

This Request for Proposals is designed to accomplish two goals. The first goal is to expand the creation of permanent supportive housing, as an evidence-based response to chronic homelessness. As defined by the Substance Abuse and Mental Health Services Administration, the 7 Dimensions of Permanent Supportive Housing are:

1. Choice in housing and living arrangements
2. Separation of housing and services
3. Decent, safe, and affordable housing
4. Community integration
5. Rights of tenancy
6. Access to housing and privacy
7. Flexible, voluntary, and recovery-focused services

The second goal of this RFP is to provide service funding to projects that have created supportive housing without dedicated service funding support. Priority will be given to development projects that have created permanent supportive housing through the Low Income Housing Tax Credit Program (LIHTC).

###### C. Eligible Organizations

Submissions will be accepted only from incorporated not-for-profit, 501(c)(3) organizations that are currently funded by DMHAS to provide services in supportive housing or homeless outreach. Organizations must have extensive existing operations in the State. Submitting organizations must have a demonstrated track record in the



delivery of supportive services to individuals or families who require services in order to live independently in the community, particularly chronically homeless individuals with disabilities.

The Departments encourage the formation of partnerships and collaborations between organizations that will result in approaches that serve regional supportive housing needs and that address both housing and service aspects. The Departments are particularly interested in partnerships between community service providers and local housing authorities. In the case of collaborative submissions, there must be a clear delineation of respective roles and responsibilities between the joint submitting organizations. Strategies for coordinating the activities of team members must be clearly defined. The service fiduciary must be clearly identified and must assume primary responsibility for the success of the service program plan.

Selected submitting organizations must be willing to participate in a structured program monitoring process that will include tracking of client outcomes and documentation of units of service, cost per unit of service delivered, and costs of services delivered. Outcomes to be tracked may relate to housing retention, use of inpatient health and behavioral health services, tenant income and employment, involvement with authorities, quality of life, independent living skills, and tenant satisfaction. In addition, all staff funded through this RFP must participate in the identified "Core Courses" of the Supportive Housing Training Curriculum, which is offered through DMHAS' Division of Education and Training. And staff participation in the additional courses offered through this curriculum is also encouraged (but not mandatory) as a resource available to support and strengthen staff capacity in the delivery of high-quality services.

#### D. Required Components

In preparing a response to this RFP, the submitting organization must thoroughly and concisely address the list of Required Components specified in Section IV of this RFP.

## II. FUNDING

### A. DMHAS Service Funding

Organizations selected through this RFP may be eligible to receive annual service funding through DMHAS as described below, subject to the following:

- The availability of funding for 145 units of supportive services at the rate of \$7,500 per tenant;
- Demonstrate how the applicant will provide employment services for this population and provide a percentage of tenants in this program that will be employed during their tenancy.
- Approval by DMHAS of the organization's final service program plan;
- The demonstrated feasibility of the housing initiative;
- The selected organization's compliance with DMHAS contracting requirements.
- Participation in the creation of the local Coordinated Access Network
- The use of peers in the service delivery of supportive housing services
- The use of SOAR to assist the tenants achieve increases in income

A final commitment of funding will not be issued until satisfaction of all stated conditions. Any contract awarded at that time must be in full conformity with statutory requirements of the State of Connecticut. The annualized funding level anticipated to be available to selected organizations for the provision of eligible support services as described in Section IV of this RFP will be negotiated as part of the post-award contracting process, but will be no more than \$7,500 per individual (or family) living in eligible housing units (as defined in Attachment1). Funding will be capped by the number of eligible persons who will be served in the housing units as specified and approved by DMHAS. DMHAS funding is subject to annual appropriation by the Connecticut General Assembly.

Priority for service funding will be given to organizations:

- That maximize the use of existing support services resources;
- That have rental subsidies from sources other than this RFP, including local public housing authorities.
- That propose to house the most vulnerable chronically homeless individuals and families as determined through the Coordinated Access Network using the VI/SPDAT
- That prioritize a portion, but not all, of the units to the most vulnerable chronically homeless population that also are 1. Elderly, 2. Veterans not eligible for VASH or 3. Frequent Users of the Criminal Justice System. Please note that the Departments will only prioritize applications that choose only one of these subpopulations as part of the service plan.
- That created supportive housing through the Low Income Housing Tax Credit Program

Should service funding levels be insufficient to fund all selected respondents at the levels proposed, DMHAS may choose to 1) fund a portion of the respondent's proposed units, 2) choose to initially fund only a portion of the total selected respondents based on the Departments ranked approval of the RFP submission, readiness to proceed, and equitable geographic distribution of funded projects throughout state, and/or 3) choose to fund services at less than the anticipated \$7,500 annualized funding level.

