

THE CONNECTICUT STATE DEPARTMENT OF EDUCATION

ON BEHALF OF

THE EARLY CHILDHOOD EDUCATION CABINET

2007-2009 REQUEST FOR PROPOSAL

FOR

PROVISION OF STAFFING, LOGISTICAL AND MANAGEMENT SUPPORT

FOR

THE GOVERNOR'S EARLY CHILDHOOD RESEARCH AND POLICY COUNCIL

J.S.S. Public Act 07-3

AN ACT CONCERNING EDUCATION IMPLEMENTER PROVISIONS

Purpose: To provide logistic and management support for the Early Childhood Research and Policy Council.

Applications Due: January 4, 2008

Published: December 2007

RFP

CONNECTICUT STATE DEPARTMENT OF EDUCATION

Dr. 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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Purpose

JSS Public Act 07-3 Section 10-16s (b) (1), An Act Implementing the Provisions of the Budget Concerning Education requires that *“The Department of Education shall provide administrative services to the Early Childhood Education Cabinet and the Governor's Early Childhood Research and Policy Council established pursuant to Executive Order No. 13, issued by Governor M. Jodi Rell, on February 7, 2006.”*

Executive Order #13 directs the Council to assist the Early Childhood Education Cabinet to *“reinforce the state’s drive to become a national model for early childhood education.”* In addition to the development of an early childhood investment plan, Governor M. Jodi Rell tasked the Council to:

- Advise the Cabinet on research findings, policy solutions and strategic financing opportunities related to investments in early childhood initiatives
- Recommend ways to build and support a network of early childhood researchers across CT’s education systems, including academic scholars at business and other professional schools
- Engage CT’s academic researchers in design of a longitudinal study of children’s development and reviewing existing research that evaluates early childhood programs
- Examine, from a business perspective, possible strategies to increase the efficiency and effectiveness of CT’s early care and education industry
- Propose additional Return on Investment studies to evaluate and support early care and education, quality improvement and expansion proposals; and
- Consult with the Early Childhood Education Cabinet in monitoring the ongoing implementation of the CT Early Childhood Investment Plan.

At the July 30, 2007 meeting of the Early Childhood Education Cabinet, a set of specific tasks were requested of Early Childhood Research and Policy Council, relative to its mandate, including:

- Cost model development and other recommendations related to the Cabinet’s Infant and Toddler Systems Framework and the Cabinet’s K-3 Systems Framework
- Development of the Quality Improvement System Plan, including development of a Early Care and Education (ECE) Quality Rating Scale
- Development of the legislatively-required ECE Workforce Development Plan, due December 2007
- Development of the CT Early Childhood Research Network and design of a series of research, evaluation and data studies
- WE.

The purpose of this solicitation is to secure high quality staffing, logistical and management support for the Early Childhood Research and Policy Council over the period of January 2008 through June 2009.

Eligible Applicants

Bidders must document knowledge, experience, and expertise in the provision of consultative and technical assistance for multi-member collaborative entities that include cross-sector, high-level executives. Bidders must also have direct experience with the working methods, policies and procedures of Connecticut state agencies. Bidders who meet these requirements should apply.

Funding

Funds are available for the period January 2008 through June 2009, as follows:

- January 2008 through June 2008: \$100,000
- July 2008 through June 2009: \$100,000.

Funds may not be used for indirect costs, purchased property or services to property.

Selection Criteria

Applications will be reviewed using a criterion based scoring system. The State Department of Education (SDE) on behalf of the Early Childhood Education Cabinet and the Early Childhood Research and Policy Council 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

January 14, 2008 through June 30th 2009.

Required Services:

- **Logistical and operational support of the Council**, including timely development and dissemination of agenda, minutes, notes and other work products to Council members and relevant working groups, support for Council meetings and events and support and expansion of the current web site. Selected Contractors will also be required to meet on an ongoing basis with the Chairs of the Early Childhood Research and Policy Council and attend meetings of the Joint Chairs of the Council and Cabinet.
- **Management of complex financial and policy analyses**, including cost-modeling and data development as requested by the Early Childhood Education Cabinet.
- **Management of complex planning efforts**, such as the project created under a separate RFP to support the Quality Improvement System Plan and the pilot ECE Quality Rating Scale.
- **Collaboration and support for other Council and Cabinet initiatives**, including the Standing Committee of the Cabinet on Accountability and the Council's Early Childhood Research Network.
- **Provide staffing support for the Council workgroups.**

Due Date:

Proposals, IRRESPECTIVE OF POSTMARK DATA, must be received no later than 4:00 PM on Friday, January 4, 2008. 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 or Jessica Andrews, Office of the Early Childhood Education Cabinet (860) 713-6582 or by e-mail at Jessica.andrews@ct.gov

General Proposal Requirements:

Providing high quality staffing, logistical and management support for the Early Childhood Research and Policy Council is the 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 qualifications 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 and experience in financial and policy analysis, complex planning efforts, provision of staffing support and documented experience in working with key sectors including business, philanthropic, education and government, and in supporting multi-agency collaboratives.

