

**Request for Proposals**

**Program Enhancement Projects for Adult Education  
July 1, 2017 – June 30, 2018**



**Purpose:** To provide opportunities for the expansion and enhancement of existing educational programs and services for adults who lack the level of basic skills and literacy necessary to be effective parents, citizens and employees.

*Pursuant to the Workforce Innovation and Opportunity Act (WIOA) of 2014, Title II, Adult Education and Family Literacy Act (AEFLA), Public Law 113-128.*

**The Connecticut State Department of Education reserves the right to make necessary policy changes after proposals are submitted and to negotiate awards with potential recipients.**

**Department Contact:** Susan Pierson  
**Date Issued:** March 2017  
**Due Date:** April 28, 2017

**RFP #: 817**

## CONNECTICUT STATE DEPARTMENT OF EDUCATION

**Dr. Dianna R. Wentzell  
Commissioner of Education**

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## I. GENERAL INFORMATION

### A. Introduction

The Connecticut State Department of Education's (CSDE) Bureau of Health/Nutrition, Family Services and Adult Education is seeking submission of written proposals, on a competitive basis, from agencies/organizations, to support and further enhance adult education services in Connecticut. The funds for this solicitation are authorized by the *Workforce Innovation and Opportunity Act (WIOA) of 2014, Title II, Adult Education and Family Literacy Act (AEFLA), Public Law 113-128*. The WIOA builds on the strength of prior workforce legislation by requiring solid collaborations with mandated partners and more purposeful relationships between adult education and Connecticut's Workforce Development Boards (WDBs). The legislation further encourages the alignment of core programs to implement certain critical elements of Connecticut's WIOA Unified State Plan.

### B. Purpose

The primary purpose of the Program Enhancement Project (PEP) Request for Proposals (RFP) is to increase the capacity of Connecticut's eligible providers to deliver the needed educational and support services to adult learners in the five workforce development areas. Under the WIOA, the AEFLA's purposes have been expanded to include assisting adults in their transition to postsecondary education and training, including through career pathway programs. Further, the WIOA formalizes the role of adult education in assisting English language learners to acquire the skills needed to succeed in the 21st-century-economy. The overarching goal of the WIOA is to:

- increase accessibility to adult education programs and services for learners most in need;
- create a seamless transition to postsecondary education and training through the development of career pathways;
- foster strong, literate families in an effort to reduce the current student achievement gap; and
- build an educated and competitive Connecticut workforce.

### C. Overview of AEFLA Requirements

The AEFLA funds must support programs, activities and services that include adult literacy; workplace education and literacy activities; family literacy activities; English language acquisition (ELA) activities; integrated English literacy and civics education (IEL/Civics); workforce readiness activities; and/or integrated education and training. Programs providing ELA and/or IEL/Civics' services must support transition of those students to adult basic education (ABE) or adult secondary education (ASE) instruction. Programs must also prepare and support students in achieving successful transition to postsecondary education, training or employment.

The AEFLA recognizes that completion of high school is not an end in itself but the means to further opportunity. It adds to the purpose of high school completion and the transition to postsecondary education through the use of career pathways. A new purpose statement in AEFLA formalizes a role that adult education has played for decades related to assisting immigrants and English language learners to read, write and speak English, and has added mathematics to the scope of services. The AEFLA also expands the focus of English language learning and civics education to support individuals in effectively participating in education, work and civic opportunities.

## **AEFLA Purposes**

Local grants will be distributed based on the ability of the applicant to meet the following AEFLA purposes:

- assist adults to become literate and obtain the knowledge and skills necessary for employment and economic self-sufficiency;
- assist adults who are parents or family members to become a full partner in the education development of their children;
- assist adults in completing high school;
- promote transitions from adult education to postsecondary education and training through career pathways; and
- assist immigrants and English language learners improve reading, writing, math, speaking, and comprehending the English language and acquire understanding of American government, individual freedom and responsibilities of citizenship.

## **New AEFLA Activities**

The AEFLA has created three new activities that have been added to the definition of adult education and literacy services and become a part of required activities for local adult education programs under the WIOA.

1. Integrated Education and Training services that provide adult education concurrently and contextually with occupational training.
2. Workforce Readiness programs or services to help individuals gain basic academic, critical thinking, digital literacy and self-management skills.
3. IEL/Civics to provide instruction in literacy and English language acquisition; the rights and responsibilities of citizenship and civic participation; and access to workforce readiness and workforce training. Programs should be designed to prepare adults who are English language learners for, and place them in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency.

## **Eligible Applicants**

Applicants for AEFLA funding must be able to demonstrate effectiveness in providing adult education services to adult learners. Eligible applicants may include the following agencies/organizations:

- a local educational agency;
- a community-based organization or faith-based organization;
- a volunteer literacy organization;
- an institution of higher education;
- a public or private nonprofit agency;
- a library;
- a public housing authority;
- other nonprofit institutions that have the ability to provide adult education and literacy activities to eligible individuals;
- a consortium or coalition of the agencies, organizations, institutions, libraries or authorities described above; and
- a partnership between an employer and an entity described above.

## **Demonstrated Effectiveness**

An eligible provider must establish that it has demonstrated effectiveness through the following criteria: performance data on its record of improving the skills of eligible individuals, particularly eligible individuals who have low levels of literacy in the content domains of reading, writing, mathematics, English language acquisition, and other subject areas relevant to the services contained in the state’s application for funds. An eligible provider must also provide information regarding its outcomes for participants related to employment, attainment of secondary school diploma or its recognized equivalent, and transition to postsecondary education and training. There are two ways in which an eligible provider may meet the requirements in this section:

1. An eligible provider that has been funded under Title II of the WIOA must provide performance data required under Section 116 of the WIOA to demonstrate past effectiveness.
2. An eligible provider that has not been previously funded under Title II of the WIOA must provide performance data to demonstrate its past effectiveness in serving basic skills deficient eligible individuals in all of the following areas:
  - Reading
  - Writing
  - Mathematics
  - English language acquisition
  - Other subject areas relevant to the services

The following elements may be used in determining demonstrated effectiveness of eligible training providers:

1. credential attainment rate;
2. measurable skills gain;
3. effectiveness in serving employers;
4. median earning;
5. employment rate;
6. total number of individuals served; and
7. program of study completed.

## **Target Population**

The term “adult education” means services or instruction below the postsecondary level for individuals:

- who are 17 years-of-age or older;
- who are not enrolled or required to be enrolled in secondary school under state law; and
- who lack sufficient mastery of basic educational skills to function effectively in society;
  - who do not have a secondary school diploma or its recognized equivalent,
  - who have not achieved an equivalent level of education, or
  - who are unable to speak, read or write the English language.

Programs should target individuals with multiple barriers to educational attainment, including: individuals with disabilities, criminal offenders, single parents and individuals with limited English proficiency.

## **Considerations for Funding**



In awarding grants, the CSDE is required to evaluate each application based on the 13 WIOA Considerations for Funding (see Appendix M), including the following consideration: past effectiveness of the eligible provider in improving the literacy of eligible individuals to meet state-adjusted levels of performance for the primary indicators of performance (described in the WIOA Section 116), especially with respect to eligible individuals who have low levels of literacy. Past effectiveness will be evidenced by meeting or exceeding performance measures based on documentation from the Connecticut Adult Reporting System (CARS) database and annual reviews of previously funded providers, and evidenced by comparable objective performance measures demonstrating successful student outcomes for new eligible providers.

Proposals must demonstrate the following:

- an increased emphasis on the alignment of activities with regional needs identified in local plans under Title I;
- serving individuals with disabilities;
- instructional activities based on rigorous research;
- effective use of technology;
- activities that promote integrated education and training;
- classes of sufficient intensity and duration;
- measurable student outcomes;
- the incorporation of technology into instruction;
- coordination of services with local schools, colleges, one-stop centers, job-training programs and social-service agencies; and
- flexible program schedules, provision of support services and an information management system capable of reporting student outcomes and monitoring program performance.

With adoption of the Connecticut Core Standards (CCS), the new General Educational Development (GED) test and the new Web-based National External Diploma Program (NEDP), the CSDE recognizes the need to support a set of standards relevant to adult learners. In July 2014, the CSDE adopted the [College and Career Readiness \(CCR\) Standards for Adult Education](#) released by the United States Department of Education's Office of Career and Technical and Adult Education. These content standards align closely with the CCS. The CSDE's policy requires that all eligible applicants have all ABE/GED and some English as a second language (ESL) teachers trained in using the CCR standards in their curriculum. As a requirement for funding, eligible applicants who do not meet this criterion must make provisions to do so. The assessment of each grant application will involve an intense evaluation of the ability of the eligible provider to meet the literacy needs of the area and to comply with the expectations and statutes described within the WIOA.

#### **Alignment with [WDB Local Plans](#)**

1. Applicants will need to describe the alignment between their proposed services and the local WDB plan by demonstrating the extent to which the eligible provider aligns the proposed activities and services and the strategy and goals of the local plan, as well as the activities and services of the one-stop partners.
2. As required under the WIOA, as part of the evaluation process to determine whether the applications are consistent with the local plan and to make recommendations to the eligible agency to promote alignment with the local plan, local boards will conduct a required review of the local AEFLA applications.

3. After the WDB review process, a review team comprised of interagency staff and experts in each priority area will evaluate proposals responding to the RFP. Interagency participants will include representatives of CSDE, the WDBs and one-stop partners.

### **Direct and Equitable Access**

The CSDE will use the same grant announcement and application process to ensure that all eligible providers have direct and equitable access to apply for these grants under the *WIOA of 2014, Title II, Adult Education and Family Literacy Act (AEFLA), Public Law 113-128*.

**Allowable Activities:** Each eligible provider receiving a grant must use the grant to establish or operate programs that provide services and/or instruction in one or more of the following categories:

- adult education and literacy services, which may include workplace literacy services;
- adult secondary completion programs;
- family literacy services; and
- English literacy programs.

### **Special Rule for Family Literacy Programs**

Each eligible agency awarded a grant or contract shall not use any funds made available under this title for adult education and literacy activities for purpose of supporting or providing programs, services, or activities for individuals who are under the age of 17 and are enrolled or required to be enrolled in secondary school under State law, except that such agency may use funds for such purpose if such programs, services or activities are related to family literacy activities. In providing family literacy activities under this title, an eligible provider shall attempt to coordinate with programs and services that are not assisted under this title prior to using funds for adult education and literacy activities under this title for activities other than activities for eligible individuals.

### **General Education Provisions Act (GEPA) Section 427**

The purpose of the General Education Provisions Act is to ensure that, in designing their projects to be carried out with federal funds, applicants address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve high standards. Consistent with program requirements and its approved application, an applicant may use the federal funds awarded to it to eliminate barriers it identifies. Section 427 of GEPA affects all applicants for grant awards under this program. All applicants for grants must include information in their applications to address this provision in order to receive funding under this program. Applicants must complete the GEPA Attestation form found on page 33 (Appendix F).