DMHAS supportive housing service funding can and should be used in combination with funding from other State agencies as well as with private, federal and local resources to maximize the benefits of the program. Resources from these various sources may include funding for other services (such as employment services), or for rental or operating subsidies. Submitting organizations should apply to these other sources directly.

#### B. DOH Rental Assistance

DOH has funding available to support 110 DOH Rental Assistance Program (RAP) Certificates for eligible clients. Organizations selected through this RFP will also be able to submit applications to the DOH RAP on behalf of eligible clients. DOH will administer the rental assistance and will provide a tenant-based or project-based rental subsidy. Selected organizations must agree to work cooperatively with DOH's housing agent. DOH funding is subject to annual appropriation by the Connecticut General Assembly.

DOH rental assistance is only available for apartments equipped with bathrooms and kitchens and that meet State Rental Assistance Program requirements. It is not available for single room occupancy (SRO) apartments.

The number of rental assistance certificates reserved will not exceed the number of eligible persons who will be served in the housing units as specified and approved by DOH. Should rental assistance funding levels be insufficient to reserve subsidies for all selected respondents at the levels requested, DOH may choose to 1) reserve subsidies for a portion of the respondent's proposed units, and/or 2) choose to initially reserve subsidies for only a portion of the total selected respondents based on the Departments ranked approval of the RFP submission, readiness to proceed, and equitable geographic distribution of funded projects throughout the state. The Departments may choose to hold selected, but unfunded, submissions until such time as additional funding becomes available.

### III. PROGRAM GUIDELINES

#### A. Program Goals

This supportive housing effort is designed to foster the creation of affordable, service-supported housing opportunities for individuals and families who are chronically homeless. This Request for Proposals is designed to accomplish two goals: first, to expand the creation of supportive housing, as an evidence-based response to chronic homelessness; the second goal is to provide service funding to projects that created permanent supportive housing through the Low Income Housing Tax Credit Program.

Selected organizations will provide support services to persons living in housing units that serve, and are affordable to, the target population as described in this section. All tenants of this housing must have access to flexible, individualized services as needed and for as long as they are needed to achieve and retain permanent housing, increase their skills and income, and achieve greater self-determination.

#### B. Eligible Populations

Through this RFP, the Departments are requesting submissions of proposals and from organizations interested in providing support services, or support services combined with rental assistance, to certain target populations living in eligible housing units.

Eligible populations are:

1. New Supportive Housing Tenants: adults, including heads of households, (age 18 or older) with severe and prolonged mental illness and/or chronic chemical dependency, and families who are chronically homeless at the time of application for the housing, and who have incomes at or below 30% of area median income as defined by HUD at the time of entering the housing. Eligible adults must be currently residing in an emergency shelter or be referred by staff from the local Homeless Outreach team and be determined to be vulnerable and in need of permanent supportive housing by the local coordinated access network.
2. Tax Credit units that have been providing supportive housing, or have been selected to provide supportive housing without a dedicated source of service funding and that need the service funding for the sustainability of the project.

Project Plans should clearly identify the populations to be served by the housing and should document the need for the proposed housing and supports for the identified populations within the targeted geographic area(s).

#### C. Eligible Housing Units

An eligible housing unit is an existing apartment that is reserved for occupancy by eligible persons that provides for affordability and expanded access to eligible populations through a formal (written) agreement with the property owner that is dated after the date that the submitting organization(s) is selected under this RFP and that reserves

the unit for eligible populations or an eligible person. This may be in the form of a rental subsidy agreement.

#### D. Project Plan - Housing Plan Guidelines

##### Permanent Supportive Housing— An Evidence-Based Practice

Eligible housing units must be permanent supportive housing units only. The primary purpose of permanent supportive housing is assisting the individual or family to live independently in the community and meet the obligations of tenancy.

The Substance Abuse and Mental Health Services Administration has defined Permanent Supportive Housing as an Evidence-Based Practice. The 7 Dimensions of Permanent Supportive Housing are as follows:

1. Choice in housing and living arrangements
2. Functional separation of housing and services
3. Decent, safe, and affordable housing
4. Community integration
5. Rights of tenancy
6. Access to housing and privacy
7. Flexible, voluntary, and recovery-focused services

These 7 dimensions are described as follows:

