

# CTIO<sup>1</sup> Unsolicited Proposal Policy

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<sup>1</sup> The High Performance Transportation Enterprise (HPTE) is now doing business as the Colorado Transportation Investment Office (CTIO). CTIO is how the enterprise refers to itself now and in the future. However, the HPTE name is retained for legislative and legal documents.

**1. Overview**

This policy and procedure apply to Unsolicited Proposals received by the Colorado Transportation Investment Office (CTIO). CTIO is statutorily mandated to pursue public-private partnerships (P3) and other innovative and efficient means of completing surface transportation infrastructure projects in accordance with the provisions of Section [43-4-806](#), Colorado Revised Statutes, as amended.

**2. What is an Unsolicited Proposal?**

An Unsolicited Proposal is a written proposal submitted to CTIO on the initiative of the Proposer for the purpose of obtaining a contract with CTIO. It identifies unique solutions to offer innovative and efficient means of completing surface transportation infrastructure projects, generating revenue from surface transportation infrastructure projects, and/or proposes other value that will enable CTIO to better pursue its legislative mandate. It must have the following qualities:

- Innovative, unique, and pragmatic;
- Independently originated and developed by the proposer;
- Prepared without CTIO or Colorado Department of Transportation (CDOT) supervision, endorsement, direction, or involvement;
- Sufficiently detailed that it supports CTIO’s mission and responsibilities; and
- Must address a CTIO priority, which can include, but is not limited to, projects already identified in CTIO’s Express Lanes Master Plan (ELMP), CDOT’s 2045 Statewide Transportation Plan, as well as other existing Transportation Plans involving CTIO.
  - i. CTIO retains the legal authority to impose moratoriums for corridors on which Unsolicited Proposals will not be accepted. Proposers are advised to contact CTIO staff ([CDOT\\_HPTE-USP@state.co.us](mailto:CDOT_HPTE-USP@state.co.us)) to determine if a moratorium exists on a corridor they are considering as part of an Unsolicited Proposal submission.

An Unsolicited Proposal is not an offer responding to CTIO’s previously published expression of need including a Letter of Interest (LOI), Request for Information (RFI), Request for Qualifications (RFQ), or Request for Proposal (RFP).

Proposers are encouraged to reach out to CTIO in advance of a submission using the email address listed above to discuss if the proposal would be of interest or not.

**3. Unsolicited Proposal Process Overview**

CTIO receives and evaluates Unsolicited Proposals using an initial Threshold Review (see Section 4) followed by a two-phased approach. The purpose of Phase One (Conceptual Proposal - see Section 7) is for CTIO to receive written, concept-level

proposals<sup>2</sup> and to screen those proposals to determine whether CTIO would like to review additional information in Phase Two (Detailed Proposal - see Section 9).

If the Unsolicited Proposal proceeds beyond Phase Two or otherwise involves a competitive proposal or sole-source procurement, CTIO will provide an adequate opportunity for interested parties to submit competing proposals using the RFQ and RFP process, within a time frame specified by CTIO staff (minimum of 30 business days), in accordance with Section 15 of this Policy. CTIO may, at any time, choose not to proceed any further with the Unsolicited Proposal.

All Unsolicited Proposal documentation should be submitted electronically to ([CDOT\\_HPTE-USP@state.co.us](mailto:CDOT_HPTE-USP@state.co.us)) unless CTIO staff direct the proposer to submit otherwise. Requests for confidentiality should also be submitted electronically (see Section 16), unless CTIO staff direct the proposer to submit otherwise.

#### **4. Threshold Review**

Before moving to Phase One, CTIO staff will acknowledge receipt of the Unsolicited Proposal and conduct a Threshold Review to confirm:

- I. A Conceptual Proposal Form has been submitted (see Annex A), and all required information is included;
- II. The Conceptual Proposal complies with the procedures for submission of confidential or proprietary information for use and disclosure of data (see Section 16); and
- III. Receipt of the Conceptual Proposal Evaluation Fee (\$5,000) from the Proposer.

