



September 9, 2019

Ohio Treasurer of State

Request for Services

Pay For Success Contracting Program Consulting Services

DEADLINE FOR SUBMISSION:
September 20, 2019 – 3:00 p.m. Eastern Daylight Time

One hard copy and one electronic copy of your proposal to:

Office of Ohio Treasurer of State
Attn: Zach Crawford
30 East Broad Street, 9th Floor
Columbus, Ohio 43215
Zach.Crawford@tos.ohio.gov

A copy of this RFS may be obtained by request from the Ohio Treasurer of State starting on September 9, 2019.

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Summary and Objectives

Amended Substitute House Bill 166 of the 133rd General Assembly (“HB 166”) created the pay for success contracting program, more commonly known as ResultsOHIO. Through the ResultsOHIO program, the Ohio Treasurer of State (“Treasurer’s Office”) will contract with a person or entity (“Service Intermediary”) who will in turn contract with or act as a service provider to initiate a project aimed at tackling a social or public health challenge facing Ohio. The Treasurer’s Office will also separately contract with an independent evaluator to measure the results of the project. The Treasurer’s office will only pay for projects that meet specific performance results as determined by the terms of the contract and measured by the independent evaluator.

HB 166 also provided the Treasurer’s Office with an appropriation to implement a pay for success project, in conjunction with the Ohio Department of Corrections and Rehabilitation (“ODRC”), utilizing the ZeroBack program to target a reduction in recidivism or enhance workforce training for prison populations.

The purpose of this Request for Services (“RFS”) is to solicit responses for consulting services to implement a pay for success contracting program within the Treasurer’s Office.

This RFS is for the benefit of the Treasurer’s Office and is intended to offer competitive information to assist the Treasurer’s Office in the selection of a vendor to provide the consulting services contemplated herein. This RFS identifies the services to be provided, the format and topics that must be addressed in the response, the selection criteria, and the applicable terms and conditions. The Treasurer’s Office intends to select one qualified consulting firm to serve as a consultant (“Consultant”).

This RFS is not an offer to contract, but seeks submissions from eligible respondents (“Respondents”) that will form the basis for the statement of work (“Statement of Work”). Specific requirements, as outlined in the RFS, shall be met unless exceptions are noted and approved by the Treasurer’s Office. All Respondents are required to comply with applicable federal and state laws, rules, and regulations.

The Treasurer’s Office will review all information requested in this RFS; accordingly, please answer all questions as thoroughly as possible. The Treasurer’s Office may choose to substantiate any information provided by the Respondent. Any false information intentionally submitted in response to this RFS may result in the permanent exclusion of the Respondent from any further business dealings with the Treasurer’s Office, and misrepresentations will be reported to both the Ohio Department of Commerce and the appropriate federal regulatory agency.

Section 1 – Administrative Overview

1.0 **Issuing Office**

This RFS is being issued by the Treasurer’s Office. The only individual who has the authority to sign or obligate the State of Ohio to this solicitation is the Ohio Treasurer of State, or his designee.

1.1 **Response Costs**

The cost of developing a response to this RFS is the responsibility of the Respondent and may not be charged to the Treasurer’s Office.

1.2 **Inquiries about this RFS**

It is the policy of the Treasurer’s Office to accept questions and inquiries from all potential Respondents. All questions and inquiries shall be in writing; no verbal questions shall be answered.

Respondents should submit questions about the intent or content of this RFS and/or request clarification of any procedure used for this procurement prior to the submission of responses.

Any inquiries shall be sent via e-mail to the attention of Michael Ringle:

Michael.Ringle@tos.ohio.gov

The deadline for receipt of all inquiries is 3:00 p.m. EDT on September 19, 2019.

All inquiries received by the Treasurer’s Office will be aggregated without attribution to the submitting organization and published on the website of the Treasurer’s Office (www.treasurer.ohio.gov) with a complete set of answers as the inquiries are received.

