PROCUREMENT NOTICE

STATE OF CONNECTICUT

CHILDREN'S TRUST FUND

A DIVISION OF THE DEPARTMENT OF SOCIAL SERVICES

NURTURING FAMILIES NETWORK HOME VISITING SERVICES

REQUEST FOR APPLICATIONS

The Children's Trust Fund (CTF), a Division of the State of Connecticut Department of Social Services (the Department), is seeking applications to expand Intensive Home Visiting services to fathers and other men who are significant in the lives of children participating in the Intensive Home Visiting component of the Nurturing Families Network (NFN) program.

The applicant must have an existing NFN contract with the Department that is in good standing.

The Request for Applications (RFA) is available in electronic format on the State Contracting Portal at http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp or from the Department's Official Contact:

Name: Linda Burns, Contract Administration
Address: 25 Sigourney Street, 9th Floor, Hartford, CT 06106
Phone: 860-424-5661
Fax: 860-424-5800
E-Mail: Linda.burns@ct.gov
TDD: 1-800-842-4524

The RFA is also available on the Department's website at http://www.ct.gov/dss/site/default.asp, under the "Vendors / Contractors" link. A printed copy of the RFA can be obtained from the Official Contact upon request. Deadline for submission of applications is 3:00 p.m. Local Time, on March 3, 2011.

This document is configured for 2-sided printing.

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I. GENERAL INFORMATION

A. INTRODUCTION

1. **RFA Name or Number.** Nurturing Families Network (NFN) Home Visiting Services 1/10/2011

2. **Summary.** The Children's Trust Fund (CTF), a Division of the State of Connecticut Department of Social Services (the Department), is seeking applications to expand Intensive Home Visiting services to fathers and other men who are significant in the lives of children participating in the Intensive Home Visiting component of the Nurturing Families Network (NFN) program.

3. **Synopsis.** The applicant must have an existing NFN contract with the Department that is in good standing.

4. **Commodity Codes.** The services that the Department wishes to procure through this RFA are as follows:

   - 2000: Community and Social Services

B. ABBREVIATIONS / ACRONYMS / DEFINITIONS

BFO	Best and Final Offer
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunities (CT)
CT	Connecticut
CTF	Children's Trust Fund (CT)
DAS	Department of Administrative Services (CT)
DSS	Department of Social Services (CT)
FOIA	Freedom of Information Act (CT)
FTE	Full Time Equivalent
IRS	Internal Revenue Service (U.S.)
LOI	Letter of Intent
NFN	Nurturing Families Network
OAG	Office of the Attorney General (CT)
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
POS	Purchase of Service
P.A.	Public Act (CT)
RFA	Request for Applications
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States

- *contractor:* a private provider organization, CT State agency, or municipality that enters into a POS contract with the Department as a result of this RFA

- *applicant:* a private provider organization, CT State agency, or municipality that has an existing NFN contract with the Department that is in good standing, and has submitted an application to the Department in response to this RFA

- *prospective applicant:* a private provider organization, CT State agency, or municipality that has an existing NFN contract with the Department that is in good standing, and that may submit an application to the Department in response to this RFA, but has not yet done so

■ C. INSTRUCTIONS

1. **Official Contact.** The Department has designated the individual below as the Official Contact for purposes of this RFA. The Official Contact is the **only authorized contact** for this procurement and, as such, handles all related communications on behalf of the Department. Applicants, prospective applicants, and other interested parties are advised that any communication with any other Department employee(s) (including appointed officials) or personnel under contract to the Department about this RFA is strictly prohibited. Applicants or prospective applicants who violate this instruction may risk disqualification from further consideration.

   Name: Linda Burns, Contract Administration
   Address: 25 Sigourney Street, 9th Floor, Hartford, CT 06106
   Phone: 860-424-5661
   Fax: 860-424-5800
   E-Mail: Linda.burns@ct.gov
   TDD: 1-800-842-4524

   Please ensure that e-mail screening software (if used) recognizes and accepts e-mails from the Official Contact.

2. **RFA Information.** The RFA, amendments to the RFA, and other information associated with this procurement are available in electronic format from the Official Contact or from the Internet at the following locations:

   - Department's RFA Web Page
     http://www.ct.gov/dss, under the "Vendors / Contractors" link

   - State Contracting Portal
     http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp

   It is strongly recommended that any applicant or prospective applicant interested in this procurement subscribe to receive e-mail alerts from the State Contracting Portal. Subscribers will receive a daily e-mail announcing procurements and addendums that are posted on the portal. This service is provided as a courtesy to assist in monitoring activities associated with State procurements, including this RFA.

   Printed copies of all documents are also available from the Official Contact upon request.

3. **Contract Awards.** The award of any contract pursuant to this RFA is dependent upon the availability of funding to the Department. The Department anticipates the following:

   - Total Funding Available: $300,000 in federal funds per year for up to three years pending availability of funding
   - Number of Awards: To Be Determined

- Contract Cost: Not to exceed $50,000 per year to fund one full-time home visitor, or $25,000 per year to increase to full-time a part-time home visitor who is currently providing services to fathers and other men who are significant in the lives of children participating in the Intensive Home Visiting component of the NFN program
- Contract Term: July 1, 2011 to June 30, 2014

Funds provided for this project must be used to supplement, not supplant, home visiting services that the contractor either currently provides, or proposes to provide, for fathers and other men who are significant in the lives of children participating in the Intensive Home Visiting component of the NFN program.

4. **Eligibility.** The applicant must have an existing NFN contract with the Department that is in good standing. The Department reserves the right to reject the submission of any applicant in default of any current or prior contract.

5. **Minimum Qualifications of Applicants.** To be considered for a contract award, an applicant must agree to implement the services required by this RFA in accordance with CTF's policies, procedures, and requirements as described in *The Nurturing Families Network, Policy and Practice Manual, 2008 Edition***,** as periodically updated and amended.

6. **Procurement Schedule.** See below. Dates after the due date for applications ("Applications Due") are target dates only (*). The Department may amend the schedule, as needed. Any change will be made by means of an amendment to this RFA and will be posted on the State Contracting Portal and the Department's RFA Web Page.

- RFA Planning Start Date: October 21, 2010
- RFA Released: January 10, 2011
- Letter of Intent Due: January 25, 2011, 3:00 p.m. Local Time
- Deadline for Questions: January 25, 2011, 3:00 p.m. Local Time
- Answers Released: February 8, 2011
- Applications Due: March 3, 2011, 3:00 p.m. Local Time
- (*) Applicant Selection: March 31, 2011
- (*) Start of Contract Negotiations: April 7, 2011
- (*) Start of Contract: July 1, 2011

7. **Letter of Intent.** A Letter of Intent (LOI) is required by this RFA. The LOI is non-binding and does not obligate the sender to submit an application. The LOI must be submitted to the Official Contact by U.S. mail, fax, or e-mail by the deadline established in the Procurement Schedule. The LOI must clearly identify the sender, including name, postal address, telephone number, fax number, and e-mail address. It is the sender's responsibility to confirm the Department's receipt of the LOI. Failure to submit the required LOI in accordance with the requirements set forth herein shall result in disqualification from further consideration.

8. **Inquiry Procedures.** All questions regarding this RFA or the Department's procurement process must be directed, in writing, to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or anonymous questions). Questions deemed unrelated to the RFA or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. If this RFA requires a Letter of Intent, the Department reserves the right to answer questions only from those who have submitted such a letter. The Department may combine similar questions and give only one answer. All questions and answers will be compiled into a written amendment to this RFA. If any answer to any question constitutes a material change to the RFA, the question and answer will be placed at the beginning of the amendment and duly noted as such. The agency will release the answers to questions on the date(s) established in the Procurement Schedule. The Department will publish any and all amendments to this RFA on the State Contracting Portal and on the Department's RFA Web Page. At its discretion, the Department may distribute any amendments to this RFA to prospective applicants who submitted a Letter of Intent. **Applications must include the Addendum Acknowledgement, which will be placed at the end of any and all amendments to this RFA.**

9. **RFA Conference.** An RFA conference will not be held to answer questions from prospective applicants.

