



STATE OF CONNECTICUT
OFFICE OF EARLY CHILDHOOD



Connecticut Office of
Early Childhood

Dannel P. Malloy
Governor
Nancy Wyman
Lt. Governor

Myra Jones-Taylor, Ph. D.
Commissioner

March 8, 2016

Mr. Mitch Beauregard
Vice President for Business Operations
United Way of Connecticut, Inc.
1344 Silas Deane Highway
Wethersfield, CT 06067

Contract #: **14OEC0017AB**
Period: **7/1/2014 – 6/30/19**

AMENDMENT #: **A1**
AMENDED AMOUNT: **\$54,553,250.00**

Dear Mr. Beauregard:

I am pleased to inform you that the above referenced contract amendment has been fully executed and approved. Attached is a scanned copy of the original contract for your files.

Requests for Payment should be completed and directed to the contact identified below. The OEC will process requests for payment in accordance with the terms of the contract. Your receipt of payment is contingent upon the continued availability of funds and your agency's compliance with the terms of the contract.

For issues or concerns related to this contract, please direct your inquiries to:

Scope of Work:

Harriet Feldlaufer (2-1-1) Mary Farnsworth (QIS)
(860) 713-6707 (860) 713-6412
harriet.feldlaufer@ct.gov mary.farnsworth@ct.gov

Payments:

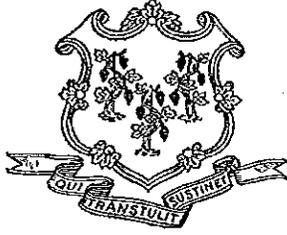
Pietro Rosato
(860) 713-6418
pietro.rosato@ct.gov

Sincerely,

Myra Jones-Taylor
Commissioner

C: Contract file

Phone: (860) 713-6410 • Fax: (860) 713-7037
165 Capitol Avenue
Hartford, Connecticut 06106
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Affirmative Action/Equal Opportunity Employer



STATE OF CONNECTICUT
OFFICE OF EARLY CHILDHOOD

CONTRACT AMENDMENT

Contractor: UNITED WAY OF CONNECTICUT, INC.
Contractor Address: 1344 Silas Deane Highway, Rocky Hill, CT 06067-1350
Contract Number: 14OEC0017AB
Amendment Number: 1
Amount as Amended: \$54,553,250.00
Contract Term as Amended: 7/1/2014 - 6/30/2019

The contract between United Way of Connecticut, Inc. (*the "Contractor"*) and the Office of Early Childhood (*the "Agency"*), which was last executed by the parties on effective date: 7/7/2014, is hereby amended as follows:

1. Page 1 of the contract is amended because the total maximum amount payable under this contract has increased by \$7,600,000.00 from \$46,953,250.00 to \$54,553,250.00.
2. Part I, Section C of this contract, shall add funding as follows:

During the period 7/1/15 through 6/30/18, the Contractor shall assist the Office of Early Childhood in the development of a statewide infrastructure and system of delivery for quality improvement support (professional development and program improvement) for early childhood programs and workforce in Connecticut.

3. The following language shall be appended to the Description of Services in Part I of the original contract:

D. Quality Improvement System ("QIS"). The Contractor shall assist the OEC with the development of a statewide infrastructure and system of delivery of quality improvement support, including but not limited to professional development and program improvement, for Connecticut early childhood programs and workforce by performing the following tasks:

1. **Physical Locations.** The Contractor shall enter into agreements for regular use of physical spaces as dictated by demand, to ensure statewide convenient training, coaching, consultation, and fingerprinting services to early care and education (ECE) providers.
2. **Inventory.**
 - a. Starting May 2016, the Contractor shall conduct an inventory of, and document Early Childhood Education ("ECE") providers' accessibility to existing quality improvement activities, resources, systems of consultation and program support, and organizations. The Contractor shall map and crosswalk the above referenced inventory of services with existing quality improvement requirements and frameworks as requested by OEC such as Quality Rating and Improvement System ("QRIS") Standards, Child Care Development Fund ("CCDF") requirements, Core Knowledge and Competencies ("CKC"), Early Learning and Development Standards ("ELDS"), Licensing Standards, Head Start Standards, and National Association for the Education of Young Children standards. Such inventory shall be completed by June 30, 2017.

