

**THE CONNECTICUT STATE DEPARTMENT OF EDUCATION**

**ON BEHALF OF**

**THE EARLY CHILDHOOD EDUCATION CABINET**

2007-2009 REQUEST FOR PROPOSAL

FOR  
PROVISION OF TECHNICAL ASSISTANCE

TO

THE EARLY CHILDHOOD EDUCATION CABINET AND STATE AGENCIES

IN THE USE OF

THE RESULTS-BASED ACCOUNTABILITY FRAMEWORK

J.S.S. Public Act 07-3

AN ACT CONCERNING EDUCATION IMPLEMENTER PROVISIONS

Purpose: To provide technical assistance for the Cabinet, State Agencies and programs in the use of the Results-Based Accountability (RBA) framework.

Applications Due: OCTOBER 1, 2007

Published: SEPTEMBER 2007

RFP

CONNECTICUT STATE DEPARTMENT OF EDUCATION

Dr. Mark K. McQuillan

Commissioner of Education

IT IS THE POLICY OF THE STATE OF CONNECTICUT THAT NO PERSON SHALL BE EXCLUDED FROM PARTICIPATION IN, DENIED THE BENEFITS OF, OR OTHERWISE DISCRIMINATED AGAINST UNDER ANY PROGRAM INCLUDING EMPLOYMENT, BECAUSE OF RACE, COLOR, RELIGIOUS CREED, SEX, AGE, NATIONAL ORIGIN, ANCESTRY, MARITAL STATUS, SEXUAL ORIENTATION, MENTAL RETARDATION AND PAST/PRESENT HISTORY OF MENTAL DISORDER, LEARNING DISABILITY AND PHYSICAL DISABILITY.

## Table of Contents

Purpose .....	4
Contract Period.....	4
Eligible Applicants.....	4
Funding.....	4
Required Services.....	4
Due Date.....	5
Contact.....	5
General Proposal Requirements.....	5
Qualification Criteria.....	5
Project Reporting.....	5
General Submission Requirements.....	5
Mail and Delivery Info.....	6
Requirements.....	7
Cover Page.....	8
Section I Narrative.....	9
Section II Proposed Services to be provided.....	10
Section III Schedule of Deliverables.....	12
Section IV Budget.....	13
Section V Statement of Assurances.....	14
Section VI Affirmative Action.....	19
Section VII Application Checklist.....	32
Appendix A Evaluation Criteria.....	33

**Purpose**

JSS Public Act 07-3 Section 10-16s (b)(2)(d)(1), An Act Implementing the Provisions of the Budget Concerning Education requires the Early Childhood Education Cabinet to "...*develop and implement an accountability plan for early childhood education services. The plan shall identify and define appropriate population indicators and program and system measures of the readiness of children to enter kindergarten. No later than December 31, 2008 and annually thereafter, the cabinet shall report, in accordance with the provisions of section 11-4a, on the measures implemented in accordance with this subdivision to the Office of Policy and Management and to the joint standing committees of the General Assembly having cognizance of matters relating to appropriations and the budgets of the state agencies, education, human services and higher education and employment advances.*"

Aligned with the legislative interest in Results-Based Accountability (RBA) framework, the Early Childhood Education Cabinet was selected as one of two CT General Assembly RBA "case examples" and presented a first report to the legislature using this framework for three programs in three agencies in February 2006 and expanded it to 24 programs in nine agencies in February 2007. Specific expertise, ongoing training and mentoring are required for the successful implementation of this process by the cabinet and the agencies. At the July 30, 2007 Early Childhood Education Cabinet Meeting, the members voted to approve the cabinet budget which included the funds to support continued technical assistance needed for the RBA work.

**Eligible Applicants**

Bidders must document knowledge, experience, training and expertise in the development and application of Results-Based Accountability as well as direct experience with the working methods, policies and procedures of Connecticut state agencies and the Connecticut General Assembly should apply.

**Funding**

Total funds available are \$100,000 for the fiscal year ending 6/30/2008 and \$100,000 for the fiscal year ending 6/30/2009. Rate not to exceed \$150.00 per hour.

Applications will be reviewed using a criterion based scoring system. The State Department of Education (SDE) on behalf of the Early Childhood Education Cabinet reserves the right to make awards under this program without discussion with the applicants; therefore, proposals should represent the applicant's best effort to ensure a quality proposal from both a technical and cost standpoint. All awards are subject to the availability of state funds.

**Contract Period**

October 15 2007 thru June 30<sup>th</sup> 2009

**Required Services:**

- Provide technical assistance and training in the use of the standardized tools for the Cabinet and Agency staff to develop their RBA for all relevant programs for presentation to the Appropriations Committee in the 2008 and 2009 CGA sessions;
- Assist the Cabinet and Agency staff in the identification of population indicators, implementation strategies, system and program measures, budget components, no and low cost actions, data barriers and research agendas for their programmatic RBA frameworks;
- Calibrate the indicators and budget information across all the RBA work being conducted for the Early Childhood Education Cabinet and link with related RBA efforts including the work of the Child Poverty and Prevention Council;
- Assist the Cabinet in planning, budget development, policy discussions and fiscal scans related to accountability, data interoperability, and other management/infrastructure work;

- Assist in the development of research and data agenda to implement actions based in part on action items presented as part of the Cabinet's annual RBA Appropriations Committee presentation; and
  - Assist the Cabinet in the development of its legislatively required Accountability Plan.
- Funds may not be used for indirect costs, purchased property services or property.

