

**CHRO's Responses to**  
**Questions Posed for**  
**Statewide Disparity Study RFP#12HRO0011**

1) Is there a SBE goal for the Disparity Study project?

See Conn. Gen. Stat. Sections 4a-60, 4a-60a, and 4a-60g(b).

2) Is there a M/W/DisBE goal for the Disparity Study project?

See Conn. Gen. Stat. Sections 4a-60, 4a-60a, and 4a-60g(b).

3) Please list all State agencies that will participate in the Disparity Study.

Executive Branch agencies

(see <http://www.ct.gov/ctportal/cwp/view.asp?a=843&q=489944>)

4) Page 14 of the RFP discusses, “goods, services and construction”; on page 21, the RFP lists “construction, design services including architecture and engineering, goods non-technical services, concessions, and professional and technical services and other services”. Please clarify the list of industries to be included for analysis in the Disparity Study.

Both references noted above indicate NAICS (North American Industry Classification System) codes. Please refer to NAICS for complete information.

<http://www.census.gov/eos/www/naics/>

5) It is important to understand the extent to which the State has collected and retained data on prime contractors, subcontractors, subconsultants, suppliers, and truckers (collectively “subs”) during the study period. This is because any such data that has not been collected and retained must be reconstructed in order to properly perform the study. Please respond to the following questions regarding contract data separately for each agency included in the Disparity Study.

a) Has the State collected and retained primary data for prime contracts, purchase orders and similar contractual agreements?

Yes.

Please indicate each field of information that has been retained (*e.g.* contract number and/or title, prime business name, address, phone, owner ethnicity, owner gender, award amounts, final payment amounts, description of work performed(*e.g.* business name, address, phone, owner ethnicity, owner gender, subcontract dollar award amounts, final payment amounts, description of work performed, start and end dates) and if the

available data can be provided in electronic form (e.g. Microsoft Access, Microsoft Excel, delimited ASCII text files), hard copy, or a mix of the two? Please be as specific as possible and respond separately for each contracting category.

See <http://www.ct.gov/opm/cwp/view.asp?a=2982&q=434002>

b) Has data been collected and retained for S/M/W/DisBE subcontractors? If the answer is “YES” please indicate what specific fields of information have been retained (e.g. business name, address, phone, owner ethnicity, owner gender, subcontract dollar award amounts, final payment amounts, description of work performed). Please answer separately for each contracting category.

No.

c) Has data been collected and retained for NON-S/M/W/DisBE subcontractors? If the answer is “YES” please indicate what specific fields of information have been retained (e.g. business name, address, phone, owner ethnicity, owner gender, subcontract dollar award amounts, final payment amounts, description of work performed). Please answer separately for each contracting category.

No.

6) Regarding the subcontract data mentioned in the previous question, please indicate if the available data can be provided in electronic form (e.g. Microsoft Access, Microsoft Excel, delimited ASCII text files), hard copy, or a mix of the two? Be as specific as possible and respond separately for each contracting category and State agency.

[There are no specific records currently identifiable](#)

7) How are proposals for the Optional Project described on page 28 of the RFP to be submitted? Are bidders for the Disparity Study required to also propose for the Optional Project?

[Proposers for this Disparity Study must not submit proposals for the Optional Project listed on page 28 of the RFP.](#)

8) Section I of the RFP on page 29 says under section B that bidders are to answer the questions by “placing your answer immediately after the question to which it applies.” Does this instruction to include the question and the answer apply only to Section I.B.?

If not, please list all sections for which the question and the answer must be included in the proposal.

[Yes, only to Section I.B.](#)

9) Regarding the Requested Documents list on page 50 of the RFP, please clarify which of the following are to be included with the proposal:

A. Affidavits: OPM Ethics Form 1, Form 5, Form 6.

B. Non-discrimination form.

C. Other bid forms:

1. Form SP-26;

2. Form DAS-45;

3. Form SP-14;

4. Form SP-12;

5. Form SP-28.

D. Vendor Profile Form.

These documents are listed under "Submittal Requirements" which indicates that they need to be included.

