



December 1, 2016

CTNext, LLC is seeking proposals from qualified independent higher education institutions, policy institutes, or research organizations to conduct certain analyses of innovation and entrepreneurship in the state. The requested services shall include, but not be limited to:

- I. **Baseline Assessments of Innovation and Entrepreneurship:** By June 1, 2017, and updated biennially for the subsequent four years, the grantee must conduct a baseline assessment of the state's innovation and entrepreneurship based on certain program measures, including: (1) the increase or decrease in the state's (a) start-up businesses, including growth stage start-ups; (b) software developers; and (c) serial entrepreneurs (i.e. those having brought at least one start-up business to venture capital funding by an institutional investor); (2) job growth within growth-stage businesses; (3) the amount of private venture capital invested in start-up and growth-stage businesses; (4) employee turnover at start-up and growth-stage businesses; (5) the amount of entrepreneurship and innovation research funded by higher education institutions in the state; (6) the rate at which businesses enter and leave the state; and (7) the degree to which the state's (a) hiring rate exceeds its job creation rate and (b) employment separation rate exceeds its job loss rate.
- II. **Annual Audits and Analyses:** The grantee must annually audit and analyze: (1) CTNext's programs and initiatives and include (a) an analysis of whether they are enhancing the program measures described above and (b) recommendations for legislative or programmatic changes to improve the measures and increase business creation; (2) activity at UConn that encourages or discourages entrepreneurship, including (a) patenting and intellectual property licensing policies and (b) hiring of faculty with entrepreneurial experience; and (3) activity that would increase the likelihood of new business formation.
- III. **Other Analyses:** The grantee to conduct a one-time policy audit of, and recommend improvements to, state legislation and regulations effecting innovation and entrepreneurship in the state. Grantee to prepare a report (1) evaluating entrepreneurship models used by business organizations to stimulate creativity and innovation at such businesses; (2) detailing the models applied by the state's businesses, if any; and (3) recommending ways to promote the application of such models.

Pursuant to Public Act No. 16-3 (May 16 Special Session), effective July 1, 2016 CTNext was established as a subsidiary of Connecticut Innovations (CI) the state's quasi-public venture capital agency. Pursuant to Section 32-11e of the General Statutes as a Connecticut limited liability company with CI as its sole member under

the name CTNext LLC (“CTNext”); CTNext is seeking proposals from organizations with established expertise in the following areas:

1. Innovation and Entrepreneurship Review
2. Performance Based Analysis
3. Benchmark Analysis

Organizations may propose to provide analyses services in these areas. A cover letter to the proposal should clearly identify the areas from the list above for which the submitting organization wishes to be considered.

If your organization is interested in submitting a proposal, the following requirements should be observed:

1. All inquiries shall be directed to Phil Siuta at philip.siuta@ctinnovations.com, on or before January 1, 2017. Organizations submitting a proposal shall not contact any CTNext board member or staff member other than Mr. Siuta. If in CTNext’s sole discretion the response to any such inquiry would be of general interest to potential proposers, the inquiry and CTNext’s answer will be posted on www.ctnext.com.
2. The format of a proposal should follow the outline set forth in Section VI of this RFP.
3. Responses to each question or issue should begin on a new page.
4. Your proposal must be e-mailed to Mr. Siuta at philip.siuta@ctinnovations.com no later than 3:00 p.m. January 1, 2017.
5. The subject line of said e-mail should state “Proposal for Analyzing Innovation and Entrepreneurship in the State.”
6. The General Requirements and Conditions in Section V of the RFP are incorporated herein. The submission of a proposal in response to this RFP shall be deemed acceptance by the proposer of the General Requirements and Conditions.

Sincerely,

Philip B. Siuta

Philip B. Siuta
Chief Financial Officer

REQUEST FOR PROPOSALS

Analyzing Innovation and Entrepreneurship in the State For CTNext, LLC

CTNext, LLC

I. Background

CTNext was established as a subsidiary of CI to foster innovation, startup businesses, and entrepreneurial community building, among other specified purposes.

II. Principal Initiatives of CTNext

CTNext's major purpose is to assist entrepreneurs and startup and growth-stage businesses (i.e., those that have been incorporated for no more than 10 years, raised private capital, and saw a 20% increase in their annual gross revenues in each of their previous three income years). CTNext must do this by:

1. fostering Innovation, start-up, and growth-stage business, and building entrepreneur communities
2. serving as a catalyst to protect and enhance the innovation ecosystem;
3. connecting start-up entrepreneurs and growth-stage businesses with each other and state, federal, and private resources;
4. facilitating (a) the establishment of innovation places and (b) mentoring for entrepreneurs and start-up and growth-stage businesses;
5. providing technical training and resources to start-up and growth-stage businesses and entrepreneurs; and
6. facilitating innovation and entrepreneurship at higher education institutions.