CTIO staff will strive to complete the Threshold Review within 20 business days of receipt of the Unsolicited Proposal submission. The CTIO Director may extend the time allowed to complete the Threshold Review if more time is needed.

#### **5. Application Fee (Phase One - Conceptual Proposal)**

CTIO will only accept the submission of an Unsolicited Proposal if, at the time the Unsolicited Proposal is submitted, the person or consortium submitting the Unsolicited Proposal (Proposer) pays CTIO, via check, a fee of \$5,000 to evaluate the Conceptual Proposal. The check should be made out to “The State of Colorado” and addressed to CTIO 2829, W Howard Pl, Denver, CO, 80204. CTIO staff may also permit a wire transfer or Automatic Clearing House (ACH) payment if confirmed in writing in advance. This fee is nonrefundable.

CTIO, at its sole discretion, may waive the fee(s) for an Unsolicited Proposal if the Proposer is from a Disadvantaged Business Enterprise, Women-Owned Business, or

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<sup>2</sup> Concept-level proposals should follow the format outlined in Annex A, contain the ideas or concepts needed to understand what it does, how it might address specific transportation objectives, and how it is best used.

Emerging Small Business, and/or determined to be reasonable and in the best interest of the State. These small business programs are designed to assist emerging small business, minority, and women-owned businesses in obtaining work on State projects. These programs are managed by the [CDOT Civil Rights & Business Resource Center](#) and require formal certification to qualify for, and participate in, each of the programs.

All costs incurred by the Proposer in preparing and submitting an Unsolicited Proposal will be borne solely and completely by the Proposer. Under no circumstances will the State, CTIO, CDOT or any of their agents, representatives, consultants, directors, officers or employees be liable for, or otherwise obligated, to reimburse the costs incurred by the Proposer, whether or not selected for negotiations, in developing the Unsolicited Proposal, corresponding solicited proposal, or negotiating an agreement.

## 6. Governance and Oversight

### *CTIO Board of Directors*

The CTIO Board of Directors (CTIO Board) provides oversight of CTIO's activities and consists of three members of the Transportation Commission and four members appointed by the Governor from four geographic planning areas. Information on Unsolicited Proposals is shared with the CTIO Board at every stage of the process. This includes the release of the executive summary from the proposer when CTIO staff determine appropriate due diligence steps have been completed as part of Phase Two: Detailed Proposal stage.

The executive summary will be included in the board documents and published on the CTIO website. However, it is only after completion of the Detailed Proposal Evaluation in Phase Two (see Section 13) that the Review Team submits its an evaluation, and a decision is made to proceed (or not proceed), that the CTIO Board (and Transportation Commission if relevant) decides whether to award the Unsolicited Proposal through a sole source agreement, or to pursue a competitive solicitation based on the Unsolicited Proposal. The CTIO Board meets on the third Wednesday of each month. CTIO Board meeting dates are available on the [CTIO website](#).

If a proposal advances to the Phase Two: Detailed Proposal stage, the CTIO board will designate CTIO Board member as an ex officio member of the Review Team to participate in the evaluation in an advisory capacity. This ex officio member will be allowed to participate in Evaluation Team meetings and review the Detailed Proposal but will not provide any formal evaluation or recommendation of the proposal unless and until the CTIO Board is required to vote on the Proposal at a public meeting.

### *Transportation Commission*

The state's transportation system is managed by CDOT under the direction of the Transportation Commission. The Transportation Commission (TC) is comprised of 11 commissioners who represent specific districts. Under State law, the powers and duties of the TC include formulating general policy with respect to the management,

construction, and maintenance of public highways and other transportation systems in the State.

Information on Unsolicited Proposals will be shared with the Transportation Commission on an as-needed basis, specifically when Unsolicited Proposals are addressing a CDOT managed or maintained assets, need, or would require joint collaboration, financial commitments, or joint contracting between CTIO and CDOT.