## **D. Available Funding/Priority Areas**

The State of Connecticut will award multi-year grants to eligible providers through an RFP process to enable providers to develop, implement and improve adult education and literacy activities. The CSDE estimates that four-million dollars will be available under this initiative. The grants will range from \$30,000 to \$50,000, as outlined in each of the following priority areas:

1. Workforce Readiness
2. Integrated Education and Training (IET)
3. Transition to Postsecondary Education and/or Training
4. Family Literacy Services
5. Expansion of the NEDP

6. Programs for Corrections Education and Other Institutionalized Individuals or Special Populations
7. ELA and IEL/Civics

**The Connecticut Adult Virtual High School** is a statewide priority affecting populations in all WDB areas. For the Connecticut Adult Virtual High School, the maximum funding available will be \$300,000 for one agency to provide the services outlined in that priority area.

#### **E. Accountability Practices**

To meet federal and state accountability requirements, eligible providers must agree to implement the following student assessment and data reporting practices:

1. Use the Connecticut Competency System (CCS) to appraise and assess student progress;  
The CCS is a curriculum, instruction and assessment system that provides a comprehensive framework for teaching and assessing a common core of competencies and content standards that adults need in order to be successful in life, work and postsecondary education. The system provides a common assessment vocabulary that allows for movement within and among programs and minimizes unnecessary testing. All funded grantees are expected to adhere to the policies and procedures outlined in the [CCS Assessment Policies and Guidelines](#).  
It is the grantee's responsibility to ensure that staff is fully trained in the implementation of the CCS assessments. Training is offered through the Adult Training and Development Network (ATDN) and the CSDE. **Successful eligible applicants will be required to use CASAS eTesting, an electronic assessment tool, that has the capacity to provide immediate test-scoring and basic student-level reports. In lieu of eTesting, eligible applicants may use the TOPS Pro Enterprise system.**
2. Use CARS to collect and report on programmatic and student data, specifically the program's progress on performance levels for the Core Indicators of Performance.  
CARS is used to collect and submit individual student and program data. CARS is an Internet-based system. Users are expected to access CARS using the most current version of Internet Explorer over a dedicated, broadband Internet connection. It is the grantee's responsibility to ensure that appropriate staff is trained in the CARS system and that staff follows the policies and procedures outlined in the [CARS Policies and Guidelines](#). Training is provided by the CSDE.
3. Use the [CCR Standards for Adult Education](#) in alignment with the Federal Office of Career, Technical and Adult Education (OCTAE).  
The CSDE's policy requires that all eligible applicants have all ABE/GED and some ESL teachers trained in using the CCR standards in their curriculum. As a requirement for funding, eligible applicants who do not meet this criterion must make provisions to do so.

The CSDE expects that proposals in all priority areas will be funded according to the following considerations: regional needs, the quality of the proposals submitted and the recommendations of the review panel. The CSDE reserves the right to move funds from undersubscribed priority areas to other areas and to consider geographic distribution and access in making funding decisions. **The funding period for this grant application will be July 1, 2017, through June 30, 2018.**

## F. Performance Accountability

The WIOA has established an accountability system that requires states to set specific measures for program performance on an annual basis. At a minimum, as part of their program outcomes, programs responding to this RFP will be required to exceed the Connecticut performance levels for 2017. Performance Accountability assesses the effectiveness of grantees in achieving continuous improvement of adult education and literacy activities. The performance outcome measures consist of the following core indicators:

1. percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program;
2. percentage of program participants who are in unsubsidized employment during the fourth quarter after exit from the program;
3. median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program;
4. percentage of participants who obtain either a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent during participation in or within one year of exit from program;
5. percentage of participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment; and
6. the indicators of effectiveness in serving employers.

## G. Preparing and Submitting the Application

The proposal must be prepared in accordance with the "Proposal Guidelines and Requirements," which begin on page 21. **Two copies, single sided, with one bearing an original signature** must be submitted by mail (see address below). All proposals submitted become the property of the CSDE and become part of the public domain. The original proposal must be received by **3 p.m. on Friday, April 28, 2017**. Only proposals with an original signature will be accepted as timely filed.

EXTENSIONS SHALL NOT BE GIVEN. *See page 24 for budget information.* The document, in its entirety, including all components, must also be e-mailed by the due date to [susan.pierson@ct.gov](mailto:susan.pierson@ct.gov).

**The address for mailing or hand delivery is:**

Susan Pierson, Education Consultant  
Connecticut State Department of Education  
Bureau of Health/Nutrition, Family Services and Adult Education  
450 Columbus Boulevard, Suite 508  
Hartford, Connecticut 06103

## H. Proposal Review and Evaluation Criteria

The RFPs will be evaluated by a review team comprised of interagency staff and experts in each priority area. Interagency participants will include representatives of the CSDE, the WDB, the One-Stop and Vocational Rehabilitation partners. The review team will evaluate each proposal using a standardized evaluation form based on required federal, state and regional criteria published in the RFP, including the considerations listed in the WIOA, Title II, Section 232 as follows:

1. A description of how funds awarded under this title will be spent consistent with the requirements of this title.
2. A description of any cooperative arrangements the eligible provider has with other agencies, institutions, or organizations for the delivery of adult education and literacy activities.

3. A description of how the eligible provider will provide services in alignment with the local plan under Section 108, including how such provider will promote concurrent enrollment in programs and activities under Title I, as appropriate.
4. A description of how the eligible provider will meet the state adjusted levels of performance described in Section 116(b)(3), including how such provider will collect data to report on such performance indicators.
5. A description of how the eligible provider will fulfill one-stop partner responsibilities as described in Section 121(b)(1)(A), as appropriate.
6. A description of how the eligible provider will provide services in a manner that meets the needs of eligible individuals.
7. Information that addresses the considerations described under Section 231 (refer to Appendix M - Considerations for Funding).

An internal edit check will be conducted by CSDE staff to ensure compliance with the requirements of Title II of the WIOA, all applicable laws and RFP criteria.

**I. Direct and Equitable Access**

The CSDE will use the same grant announcement and application process to ensure that all eligible providers have direct and equitable access to apply for these grants under the WIOA. The CSDE will publish a *Notice of Availability* in all major newspapers throughout the State of Connecticut. Notice of the RFP will be mailed to all eligible applicants as defined on page 2 of this RFP.

**J. Bidders' Conference**

A bidders' conference will be publicly advertised with the Notice of Availability and will be held on Tuesday, March, 21, 2017, beginning 1 p.m., at Energize CT, 122 Universal Drive North (Target Shopping Center), North Haven, CT. The CSDE staff will be available to answer questions regarding application procedures, proposal format and funding requirements.

**K. Disposition of Applications**

The content and cost of proposals are subject to negotiation prior to the final grant. Notification of the grant award will be issued by the CSDE. The level of funding and effective dates of the project will be set forth in the notification of the grant award.

**L. Grant Awards**

The CSDE reserves the right to make grant awards under this program without discussion with the applicants. Therefore, proposals should represent the applicant's best effort from both a technical and cost standpoint. The CSDE also reserves the right to: (1) reject all proposals in a priority area; (2) conduct a more extensive proposal solicitation; (3) fund more than the stated number of proposals in any given priority area should they be deemed to have particular merit; (4) reject a lower cost proposal if the CSDE believes that a higher cost proposal more appropriately meets the stated objectives; or (5) transfer funds among priorities, if the number and quality of proposals should warrant it. In order to promote a broad distribution of funds, the CSDE may limit the number of grant awards per applicant and/or per geographic area. ALL AWARDS ARE SUBJECT TO THE AVAILABILITY OF FEDERAL FUNDS. GRANTS ARE NOT FINAL UNTIL THE AWARD LETTER IS EXECUTED.

**M. Matching Funds**

Applicants must provide 25 percent in matching funds for all federally-funded programs. Matching funds may include expenditures from state, local and other non-federal sources for adult education programs, services and activities, as defined in the WIOA. Matching funds must be available through tangible assets and can many times be in-kind services. Prospective grantees must provide clear documentation of the source of matching funds.

**N. Administrative Costs**

According to the WIOA, at least 95 percent of an eligible recipient’s federal grant award must be expended for adult education instructional activities. The remaining amount, not to exceed 5 percent, may be used for local administrative costs, including planning, administration, travel, evaluation, personnel development and coordination. In cases where the administrative cost limit is too restrictive and would provide insufficient funds for the aforementioned non-instructional purposes, a grant applicant may submit a written request to Susan Pierson, Education Consultant, to negotiate a higher administrative funding level.

**O. Obligations of Grantees**

All bidders are hereby notified that the grant to be awarded is subject to contract compliance requirements as set forth in Connecticut General Statutes (CGS), Sections 4a-60, 4a-60a, and Sections 4a-68j-1 et seq. of the Regulations of Connecticut State Agencies. Furthermore, the grantee must submit periodic reports of its employment and sub-contracting practices in such form, in such manner and in such time as may be prescribed by the Connecticut Commission on Human Rights and Opportunities.

**P. Freedom of Information Act**

All of the information contained in a proposal submitted in response to this RFP is subject to the provisions of the Freedom of Information Act, Sections 1-200 et seq. (FOIA). The FOIA declares that, except as provided by federal or state statute, records maintained or kept on file by any public agency are public records and every person has the right to inspect such records and receive a copy of such records.

**Q. Utilization of Minority Business Enterprises**

All grantees shall make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on projects subject to contract requirements. Contractors shall certify under oath to the Commission on Human Rights and Opportunities and the CSDE that the minority businesses selected as subcontractors and suppliers of materials comply with the criteria of CGS, Section 4a-60, if such businesses are not currently registered with the Department of Economic and Community Development.

## II. PRIORITY AREA SPECIFICATIONS

### SPECIFICATIONS

**Priority Area:** Workforce Readiness

**Priority Code:** AE-18-1

**Funding Available** Grants not to exceed \$40,000

**Rationale for this Priority Area:** To promote the self-sufficiency of adult education students and to strengthen their response to the needs of a rapidly changing labor market; to provide exposure to, and experience in, relevant industry sectors/career pathways as identified in the [WDB local plans](#); and to ensure that Connecticut has workers with the necessary skills, competencies and credentials to be successful in the 21<sup>st</sup> century workplace. **These funds may NOT be used for technical training, job development and/or job placement services.**

**Target Population:** The Individuals that lack sufficient mastery of basic skills, do not have a secondary diploma or its equivalent, are limited English proficient, and who would benefit from exposure to, and experience in, the exploration of, and participation in, a number of career pathways as a way to enhance employability.

**Requirements Specific to The Priority Area:** In order to respond to the evolving needs of the business community and promote individual self-sufficiency, programs will provide workforce readiness activities, including literacy instruction; development of digital literacy skills and employability skills; career exploration and development and links to employment; employment services; and other options. Workforce readiness programs must offer instruction to support transition to work, entry-level employment and reentry into the workforce for unemployed individuals.