III. REQUIRED ORGANIZATION INFORMATION

- A. Have you performed services for governmental/quasi-public entities in Connecticut within the past five years? Please provide information as to the capacity, nature and purpose of such representation.
- B. Describe your organization's commitment to public service and engagement in *pro bono* and other public service activities.
- C. Do you foresee any potential conflicts of interest arising from continued representation of the current clients of your organization and any engagements for CTNext? If so, how would you propose addressing these potential conflicts of interest?

- D. Please describe your organization's relevant experience and qualifications in each of the areas identified in the cover letter to this RFP as to which you wish to be considered. Wherever possible, identify recent representative matters that you believe best demonstrate your organization's capabilities in the area. Describe your organization's proposed overall approach to client service in the areas you have identified.
- E. Please provide the names of the partners and associates in your organization who would be assigned to CTNext, give a description of each person's relevant experience and qualifications, indicate probable areas of responsibility, and the percentage of time which would be made available to assist CTNext.
- F. CTNext is an affirmative action/equal opportunity employer and as such its decision will be influenced by your commitment to equal opportunity. Proposals submitted should contain a description of your organization's affirmative action policy and a breakdown of your work force by ethnic background and gender. The successful bidder may be required to provide CTNext with a copy of its affirmative action policy.
- G. Please provide as references a minimum of five (5) clients for whom your organization has performed similar services in the recent past. Please include the name, address, telephone number and e-mail address of the contact person for each such client on Attachment A, References.

IV. COST OF SERVICES

- A. Please provide your proposed billing rates on this account for all of the following:
 - 1. Partners
 - 2. Associates
 - 3. Word Processing
 - 4. Photocopying (Rate per page)
 - 5. Any other services provided for which you routinely bill.

The price quoted should specify all travel and other out-of-pocket expenses that will be included in or excluded from the quoted rates. Cost estimates will be considered as "not to exceed" quotations, except to the extent that the assumed scope is changed. Finally, the price quoted will be applicable to the entire term of the contract and will not be subject to alteration unless an extension of the scope is warranted.

- B. If your organization has discounted rates for quasi-governmental agencies such as CTNext, please provide such rates.
- C. If your organization proposes to offer an alternative fee arrangement or structure for any of its services, please describe that arrangement or structure.

V. GENERAL REQUIREMENTS AND CONDITIONS

A. If your organization elects to respond to this RFP, submission of your proposal constitutes acceptance of the following understandings:

1. All communications with respect to this RFP shall be directed to Philip B. Siuta by means of e-mail at philip.siuta@ctinnovations.com. No other person is authorized to provide information with respect to this RFP, and contact with any employee, officer or board member of CTNext with respect to this RFP is prohibited. Proposers who violate this condition will be disqualified. Questions and requests for clarification with respect to this RFP must be submitted in writing in accordance with the communications protocol set forth above on or before January 1, 2017. If in CTNext's sole discretion the response to any such inquiry would be of general interest to potential proposers, the inquiry and CTNext's answer will be posted on www.ctnext.com.
2. Proposals must be submitted by e-mail to Mr. Siuta no later than 3:00 p.m. on January 1, 2017. Proposals received later than that date and time will not be considered.
3. Prices quoted will be applicable to the entire term of the contract and will not be subject to alterations without the prior written consent of CTNext.
4. CTNext reserves the right to cancel this RFP, reject any or all of the proposals received in response to the RFP, to waive defects or irregularities in any proposal or to cancel or modify the RFP in any way, and at any time CTNext chooses, in its sole discretion, if CTNext determines that is it in the best interest of CTNext.
5. CTNext further reserves the right to negotiate terms and fees with one or more proposers without notice to other proposers and to make awards under this RFP without discussion of the proposals received. Proposals should be submitted on the most favorable terms from a technical, qualifications and price standpoint. CTNext will select the proposal or proposals that best meets its needs. While cost will be a factor to be considered, CTNext is not required and reserves the right not to accept the lowest priced proposal.