10. **Application Due Date and Time.** The Official Contact or another representative of the Contract Procurement Unit designated by the Official Contact is the **only authorized recipient** of applications submitted in response to this RFA. Applications must be received by the Official Contact or another representative of the Contract Procurement Unit designated by the Official Contact on or before the due date and time:

    - Due Date: March 3, 2011
    - Time: 3:00 p.m. Local Time

    Faxed or e-mailed applications will not be evaluated. The Department shall not accept a postmark date as the basis for meeting the application due date and time. Applicants should not interpret or otherwise construe receipt of an application after the due date and time as acceptance of the application, since the actual receipt of the application is a clerical function. The Department suggests the applicant use certified or registered mail, or a delivery service such as United Parcel Service (UPS) to deliver the application when the applicant is unable to deliver the application by courier or in person. When hand-delivering applications submitters should allow extra time to comply with building security procedures. Applications shall not be considered received by the Department until they are in the hands of the Official Contact or another representative of the Contract Procurement Unit designated by the Official Contact. At the discretion of the Department, late applications may be destroyed or retained for pick-up by the submitters.

    An acceptable submission must include the following:

    - one (1) original application;
    - four (4) conforming copies of the original application; and
    - one (1) conforming electronic copy (Compact Disk) of the original application.

The original application must carry original signatures and be clearly marked on the cover as "Original." Unsigned applications will not be evaluated. The original application and each conforming copy of the application must be complete, properly formatted and outlined, and ready for evaluation by the Screening Committee. The electronic copy of the application must be compatible with *Microsoft Office Word 2003* except for the Financial Summary and POS-Budget Support, which must be compatible with *Microsoft Office Excel 2003*. For the electronic copy, required forms and appendices only may be scanned and submitted in Portable Document Format (PDF) or similar file format.

11. **Multiple Applications.** The submission of multiple applications is not an option with this procurement.

12. **Declaration of Confidential Information.** Applicants are advised that all materials associated with this procurement are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations and interpretations resulting from them. If an applicant deems that certain information required by this RFA is confidential, the applicant must label such information as CONFIDENTIAL. In Section C of the application submission, the applicant must reference where the information labeled CONFIDENTIAL is located in the application. *EXAMPLE: Section G.1.a.* For each subsection so referenced, the applicant must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the applicant that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).

13. **Conflict of Interest - Disclosure Statement.** Applicants must include a disclosure statement concerning any current business relationships (within the last three (3) years) that pose a conflict of interest, as defined by C.G.S. § 1-85. A conflict of interest exists when a relationship exists between the applicant and a public official (including an elected official) or State employee that may interfere with fair competition or may be adverse to the interests of the State. The existence of a conflict of interest is not, in and of itself, evidence of wrongdoing. A conflict of interest may, however, become a legal matter if an applicant tries to influence, or succeeds in influencing, the outcome of an official decision for their personal or corporate benefit. The Department will determine whether any disclosed conflict of interest poses a substantial advantage to the applicant over the competition, decreases the overall competitiveness of this procurement, or is not in the best interests of the State. In the absence of any conflict of interest, an applicant must affirm such in the disclosure statement. *Example: "[name of applicant] has no current business relationship (within the last three (3) years) that poses a conflict of interest, as defined by C.G.S. § 1-85."*

■ D. APPLICATION FORMAT

1. **Required Outline.** All applications must follow the required outline presented in Section IV – Application Outline. Applications that fail to follow the required outline will be deemed non-responsive and not evaluated.

2. **Cover Sheet.** The Cover Sheet is Page 1 of the application. Applicants must complete and use the Cover Sheet form provided by the Department in Section V – Attachments.

3. **Table of Contents.** All applications must include a Table of Contents that conforms to the required application outline. (See Section IV.)

4. **Executive Summary.** Applications must include a high-level summary, not exceeding two (2) pages, of the main application and cost application. The Executive Summary shall include: (a) the applicant's demonstrated experience providing services for fathers and other men who are significant in the lives of children prenatal to five years of age; and (b) a statement that the applicant agrees to implement the services required by this RFA in accordance with CTF's policies, procedures, and requirements as described in *The Nurturing Families Network, Policy and Practice Manual, 2008 Edition*, as periodically updated and amended. Example: "[name of applicant] agrees to implement the services required by this RFA in accordance with CTF's policies, procedures, and requirements as described in *The Nurturing Families Network, Policy and Practice Manual, 2008 Edition*, as periodically updated and amended." The Department will not evaluate applications from organizations that do not meet these minimum qualifications.

5. **Attachments.** Attachments other than the required Appendices or Forms identified in Section IV are not permitted and will not be evaluated. Further, the required Appendices or Forms must not be altered or used to extend, enhance, or replace any component required by this RFA. Failure to abide by these instructions will result in disqualification.

6. **Style Requirements.** Submitted applications must conform to the following specifications:

Binding Type:	Loose leaf binders with the Legal Name of the applicant and the RFA Name or Number appearing on the outside front cover of each binder
Dividers:	A tab sheet keyed to the table of contents must separate each subsection of the application; the title of each subsection must appear on the tab sheet
Paper Size:	8½" x 11", "portrait" orientation
Page Limit:	60 consecutively numbered pages ***including*** all required Appendices and Forms
Print Style:	1-sided
Font Size:	Minimum of 12-point
Font Type:	Arial or Times New Roman
Margins:	The binding edge margin of all pages shall be a minimum of one and one half inches (1½"); all other margins shall be one inch (1")
Line Spacing:	Single-spaced

7. **Pagination.** The applicant's name must be displayed in the header of each page. All pages, from the Cover Sheet through the required Appendices and Forms, must be numbered consecutively in the footer.

8. **Packaging and Labeling Requirements.** All applications must be submitted in sealed envelopes or packages and be addressed to the Official Contact. The Legal Name and Address of the applicant must appear in the upper left corner of the envelope or package. The RFA Name or Number must be clearly displayed on the envelope or package. Any received application that does not conform to these packaging or labeling instructions will be opened as general mail. Such an application may be accepted by the Department as a clerical function, but it will not be evaluated. At the discretion of the Department, such an application may be destroyed or retained for pick-up by the submitters.

■ E. EVALUATION OF APPLICATIONS

1. **Evaluation Process.** It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of applications received in response to this RFA. When evaluating applications, negotiating with successful applicants, and awarding contracts, the Department will conform to its written procedures for POS procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85).

2. **Screening Committee.** The Department will designate a Screening Committee to evaluate applications submitted in response to this RFA. The contents of all submitted applications, including any confidential information, will be shared with the Screening Committee. Only applications found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Applications that fail to comply with all instructions will be rejected without further consideration. Attempts by any applicant (or representative of any applicant) to contact or influence any member of the Screening Committee may result in disqualification of the applicant.

3. **Minimum Submission Requirements.** All applications must comply with the requirements specified in this RFA. To be eligible for evaluation, applications must (1) be received on or before the due date and time; (2) meet the Application Format requirements; (3) follow the required Application Outline; and (4) be complete. Applications that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Department will reject any application that deviates significantly from the requirements of this RFA.

4. **Evaluation Criteria (and Weights).** Applications meeting the Minimum Submission Requirements will be evaluated according to the established criteria. The criteria are the objective standards that the Screening Committee will use to evaluate the technical merits of the applications. Only the criteria listed below will be used to evaluate applications. The criteria are weighted according to their relative importance. The weights are confidential.

   - Organizational Profile
   - Staffing Plan *see note*
   - Work Plan
   - Financial Profile
   - Financial Summary and POS-Budget Support
   - Appendices

   Note:
   As part of its evaluation of the Staffing Plan, the Screening Committee will consider the applicant's demonstrated commitment to affirmative action, as required by the Regulations of CT State Agencies § 46A-68j-30(10).