1. Choice in housing and living arrangements—includes decisions about who else lives in the housing (e.g. alone, or with family or friends); location of the housing; size of the unit; proximity to services/public transportation.
2. Functional separation of housing and services—meaning that participation in specific support services is NOT required to get or keep housing. Effective approaches to implementing this practice includes:
  - o Legal separation between housing management and service delivery
  - o Functional separation—distinct housing and service staff roles (e.g. rent collection, maintenance of the property)
3. Decent, safe, and affordable housing—
  - o all housing units must meet HUD’s Housing Quality Standards (HQS)
  - o all housing units must be affordable to the population served—HUD affordability guidelines define 30% of income for housing as affordable
4. Community integration—includes the following elements:
  - o housing is located in regular residential areas
  - o housing approaches that mix populations are preferred (i.e. target populations with persons without identified special needs)
  - o tenants participate in community activities and receive community services
  - o natural supports are encouraged
5. Rights of tenancy—
  - o Tenants have full legal rights in a tenant-landlord relationship
  - o Tenants must abide by normal standards of behavior and conduct outlined in a lease
  - o The agreement between the tenant and landlord determines the length of stay
6. Access to housing—intake and screening processes prioritize and facilitate access to housing; application and intake processes are streamlined and as efficient as feasible; all involved organizations are encouraged to use a unified application process
7. Flexible, voluntary, and recovery-focused services
  - o Tenants can accept or refuse treatment or other services, but staff must continue to offer support and use flexible engagement strategies
  - o Type, location, intensity and frequency of services must adjust to meet tenants’ needs
  - o Risk management and crisis planning are part of the plan of support and are developed in partnership with tenants
  - o Recovery-oriented, consumer-driven, and evidence-based services work best

In order to expedite the housing placement of eligible tenants, priority will be given to projects that can assure rapid access to housing for applicants, with occupancy goals of 90 days—and not more than 120 days—from date of award notification. If funded projects fail to achieve full occupancy within 120 days after award notification, DMHAS reserves the right to recapture unutilized service and subsidy funds.

#### E. Project Plan - Recovery Plan Guidelines

1. Recovery Plan Principles

- a. The Recovery Plan must be designed to meet the needs of the specific population to be served and ensure access by the tenants to the non-clinical and clinical services they need to achieve and retain permanent housing, increase their skills and/or income, and achieve greater self-determination. There must be a written Recovery Plan, which is to be updated at least semi-annually.
  - b. Outreach and engagement is a fundamental component of services in supportive housing, and it is expected that service staff will continue to engage with tenants post move-in as an ongoing part of service delivery.
  - c. The service approach should incorporate the essential components, core competencies and values described in Attachment 2.
  - d. The Recovery Plan should also:
    1. Reflect the importance and value of connecting residents with mainstream resources, including employment and training programs, federal and state entitlement programs, and healthcare programs. The Recovery Plan should describe existing and planned linkages with vocational, educational and healthcare providers within the locality or region to be served.
    2. Incorporate natural supports (families, peers, faith communities, etc.).
    3. Articulate strategies for relapse prevention and management and linkages to treatment that will be developed to support these.
    4. Ensure that services are available for as long as is needed by the individual client.
    5. Include a peer component in the delivery of supportive housing services.
    6. Include access to SOAR to increase the income of the chronically homeless individuals
2. DMHAS Funded Services
- DMHAS service funds would be used to cover the cost of support services as described below:
- a. Funded services would be rehabilitation services provided to people living in eligible housing units that enhance and support the client's ability to achieve and retain permanent housing;
  - b. Services may be based on-site or off-site of the housing;
  - c. Case management is the core of the support services to be funded. Case management services provide a single point of accountability for coordination of services that are designed to offer the tenant support in living independently and establishing and maintaining residential stability.
- How the delivery of case management services is structured may vary. For example, it may be done by an assessment and intervention team, by individual case managers assigned to specific cases, or by a mix of professional staff and non-professional staff (such as desk staff) and consumers.
- Support service funds from DMHAS may not be used to provide rental assistance or to fund the costs of operating, acquiring, constructing or rehabilitating housing.
3. Linkages with Existing Area Services
- a. Submitting organizations will be expected to identify community-based support services that complement the rehabilitation services that would be funded under this initiative.
  - b. Services that would be funded under this initiative must:
    - Link with and support existing case management systems within the community and region, and not be duplicative of such services;
    - Provide for adequate linkages to the treatment system, particularly in regard to relapse prevention and relapse management;
    - Link with employment and educational supports within the region.
  - c. Submitting organizations should identify existing linkages to service, treatment, employment and educational resources within the region, or describe their agency's plans to establish such connections.
  - d. Evidence of access to support services should be specified in written memoranda of understanding or contracts for services. Evidence that such memoranda or contracts are in place will strengthen applications submitted in response to this RFP, and may be a condition of subsequent funding approval.

#### F. Monitoring

All projects will be required to participate in a comprehensive quality assurance monitoring process implemented by DMHAS and other cooperating agencies.