Please note that all responses to this RFS are subject to possible disclosure according to the provisions of the Ohio Public Records Act, which are set forth in the Ohio Revised Code (“ORC”). Specific questions or concerns regarding this should be referred to:

Michael.Ringle@tos.ohio.gov

1.3 **Verbal Communication**

Verbal communication or representation from any person concerning this RFS is not binding on the Treasurer’s Office and shall, in no way, alter a specification, term, or condition of this RFS.

1.4 Schedule

Date	Event
September 9, 2019	Request for Services available by request
September 19, 2019	Final submission deadline for inquiries by 3:00 p.m. EDT
September 20, 2019	Due date for Request for Services response submissions by 3:00 p.m. EDT
On or before October 4, 2019	Treasurer's Office Consultant selection announced
On or before October 18, 2019	Treasurer's Office and Consultant enter into Consulting Services Agreement and begin Scope of Work

1.5 Response Due Date

One (1) hard copy of the completed written response and one (1) electronic version of the RFS response shall be received no later than 3:00 p.m. EDT on September 20, 2019.

Any written response received after the specified due date may not be eligible for consideration. However, the Treasurer's Office reserves the right to extend the due date, and if extended, the Treasurer's Office will post notice of the extension on the Treasurer's Office website.

Please send your firm's response and all required documents to the following address:

Office of Ohio Treasurer of State
Attn: Zach Crawford
30 East Broad Street, 9th Floor
Columbus, Ohio 43215
Zach.Crawford@tos.ohio.gov

The responses will remain confidential until evaluations are performed and a selection is made by the Treasurer's Office. Following announcement of the Treasurer's Office's selection and notice of intent to submit a Statement of Work, the responses will become available for inspection, as required by public records law, at the Treasurer's Office. The Treasurer's Office has no obligation to maintain the confidentiality of information contained in any response submitted in response to this request.

1.6 References

Respondents must provide at least three (3) references for similar consulting services so the Treasurer's Office can, at its discretion, perform reference checks.

1.7 Response Organization and Format

The written response of Respondents shall be organized and submitted in the following manner:

Responses, including any and all attachments, the cover letter, and any tabs, shall **not exceed twenty-five (25) pages in length** on 8 ½” x 11” paper, and shall be single spaced and use a minimum of 12 point font. The electronic version of the responses must be submitted as a Microsoft Word® document. This document may be compared to the original RFS released by the Treasurer’s Office. **Note: Any alterations, changes, or deletions made by Respondent to the original RFS may be grounds for disqualification.**

Responses shall be organized and presented in the order and by the number assigned in the RFS. Responses shall be organized with the following headings, and each heading shall be separated by tabs or otherwise clearly marked. The RFS sections that require responses are:

- I. Section 2 – Certifications and Prerequisite Qualifications
- II. Section 3 – Respondent Information
- III. Section 5 – Deviations from Request for Services

1.8 Respondent Evaluation Process

The Treasurer’s Office reserves the right to reject any and all responses, or to select the response deemed to be most advantageous to the achievement of the Treasurer’s Office goals. Selection of a firm to serve as Consultant will be based on the criteria described below. A firm’s response should provide a level of clarity and detail that is sufficient to allow the Treasurer’s Office to adequately judge the expertise, experience, and capabilities of the firm.

- 1. Respondent’s experience and qualifications:
 - a. relevant experience of firm;
 - b. relevant experience, knowledge, and expertise of assigned Consultant as indicated in the response and by references; and
 - c. reputation of the firm as evidenced by references obtained by the Treasurer’s Office.
- 2. Respondent’s ability to support the Treasurer’s Office:
 - a. respond in a timely manner to the Treasurer’s Office;
 - b. demonstrated understanding of Treasurer’s Office goals and objectives;
 - c. demonstrated understanding of all applicable laws and authority granted to the Treasurer’s Office
 - d. well-developed and coherent plans, and appropriate staff and technical resources to integrate and execute the plans;
 - e. clarity and creativity, as evidenced by the response to the RFS;
 - f. ability to work well with other team members in a cooperative environment.
- 3. Fees and Expenses

Respondents may be subject to an interview at the discretion of the Treasurer’s Office’s staff. The Treasurer’s Office reserves the right to reject all responses to this RFS, or to

solicit additional information from firms subsequent to the response deadline to this RFS. The Treasurer's Office may consider any other information, including information not requested or submitted in response to this RFS and reserves the right to investigate references and past performance of any proposing firm with respect to its performance of similar services, compliance with past RFS and contractual obligations, and its lawful payment of suppliers, subcontractors and workers. If additional time is necessary to allow for an adequate investigation, the Treasurer's Office may elect to postpone submitting a Statement of Work after the announcement of the apparent successful proposing firm.

