

Connecticut State Department of Education

Division of Assessment and Accountability

Bureau of Accountability, Monitoring and Compliance

Request for Proposals

School and District Instructional and Financial Assessments 2008 - 2010

Purpose: The purpose of this request for proposals is to support the requirements of NCLB by obtaining a services contractor for the purpose of implementing on-site school and district instructional and financial assessments pursuant to Section 10-223e(c) of the 2008 Supplement to the General Statutes, as amended by Public Act 08-153(4).

Proposal Due Date: August 29, 2008

Connecticut State Department of Education



Mark K. McQuillan
Commissioner of Education

“THE STATE OF CONNECTICUT DEPARTMENT OF EDUCATION IS COMMITTED TO A POLICY OF EQUAL OPPORTUNITY/AFFIRMATIVE ACTION FOR ALL QUALIFIED PERSONS AND DOES NOT DISCRIMINATE IN ANY EMPLOYMENT PRACTICE, EDUCATION PROGRAM, OR EDUCATIONAL ACTIVITY ON THE BASIS OF RACE, COLOR, NATIONAL ORIGIN, SEX, DISABILITY, AGE, RELIGION OR ANY OTHER BASIS PROHIBITED BY CONNECTICUT STATE AND/OR FEDERAL NONDISCRIMINATION LAWS. INQUIRIES REGARDING THE DEPARTMENT OF EDUCATION'S NONDISCRIMINATION POLICIES SHOULD BE DIRECTED TO THE EQUAL EMPLOYMENT OPPORTUNITY MANAGER, STATE OF CONNECTICUT DEPARTMENT OF EDUCATION, 25 INDUSTRIAL PARK ROAD, MIDDLETOWN, CONNECTICUT 06457, (860) 807-2071.”

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I) **PURPOSE**

Through this Request for Proposals (RFP), the Connecticut State Department of Education (CSDE) is seeking proposals from eligible bidders to conduct: 1) instructional quality reviews of schools identified for corrective action or restructuring; and 2) instructional and financial reviews of school districts identified for corrective action, in accordance with the No Child Left Behind (NCLB) Act of 2001 and Section 10-223e(c) of the 2008 Supplement to the General Statutes, as amended Public Act 08-153(4). The design proposed for such reviews must address the questions, design specifications and other contract requirements of this RFP.

The reviews will address the following key questions:

- How well does the school *district* support high student achievement?
- How well does the *school* support high student achievement?
- What specific aspects of the district and/or school are either in need of improvement or areas of strength?

Through this request for proposals, the CSDE is seeking a contractor that has experience developing and implementing school and district quality reviews/assessments of PK-12 public educational programs. This contractor will be responsible for establishing the protocols and processes for conducting such reviews, as well as a final report and presentation for each review to be conducted, both in collaboration with the CSDE. CSDE staff will participate in all on-site reviews. The CSDE expects that the contractor will demonstrate expertise in establishing standards or criteria on which to base the reviews, extensive experience in classroom observation, effective on-site protocols for gleaning data, experience in examining assessment and other school performance data, expertise in district level instructional, operational and financial leadership, and outstanding reporting capabilities.

II) **BACKGROUND**

A. Connecticut Accountability for Learning Initiative (CALI)

Statutory Authorization

The No Child Left Behind (NCLB) Act requires each state to establish a statewide system of intensive and sustained support and improvement for local education agencies and schools receiving Title I funds to increase the opportunity for all students to meet the State's academic content and achievement standards (20 U.S.C. Section 6317). This federal requirement was expanded upon and codified in State law pursuant to Public Act 08-153(4) through Subsection (c) of Section 10-223e of the 2008 Supplement to the Connecticut General Statutes, as amended by Public Act 08-153(4) to support the requirements of NCLB. The system of support is known as Connecticut Accountability for Learning Initiative (CALI) and the activities under this proposal are in support of CALI.

Funding

School districts will be funding each school and district assessment as required by legislation for State direction of increases in ECS funding. Capacity building and support for up to 50 CSDE staff and select others should be built into this proposal and will be funded by the CSDE.

NCLB Priorities for CALI Services

In administering CALI, the CSDE ensures that support and monitoring is provided, in the following order of priority, to:

1. School districts that are subject to corrective action (Year 4) under NCLB;
2. School districts with Title I schools that are subject to corrective action or restructuring (Years 3 through 7) under NCLB; and
3. School districts with Title I schools identified as “in need of improvement” for subgroups (Years 1 and 2) under NCLB.

Districts are chosen for review based on their Adequate Yearly Progress (AYP) status under NCLB. Districts and schools chosen will be in at least their third year of in need of improvement.