Activities, programs or services should be designed to help an individual acquire a combination of basic academic skills, critical thinking skills, digital literacy skills and self-management skills, including competencies in:

- utilizing resources;
- using information;
- working with others;
- understanding transition and employment systems; and
- obtaining skills necessary for successful transition into, and completion of, postsecondary education, training or employment.

Programs must demonstrate a commitment to provide appropriate support services to students participating in workforce readiness activities. These services may include, but are not limited to, tutoring or other academic supports, college navigation support, career planning, transportation assistance and/or childcare.

## SPECIFICATIONS

**Priority Area:** Integrated Education and Training (IET)

**Priority Code:** AE-18-2

**Funding Available** Grants not to exceed \$35,000

*Funds in this priority may be used to plan, develop and deliver the basic education component of the Integrated Basic Education and Skills Training (I-BEST) model. **These funds may NOT be used for technical training, job development and job placement services.***

**Rationale for this Priority Area:** The I-BEST model provides a parallel, simultaneous approach that combines basic skills adult education with technical training. The model has been nationally validated as an effective method for teaching adults who need both basic skills and job skills.

**Target Population:** Students enrolled in mandated adult education classes and who are identified as having the interest and ability to participate in an IET program.

**Requirements Specific to Priority Area:** In addition to the proposal requirements and components listed above addressed under Section III of the RFP, "Proposal Guidelines and Requirements," the following requirements must be met for this priority area:

1. Technical training aligned with the identified industry sectors in the [WDB local plans](#).
2. The IET program has a single set of learning objectives that identifies specific adult education content aligned with CCR standards; workforce readiness activities; and workforce training competencies. The program activities are organized to function cooperatively.
3. Evidence of a funding commitment and an accompanying budget for the technical training component of the I-BEST project that adequately supports all expenses necessary for this component. To reiterate, local, state or federal adult education funds CANNOT support technical training (an RFP submitted without this information will not be considered for funding).
4. Detailed information on the process that will be used to develop a joint program of study that integrates basic education, skills training and digital literacy skills that addresses the following:
  - a. Who will be involved in the curriculum design process? Summarize the curricular components and demonstrate how those components will result in simultaneous and contextualized instruction.
  - b. The number of instructional/training hours per day/days per week, the program length, the program location(s), the staffing structure and how the program will be co-taught by the adult education and technical training faculty.
  - c. Partnerships, including technical training providers, WDBs, foundations and employers, and how they will provide training, job shadowing, mentoring and/or on-the-job training opportunities for adult learners.
  - d. The industry-recognized credential(s) and its alignment to labor market need and local/regional priorities and how learners will be prepared to enter the next step of an educational pathway. Indicate how this progress will be documented.



**Priority Area:            Integrated Education and Training (IET) – continued**

- e. In the newly credentialed area, details on how job development and placement services will be provided to assist learners in obtaining employment.
- f. The support services, student success strategies and transition strategies that will be integrated into the project.

## SPECIFICATIONS

**Priority Area:** Transition to Postsecondary Education and/or Training

**Priority Code:** AE-18-3

**Funding Available** Grants not to exceed \$40,000

**Rationale for this Priority Area:** To broaden opportunities for students in adult education by creating a bridge between adult education programs and postsecondary education and training opportunities.

**Target Population:** The individuals who do not have a secondary diploma or its equivalent, need additional services to transition into, and progress within, a postsecondary education or training program.

**Requirements Specific to the Priority Area:** In addition to proposal requirements addressed under Section III, "Proposal Guidelines and Requirements," the following requirements must be addressed for this priority area:

1. Written agreements (Memorandum of Understanding) between the adult education provider and its postsecondary partner or partners **must** be included in the proposal.
2. Applicants must provide evidence of an institutional commitment and capacity on the part of all partners to enhance and expand their programs of study in keeping with the requirements of this priority area.
3. The educational framework must include curriculum that is aligned with [CCR Standards for Adult Education](#), digital literacy skills and the necessary assessment criteria for entrance into post-secondary education programs.
4. Exposure to the career pathways that relate to the local WDB's identified industry sectors in its [local plan](#).
5. Utilization of the curriculum resources available through the [LINCS resource collection](#).
6. Applicants must implement a referral process for students that have 16 or more credits; students with a minimum score of 165 on each test subject area on the GED® Ready Practice Test; students in the NEDP who are in the portfolio review stage of the program; or advanced-level ESL students.
7. Partners on both the adult education and postsecondary sides must be consistently represented at the transition meetings organized by the CSDE.
8. Partnerships between adult education and postsecondary education and training programs must provide at a minimum:
  - academic and career-related counseling combined with other student support services;
  - academic assessments in line with the receiving institution to ensure student readiness for enrollment; and
  - facilitation of the admissions and financial aid process for transition students.
9. Classes of sufficient intensity and duration to ensure substantial learning gains and achievement of relevant performance measures.

## SPECIFICATIONS

**Priority Area:** Family Literacy Services

**Priority Code:** AE-18-4

**Funding Available:** Grants not to exceed \$50,000

**Rationale for this Priority Area:** To develop and expand programs that integrate the following activities: parent literacy training that leads to economic self-sufficiency; age-appropriate education for children; training for parents regarding how to be the primary teacher and full partners in the education of their children; and interactive literacy activities between parents and children. Family literacy activities are services that make sustainable improvements in the economic prospects for a family and better enable parents or family members to support their children’s learning needs.

**Target Population:** Parents of children from birth to Grade three, who lack sufficient mastery of basic skills; who are unable to speak, read or write the English language effectively enough to assist their children; or who do not have a high school diploma or its equivalent. **Preference will be given to programs that collaborate with a Family Resource Center or other community agency.**

**Requirements Specific to Priority Area:** In addition to proposal requirements addressed under Section III of the RFP, “Proposal Guidelines and Requirements” and the **Special Rule for Family Literacy Programs found on Page 5**, the following additional requirements must also be addressed for this priority area:

1. Parent or family adult education and literacy activities that lead to readiness for postsecondary education or training, career advancement and economic self-sufficiency.
2. Interactive literacy activities between parents or family members and their children.
3. Training for parents or family members regarding how to be the primary teacher for their children and full partners in the education of their children.
4. Parent literacy training that leads to economic self-sufficiency.
5. Age-appropriate education to prepare children for success in school and life experiences.
6. Development of digital literacy skills.
7. The integration of CCR standards.

Family Literacy Services are to benefit the child, the parent and the community. Program services will focus on enabling parents to become full partners in the education of their children and providing workforce readiness activities. Services will be of sufficient intensity and duration to make sustainable changes in the family.

## SPECIFICATIONS

**Priority Area:**           **Expansion of the National External Diploma Program (NEDP)**

**Priority Code:**         AE-18-5

**Funding Available:**   Grants not to exceed \$30,000

**Rationale for this Priority Area:** To increase the accessibility of the NEDP to an adult population in Connecticut that lacks a high school diploma. The NEDP provides a unique way for adults to earn a high school diploma; allows adults to demonstrate their high school-level skills by applying their life experiences in real-life situations; and awards a traditional high school diploma to adults who have acquired many of their high school-level abilities through work, family and community experiences.

**Target Population:** Individuals who do not have a secondary diploma or its equivalent.

**Requirements Specific to the Priority Area:** In addition to proposal requirements addressed under Section II “Proposal Guidelines and Requirements,” the following requirements must be addressed for this priority area:

1. The program must provide a letter of agreement from the local superintendent of the district to award a local high school diploma to graduates upon satisfactory completion of the NEDP. This diploma is to have no qualifying language and must be identical to the diploma awarded in the Adult Credit Diploma Program.
2. Program must identify a minimum of three certified teachers who are trained in the three-day advisor/assessor training or be willing to participate in the training. Three trained NEDP advisor/assessors are necessary to maintain an NEDP site.
3. A dedicated space with computer accessibility must be identified to hold one-on-one private sessions with students and for maintaining materials.
4. Program must be active in NEDP (i.e., have at least five graduates per year) to maintain funding and to be considered an NEDP site.
5. All NEDP advisor/assessors are expected to be consistently working in the NEDP and are required to attend one annual meeting to remain current in state and national policies and procedures. In addition, advisor/assessors must participate in any other NEDP required trainings which are requested by CSDE.
6. Must have representation at the biannual National External Diploma Program Council (NEDPC) Conference.
7. A sustainability plan for the NEDP must be provided within the proposal.
8. Provide evidence of true expansion of currently existing NEDP.

## SPECIFICATIONS

**Priority Area:** Corrections Education and Other Institutionalized Individuals or Special Populations

**Priority Code:** AE-18-6

**Funding Available:** Grants not to exceed \$30,000

**Rationale for this Priority Area:** To increase access to adult education programs and services for adults with multiple barriers to education.

**Target Population:** Individuals within a correctional institution (priority should be given to serving individuals who are likely to leave the correctional institution within five years of participation in the program); individuals with disabilities; individuals residing in a halfway house, homeless shelter or other nontraditional setting who lack basic skills, do not have a secondary diploma or its equivalent, or who are unable to speak, read or write the English language.

**Requirements Specific to the Priority Area:** In addition to proposal requirements addressed under Section III, "Proposal Guidelines and Requirements," the following requirements must be addressed for this priority area according to the nontraditional environment in which the project will take place and the parameters of the target population:

1. Providers must either implement programs that deliver innovative, nontraditional instructional approaches that include comprehensive counseling and support services; or providers must deliver instructional programs, comprehensive counseling and support services that take place within a nontraditional setting/site.
2. Providers must provide documentation of coordination and collaboration with the host institution/site, if applicable, to ensure program integration and support.
3. Providers must offer **one** of the following programs:
  - a) A basic skills or ESL program taught in a life skills context that will provide individuals with the skills necessary to function in the community, advocate for themselves and access appropriate community resources.
  - b) A basic skills, ESL or secondary completion program, *taught in an employability context*, that will provide individuals with the skills necessary to function in the workplace and transition to employment and continued education.
  - c) Funds may also be used for obtaining a high school credential, and/or participation in IET, career pathways and transition to reentry initiatives and other post release services with the goal of reducing recidivism. These funds may not be used to support the cost of technical training.
4. Programs must integrate digital literacy into the core curriculum to create opportunities for authentic research, writing and communication, while encouraging critical thinking, decision-making and problem-solving skills.
5. Programs must demonstrate how they will collaborate with the Department of Rehabilitation Services for support and resources, as well as the American Jobs Center in their area to ensure

**Priority Area: Corrections Education and Other Institutionalized Individuals or Special Populations – continued**

delivery of appropriate services such as participant referral, job search, workshops and/or career information.

*Special Note: Funds used for programs for criminal offenders in correctional institutions, or for other institutionalized individuals, can be academic programs in basic education, special education, English literacy and secondary school completion. A “criminal offender” is defined as any individual who is charged with or convicted of any criminal offense. The term “correctional institution” is defined as any prison, jail, reformatory, work farm, detention center, half-way house, community-based rehabilitation center, or other similar institution designed for the confinement or rehabilitation of criminal offenders.*

## SPECIFICATIONS

**Priority Area:** English Language Acquisition (ELA) and Integrated English Literacy and Civics Education (IEL/Civics)

**Priority Code:** AE-18-7

**Funding Available:** Grants not to exceed \$45,000

**Rationale for this Priority Area:** To assist individuals who must be able to read and communicate in English in order to understand and navigate governmental, educational, workplace systems and key American institutions.