5. **Applicant Selection.** Upon completing its evaluation of applications, the Screening Committee will submit the rankings of all applications to the Department head. The final selection of a successful applicant is at the discretion of the Department head. Any applicant selected will be so notified and awarded an opportunity to negotiate a contract with the Department. Such negotiations may, but will not automatically, result in a contract. Pursuant to Governor M. Jodi Rell's Executive Order No. 3, any resulting contract will be posted on the State Contracting Portal. All unsuccessful applicants will be notified by e-mail or U.S. mail, at the Department's discretion, about the outcome of the evaluation and applicant selection process.

6. **Debriefing.** After receiving notification from the Department, any applicant may contact the Official Contact and request a Debriefing of the procurement process and its application. If applicants still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the procurement process. The Department shall schedule and conduct Debriefing meetings that have been properly requested, within **fifteen (15) days** of the Department's receipt of a request. The Debriefing meeting must not include or allow any comparisons of any applications with other applications, nor should the identity of the evaluators be released. The Debriefing process shall not be used to change, alter, or modify the outcome of a competitive procurement. More detailed information about requesting a Debriefing may be obtained from the Official Contact.

7. **Appeal Process.** Any time after the submission due date, but **not later than thirty (30) days** after the Department notifies applicants about the outcome of a competitive procurement, applicants may submit an Appeal to the Department. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. Applicants may appeal any aspect of the Department's competitive procurement; however, such Appeal must be in writing and must set forth facts or evidence in sufficient and convincing detail for the Department to determine whether during any aspect of the competitive procurement there was a failure to comply with the State's statutes, regulations, or standards concerning competitive procurement or the provisions of the RFA. Any such Appeal must be submitted to the Agency Head with a copy to the Contract Administrator. The applicant must include the basis for the Appeal and the remedy requested. The filing of an Appeal shall not be deemed sufficient reason for the Department to delay, suspend, cancel, or terminate the procurement process or execution of a contract. More detailed information about filing an Appeal may be obtained from the Official Contact.

8. **Contest of Solicitation or Award.** Pursuant to Section 4e-36 of the Connecticut General Statutes, "Any bidder or proposer on a state contract may contest the solicitation or award of a contract to a subcommittee of the State Contracting Standards Board…" More detailed information is available on the State Contracting Standards Board web site at http://www.ct.gov/scsb/site/default.asp.

9. **Contract Execution.** Any contract developed and executed as a result of this RFA is subject to the Department's contracting procedures, which may include approval by the Office of the Attorney General.

II. MANDATORY PROVISIONS

A. POS STANDARD CONTRACT, PARTS I AND II

By submitting an application in response to this RFA, the applicant implicitly agrees to comply with the provisions of Parts I and II of the State's "standard contract" for POS:

Part I of the standard contract is maintained by the Department and will include the scope of services, contract performance, quality assurance, reports, terms of payment, budget, and other program-specific provisions of any resulting POS contract. A sample of Part I is available from the Department's Official Contact upon request.

Part II of the standard contract is maintained by OPM and includes the mandatory terms and conditions of the POS contract. Part II is available on OPM's website at: http://www.ct.gov/opm/fin/standard_contract

Note:
Included in Part II of the standard contract is the State Elections Enforcement Commission's notice (pursuant to C.G.S. § 9-612(g)(2)) advising executive branch State contractors and prospective State contractors of the ban on campaign contributions and solicitations. If an applicant is awarded an opportunity to negotiate a contract with the Department and the resulting contract has an anticipated value in a calendar year of $50,000 or more, or a combination or series of such agreements or contracts has an anticipated value of $100,000 or more, the applicant must inform the applicant's principals of the contents of the SEEC notice.

Part I of the standard contract may be amended by means of a written instrument signed by the Department, the selected applicant (contractor), and, if required, the Attorney General's Office. Part II of the standard contract may be amended only in consultation with, and with the approval of, the Office of Policy and Management and the Attorney General's Office.

B. ASSURANCES

By submitting an application in response to this RFA, an applicant implicitly gives the following assurances:

1. **Collusion.** The applicant represents and warrants that the applicant did not participate in any part of the RFA development process and had no knowledge of the specific contents of the RFA prior to its issuance. The applicant further represents and warrants that no agent, representative, or employee of the State participated directly in the preparation of the applicant's application. The applicant also represents and warrants that the submitted application is in all respects fair and is made without collusion or fraud.

2. **State Officials and Employees.** The applicant certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFA. The Department may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the applicant, contractor, or its agents or employees.

3. **Competitors.** The applicant assures that the submitted application is not made in connection with any competing organization or competitor submitting a separate application in response to this RFA. No attempt has been made, or will be made, by the applicant to induce any other organization or competitor to submit, or not submit, an application for the purpose of restricting competition. The applicant further assures that the proposed costs have been arrived at independently, without consultation, communication, or agreement with any other organization or competitor for the purpose of restricting competition. Nor has the applicant knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.

4. **Validity of Application.** The applicant certifies that the application represents a valid and binding offer to provide services in accordance with the terms and provisions described in this RFA and any amendments or attachments hereto. The application shall remain valid for a period of 180 days after the submission due date and may be extended beyond that time by mutual agreement. At its sole discretion, the Department may include the application, by reference or otherwise, into any contract with the successful applicant.

5. **Press Releases.** The applicant agrees to obtain prior written consent and approval of the Department for press releases that relate in any manner to this RFA or any resultant contract.

■ C. TERMS AND CONDITIONS

By submitting an application in response to this RFA, an applicant implicitly agrees to comply with the following terms and conditions:

1. **Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.

2. **Preparation Expenses.** Neither the State nor the Department shall assume any liability for expenses incurred by an applicant in preparing, submitting, or clarifying any application submitted in response to this RFA.

3. **Exclusion of Taxes.** The Department is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Applicants are liable for any other applicable taxes.

4. **Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.

5. **Changes to Application.** No additions or changes to the original application will be allowed after submission. While changes are not permitted, the Department may request and authorize applicants to submit written clarification of their applications, in a manner or format prescribed by the Department, and at the applicant's expense.

6. **Supplemental Information.** Supplemental information will not be considered after the deadline for submission of applications, unless specifically requested by the Department. The Department may ask an applicant to give demonstrations, interviews, oral presentations or further explanations to clarify information contained in an application. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Department. At its sole discretion, the Department may limit the number of applicants invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per applicant.

7. **Presentation of Supporting Evidence.** If requested by the Department, an applicant must be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFA. The Department may make onsite visits to an operational facility or facilities of an applicant to evaluate further the applicant's capability to perform the duties required by this RFA. At its discretion, the Department may also check or contact any reference provided by the applicant.

8. **RFA Is Not An Offer.** Neither this RFA nor any subsequent discussions shall give rise to any commitment on the part of the State or the Department or confer any rights on any applicant unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the applicant and the Department and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the applicant or for payment of services under the terms of the contract until the successful applicant is notified that the contract has been accepted and approved by the Department and, if required, by the Attorney General's Office.

■ D. RIGHTS RESERVED TO THE STATE

By submitting an application in response to this RFA, an applicant implicitly accepts that the following rights are reserved to the State:

1. **Timing Sequence.** The timing and sequence of events associated with this RFA shall ultimately be determined by the Department.

2. **Amending or Canceling RFA.** The Department reserves the right to amend or cancel this RFA on any date and at any time, if the Department deems it to be necessary, appropriate, or otherwise in the best interests of the State.

3. **No Acceptable Applications.** In the event that no acceptable applications are submitted in response to this RFA, the Department may reopen the procurement process, if it is determined to be in the best interests of the State.

4. **Award and Rejection of Applications.** The Department reserves the right to award in part, to reject any and all applications in whole or in part, for misrepresentation or if the application limits or modifies any of the terms, conditions, or specifications of this RFA. The Department may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Department reserves the right to reject the application of any applicant who submits an application after the submission date and time.

5. **Sole Property of the State.** All applications submitted in response to this RFA are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFA shall be the sole property of the State, unless stated otherwise in this RFA or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.