IV. PROPOSAL OUTLINE

	Page
A. Cover Sheet . . . . .	1
B. Table of Contents . . . . .	2
C. Declaration of Confidential Information . . . . .	Etc.
D. Conflict of Interest - Disclosure Statement . . . . .	
E. Executive Summary . . . . .	
F. Main Proposal . . . . .	
<b>1. Organizational Profile . . . . .</b>	

For each organization that is materially participating in the project (providing housing and/or services), answer/complete the following:

1. Provide a brief description of your organization, its purpose and history, and its primary programs. Indicate the total number of staff and identify the staff (and their role within the organization) that would manage your organization’s participation in the project.
2. Briefly describe your organization’s role in the project and the roles of any collaborating organizations. If possible, provide a chart or diagram that clearly illustrates the roles of the collaborating organizations in the project. Explain how the activities of the partners will be coordinated on an on-going basis and which organization(s) will be responsible for ensuring that this happens.
3. Describe the specific type and length of experience of your organization in the delivery of supportive services to individuals who require a level of such services in order to live independently in the community, and in the operation of housing or residential facilities for the homeless or special needs individuals. Describe experience directly related to your organization’s role or roles in carrying out the proposed project, including experience in working with the targeted population(s) including the chronically homeless, elderly chronically homeless, veterans not eligible for VASH and the chronically homeless that are frequent users of the criminal justice system. Describe the impact that these services have had on the self-sufficiency of your clients.
4. Do your organization’s bylaws restrict program activity to specific geographic areas? Describe geographic areas of current program activity.
5. Who is on your Board of Directors? Provide a list with names, addresses, current occupations, and tenure on board. Denote officers and their positions.

Answer yes or no to the following. If yes, provide an explanation.

6. Is your organization or any of its subsidiaries/affiliates in default on any contract obligation or agreement of any kind or nature whatsoever entered into with the State of Connecticut or any of its agencies?
7. Is your organization or any of its subsidiaries/affiliates a party to any pending legal proceedings and/or subject to any such proceedings known to be contemplated by governmental authorities?
8. Has your organization or any of its subsidiaries/affiliates ever received a commitment of funds from a bank, foundation or government agency to undertake a housing rehabilitation, construction or acquisition project that it was unable to bring to fruition?
9. Does your organization or any of its subsidiaries/affiliates have or has it ever had a financial ownership interest in any real estate that is now in default on its mortgage?
10. Does your organization or any of its subsidiaries/affiliates have a financial or ownership interest in any real estate on which real estate tax payments are past due?
11. Has your organization or any of its subsidiaries/affiliates been adjudged bankrupt, or filed for reorganization under the bankruptcy laws within the last five years?

For proposed funding fiduciaries only:

- 12. Has your organization been the subject of a programmatic and/or fiscal audit in the last five years? If yes, please indicate the nature of the audit and provide summary of findings. As part of the RFP process, DMHAS may request copies of such audits.
- 13. Has your organization or any of its subsidiaries/affiliates within the last five years ever failed to qualify as a responsible bidder, refused to enter into a contract after an award has been made, or failed to complete a contract, either privately or with any governmental agency?

**2. Scope of Services**

Please be clear and concise and limit your response to no more than 15 pages.

**A. Project Plan**

Please be clear and concise and limit your response to no more than 15 pages.

**1. The Project Summary**

Provide a brief overview of your proposed project (housing and services) in one paragraph.

**2. The Population(s) to be Served**

Who will be served by the proposed housing? Identify the following:

- a) Their characteristics.
- b) Where they live (why are they considered chronically homeless)?.
- c) Their needs within the locality or region for the types of housing and services proposed.
- d) Describe your plans for outreach and referral to be used to reach the targeted population(s), particularly persons experiencing chronic homelessness, including linkages to the local coordinated access network.
- e) Describe approaches that are being used, or will be used, to maximize participation by consumers reflective of the target population(s) to be served in the design and development of the housing and service approach and, to the extent possible, in the operation of the housing.

**3. Housing Plan.**

**A. Describe the housing where targeted population(s) will reside:**

- 1) Geographic area(s) proposed for the housing.
- 2) The total number of eligible individuals or families to be housed at any one time.
- 3) The number of proposed apartments that will serve eligible individuals or families.
- 4) Sizes of apartments targeted (Efficiency, 1 bedroom, 2 bedroom, etc.). (Note: DOH rental assistance cannot be used for SRO units.)
- 5) Configuration of the housing units (units will be widely scattered throughout an area, or clusters of units will be scattered throughout an area, or all units will be located on a single building, or other configuration).
- 6) Scale: if eligible housing units will be grouped in clusters or will be located in a single building, how many eligible units do you anticipate will be located in each cluster or site?
- 7) Will the housing be integrated (units serving the targeted population(s) mixed with units serving people without special needs)? If yes how so?
- 8) If the submitting organization has identified a site for the housing units, and the organization’s participation in the project is contingent on the use of the site for the housing, provide a description of the site, its location, and current ownership status.