6. The RFP is non-exclusive and CTNext reserves the right to select more than one proposer, to divide the work between one or more proposers, or to retain other organizations for any of the work. CTNEXT may assign work from time to time in its discretion to one or more of the selected proposers, but selection and the execution of a contract does not guarantee the assignment of work. Any contract resulting from this RFP will be subject to termination by CTNEXT at its convenience, subject only to the obligation to pay for work previously assigned and completed.
7. CTNEXT will not be responsible for any expenses incurred by any proposer in conjunction with the preparation or presentation of any proposal with respect to this RFP.
8. CTNEXT is a “public agency” for purposes of the Connecticut Freedom of Information Act (“FOIA”). Accordingly, upon receipt at the office of CTNEXT, your proposal will be considered a public record or file subject to disclosure under the FOIA. The FOIA includes an exemption for responses to a request for proposals in a contract award process until the contract is executed or negotiations for the award of such contract have ended, whichever occurs earlier. CTNEXT has determined that it is in the public interest to maintain the temporary confidentiality of proposals pursuant to this FOIA exemption.

The FOIA also includes exemptions for “trade secrets” and “commercial or financial information given in confidence, not required by statute.” This exemption allows, but does not require, CTNEXT to withhold information that qualifies under these exemptions, which exemptions remain available so long as the information continues to be treated by the submitting party as confidential and is not readily available to the public from other sources. Only the particular information falling within one of these exemptions can be withheld by CTNEXT if made the subject of a public records request under FOIA. Therefore, a proposer must specifically identify those particular sentences, paragraphs, pages, sections or exhibits that it claims to be exempt, together with a convincing explanation and rationale sufficient to support the claim of confidentiality for purposes of Section 1-210(b) of the Connecticut General Statutes in terms of the prospective harm to the competitive position of the submitting party if such information were to be released. In the absence of such identification and explanation, any claim that particular information is exempt from FOIA disclosure will be deemed to have been waived. If a public records access request is made, CTNEXT is required to, and reserves the right to, determine (a) whether information included in a proposal qualifies under these exemptions, and (b) whether to withhold the information.

Proposers should be aware that CTNEXT has no obligation to initiate, prosecute or defend any legal proceeding or to seek to secure any protective order or other relief to prevent disclosure of any information pursuant to an FOIA request, the proposer will have the burden of establishing the availability of any FOIA exemption in any such legal proceeding, and in no event shall CTNEXT or any of its officers, directors or employees have any liability for disclosure of documents or information in the possession of CTNEXT which CTNEXT, or such officer, director or employee, in good faith, believes to be required pursuant to the FOIA or other requirements of law.

In the event of a public records request for a proposal, CTNEXT may provide a copy of the proposal with all or part of the information redacted for which an exemption has been claimed on the basis of confidentiality. For this purpose, CTNEXT may request, and each proposer by submission of a proposal agrees promptly to provide to CTNEXT a version of such proposal from which all information has been redacted for which a claim of FOIA exemption based on confidentiality has been made.

9. Except as otherwise expressly provided in an agreement with CTNEXT, all work products developed under a contract awarded as a result of this RFP shall be the sole property of CTNEXT.
10. CTNEXT and this RFP are subject to the requirements of Chapter 581 of the Connecticut General Statutes and other applicable legal requirements.
11. Proposals must be signed by an authorized officer of the organization. Proposals must also provide name, title, address and telephone number for individuals with authority to negotiate and contractually bind the organization, and for those who may be contacted for the purpose of clarifying the information provided.

B. If your organization elects to respond to this RFP, you will be deemed to have certified the accuracy and completeness of the following representations and warranties:

1. Neither proposer nor any of its principals (a) has been convicted of bribery or attempting to bribe a public official of the State of Connecticut; (b) has been found to have violated the State Code of Ethics for Public Officials or Lobbyists (the "Code of Ethics"); (c) has been suspended or disqualified from bidding on contracts with the State of Connecticut or any department, agency or quasi-public agency of the State of Connecticut; (d) has knowingly committed any violation of the Code of Ethics or of any other procurement

requirement in connection with this RFP; or (e) is in default under any contract with any department, agency or quasi-public agency of the State of Connecticut.

2. Neither proposer nor any of its principals has received or paid, or agreed to receive or pay, any finders' fee (Section 3-13j through 3-13l of the Connecticut General Statutes) or other compensation or benefit from or to any third party in connection with this solicitation, procurement or award of a contract with CTNEXT pursuant to this RFP.
3. Neither proposer nor any of its principals has provided anything of value to any officer, employee or board member of CTNEXT, or state employee who may be involved with this process, for which full payment has not been made.
4. (a) The proposal is not made in connection with any competing proposer submitting a separate response to this RFP and is in all respects fair and without collusion or fraud; (b) no officer, employee or board member of CTNEXT participated directly or indirectly in the proposer's proposal preparation; and (c) the information contained in the proposal is true, accurate and complete and includes all information necessary to insure that the statements therein are not misleading.