For 2008-2009, it is anticipated that three districts and up to 11 school assessments will be conducted. The number of districts and schools for 2009-2010 will be determined in the spring of 2009. *Services under this proposal will apply to new schools and districts that enter into priority categories 1 and 2.* However, some schools and districts in priority category 3 may move to category 2 if they fail to make adequate yearly progress under NCLB.

Goals of School and District Reviews

The primary goal of school and district reviews is to provide an unbiased peer review component of CALI that identifies specific areas of improvement which must ultimately be a part of district and school improvement planning and implementation. Further, a State-level team assigned to the district will use these results as basis for monitoring progress, offering guidance and leveraging resources to support school and district improvement.

III) SCOPE OF THE REVIEWS/ASSESSMENTS

In order to answer the three key questions, the reviews/assessments should address the following areas:

- School and district accountability, including all NCLB identified subgroups;
- The quality of the instructional program, including teaching and curriculum for **all** students with particular emphasis on English language learners, students identified for special education and pre-school age students;
- The use of formative and summative assessments/results;

- The effectiveness of school and district leadership/management including the Board of Education;
- School climate and culture;
- Student character development and citizenship;
- Community and parent partnerships; and
- The effectiveness of district-level financial management regarding student achievement.

A. General Approach

The proposal must include a detailed design of the school and district assessment process, and a plan for review that provides a description of the overall implementation plan on a statewide basis. This may include:

- A conceptual framework for school and district reviews/assessments, including key criteria and indicators for measuring the success of a school or district.
- A description of specific methods, including instrumentation and data sources, proposed for use before and during school and district reviews and timelines.
- A description of the reporting framework that will be used to produce the final product and presentation.
- A description of how inter-rater reliability is ensured across reviews.

Assurances Regarding Confidentiality and Security of Data

The proposal must describe procedures the bidder will use to ensure that all information collected will be secure, that no personally identifiable information will be accessible to anyone but the contractor. The draft and final reports will remain secure until the CSDE authorizes their release. Security precautions and provisions must be described.

B. Management Control and Consultative Assistance

The CSDE and the contractor shall work closely with pertinent CSDE staff during the entire contract period. Following are the roles and responsibilities that the CSDE contract monitor and other pertinent CSDE staff members will perform as part of school and district quality reviews. CSDE will:

- Coordinate training for CSDE staff to participate in the review process;
- Monitor the ongoing work of the contractor to ensure compliance with contract terms;
- Review and approve contract changes, if necessary;
- Meet and confer with the contractor about contract implementation, as needed, and on a quarterly basis;
- Review and comment on the contractor's draft and final versions of required reports;
- Work with the contractor to revise the process and the product, as needed;
- Coordinate access to relevant data collected by the CSDE;
- Clearly communicate the selection of districts and schools in need of review;
- Review all site visit protocols; and

- Consult with superintendent and advisory groups regarding the process for quality reviews.

The proposal must address how the bidder intends to collaborate with the CSDE staff in carrying out these tasks.

CSDE staff will monitor this contract through the following mechanisms:

- contractor invoices;
- quarterly meetings with the contractor in Connecticut;
- contractor draft and final school and district reports; and
- quality of contractor capacity-building modules for CSDE staff.

C. Required Products and Reports

The contractor must provide the CSDE with the following products and reports:

- Draft and final reports of each school and district review;
- Detailed description of protocols for conducting reviews, including a description of the methodology for choosing/accessing school and district stakeholders, and a specific structure for classroom observations and interviews;
- Process for school and district self-assessment;
- Plan for quality assurance of reports;
- Meta-analysis of findings;
- Training/capacity-building for the CSDE staff (funded by CSDE);
- School and district on-site orientation prior to self-assessment; and
- Assessments of CSDE specified high-performing districts (as funds are available).

The following is the tentative timeline for various activities within this contract.

Date	Report/Meetings
Within 10 days after the contract is finalized	Meetings
October – December 2008	Fall School and District Reviews
January 30, 2009	Fall 2008 Reports Completed
January – June 2008	Exemplary School and District Reviews
Quarterly 2008-2010	Progress Meetings/Capacity Building
June 10, 2010	All Assessments Completed

D. RFP Schedule

Date	Event
August 29, 2008	Proposal due to CSDE by 4:00 p.m.
August 29- September 5, 2008	Review of proposals
September 9, 2008	Notification of the successful bidder
October 1, 2008	Proposed contract start date

IV) GENERAL PROPOSAL INFORMATION

A. Eligible Bidders

Any qualified institution, agency, firm, or individual contractor with knowledge, experience, training and expertise in the development and implementation of accurate and comprehensive school and district quality reviews/assessments is encouraged to submit a proposal in response to this RFP.