## **7. Phase One: Conceptual Proposal Content**

If the Conceptual Proposal meets the Threshold Review Requirements, CTIO staff will take the following steps:

- I. Log the Conceptual Proposal and assign it a number;
- II. Assemble an evaluation team (CTIO Review Team), which could include the expertise of outside third parties, that are technical and financial subject-matter experts to review the Unsolicited Proposal (if an evaluation by others outside of CTIO is deemed necessary by CTIO staff);
- III. If a meeting would be helpful to more fully understand the Conceptual Proposal, CTIO will request a meeting with the Proposer; and
- IV. Facilitate the evaluation process as needed.

Conceptual Proposals should provide an outline of all aspects of the proposed project and will provide the framework to guide discussions with CTIO staff on the Conceptual Proposal. The Conceptual Proposal should be brief (six pages maximum) and include all information identified in Annex A (Conceptual Proposal Form).

CTIO staff will strive to complete the Conceptual Proposal Evaluation within 40 business days of passing the Threshold Review. The CTIO Director may extend the time allowed to complete the Evaluation of the Conceptual Proposal if more time is needed.

## **8. Phase One: Conceptual Proposal Evaluation**

During the Conceptual Proposal Evaluation, the CTIO Review Team<sup>3</sup> will evaluate the Conceptual Proposal for the following:

- I. Determine if the Conceptual Proposal meets the definition of an Unsolicited Proposal;
- II. Confirm the idea submitted is within CTIO's jurisdiction or control and complies with CTIO's statute;
- III. The Conceptual Proposal offers direct or anticipated benefits to CTIO, CDOT, its customers, and the community;
- IV. The Conceptual Proposal is consistent with CTIO's objectives and goals;

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<sup>3</sup> Review Team may include (subject to availability and proposal elements) Program Coordinator, Special Projects and Budget Manager, Major Projects Manager, Head of Innovative Project Delivery, Tolling Operations Manager, CTIO Director, other relevant CDOT staff, and outside third parties as deemed necessary by CTIO staff.

- V. The Conceptual Proposal satisfies a need for CTIO that can be accommodated in CTIO’s annual long-term capital and operating budgets without displacing other planned expenditures, placing other committed projects at risk, and significantly increasing the cost of the proposed items;
- VI. The Conceptual Proposal offers unique goods or services that CTIO did not intend to purchase through the normal CTIO contract process; and
- VII. Confirm the inclusion of high-level financial, technical and legal components, or other specific evaluation criteria appropriate for the particular proposal. Detailed financial, technical, and legal components are not required until Phase Two (Detailed Proposal).

The Proposer carries the burden of demonstrating these attributes to CTIO in its Conceptual Proposal.

Upon completion of the Conceptual Proposal Evaluation, CTIO staff will notify the Proposer of CTIO’s decision. Possible outcomes include, but are not limited to, proceeding to Phase Two, discontinuing the process, or CTIO pursuing a competitive procurement. To the extent applicable, CTIO will identify reasons for its decision.

**9. Phase Two: Detailed Proposal Overview**

The purpose of Phase Two Evaluation is for CTIO to receive more detailed technical and financial information. At this phase, CTIO will decide whether to forego the Conceptual Proposal, to proceed to a sole source negotiation, or pursue a competitive solicitation.

**10. Phase Two: Request for Detailed Proposal**

If CTIO desires to proceed to Phase Two, CTIO staff will issue a Request for Detailed Proposal that formally tells the Proposer to proceed to Phase Two.

Depending on the type of Conceptual Proposal received, CTIO may decide to split the Phase Two Evaluation into two steps. The first will require an abbreviated value for money (VfM) analysis and if deemed to provide a VfM in the best interest of the State, continue to the second step and request additional technical information.

**11. Phase Two: Detailed Proposal Evaluation Fee**

If CTIO desires to proceed to Phase Two, a second payment must be submitted to CTIO to cover costs associated with the Detailed Proposal Evaluation. CTIO will only evaluate the Detailed Proposal if the Proposer pays CTIO, via check or electronic transfer (confirmed in writing in advance), a Detailed Proposal Review Fee of \$60,000 (as yearly adjusted by the Consumer Price Index for the Denver-Aurora-Lakewood area) the Detailed Proposal Evaluation (half if CTIO staff submit a request for information to conduct an abbreviated VfM for step one and another half if the proposal proceeds to the second step). Any check should be made out to “The State of Colorado” and addressed to CTIO, 2829 W Howard Pl, Denver, CO, 80204. This fee is non-refundable.