**Target Population:** Immigrants and other limited English proficient individuals.

**English Language Acquisition Activities:** English language acquisition (ELA) instruction is designed for adults who have limited proficiency in the English language or whose native language is not English. In order to find or maintain employment, attain citizenship, become more involved with their children's schooling and make greater use of community resources, ELA programs assist individuals to improve their English skills in listening, speaking, reading and writing. Instruction is provided in English as a unifying means of serving the broad ethnic diversity of limited-English-speaking adults. ELA outcomes are expected to include:

- attainment of a secondary school diploma or its recognized equivalent;
- transition to postsecondary education and training or employment; and
- Americanization/Citizenship instruction designed for foreign-born adults who wish to become United States citizens.

**IEL/Civics Education:** The term "IEL/Civics education" means education services provided to English language learners who are adults, *including professionals with degrees and credentials in their native countries*, that enables such adults to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers and citizens in the United States. Such services shall include instruction in literacy and English language acquisition and instruction on the rights and responsibilities of citizenship and civic participation, and may include workforce training. For the purpose of educational and career advancement, IEL/Civics also provides adult education and literacy activities concurrently and contextually with workforce readiness activities and workforce training for a specific occupation or occupational cluster.

IEL/Civics programs must offer contextualized instruction in literacy and English language acquisition; the rights and responsibilities of citizenship; naturalization procedures; civic participation and U.S. history and government as essential components of the program and in addition, must address the following:

1. program design and goals that focus on preparing adults for employment in in-demand industries and occupations that leads to economic self-sufficiency;
2. curriculum focus that will provide information and support in the skills necessary for the workplace;

**Priority Area: English Language Acquisition (ELA) and Integrated English Literacy and Civics Education (IEL/Civics) – continued**

3. coordination with the local workforce system and activities provided in combination with IET activities;
4. improvement of literacy skills including speaking, reading, writing and numeracy in order to provide learners with the skills to apply English and mathematics accurately and appropriately in a variety of home, community, workplace and academic settings; and
5. opportunities for experiential learning in which participants are actively engaged in community pursuits are included in the program design.

Not all students are required to be enrolled in IET programs. Services must be provided concurrently and contextually such that within the overall scope of a particular program, the adult education and literacy activities, workforce readiness and workforce training:

- are each of sufficient intensity and quality, and based on the most rigorous research available, particularly with respect to improving reading, writing, mathematics and English proficiency of eligible individuals;
- occur simultaneously; and
- use occupationally relevant instructional materials.

*This funding should not be used to expand or supplant your English Language Acquisition program. IEL/Civics' programs should contain (see Scope of Work) multiple components in combination with IET activities.*



## SPECIFICATIONS

**Priority Area:** Connecticut Adult Virtual High School

**Priority Code:** AE-18-8

**Funding Available:** Up to \$300,000 for one grant

**Rationale for this Priority Area:** To increase access to online learning opportunities for all learners and promote efficiencies of scale, and reduce duplication of services by developing and supporting a collaborative statewide model.

**Target Population:** Individuals who do not have a secondary diploma or its equivalent.

**Requirements Specific to Priority Area:** In addition to the proposal requirements addressed under "Proposal Guidelines and Requirements," the successful applicant will be expected to work closely with the bureau representative to conduct the following activities in accordance with all the policies outlined at <http://www.ctvhs.org>:

1. Development of an annual course schedule for students in the Adult High School Credit Diploma (AHSCD) and the GED programs. Course development should consider the industry sectors identified by the local [WDB local plans](#).
2. The applicant agency must increase the number of courses offered each term and ensure that they are aligned with the [CCR Standards for Adult Education](#) and the Comprehensive Adult Student Assessment System (CASAS) competencies and content standards.
3. Teachers with the appropriate Connecticut certification must be hired.
4. Teachers must be compensated based on student enrollment and the number of courses taught.
5. Students from across the state will be able to register for the online courses.
6. Online tools and support services for students and staff, including tutoring and help desk must be provided.
7. All necessary professional development for teachers, mentors, online learning coordinators, administrators and counselors must be designed and made available.
8. Staff representation from participating providers on an advisory board, a content committee, a research and evaluation committee and a support services committee must be ensured.
9. A formal process coupled with standards for the ongoing review, approval and revision of adult credit courses must be developed.
10. Ongoing research and evaluation that gathers and appraises data and recommends strategies for improvement must be conducted and presented to the advisory board.

### III. Proposal Guidelines and Requirements

The proposal must be typewritten and double-spaced, on single-sided, unlined white paper (8 ½" by 11"), **unstapled**, and with a font set at a 12-point size. The CSDE must receive, by the deadline date, one original copy, which must bear original signature(s) of the authorized official(s) of the submitting agency on the cover page, the Statement of Assurances, and the Certification Regarding Debarment and Suspension and one **electronic copy e-mailed to [susan.pierson@ct.gov](mailto:susan.pierson@ct.gov)**.

The proposal must include a table of contents that references the responses to the required information. Please number pages consecutively, beginning with the abstract page. All proposals must adhere to the format described in this section. Include any additional information, such as tables or charts, which can simplify the evaluators' understanding of the submitted project.

Applicant agencies will be able to apply for more than one priority area within the application. Each priority area for which the agency is applying must have a project plan, which includes all of the elements listed below. The project plan for each priority area must be limited to a **total of three pages**. To be effectively assessed by the readers, the plan must be sufficient in scope to ensure that all necessary information is included for the proposal. The project plans for each priority area must follow the proposal cover page in order.

#### A. Proposal Cover

A template for the cover page is provided in Appendix A. The cover page must contain all the required information, the signature of the authorized official of the submitting agency, and the approval date of the board of education.

#### B. Project Plan

For each priority area, there must be an individual project plan, which is limited to **two pages in addition to the Proposal Cover Page**. The Project Plan, as outlined in Appendices, must have the following:

- **Proposal Abstract:** Provide a program abstract which is described in Appendix B. The abstract must depict the major components of the project design and not exceed one page.
- **Statement of Need/Target Population:** Provide a statement of need for the project within the community and the industry sectors as identified in the [WDB local plans](#). Your description should justify the program you are proposing and the current gaps in access and/or service in the applicant's delivery of adult education services. In addition, the proposal must describe the specific target population to be served.
- **Project Design:** Provide a succinct description of the design of the project you are proposing, why it is appropriate to meet the stated objectives and how it will build on the organization's existing programs.
- **Project Objectives:** State clearly the project's objectives, activities/strategies, measurable outcomes and evaluation method. Include a timeline depicting each phase

or aspect of the program. The use of additional diagrams or tables may be effective for this purpose.

- **Curriculum:** Describe the curriculum to be used for the proposed project. Illustrate how writing, reading and mathematics instruction will be integrated into the curriculum to improve student achievement and how digital literacy will be incorporated into the classroom. Indicate that projected activities and instruction are built on a strong foundation of research and effective educational practice and of sufficient intensity and duration to substantially impact student learning.
- **Project Site(s) and Staff:** Identify the site(s) in which this project would be implemented, affirming the availability and appropriateness for use. Efforts must be made to secure public facilities, which involve no cost to the state. If you are proposing to use facilities other than your own, a letter of support must be included. All programs and instructional sites must be accessible to persons with disabilities. Staffing must be suitable for the scope of the project.
- **Recruitment/Retention Plan:** Describe the eligible provider's recruitment and retention plan for those individuals who lack the level of basic skills and literacy necessary to be effective parents, citizens and employees, and how that plan will focus on long-term program development and community responsiveness rather than solely on current year issues and achievements.
- **Support Services:** Describe any support services that will be offered to program participants and/or the referral process used to access support services for participants in order to minimize barriers to their successful learning experiences (e.g., transportation, child care, etc.).
- **Evaluation:** Describe what evaluation process will be used and how it will impact program progress and improvement.
- **Prior Program Performance with Target Population:** Provide information on the success of prior educational and/or support interventions with the specific population and services that the priority area is to address.

### C. Organization's Background/Program Management

Applicants must provide information on the following:

- background and experience of the applicant agency, including services to primary population(s) and geographic areas served;
- management of the project in order to ensure the attainment of successful outcomes;
- project staff, responsibilities and positions for the proposed project with appropriate adult education certification where applicable; and
- professional development or training activities which will be funded.

### D. Prior Program Performance/Accomplishments

Applicants must describe their overall programs' past performance with the target population. Agencies receiving funds pursuant to the WIOA are required to demonstrate successful past performance in delivering a similar program or serving a similar population. Programs that received federal or state adult education funding from the CSDE in FY 2015 and FY 2016 must include their Adult Education Program Profiles for 2015 and 2016 and the

Provider Performance Summary for 2015 and 2016. All other programs must complete Appendix C, including a brief narrative that supports the agency's past performance. The CSDE reserves the right to verify information.

**E. Interagency Collaboration**

Applicants shall include a description of existing or planned coordination with other programs, agencies and/or services, which provides specific information delineating the role and responsibilities to be carried out by the collaborating agencies. Programs will document how they will collaborate with the American Jobs Center, Connecticut Department of Rehabilitation Services and the WDB in their area. At least five letters of collaboration (Appendix D) must be completed and included with the proposal, one of which must be from the WDB in the applicant agency's area (Appendix N).

**F. Future Funding**

Applicants must include an explanation of the organization's plans and ideas for sustaining the project after the one-year funding period.

**G. Attestations**

The project director must sign and date the Attestations Form (Appendix E).

**H. General Education Provisions Act (GEPA)**

Applicants must provide a description of the steps they intend to take to ensure equitable access to, and equitable participation in, the project to be conducted with federal adult education assistance. In order to overcome barriers to equitable participation, including barriers based on gender, race, color, national origin, disability and age, the special needs of students, teachers and other program beneficiaries must be addressed. The description must address those barriers that are applicable to your circumstances (e.g., making materials available on audio tape, distributing a brochure printed in the native language of the population you plan to serve by the project). Complete the GEPA Attestation Form (Appendix F).

**I. Edit Check:** Complete the edit check form found in Appendix G.

**J. Budget Form ED-114**

The Budget Form ED-114 can be found on the Connecticut State Department of Education's Web site at [CT Adult Education Federal Grants](#).

Applicants will use this form to provide a budget for the total allocation requested within the proposal (other than IEL/Civics). The applicant must complete the rows underneath the total line to indicate the amount requested per priority area. For the two priority areas of Workforce Readiness and Family Literacy Services, the applicant shall indicate whether the program will target an ABE, ESL (as identified by E in the last letter of the code below), or a secondary school completion population (as identified by S in the last letter of the code below).