B. Contract Funding and Time Period

The budget is to include the cost of district and school assessments to be paid directly by the district as required by legislation for State direction of increases in ECS funding. In addition, the budget should include training and support of CSDE staff to participate in the reviews. This component will be funded by CSDE.

The agreement will begin approximately in October 2008 and end no later than July 31, 2010. The actual starting date is contingent upon approval of the contract by CSDE. It is anticipated that school reviews will commence as early as the middle of October 2008.

The CSDE reserves the right to award this contract 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.

C. General Submission Requirements

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. Delivery of this application is required by 4:00 PM on Friday, August 29, 2008, irrespective of the postmark date and means of transmittal. The proposal must also be emailed to kathleen.wedge@ct.gov but will not be recognized for purposes of meeting the delivery deadline. Transmission by facsimile (fax) shall not be accepted.

Applications must be sent or delivered to:

Kathleen Wedge
Bureau of Accountability, Monitoring and Compliance
Connecticut State Department of Education
165 Capitol Avenue, Room 264
Hartford, CT 06106

Only applications with original signatures will be accepted. Extensions shall not be granted. All proposals submitted become the property of the Connecticut State Department of Education and a part of the public domain.

V) **PROPOSAL SPECIFICATIONS**

It is essential that the submitted proposal comply with the format and content requirements detailed in this section.

A. Application Format

The proposal must be presented in a narrative form demonstrating the ability to meet all qualifications, requirements and standards specified in this RFP. The proposal must contain the following sections: Cover Page; Table of Contents; General Approach; Work Plan; Management and Staffing; Budget and Budget Narrative; Related Knowledge and Experience; and Examples of Previous Work and References.

Proposals are limited to 20 double-spaced pages (not counting resumes), typed in no smaller than 12-point font. The 20 page limit applies to the Table of Contents, General Approach, Work Plan, Management and Staffing, Budget and Budget Narrative and the Related Knowledge and Experience sections. Each page of the proposal must be numbered consecutively at the bottom of the page. Do not attach pamphlets, letters of support (except from any proposed subcontractors) or other items that are not specifically requested in this section.

B. Proposal Sections

Cover Page: (Appendix B) A model for the format of the cover page is provided with this request for proposals. The cover page must contain all required information. The Cover Page must be signed by an individual qualified to make the offer to perform the work described in the RFP. In the case of organizations, an individual signing this letter must indicate his/her title, certifying that he/she is authorized to make the offer on behalf of the organization.

Table of Contents: The Table of Contents must identify major points of discussion by page.

General Approach: This section must provide an overview of the approach to be taken in addressing the question.

Work Plan: This section must describe, in detail, the tasks and activities to be undertaken to accomplish the scope and purpose of the project and produce the required final products. Any anticipated theoretical or practical problems associated with the completion of each task must be discussed and solutions, alternatives, or contingency plans related to these problems must be proposed, as appropriate. The work plan must include proposed task initiation, completion dates and proposed personnel.

Applicants must show that appropriate resources and personnel have been carefully allocated for the tasks and activities described in your application. Successful applicants must make sure that their budget will adequately cover expenses. It is important to demonstrate how you will leverage existing resources such as laptops for on-site use, office/hotel space, supplies, etc. You are advised that costs should be allocated and will be judged against the scope of the project and its anticipated outcome.

Management and Staffing: This section must present a plan for the internal management of contract work that will ensure accomplishment of the tasks. This section must include:

- A staff organizational plan/chart for leading and implementing the contract, identifying by name each staff member to be assigned to the project where possible and showing the project's relationship to the company's structure;
- Lines of responsibility and approval authority;
- The name of the person to act as project manager or director, who must have at least two years of recent experience (one of which must be within the last three years) in managing similar projects of comparable scope and size;
- A clear description of the relationship of each position to the work plan and the amount of time each staff person will spend on project tasks; and
- Identification of the individuals proposed to fill professional positions. Resumes must be sufficiently detailed to allow an evaluation of the person's competency and expertise. Resumes are considered attachments and are not part of the 20-page limit. CSDE reserves the right to reject particular reviewers.

Charts, timetables and position descriptions for key staff are particularly helpful in describing the structure of your program for school and district reviews and the procedures for managing it successfully.

Budget/Budget Narrative: This section of the proposal must include an itemized budget of projected expenditures for each section of services described in the program.