In the event that it becomes necessary to revise any part of this RFS, addenda will be provided to all proposing firms that expressed interest in responding to the original RFS.

This RFS is not and shall not be construed as an offer to purchase consulting services by the Treasurer's Office. Any binding arrangement for consultancy services will be evidenced by a separate approved Statement of Work executed by the Treasurer's Office.

1.9 Negotiation

After evaluating the proposals, the Treasurer's Office may enter into final negotiations with one or more Respondent(s). The primary purpose of negotiations is to maximize the Treasurer's Office's ability to obtain the optimal value for services based on the requirements, evaluation, contractual provisions, and fee proposal. Multiple rounds of negotiations may be conducted with one or more Respondent(s).

1.10 Selection

The responses will remain confidential until evaluations are performed and a selection is made by the Treasurer's Office. Following announcement of the Treasurer's Office's selection and notice of intent to submit a Statement of Work, the responses will become available for inspection, as required by public records law, at the Treasurer's Office. The Treasurer's Office has no obligation to maintain the confidentiality of information contained in any response submitted in response to this request.

The Treasurer's Office expects to notify Respondents of its selection decision in writing on or before October 4, 2019.

The Treasurer's Office and the selected Consultant would expect to agree upon the Statement of Work no later than **October 18, 2019** for submission and review.

The Treasurer's Office and selected Consultant will commence the scope of services **immediately** upon the execution of the Statement of Work. The Consultant will ensure resources described in their RFS response are available.

Note: This RFS does not obligate the Treasurer's Office to award a contract or complete the project, and the Treasurer's Office reserves the right to cancel this solicitation if it is considered to be in its best interest.

1.11 Statement of Work

The Statement of Work that the Treasurer's Office may submit as a result of this RFS will be based upon the responses submitted by the Respondents to this RFS. The Treasurer's Office reserves the right to submit a Statement of Work without further negotiation with the Consultant, or to negotiate terms with the Consultant if such negotiations would serve the best interests of the Treasurer's Office and the State.

The approved Statement of Work between the Treasurer's Office and the Consultant shall be a combination of the following:

- a. The specifications, terms and conditions of the RFS;
- b. The offer contained in the bid;
- c. Any written changes or clarifications made in accordance with the provisions herein;
- d. The approved Statement of Work; and
- e. Any other terms necessary for the purpose of completing the objectives proposed by this RFS.

The Consultant will not subcontract or assign any of its work described in this RFS without receiving prior written consent from the Treasurer's Office.

Section 2 – Certifications and Prerequisite Qualifications

The proposing firm certifies that:

1. All of the firm’s information and representations in the response is material and important, and the Treasurer’s Office may rely upon the contents of the response in making an award. The Treasurer’s Office shall treat any misstatement, omission, or misrepresentation as fraudulent concealment of the true facts relating to the response submission.
2. This RFS has been submitted by an authorized agent of the firm (“Authorized Agent”). The Authorized Agent of the firm has the authority to bind the firm to the specific terms, conditions, and technical requirements of this RFS and offered in the firm’s response.
3. The Authorized Agent understands that by submitting this response, the firm agrees to the following:
 - a. The firm will provide the services to meet the requirements and objectives of this RFS, unless otherwise noted in Section 5.
 - b. The firm will provide the services set forth in its response for the fees quoted in the response.
4. The firm certifies compliance with all terms, conditions, and specifications of this RFS.
5. The firm’s position as Consultant to the Treasurer’s Office will not create any conflict of interest for the firm or any of its assigned personnel, and it will promptly disclose to the Treasurer’s Office any such conflict of interest if, as, or when it arises and becomes known to the firm.
6. The firm is an equal opportunity employer and does not discriminate against applicants or employees on the basis of race, color, religion, sex, sexual orientation, age, disability, national origin, or veteran status.
7. All of the assigned personnel of the firm who are not United States citizens will have executed a valid I-9 form and have valid employment authorization documents.
8. The firm is not currently in violation of or under any investigation or review for a violation of any state or federal law or regulation that might have a material adverse impact on the firm’s ability to serve if selected.
9. The firm is and will remain in compliance with all applicable federal, state, and local laws including, but not limited to, the applicable provisions of the following for which it also makes the following related certifications:
 - (i) The Federal (41 U.S.C. 701(a)) and Ohio (ORC Section 153.03) Drug Free Workplace Acts. The firm will make good faith efforts to ensure that all of its employees will not

have or be under the influence of illegal drugs or alcohol or abuse prescription drugs in any way while working on State property.

(ii) State of Ohio ethics (Chapter 102 and Sections 2921.42 and 2921.43 of the ORC) and lobbying (Sections 101.70 and 121.60 et seq. of the ORC).

(iii) Chapter 3517 of the ORC, campaign financing, including that all applicable parties listed in Division (I)(3) or (J)(3) of ORC Section 3517.13 are in full compliance with Divisions (I)(1) and (J)(1) of ORC Section 3517.13.

(iv) Section 9.24 of the ORC. The firm is not subject to an “unresolved” finding for recovery under that Section.

10. The firm acknowledges that the Treasurer’s Office has informed the firm if chosen to be a Consultant, that it has been classified as an independent contractor or other classification other than public employee, as defined in Ohio Administrative Code 145-1-42(A)(2). If chosen as a Consultant, the firm agrees to provide all necessary information to the Treasurer’s Office to comply with ORC Section 145.036-.038.

11. The firm acknowledges that this RFS contains sensitive security information regarding the Treasurer’s Office and the firm will not disclose the contents of this RFS to any third party, except when the Treasurer’s Office supplies written consent.

I, the undersigned, have the authority to bind the Respondent organization.

Firm Name: _____
By (Print Name) _____
Signature*: _____
Title:* _____
Date: _____

*This Certification must be signed by a principal of your firm.

Section 3 – Respondent Information

1. Consultant’s Commitment to the Project: Provide a letter addressed to the Treasurer’s Office signed by the Authorized Agent of the proposing firm. The letter shall identify the lead consultant assigned to the proposed project and indicate that she or he is authorized to bind and commit the firm to agreements including, but not limited to, approved Statements of Work to provide such consulting services as described in RFS. Please identify with particularity when this lead consultant will be available and if such availability will be on-site or through other means of communication.
2. Consulting Team: Provide the names, titles, responsibilities, location of offices and brief resumes for any individuals who will be assigned to the Treasurer’s Office for the proposed consulting engagement. Please include any relevant experience for each individual, as well as a hierarchy of such individuals in the order in which they are to be contacted if the Treasurer’s Office should face an issue that demands immediate assistance. Please include only individuals who will be assigned to work on this proposed consulting engagement.
3. Firm Experience:
 - a. Describe the firm’s experience in developing, implementing, or managing a pay for success, pay for performance, or social impact bond program. Please provide a detailed description of each project, including the firm’s specific role in each, and the date of each project’s completion.
 - b. Describe the firm’s experience in acquiring and evaluating complex data sets, setting outcome metrics for particular projects, and determining associated outcome payments. Please provide a detailed description of each project, including the firm’s specific role in each, and the date of each project’s completion.
 - c. Describe the firm’s experience in advising on building and maintaining stakeholder relationships. Please provide a detailed description of each experience, including the firm’s specific role in each, how the firm built stakeholder coalitions, and the date of completion.
 - d. Describe the firm’s experience in public finance and executing complex financial agreements. Please provide a detailed description of each experience, including the firm’s specific role in each, and the date of completion.
 - e. Describe the firm’s experience in establishing governance structures for public or private sector programs. Please provide a detailed description of each experience, including the firm’s specific role in the development of that governance structure, rationale for the structure, and the date of completion.