Example is in the following table:

<b>Code</b>	<b>Priority Area</b>	<b>Total</b>
<b>XWFE</b>	Workforce Readiness – ESL, ABE/GED	
<b>XWFS</b>	Workforce Readiness – Career Development Plan (CDP), NEDP	
<b>XFLE</b>	Family Literacy Services – ESL, ABE, GED	
<b>XFLS</b>	Family Literacy Services – CDP, NEDP	

The following budget templates can be found at [CT Adult Education Federal Grants](#):

- budget narrative for the comprehensive ED-114. Applicants shall provide information (refer to the [Budget Buddy](#)) per line item as to the anticipated total allocation across all identified priority areas;
- budget narrative for the matching funds of the comprehensive ED-114. The total match must be 25 percent of the total amount requested within the RFP;
- the budget narrative for the ED-114 for the IEL/Civics priority area; and
- the budget narrative for IEL/Civics ED-114 matching funds.

**Please Note:** The total must be 25 percent of the total amount requested within the RFP.

All budget forms must be submitted electronically to [susan.pierson@ct.gov](mailto:susan.pierson@ct.gov) using the Excel worksheets, along with the grant proposal(s).

Applicants anticipating administrative costs in excess of 5 percent must submit a request to negotiate a waiver for their proposal. As described on page 9, local matching funds of 25 percent must be provided for all projects. Other federal funds are not eligible for meeting match requirements.

**K. Indirect Costs**

The CSDE has approved restricted and unrestricted indirect rates for the Regional Educational Service Centers (RESCs) and some local education agencies. Only those agencies which have an approved indirect rate on file at the CSDE may apply costs to line item 940 (Indirect Costs) and they must use the **Restricted Indirect Rate**. These rates may be used to compute indirect costs for grants and contracts funded by the U.S. Department of Education (USDOE), as well as other federal and private agencies. The rates are to be applied to a base composed of total direct costs less items of equipment, alterations and renovation, and subcontracts in excess of \$25,000 and flow through grants. When using prepayment grant budgets and expenditure statements, indirect overhead may only be budgeted and reported using line item 940 and cannot be combined with any other line item.

**L. Statement of Assurances**

The original copy of the proposal submitted must bear an original signature(s) of the authorized official(s) of the applicant on the Statement of Assurances (Appendix J).

**M. Certifications**

The original copy of the proposal submitted must bear an original signature(s) of the authorized official(s) of the applicant on the Certification Regarding Debarment and Suspension, Ineligibility and Voluntary Exclusion (Appendix K).

**N. Affirmative Action Packet**

Complete, as appropriate, the information required in Appendix L. If the applicant agency has an Affirmative Action Plan on file with the Office of Affirmative Action, they need to only complete page 65.

**O. Date of Local Board or Agency Acceptance**

Board approval **must be obtained prior** to submitting the proposal on the established due date. If this is not possible, approval must be forwarded no later than 30 days after due date.

## IV. APPENDICES

### APPENDIX A

#### PROPOSAL COVER SHEET FOR 2017 – 2018 ADULT EDUCATION PROGRAM ENHANCEMENT PROJECTS Bureau of Health/Nutrition, Family Services and Adult Education

- Title of Grant:** Be concise; avoid highly technical terms.
- Applicant Organization:** Name and address of applicant agency or organization.
- Initiated By:** Full name, position, telephone number, extension and e-mail address of person responsible for developing the proposal.
- Project Director:** Full name, position, address, telephone number, extension and e-mail address of person who will be in charge of the project.
- Submitted By:** If it is selected, full name, position, telephone number and extension of person authorized to commit agency to the project (e.g., Superintendent of Schools, Chief Executive Officer of agency).
- Signature of Superintendent of Schools or Chief Executive Officer of Agency:** \_\_\_\_\_

Priority Area	Code	Funds Requested	Matching Funds
Workforce Readiness – Elementary, ESL and ABE/GED	AE-18-1E		
Workforce Readiness – CDP, NEDP	AE-18-1S		
Integrated Education and Training (IET)	AE-18-2S		
Transition to Postsecondary Education and/or Training	AE-18-3S		
Family Literacy Services – Elementary, ESL and ABE/GED	AE-18-4E		
Family Literacy Services – CDP, NEDP	AE-18-4S		
Expansion of the NEDP	AE-18-5		
Corrections Education and Other Institutionalized Individuals or Special Populations	AE-18-6		
English Language Acquisition (ELA) Integrated English Literacy and Civics Education (IEL/Civics)	AE-18-7		
Connecticut Adult Virtual High School	AE-18-8		
<b>Total Funds Requested</b>			
<b>Date Submitted:</b>	<b>Date of Board or Agency Approval:</b>		

**APPENDIX B  
PRIORITY AREA ABSTRACT**

Each of the priority areas within the grant application must have its own abstract. Abstract must be one page – no exceptions.

<b>Priority Area Name:</b>	<b>Project Title:</b>
<b>Applicant Organization:</b>	<b>Project Director:</b>
<b>Beginning Date: 7/1/2017</b>	<b>End Date: 6/30/18</b>
<b>Requested Federal Funds:</b>	<b>Program Area : (ABE, ESL, GED, CDP, NEDP, Citizenship):</b>
<b>Planned Number of Students:</b>	<b>Cost Per Student:</b>

**STATEMENT OF NEED/TARGET POPULATION:**

**PROJECT DESIGN: (Give a brief description of the overall design; indicate how this project aligns with community needs and the industry sectors identified by your local WDB.)**

**PROJECT OBJECTIVES: (Briefly state the objectives of the project.)**



## APPENDIX B-1

### PRIORITY AREA PROJECT PLAN

**Project Plan:** Each of the priority areas within the grant application must have an individual project plan, which is limited to THREE pages, including the Priority Area Abstract.

**Include in the Abstract:**

- **Statement of Need/Target Population:** A statement of need for the project within the community and the service delivery area. Your description must justify the program you are proposing, the current gaps in access and/or service in the applicant's delivery of adult education services. In addition, the proposal must describe the specific target population to be served.
- **Project Design:** A succinct description of the design of the project you are proposing, why it is appropriate to meet the objectives and how it will build on the organization's existing programs.
- **Project Objectives:** Clearly stated project objectives, activities/strategies, measurable outcomes and evaluation method. Include a timeline depicting each phase or aspect of the program. The use of additional diagrams or tables may be effective for this purpose.

**In addition to the Priority Area Abstract, the Plan must include the following:**

- **Curriculum:** A description of the curriculum to be used for the proposed project. Illustrate how writing, reading and mathematics instruction, aligned with CCR standards, will be integrated into the curriculum to improve student achievement and how digital literacy will be incorporated into the classroom. Indicate that projected activities and instruction are built on a strong foundation of research and effective educational practice; sufficient intensity; and duration to substantially impact student learning.
- **Project Site(s) and Staff:** The site(s) in which this project would be implemented, affirming the availability and appropriateness for use. Efforts must be made to secure public facilities, which involve no cost to the state. If you are proposing to use facilities other than your own, a letter of support must be included. All programs and instructional sites must be accessible to persons with disabilities. Staffing must be suitable for the scope of the project.
- **Support Services:** In order to minimize barriers to their successful learning experiences (e.g., transportation, child care, etc.), a description of any support services that will be offered to program participants and/or the referral process used to access support services for participants.
- **Evaluation:** A description of the evaluation process that will be used and how it will impact program progress and improvement.
- **Prior Program Performance with Target Population:** Information on the success of its prior educational and/or support interventions with the specific population and services that the priority area is to address.

**APPENDIX C**

**PRIOR PROGRAM PERFORMANCE/ACCOMPLISHMENTS FOR NEW PROVIDERS\***

This grid must be fully completed and attached to your proposal. List special grant funded programs related to this proposal within the last three years. If necessary, use more pages.

**Applicant:** \_\_\_\_\_ **Title of Program:** \_\_\_\_\_

Title of Previous Program(s)	Date of Grant	Funding Source and Amount	Funding Institution Contact Person, Phone #	Target Population	Type of Program/ Activities	Total Number Enrolled/ Planned/ Actual	Documentation of Accomplishments (Be Specific)*

Note: The CSDE reserves the right to verify information.

\*Examples: Numbers and/or percentages relating to academic gains, pre-and post-tests, moving to a higher level, entering employment/higher education/advanced training.

**APPENDIX D**

**INTERAGENCY COLLABORATION  
LETTER OF AGREEMENT** *(This is not a Memorandum of Understanding)*

\_\_\_\_\_ (name of proposing agency) has submitted a proposal for the \_\_\_\_\_ (name of program). This program will

\_\_\_\_\_  
\_\_\_\_\_  
(brief information about program)

For fiscal year 2017-18, we would like to enter into a collaborative agreement with your agency for the following services.

**Responsibilities of Proposing Agency:**

*For this application, describe the specific activity to be provided by the proposing agency, the number of people to be served, the location of the activity, time period, etc.*

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Responsibilities of Collaborating Agency:**

*For this application, describe the specific activity to be provided by the collaborating agency, the number of people to be served, the location of the activity, time period and cost, etc. If a workplace program, the employer must list contribution; e.g., employee paid release time.*

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

<b>PROPOSING AGENCY</b>
_____ Name: _____ Title: _____ Address: _____
(Signature)
Date: _____

<b>COLLABORATING AGENCY</b>
_____ Name: _____ Title: _____ Address: _____
(Signature)
Date: _____

**APPENDIX D-1**  
**Workforce Development Board**  
**INTERAGENCY COLLABORATION**  
**LETTER OF AGREEMENT**

\_\_\_\_\_ (name of proposing agency) has submitted a proposal for the  
 \_\_\_\_\_ (name of program). This program will  
 \_\_\_\_\_ (brief  
 information about program)

For fiscal year 2017-18, we would like to enter into a collaborative agreement with your agency for the following services:

**Responsibilities of Proposing Agency:**

*For this application, describe the specific activity to be provided by the proposing agency, the number of people to be served, the location of the activity, time period, etc.*

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Responsibilities of Local Workforce Board:**

*For this application, describe the specific activity to be provided by the WDB, the number of people to be served, the location of the activity, time period and cost, etc. If a workplace program, the employer must list contribution; e.g., employee paid release time.*

\_\_\_\_\_  
 \_\_\_\_\_

<b>PROPOSING AGENCY</b>	<b>WORKFORCE DEVELOPMENT BOARD</b>
_____ Name: _____ Title: _____ Address: _____ _____	_____ Name: _____ Title: _____ Address: _____ _____
(Signature)	(Signature)

*For Local Workforce Board only:*  
 Grant Proposal Aligned with Local Board Plan: Yes \_\_\_\_\_ No \_\_\_\_\_  
 Comments: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Signed: \_\_\_\_\_ Title: \_\_\_\_\_

**APPENDIX E  
ATTESTATIONS**

This attestation affirms that \_\_\_\_\_ will adhere  
(Applicant Agency)  
to the following requirements requested by the CSDE in the RFP titled *Program Enhancement Projects (PEP)* should this proposal be funded.