Related Knowledge and Experience: This section must describe both the knowledge and experience of the bidder in providing the services required, including a discussion of previous related work. This section must include evidence that the bidder has a minimum of two years of recent experience (one of which must be within the last three years) in the development and operation of programs similar to that described in this RFP.

In addition, qualified bidders must provide evidence of their experience with and knowledge of reliable and valid assessments of school and district quality.

If the bidder plans to use a subcontractor(s), this section must specify the tasks to be performed by the subcontractor and must be able to demonstrate the ability of the subcontractor(s) to fulfill the scope of work. Resumes or curriculum vitae must be provided for professional positions to demonstrate appropriate experience. Subcontractor letters of commitment, resumes or curriculum vitae must be included in the Attachment section of the bidder's response to the RFP.

CSDE shall be provided a copy of all contracts with subcontractors subject to all of the same assurances provided by the contractor.

Examples of Previous Work: This section must include at least one sample of school- and district-level reviews/assessments developed and prepared by the bidder.

References: This section must include three client references relevant to the scope and complexity of the services required by this RFP. These references must include a description of the services performed, the date of these services, and the name, address and telephone numbers of the client references. This section is not a part of the 20-page proposal limit.

C. Contract Award Decision

The CSDE reserves the right to make a contract award without discussion with the applicants. Therefore, proposals should represent the applicant's best effort from both a technical and cost standpoint. The CSDE reserves the right to reject all proposals and to conduct a more extensive proposal solicitation, to fund more than the stated number of proposals should they be deemed to have particular merit, and to reject a lower cost proposal if it believes that a higher cost proposal more appropriately meets the stated objectives.

Applicants will be notified of the acceptance or rejection of their proposal. The proposal selected for funding may be subject to negotiation. The level of funding and effective dates of the project will be set forth in the contract.

Furthermore, the contractor must submit periodic reports of its employment and subcontracting practices, in such form, in such manner and in such time as may be prescribed by the State Commission on Human Rights and Opportunities (CHRO).

D. Affirmative Action

In accordance with the regulations established by the CHRO, each applicant must complete an Affirmative Action packet (Appendix D) and submit it with the response to the RFP.

E. Freedom of Information Act (FOIA)

All of the information contained in a proposal submitted in response to this RFP is subject to the provisions of the Freedom of Information Act, Connecticut General Statutes Sections 1-200 *et seq.* (FOIA). 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 such records and receive a copy of such records.

APPENDIX A: Application Checklist

Applicant Name: _____

The following sections of the Connecticut Accountability for Learning Initiative (CALI) Program Evaluation Study RFP must be attached, in this order, to be deemed a “Completed Application Package.”

Please be sure to check each box as you attach the required document.

- Appendix A: Application Checklist**
- Appendix B: Application Cover Page**
- Table of Contents**
- General Approach**
- Work Plan**
- Management and Staffing**
- Budget Narrative**
- Related Knowledge and Experience**
- Examples of Previous Work**
- References**
- Appendix C: Statement of Assurances**
- Appendix D: Affirmative Action Requirements**

APPENDIX B: Cover Page

**CONNECTICUT ACCOUNTABILITY FOR LEARNING INITIATIVE (CALI)
PROGRAM EVALUATION STUDY
REQUEST FOR PROPOSAL COVER PAGE**

CONTRACT BIDDER:

(Name, Address, Telephone, Fax)

BIDDER'S CONTACT PERSON:

(Name, Address, Telephone, Email)

I, _____, the undersigned authorized chief administrative official submit this contract proposal and attest to the appropriateness and accuracy of the information contained therein.

Signature:

_____ Date: _____

Name: (typed) _____

Title: _____

APPENDIX C: Statement of Assurances

The Statement of Assurances Signature Page must provide the authorized signatures of the applicant agency. (Please note that the authorized signatures of the eligible applicant must also be provided on the cover page.)

PROJECT TITLE _____

THE APPLICANT: _____ HEREBY ASSURES THAT:

(Insert Agency Name)

- A. The applicant has the necessary legal authority to submit a proposal in response to this RFP and to contract for the provision of the services described therein;
- 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 RFP will be administered by or under the supervision and control of the applicant;
- 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. Fiscal control and accounting procedures will be used to ensure proper disbursement of all funds awarded;
- F. 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;
- G. 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;
- H. 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;
- I. At the conclusion of the contract period, the applicant will provide for an independent audit report acceptable to the CSDE in accordance with Sections 7-394a and 7-396a of the Connecticut General Statutes, and the applicant shall return to the CSDE any monies not expended in accordance with the approved program/operation budget as determined by audit;
- J. **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 contractors 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.

