UCONN
UNIVERSITY OF CONNECTICUT

DATE: Friday, July 14, 2017

TO: Prospective Respondents

FROM: Joseph Lastrina, Purchasing Agent II

RE: Addendum #4 to RFP # JL053117, On-call Consulting and Advisory Services

All Respondents are hereby advised of the following amendments to the Request for Proposal document(s) which are made an integral part of the bid documents. Respondents are required to acknowledge receipt of this addendum in their proposal response, as well as include a signed copy of this addendum with their RFP response.

Item # 1: Changes to RFP Document

THE FOLLOWING RFP APPENDICES HAVE BEEN REPLACED AND PUBLISHED WITH THIS ADDENDUM. RESPONDENTS SHALL INCLUDE THESE UPDATED RESPONSE APPENDICES WITH THEIR PROPOSAL:

1. Appendix A v. 3

Item # 2: Responses to Inquiries

Below are responses to inquiries received prior to the deadline established in section 4.1 of the original RFP document and as amended most recently by Addendum 3 dated 6/23/17.

THE INQUIRY PERIOD FOR THIS RFP IS NOW CLOSED.

Q1. On page 19 it states: 5.6 Ethics Affidavits and Certifications for State of Connecticut Contracts: The State of Connecticut Office of Policy and Management requires Proposers to submit the following state contracting forms when contracting with state agencies. By submitting a proposal in response to this RFP, bidder agrees to comply with, and execute, these mandatory, nonnegotiable forms at the time of contract execution. I emphasized "at the time of execution" because "5.5.7 Appendices/Required Forms:" includes all of those Affidavits and Certifications as required forms. Please confirm that these forms are required with the proposal.

A1. The University is requiring this form at the time of proposal submission and contract execution.

Q2. For the Nondiscrimination Certification, as a single-person LLC do I only use form a, NONDISCRIMINATION CERTIFICATION — Representation by Individual?

A2. As a Limited Liability Company, Form A is not appropriate; Form C or D should be submitted.

Q3. For notarized documents, if a raised seal doesn't scan, should I send hard copies?

A3. Hard copies should be submitted, although electronic scanned copies should also be included with the proposal submission.

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Q4. Much of this does not apply to my company (I do not have an office with halls in which to post notices or employees that I need to notify). Do I need to provide all of the documentations with an explanation that they are not applicable?

A4. This question is unclear due to the usage of the term "Much of this…" as the University cannot accurately determine what "this" is. All required forms in section 5.5.7 are required submittals by all Respondents. As suggested, if any of the forms cannot be completed, kindly include an explanation and the documentation will be reviewed upon review of proposals following submission.

Q5. In the Approach and Methodology to Scope, I am only responding to only two parts of section 3. Do I need to include the other sections (1, 2, 4, 5, & 6) with the statement that nothing is offered for each subcategory?

A5. Yes.

Q6. In the Form of Proposal document, as a sole person, do I list myself as the "Sales Representative" and append my resume to the Form of Proposal, do I repeat my resume in 5.5.4.3?

A6. For ease of navigation and purposes of uniformity, yes.

Q7. I have several associates who are not employees but who can be included in some of the services. Can I include them in the description of the technical proposal? Do I include their resumes in 5.5.4.3, or should I not because they are not employees?

A7. These associates can be included as part of the overall offering, although it should be highlighted they are being proposed as subcontractors.

Q8. In SOW, Financial Proposal, there are several specialists that I could call in depending on the nature of the work. I would like to list the skills and hourly rate. Can I do so by saying "Specialist editor" and listing their role and rate?

A8. These resources should be proposed as subcontractors unless they will be direct employees of your company.

Q9. Appendix F 3(b) (i) references Appendix 3-B and Appendix 3-C. Can you please provide the University's template for these Appendices?

A9. Item 1 of Addendum # 3 included a table showing which worksheets that are currently included in Appendix A will become which contract appendices. The submittals included in Appendix A will be formatted and included as appendices to resulting contract(s).

Q10. Per 7.46, can you please confirm that Nondiscrimination Certification in sections 5.5.7.7 and 5.6.6 is still required to be submitted with the proposal?

A10. Confirmed.

Q11. As the option of "No Service Available" is not available in the drop down cells in Appendix B, Tab 2 – Section Point by Point, should we add this to the Data Validation list (column I) or should we select "Agree to Comply"? For example, if we are not seeking awards in Categories 4 and 5, then what should be input in column C in this tab?

A11. If a Respondent is not providing a particular service, please select "Exception Taken" from the dropdown menu column C cells of the worksheet titled "2 – Section 3 Point by Point" and comment "No Service Available" in column D.

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Q12. Page 7: Section 3.2.4 states that several areas are out of scope for this RFP. Does responding to and being awarded any of the in-scope areas preclude a consultant from being considered for any of the out-of-scope areas if they are bid out by the university?