- Implement the CCS and ensure that appropriate staff participates in training as necessary. Eligible applicants must provide evidence that CASAS eTesting will be implemented OR use of TOPS Pro Enterprise for electronic data collection.
- Align project curriculum with the CCR standards.
- Align proposed project with the industry sectors identified by the WDB in its local plan.
- Collaborate with the Department of Rehabilitation Services. Check Web site for local/regional contact information at [Department of Rehabilitation Services](#).
- Maintain the CARS, collect and submit comprehensive and accurate data in a timely fashion for each program participant and as necessary, ensure that appropriate staff participate in training.
- Ensure that the proposed program design is of sufficient intensity and duration to meet the planned student outcomes.
- Maintain complete management control of the grant. The CSDE staff may be consulted for their technical assistance; however, they will not be directly responsible for the solicitation of sub-grantees or vendors, nor will they be directly involved in the expenditure and payment of funds to sub-grantees or vendors.
- Consult with staff listed in narrative to ensure their involvement in the design of the proposed project.
- Ensure that all teaching staff possesses the appropriate adult education certification.
- Ensure that the proposed curriculum is based upon research and effective educational practice as evidenced by program design.
- Ensure that all "Considerations for Funding" as described in Appendix M have been reviewed and are addressed.
- Ensure that any presenters and/or sub-contractors hired will be secured through an open and competitive process with selection based on qualifications, demonstrated ability, prior experience and fees charged. Minority contractors should be encouraged to bid for such subcontract.
- Ensure that federal funds will not be commingled with state or local funds. Costs proposed are those which are above and beyond normal operational costs and are attributed to the project described in the proposal.
- Disclose a) the dollar amount of federal funds for the project; and b) the percentage of the total cost of the project that will be financed with federal funds in any statements, press releases, bid solicitations, brochures and other documents describing this project.
- Disclose whether this or a similar proposal has been submitted to this or any other agency/ organization for funding. If so, please fill in the name of the other funding agency. \_\_\_\_\_.
- Submit the required number of final reports to the CSDE within sixty (60) days after the completion of the project. The report will include any product that was developed and a description of the process used to develop the product.
- Submit other reports, as required, on forms provided by the CSDE.
- Participate in dissemination activities and share materials, procedures or findings supported through this grant.

Project Director: (Name and Title) \_\_\_\_\_

Signature of Project Director: \_\_\_\_\_ Date: \_\_\_\_\_

**APPENDIX F**

**GENERAL EDUCATION PROVISIONS ACT (GEPA) SEC. 427 ATTESTATION**

**WORKFORCE INNOVATION AND OPPORTUNITY ACT, TITLE II – ADULT EDUCATION AND FAMILY LITERACY**

This attestation outlines the steps that \_\_\_\_\_ will ensure be taken  
(Applicant Agency)  
should the \_\_\_\_\_ project be funded.  
(Title of Project)

The purpose of this requirement is to assist the United States Department of Education in implementing its mission to ensure equal access to education and to promote educational excellence.

The statute highlights six types of barriers that can impede equitable access or participation: gender; race; national origin; color; disability; or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc., from such access or participation in the federally-funded project or activity. Please describe the steps applicable to your project that you will take to comply with the GEPA requirements.

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Project Director: (Name and Title) \_\_\_\_\_

Signature of Project Director: \_\_\_\_\_ Date: \_\_\_\_\_

**APPENDIX G**

**PROPOSAL EDIT CHECK  
2017-2018 ADULT EDUCATION PROGRAM ENHANCEMENT PROJECTS**

Applicant Agency: \_\_\_\_\_ Priority Area: \_\_\_\_\_  
Project Title: \_\_\_\_\_

Please submit this edit check with your proposal to the CSDE.

Item	Yes	No	Page #
Table of Contents is included.			
Cover Page is correctly completed and signed with date of Board/Agency approval.			
Priority Area Project Plan is included for each priority area and contains all components outlined on pages 21-25.			
Program Profile and Provider Performance Summary included or Appendix C completed.			
Interagency collaboration forms (minimum of five) are completed and signed.			
GEPA form is completed and signed.			
Attestation form is checked and signed.			
ED-114 Budget(s) is completed electronically and hard copy submitted by mail with <b>one original copy</b> of proposal.			
ED-114 Budget(s) and completed proposal submitted to CSDE electronically.			
Budget Narratives are completed and accurate.			
Matching funds equal at least 25 percent of total grant.			
Administration costs are within 5 percent guideline. If not, waiver request is included.			
<b>The following proposal requirements are addressed:</b>			
Assurances signed.			
Certification Regarding Debarment and Suspension requirements is signed.			
Appropriate documents in Affirmative Action packet are completed and signed.			
Collaboration Agreements completed and signed.			

Edit Check Completed by:

Name: \_\_\_\_\_  
Title: \_\_\_\_\_ Date: \_\_\_\_\_

**Appendix H**  
**Proposal Elements Check Off and Summary**  
**(Internal Use Only)**

Eligible Applicant: \_\_\_\_\_

Required Information	Yes	No
<b>COVER PAGE:</b> Addresses all information, signed, with Board/Agency approval.		
<b>PRORITY AREA ABSTRACT:</b> Addresses each item as outlined and provides a brief summary of objectives and program design for each priority area.		
<b>PRORITY AREA PLAN:</b> Addresses each of the components within the plan; there is a plan for each appropriate priority area for which eligible entity applied.		
<b>EDIT CHECK:</b> Completed and signed.		
<b>ATTESTATION:</b> All items completed and signed.		
<b>ASSURANCES:</b> Signed.		
<b>CERTIFICATIONS:</b> Signed.		
<b>AFFIRMATIVE ACTION PACKET:</b> Completed and signed.		
<b>GEPA:</b> Includes completed form that describes efforts to reduce barriers and ensure equitable access and participation.		
<b>Memorandum of Understanding(s):</b> If applying for Transition to Postsecondary funding, completed and submitted.		
<b>INTERAGENCY COLLABORATION AGREEMENT</b> (minimum of five)		
<b>WORKFORCE DEVELOPMENT BOARD LOCAL PLAN:</b> Demonstrates alignment with the industry sectors as identified in the board's local plan.		
Evidence provided that eligible applicants will convert to CASAS e-testing or TOPS Pro Enterprise.		
<b>BUDGET:</b>		
<ul style="list-style-type: none"> <li>• Comprehensive Budget ED-114 completed accurately.</li> </ul>		
<ul style="list-style-type: none"> <li>• If applicable, IEL/Civics ED-114 completed accurately.</li> </ul>		
<ul style="list-style-type: none"> <li>• As applicable, provides a complete and accurate budget narrative for the matching funds (25 percent) for Comprehensive and IEL/Civics budgets.</li> </ul>		
<ul style="list-style-type: none"> <li>• Demonstrates that administrative funds are within 5 percent cap or includes a request for a waiver.</li> </ul>		



**APPENDIX H-1  
EVALUATION WORKSHEET**

**Scoring Rubric**

<b>4</b> <b>Excellent</b> (well-conceived and thoroughly developed)	<b>3</b> <b>Good</b> (clear and complete)	<b>2</b> <b>Marginal</b> (requires additional clarification)	<b>1</b> <b>Weak</b> (lacks sufficient information)	<b>0</b> <b>Inadequate</b> (information not provided)
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*Reviewers must only use the above number references. No half scores or other numbers.*

PROGRAM COMPONENT	SCORE Max pts – 4 pts each row	READER'S COMMENTS
<b>ORGANIZATION'S BACKGROUND/PROJECT MANAGEMENT</b>		
1. Describes administrative structure, background and experience of persons conducting the program.		
2. Describes the management information system that will be used and demonstrates program capacity to report student outcomes and monitor program performance.		
<b>PRIOR PERFORMANCE</b>		
1. Demonstrates past effectiveness in serving a similar target population or delivering a similar program. Provides appropriate documentation (e.g., Provider Performance Summary, Program Profile or Appendix C).		
<b>COLLABORATION</b>		
1. Includes collaboration appropriate to priority areas with completed forms from Appendix D. Transition to Postsecondary Education requires a completed Memorandum of Understanding with the partner institution.		
2. Collaboration with the Workforce Development Board (WDB) and One-Stop Operator(s) is included (Appendix D-1).		
<b>BUDGET</b>		
1. Provides a complete and accurate ED-114 (comprehensive and IEL/Civics), budget worksheet(s) and budget narrative(s).		
2. Budget is reasonable for the scope of the project.		

<b>TOTAL POINTS (MAXIMUM POINTS AVAILABLE FOR THIS PAGE IS 28)*</b>		
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**\*Transfer this total to Appendix H-2 Evaluation Criteria page**

**READER'S NAME:** \_\_\_\_\_

**ADDITIONAL READER'S COMMENTS:**

**APPENDIX H-2**

**PRIORITY AREA PROJECT PLAN**

**Evaluation Criteria (Maximum Points – 48 for each priority area)**

**Scoring Rubric**

<b>4</b> <b>Excellent</b> <b>(well-conceived and thoroughly developed)</b>	<b>3</b> <b>Good</b> <b>(clear and complete)</b>	<b>2</b> <b>Marginal</b> <b>(requires additional clarification)</b>	<b>1</b> <b>Weak</b> <b>(lacks sufficient information)</b>	<b>0</b> <b>Inadequate</b> <b>(information not provided)</b>
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*Reviewers must only use the above number references. No half scores or other numbers.*

<b>Criteria</b>	<b>AE-18-1</b>	<b>AE-18-2</b>	<b>AE-18-3</b>	<b>AE-18-4</b>	<b>AE-18-5</b>	<b>AE-18-6</b>	<b>AE-18-7</b>	<b>AE-18-8</b>
Meets all requirements of the priority area. Provides goals and objectives that relate to priority area and are stated in a clear and measurable manner.								
Describes a comprehensive, long-term retention/recruitment plan.								
Provides evidence of alignment with local WDB plan.								
Describes implementation of eTesting or use of TOPS Pro Enterprise or provides evidence that one system is already utilized.								
Describes target population and demonstrates that proposed project addresses gaps in services for target population.								
Describes activities/strategies and outcomes that are measurable and impact learning gains.								
Demonstrates that curriculum is appropriate for priority area and incorporates digital literacy into the everyday classroom experience.								
Provides necessary professional development for staff in CCR standards.								
Addresses the Considerations for Funding (Appendix M).								
Includes instructional practices that research has proven to be effective in the priority area and is of sufficient intensity and duration.								