K. 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

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

Signature _____

Name (typed)_____

Title (typed) _____

Date _____

APPENDIX D: Affirmative Action Requirements

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 grantees, 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 grantees, bidders, contractors, subcontractors, and suppliers of materials to develop and implement Affirmative Action Plans.

Contractors with 50 or more employees and contract awards 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 and grantees 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 and grantees aware of the State Department of Education's obligation to ensure that prospective contractors and grantees qualify pursuant to contract compliance requirements. *(Contractor/Grantee must complete).*
2. **Workforce Analysis:** A comprehensive inventory of all employees by race, sex, job title, and occupational category *(Contractor/Grantee 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:** *(Grantee must complete to apply for grants).*
5. **Contractor's Minority Business Enterprises Utilization Form:** *(Contractor/Grantee must complete when an MBE or WBE is engaged in a subcontract).*

6. **Affidavit/Certificate of Corporation:** *(Contractor/Grantee 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/Grantee wish to receive credit for such pursuant to regulations).*
7. **Sample Affirmative Action Policy Statement:** Contractor/Grantee 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) 807-2071

NOTIFICATION TO BIDDERS

The contract to be awarded is subject to contract compliance requirements mandated by Section 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Section 46a-71(d) and 46a-81 i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies which establish a procedure for the awarding of all contracts covered by Sections 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, *every agency awarding a contract subject to the contract compliance requirements has an obligation to "aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials."* "**Minority business enterprise**" is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: "(1) *Who are active in the daily affairs of the enterprise;* (2) *who have the power to direct the management and policies of the enterprise;* (3) *who are members of a minority, as such term is defined in sub-section (a) of Section 32-9n.*" "**Minority**" groups are defined in section 32-9n of the Connecticut General Statutes as "(1) *Black Americans...* (2) *Hispanic Americans...* (3) *persons with origins in the Iberian Peninsula...* (4) *Women...* (5) *Asian Pacific Americans and Pacific Islanders...* (6) *American Indians...* (7) *individuals with a disability considered a minority business enterprise pursuant to Connecticut General Statutes, Section 32-9e.*" The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder's qualifications under the contract compliance requirements:

- a) the bidder's success in implementing an affirmative action plan;
- b) the bidder's success in developing an apprenticeship program complying with Section 46a-68-1 to 46a-68- 17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- c) the bidder's promise to develop and implement a successful affirmative action plan;
- d) the bidder's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and
- e) the bidder's promise to set aside a portion of the contract for legitimate minority business enterprises. **See** Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.
- f) the bidder's certifies firm is not listed on debarment lists promulgated pursuant to CGS, Section 31-53a and 34 CFR Part 85., Appendix A of federal statutes.

INSTRUCTION: Bidder must sign acknowledgment below, and return the signed acknowledgment to the State Department of Education along with the bid proposal.

The undersigned acknowledges receiving and reading a copy of the Commission on Human Rights and Opportunities Contract Compliance Regulations and the "Notification to Bidders" form.

Signature

Date

On behalf of:

Organization Name

Project No: _____

Rev. 6/99

**CONNECTICUT COMMISSION ON HUMAN RIGHTS & OPPORTUNITIES
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

NAME AND ADDRESS OF AWARDING AGENCY:	NAME AND ADDRESS OF CONTRACTOR:	
PROJECT NO: _____ DATE AWARDED: _____ DATE BID OPENED: _____		
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. <i>(Attached additional pages if necessary, using same headings.)</i>		
NAME AND ADDRESS OF ALL MBE SUBCONTRACTOR(S) OR SUPPLIER(S) OF MATERIALS:	Check here if MBE(s) qualify under Section 4a-60 of the Conn. Gen. Statues.	Check here if MBE is unregistered but wants consideration for good faith efforts.

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

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

APPENDIX E: Evaluation Criteria Based on Application Requirements

SECTION	SECTION SCORE	COMMENTS
General Approach (<u>15 pt maximum</u>)		
Management Control and Consultative Assistance (<u>15 pt maximum</u>)		
Required Products and Reports (<u>10 pt maximum</u>)		
Management and Staffing (<u>10 pt maximum</u>)		
Budget/Budget Narrative (<u>10 pt maximum</u>)		
Documentation of Knowledge and Experience (<u>40 pt maximum</u>)		
<ul style="list-style-type: none"> • Related Knowledge and Expertise: (20 pts) 		
<ul style="list-style-type: none"> • Examples of Previous Work: (10 pts) 		
<ul style="list-style-type: none"> • References: (10 pts) 		
TOTAL POINTS(<u>100 pt maximum</u>)		