A12. Being awarded in itself does not necessarily preclude a firm from being considered for any out-of-scope areas if they are bid by the University. Notwithstanding, Respondents are reminded of the inability for a consultant to be engaged to provide consulting services directly related to the development of specifications to be used in or as part of a future bid process or purchase for which they'd like to be considered for. Please direct any further inquiries related to this question to Joseph Lastrina via email, joseph.lastrina@uconn.edu.

Q13. Page 14, Section 3.6.1 states that "throughout the point-by-point response to section 3, Respondents should describe their direct relevant experience in working with government, public sector, and/or higher education clients for each category of services in which they are bidding, as this experience is highly preferred and required to support the University's various needs."

Appendix B – Section 3 Point by Point asks the Respondent to either select "Agree to Comply" or "Exception Taken." It does not specify that we should describe our experience point by point.

The answer to Q23 based on the above is not clear. Could you please clarify whether we are expected to provide a summary of our relevant experience in the Executive Summary and also select "Agree to Comply" in Appendix B next to those services that we can provide OR do you expect us to describe our experience for EACH of the individual points in Appendix B – Section 3 Point by Point? The tab does not really provide space for that (just asks for "Agree to Comply") (i.e., 3.3.1.0 through 3.3.6.9).

A13. This information, while helpful if included in the Executive Summary, must be included in the narrative to be included as part of the Technical Proposal required pursuant to section 5.5.4.2.

Q14. Section 3.8 Pricing and Compensation Models – Tab SOW Services in Appendix A asks for hourly rates by type of position. Can we differentiate rates by category of service delivered?

A14. Appendix A v. 2 has been updated and included with the addendum as Appendix A v. 3 and now includes the ability to differentiate rates by category of service delivered.

Q15. Follow-up to Q37 and A37. Would individual SOWs/contracts coming out as a result of this RFP always be under $50,000 (item 3.v in Appendix F)? Also, is maximum compensation under the on-call agreement, for the entire duration of the agreement (3 years) only $300,000?

A15. As stated in section 3(b)(v) of Appendix F, the ability for engagements to exceed the $50,000 maximum will be made at the discretion of the UConn Director of Procurement Services (or the successor to his/her function).

The maximum amount payable against the contracts resulting from this RFP, at the time of initial contract signing, shall be $300,000, although consistent with A37 of Addendum # 3, the $300,000 maximum amount payable per awarded contract can be increased (to be memorialized via contract amendment) at a later date if required and shall occur at the sole discretion of the University.

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Q16. Regarding Addendum # 3: I am a small women owned business minority with no past performance here in the States or CT. In fact my company has just started in Feb 2017. I don't even have a financial statement or tax history. Nevertheless, I am partnering or subcontracting (not sure which works better for us) with a group of other similar business owner. Some of them have more history, past performance or reference than the other. Not all of us are registered as SMB but we can work towards that goal if it's required, surely mine is. We are all professionals and highly qualified in our fields with international experiences in education, training and coaching. We also have access to assessments and training material that we were certified to use from big organizations, which we will buy from them as we deliver to UConn. These providers have a track record in education and higher education making their material and certifications of great value. We are just trying to be awarded for few items on Category 5, which we feel we will add value to. We will try to write our proposal so that UConn see us clear, but we need some guidance. My concern is that it's not clear in the RFP if we can as described, submit as one entity because of lack of history or financial background, or as Joint venture or partners because of limited higher education large scale work. Is there a restriction on new entities? Lacking financial and past performance or references domestically? What if I have references from aboard (17 years of experience in delivering abroad) and (4-5 researching higher education)?? If yes, how do I respond to the financial questions or the history? If we decide to joint venture, how do we fill the form on references and history? one of us history suffices for the other or mention who's history is it? and also when covering point by point, mention who of us will do what and why?

A16. Per A13 of Addendum # 3, financial statement are not required at this time. Additionally, the University has not established a required minimum number of years of experience for the company / proposing entity, although experience of the resources employed by or supporting the proposing entity is a key consideration and should be clearly communicated as part of the narrative required to be included in the Respondents Technical Proposal pursuant to RFP section 5.5.4.2.

Q17. In consideration of our firm's potential intention to submit a proposal for RFP sections 3.3.2.2, 3.3.2.3, 3.3.2.4, 3.3.2.19, and 3.3.2.20:

Q17a. Can you please confirm if and what types of executive effectiveness assessments UConn has or currently uses?

Q17b. How many leaders do you anticipate taking advantage of this support on an annual basis?

Q17c. What is the title and tenure of those likely to take advantage of this service?

A17. The intent of the RFP is to secure multiple long-term relationships with vendors providing a broad range of services (consistent with the scope of this RFP and the resulting contracts) in the consulting and advisory industry. Given the fact that a broad range of needs exist and vary dependent upon the engagement, unfortunately this information cannot be provided.

Q18. In consideration of our firm's potential intention to submit a proposal for RFP sections 3.3.2.2, 3.3.2.3, 3.3.2.4, 3.3.2.19, and 3.3.2.20:

Q18a. Has UCONN leveraged leadership coaching before?

A18a. Yes.

Q18b. How many leaders do you anticipate taking advantage of this support on an annual basis and what have been typical coaching areas of focus?