**Due Date:**

Proposals, IRRESPECTIVE OF POSTMARK DATE, must be received no later than 4:00 PM on Monday October 1, 2007. No extensions will be given.

**Contact:**

Joyce M. Staples, Office of the Early Childhood Education Cabinet (860) 713-6581 or by e-mail at [joyce.staples@ct.gov](mailto:joyce.staples@ct.gov)

**General Proposal Requirements:**

Providing technical assistance and support to the Early Childhood Cabinet and state agencies is key in ensuring that all aspects of the required processes are addressed successfully. This Request for Proposals (RFP) is intended to solicit applications from interested parties who meet the qualification criteria, are able to demonstrate successfully their ability to perform the tasks outlined in the proposal and can fulfill all of the responsibilities assigned.

**Qualification Criteria:**

In order to fulfill the duties and responsibilities of this RFP, the bidder must have specific expertise, training and experience in the development and application of Results-Based Accountability as well as direct experience with the working methods, policies and procedures of RBA as it relates to Connecticut state agencies and the Connecticut General Assembly

**Project Reporting:**

Selected contractor will be required to provide semi-annual reports and a final report to the Early Childhood Education Cabinet and the Connecticut State Department of Education (serving as fiduciary for the Cabinet) on the activities and results of the technical assistance projects.

Summative reports are due to Joyce M. Staples, Early Childhood Consultant at [joyce.staples@po.state.ct.us](mailto:joyce.staples@po.state.ct.us) by June 30, 2008, December 30, 2008, June 30, 2009 and the final report is due and August 15, 2009.

**General Submission Requirements**

Delivery of this application is required by 4:00 PM on Monday October 1, 2007 irrespective of the postmark date and means of transmittal. Facsimile copies of the application will not be accepted. Only applications with original signatures will be accepted. Extensions shall not be given. Applicants will submit one (1) signed original and four (4) copies. The original proposal must bear an original signature of the authorized representative of the applicant. An original signature must also be included on the Standard Statement of Assurances and the Affirmative Action Packet which are requirements of all proposals.

All of the information contained in the application submitted is subject to the provisions of Chapter 3 of the Connecticut General Statutes (Public Records and Meetings and Freedom of Information Act (FOIA) Sections 1-200 to 1-241, inclusive. The FOIA declares that except as provided by federal law or state statute, records maintained or kept on file by any public agency, as defined in the statute, are public records and every person has the right to inspect and receive a copy of such records.

Mail & Delivery Information
Joyce M. Staples Office of the Early Childhood Education Cabinet 165 Capitol Avenue, Room 302 Hartford, Connecticut, 06106

**Requirements:**

Applicants must complete and submit the following:

1. Narrative	Provide a narrative of no more than two pages that describes how the applicant meets the established criteria and attach relevant certifications, documentation of experiences and at least three letters of recommendations from work completed within the last three (3) years.
2. Proposed Services to be delivered	Provide a concise description of how the applicant will provide technical assistance in the following areas: <ul style="list-style-type: none"><li>• Apply the Appropriations Committee’s full Results Based Accountability (RBA) initiative to Goal I of the Early Childhood Investment Framework;</li><li>• Expand the application of the full RBA framework to Goal II</li><li>• Provide technical assistance in the use of the standardized tools developed for the Appropriations Committee to the development of Goals I and II;</li><li>• Apply RBA to the work of the Cabinet through development of the required Accountability Plan; and</li></ul> Assist Cabinet agencies and other organizations affiliated with the Cabinet's RBA work to address barriers and develop research agenda.
3. Schedule of Deliverables	Provide information on the strategies and methods that will be used to ensure that the work will be completed on schedule.
4. Budget	The budget narrative
5. Assurances	All signed assurances should be included with the application
6. Affirmative Action	An affirmative action packet should be completed and submitted with this application if the applicant does not have a packet on file with the State Department of Education. Applicants with Affirmative Action packets on file with the State Department of Education may submit the completed " <b>Certification Form</b> " with signatures.
7. Application Checklist	Please complete and include in the application

**COMPETITIVE APPLICATION**

**FOR  
PROVISION OF TECHNICAL ASSISTANCE  
TO  
THE EARLY CHILDHOOD CABINET AND STATE AGENCIES  
IN THE USE OF  
THE RESULTS-BASED ACCOUNTABILITY FRAMEWORK**

<u>APPLICANT:</u> (Name, Address, Telephone, Fax)	
<u>CONTACT PERSON:</u> (Name, Address, Telephone, Fax)	<u>PROPOSED COST:</u>

I, \_\_\_\_\_, the undersigned authorized chief administrative official submit this proposal on behalf of the applicant agency, attest to the appropriateness and accuracy of the information contained therein, and certify that this proposal, if funded, will comply with all relevant requirements of the state and federal laws and regulations.

In addition, funds obtained through this source will be used solely to support the purpose, goals and objectives as stated herein.