C. The award of a contract for performance auditing consulting services pursuant to this RFP is subject to all applicable state contracting requirements, including completion of the required state contracting certifications, affidavits and affirmations described in Attachment B. Such certifications, affidavits and affirmations will be required from each organization selected pursuant to this RFP at the time the organization is notified by CI of such selection.

Each proposer by the submission of a proposal acknowledges receipt and review of Attachment B, State Contracting Requirements, including without limitation, (1) SEEC Form 10 entitled "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Ban" and (2) the summary of state ethics laws developed by the State of Connecticut's Office of State Ethics and entitled "Guide to the Code of Ethics for Current and Potential State Contractors". Each proposer must include in the cover letter to their proposal the following statement:

"The undersigned, a duly authorized representative of [name of organization], affirms receipt of SEEC Form 10 and the summary of state ethics laws developed by the Office of State Ethics pursuant to Connecticut General Statutes §1-81b, and principals and other key employees of such organization have read and understand SEEC Form 10 and such summary and agree to comply with their provisions."

Notwithstanding anything contained herein to the contrary, this RFP is not an offer susceptible to acceptance, but merely a request for proposals. CTNext shall have no liability or obligation of any sort hereunder, including without limitation, for any reason or no reason, unless and until a binding agreement is entered into with proposer. In making its selection of a successful bidder(s), CTNext may consider any and all factors and considerations which CTNext, in its sole discretion, deems relevant and important.

VI. FORMAT OF PROPOSAL

The following format should be followed in order to allow CTNext to have a working basis on which to compare one proposal with another. The elements within this outline are expected to be addressed in any submitted proposal; however, additions to it may be made where necessary for purposes of clarification or amplification.

1. Cover Letter, including
 - A. a short statement of the principal reasons the submitting organization believes it is qualified for the work and should be selected; and
 - B. the affirmation set forth in Section V.C., above.
2. Response to Required Organization Information
3. Cost of Services
4. General Requirements
 - A. Affirmative Action Policy Statement
 - B. Workforce statistics
 - C. References

Attachment A

CTNext, LLC
References

Please provide a minimum of five (5) recent client references for projects similar in nature to the work being requested in the RFP. If necessary, please feel free to include additional client references in the format below:

CLIENT REFERENCE #1

CONTACT & TITLE: _____

ORGANIZATION: _____

ADDRESS: _____

CITY: _____ **STATE:** _____ **ZIP CODE:** _____

CONTACT PHONE #: _____ **BEST TIME TO CONTACT:** _____

E-MAIL ADDRESS: _____

CLIENT REFERENCE #2

CONTACT & TITLE: _____

ORGANIZATION: _____

ADDRESS: _____

CITY: _____ **STATE:** _____ **ZIP CODE:** _____

CONTACT PHONE #: _____ **BEST TIME TO CONTACT:** _____

E-MAIL ADDRESS: _____

Attachment A
References
Continued

CLIENT REFERENCE #3

CONTACT & TITLE: _____

ORGANIZATION: _____

ADDRESS: _____

CITY: _____ **STATE:** _____ **ZIP CODE:** _____

CONTACT PHONE #: _____ **BEST TIME TO CONTACT:** _____

E-MAIL ADDRESS: _____

CLIENT REFERENCE #4

CONTACT & TITLE: _____

ORGANIZATION: _____

ADDRESS: _____

CITY: _____ **STATE:** _____ **ZIP CODE:** _____

CONTACT PHONE #: _____ **BEST TIME TO CONTACT:** _____

E-MAIL ADDRESS: _____

Attachment A
References
Continued

CLIENT REFERENCE #5

CONTACT & TITLE: _____

ORGANIZATION: _____

ADDRESS: _____

CITY: _____ **STATE:** _____ **ZIP CODE:** _____

CONTACT PHONE #: _____ **BEST TIME TO CONTACT:** _____

E-MAIL ADDRESS: _____

Attachment B

State Contracting Requirements

1. Attached and made part of this RFP are the following:
 - a. SEEC Form 10 entitled “Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Ban”; and
 - b. “Guide to the Code of Ethics for Current or Potential State Contractors”.

2. At the time a organization is selected pursuant to this RFP and as a condition of contract award, the organization will be required to complete and submit the applicable certifications, affidavits and affirmations described on the website of the Office of Policy and Management under “Ethics Forms”. The OPM landing page listing the required forms is attached and made part of this RFP.

3. At the time a organization is selected pursuant to this RFP and as a condition of contract award, the organization will be required to complete and submit the applicable certifications, affidavits and affirmations described on the website of the Office of Policy and Management under “Nondiscrimination Certification”. The OPM landing page listing the required forms is attached and made part of this RFP.