- b. During Year 2 (SFY2017) and Year 3 (SFY2018), the Contractor shall continue to maintain the inventory of quality improvement supports.
3. **Staffing, Subcontractors, and Partnership.**
- a. The Contractor shall have sufficient staffing, subcontracts or partnerships in place to ensure delivery QIS services to ECE providers as agreed upon annually by June 30th for the following state fiscal year by OEC and the Contractor in an “Activities Expectations” document outlining the activities expected to be delivered within the next fiscal year and priorities for providers’ access to activities..
 - b. During the period 7/1/15 through 6/30/18, the Contractor shall provide administrative support to the Continuous Quality Improvement Committee responsible for providing policy and implementation oversight guidance to the OEC.
 - c. During Year 1 (SFY2016), the Contractor shall provide staff for the QIS. Staff providing direct quality improvement activities will meet mutually agreed upon minimum hiring criteria. Staff shall be responsible for, at a minimum, the following activities:
 - i. Managing the QIS, related subcontracts and other agreements, including training of Contractor and subcontractor staff as required;
 - ii. Building and maintaining relationships and communications networks with all QIS providers statewide;
 - iii. Manage technology including data systems and websites;; and
 - iv. Proposing research-based QIS activity design and delivery options.
 - d. In addition to the activities begun in Year 1, the Contractor staff shall be responsible for the following activities during Year 2 and Year 3:
 - i. Supporting the delivery of quality improvement activities including but not limited to training, coaching, and provision of learning communities, as outlined in the annual “Activity Expectations” provided by the OEC;
 - ii. Providing guidance to ECE programs regarding available QIS resources and their relation to quality standards; and
 - iii. Managing eligibility of programs and participants for activities included under the QIS, based on OEC priorities
 - iv. Maintain the calendar of QIS activities (“Calendar”) offered to ECE providers; and
 - v. Providing administrative and logistical support to OEC staff providing fingerprinting services for ECE provider fingerprinting as required.
4. **Technology.** The Contractor shall provide the following technical support to support the QIS:
- a. **Website.**
 - i. The Contractor shall collaborate with the OEC and an outside public relations vendor to develop a QIS website to be launched by 6/30/16 to host basic QIS information, Calendar, and available links and materials. The following additional functionality will be phased in with completion by 6/30/18:
 - (a) Calendar with ability to filter view;
 - (b) Registration and online payment capability
 - (c) Links to online training platforms; and
 - (d) Links or logins to existing data systems; and
 - (e) Materials and resources including but not limited to articles, reports, forms, and videos.
 - ii. Website Responsibilities
 - (a) The Contractor shall be responsible for

- (1) Website hosting and structure;
 - (2) Website integration support and services;
 - (3) Technical guidance for website development; and
 - (4) Ongoing website maintenance and content maintenance.
- (b) The Contractor shall recommend and OEC shall approve changes to website usability, design and branding; and content.

b. Data System.

- i. The Contractor shall perform the following activities beginning in Year 1:
 - (a) Establish business requirements in collaboration with OEC staff and the Early Childhood Information System (ECIS) business analyst provided by OEC by 12/31/16, including at a minimum
 - (i) Ability to track, link, and manage program improvement and professional development activities;
 - (ii) Case management features to provide ECE technical assistance providers to enter information about their work with programs, run reports on caseloads, and track progress;
 - (iii) Include unique identifiers for programs and people that match ECIS/registry; and
 - (iv) Ensure data sharing ability with ECIS/registry.
 - (b) Develop or acquire a data system sufficient to meet the needs of the QIS business requirement by Year 3 of the contract.
- ii. Consistent with the provisions of Part III, Section A.9 of this contract, the Contractor acknowledges that the data system created under this contract, any data therein, and any data in procured proprietary systems, shall be owned by OEC also belongs to OEC.

5. Quality Improvement Activities and Materials Assembly.

- a. The Contractor shall deliver all Quality Improvement Activities as outlined herein in an activities chart (“Activities Expectations”) provided by and updated annually by OEC.
- b. **Activities.** By October 1, 2016, the Contractor shall assemble sufficient materials to support delivery of QIS services to ECE providers as set forth in the annual Activities Expectations document. The Contractor shall perform the following activities:
 - i. In partnership with national ECE technical assistance centers, assemble or develop models, tools, and materials for quality improvement activities for review and approval by OEC.
 - ii. Identify existing materials, and create new materials only as necessary where existing materials do not meet OEC approval.
 - iii. Such materials shall at a minimum include:
 - (a) Quality Improvement Support Materials, including a Quality Improvement Support manual for coaching/consultation that includes: framework and standard sequence of activities for coaches and consultants such as relationship building, goal setting, and implementation of an action plan with clear roles and feedback, planning for sustainability.
 - (b) Materials for quality improvement delivery including but not limited to assessments, guidance, worksheets, videos, training curricula; and
 - (c) Quality Improvement Providers Management Materials composed of
 - (i) Quality Improvement Providers manual that includes: training and supervision plan for coaches, consultants, and trainers, minimum requirements and selection criteria, design and model of learning communities, monitoring plan, plan for reflective supervision; and