**Signature:**

Name: (typed)

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

Agency:

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

---

---

**SECTION I**

---

---

---

---

**NARRATIVE**

---

---

In no more than two pages, please describe the applicant's knowledge, training, experience and expertise in the following areas:

- Training in the use of the RBA framework (dates and length of training, trainer);
- Use of the RBA framework to develop indicators, measures, goals
- Experience in working with professionals on goals and objectives for the field of early childhood education (birth to age 8);
- Experience in working with state agencies on developing the RBA framework for their relevant programs;
- Experience in working with the CT General Assembly around the use of the RBA framework;
- Training and assisting state agencies in use of the standardized tools, addressing barriers, identifying low or no cost actions and developing a data agenda; and
- Experience in fiscal scans across multiple venues that provides information in the development of fiscal planning, budget and policy discussions.

Applicants may attach relevant certifications, documentation of experience and letters of recommendation from work completed within the last 3 years.

The proposal must address the bidder's ability to provide technical assistance in the following five areas and include a description of the strategies, methodology, schema of actions, report formats, schedules and follow up of the process that will be used in the provision of technical assistance to the Cabinet and the affiliated agencies. This section is limited to a total of eight (8) pages.

- Goal 1 *"All children beginning with those born in 2006, will achieve appropriate developmental milestones, from their birth to age five and enter kindergarten fully ready for school success."* The applicant will successfully apply the Appropriations Committee's full RBA initiative to Goal 1.
  - Refine the indicators for the quality of life result identified in Goal 1 through the Infant Toddler strategic planning group; the Early Childhood Education Systems working group; and other working committees of the Cabinet or Council as directed.
  - Involve all appropriate agencies such as the Departments of Social Services, Public Health, Children and Families, Mental Retardation, Education, Children's Trust Fund and their relevant early childhood programs that contribute to the quality of life results and develop all appropriate measures for those programs (some programs may be excluded if their contributions are small or indirect).
  - Identify appropriate budget components related to Goal 1, including updated and expanded fiscal scans.
  - Calibrate the indicators and budget information with the RBA work being conducted for other goals being addressed by the Cabinet.
- Goal 2 *"All children will achieve the state goal for reading on the 3<sup>rd</sup> grade CT Mastery Tests beginning in 2015."* The applicant will successfully expand the application of the full RBA work to Goal II.
  - Refine the indicators for the quality of life result identified in the Goal II Cabinet Implementation Team and other working groups as directed.
  - Involve all appropriate agencies such as the Departments of Social Services, Public Health, Children and Families, Mental Retardation, Education, Children's Trust Fund and their relevant early childhood programs that contribute to the quality of life results and develop all appropriate measures for those programs (some programs may be excluded if their contributions are small or indirect).
  - Identify appropriate budget components related to Goal 1, including updated and expanded fiscal scans.
  - Calibrate the indicators and budget information with the RBA work being conducted for other goals being addressed by the Cabinet.
- Provide technical assistance to agencies in the use of the standardized tools developed for the Appropriations Committee to the development of Goals I and II.
  - Provide any necessary training and follow-up technical assistance to the relevant agencies.

- Assist the agencies in using the standardized tools to develop their RBA presentations for the Appropriations Committee in the 2008 and 2009 CGA sessions.
  
- Apply the RBA to the work of the Cabinet:
  - Assist the Cabinet in conducting fiscal scans related to accountability, data interoperability, and other management infrastructure work items;
  - Assist the Cabinet in identifying agencies and programs that may require necessary funding increases over the next five years to turn the curve for the key quality of life indicators; and
  - Assist the Cabinet in using the RBA framework to inform its planning, budget and policy discussions.
  
- Assist the Cabinet agencies such as the Departments of Social Services, Public Health, Children and Families, Mental Retardation, Education and other organizations affiliated with the Cabinet's previous RBA Appropriations Committee package to:
  - Identify and overcome any barriers to implementation of the specific "no and low cost" actions each has presented to the Appropriations Committee; and
  - Assist in the development of a research and data agenda based in part on action items presented as part of the Cabinet's annual RBA Appropriations Committee presentation.

Applicant must address the strategies and methods that will be used to ensure that the following work will be completed on schedule.

- Assist the Cabinet in following up on the no and low cost action items identified in the presentation to the Appropriations Committee in the previous legislative session to support Goal I and II RBA-based planning efforts and assist in follow up on research and data action items.
- Identify further RBA training and technical assistance for all relevant agencies involved in the RBA work that is related to RBA utilization and expansion I Goal I and Goal II work.
- Assist in the development and completion of the RBA templates.
- Work with the Cabinet to integrate RBA template work occurring at an agency/program level with the Cabinet's ongoing deliberations.
- Work with the Cabinet and agencies on presentation for Appropriations Committee and prepare the Appropriations Committee for the presentations.
- Assist agencies in preparing summary of RBA presentation for sub-committees and prepare sub-committees for the presentations.
- Assist agencies and the Cabinet in refining templates based on additional work conducted by the Cabinet from January to April.

---

---

**SECTION IV**

---

---

**BUDGET SECTION**

---

---

Please provide a narrative of how funds will be used in carrying out the terms of this contract. Include breakdown for salaries, fringe benefits, supplies, equipment, travel, management fees and any other categories proposed.