6. **Contract Negotiation.** The Department reserves the right to negotiate or contract for all or any portion of the services contained in this RFA. The Department further reserves the right to contract with one or more applicant for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFO) on cost from applicants. The Department may set parameters on any BFOs received.

7. **Clerical Errors in Award.** The Department reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to an applicant and subsequently awarding the contract to another applicant. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial applicant is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the applicant.

8. **Key Personnel.** When the Department is the sole funder of a purchased service, the Department reserves the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Department also reserves the right to approve replacements for key personnel who have terminated employment. The Department further reserves the right to require the removal and replacement of any of the applicant's key personnel who do not perform adequately, regardless of whether they were previously approved by the Department.

■ E. STATUTORY AND REGULATORY COMPLIANCE

By submitting an application in response to this RFA, the applicant implicitly agrees to comply with all applicable State and federal laws and regulations, including, but not limited to, the following:

1. **Freedom of Information, C.G.S. § 1-210(b).** The Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b). Applicants are generally advised not to include in their applications any confidential information. If the applicant indicates that certain documentation, as required by this RFA, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State has no obligation to initiate, prosecute, or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. The applicant has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While an applicant may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.

2. **Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to insure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.

3. **Consulting Agreements, C.G.S. § 4a-81.** Applications for State contracts with a value of $50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall include a consulting agreement affidavit attesting to whether any consulting agreement has been entered into in connection with the application. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of C.G.S. Chapter 10 as of the date such affidavit is submitted in accordance with the provisions of C.G.S. § 4a-81. The Consulting Agreement Affidavit (OPM Ethics Form 5) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms
IMPORTANT NOTE: An applicant must complete and submit OPM Ethics Form 5 to the Department with the application.

4. **Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8 and No. 7C, Para. 10; C.G.S. § 9-612(g)(2).** If an applicant is awarded an opportunity to negotiate a contract with an anticipated value of $50,000 or more in a calendar or fiscal year, the applicant must fully disclose any gifts or lawful contributions made to campaigns of candidates for statewide public office or the General Assembly. Municipalities and CT State agencies are exempt from this requirement. The gift and campaign contributions certification (OPM Ethics Form 1) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms
IMPORTANT NOTE: The successful applicant must complete and submit OPM Ethics Form 1 to the Department prior to contract execution.

5. **Nondiscrimination Certification , C.G.S. §§ 4a-60(a)(1) and 4a-60a(a)(1).** If an applicant is awarded an opportunity to negotiate a contract, the applicant must provide the Department with *written representation* or *documentation* that certifies the applicant complies with the State's nondiscrimination agreements and warranties. A nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. The nondiscrimination certification forms are available on OPM's website at http://www.ct.gov/opm/fin/nondiscrim_forms
IMPORTANT NOTE: The successful applicant must complete and submit the appropriate nondiscrimination certification form to the awarding Department prior to contract execution.

III. PROGRAM INFORMATION

A. DEPARTMENT OVERVIEW

The Department of Social Services provides a broad range of services to the elderly, persons with disabilities, families, and individuals who need assistance in maintaining or achieving their full potential for self-direction, self-reliance and independent living. It administers over 90 legislatively authorized programs and one third of the state budget. By statute it is the state agency responsible for administering a number of programs under federal legislation, including the Rehabilitation Act, the Food Stamp Act, the Older Americans Act, and the Social Security Act. The Department is also designated as a public housing agency for the purpose of administering the Section 8 program under the federal Housing Act.

The Department is headed by the Commissioner of Social Services and there are deputy commissioners for Administration and Programs. There is a regional administrator responsible for each of the three service regions. By statute there is a statewide advisory council to the Commissioner and each region must have a regional advisory council.

The Department administers most of its programs through offices located throughout the state. Within the Department, the Bureau of Rehabilitation Services provides vocational rehabilitation services for eligible individuals with physical and mental disabilities at 23 offices throughout the state. For the other programs, services are available through 11 offices located in the three regions with central office support located in Hartford. In addition, many services funded by the Department are available through community based agencies including the 156 senior centers throughout Connecticut. The Department has out-stationed employees at hospitals to expedite Medicaid applications and funds healthy start sites, which can accept applications for Medicaid for pregnant women and young children. Many of the services provided by the Department are available via mail or telephone call.

There are four entities attached to the Department for administrative purposes only. They are the Commission on Aging, the Commission on Deaf and Hearing Impaired, the Board of Education and Services for the Blind, and the Child Day Care Council.

Department Mission

The Connecticut Department of Social Services provides a continuum of core services to:

- Meet basic needs of food, shelter, economic support, and health care
- Promote and support the choice to live with dignity in one's own home and community
- Promote and support the achievement of economic viability in the workforce

We gain strength from our diverse environment to promote equal access to all Department programs and services.

Department Vision

The Connecticut Department of Social Services is people working together to support individuals and families to reach their full potential and live better lives. We do this with humanity and integrity.

■ B. PROGRAM OVERVIEW

The Children's Trust Fund (CTF) is a Division of the Department of Social Services. CTF invests in several major initiatives that help ensure the positive growth and development of children by helping to support and strengthen families – especially those for whom the risk of abuse and neglect is very real. CTF programs reach more than 15,000 families every year.

For the most part, child abuse and neglect prevention services have targeted high-risk first-time mothers. But fathers, and unrelated men significant in the lives of children, play a huge role in child development.

That's the reason CTF enhanced its NFN services for men beginning in 2009 with a new effort to provide home visiting services and parenting groups. The effort – among the first in the nation – is designed to provide home visiting services to biological fathers who do and don't live in the same household as their children, as well as unrelated men who are significant in the life of a child.

The catalyst for the statewide effort was considerable research that shows the negative effects of fatherless households. Further evidence suggests that there is a higher risk of physical abuse of children by unmarried men and non-biological fathers – adoptive fathers and step-parents. Research has also documented the positive impact of nurturing father-child relationships.

Most NFN participants are young single mothers. A recent review of father involvement in NFN Intensive Home Visiting services by the University of Hartford Center for Social Research found that while the services had positive – even transformative – effects on some of the fathers involved, there were still a number of obstacles to getting men involved in the NFN program. While 70 percent of the fathers are involved at the time of the child's birth, the fathers' involvement usually tapers off over time. Only about 30 percent of the fathers live in the same household with their children.

Responding to report findings – which were based on more than 70 interviews with men – CTF started a pilot project to have home visitors who are sensitive to men's specific needs work with men to meet those needs. The project is administered through CTF's Nurturing Families Network (NFN). As part of the project, researchers at the University of Hartford Center for Social Research are interviewing up to 35 men who are participating in the project, over a three-year period, to learn about their specific needs and experiences as fathers.

In addition to the pilot home visiting project, during the past two years NFN has provided 26 parenting groups just for fathers. And, for the past decade, CTF has offered parenting programs for fathers as part of the Family Empowerment Initiative.

■ C. MAIN APPLICATION COMPONENTS

1. Organizational Requirements

The applicant must have an existing NFN contract with the Department that is in good standing. The Department reserves the right to reject the submission of any applicant in default of any current or prior contract.

A responsive application must include the following information about the applicant's qualifications and relevant experience.

a. Describe the applicant's experience providing services for fathers and other men who are significant in the lives of children prenatal to five years of age. Applicants that currently provide home visiting services to fathers and other men who are significant in the lives of children participating in the Intensive Home Visiting component of the NFN program must include a description of such experience.

b. Discuss strategies the applicant has used to engage fathers and other significant men in such services.

c. Describe the applicant's involvement in community efforts to identify and develop appropriate community resources for fathers and other men who are significant in the lives of children prenatal to five years of age including, but not limited to services that foster healthy relationships between parents and encourage shared parenting, as well as programs that assist with job training and readiness, employment, education, and health care.

d. Include copies of the two most recent NFN site evaluation profiles developed by the University of Hartford Center for Social Research (sites in operation less than two years must submit one site evaluation profile).

