

DAS/SUPPLIER DIVERSITY PROGRAM

INSTRUCTIONS FOR ANNUAL SBE/MBE GOALS CALCULATION REPORTING

FISCAL YEAR 2011 (2010-2011)

ALLOWABLE EXEMPTIONS FROM THE SBE/MBE GOALS CALCULATION REPORTING REQUIREMENT:

Adopted Budget less than \$10,000

Agencies and Political Subdivisions that have an Adopted Fiscal Year Budget Amount \$10,000 or less---- are deemed exempt from compliance in this Fiscal Year. The Agency is required to submit a letter to the Commissioner of the Department of Administrative Services specifying this Adopted Budget Amount as being \$10,000 or less and expressing they are exempt in this Fiscal Year.

The Department of Administrative Services will then advise the Agency and or Political Subdivision of their approved exempt status.

Amount Available for SBE/MBE Program is less than \$10,000 AFTER Goal Calculation

Agencies and Political Subdivisions after completing their Fiscal Year FY 2011 Annual Goals Calculations Report, that have a remaining Total Amount Available For MBE/SBE Program of \$10,000 or less are deemed exempt in this Fiscal Year.

The Department of Administrative Services will then advise the Agency and or Political Subdivision of their approved exempt status.

Please Note: Although an Agency or Political Subdivision may be confirmed exempt in any given Fiscal Year, the DAS/Supplier Diversity and CHRO does not exempt and/or excuse them from their responsibility to make a "Good-Faith Effort" towards soliciting bids (and/or RFP's) and making purchases whereby they utilize Certified Small and Minority businesses in the State of Connecticut in order to enhance their future economic growth.

Developing Annual SBE/MBE (Set-Aside) Compliance Program Goals

- Page - 1 SUMMARY PAGE

Insert the Total Funds Available (from all sources – excluding capital improvement funds which will be reported and tracked separately) from your Agency's Adopted Fiscal Year 2011 Budget.

- Page - 2 FEDERALLY FUNDED EXPENDITURES

List and describe all Federally funded items from Federal dollars only.
(Eligible Deductions)

Note: The Total Amount from this Page will automatically (via pre-set Excel Formulas) link to Page-1 (Summary Page).

- Page -3 NON-PURCHASING BUDGETED EXPENDITURES

(Eligible Deductions)

Enter the Amounts for listed categories only. Please do not add any additional category items to this page. For the category Employee Related Costs, must list each item and a separate amount for each item.

Note: The Total Amount from this Page will automatically (via pre-set Excel Formulas link to Page-1) Summary Page.

- PAGE - 4 STATUTE/REQUIRED BUDGETED EXPENDITURE ITEMS

(Eligible Deductions)

Enter the Amounts for the listed categories only. For the categories provide a breakdown list and a separate amount for each item.

Note: The Total Amount from this Page will automatically (via pre-set Excel Formulas) link to Page-1) Summary Page.

- PAGE-5 AGENCY REQUESTED EXEMPTIONS

(ALL ITEMS REQUIRE DAS APPROVAL)

(DO NOT LIST CONTRACTS THAT INCLUDE SBE/MBE VENDORS ON THE CONTRACT)

Please list each Item with the following: Category Number (select from list #'s 1-5) ; Item Name; Full Description (if available include: Contract #'s; categorize as a Single-Vendor Contract or Multi-Vendor Contract; list of vendors used; if available an electronic link to Contract).

Please add as many lines and/or rows necessary for each Line Item and Explanation and utilize as many Pages of (Page # 5) you may need.

Please add all Page # 5 Totals and insert Total Amount on Page-1 (Summary).

- When complete e-mail Report to: stanley.kenton@ct.gov and lydia.mendez@ct.gov

NOTE: The Report is Excel pre-formatted except, must manually add all

DEFINITIONS AND CLARIFICATIONS:

Federally Funded Expenditures (Page 2)

Contracts that may not be assigned to SBE/MBE (Set-Aside) Vendors due to conflict with a Federal Law or regulation (per CGS Sec. 4a-60g) can be deducted from your Agency's goal-setting Total Amount.

Non-Purchasing Budgeted Expenditures (Page 3)

These are Non-Purchasing based line Items (except for telecommunications) from your Adopted Fiscal Year 2011 Budget, Direct Overhead Expenses and are a deduction against your Agency's goal-setting Total Amount.

Telecommunications Services is a purchasing item, however this service is not customarily available by an SBE/MBE. (AT&T, SBC, Verizon, AOL etc.)

Statute/Required Budgeted Expenditure Items (Page 4)

Items listed on this page are per a specific Statute, an allowable exemption from your Agency's goal-setting Total Amount.

BESB - Board of Education for the Blind (C.G.G.- 10-298b)

Total Amount only for this category needs to be entered.

CCI-Connecticut Correctional Industries (C.S.G.- 18-88)

Total Amount only for this category needs to be entered.

Interagency Transfers - Interagency transfers that result in no external purchasing activities. This would include all interagency transfers between State Agencies.

Public Notice Advertising - The projected cost for advertising placed in media, per compliance with state regulations/statutes. (Bid Notices, Employment Advertising).

Other Statute/Regulation Expenditures – This would include expenditures that are per statute.

Agency Requested Exemptions (Page 5)

Sole Source- is not permissible unless a requirement is available from only a single supplier. A requirement for a particular proprietary item does not justify a sole source procurement if there is more than one potential bidder or offeror for that item. The following are some examples of circumstances which could necessitate sole source procurement:

where the compatibility of equipment, accessories, or replacement parts is the paramount consideration

where a sole supplier's item is to be produced for resale

where a sole supplier's item is needed for trial use or testing

where public utility services are to be procured

Insurance Services – The Department of Administrative Services requires each Agency to provide a list of Insurance Providers/Vendors that you utilize as part of your detailed explanation. This list will assist in the determination of the exemption request.

These insurance services are not customarily available by an SBE/MBE and will be reviewed for exemption from your goal setting process.

Dues and Subscriptions – The Department of Administrative Services requires each Agency to provide a list of Vendors utilized and a detailed explanation. The cost for dues and subscriptions is not customarily available by an SBE/MBE and will be reviewed for exemption from your goal setting process.

The Commission on Human Rights and Opportunities requests this information be submitted for their review to the following e-mail address:

lydia.mendez@ct.gov

Contractual Services from Non-Profit and Community-Based Organizations – Agency is required to provide a copy of the Contract with the Non Profit or Community Based Organization along with a detailed explanation specifying why there are no opportunities for SBE/MBE involvement. If available, please provide an electronic link to the Contract/Agreement.

Agency should indicate if there is any contractual language in the contract with the non-profit or community based organization related to subcontracting with SBE/MBE'S.

(This item does not include BESB, CCI and CCPA, which are all included on Page – 4.)

Current State Agency Contracts - Provide a copy of the Contract along with a detailed explanation why this is not customarily available from an SBE/MBE (include Contract Names & #'s).

This should include any multi year contract, Full Service Contracts (i.e. Sysco Foods, Vanguard Direct, Eastern Bag & Paper)

The Annual Calculations Report (per Statute) is due August 30, 2010.