Project Reporting:

Selected contractor will provide semi-annual reports to the Co-Chairs of the Governor’s Early Childhood Research and Policy Council and the Co-Chairs of the Early Childhood Education Cabinet. One copy of each report will be filed with the State Department of Education, as fiduciary agent for the Cabinet and Council. Reports will be due to Joyce M. Staples, Early Childhood Consultant at joyce.staples@ct.gov, by June 30, 2008, December 30, 2009 and June 30, 2009.

General Submission Requirements

Delivery of this application is required by 4:00 PM on Friday, January 4, 2008 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 or Jessica Andrews 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: <ul style="list-style-type: none">• Staffing logistical and operational support of the Council and its committees and workgroups.• Management of complex financial and policy analyses, including cost-modeling development.• Management of complex planning efforts for the Council, relevant working groups and the project for development of the Quality Improvement System Plan and the pilot ECE Quality Rating Scale.• Collaboration with Council and Cabinet Committees
3. Schedule of Deliverables	Provide information on the staffing support strategies and methods that will be used to ensure that the work will be completed on schedule.
4. Budget	Provide 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 " Certification Form " with signatures.
7. Application Checklist	Please complete and include in the application

**COMPETITIVE APPLICATION
FOR
PROVISION OF STAFFING, LOGISTICAL AND MANAGEMENT SUPPORT
FOR
THE GOVERNOR'S EARLY CHILDHOOD RESEARCH AND POLICY
COUNCIL**

<u>APPLICANT:</u> (Name, Address, Telephone, Fax)	<u>PROJECT NAME:</u>
<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:

- Experience in working with leadership of the business, philanthropic, and education sectors as well as with state and local government agency leaders;
- Provision of staffing, logistical and management support for a multi member collaborative entity and its subcommittees;
- Experience and knowledge in the use of research, policy development and financing models related to investments in early childhood initiatives;
- Experience in the preparation of reports, documents, agendas, and other forms of electronic and print communications;
- Training or experience in complex fiscal and policy analysis;
- Experience in data gathering, analysis and synthesis;
- Oral and electronic means of communication; and
- Budget management, contracting with outside experts and working with multiple entities to carry out the work required.

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

SECTION II

PROPOSED SERVICES TO BE PROVIDED

This proposal must address the bidder's ability to provide support and technical assistance in the following areas and include a description of the strategies, methodology, schema of actions, report formats, schedules, time commitments and follow up of the processes that will be used to support the Research and Policy Council in carrying out its work.

- Staffing, logistical and operational support of the Council and its committees and workgroups.
 - Development and dissemination of agenda, minutes, notes and other work products in a timely fashion
 - Support for meetings for the Council, associated workgroups and other events.
 - Hosting and improving the Council/Cabinet web site.

- Management of complex financial and policy analyses, including cost-modeling and data development.
 - Develop the cost modeling for the Infant Toddler Systems Framework
 - Develop the cost modeling for the K-Grade 3 Systems Framework.
 - Data development projects as requested of the Council by the Early Childhood Education Cabinet

- Management of complex planning efforts for the Council, relevant working groups and project.
 - Management of the project developed under a separate RFP for development of the Quality Improvement System Plan and the pilot ECE Quality Rating Scale
 - Support for the development of the Early Childhood Research Network and its research and evaluation studies
 - Management of other initiatives as directed by the Council or requested of the Council by the Early Childhood Education Cabinet

- Collaboration and support of Cabinet and Council initiatives, including
 - Standing Committee on Accountability
 - Workforce Development Plan
 - Building Local Capacity Standing Committee
 - Others as may be established over the period of this contract.

SECTION III**SCHEDULE OF DELIVERABLES FOR FY 07-09**

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

- Assist the Council in cost model development and other recommendations related to the Cabinet's Infant and Toddler Systems Framework and the Cabinet's K-3 Systems Framework, SFY 08 and SFY 09
- Work with the Council on the development of the Quality Improvement System Plan, including development of an Early Care and Education (ECE) Quality Rating Scale, due to the Cabinet for review in early fall 2008
- Assist the Council in the development of the CT Early Childhood Research Network and design of a series of research, evaluation and data studies.

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 Agency 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;
- 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 for this contract;
- I. **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 he 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.

OTHER ASSURANCES

- J. 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.

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

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: _____ Explanation: _____
- 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: _____ Explanation: _____
- If you plan to subcontract, will you set aside a portion of the contract for legitimate minority business enterprises?
 Yes: _____ No: _____ Explanation: _____

 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

APPLICANT AGENCY:

RFP NAME: Early Childhood Research and Policy Council Support

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** _____
- **Statement of Assurances (Section V)** _____
- **Affirmative Action (Section VI)** _____

Date: _____ **Certified by:** _____

Appendix A: Evaluation Criteria Based on Contract Requirements

SECTION	SECTION SCORE	COMMENTS
Narrative (documentation of knowledge and experience) (40 pts)		
Proposed Plan of Services (50 pts)		
a. Staffing, logistical and operational support		
b. Financial analysis and cost modeling		
c. Management of complex planning projects		
d. Collaboration and support of initiatives		
Budget/Budget Narrative (10 pts)		
TOTAL POINTS (100 pts)		