---

---

**SECTION V**

---

---

**STATEMENT OF ASSURANCES**

---

---

**The Statement of Assurances Signature Page included in this proposal must provide the authorized signatures of the applicant. (Please note that the authorized signatures of the eligible applicant must also be provided on the cover page of the application submitted with the contract.)**

---

PROJECT TITLE \_\_\_\_\_

THE APPLICANT: \_\_\_\_\_ HEREBY ASSURES THAT:  
(Insert Company Name)

- A. The applicant has the necessary legal authority to apply for and receive the proposed contract;
- B. The filing of this application has been authorized by the applicant's governing body, and the undersigned official has been duly authorized to file this application for and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application;
- C. The activities and services for which assistance is sought under this contract will be administered by or under the supervision and control of the applicant agency;
- D. The project will be operated in compliance with all applicable state and federal laws and in compliance with the regulations and other policies and administrative directives of the Connecticut State Board of Education and the State Department of Education;
- E. Contract funds shall not be used to supplant funds normally budgeted by the agency;
- F. Fiscal control and accounting procedures will be used to ensure proper disbursement of all funds awarded;
- G. The applicant will submit a final project report (within 60 days of the project completion) and such other reports, as specified, to the State Department of Education, including information relating to the project records and access thereto as the State Department of Education may find necessary;
- H. The Connecticut State Department of Education reserves the exclusive right to use and grant the right to use and/or publish any part or parts of any summary, abstract, reports, publications, records, and materials resulting from this project.
- I. If the project achieves the specified objectives, every reasonable effort will be made to continue the project and/or implement the results after the termination of state and/or federal funding;
- J. The applicant will protect and save harmless the State Board of Education from financial loss and expense, including fees and legal fees and costs, if any, arising out of any breach of the duties, in whole or in part, described in the application for this contract;

K. At the conclusion of each contract period, the applicant will provide for an independent audit report acceptable to the contractor in accordance with Sections 7-394a and 7-396a of the Connecticut General Statutes, and the applicant shall return to the State Department of Education any monies not expended in accordance with the approved program/operation budget as determined by audit;

L. **Required Contract Language**

(1) For the purposes of this section, "Commission" means the Commission on Human Rights and Opportunities.

For the purposes of this section, "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capitol stock, if any, or assets of which is owned by a person or persons: (a) who are active in the daily affairs of the enterprise, (b) who have the power to direct the management and policies of the enterprise and (c) who are members of a minority, as such term is defined in subsection (a) of Connecticut General Statutes Section 32-9n; and "good faith" means that the degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "Good faith efforts" shall include, but shall not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements.

For the purposes of this section, "sexual orientation" means having a preference for heterosexuality, homosexuality or bisexuality, having a history of such preference or being identified with such preference, but excludes any behavior which constitutes a violation of part VI of chapter 952 of the general statutes.

(2) (a) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or the State of Connecticut. If the contract is for a public works project, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such project. The contractor further agrees to take affirmative action to insure that applicants with job related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, or physical disability, including, but not limited to, blindness, unless it is shown by the contractor that such disability prevents performance of the work involved; (b) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the commission; (c) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission, advising the labor union or worker's representative of the contractor's commitments under this section and to post copies of the notice in conspicuous places

available to employees and applicants for employment; (d) the contractor agrees to comply with each provision of this section and Connecticut General Statutes Sections 4a-62, 32-9e, 46a and 46a-68b to 46a-68k, inclusive and with each regulation or relevant order issued by said commission pursuant to said sections; (e) the contractor agrees to provide the commission on human rights and opportunities with such information requested by the commission, and permit access to pertinent books, records, and accounts, concerning the employment practices and procedures of the contractor as related to the provisions of this section and section 46a-56.

(3) Determination of the contractor's good faith efforts shall include but shall not be limited to the following factors: the contractor's employment and subcontracting policies, patterns and practices; affirmative advertising; recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

(4) The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.

(5) The contractor shall include the provisions of subsection (2) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding in a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of reinforcing such provisions including sanctions for noncompliance in accordance with this section and Connecticut General Statutes Sections 4a-62, 32-9e, 46a-56 and 46a-68b to 46a-68k, inclusive; provided if such contractor becomes involved in, or is threatened with litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

(6) The contractor agrees to comply with the regulations referred to in this section as the term of this contract and any amendments thereto as they exist on the date of the contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.

(7) (a) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated, when employed, without regard to their sexual orientation; (b) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission on human rights and opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (c) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56 of the Connecticut General Statutes; (d) the contractor agrees to provide the commission on human rights and

opportunities with such information requested by the commission and permit access to pertinent books, records and accounts, concerning employment practices and procedures of the contractor which related to the provisions of this section and section 46a-56 of the general statutes.

(8) The contractor shall include the provisions of subsection (7) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor, or manufacturer unless exempted by regulations and orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56 of the general statutes; provided, if such contractor or vendor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

M. **OTHER ASSURANCES**

The contract is subject to approval of the State Departments of Education and the availability of state and/or federal funds;

N. The applicant agrees and warrants that Sections 4-190 to 4-197, inclusive, of the Connecticut General Statutes concerning the Personal Data Act and Sections 10-4-8 to 10-4-10, inclusive, of the Regulations of Connecticut State Agencies promulgated thereunder are hereby incorporated by reference;

O. **Management and Control of the Program and Contract Consultation Role Of The State**

The contractor should have complete management control of this contract. While state agency staff may be consulted for their expertise, they will not be directly responsible for the selection of sub-contractors or vendors, nor will they be directly involved in the expenditure and payment of funds obligated by the contractor.