If CTIO determines that the Detailed Proposal Evaluation costs will be materially greater, CTIO reserves the right to contact the Proposer and provided an opportunity to pay an additional amount before the continuation of the Detailed Proposal Evaluation.

## 12. Phase Two: Detailed Proposal Content

In addition to the information provided in Phase One, a Detailed Proposal must, at a minimum, include the following information (if a full submission outside that includes the abbreviated VfM and technical information is requested from the proposer):

### *Technical information*

- I. Names and professional information of the Proposer's key personnel who would be committed to the project;
- II. Type of support needed from CTIO (e.g., facilities, equipment, materials, or personnel resources);
- III. A sufficiently detailed description of the scope of work being offered to allow CTIO to evaluate the value received for the price proposed;
- IV. Proposed price or total estimated cost for the effort and/or the revenue generated in sufficient detail for meaningful evaluation, including an annual cash flow for the project;
- V. A schedule for the implementation including specific details for any property and/or services to be provided by CTIO; and
- VI. Proposed duration of the effort.

### *Supporting information*

- I. Type of contracting method requested and justification;
- II. Description of the organization, previous experience in the field, and facilities to be used;
- III. Required statements, if applicable, about organizational conflicts of interest, and environmental impacts; and
- IV. Information demonstrating to CTIO that the Proposer has the necessary financial resources to complete the project. Such information may include (i) financial statements, including an Auditor's Report Letter or an Accountant's Review Letter, Balance Sheets, Statements of Income and Stockholders Equity, and a Statement of Change in Financial Position; (ii) un-audited balance sheets; (iii) names of banks or other financial institutions with which the proposer conducts business; and (iv) letter of credit commitments.

A written request for confidentiality may be submitted by the Proposer with the Detailed Proposal documents. Refer to Section 16 for further information on the procedures for the submission of confidential or proprietary information.

Depending on the circumstances, the Request for Detailed Proposal may also include a request from CTIO to the Proposer for the following:

- A further description of the problem or opportunity being addressed;
- Relevant background, context, parameters, and policies;
- Functional, technical, and legal requirements;
- A cash flow analysis showing the capital, maintenance, and operating costs and revenues;
- Requests for other project related information related to scope, budget, schedule, personnel, risks, data, performance measurement, potential impacts, etc.; and
- Requests for specific modifications or clarifications to the scope of the original Conceptual Proposal.

CTIO may, at its sole discretion, invite the Proposer to present to the CTIO Review Team, ask and answer questions of the CTIO Review Team, and discuss the Detailed Proposal and context.

**13. Phase Two: Detailed Proposal Evaluation**

CTIO staff will strive to complete the Detailed Proposal Evaluation within 60 business days of receipt of a complete submission from the Proposer in accordance with the criteria set out in this Section. The CTIO Director may extend the time allowed to complete the Detailed Proposal Evaluation if more time is needed.

***Evaluation Criteria***

In the Detailed Proposal Evaluation, the CTIO Review Team will consider the same evaluation criteria set forth in the Conceptual Proposal Evaluation in addition to the following factors:

- I. The Proposer’s capabilities, related experience, facilities, techniques, or unique combinations of these which are integral factors for achieving the Detailed Proposal objectives;
- II. The Proposer’s financial capacity to deliver the goods or services defined in the Detailed Proposal;
- III. Viability of the proposed schedule and CTIO’s ability to meet activities required of CTIO;
- IV. CTIO’s capacity to enter into a contract under its enterprise status;
- V. The qualifications, capabilities, and experience of key personnel who are critical in achieving the proposal objectives;
- VI. The specific details of the cost/revenue generated; and
- VII. Other specific evaluation criteria appropriate for the particular Detailed Proposal.