<b>Criteria</b>	<b>AE-18-1</b>	<b>AE-18-2</b>	<b>AE-18-3</b>	<b>AE-18-4</b>	<b>AE-18-5</b>	<b>AE-18-6</b>	<b>AE-18-7</b>	<b>AE-18-8</b>
Provides information that staff are certified and at the capacity necessary to provide all instructional elements.								
Describes a process by which the evaluation will be used for program improvement.								
<b>TOTAL for each column*</b>								

**\*Transfer this total to Appendix H 1– Proposal Elements Check Off and Evaluation Cover page**

**Total points from H-1 Evaluation Worksheet \_\_\_\_\_**

**READER’S NAME: \_\_\_\_\_**

**READER’S COMMENTS (if needed, use reverse side):**

## APPENDIX I

### MASTER CODE BUDGET DESCRIPTION

#### R. Object Code Descriptions

- 111A Administrator/Supervisor Salaries (ADMINISTRATIVE)  
Amounts paid to administrative employees of the grantee not involved in providing direct services to pupils/clients. Include all gross salary payments for these individuals while they are on the grantee payroll including overtime salaries or salaries paid to employees of a temporary nature.
- 111B Teachers  
Salaries for employees providing direct instruction/counseling to pupils/clients. This category is used for both counselors and teachers. Include all salaries for these individuals while they are on the grantee payroll, including overtime salaries or salaries of temporary employees. Substitute teachers or teachers hired on a temporary basis to perform work in positions of either a temporary or permanent nature are also reported here. Tutors or individuals whose services are acquired through a contract are not included in the category. A general rule of thumb is that a person for whom the grantee is paying employee benefits, and who is on the grantee payroll, is included; a person who is paid a fee with no grantee obligation for benefits is not.
- 112A Education Aides  
Salaries for grantee employees who assist staff in providing classroom instruction. Include all gross salaries for these individuals while they are on the grantee payroll, including overtime salaries or salaries of temporary employees.
- 112B Clerical (ADMINISTRATIVE)  
Salaries for grantee employees performing clerical/secretarial services. Include all gross salaries for these individuals while they are on the grantee payroll, including overtime salaries or salaries of temporary employees.
- 119 Other  
Salaries for any other grantee employee not fitting into objects 111A, 111B, 112A or 112B. Include the gross salaries for these individuals including overtime salaries or temporary employees. Included can be janitorial personnel costs, grant activity coordinators' salaries and food service personnel.
- 200 Personal Services - Employee Benefits  
Amounts paid by the grantee on behalf of the employees whose salaries are reported in objects 111A, 111B, 112A, 112B or 119. These amounts are not included in the gross salary, but are in addition to that amount. Such payments are fringe benefit payments and, while not paid directly to employees, nevertheless is part of the cost of personal services. Included are the employer's cost of group insurance, social security contribution, retirement contribution, tuition reimbursement, unemployment compensation and workmen's compensation insurance.
- 321 Tutors (Instructional Non-Payroll Services)  
Payments for services performed by qualified persons directly engaged in providing learning experiences for students. Include the services of teachers and teachers' aides who are not on the payroll of the grantee.
- 322 In-service (Instructional Program Enhancement Services) (ADMINISTRATIVE)  
Payments for services performed by persons qualified to assist teachers and supervisors to enhance the quality of the teaching process. This category includes curriculum consultants, in-service training specialists, etc., who are not on the grantee payroll.
- 323 Pupil Services (Non-Payroll Services)  
Expense for certified or licensed individuals who are not on the grantee payroll and who assist in solving pupils' mental and physical problems. This category includes medical doctors, therapists, audiologists, neurologists, psychologists, psychiatrists, contracted guidance counselors, etc.

- 324 **Field Trips**  
Costs incurred for conducting educational activities off site. Includes admission costs to educational centers, fees for tour guides, etc.
- 325 **Parental Activities**  
Expenditures related to services for parenting, including workshop presenters, counseling services, baby-sitting services and overall seminar/workshop costs.
- 330 **Employee Training and Development Services**  
Payments for professional or technical services that are not directly related to instructional activities. Included are payments for data processing, management consultants, legal services, etc. Do not include the cost of an independent auditor in this category.
- 400 **Purchased Property Services**  
Expenditures for services to operate, repair, maintain and rent property owned and/or used by the grantee. These are payments for services performed by persons other than grantee employees. Most frequently allowed expenditures include: Rentals - costs for renting or leasing land, buildings, equipment or vehicles; Repair and Maintenance services - expenditures for repairs and maintenance services not provided directly by grantee personnel, including contracts and agreements covering the upkeep of buildings and equipment; and Construction Services (Remodeling and Renovation)-payments to contractors for major permanent structural alterations and for the initial or additional installation of heating and ventilating systems, electrical systems, plumbing systems or other service systems in existing buildings. Utility services such as cleaning service, disposal service, snow plowing, lawn care, etc. could also be reported in this category. It is up to the program manager to inform applicants what is an allowable purchased property service under a grant program. The review of the budget justification should reveal the existence of any unallowable item.
- 510 **Pupil Transportation**  
Expenditures for transporting pupils to and from school and other activities. Included are such items as bus rentals for field trips and payments to drivers for transporting handicapped children.
- 530 **Communication**  
Payments for services provided by persons or businesses to assist in transmitting and receiving messages or information. This category includes telephone and telegraph services as well as postage machine rental and postage.
- 580 **Travel (ADMINISTRATIVE)**  
Expenditures for transportation, meals, hotel and other expenses associated with staff travel. Per diem payments to staff in lieu of reimbursement for subsistence (room and board) are also included.
- 590 **Other Purchased Services**  
All other payments for services rendered by organizations or personnel not on the GRANTEE payroll not detailed in 510, 530, 560, 580 or 590. These include: Insurance Costs (other than employee benefits) - payments for all types of insurance coverage including property, liability and fidelity, Printing and Binding - publication costs, and Advertisement - any expenditures for announcements in professional publications, newspapers or broadcasts over radio or television, including personnel recruitment, legal ads, and the purchase and sale of property.
- 611 **Instructional Supplies**  
Expenditures for consumable items purchased for instructional use.
- 612 **Administrative Supplies (ADMINISTRATIVE)**  
Expenditures for consumable items directly related to program administrative (non-instructional) activities.
- 641 **Textbooks**  
Expenditures for textbooks, workbooks, textbook binding and repair.

690 Other Supplies

Allowable Expenditures for any other supply which is not instructional or administrative in nature. This category would include maintenance supplies, heating supplies, and transportation supplies.

700 Property

Expenditures for acquiring fixed assets, including land or existing buildings, improvements of grounds, initial equipment, additional equipment and replacement of equipment. For most grants only equipment such as computers, duplicating machines, furniture and fixtures is allowable and the line item description on the budget will read Property/Equipment only. Other items which could be included in this category if allowable under grant legislation are expenditures for the acquisition but not the rental of buildings and land. Although cost of materials which resulted in a new or vastly improved structure would also be included here, the expenditures for the contracted construction of buildings, for permanent structural alterations, and for the initial or additional installation of heating and ventilating systems, fire protection systems, and other service systems in existing buildings are recorded under object 400 - Purchased Property Services.

In accordance with the Connecticut State Comptroller's definition of equipment, included in this category are all items of equipment (machinery, tools, furniture, vehicles, apparatus, etc.) with a value of over \$1,000.00 and the useful life of more than one year.

940 Indirect Costs

Costs incurred by the grantee, which are not directly related to the program but are a result thereof. Beginning Fiscal Year 1998, grantees must submit indirect cost proposals to the Connecticut CSDE to apply for a restricted and unrestricted rate. Only grantees that have received rate approvals are eligible to claim indirect costs.

**APPENDIX J**

**CONNECTICUT STATE DEPARTMENT OF EDUCATION  
STANDARD STATEMENT OF ASSURANCES  
GRANT PROGRAMS**

**PROJECT TITLE:**

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**THE APPLICANT:**

\_\_\_\_\_ **HEREBY ASSURES THAT:**  
\_\_\_\_\_

(insert Agency/School/CBO Name)

- A.** The applicant has the necessary legal authority to apply for and receive the proposed grant;
- B.** The filing of this application has been authorized by the applicant's governing body, and the undersigned official has been duly authorized to file this application for and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application;
- C.** The activities and services for which assistance is sought under this grant will be administered by or under the supervision and control of the applicant;
- D.** The project will be operated in compliance with all applicable state and federal laws and in compliance with regulations and other policies and administrative directives of the State Board of Education and the Connecticut State Department of Education;
- E.** Grant funds shall not be used to supplant funds normally budgeted by the agency;
- F.** Fiscal control and accounting procedures will be used to ensure proper disbursement of all funds awarded;
- G.** The applicant will submit a final project report (within 60 days of the project completion) and such other reports, as specified, to the Connecticut State Department of Education, including information relating to the project records and access thereto as the Connecticut State Department of Education may find necessary;
- H.** The Connecticut State Department of Education reserves the exclusive right to use and grant the right to use and/or publish any part or parts of any summary, abstract, reports, publications, records and materials resulting from this project and this grant;
- I.** If the project achieves the specified objectives, every reasonable effort will be made to continue the project and/or implement the results after the termination of state/federal funding;
- J.** The applicant will protect and save harmless the State Board of Education from financial loss and expense, including legal fees and costs, if any, arising out of any breach of the duties, in whole or part, described in the application for the grant;
- K.** At the conclusion of each grant period, the applicant will provide for an independent audit report acceptable to the grantor in accordance with Sections 7-394a and 7-396a of the Connecticut General



Statutes, and the applicant shall return to the Connecticut State Department of Education any moneys not expended in accordance with the approved program/operation budget as determined by the audit;

**L. REQUIRED LANGUAGE (NON-DISCRIMINATION)**

References in this section to “contract” shall mean this grant agreement and to “contractor” shall mean the Grantee.

(a) For purposes of this Section, the following terms are defined as follows:

- (1) "Commission" means the Commission on Human Rights and Opportunities;
- (2) "Contract" and “contract” include any extension or modification of the Contract or contract;
- (3) "Contractor" and “contractor” include any successors or assigns of the Contractor or contractor;
- (4) "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose.
- (5) “good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
- (6) "good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements;
- (7) "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced;
- (8) "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders;
- (9) "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons:
  - (1) who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise, and (3) who are members of a minority, as such term is defined in subsection (a) of Connecticut General Statutes § 32-9n; and
- (10) "public works contract" means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms "Contract" and “contract” do not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to

any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

(b)

(1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the State of Connecticut; and the Contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by the Contractor that such disability prevents performance of the work involved; (2) the Contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the Commission; (3) the Contractor agrees to provide each labor union or representative of workers with which the Contractor has a collective bargaining agreement or other contract or understanding and each vendor with which the Contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union or workers' representative of the Contractor's commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the Contractor agrees to comply with each provision of this Section and Connecticut General Statutes §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes §§ 46a-56, 46a-68e and 46a-68f; and (5) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor as relate to the provisions of this Section and Connecticut General Statutes § 46a-56. If the contract is a public works contract, the Contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works projects.

(c) Determination of the Contractor's good faith efforts shall include, but shall not be limited to, the following factors: The Contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

(d) The Contractor shall develop and maintain adequate documentation, in a manner prescribed by the Commission, of its good faith efforts.

(e) The Contractor shall include the provisions of subsection (b) of this Section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Connecticut General Statutes §46a-56; provided if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.

(f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.