**B. Sponsor-owned housing.** If a submitting organization, or a subsidiary of the organization, intends to own and/or manage any of the housing units, describe the organization’s experience in the ownership and management of rental housing.

**C.** Provide a timetable for when eligible housing units will be available for occupancy by the target population. All units that are to be used as part of this RFP must be occupied within 90 days of the date of award, and no later than 120 days from date of award.

**D. Describe strategies you will undertake to ensure:**

- Safety of the tenants
- Access by tenants to transportation and community amenities
- Housing quality (ie.apartments that meet HUD Quality Standards, building and fire codes)

- E. Targeted sources of funding for rental assistance. Please indicate on the cover sheet the number of DOH rental assistance certificates you are requesting to be reserved by the anticipated size of the apartments (0BR, 1BR, 2BR etc.) to be subsidized. Remember, priority for DMHAS service funding will be given to submitting organizations that have secured subsidies from other state, federal or local sources. Please identify if you:
  - Have a rental assistance commitment from HUD through its Continuum of Care program;
  - Have secured a commitment of subsidies, or subsidized units, from the local housing authority or other entity.
  
- F. Access to and selection for the housing
  - 1) How will the target population gain access to the program? Will access be region-wide or over several locales? Will the proposal use the local coordinated access network and the VI/SPDAT to prioritize the chronically homeless individuals that will access this housing?
  - 2) How will the targeted population(s) apply for and be screened for the housing? What conditions, if any, will be placed on their entry into the housing?
  - 3) How will the targeted population(s) be assisted in identifying housing units and negotiating with landlords? Who will do this?
  - 4) Will the tenant hold the lease directly with the landlord? If not, who will? If the provider, will the tenant hold a sublease? Will the provider be "master leasing" a block of units from a building owner? (Note: If DOH rental assistance is to be used, it must be provided directly to the tenant, who must hold the lease).
  - 5) Describe any special reserves (for security deposit assistance, repair of damages, etc.) that will be established and anticipated sources of funding for such reserves.
  - 6) Will the targeted population(s) be required to live in a particular area as a condition of receiving a rent subsidy? As a condition of receiving support services?
  
- G. Tenancy conditions. Will tenants have leases? What will be the term of the leases (length of time)? What terms or conditions will be placed on the tenant's occupancy in the housing? On the receipt of a rental subsidy? Will acceptance of services be a condition of either? Please provide detailed responses to these questions.
  
- H. Consumer preference. How does the housing as described above fit the needs and preferences of the targeted population(s)?
  
- I. Community Engagement.
  - 1) Describe approaches used or that will be used to engage local communities in the planning and creation of the housing and services.
  - 2) Do the proposed housing and services currently reflect community priorities for affordable or supportive housing? If so, in what way(s)? If not, what measures will be taken to influence these priorities?

**3. Recovery Plan. . . . .**

- A. Describe the support services the tenants will receive:
  - 1) Describe the goals of the supportive services to be provided, and how the services are designed to meet the needs and preferences of the targeted population(s) and the individual needs and preferences of the persons to be served.
  - 2) Describe the services that will be made available to eligible individuals. In your description, address the following components (use diagrams where feasible). If the characteristics of the service approach will vary significantly between housing types, geographic areas or participating service providers, these differences should be clear in your description.
    - a) What services will be provided and by whom
    - b) Service structure: describe staff positions, staff/client ratios, staff hours, after-hours access, minimum staff qualifications
    - c) Whether the service team will have offices on-site (at the housing) or off-site of the housing
    - d) How the service team will be internally coordinated – lines of communication, supervision and accountability

- e) How services will link with available community and regional resources, including existing case management systems and treatment systems
  - f) Outline how agency will identify and access employment for individuals. Identify the existing linkages with employment and educational resources within the region, or describe your agency’s plans to establish such connections.
  - g) How services will incorporate natural supports (family, peers, faith communities, etc.)
  - h) Strategies that will be used for relapse prevention and management
  - i) Outline how agency will connect the tenant individual with SOAR
  - j) How service delivery will incorporate peers into the delivery model
- B. Using the DMHAS RFP budget forms on the website, provide the anticipated budget for the services to be provided, and note what costs would be funded by DMHAS under this request.
- C. Describe how the targeted population(s) will access the services, including:
- 1) How they will be able to access case management services where they live (how will services come to the client?)
  - 2) Any terms or conditions that will be placed on their receipt of services
  - 3) How long they will be able to access the services
  - 4) Under what circumstances (if any) would a client be “discharged” from supportive services?
- D. From your previous experience in providing supportive housing, what have you learned and what would you do differently under this Initiative?

**4. Performance Measures—Quality Assurance . . . . .**

If selected under this RFP, is your organization willing to participate in an ongoing program of Quality Assurance Monitoring and Program Review of both the housing and services components of the projects? This program will examine service program operations and client outcomes. If this is a collaborative submission, are all participating organizations willing to participate in such a process?