- (ii) Materials to train quality improvement providers including but not limited to initial and ongoing training curricula, assessment tools, observation/rating tools, system goals, coaching model, strategies for consultation, adult learning theory, reflection supervision training.
- iv. Map and crosswalk all materials with quality frameworks established by OEC, including but not limited QRIS, CCDF, CKC's, priority groups, and Accreditation.
 - (a) The Contractor shall update and enhance ECE materials as necessary to carry activities outlined in the "Activities Expectations" document.
 - (b) The Contractors shall conduct annual and ongoing surveys of both users and non-users of the QIS services regarding topics including but not limited to satisfaction, access, quality.
- 6. **QIS Quality Assurance.** The OEC shall perform a formal review of QIS activity delivery at least annually. Such review shall include review of performance monitoring results compiled by the Contractor; and an external evaluation as directed by OEC
- 7. **Reporting.** The Contractor shall prepare and submit written programmatic and fiscal reports, as determined in consultation with OEC and submitted at a frequency pre-approved by the OEC, documenting QIS activities and expenditures separately from other reports required under this contract.
- 8. **Outcome Measures.** The Contractor shall document progress towards achievement of the following outcomes in the program reports set forth in Section 7 above.
 - a. **Physical Locations.** The Contractor shall perform and provide the OEC with a report on statewide ECE provider accessibility to Continuous Quality Improvement activities by June 30th of each remaining year of the contract period.
 - b. **Inventory.** The Contractor shall perform a review of available Continuous Quality Improvement providers.
 - c. **Staffing.** The Contractor shall ensure that QIS staff providing direct quality improvement activities meets minimum hiring criteria and are sufficient in number to deliver "Activities Expectations" in line with any established models of delivery approved by OEC.
 - d. **Technology.**
 - i. The Contractor shall ensure that the website is online by June 30, 2016 with content describing
 - (a) Information about the QIS;
 - (b) Identified links; and
 - (c) Identified materials.
 - ii. The Contractor shall complete the Calendar and online training registration functionality by October 2016.
 - iii. The Contractor shall perform ongoing review of the website.
 - e. **Materials Assembly and Activity Delivery**
 - i. Beginning Year 1, the Contractor shall assemble sufficient materials to support delivery of QIS services to ECE programs with branding on all editable items.
 - ii. During Year 2 and Year 3, the Contractor has assembled sufficient materials to support delivery of QIS services to Home Visiting programs.

- iii. The Contractor shall achieve quality and process measures mutually agreed upon with the OEC including but not limited to:
 - (a) Required activities delivered to target groups as outlined in annual activities chart. These activities may include but not be limited to meeting funding requirements for quality improvement delivery: Care 4 Kids, School Readiness, Child Daycare Centers, Smart Start, Head Start, Preschool Development Grant, and SEIU union agreement as well as licensing requirements;
 - (b) % of programs by type who know what the quality improvement system is and how to access support; and
 - (c) Satisfaction measures.
- iv. The Contractor shall establish baseline measures, as applicable. Measures shall include but not be limited to:
 - (a) Increase in the number of programs newly accredited (and total accredited);
 - (b) Increase in the number of programs licensed;
 - (c) Increase in licensing compliance;
 - (d) Increase in the use of Early Learning Development Standards, developmental screening/ assessments, and referrals;
 - (e) Increase in the number of programs with sufficient knowledge/confidence to care for priority group children as established by the OEC- including inclusion; and
 - (f) Increase in the number of programs aware of head teacher requirements and support available (scholarships, etc.).

9. **Budget.** The Contractor agrees to utilize OEC funds allocated for the QIS in accordance with the following budget:

4. Part I, Section C of the contract is amended by the addition of the following provisions:

C. Budget Variance.

- 1. The Contractor may transfer funds from one category to another (except for equipment) in the agreed upon and approved budget included in this contract for a single component without prior notification of the OEC under the following conditions:
 - a. The amount by which a single category may be increased may not exceed **20% of the approved amount or \$5,000.00**, whichever is greater. This applies only to category amounts in the formally approved budget subsequently approved budget revisions.
 - b. The Contractor may vary an individual salary or wage by no more than **15%** of the approved amount;
 - c. Budget flexibility is to be applied to each component separately and is not to be computed on the composite budget items.
 - d. The number of people or the percentage of time charged to a job classification may be increased, provided this does not exceed the flexibility cited above.
 - e. The Contractor may not make any transfer under this procedure that involves any of the categories or kinds of expenditures specifically listed below.
 - f. All such transfers shall be reflected on the next submitted financial report.