10) Which firm prepared the State's last disparity study and will you provide a copy?

Not available at this time.

11) What is your proposed time frame for the completion of the study? Is your current program reaching its sunset?

Proposals should include a project plan and timeframe to complete the study.

12) What is the budget for this study?

Not available at this time.

13) Are bidders required to bid on the State Monitoring component presented in this RFP? If so, where should the price be presented, since space on pricing sheet does not allow pricing for this component?

Proposers are required to provide pricing as outlined throughout the RFP document. If proposers need additional space, it may be added but it must be labeled so that it is clearly identifiable.

14) Are the Evaluation Committee and the Screening Committee the same committee? If not, please provide the difference between the two.

Yes.

15) Can you provide the membership and/or composition of the Study Oversight Committee?

This information is not needed in order to respond to the RFP.

16) Is the Project Manager a member of the Study Oversight Committee?

Yes.

17) What is the relationship between the Selected Consultant and the Study Oversight Committee?

The selected consultant must periodically report to the Study Oversight Committee regarding progress on the study.

18) We have successfully completed disparity studies in more than 140 different jurisdictions. A number of these studies involved oversight and/or review committees; however, the roles and responsibilities varied depending on our client. Please explain the roles and responsibilities of the Study Oversight Committee? For instance, will the Study Oversight Committee review and approve each study deliverable?

Unless otherwise contracted for, the Study Oversight Committee will review and approve every study deliverable.

19) Do you have documented complaints of discrimination from businesses seeking to do business with the State? If so, what is the format of the documents, such as scanned documents, hard copy, etc. In addition, are these documents maintained in a centralized location?

Unknown at this time.

20) Page 9, number 2, states, "...determination of whether such businesses are legitimate small contractors or legitimately owned by members of a minority..." Is a separate audit required, or can we accept what is on the list as legitimate?

A separate audit is required.

21) Please provide the most recent "Annual Report to the Connecticut General Assembly Regarding Contract Compliance and Small and Minority Owned Business Utilization."

See <http://www.ct.gov/chro/lib/chro/pdf/chroccrptfy05thru08.pdf>

22) On page 27, it states, "At the conclusion of each Study Task, the Selected Consultant shall submit at a minimum an electronic copy of all Project File documents (deliverables) produced in Microsoft Word/Excel software, and one (1) hard copy of the Project file to the CHRO." Is there a preferred format for the documents? Will these documents be subject to public records law?

The preferred format is a Word doc, and they will be subject to the public records law.

23) Page 27 requires minutes for each meeting be provided within five business days. Is there a preferred format for the minutes?

The minutes should be provided in a Word doc.

24) Are there a requested number of meetings with the Selected Consultant and the Study Oversight Committee? May monthly progress meetings be held via video-conference, Skype, etc.?

There is no pre-set number of meetings, and these meetings may be requested by either part as the need arises.

25) Page 13 of 53 states "The statistical evidence must cover the time period from January 1, 2006 through January 1, 2012." Please clarify the proposed study period. For instance, should the evidence cover the time period from January 1, 2006 through December 31, 2011 so that the time period consists of complete calendar years?

Yes.

26) For time period of the study, approximately how much was spent for goods, services, and construction?

This information must be obtained and reported by the selected consultant as part of the study.

27) What is the estimated number of prime and subcontracts let during the time period of the study?

This information must be obtained and reported by the selected consultant as part of the study.

28) Have there been any contracting, financial, procurement, or vendor data-related and/or system changes during the time period of the study? If so, please explain.

Yes, recent federal legislation requires state governments to create and maintain a transparency website, which includes the state's contracting and procurement expenses. Connecticut's website is <http://transparency.ct.gov/html/main.asp>

29) Page 21 of 53 states, "Interview government staff, elected and appointed officials that are responsible for issuing contracts in the areas of, but not limited to, construction, design services including architecture and engineering, goods, non-technical services, concessions, and professional and technical services, and other services..." Are concessions to be examined in this study?