2. Service Requirements

CTF has developed the policies, procedures, and requirements for implementing Intensive Home Visiting services, as described in *The Nurturing Families Network, Policy and Practice Manual, 2008 Edition* (the Manual), as periodically updated and amended. These policies, procedures, and requirements shall apply to home visiting services provided for fathers and other significant men. All NFN professional development and training; clinical supervision; and home visiting research policies, procedures, and requirements shall also apply. The contractor shall be required to participate in policy development specific to Intensive Home Visiting services for fathers and other significant men including, but not limited to reviewing policies and procedures, and recommending policy changes.

In accordance with the Manual, a full-time Home Visitor shall: a) schedule 12 to 15 home visits each week with the goal of conducting a total of 48 to 60 home visits per month; and b) carry a caseload of not more than 25 families at any given time.

The Home Visitor shall provide the following specific services for fathers and other men who are significant in the lives of children participating in the Intensive Home Visiting component of the NFN program.

- Conduct home visits in the fathers' or other significant men's homes. However, home visits with fathers or other significant men whose children are not in their care can take place outside the home. It is not necessary for the child to be present during the home visit.

- Use highly recognized NFN program curricula (including those designed especially for men) to engage men, foster prenatal and postnatal bonding, improve parenting skills, teach men about child development, and increase family involvement.

- Educate fathers about their parental rights and responsibilities including custody and visitation rights.

- Coordinate family outings for fathers/other significant men and their children.

- Help fathers and other significant men access community resources including, but not limited to services that will foster healthy relationships between parents and encourage shared parenting, as well as programs that assist with job training and readiness, employment, education, health care, and other identified needs.

- Develop strength-based action plans with fathers and other significant men to address areas identified as challenges.

- Maintain collaborative relationships with mothers and primary care providers.

- Facilitate supportive parenting groups for fathers and other significant men included on the home visitor's caseload, in contract years two and three.

3. Staffing Requirements

Funds provided for this project may only be used to hire one full-time home visitor, or to increase to full-time a part-time home visitor who is currently providing services for fathers and other men who are significant in the lives of children participating in the Intensive Home Visiting component of the NFN program. An organization may not receive funds for more than one home visitor to provide services to fathers and other significant men, including State and federal funds.

The home visitor shall provide Intensive Home Visiting services for fathers and other men who are significant in the lives of children participating in the Intensive Home Visiting component of the NFN program. The job description is included as Attachment A of this RFA.

The clinical supervisor that is currently assigned to the Nurturing Families Network program shall provide daily supervision and training to the home visitor that will be assigned to this project. Pursuant to *The Nurturing Families Network, Policy and Practice Manual, 2008 Edition,* one full-time clinical supervisor may supervise no more than five home visitors or five staff including home visitors and other program staff, including the home visitor that will be assigned to this project. This rule applies even if one or more of the home visitors or other staff are part-time employees.

A responsive application must include the following information about the staff that the applicant intends to employ to deliver the services required by this RFA.

a. *Home Visitor*. If the home visitor that will be assigned to this project is currently employed by your organization, identify the home visitor's name and attach a resume reflecting the home visitor's qualifications including related work experience. If the home visitor that will be assigned to this project is not currently employed by your organization, present a strategy to recruit and hire a home visitor that possesses the qualifications specified in the job description that is included as Attachment A of this RFA. [Note: The Department must be notified in writing and in advance regarding the departure of any home visitor from the project.]

b. *Staffing Levels*. Identify the number and NFN job titles of staff supervised by the clinical supervisor, including current home visitors, the home visitor that will be assigned to this project, and other NFN program staff. Include the proportion of time (**F**ull **T**ime **E**quivalent) allocated to the NFN program by each staff member, including the clinical supervisor.

4. Subcontractors

The use of subcontractors for direct client services is not allowed with this project.

5. Work Plan

A responsive application must include a work plan **for each year of the proposed contract period** including, but not limited to the following:

a. Start Date
b. Timetable/Schedule
c. Tasks/Deliverables
d. Methodologies
e. Measurable Objectives

D. COST APPLICATION COMPONENTS

1. Financial Requirements

Funds provided for this project shall be kept separate from other NFN program funds and shall not be comingled. Budgeting, accounting, and reporting for this project shall be performed separately from other NFN program funds. A responsive application must describe your organization's capacity to properly isolate project-related income and expenditures.

2. Budget Requirements

a. *Cost Standards*. All proposed costs are subject to the standards developed by the State Office of Policy and Management for the purchase of service (POS). Be advised that the cost application is subject to revision prior to award in order to ensure compliance with the cost standards. For more information, go to www.ct.gov/opm, click on "Publications," then click on "Purchase of Service (POS) Cost Standards."

b. *Financial Summary*. A responsive application must include a separate Financial Summary for this project, **for each year of the proposed contract period,** using the form provided by the Department in Section V, Attachments.

c. *POS-Budget Support*. A responsive application must include a separate POS-Budget Support for this project, **for each year of the proposed contract period,** using the form provided by the Department in Section V, Attachments.

   The annual salary and fringe benefits of the home visitor that will be assigned to this project must be comparable to the annual salary and fringe benefits of the applicant's other NFN program home visitors. A responsive application must include the salary detail sheet provided by the Department in Section V, Attachments.

The Department reserves the right to consider all factors including cost in the final selection of a successful applicant. The opportunity to negotiate a contract with the Department will not be awarded based on cost alone.

IV. APPLICATION OUTLINE

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b. Commission on Human Rights and Opportunities, Contract Compliance Regulations, Notification to Bidders, Parts I – V (CHRO) . . . .
c. Consulting Agreement Affidavit (OPM Ethics Form 5) [1] . . . . .

[1] Attached when the contract resulting from this RFA has an anticipated value of $50,000 or more in a calendar or fiscal year. The applicant must submit this certification to the Department with the application.

V. ATTACHMENTS

- Nurturing Families Network Home Visitor Job Description [Attachment A]
- Notice to Executive Branch State Contractors of Campaign Contribution and Solicitation Ban (SEEC Form 11) [Attachment B]
- Cover Sheet [Attachment C]
- Financial Summary [Attachment D]
- POS-Budget Support [Attachment E]
- Salary Detail Sheet [Attachment F]
- Certification Regarding Lobbying [Attachment G]
- Contract Compliance Package/Acknowledgement of Contract Compliance/Notification to Bidders [Attachment H]
- Commission on Human Rights and Opportunities, Contract Compliance Regulations, Notification to Bidders, Parts I – V (CHRO) [Attachment I]
- Consulting Agreement Affidavit (OPM Ethics Form 5) [Attachment J]

Nurturing Families Network
Home Visitor
For Fathers and Other Significant Men

Supervised By:

Clinical Supervisor

Job Description:

Home Visitors work directly with fathers and men whom are significantly involved with children enrolled in NFN home visiting program. They may visit fathers and other men once a week, provide information, and use highly regarded curricula (including those designed especially for men) to engage fathers, foster prenatal and postnatal bonding, improve parenting skills, teach fathers about child development, and finally to increase father involvement. Home visitors may facilitate supportive parenting groups for fathers and other significant men included on their caseloads.

When fathers do not reside with their children, efforts should be made to schedule some visits in father's home, and it is not necessary to have child present during visit.

Home visitors should educate fathers on their parental rights & responsibilities including custody and visitation rights. Home visitors will coordinate "family nurturing time outings" for men.

They also help men access services from community resources including services that will foster healthy relationships between parents, encourage shared parenting, and connect men with programs that assist with job training/readiness, employment, education, health care access, and other identified needs.

They are knowledgeable about both community services particularly those focused on male involvement and the experiences the fathers face.

In addition the home visitors develop strength-based action plans with men to address areas identified as challenges, maintain collaborative relationship with the mother of child and primary care providers, and maintain accurate records of all client contact.

Experience/Education Requirements:

The home visitors must have a high school diploma and relevant work experience. They should have experience working with men significantly involved with children, male involvement, coordinating events, and working with vulnerable children and families. They must be open to working with men of diverse backgrounds.