P. **Annie Casey Foundation**

Applicants that are part of a collaborative effort funded in whole or in part by the Annie E. Casey Foundation must submit documentation that:

(1) the collaborative oversight entity has been provided the opportunity to review and comment on the contract application or proposal prior to submission to the Department;

(2) the proposal or application submitted provides information detailing the activities which assure priority access to services to children, youth and families referred by the collaborative oversight entity; and

(3) the applicant shall designate someone to act as liaison for the referral process.

Q. Contract funds should not be committed until an official contract is received;

R. This provision and its subsections are included in this agreement in accordance with

section 6 and 11 of Governor M. Jodi Rell's Executive Order #7A: (a) The State Contracting Standards Board (the "board") may, for cause, review this Agreement and recommend to the contracting agency, for its consideration and final determination as required or permitted by and in accordance with this Agreement and applicable law, termination of this Agreement after providing fifteen days' prior written notice to the contracting agency and the applicable contractor that it will review the Agreement. The results of the Board's review, together with its recommendations, shall be provided to the contracting agency and any other affected party in a timely manner, provided that nothing shall be construed to limit the power of the commissioner or department head of the contracting agency to consider the recommendations of the Board, as required or permitted in accordance with applicable law. For the purpose of this provision, "for cause" means: (1) A violation of Sections 1-84, 1-86e or 4a-100 of the Connecticut General Statutes or (2) wanton or reckless disregard of any State contracting and procurement process by any person substantially involved in this Agreement or the contracting agency. (b) The contractor shall disclose to the head of the contracting agency prior to its execution of this Agreement any items of value provided to any State employees for which full payment has not been made.

- S. The signature of the authorized official on the Statement of Assurances Signature Page indicates the intent to comply with the provisions referenced in each section. Assurances not agreed to by the authorized official must be identified on a separate sheet with a rationale for the disagreement; and
- T. The State Department of Education reserves the right to negotiate terms, including the withholding of funds, based on the contractor's inability to comply with these assurances.

I, the undersigned authorized official: hereby certify that these assurances shall be fully implemented.

**Signature** \_\_\_\_\_

**Name (typed)** \_\_\_\_\_

**Title (typed)** \_\_\_\_\_

**Date** \_\_\_\_\_

**AFFIRMATIVE ACTION PLAN**

IF A CURRENT AFFIRMATIVE ACTION PLAN IS ON FILE WITH THE CONNECTICUT DEPARTMENT OF EDUCATION, COMPLETE THE STATEMENT WRITTEN BELOW AND SUBMIT AS PART OF THE PROPOSAL.

IF A CURRENT AFFIRMATIVE ACTION PLAN IS NOT ON FILE, COMPLETE THE ATTACHED AFFIRMATIVE ACTION PACKAGE AND SUBMIT AS PART OF THE PROPOSAL.

**CERTIFICATION THAT A CURRENT AFFIRMATIVE ACTION PLAN IS ON FILE**

I, the undersigned authorized official; hereby certify that the current affirmative action plan of the applying organization/agency is on file with the Connecticut State Department of Education. The affirmative action plan is, by reference, part of this application.

---

Signature of Authorized Official

---

Date

---

Name and Title

**CONNECTICUT STATE DEPARTMENT OF EDUCATION  
AFFIRMATIVE ACTION PACKET**

The State Department of Education (SDE) is committed to Equal Opportunity and Affirmative Action and will not knowingly do business with any bidders, contractors, subcontractors or suppliers of materials who engage in acts of unlawful discrimination. In accordance with Administrative Regulations Sections 46a-68-31 through 46a-68-74 "Affirmative Action By State Government" and 4a-60 through 4a-60a and 46a-68c through 46a-68k "Contract Compliance" as administered by the Commission on Human Rights and Opportunities (CHRO), the SDE encourages bidders, contractors, subcontractors, and suppliers of materials to develop and implement Affirmative Action Plans.

Contractors with 50 or more employees and contracts that total **\$4,000** or more for leases, rental and personal service agreements are required to have or develop a written Affirmative Action Plan addressing any identified under utilization of minorities and women. Further, contractors with fewer than 50 employees regardless of contract amount or contractors with 50 or more employees with a total contract amount of less than \$4,000 for leases, rental and personal service agreements are required, at a minimum, to develop a written Affirmative Action Policy Statement.

In accordance with CHRO Regulations concerning contract compliance procedures for state agencies, this packet was prepared to assist all bidders for contractual services to comply with legally mandated application procedures. **All contractors must read and complete the appended forms where appropriate, and submit their Affirmative Action Policy Statement and Plan where appropriate.**

**The following are appended hereto:**

1. **Commission on Human Rights and Opportunities Contract Compliance Regulations and Notification to Bidders:** Makes prospective contractors aware of the State Department of Education's obligation to ensure that prospective contractors qualify pursuant to contract compliance requirements. (*Contractor must complete*).
2. **Workforce Analysis:** A comprehensive inventory of all employees by race, sex, job title, and occupational category (*Contractor must complete*).
3. **Definitions for Workforce Analysis:** Race/Ethnic identification and description of job categories to assist in the completion of workforce analysis.
4. **Standard Statement of Assurances:** (*Contractor must complete to apply for contracts*).
5. **Contractor's Minority Business Enterprises Utilization Form:** (*Contractor must complete when an MBE or WBE is engaged in a subcontract*).