**5. Provide the anticipated budget for the services to be provided . . . . .**

- a. Line item budget of income and expenses (use DMHAS Budget Forms in Attachment Section)
- b. Budget narrative providing detailed explanation of line items

**6. Appendices . . . . .**

Please provide the following documents:

- a. Memorandum of Agreement (if this proposal is a collaboration between two or more agencies)
- b. Résumés of Key Personnel
- c. Please provide your organization’s audited financial statements for the past two fiscal years and the current year’s operating budget.

**7. Forms . . . . .**

Please provide the following forms: (See Section V. – Attachments)

- a. Notification To Bidders, Parts I – V (CHRO) . . . . .
- b. Employer Information Report EEO-1 (U.S. EEOC) . . . . .
- c. Acknowledgment of Contract Compliance / Notification to Bidders (CHRO) . . . . .
- d. Consulting Agreement Affidavit (OPM Ethics Form 5) . . . . .
- e. Notice to executive branch state contractors and prospective state contractors of campaign contribution and solicitation ban



## V. ATTACHMENTS

**ATTACHMENT 1**

## PROGRAM DEFINITIONS

The program guidelines under this RFP are based on the following definitions.

## 1. ELIGIBLE PERSON

An adult (age 18 or older) who has an income at or below 30% of area median income as defined by HUD and who has:

Severe and Prolonged Mental Illness, defined for the purposes of this program as:

The person has a substantial history of a serious psychiatric disorder that has required:

1. Recent psychiatric hospitalization, or
2. Multiple or lengthy psychiatric hospitalizations in the past, or
3. Extensive community treatment and support services over a sustained period of time, or
4. The person exhibits signs and symptoms of a psychiatric disorder of sufficient severity to cause a current disturbance in several areas of role performance.

And/or

## b. Chronic Chemical Dependence

The person has a substantial history of at least one year of physiological dependence upon mood altering chemicals, with or without prior treatment episodes, to the extent that the dependence interferes significantly with social, economic and/or physical functioning, and evidence of substantial life losses as a result of substance use.

## 2. ELIGIBLE HOUSING UNIT

An eligible housing unit is an existing apartment that is reserved for occupancy by eligible persons (see above) that provides for affordability and expanded access to eligible populations through a formal (written) agreement with the property owner that is dated after the date that the submitting organization(s) is selected under this RFP and that reserves the unit for eligible populations or an eligible person. This may be in the form of a rental subsidy agreement.

## 3. PERSON OR FAMILY EXPERIENCING CHRONIC HOMELESSNESS

Based on the federal definition, a *chronically homeless individual* is an unaccompanied homeless individual with a disabling condition (including substance use disorder, serious mental illness, or chronic physical illness) who has either been continuously homeless for a year or more OR has had at least four episodes of homelessness in the past three years. In defining the chronically homeless, the term "homeless" means "a person sleeping in a place not meant for human habitation (e.g., living on the streets) or in an emergency homeless shelter. A family that has a member that meets the above definition would also allow the family to be considered chronically homeless.

**ATTACHMENT 2**

## Key Principles of the Recovery Plan

**1. Essential components of services to be provided:**

- a. Focused on the strengths and needs of each individual client;
- b. Provides help to client in identifying goals and needs, to develop plans to achieve their goals and objectives, and to gain access to appropriate community-based services, including, but not limited to, clinical services, employment and education, natural supports (family, peers, faith communities, etc.), and general community resources;
- c. Available where and when needed by the client. Clients must be able to access case management services where they live (meaning that case management services come to the client) and at hours that work for the client.

**2. Values of services to be provided:**

- a. Committed to maximizing client choices and options;
- b. Focused on client's strengths, gifts and potential contributions;
- c. Guided by an expectation of hope and recovery;
- d. Recognizes the importance and value of employment and work.

**3. Competencies of the service design:**

- a. Not duplicative of existing services serving the target population;
- b. Provides for adequate linkages to the treatment system, particularly in regard to relapse prevention and relapse management;
- c. Flexible and responsive service approach that recognizes, and can adapt to, an episodic pattern of service demands;
- d. Service team is internally coordinated with clear lines of communication, supervision and accountability.

**4. Core competencies of service team:**

- a. Skilled in on-going outreach and engagement of clients;
- b. Experienced with development of life skills that support the client's ability to succeed in permanent housing;
- c. Knowledgeable about community resources and the means of accessing them;
- d. Possesses the attitudes, knowledge, and skills necessary to work effectively with the population to be served by the housing.