**14. Phase Two: Detailed Proposal Recommendation**

Upon completion of the Detailed Proposal Evaluation (step one and step two), the CTIO Review Team will present its evaluation to the CTIO Director and/or CDOT’S



Executive Management Team (EMT). Depending upon the Unsolicited Proposal, if CDOT approval is required and if the EMT approves the proposal to move forward, the CTIO Board and the Transportation Commission (if relevant) will make a decision on whether to forego the Proposal, to proceed to a sole source agreement, or to pursue a competitive solicitation. The Proposer will be notified of the date of the meeting when the Proposal will be discussed.

## 15. **Full and Open Competition Requirements**

The CTIO USP process is designed to support CTIO's goal of pursuing public-private partnerships (P3) and other innovative and efficient means of completing surface transportation infrastructure projects that have not been released as an RFI, RFQ, or RFP. However, there is a point within the USP process that a proposal moves from following the Unsolicited Proposal process to a competitive procurement unless a sole source procurement is approved. Before entering a contract resulting from an Unsolicited Proposal, CTIO will take the following steps:

### **Value for Money Analysis**

- I. If, after a Phase Two (Detailed Proposal) Evaluation by the Review Team, the CTIO Director decides the project may be something CTIO wishes to pursue, a full Value for Money (VfM) will be conducted (if necessary). If the VfM study, and the CTIO Director, determines the project is in the best interest of the state, CTIO will publish a notice on the procurement section of the CTIO website and other relevant P3 industry publications, if appropriate.

### ***Adequate Opportunity to Compete***

- II. The notice shall state that CTIO:
  1. Has received and accepted an unsolicited proposal;
  2. Conducted a Value for Money analysis (if relevant); and
  3. May negotiate an interim or comprehensive agreement with the private entity based on the proposal, and (iv) will accept for consideration any competing proposals and qualifications that comply with the CTIO Unsolicited Proposal Policy using the Request for Qualifications (RFQ) followed by a draft Request for Proposal (RFP) and a finalized RFP, as outlined in the P3 Management Manual.
- III. The RFQ notice will be published for a period of no less than forty-five (45) calendar days after the initial publication of the applicable notice, or such additional time as determined by the CTIO Director.
- IV. The Original Proposer will have the option to either submit a Statement of Qualifications as required by the RFQ, be shortlisted on the merits of their Phase One and Two submittals, if the CTIO Director deemed their submittals

sufficient for that purpose, or submit any additional information they deem appropriate as required in the RFQ.

**Timeframe**

- V. In determining whether to authorize additional time for submission of competing proposals and qualifications, the CTIO Director will consider the complexity of the proposed project and federal oversight and financial participation.

**Conditions of Reimbursement of Original Proposer Fees**

- VI. If the Original Proposer decides not to participate in the RFP, they will not receive a reimbursement of the Unsolicited Proposal fee and any additional fees paid as part of the evaluation. However, if the Original Proposer submits a proposal in response to the RFP and is not chosen for award of an agreement, the Original Proposer will be entitled to receive any stipend offered in the RFP.

**Notice**

- VII. The notice shall summarize the qualifying project or projects, identify the proposed location of each project, and include specific information and documentation regarding the nature, timing, and scope of the qualifying project.

**Confidential information**

- VIII. CTIO neither requests nor encourages the submission of confidential or proprietary information. If confidential or proprietary information is submitted it should follow the guidance set out in Section 16.

**Transparency and Stakeholder Engagement**

- IX. As a general statement of policy, CTIO will continue to prioritize transparency and accountability in the development and implementation of public-private partnerships for surface transportation projects. Any Unsolicited Proposal that proceeds beyond Phase Two, that is approved by the CTIO Board, will follow the CTIO Transparency Policy.

**CTIO Reserves the Right to Reject the Proposal**

- X. In the alternative, CTIO may determine (i) not to proceed further with any proposal, or (ii) proceed using standard procurement procedures consistent with applicable procurement policies.