6. **Affidavit/Certificate of Corporation:** *(Contractor must complete only when an MBE or WBE that is not registered with the Department of Economic Development is engaged as a subcontractor and the Contractor wish to receive credit for such pursuant to regulations).*
7. **Sample Affirmative Action Policy Statement:** Contractor may use this as an example or may use it as their statement by placing it on their letterhead.

Please submit the completed forms along with your proposal or bid to the person or office identified in the request for proposal.

Affirmative Action Office  
State Department of Education  
(860) 566-7619

(Rev 6/99)

**CONTRACT COMPLIANCE REGULATIONS AND NOTIFICATION TO  
BIDDERS**

**Sections 46a-68j-23 (1)-(10) and 46a-68j-24 (a)**

CONTRACT COMPLIANCE

**Sec. 46a-68j-23. Obligations of Contractors:**

Every contractor awarded a contract subject to contract compliance requirement shall:

- 1) Comply fully with all federal and state anti-discrimination laws, and shall not discriminate or permit a discriminatory practice to be committed;
- 2) Cooperate fully with the commission;
- 3) Submit periodic reports of its employment and subcontracting practices in such a form, in such a manner and at such a time as may be prescribed by the Commission;
- 4) Provide reasonable technical assistance and training to minority business enterprises to promote the participation of such concerns in state contracts and subcontracts;
- 5) Make a good faith effort, based upon the availability of minority business enterprises in the labor market area, to award a reasonable proportion of all subcontractors to such enterprises;
- 6) Maintain full and accurate support data for a period of two (2) years from the date the record is made or the date the contract compliance form is submitted, whichever is later, provided that this provision shall not excuse compliance with any other applicable record retention, state regulation or policy providing for a period of retention in excess of two (2) years;
- 7) Not discharge, discipline or otherwise discriminate against any person who has filed a complaint, testified or assisted in any proceeding with the commission;
- 8) Make available for inspection and copying any support data requested by the commission, and make available for interview any agent, servant or employee having knowledge of any matter concerning the investigation of a discriminatory practice complaint or any matter related to a contract compliance review;
- 9) Include a provision in all subcontracts with minority enterprises requiring that the minority business enterprise provide the Commission with such information on its structure and operations as the Commission finds necessary to make an informed determination as to whether the standards of Section 4a-60 of the Connecticut General Statutes as amended by Sec. 2 of Public Act 89-253 have been met; and

10) Undertake such other reasonable activities or efforts as the Commission may prescribe to ensure the participation of minority business enterprises as state contractors and subcontractors.

**Sec 46a-68j-24. Utilization of Minority Business Enterprises:**

a) Contractors shall make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on all projects subject to contract compliance requirements.

**CONNECTICUT COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES  
WORKFORCE ANALYSIS**

Contractor Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Total number of CT employees:  
 Full-time \_\_\_\_\_ Part time \_\_\_\_\_

Complete the following Analysis for employees of Connecticut work sites who are:

JOB CATEGORIES	OVERALL TOTALS (SUM OF ALL COLS. MALE & FEMALE)	WHITE (NOT OF HISPANIC ORIGIN)		BLACK (NOT OF HISPANIC ORIGIN)		HISPANIC		ASIAN OR PACIFIC ISLANDER		AMERICAN INDIAN OR ALASKAN NATIVE		PEOPLE WITH DISABILITIES	
		MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE
OFFICIALS & MANAGERS													
PROFESSIONALS													
TECHNICIANS													
PARAPROFESSIONAL													
SALES WORKER													
OFFICE & CLERICAL													
CRAFT WORKERS (Skilled)													
OPERATIVES (Semi-skilled)													
LABORERS (unskilled)													
SERVICE WORKERS													
TOTALS ABOVE													
TOTALS ONE YEAR AGO													

**FORMAL, ON - THE JOB TRAINEES (Enter figures for the same categories as are shown above).**

Apprentices													
Trainees													

EMPLOYMENT FIGURES WERE OBTAINED FROM VISUAL CHECK: \_\_\_\_\_ EMPLOYMENT RECORDS: \_\_\_\_\_ OTHER: \_\_\_\_\_

- Have you successfully implemented an Affirmative Action Plan? Yes: \_\_\_\_\_ Date of implementation \_\_\_\_\_  
 Not Applicable: \_\_\_\_\_ Explain: \_\_\_\_\_  
 (a) Please submit a summary of your Affirmative Action Plan.
- Have you successfully developed an apprenticeship program complying with Sec. 46a-68-17 of the Connecticut Department of Labor Regulations, inclusive? Yes: \_\_\_\_\_ No: \_\_\_\_\_ Not Applicable: \_\_\_\_\_ Explain: \_\_\_\_\_
- According to EEO-1 data, is the composition of your workforce at or near parity when compared with the race and gender composition of the workforce in the relevant labor market area? Yes: \_\_\_\_\_ No: \_\_\_\_\_ Explain: \_\_\_\_\_
- If you plan to subcontract, will you set aside a portion of the contract for legitimate minority business enterprises?  
 Yes: \_\_\_\_\_ No: \_\_\_\_\_ Explain: \_\_\_\_\_

\_\_\_\_\_  
 Contractor's Authorized Signature

\_\_\_\_\_  
 Date

## DEFINITIONS FOR WORKFORCE ANALYSIS

### **RACE/ETHNIC IDENTIFICATION:**

You may acquire the race/ethnic information necessary for this report either by visual surveys of the Workforce, or from records as to the identity of employees after the starting date of employment.