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- f. Specifically identify any instances in which the firm has assisted a selection process for a government client. Describe, in detail, what level of involvement the firm had with each of these engagements, especially with regard to the size and structure of the state government or political subdivision for which services were rendered.
 - g. Discuss the firm's experience and approach to working cooperatively in teams composed of different firms playing a variety of roles.
 - h. For references, please provide contact information (names, titles, addresses, phone numbers, and email addresses) of at least three (3) recent clients that the firm has worked with in a similar consulting project that required the delivery of written documents with recommendations and functional documentation (scoring matrix, respondent analysis, data collection, etc.) at the conclusion of the engagement.
 4. Discuss other skills or capabilities that would be of value to the Treasurer's Office and which distinguish the firm from others.
 5. Fee and Expense Response for Consulting Services:
 - a. Please provide the proposed fixed fees for performing the proposed work set forth in the scope of services portion of this RFS.
 - b. Please specify and cost out the firm's estimated expenses associated with this engagement. All such expenses should be allocated to each individual anticipated to work on the consulting engagement, based on an hourly rate system reflecting the individual's experience and time dedicated to this project. Please note that providing the Treasurer's Office with information regarding these expenses does not mean that such expenses will be reimbursed or the firm will be compensated by the Treasurer's Office in addition to any agreed upon fees. Specifically, travel and lodging expenses will not be reimbursed.
 6. Structure: The purpose of this section is to allow proposing firms to demonstrate their approaches and apply creativity to executing a project.
 - a. Complying with the authority granted to the Treasurer's Office in ORC 113.60 – 113.62 (effective October 17, 2019), please offer comments and recommendations for developing a preliminary plan of action. The Treasurer's Office seeks to achieve a successful and cost-effective resolution and encourages proposing firms to offer any recommendations directed at facilitating that goal and other objectives as identified in this RFS.
 7. Provide any additional information that is relevant to this RFS and the firm's capabilities to provide the services requested, e.g., brochures, articles in trade journals.

Section 4 – Scope of Services

The services to be provided by the Consultant include, but are not limited to, the following:

Scope of Services

- Work with the Treasurer’s Office to manage and oversee all aspects of drafting any necessary documents that will be utilized by the ResultsOHIO program.
- Create project plans and evaluation documentation as requested by the Treasurer’s Office.
- Assist the Treasurer’s Office in developing a process for qualifying potential vendors and/or projects.
- Assist the Treasurer’s Office in developing and implementing a competitive process for the evaluation and selection of independent evaluators for pay for success projects under the ResultsOHIO program.
- Assist the Treasurer’s Office in developing and implementing a competitive process for the evaluation and selection of Service Intermediaries for pay for success projects under the ResultsOHIO program.
- Assist the Treasurer’s Office in drafting program policies and guidance.
- Assist the Treasurer’s Office in developing a process to set outcome metrics and evaluations.
- Assist the Treasurer’s Office in developing a process to identify and match private funding with potential projects.
- Consult with the Treasurer’s Office in identifying operational issues that should be addressed during the implementation of the ResultsOHIO program or its respective projects.
- Attend any consulting working group for the Treasurer’s Office or other related meetings, occurring in the office or out of the office, to discuss the development, execution, or implementation of the ResultsOHIO Program.
- Review and comment, orally or in writing, on any particular segment of the process as may be requested by the Treasurer’s Office.

Section 5 – Deviations from RFS

Using the form below, list **ANY EXCEPTION** that the firm has with the minimum requirements and terms and conditions of this RFS, including, but not limited to, the Scope of Services in Section 4 or any other items the firm wishes to communicate to the Treasurer’s Office. Please list these exceptions in the order as they appear in the RFS.

Section	Page Number	Exception <i>Provide a detailed explanation of the exception</i>	Alternative <i>Provide the proposed alternative</i>