Skills:

- Excellent interpersonal skills and ability to engage men from diverse social and ethnic backgrounds
- Strong organizational skills to handle varied duties and responsibilities
- Demonstrated ability to be creative, innovative and resourceful
- Model parent - child interaction with men and children
- Basic computer skills including Word and Excel preferred
- An understanding of group dynamics and adult learning styles

Credential/License Required:

Connecticut state driver's license and automobile liability insurance as required by hiring agency.

Additional Requirements:

Will require weekend and or evening hours to conduct home visits.

All duties must be implemented in accordance with the hiring agency contact with the Children's Trust Fund, the Nurturing Families Network policies and approved training, hiring agency policies, ethical practice standards and state law.

1/6/2011

STATE OF CONNECTICUT
STATE ELECTIONS ENFORCEMENT COMMISSION
20 Trinity Street Hartford, Connecticut 06106—1628

SEEC FORM 11

NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined below):

Campaign Contribution and Solicitation Ban

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract* or *state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Duty to Inform

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

Penalties for Violations

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties--$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of $2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or $5000 in fines, or both.

Contract Consequences

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "State Contractor Contribution Ban."

Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract,* (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

ATTACHMENT C - COVER SHEET

STATE OF CONNECTICUT
DEPARTMENT OF SOCIAL SERVICES

RFP NAME OR NUMBER: Nurturing Families Network (NFN) Home Visiting Services 1/10/2011

Organization:

Legal Name	FEIN/Social Security Number	Telephone Number
Street Address	Town, State	Zip Code

Contact Person (*Individual who can provide additional information about the proposal or who has immediate responsibility for the proposal*)**:**

Name	Title	Telephone Number
Street Address	Town, State	Zip Code
E-mail Address		Facsimile Number

Authorized Official (*Individual empowered to enter into and amend contractual instruments in the name and on behalf of the Contractor*)**:**

Name	Title	Telephone Number
Street Address	Town, State	Zip Code
E-mail Address		Facsimile Number

Signature

ATTACHMENT D

PART III **FINANCIAL SUMMARY**

PROGRAM NAME: Nurturing Families Network (NFN) Home Visiting Services 1/10/2011

PROGRAM NUMBER:

	Requested	Adjustments	Approved
Contract Amount			
For Amendments Only			
Previously Approved Contract Amount			
Amount of Amendment			$

Line #	*Item*	**Subcategory (a)**	**Line Item Total (b)**	**Adjustments (c)**	**Revised Total (d)**
1	**UNIT RATE**				
	1a. Bed Days				
	1b. Client Advocate				
	1c. Security Deposit				
	1d. Other Unit Rate Costs				
	TOTAL UNIT RATE				
2	**CONTRACTUAL SERVICES**				
	2a. Accounting				
	2b. Legal				
	2c. Independent Audit				
	2d. Other Contractual Services				
	TOTAL CONTRACTUAL SERVICES				
3	**ADMINISTRATION**				
	3a. Admin. Salaries				
	3b. Admin. Fringe Benefits				
	3c. Admin. Overhead				
	TOTAL ADMINISTRATION				
4	**DIRECT PROGRAM STAFF**				
	4a. Program Salaries				
	4b. Program Fringe Benefits				
	TOTAL DIRECT PROGRAM				
5	**OTHER COSTS**				
	5a. Program Rent				
	5b. Consumable Supplies				
	5c. Travel & Transportation				
	5d. Utilities				
	5e. Repairs & Maintenance				
	5f. Insurance				
	5g. Food & Related Costs				
	5h. Other Project Expenses				
	TOTAL OTHER COSTS				
6	**EQUIPMENT**				
7	**PROGRAM INCOME**				
	7a. Fees				
	7b. Other Income				
	TOTAL PROGRAM INCOME				
8	**TOTAL NET PROGRAM COST** (Sum of 1 through 6, minus Line 7)				

1. UNIT RATE

HOMELESS SHELTERS ONLY

1a. Bed Days	1b. Client Advocate Hours of Service		1c. Other Unit Rate Costs
x	x	*Unit Rate*	
		Eligible Units	
$ _____	$ _____	*TOTAL ELIGIBLE COSTS*	$ _____
(Financial Summary, Line 1a)	(Financial Summary, Line 1b)		(Financial Summary, Line 1c)

TOTAL UNIT RATE COSTS $ _____
(Financial Summary, Line 1)

2. CONTRACTUAL SERVICES

2a. Accounting

Item	Unit Cost	Total Cost
_____	$ _____	$ _____
_____	$ _____	$ _____
_____	$ _____	$ _____

TOTAL ACCOUNTING $ _____
(Financial Summary, Line 2a)

2b. Legal

Item	Unit Cost	Total Cost
_____	$ _____	$ _____
_____	$ _____	$ _____
_____	$ _____	$ _____

TOTAL LEGAL $ _____
(Financial Summary, Line 2b)

2c. Audit

Item	Unit Cost	Total Cost
_____	$ _____	$ _____
_____	$ _____	$ _____
_____	$ _____	$ _____

TOTAL AUDIT $ _____
(Financial Summary, Line 2c)

If an audit of expended DSS funds will be provided from other resources, please 'check' this box

2d. Other Contractual Services

Item	Unit Cost	Total Cost
_____	$ _____	$ _____
_____	$ _____	$ _____
_____	$ _____	$ _____

TOTAL OTHER CONTRACTUAL SERVICES $ _____
(Financial Summary, Line 2d)

TOTAL CONTRACTUAL SERVICES $ _____
(Financial Summary, Line 2)

3. ADMINISTRATION

3a. Administrative Salaries

Position	Annual Salary	No. of Persons	% funded in this contract	Total Salary
	$			$
	$			$
	$			$
	$			$
	$			$
	$			$
	$			$
	$			$
	$			$
	$			$

TOTAL ADMINISTRATIVE SALARIES (cash) $ _____
(Financial Summary, Line 3a)

3b. Administrative Fringe Benefits and Payroll Taxes

Health Insurance	@	of		$
Pension	@	of		$
F.I.C.A.	@	of		$
Umemployment Compensation	@	of		$
Worker's Compensation	@	of		$
Other:				$
				$

TOTAL ADMINISTRATIVE FRINGE BENEFITS & PAYROLL TAXES $ _____
(Financial Summary, Line 3b)

3c. Administrative Overhead

Item	Unit Cost	Total Cost
	$	$
	$	$
	$	$
	$	$
	$	$
	$	$
	$	$

TOTAL ADMINISTRATIVE OVERHEAD $ _____
(Financial Summary, Line 3c)

TOTAL ADMINISTRATION $ _____
(Financial Summary, Line 3)

4. DIRECT PROGRAM STAFF

4a. Program Salaries

Position	Annual Salary	No. of Persons	% funded in this contract	Total Salary
	$			$
	$			$
	$			$
	$			$
	$			$
	$			$
	$			$
	$			$
	$			$
	$			$

TOTAL PROGRAM SALARIES $ _____
(Financial Summary, Line 4a)

4b. Program Fringe Benefits and Payroll Taxes

Health Insurance	@	of		$
Pension	@	of		$
F.I.C.A.	@	of		$
Umemployment Compensation	@	of		$
Worker's Compensation	@	of		$
Other:				$
				$

TOTAL PROGRAM FRINGE BENEFITS & PAYROLL TAXES $ _____
(Financial Summary, Line 4b)

TOTAL DIRECT PROGRAM STAFF $ _____
(Financial Summary, Line 4)

5. OTHER COSTS

5a. Program Rent

Item	Unit Cost	Total Cost
	$	$
	$	$
	$	$
	$	$

TOTAL PROGRAM RENT $ _____
(Financial Summary, Line 5a)

5. OTHER COSTS (continued)

5b. Consumable Supplies

Item	Unit Cost	Total Cost
	$	$
	$	$
	$	$
	$	$

TOTAL CONSUMABLE SUPPLIES $ _____
(Financial Summary, Line 5b)