Please note that conducting a visual survey and keeping records of the race/ethnic identity of employees is legal in all jurisdictions and under all Federal and State Laws.

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purpose of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group.

### **DESCRIPTION OF JOB CATEGORIES:**

**Officials and managers:** Occupations requiring administrative managerial personnel who set broad policies, exercise overall responsibility for execution of these policies, and direct individual departments or special phases of a firm's operations. Includes: *officials, executives, middle management, plan managers, department managers, and superintendents, salaried supervisors who are members of management, purchasing agents and buyers, railroad conductors and yard masters, ship captains, mates and other officers, farm operators and managers, and kindred workers.*

**Professionals:** Occupations requiring either college graduation or experience of such kind and amount as to provide a comparable background. Includes: *accountants and auditors, airplane pilots, and navigators, architects, artists, chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, registered professional nurses, personnel and labor relations specialists, physical scientists, physicians, social scientists, teachers, and kindred workers.*

**Technicians:** Occupations requiring a combination of basic scientific knowledge and manual skill which can be obtained through two (2) years of post-high school education, such as is offered in many technical institutes and junior colleges, or through equivalent on-the-job training. Includes: *computer programmers, drafters, engineering aides, junior engineers, mathematical aides, licensed practical or vocational nurses, photographers, radio operators, scientific assistants, surveyors, technical illustrators, technicians (medical, dental, electronic, physical science), and kindred workers.*

**Sales:** Occupations engaging wholly or primarily in direct selling. Includes *kindred workers.*

**Office and clerical:** All clerical type work regardless of level of difficulty. Includes *kindred workers.*

**Craft Workers:** (*skilled*) - Manual workers of relatively high skill level having a thorough comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. Includes *kindred workers*.

**Operatives:** (*semiskilled*) - Workers who operate machine or processing equipment or perform other factory-type duties of intermediate skill level which can be mastered in a few weeks and require only limited training. Includes *kindred workers*.

**Laborers:** (*unskilled*) - Workers in manual occupations which generally require no special training perform elementary duties that may be learned in a few days and require the application of little or no independent judgment. Includes *kindred workers*.

**On-the job trainees:**

**Production:** Persons engaged in formal training as a craft worker - when not trained under apprentice programs - operative, laborer and service occupations.

**White collar:** Persons engaged in formal training for clerical, managerial, professional, technical, sales office and clerical occupations.

**CONTRACTOR'S MINORITY BUSINESS ENTERPRISES**

**UTILIZATION FORM**

<b>NAME AND ADDRESS OF AWARDING AGENCY:</b>	<b>NAME AND ADDRESS OF CONTRACTOR:</b>
---	--

<b>PROJECT NO:</b>	_____
<b>DATE AWARDED:</b>	_____
<b>DATE BID OPENED:</b>	_____

**NOTICE TO CONTRACTORS:** Under Section 46a-68J-23(5) of the Contract Compliance Regulations, contractors are required to make GOOD FAITH EFFORTS to employ Minority Business Enterprises (MBEs) as subcontractors and suppliers of materials on all projects subject to contract compliance requirements. The contract which is referenced above is subject to contract compliance requirements.

**INSTRUCTIONS:** List the name and addresses of all MBEs you have selected as subcontractors and suppliers of materials for this project. If the MBEs selected as subcontractors and suppliers of materials meet the criteria for MBEs set out in Section 4a-60 of Connecticut General Statutes, contractors MUST complete the attached affidavit. If such business are not currently registered with the Department of Economic Development and if the contractor wishes the Commission on Human Rights and Opportunities (CHRO) to consider favorably the selection of An unregistered MBE in the evaluation of **the contractor's good faith efforts**, contractors MUST complete the attached affidavit. In either case, the affidavit must be filled out in triplicate, with the original sent to the CHRO, Contract Compliance Unit, 21 Grand Street, Hartford, Connecticut 06106; one copy sent to the Awarding Agency; and one copy retained by contractor. If the contractor does not wish the CHRO to consider selection of an unregistered MBE in its evaluation of the contractor's good faith efforts, no affidavit need be made.