The specifications list all areas that are covered.

30) Page 9 of 53 states, "The study shall generate statistical data concerning the state's current set-aside program, established under section 4a-60g of the general statutes, to determine whether its current form achieves the goal of facilitating the participation in state contracts of small contractors and minority business enterprises." In terms of contracts, are federally-funded contracts excluded or included in the study?

Contracts that are totally federally funded are excluded, but federally assisted contracts with comingled state funds are included.

31) What are the records (e.g., contract files) retention and destruction schedule for the State?

The records retention/destruction schedule appears at <http://www.cslib.org/publicrecords/stateretsched/S3Fisc2010.pdf>

32) Please explain how S/M/W/DisBEs subcontractor/subconsultant data are maintained for the entire proposed study period and all applicable State agencies.

How is the data maintained (centralized vs. decentralized)?

What is the format (e.g., hard copy contract files, electronic databases, scanned documents, Excel spreadsheets) of the data?

Are awards and payments made to S/M/W/DisBE subcontractors/subconsultants maintained?

Can the subcontract be linked or matched back to the prime contract using a unique identifier (e.g., contract number)?

Data is maintained in differently (e.g. hard copies, electronic) among state agencies.

33) Based on our experience in completing more than 140 jurisdictional disparity studies, some entities do not track and/or maintain subcontract data on nonminority-owned or S/M/W/DisBE firms.

Is subcontract data available on non- S/M/W/DisBE?

No.

If so, how is the data maintained (centralized vs. decentralized)?

No.

What is the format (e.g., hard copy contract files, electronic databases, scanned documents, Excel spreadsheets) of the data?

No.

Are awards and payments made to non-S/M/W/DisBE subcontractors/subconsultants maintained?

No.

Can the subcontract be linked or matched back to the prime contract using a unique identifier (e.g., contract number)?

No.

34) Based on the State's website, there is a DAS Contractor Prequalification Program. Please explain the availability and format of this data for the entire time period of the study and all applicable State agencies.

Is the data centralized or decentralized?

Is the data maintained electronically, such as in a contract management system, database or procurement/financial data systems? If not, is data maintained via scanned documents or contracts files?

The data is centralized and maintained electronically.

35) Based on the State's website, the State also procures through procurement cards (PCards)? If so, does the State desire to have these transactions included in study?

The State may require P-Card transaction.

If so, how is the data maintained for the proposed study period?

Level 2 Reports are requested from the Financial Institution and randomly audited.

Are race, ethnicity, and gender classifications on firms maintained?

No.

Is there a unique identifier (such as Vendor ID, FEIN) that can be used to link to vendor data maintained in the State's other financial, procurement and/or contract management data systems?

No.

Has the State used the same PCard vendor for the entire time period of the study?

Yes.

36) Please explain how prime contract data are maintained for the entire time period of the study.

How is the data maintained (centralized vs. decentralized)?

Centralized for executive branch agency contracts issued by DAS.

Decentralized by individual purchase authority contracting.

What is the format (e.g., hard copy contract files, electronic databases, scanned documents, Excel spreadsheets, procurement/payment data systems) of the data?

Both hard copy and electronic.

Is data available on all prime contracts let over the entire time period of the study?

Yes.

Are race/ethnicity/gender classifications, along with certification type and status maintained on primes?

Yes.

37) In the prime contract data, is there information that indicates those projects with and without goals and the perspective goal percentages?

Yes, however, not stored in a database but within the contract specifications.

38) Please explain how payments to firms are maintained for the entire study period. What procurement/financial system(s) does the State use to maintain this information?

Core-ct / PeopleSoft financials.

39) Is data/information (e.g., actual bid packages/response to proposal packages) submitted by bidders – awarded and unsuccessful maintained?