***Sole Source Award***

If it is impossible, impractical, unreasonable, or not in the best interests of the State to secure competition in providing the goods or services described in the Unsolicited Proposal, or without revealing proprietary information, or disclosing the originality of thought, or innovativeness of the goods or services sought, CTIO may make a sole source award. A sole source award may not be based solely on the unique capability of the Proposer to provide the specific goods or services proposed.

***Prerequisites to Contract Negotiation***

The contracting officer or other designated CTIO representative(s) may commence negotiations only after the following prerequisites have been met:

1. An Unsolicited Proposal has received a favorable comprehensive evaluation including in comparison to any proposals received following publication as provided in this Policy;
2. CTIO staff furnishes the necessary funds, and provides a sole-source justification (if applicable); and
3. CTIO Director, CTIO Board, (and if required TC) approves the Unsolicited Proposal.

**16. Submission of Confidential Information**

CTIO neither requests nor encourages the submission of confidential or proprietary information. Information submitted shall be presumptively open for public inspection and therefore will presumptively be made available for public inspection unless otherwise designated as exempt consistent with this Policy and Law. Written requests for confidentiality may be submitted to the CTIO Director, provided that the submission must be in STRICT accordance with the following procedures. Adherence to these procedures remains the SOLE RESPONSIBILITY of the Proposer.

***Procedures for Submission of Confidential or Proprietary Information***

- I. A written request for confidentiality shall be submitted by the Proposer with the Unsolicited Proposal documents electronically ([CDOT\\_HPTE-USP@state.co.us](mailto:CDOT_HPTE-USP@state.co.us)) with each submittal.
- II. The written request will be enclosed in a separate e-mail marked “REQUEST FOR CONFIDENTIALITY,” and attached to the cover of the ORIGINAL copy of the Proposer’s Unsolicited Proposal that contains the Proposer’s ORIGINAL signature.
- III. Confidential or proprietary information MUST be clearly IDENTIFIED, MARKED, and SEPARATED (with Annex B used as a cover sheet) from the rest of the Unsolicited Proposal. Commingling of confidential/proprietary information and other information is NOT acceptable. CTIO may request a the Proposer produce a fully redacted version of its Unsolicited Proposal once approved by CTIO.

- IV. The written request must state SPECIFICALLY AND IDENTIFY BY PAGE NUMBER, what elements of the Unsolicited Proposal are to remain confidential. The request must also IDENTIFY THE BASIS for the claim of confidentiality, OTHER than a recitation of a SPECIFIC State or Federal statute.
- V. The CTIO Director, with advice of counsel, will make a written determination as to any apparent validity of confidentiality requests, and if so, whether any sited exemption applies, or ends on a certain date if CTIO decides to further evaluate the Unsolicited Proposal. The written determination of the CTIO Director will be sent to the Proposer.
- VI. Proposals that are determined to be at variance with this procedure may be: (1) declared non-responsive by the CTIO Director and not given further consideration; and/or (2) subject the record to disclosure under State and Federal statute.
- VII. To ensure transparency, and as a cost of doing business with a governmental entity, proposals that reach Phase Two (Detailed Proposal) Phase of the process are prohibited from completely redacting their entire proposal submission. Proposal submissions should request confidentiality and corresponding redactions in a surgical manner, in accordance with the abovementioned process.

CTIO will use its best efforts to restrict the number of people that have access to the proprietary or confidential material contained in the Unsolicited Proposal, but may disclose this information if deemed necessary by CTIO, to CDOT personnel, third parties, public agency partners, the Transportation Commission or the CTIO Board through, the use of Non-Disclosure Agreements (NDAs), confidentiality clauses included in third-party contracts, and/or the attorney-client privilege. At the time of submission to CTIO, the Proposer must also include an Executive Summary covering the major elements of the Unsolicited Proposal that do not address the Proposer's price, financing plan, or other confidential or proprietary information or trade secrets that the Proposer intends to be exempt from disclosure. The Executive Summary will be a public document and may be posted on the CTIO website. The Executive Summary may also be used in connection with seeking competitive proposals.