**ATTACHMENT 3**

Connecticut Department of Mental Health and Addictions Services  
Request for Proposals Permanent Supportive Housing

Submission Cover Sheet

Name of Organization (Fiduciary for funding)	
Address of Organization:	
Organizational information: Year Incorporated: _____  Is your organization tax exempt? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide copy of IRS determination letter.	
Amount of Request: DMHAS Service Funding: \$ _____  DMHAS Rental Assistance Certificates (number): _____ 0BR _____ 1BR _____ 2BR _____ 3BR	
Name of Project:	
Project Location (Town(s)):	
Name of Contact:	Tel:
Title:	Fax:
	Email:
Acting as the duly authorized representative, I hereby affirm that the governing body of the above named organization has reviewed and accepts all the conditions of the Request for Proposals for the Permanent Supportive Housing Initiative, and that the organization is interested in being considered for participation in the Permanent Supportive Housing Initiative and becoming eligible to receive and administer Permanent Supportive Housing service funding and rental assistance (if applicable) subject to the conditions outlined in the RFP.	
_____ Signature of CEO/Executive Director	_____ Date

Please complete page two of the submission cover sheet for collaborating organizations.

Request for Proposals - Permanent Supportive Housing

Submission Cover Sheet – Page Two

Collaborating Organizations

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

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

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name (print): \_\_\_\_\_ Title: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

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

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name (print): \_\_\_\_\_ Title: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

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

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name (print): \_\_\_\_\_ Title: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

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

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name (print): \_\_\_\_\_ Title: \_\_\_\_\_

**ATTACHMENT 4**

Department of Mental Health and Addictions Services  
Request for Proposals – Permanent Supportive Housing  
Conditions Acceptance Form

Must be completed and signed by all submitting organizations

Acting as the duly authorized representative, I hereby affirm that the below named organization has reviewed and accepts all the conditions of the Permanent Supportive Housing RFP, including the following:

1. Acceptance or rejection. DMHAS reserves the right to accept or reject any or all responses submitted for consideration.
2. Ownership of submissions. All submissions in response to this RFP are to be the sole property of DMHAS and subject to the provisions of Section 1-210 of the Connecticut General Statutes (re: Freedom of Information)
3. Timing and sequence. Timing and sequence of events resulting from this RFP will ultimately be determined by DMHAS.
4. Oral agreement. Any alleged oral agreement or arrangement made by a submitting organization with any agency or employee will be superseded by a written agreement.
5. Amending or canceling requests. DMHAS reserves the right to amend or cancel this RFP, prior to the due date and time, if it is in the best interest of DMHAS and the State.
6. Rejection for default or misrepresentation. DMHAS reserves the right to reject the submission of any organization that is in default of any prior contract with the State or for misrepresentation.
7. Clerical errors in awards. DMHAS reserves the right to correct inaccurate awards resulting from its clerical errors.
8. Rejection of qualified submissions. Submissions are subject to rejection in whole or in part if they limit or modify any of the terms and conditions and/or specifications of this RFP.
9. Presentation of supporting evidence. A submitting organization must be prepared to present evidence of experience, ability, service facilities, and financial standing necessary to meet the requirements set forth or implied in the RFP.
10. Collusion. By responding, the submitting organization implicitly states that the submission is not made in connection with any competing organization submitting a separate response to the RFP, and is in all respects fair and without collusion or fraud.
11. This Request for Proposals does not represent any obligation or agreement whatsoever on the part of the State of Connecticut or DMHAS, such obligation or agreement could only be incurred or entered into by written agreement approved as necessary by the Office of the Attorney General.
12. Neither the State of Connecticut nor DMHAS is obligated to pay, nor shall in fact pay, any costs or losses incurred by any submitting organization at any time, including the cost of responding to this RFP.
13. Any determination to be made in connection with the RFP shall be in the sole discretion and judgment of DMHAS.
14. The qualifications of a submitting organization will not create any rights on the submitting organization's part, including without limitation, rights of enforcement, equity or reimbursement, until all necessary documents are fully executed and approved by the appropriate State agencies.
15. DMHAS reserves the right, at its sole option, to alter all program guidelines.

- 16. The State of Connecticut and DMHAS reserve the right, at their sole discretion, to reject at any time, any or all submissions, to withdraw the RFP, and to negotiate with one or more submitting organizations on terms other than those set forth herein. The State of Connecticut and DMHAS likewise reserve the right, at any time, to waive compliance with or change any of the terms and conditions of this RFP.
- 17. The State of Connecticut and DMHAS reserve the right to amend, modify or withdraw this RFP, to waive or alter any requirements of this RFP, to require supplemental statements and information from submitting organizations, modification or additions to submitted materials, and to hold discussions with any submitting organizations and to extend the deadline for submissions under this RFP.
- 18. Each submission must contain all of the information required by this RFP. However, DMHAS may, but is not required to, allow a submitting organization whose submission is incomplete to submit further information in order to remedy such defect.