5c. Travel and Transportation

Item	Unit Cost	Total Cost
	$	$
	$	$
	$	$
	$	$

TOTAL TRAVEL AND TRANSPORTATION $ _____
(Financial Summary, Line 5c)

5d. Utilities

Item	Unit Cost	Total Cost
	$	$
	$	$
	$	$
	$	$

TOTAL UTILITIES $ _____
(Financial Summary, Line 5d)

5e. Repairs and Maintenance

Item	Unit Cost	Total Cost
	$	$
	$	$
	$	$
	$	$

TOTAL REPAIRS AND MAINTENANCE $ _____
(Financial Summary, Line 5e)

5f. Insurance

Insurance Type	Unit Cost	Total Cost
	$	$
	$	$
	$	$
	$	$

TOTAL INSURANCE $ _____
(Financial Summary, Line 5f)

5g. Food and Related Costs

Item	Unit Cost	Total Cost
	$	$
	$	$
	$	$
	$	$

TOTAL FOOD AND RELATED COSTS $ _____
(Financial Summary, Line 5g)

5h. Other Project Costs

Item	Unit Cost	Total Cost
	$	$
	$	$
	$	$
	$	$

TOTAL OTHER PROJECT COSTS $ _____
(Financial Summary, Line 5h)

TOTAL OTHER COSTS $ _____
(Financial Summary, Line 5)

6. EQUIPMENT

6a. Equipment

Item	Unit Cost	Total Cost
	$	$
	$	$
	$	$

TOTAL EQUIPMENT $ _____
(Financial Summary, Line 6)

7. PROGRAM INCOME

7a. Program Income

	Description	Total Income
FEES:	_____	$ _____
LEASE:	_____	$ _____
SALE:	_____	$ _____
INTEREST:	_____	$ _____
OTHER:	_____	$ _____

TOTAL PROGRAM INCOME $ _____
(Financial Summary, Line 7)

ATTACHMENT F

Salary Detail Sheet

Program Name: Nurturing Families Network

Home Visitor Name	Start Date	Current Annual Salary	Current Annual Fringe Benefit Cost*

*_____
Include* the contractor's contribution toward Health Insurance, Retirement, Life Insurance, Disability Insurance, and other such benefits. ***Exclude*** the cost of FICA, Unemployment Compensation, and Workers Compensation.

ATTACHMENT G

CERTIFICATION REGARDING LOBBYING

Applicant:_____

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federally appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress or an employee of a member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2. If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the award document for sub-awards at all tiers (including subcontracts, sub-grants and contracts under grants, loans and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C.1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

_____	_____
Signature	Typed Name and Title
_____	_____
Firm/Organization	Date

STATE OF CONNECTICUT

OFFICE OF POLICY AND MANAGEMENT

CONTRACT COMPLIANCE PACKAGE

May 2009

CONTENTS

I. CONTRACTOR/GRANTEE CONTRACT COMPLIANCE REQUIREMENTS

II. BIDDER'S PACKET

- The following forms are **MANDATORY** and must be completed and returned to this agency with the response to the Request for Proposal or the Grant Application.

  1. Notification to Bidders Form
  2. Bidder Contract Compliance Monitoring Report

- Definitions and descriptions to assist in completing the Bidder Contract Compliance Monitoring Report

III. PERTINENT STATUTES AND REGULATIONS OF THE STATE OF CONNECTICUT

- Non-Discrimination and Affirmative Action Provisions in State Contracts, C.G.S. Section 4a-60 through 4a-60a
- Department of Administrative Services, C.G.S. Section 4a-60g through 4a-60j
- Department of Economic and Community Development, C.G.S. Section 32-9n
- Commission on Human Rights and Opportunities, C.G.S. Sections 46a-56 and 46a-68
- Commission on Human Rights and Opportunities Administrative Regulations Sections 46a-68j-21 through 46a-68j-43 and Sections 46a-68k-1 through 46a-68k-8.

I.

CONTRACTOR/GRANTEE
CONTRACT COMPLIANCE REQUIREMENTS

OFFICE OF POLICY AND MANAGEMENT

CONTRACTOR/GRANTEE COMPLIANCE REQUIREMENTS

NOTE: - THESE REQUIREMENTS APPLY TO ALL CONTRACTORS - INCLUDING GRANTEES AND INDIVIDUALS

Connecticut General Statute Section 4a-60 was adopted to insure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons. To carry out the provisions of the Statute, the Commission on Human Rights and Opportunities developed Regulations concerning Contract Compliance and approval of Contract Compliance Programs which impose certain obligations on State agencies as well as contractors doing business with the State of Connecticut.

These regulations require that as an awarding agency, in this instance, the Office of Policy and Management (OPM), must consider the following factors in its selection of any contractor:

- The bidder's success in implementing an affirmative action plan;
- If the bidder does not have a written affirmative action plan, the bidder's promise to develop and implement a successful affirmative action plan;
- The bidder's success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- The bidder's submission of employment statistics contained in the "Employment Information Form", indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- The bidder's promise to set aside a portion of the contract for legitimate minority business enterprises.

In order to assess the factors above, contractors are required to provide OPM with information about their organizations.

A package of information (see Section **II**. Bidder's Packet) is provided with forms (and instructions) that must be completed, signed by responsible parties and returned to OPM with the response to the Request for Proposal or with the Grant Application.

PLEASE NOTE: *If you indicate that you will be sub-contracting a portion of this contract, you will be sent further forms for completion as required in the contract compliance regulations. Thank you for your cooperation.*

II.

BIDDER'S PACKET

OFFICE OF POLICY AND MANAGEMENT

COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES
CONTRACT COMPLIANCE REGULATIONS
NOTIFICATION TO BIDDERS

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(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 awarding all contracts covered by Sections 4a-60 and 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 daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (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 who have origins in the Iberian Peninsula . . . (4)Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . ." An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Sec tion 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 Sections 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 employment statistics contained in the "Employment Information Form", indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce 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.

III.

PERTINENT STATUTES AND REGULATIONS

OF THE

STATE OF CONNECTICUT

CONNECTICUT GENERAL STATUTES

Current through Gen. St., Rev. to 1-1-09*

NONDISCRIMINATION AND AFFIRMATIVE ACTION PROVISIONS IN CONTRACTS	
Statute Hyperlink	**Description**
§ 4a-60.	Nondiscrimination and affirmative action provisions in contracts of the state and political subdivisions other than municipalities.
§ 4a-60a.	Contracts of the state and political subdivisions, other than municipalities, to contain provisions re nondiscrimination on the basis of sexual orientation.
DEPARTMENT OF ADMINISTRATIVE SERVICES	
Statute Hyperlink	**Description**
§ 4a-60g	(Formerly § 32-9e) Set-aside program for small contractors, minority business enterprises, individuals with a disability and nonprofit corporations.
§ 4a-60h	(Formerly § 32-9f) Administration of set-aside program. Regulations. Access to competitive contracts outside of program guaranteed.
§4a-60i	(Formerly § 32-9g) Responsibilities of agency heads to negotiate and approve contracts not affected.
§4a-60j	(Formerly § 32-9h) Time for payment of contractors.
DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT	
Statute Hyperlink	**Description**
§32-9n	Office of Small Business Affairs.
COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES	
Statute Hyperlink	**Description**
§ 46a-56	Commission duties.
§ 46a-68c	Contractors required to file affirmative action plan. Certificate of compliance issued by commission. Revocation.