*(Attached additional pages if necessary, using same headings.)*

<b>NAME AND ADDRESS OF ALL MBE SUBCONTRACTOR(S) OR SUPPLIER(S) OF MATERIALS:</b>	<b>Check here if MBE(s) qualify under Section 4a-60 of the Conn. Gen. Statues.</b>	<b>Check here if MBE is unregistered but wants consideration for good faith efforts.</b>
--	--	--

**This form developed pursuant to Section 46a-68j-23(5) of Regulations of Connecticut state Agencies concerning Contract Compliance.**

**AFFIDAVIT**

I, \_\_\_\_\_ acting on behalf of \_\_\_\_\_ of which  
(Name of person signing certification) (Contractor)

I am the \_\_\_\_\_ Certify and affirm:  
(Title)

*Check if provision applicable:* \_\_\_\_\_ That the following minority business subcontractors and/  
or suppliers of materials that \_\_\_\_\_ has hired for Contract No. \_\_\_\_\_  
(Contractor)

with \_\_\_\_\_ meet the criteria for Minority Business Enterprises  
(Awarding Agency)

set out in Section 4a-60 of the Connecticut General Statutes: \_\_\_\_\_  
(Lists names of Minority Business Enterprises)

\_\_\_\_\_  
that qualified under current statutory requirements)

*Check if provision applicable:* \_\_\_\_\_ That the \_\_\_\_\_ has hired the  
(Contractor)

following minority business subcontractors or suppliers of materials for Contract No. \_\_\_\_\_  
with \_\_\_\_\_ that are not registered with the Department  
(Awarding Agency)

of Economic Development, but which should be considered by the Connecticut  
Commission on Human Rights and Opportunities when evaluating \_\_\_\_\_  
(Contractor)

the good faith efforts:

\_\_\_\_\_  
(List names or unregistered MBEs)  
\_\_\_\_\_  
\_\_\_\_\_

I further certify and affirm that I have read and understand the contract compliance requirements codified at Section 4a-60 and Section 46a-7 1 (d) of the Connecticut General statutes.



**SAMPLE:** (You may use this as an example or you may use it as your statement by placing it on your letterhead).

**AFFIRMATIVE ACTION  
POLICY STATEMENT**

It has always been the policy and will continue to be the strong commitment of \_\_\_\_\_  
\_\_\_\_\_ and all contractors and subcontractors who do business with \_\_\_\_\_  
\_\_\_\_\_ to provide equal opportunities in employment to all qualified  
persons solely on the basis of job-related skills, ability and merit.

\_\_\_\_\_ will continue to take affirmative action to ensure that  
no persons are discriminated against with regard to their race, color, sex, sexual orientation,  
national origin, ancestry, religion, age, physical disability, mental retardation, marital  
status, present or past history of mental disorder, learning disability or criminal record.  
Such action includes, but is not limited to, employment, upgrading, demotion or transfer;  
recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of  
compensation and selection for training including apprenticeship. \_\_\_\_\_  
\_\_\_\_\_ will continue to make good faith efforts to comply with all federal and state  
laws and policies which speak to Equal Employment Opportunity and Affirmative Action.

Equal Employment Opportunity is essential, but is not enough to guarantee the full and fair  
employment of minorities, women or other protected classes. Therefore, Affirmative  
Action is necessary. Affirmative Action is results - oriented programs used to address and  
overcome the present effects of past discrimination.

Sexual Harassment, another form of sex discrimination, will not be tolerated in the work  
place. Therefore, engaging in acts of sexual harassment or any other forms of unlawful  
discrimination will constitute grounds for disciplinary action.

This Policy Statement is based on both the spirit and the letter of state and federal anti discrimination laws, regulations and executive orders. Accordingly, care is taken to ensure that no person shall be excluded from participation in, be denied the benefits of, or otherwise be unlawfully discriminated against. Further,

\_\_\_\_\_ will not knowingly use the services of, patronize or otherwise deal with any business, contractor, subcontractor or agency that engages in acts of unlawful discrimination.

This Affirmative Action Policy Statement reaffirms my personal commitment to the principles of Equal Employment Opportunity and Affirmative Action.

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATED

**APPLICANT AGENCY:**

**RFP NAME: RBA Technical Assistance**

**BASIC ELIGIBILITY**

**The Proposal contains all of the following completed appendices below.**

- **Application Checklist** \_\_\_\_\_
- **Cover Page with Signature** \_\_\_\_\_
- **Narrative (Section I)** \_\_\_\_\_
- **Proposed Services to Be Provided (Section II)** \_\_\_\_\_
- **Schedule of Deliverables (Section III)** \_\_\_\_\_
- **Budget & Budget Narrative (Section IV)** \_\_\_\_\_
- **Statement of Assurances (Section V)** \_\_\_\_\_
- **Affirmative Action (Section VI)** \_\_\_\_\_

**Date:** \_\_\_\_\_ **Certified by:** \_\_\_\_\_

**Appendix A: Evaluation Criteria Based on Contract Requirements**

<b>SECTION</b>	<b>SECTION SCORE</b>	<b>COMMENTS</b>
<b>Narrative (documentation of knowledge and experience)</b>  <b>(45 pts)</b>		
<b>Proposed Plan of Services (50 pts)</b>		
<b>a. Goal 1 work</b>		
<b>b. Goal 2 work</b>		
<b>c. Technical assistance to agencies</b>		
<b>d. RBA work with the Cabinet</b>		
<b>e. Barriers, no and low cost actions and data agenda work</b>		
<b>Budget/Budget Narrative (5pts)</b>		
<b>TOTAL POINTS (100 pts)</b>		