A18b. Given the fact that a broad range of needs exist and vary dependent upon the engagement, unfortunately this information cannot be provided.

Q18c. Does UCONN have a preference with the length of a coaching engagement?

A18c. While the University has no preference, Respondents are suggested to submit a proposal which offers a range of length options and considers best practices given the nature of the offering.

Q18d. What is the title and tenure of those likely to take advantage of this service?

A18d. Given the fact that a broad range of needs exist and vary dependent upon the engagement, unfortunately this information cannot be provided.

Q19. In consideration of our firm's potential intention to submit a proposal for RFP sections 3.3.2.2, 3.3.2.3, 3.3.2.4, 3.3.2.19, and 3.3.2.20: Is UConn open to cohort leadership development programs?

A19. The University is open to considering any offerings which a Respondent suspects the University can benefit from, to the extent they are within scope of this RFP.

Q19a. If so, what is the anticipated volume of leader development programs on an annual basis?

A19a. The intent of the RFP is to secure multiple long-term relationships with vendors providing a broad range of services (consistent with the scope of this RFP and the resulting contracts) in the consulting and advisory industry. Given the fact that a broad range of needs exist and vary dependent upon the engagement, unfortunately this information cannot be provided.

Q19b. What is the title and tenure of those likely to take advantage of this service?

A19b. The intent of the RFP is to secure multiple long-term relationships with vendors providing a broad range of services (consistent with the scope of this RFP and the resulting contracts) in the consulting and advisory industry. Given the fact that a broad range of needs exist and vary dependent upon the engagement, unfortunately this information cannot be provided.

Q20. In consideration of our firm's potential intention to submit a proposal for RFP sections 3.3.2.2, 3.3.2.3, 3.3.2.4, 3.3.2.19, and 3.3.2.20: Does UConn have an existing and relevant competency model for the leaders in scope for assessment, coaching, and development? If so, can you share the most important leader capabilities/competencies for the leaders in scope?

A20. The intent of the RFP is to secure multiple long-term relationships with vendors providing a broad range of services (consistent with the scope of this RFP and the resulting contracts) in the consulting and advisory industry. Given the fact that a broad range of needs exist and vary dependent upon the engagement, unfortunately this information cannot be provided.

Q21. In consideration of our firm's potential intention to submit a proposal for RFP sections 3.3.2.2, 3.3.2.3, 3.3.2.4, 3.3.2.19, and 3.3.2.20: Can you describe UConn's existing succession planning processes and/or systems?

A21. The University currently employs an informal process at the time, although Human Resources is in the process of developing a more formal approach.

Q22. In consideration of our firm's potential intention to submit a proposal for RFP sections 3.3.2.2, 3.3.2.3, 3.3.2.4, 3.3.2.19, and 3.3.2.20: Can you elaborate on the desired succession planning strategies?

A22. As the University has recently hired a Chief Human Resources Office, the desired strategy is being reviewed at this time and therefore no information can be provided.

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Q23. In consideration of our firm's potential intention to submit a proposal for RFP sections 3.3.2.2, 3.3.2.3, 3.3.2.4, 3.3.2.19, and 3.3.2.20: Is there presently a selection/nomination process in place for determining employees that are eligible for consulting support? If so, what does that look like? If not, is this something you would like included in the proposal?

A23. Consulting support opportunities are in place through an informal process at this time. Again, with the hire of a Chief Human Resources Office, the University is reviewing all processes. Respondents are welcome to include this offering in their proposal.

Q24. What type of training materials are you referring to in item 3.3.2.19 and 3.3.2.20?

A24. The intent of the RFP is to secure multiple long-term relationships with vendors providing a broad range of services (consistent with the scope of this RFP and the resulting contracts) in the consulting and advisory industry. Given the fact that a broad range of needs exist and vary dependent upon the engagement, unfortunately this information cannot be provided, although the University's intent would be for training material to be developed consistent with the broad range of needs within scope of Category 2.

Q25. What is UCONN's definition and expectations for "on-call consultants"?

A25. On-call consultants will be engaged on an as-needed basis at the University's discretion, consistent with the terms of this RFP and / or the resulting contract(s).

Q26. The website has a due date of 7-28-2017, but some of the internal documents are showing a due date of 6-28-2017. Can you confirm that the BizNet date is correct?

A26. As amended by Addendum # 3 dated June 23, 2017, proposals must be received by the University on or before July 28, 2017.

BIDDER NOTE: This addendum must be completed, signed and submitted with your proposal response to be considered for award. If you have already submitted a proposal, please complete the addendum and submit same in a sealed envelope, clearly marked with the RFP number, response date, and return address. This will be accepted as part of your proposal response, PROVIDING IT IS RECEIVED BY PROCUREMENT SERVICES BY THE TIME AND DATE SPECIFIFED IN THE ORIGNAL RFP DOCUMENT, OR AS AMENDED BY THIS DOCUMENT. Please acknowledge receipt of this addendum by email to joseph.lastrina@uconn.edu.

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Name Company Date

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