Yes.

If so, what is the format of the data (e.g., contract files, electronic databases)? Is the data available for the entire time period of the study?

Hard-copy and electronic.

If this data is available, is there data available on non-S/M/W/DisBE and S/M/W/DisBE subcontractors/subconsultants that teamed with the unsuccessful prime bidders?

Yes.

40) Please explain how bidder tabulations (for all services included in the study) are maintained? For instance, are the data maintained in a central or decentralized location?

Centralized for executive branch agency through das. Non-centralized by individual purchase authority contracts.

Is the format of the data available in contract files, PDF, Excel spreadsheets, electronic databases, etc.?

Hard copy and electronic.

Please specify for each applicable State agency if the bidder tabulation data is not centralized.

Non-DAS agencies.

41) Are there unique identifiers (such as vendor ID, Tax ID) for firms in the various data sources that can be linked among the various types of data such as procurement, contract, pre-qualification, bidder, vendor, and subcontract data?

Yes.

42) Are there unique contract and/or procurement identifiers (such as contract number) for contracting and procurement data that can be linked among the various types of data?

Yes.

43) Are race, ethnicity, and gender classifications available on firms?

Yes via the Department of Administrative Services (DAS) Supplier Diversity Program. <http://das.ct.gov/cr1.aspx?page=34>

Firms that bid on projects?

No.

Firms awarded and/paid by the State?

No.

Firms that submitted a pre-qualification application?

Yes, via the DAS Construction Contractor Prequalification Program's website located at <http://das.ct.gov/cr1.aspx?page=10>

Subcontractors proposed and utilized on projects?

No.

44) When was the State Contracting Portal launched?

Executive Order #3 – signed 12/15/2004 established a single Portal for posting bids/rfps/contract. DAS has posted on our website several years prior.

Does it maintain data for the entire time period of the study?

Yes.

45) Do participating state agencies maintain the following data for both prime contracts and all subcontracts (specifically, subcontracts awarded to S/M/W/DBEs and subcontracts awarded to non-S/M/W/DBEs):

- a. Contractor name and contact information (e.g., address and phone number)?
- b. Contract date (prime contract only)?
- c. Work description?
- d. Funding source (e.g., federal funding or state/local funding; prime contract only)?
- e. Location of work (prime contract only)?
- f. Original contract award or budgeted amounts?
- g. Paid-to-date amounts?
- h. Change order or amendment amounts?

Unknown and part of the Disparity Study functional requirements.

46) Could you please provide estimates of how many contracts were awarded by participating state agencies in the areas of goods, services, and construction between January 1, 2006 and January 1, 2012? How many dollars did those contracts represent during that time period?

This information is not available at this time

47) Is there a page limit associated with responses to the Request for Proposals?

No.

Do you have an expected completion date for the disparity study?

Please see question #11 response.

48) Will the disparity study also be used by ConnDOT to help it implement the Federal DBE Program for USDOT-assisted contracts?

Unknown at this time

49) Will the disparity study also be used by the Connecticut Department of Energy & Environmental Protection to help implement the EPA's DBE Program for EPA-assisted contracts?

Unknown at this time

50) Have race- and gender-conscious programs applied to each of the participating state agencies across all of their contracts for all years during the study period? If not, which agencies, contracting types, or time periods were race- and gender-neutral?

Unknown at this time

51) Page 13 of the RFP states that "The geographical area to be covered by the study is the State of Connecticut." We recommend that the geographic area to be examined in the availability and marketplace analyses be determined as part of the study (based on the geographic distribution of firms receiving State contract dollars). Should our proposal be based on the latter statement, or have the geographic limits of the study already been determined to be Connecticut state lines?

The statement on page 13 was simply intended to indicate that this is to be a State of Connecticut study and not a New England or a national study. Ultimately the geographical area will be determined as part of the study based on the geographical distribution of contractors receiving Connecticut dollars.