**17. Colorado Open Records Act (CORA) C.R.S. § 24-72-201, et seq**

Unsolicited Proposals are presumed public records except to the extent relied upon by CTIO for official business. Proposers are on notice CTIO hereby reserves the right to determine a record constitutes CORA exempt material and/or whether an exemption is permanent or ends on a certain date. To the extent practicable, determinations as to whether specific materials contained in an Unsolicited Proposal constitute public records will be made consistent with CTIO's [Open Records Policy](#). Proposers shall be responsible for all costs associated with defending any request for disclosure of any record claimed by the Proposer to be exempt from disclosure under CORA.

**18. Liability**

CTIO recognizes that each Unsolicited Proposal will have its unique characteristics and goals and that tailored approaches to assessing and implementing projects will be required for CTIO's program to be successful. CTIO intends to retain the flexibility to modify or deviate from this Policy as it sees fit and in the interest of the State and the public.

This Policy may be revised from time to time, and such revisions will be promptly posted on the CTIO's website. The applicable Policy to any Unsolicited Proposal shall be the Policy effective on the date CTIO receives its first payment from the Proposer. Those performing work or otherwise relying on this Policy assume all risks related to any revisions. CTIO will not be liable for any damages sustained by anyone based on a modification or failure to modify the Policy. In addition, the CTIO, at its sole discretion, may waive or deviate from some or all of this Policy where it deems such waiver(s) or deviation to be in the best interest of the State. In no event shall any such waiver or deviation result in any liability for CTIO, the State, or any other party.

## Annex A: Conceptual Proposal Form

Phase One of CTIO’s Unsolicited Proposal process involves submitting all required information and completing each section identified below. The Conceptual Proposal must be no longer than six pages in total. If CTIO determines that the Unsolicited Proposal should proceed to Phase Two, CTIO will issue a Request for Detailed Proposal.

<b>1. Basic Information</b>
-----------------------------

Proposer Information:

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

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

\_\_\_\_\_

Further contact information: \_\_\_\_\_

Type of organization: \_\_\_\_\_

Technical personnel names & contact information: \_\_\_\_\_

\_\_\_\_\_

Business personnel names & contact information: \_\_\_\_\_

\_\_\_\_\_

*These individuals should be responsible for answering CTIO’s technical or business questions concerning the proposal or any subsequent agreement concerning the proposal.*

<b>2. Conceptual Proposal Executive Summary</b>
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Title of the proposal: \_\_\_\_\_

\_\_\_\_\_

Executive summary (1/2 page maximum)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**3. Conceptual Proposal - Key Information**

Title of the proposal: \_\_\_\_\_

Key information must include:

1. Objectives;
2. Method of approach;
3. Nature and extent of anticipated results; and
4. Manner in which the work will help support accomplishment of CTIO's mission.

Technical expertise the Proposer needs from CTIO: \_\_\_\_\_

**4. Financial Information**

Proposed price or total estimated cost: \_\_\_\_\_

Proposed method of revenue generation: \_\_\_\_\_

*Be concise but provide sufficient detail for CTIO to meaningfully evaluate the proposal.*  
Financial information the Proposer needs from CTIO:

\_\_\_\_\_  
\_\_\_\_\_

**5. Procedural Information**

Period of time for which the proposal is valid: \_\_\_\_\_

**6. Request for Confidentiality**

A request for confidentiality has been submitted with this proposal and is deemed confidential by the Proposer in the event of a request submitted to CTIO under the Colorado Open Records Act (CORA). Proprietary data has been separated, clearly designated, identifies the basis for the claim of confidentiality, and follows all the procedures outlined in Section 16.

Yes       No

**7. Signature**

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

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

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

*The individual who signs this form must be authorized to represent and contractually obligate the Proposer.*



**Annex B: Unsolicited Proposal use of data prior to the contract is prohibited**

All CTIO personnel will exercise extreme care to ensure that the information in this Unsolicited Proposal is not disclosed to an individual who has not been authorized access to such data and is not duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of the Unsolicited Proposal, without the written permission of the Proposer. If a contract is awarded on the basis of this Unsolicited Proposal, the terms of the contract shall control disclosure and use.



# Annex C: Unsolicited Proposal Policy Flow Chart