***** There may have been changes made to these statutes or regulations which are not reflected in this packet. Please consult your nearest library for the most recent version.***

Statute Hyperlink	Description
§ 46a-68d	Public works contracts subject to affirmative action requirements. Conditional acceptance by commission. Advance filing of plan.
§ 46a-68e	Contractors and subcontractors required to file compliance reports.
§ 46a-68f.	Compliance reports to include labor union practices.
§ 46a-68g.	Prohibition re: contractors who have not satisfactorily complied with affirmative action requirements.
§ 46a-68h.	Hearing re: noncompliance.
§ 46a-68i.	Right of appeal.
§ 46a-68j	Regulations.

and

REGULATIONS OF CONNECTICUT STATE AGENCIES

TITLE 46A. HUMAN RIGHTS
COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES
CONTRACT COMPLIANCE

§ 46a-68j-21 -- § 46a-68j-43 and § 46a-68k-1 -- § 46a-68k-8.

For an electronic version of these regulations go to:
http://www.ct.gov/chro/cwp/view.asp?a=2525&Q=326596&chroPNavCtr=|#46078

***** There may have been changes made to these statutes or regulations which are not reflected in this packet. Please consult your nearest library for the most recent version.***

***** There may have been changes made to these statutes or regulations which are not reflected in this packet. Please consult your nearest library for the most recent version.***

This form is **MANDATORY** and must be completed, signed, and returned with the vendor's bid.

ACKNOWLEDGMENT OF CONTRACT COMPLIANCE NOTIFICATION TO BIDDERS

INSTRUCTION: Bidder must sign acknowledgment below, and return this form to the awarding agency with the bid proposal.

The undersigned duly authorized representative of the bidding vendor acknowledges receiving and reading a copy of the NOTIFICATION TO BIDDERS. (Please print name under signature line)

Signature: _____

_____

Title: _____Date:_____

_____

On behalf of:

Vendor Name: _____

Street Address: _____

City, State, Zip:_____

Federal Employee Identification Number (FEIN/SSN)

_____

ATTACHMENT I

COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES
CONTRACT COMPLIANCE REGULATIONS
NOTIFICATION TO BIDDERS

(Revised 09/17/07)

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(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 awarding all contracts covered by Sections 4a-60 and 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 daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (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 who have origins in the Iberian Peninsula . . . (4)Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . ." An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

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(b) the bidder's success in developing an apprenticeship program complying with Sections 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 employment statistics contained in the "Employment Information Form", indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce 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.

INSTRUCTIONS AND OTHER INFORMATION

The following BIDDER CONTRACT COMPLIANCE MONITORING REPORT must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidder's good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1) Definition of Small Contractor

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

MANAGEMENT: Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.

BUSINESS AND FINANCIAL OPERATIONS: These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.

MARKETING AND SALES: Occupations related to the act or process of buying and selling products and/or services such as sales engineer, retail sales workers and sales representatives including wholesale.

LEGAL OCCUPATIONS: In-House Counsel who is charged with providing legal advice and services in regards to legal issues that may arise during the course of standard business practices. This category also includes assistive legal occupations such as paralegals, legal assistants.

COMPUTER SPECIALISTS: Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists

ARCHITECTURE AND ENGINEERING: Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.

OFFICE AND ADMINISTRATIVE SUPPORT: All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, bill and account collectors, customer service representatives, dispatchers, secretaries and administrative assistants, computer operators and clerks (such as payroll, shipping, stock, mail and file).

BUILDING AND GROUNDS CLEANING AND MAINTENANCE: This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.

CONSTRUCTION AND EXTRACTION: This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category..

INSTALLATION, MAINTENANCE AND REPAIR: Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.

MATERIAL MOVING WORKERS: The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.

PRODUCTION WORKERS: The job titles included in this category are chemical production machine setters, operators and tenders; crushing/grinding workers; cutting workers; inspectors, testers sorters, samplers, weighers; precious stone/metal workers; painting workers; cementing/gluing machine operators and tenders; etchers/engravers; molders, shapers and casters except for metal and plastic; and production workers.

3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information) (Page 3)

White (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East. Black(not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa. Hispanic- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.	Asian or Pacific Islander- All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa. American Indian or Alaskan Native- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.

BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I - Bidder Information

Company Name Street Address City & State Chief Executive	Bidder Federal Employer Identification Number_____ Or Social Security Number_____
Major Business Activity (brief description)	Bidder Identification (response optional/definitions on page 1) -Bidder is a small contractor. Yes__ No__ -Bidder is a minority business enterprise Yes__ No__ (If yes, check ownership category) Black___ Hispanic___ Asian American___ American Indian/Alaskan Native___ Iberian Peninsula___ Individual(s) with a Physical Disability___ Female___
Bidder Parent Company (If any)	- Bidder is certified as above by State of CT Yes__ No__
Other Locations in Ct. (If any)	- DAS Certification Number _____

PART II - Bidder Nondiscrimination Policies and Procedures

1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards? Yes__ No__	7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.? Yes__ No__
2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards? Yes__ No__	8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? Yes__ No__
3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy? Yes__ No__	9. Does your company have a mandatory retirement age for all employees? Yes__ No__
4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes__ No__	10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? Yes__ No__ NA__
5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes__ No__	11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor? Yes__ No__ NA__
6. Does your company have a collective bargaining agreement with workers? Yes__ No__ 6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes__ No__ 6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct? Yes__ No__	12. Does your company have a written affirmative action Plan? Yes__ No__ If no, please explain. 13. Is there a person in your company who is responsible for equal employment opportunity? Yes__ No__ If yes, give name and phone number. _____ _____

Part III - Bidder Subcontracting Practices (Page 4)

1. Will the work of this contract include subcontractors or suppliers? Yes__ No__

1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes__ No__

PART IV - Bidder Employment Information Date:

JOB CATEGORY *	OVERALL TOTALS	WHITE (not of Hispanic origin)		BLACK (not of Hispanic origin)		HISPANIC		ASIAN or PACIFIC ISLANDER		AMERICAN INDIAN or ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	male	female
Management											
Business & Financial Ops											
Marketing & Sales											
Legal Occupations											
Computer Specialists											
Architecture/Engineering											
Office & Admin Support											
Bldg/ Grounds Cleaning/Maintenance											
Construction & Extraction											
Installation , Maintenance & Repair											
Material Moving Workers											
Production Occupations											
TOTALS ABOVE											
Total One Year Ago											
FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)											
Apprentices											
Trainees											

*NOTE: JOB CATEGORIES CAN BE CHANGED OR ADDED TO (EX. SALES CAN BE ADDED OR REPLACE A CATEGORY NOT USED IN YOUR COMPANY)

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)				2. Check (X) any of the below listed requirements that you use as a hiring qualification (X)		3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination
SOURCE	YES	NO	% of applicants provided by source			
State Employment Service					Work Experience	
Private Employment Agencies					Ability to Speak or Write English	
Schools and Colleges					Written Tests	
Newspaper Advertisement					High School Diploma	
Walk Ins					College Degree	
Present Employees					Union Membership	
Labor Organizations					Personal Recommendation	
Minority/Community Organizations					Height or Weight	
Others (please identify)					Car Ownership	
					Arrest Record	
					Wage Garnishments	

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

(Signature)	(Title)	(Date Signed)	(Telephone)

STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a State contract for the purchase of goods and services with a value of $50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b)

INSTRUCTIONS:

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete all sections of the form. If the bidder or vendor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. **If the bidder or vendor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1):** Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if the contractor enters into any new consulting agreement(s) during the term of the State contract.

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: _____]

I, the undersigned, hereby swear that I am the chief official of the bidder or vendor awarded a contract, as described in Connecticut General Statutes § 4a-81(a), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, **except for the agreement listed below**:

_____ _____
Consultant's Name and Title Name of Firm (if applicable)

_____ _____ _____
Start Date End Date Cost

Description of Services Provided: _____

_____

_____

Is the consultant a former State employee or former public official? ☐ YES ☐ NO

If YES: _____ _____
Name of Former State Agency Termination Date of Employment

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

_____ _____ _____
Printed Name of Bidder or Vendor **Signature of Chief Official or Individual** **Date**

_____ _____
Printed Name (of above) Awarding State Agency

Sworn and subscribed before me on this _____ day of _____, 20___.

_____
Commissioner of the Superior Court or Notary Public