3 Ytr FINANCIAL SUMMARY

PROGRAM NAME:
PROGRAM NUMBER:

United Way QIS
14OEC0017AA Amendment 1

	Requested	Adjustments	Approved
Contract Amount			
<i>For Amendments Only</i>			
Previously Approved Contract Amount			46,953,250
Amount of Amendment			7,607,000

Line #	Item	Subcategory (a)	Line Item Total (b)	Adjustments (c)	Revised Total (d)
1	<u>UNIT RATE</u>				
	1a. Bed Days				
	1b. Client Advocate				
	1c. Security Deposit				
	1d. Other Unit Rate Costs				
	TOTAL UNIT RATE				
2	<u>CONTRACTUAL SERVICES</u>				
	2a. Accounting				
	2b. Legal				
	2c. Independent Audit				
	2d. Other Contractual Services	4,039,396			4,039,396
	TOTAL CONTRACTUAL SERVICES		4,039,396		4,039,396
3	<u>ADMINISTRATION</u>				
	3a. Admin. Salaries				
	3b. Admin. Fringe Benefits				
	3c. Admin. Overhead	908,296			908,296
	TOTAL ADMINISTRATION		908,296		908,296
4	<u>DIRECT PROGRAM STAFF</u>				
	4a. Program Salaries	1,286,180			1,286,180
	4b. Program Fringe Benefits	535,695			535,695
	TOTAL DIRECT PROGRAM		1,821,875		1,821,875
5	<u>OTHER COSTS</u>				
	5a. Program Rent	180,000			180,000
	5b. Consumable Supplies	93,587			93,587
	5c. Travel & Transportation	185,000			185,000
	5d. Utilities	45,000			45,000
	5e. Repairs & Maintenance	90,000			90,000
	5f. Insurance	50,000			50,000
	5g. Food & Related Costs	20,000			20,000
	5h. Other Project Expenses	166,846			166,846
	TOTAL OTHER COSTS		830,433		830,433
6	<u>EQUIPMENT</u>				
7	<u>PROGRAM INCOME</u>				
	7a. Fees				
	7b. Other Income				
	TOTAL PROGRAM INCOME				
8	<u>TOTAL NET PROGRAM COST</u>	7,600,000	7,600,000		7,600,000
	(Sum of 1 through 6, minus Line 7)				

2. The Agency requires the following changes in approved Program budgets to have prior written OEC approval by a formal budget revision and/or formal contract amendment:
 - a. The purchase of an item of equipment not approved in the original budget.
 - b. A transfer that involves an increase of an approved category amount by more than 20% or \$5,000.00, whichever is greater.
 - c. A transfer which involves an increase in salary or wages by more than 15%;
 - d. Any increase in compensation for services under a third party contract.
 - e. Any transfers of funds from one component to another.
 - f. Any transfer of budgeted Program income or food reimbursement.
3. The OEC shall respond to a properly executed request within 45 days of receipt.
4. No budget revisions proposed by the Contractor may be submitted later than 45 calendar days before the State Fiscal Year has ended, except that the OEC may entertain, at any time, a budget revision for the purpose of increasing funds solely for the audit of the Program. The final financial report shall show all category overruns. Costs incurred after the end of the budget period shall be disallowed except those which the OEC has expressly approved in writing and in advance.
5. Any funds allocated for a specific State Fiscal Year not expended by the end of that State Fiscal Year must be returned to the Department.

D. Schedule of Payments.

1. All payments are contingent upon receipt of program-specific invoices; the availability of funding; and OEC receipt and approval of all reports due.
2. Payments for 2-1-1 and Care for Kids program services.
 - a. The Department will pay the Contractor at the beginning of each calendar quarter upon receipt of each program-specific invoice.
 - b. During each calendar quarter of each State Fiscal Year of the contract, the Department will pay the Contractor up to a maximum of 25% of the annual amount allocated for 2-1-1 and Care 4 Kids.
3. Payments for QIS program services.
 - a. The Department shall pay the Contractor for SFY2016 QIS services in an amount up to a maximum of \$1,000,000.00.
 - b. During SFY2017 and SFY2018, The Department will pay the Contractor up to a maximum of 25% of the annual amount allocated for QIS program services at the beginning of each calendar quarter.
5. All terms and conditions of the original Contract, and any subsequent amendments thereto, which were not modified by this Amendment remain in full force and effect.

IN WITNESS WHEREOF, the parties have executed this Contract amendment by their duly authorized representatives with full knowledge of and agreement with its terms and conditions.

SIGNATURES AND APPROVALS

14OEC0014AB Amendment 1

The Contractor IS NOT a Business Associate under the Health Insurance Portability and Accountability Act of 1996 as amended.

~~CONTRACTOR - UNITED WAY OF CONNECTICUT, INC.~~



MITCH BEAUREGARD, *Vice President for Business Operations*

3/3/16
Date

~~OFFICE OF EARLY CHILDHOOD~~



MYRA JONES-TAYLOR, *Commissioner*

3/4/16
Date

~~CONNECTICUT ATTORNEY GENERAL (APPROVED AS TO FORM)~~



~~ASST / ASSOC. ATTORNEY GENERAL~~
Robert W. Clark

3/8/16
Date