Organization: \_\_\_\_\_ Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Name/Title: \_\_\_\_\_

**ATTACHMENT 5**

**COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES  
CONTRACT COMPLIANCE REGULATIONS**

**NOTIFICATION TO BIDDERS**

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

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

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

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

\*INSTRUCTION: Bidder must sign acknowledgement below, detach along dotted line and return acknowledgement to Awarding Agency along with bid proposal.

-----

The undersigned acknowledges receiving and reading a copy of the “Notification to Bidder’s” form.

\_\_\_\_\_  
(Signature)  
On behalf of:

\_\_\_\_\_  
(Date)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



**ATTACHMENT 6****STATE OF CONNECTICUT  
DEPARTMENT OF  
MENTAL HEALTH AND ADDICTION SERVICES****CONTRACT COMPLIANCE PRE-AWARD REQUIREMENTS**

Contract Compliance Regulations<sup>1</sup> of the Regulations of State Agencies requires the Department of Mental Health and Addiction Services to consider the following in determining the qualifications of the bidder to meet its 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 Equal Employment Opportunity apprenticeship and training Regulations<sup>2</sup>;
- (c) the bidder's promise to develop and implement a successful affirmative action plan;
- (d) the bidders' submission of EEO-1 Report (MHAS-38) indicating that 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;
- (e) the bidder's promise to set aside a portion of the contract for legitimate minority business enterprises.

Please provide the information requested on the EEO-1 Report in order that this contract compliance requirement may be met. Please return EEO-1 Report with bid proposal as this information is necessary to complete the contract award process. If you believe that any of the information requested is not applicable to you, please indicate and explain.

<sup>1</sup> Section 4a-60

<sup>2</sup> Section 46a-68-1 thru 17

## STATE OF CONNECTICUT COMMISSION ON HUMAN RIGHTS & OPPORTUNITIES WORKFORCE ANALYSIS AFFIRMATIVE ACTION REPORT

BIDDER/CONTRACTOR	CONTACT PERSON	DATE
ADDRESS	PHONE NUMBER	CONTRACT AWARD NUMBER

Report all permanent full-time or part-time employees, including apprentice and on-the-job trainees. Enter the numbers on all lines and in all columns.

JOB CATEGORIES	OVERALL TOTALS (Sum of all columns, A thru E Male and Female)	A WHITE (NOT OF HISPANIC ORIGIN)		B BLACK (NOT OF HISPANIC ORIGIN)		C HISPANIC		D ASIAN OR PACIFIC ISLANDER		E AMER. INDIAN OR ALASKAN NATIVE	
		MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE
Officials and Managers											
Professionals											
Technicians											
Sale Workers											
Office and Clerical											
Craft Workers (Skilled)											
Operatives (Semi-skilled)											
Laborers (Unskilled)											
Service Workers											
<b>TOTALS ABOVE</b>											

Do you use minority businesses as subcontractors or Suppliers?	<input type="checkbox"/> YES <input type="checkbox"/> NO	Explain:
If Ct. based, do you post all employment openings with the State of Connecticut Employment Service?	<input type="checkbox"/> YES <input type="checkbox"/> NO	Explain:
Do you implement a written Affirmative Action Plan?	<input type="checkbox"/> YES <input type="checkbox"/> NO	Explain:

**DESCRIBE YOUR RECRUITMENT, HIRING, TRAINING AND PROMOTION ANTIDISCRIMINATION PRACTICES**

ATTACHMENT 7



STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

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

INSTRUCTIONS:

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

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

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

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

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

Form fields for Consultant's Name and Title, Name of Firm (if applicable), Start Date, End Date, Cost, and 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.

Signature lines for Printed Name of Bidder or Vendor, Signature of Chief Official or Individual, Date, Printed Name (of above), and Awarding State Agency.

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

Commissioner of the Superior Court or Notary Public

**ATTACHMENT 8**

**NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN**

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on page 2):

***Campaign Contribution and Solicitation Ban***

*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 pre-qualification certificate, shall make a contribution to, or solicit contributions 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;*

In addition, no holder or principal of a holder of a valid pre-qualification certificate, shall make a contribution to, or solicit contributions on behalf of (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.

**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--\$2000 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 \$2000 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 \$5000 in fines, or both.

**Contract Consequences**

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

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, 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 will 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.

Receipt acknowledged: \_\_\_\_\_ (signature) \_\_\_\_\_ (date)

Print name: \_\_\_\_\_

Title: \_\_\_\_\_

Company Name: \_\_\_\_\_

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, [www.ct.gov/seec](http://www.ct.gov/seec). Click on the link to "State Contractor Contribution Ban"

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 pre-qualification 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 or a loan to an individual for other than commercial purposes.

"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.