(g) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes § 46a-56; and (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this Section and Connecticut General Statutes § 46a-56.

(h) The Contractor shall include the provisions of the foregoing paragraph in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Connecticut General Statutes § 46a-56; provided, if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.

**M.** The grant award is subject to approval of the Connecticut State Department of Education and availability of state or federal funds.

**N.** The applicant agrees and warrants that Sections 4-190 to 4-197, inclusive, of the Connecticut General Statutes concerning the Personal Data Act and Sections 10-4-8 to 10-4-10, inclusive, of the Regulations of Connecticut State Agencies promulgated there under are hereby incorporated by reference.

I, the undersigned authorized official; hereby certify that these assurances shall be fully implemented.

Superintendent Signature: \_\_\_\_\_

Name: *(typed)* \_\_\_\_\_

Title: *(typed)* \_\_\_\_\_

Date: \_\_\_\_\_

## APPENDIX K

### B-11: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

#### Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary takeover~ transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of roles implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-Procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction in addition to other remedies available to the Federal Government, the department or agency with

shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

which this transaction originated may pursue available remedies, including suspension and/or debarment.

---

**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

---

**Name of Applicant**

---

**PR/AWARD Number and/or Project Name**

---

**Printed Name and Title of Authorized Representative**

---

**Signature**

---

**Date**

ED 80-0014 9/90 (replaces GCS-009 (REV 12/88) which is obsolete)

## APPENDIX L

### AFFIRMATIVE ACTION PACKET

The State Department of Education (CSDE) is committed to Equal Opportunity and Affirmative Action and will not knowingly do business with any grantees, bidders, contractors, subcontractors or suppliers of materials who engage in acts of unlawful discrimination. In accordance with Administrative Regulations Sections 46a-68-31 through 46a-68-74 "Affirmative Action By State Government" and 4a-60 through 4a-60a and 46a-68c through 46a-68k "Contract Compliance" as administered by the Commission on Human Rights and Opportunities (CHRO), the CSDE encourages grantees, bidders, contractors, subcontractors, and suppliers of materials to develop and implement Affirmative Action Plans.

Contractors with 50 or more employees and contract awards that total **\$4,000** or more for leases, rental and personal service agreements are required to have or develop a written Affirmative Action Plan addressing any identified under utilization of minorities and women. Further, contractors with fewer than 50 employees regardless of contract amount or contractors with 50 or more employees with a total contract amount of less than \$4,000 for leases, rental and personal service agreements are required, at a minimum, to develop a written Affirmative Action Policy Statement.

In accordance with CHRO Regulations concerning contract compliance procedures for state agencies, this packet was prepared to assist all bidders for contractual services to comply with legally mandated application procedures. **All contractors and grantees must read and complete the appended forms where appropriate, and submit their Affirmative Action Policy Statement and Plan where appropriate.**

#### **The following are appended hereto:**

1. **Commission on Human Rights and Opportunities Contract Compliance Regulations and Notification to Bidders:** Makes prospective contractors and grantees aware of the State Department of Education's obligation to ensure that prospective contractors and grantees qualify pursuant to contract compliance requirements. ***(Contractor/Grantee must complete).***
2. **Workforce Analysis:** A comprehensive inventory of all employees by race, sex, job title, and occupational category ***(Contractor/Grantee must complete).***
3. **Definitions for Workforce Analysis:** Race/Ethnic identification and description of job categories to assist in the completion of workforce analysis.
4. **Standard Statement of Assurances:** ***(Grantee must complete to apply for grants).***
5. **Contractor's Minority Business Enterprises Utilization Form:** ***(Contractor/Grantee must complete when an MBE or WBE is engaged in a subcontract).***
6. **Affidavit/Certificate of Corporation:** ***(Contractor/Grantee must complete only when an MBE or WBE that is not registered with the Department of Economic Development is engaged as a subcontractor and the Contractor/Grantee wish to receive credit for such pursuant to regulations).***
7. **Sample Affirmative Action Policy Statement:** Contractor/Grantee may use this as an example or may use it as their statement by placing it on their letterhead.

Please submit the completed forms along with your proposal or bid to the person or office identified in the request for proposal.

Levy Gillespie  
Equal Employment Opportunity Director/American with Disabilities Act Coordinator  
State of Connecticut Department of Education  
450 Columbus Boulevard, Suite 607  
Hartford, Connecticut 06103  
860-807-2071  
Levy.Gillespie@ct.gov

## NOTIFICATION TO BIDDERS

The contract to be awarded is subject to contract compliance requirements mandated by Section 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Section 46a-71(d) and 46a-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 the awarding of all contracts covered by Sections 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, *every agency awarding a contract subject to the contract compliance requirements has an obligation to "aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials."* **"Minority business enterprise"** is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: **"(1) Who are active in the daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; (3) who are members of a minority, as such term is defined in sub-section (a) of Section 32-9n."** **"Minority"** groups are defined in section 32-9n of the Connecticut General Statutes as **"(1) Black Americans... (2) Hispanic Americans... (3) persons with origins in the Iberian Peninsula... (4) Women... (5) Asian Pacific Americans and Pacific Islanders... (6) American Indians... (7) individuals with a disability considered a minority business enterprise pursuant to Connecticut General Statutes, Section 32-9e."** The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder's qualifications under the contract compliance requirements:

- a) the bidder's success in implementing an affirmative action plan;
- b) the bidder's success in developing an apprenticeship program complying with Section 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- c) the bidder's promise to develop and implement a successful affirmative action plan;
- d) the bidder's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and
- e) the bidder's promise to set aside a portion of the contract for legitimate minority business enterprises. **See** Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.
- f) the bidder's certifies firm is not listed on debarment lists promulgated pursuant to CGS, Section 31-53a and 34 CFR Part 85., Appendix A of federal statutes.



**INSTRUCTION:** Bidder must sign acknowledgment below, and return the signed acknowledgment to the State Department of Education along with the bid proposal.

The undersigned acknowledges receiving and reading a copy of the Commission on Human Rights and Opportunities Contract Compliance Regulations and the "Notification to Bidders" form.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**On behalf of:**

\_\_\_\_\_  
Organization Name

Project No: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Rev. 6/99

**CONNECTICUT COMMISSION ON HUMAN RIGHTS & OPPORTUNITIES  
CONTRACT COMPLIANCE REGULATIONS AND NOTIFICATION TO BIDDERS  
Sections 46a-68j-23 (1)-(10) and 46a-68j-24 (a)**

**CONTRACT COMPLIANCE**

**Sec. 46a-68j-23. Obligations of Contractors:**

Every contractor awarded a contract subject to contract compliance requirement shall:

- 1) Comply fully with all federal and state anti-discrimination laws, and shall not discriminate or permit a discriminatory practice to be committed;
- 2) Cooperate fully with the commission;
- 3) Submit periodic reports of its employment and subcontracting practices in such a form, in such a manner and at such a time as may be prescribed by the Commission;
- 4) Provide reasonable technical assistance and training to minority business enterprises to promote the participation of such concerns in state contracts and subcontracts;
- 5) Make a good faith effort, based upon the availability of minority business enterprises in the labor market area, to award a reasonable proportion of all subcontractors to such enterprises;
- 6) Maintain full and accurate support data for a period of two (2) years from the date the record is made or the date the contract compliance form is submitted, whichever is later, provided that this provision shall not excuse compliance with any other applicable record retention, state regulation or policy providing for a period of retention in excess of two (2) years;
- 7) Not discharge, discipline or otherwise discriminate against any person who has filed a complaint, testified or assisted in any proceeding with the commission;
- 8) Make available for inspection and copying any support data requested by the commission, and make available for interview any agent, servant or employee having knowledge of any matter concerning the investigation of a discriminatory practice complaint or any matter related to a contract compliance review;
- 9) Include a provision in all subcontracts with minority enterprises requiring that the minority business enterprise provide the Commission with such information on its structure and operations as the Commission finds necessary to make an informed determination as to

whether the standards of Section 4a-60 of the Connecticut General Statutes as amended by Sec. 2 of Public Act 89-253 have been met; and

- 10) Undertake such other reasonable activities or efforts as the Commission may prescribe to ensure the participation of minority business enterprises as state contractors and subcontractors.

**Sec 46a-68j-24. Utilization of Minority Business Enterprises:**

- a) Contractors shall make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on all projects subject to contract compliance requirements.

**CONNECTICUT COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES  
WORKFORCE ANALYSIS**

Contractor Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Total number of CT employees:  
 Full-time \_\_\_\_ Part time \_\_\_\_

Complete the following Analysis for employees of Connecticut work sites who are:

JOB CATEGORIES	OVERALL TOTALS (SUM OF ALL COLS. MALE & FEMALE)	WHITE (NOT OF HISPANIC ORIGIN)		BLACK (NOT OF HISPANIC ORIGIN)		HISPANIC		ASIAN OR PACIFIC ISLANDER		AMERICAN INDIAN OR ALASKAN NATIVE		PEOPLE WITH DISABILITIES	
		M A L E	FEMALE	M A L E	FEMALE	M A L E	FEMALE	M A L E	FEMALE	M A L E	FEMALE	M A L E	FEMALE
OFFICIALS & MANAGERS													
PROFESSIONALS													
TECHNICIANS													
PARAPROFESSIONAL													
SALES WORKER													
OFFICE & CLERICAL													
CRAFT WORKERS (Skilled)													
OPERATIVES (Semi-skilled)													
LABORERS (unskilled)													
SERVICE WORKERS													
TOTALS ABOVE													
TOTALS ONE YEAR AGO													

**FORMAL, ON-THE-JOB TRAINEES (enter figures for the same categories as are shown above).**

Apprentices													
Trainees													

**EMPLOYMENT FIGURES WERE OBTAINED FROM VISUAL CHECK: EMPLOYMENT RECORDS: OTHER:**

1. Have you successfully implemented an Affirmative Action Plan? Yes: \_\_\_\_\_  
Date of implementation \_\_\_\_\_ Not Applicable: \_\_\_\_\_ Explain:  
  
(a) Please submit a summary of your Affirmative Action Plan.
  
2. Have you successfully developed an apprenticeship program complying with Sec. 46a-68-17 of the Connecticut Department of Labor Regulations, inclusive? Yes: \_\_\_ No: \_\_\_  
Not Applicable: \_\_\_\_\_ Explanation:
  
3. According to EEO-1 data, is the composition of your workforce at or near parity when compared with the race and gender composition of the workforce in the relevant labor market area?  
Yes: \_\_\_ No: \_\_\_ Explanation:
  
4. If you plan to subcontract, will you set aside a portion of the contract for legitimate minority business enterprises?  
Yes: \_\_\_ No: \_\_\_ Explanation:

\_\_\_\_\_  
Contractor's Authorized Signature

\_\_\_\_\_  
Date

[WFA 6/99]

## DEFINITIONS FOR WORKFORCE ANALYSIS

### **RACE/ETHNIC IDENTIFICATION:**

You may acquire the race/ethnic information necessary for this report either by visual surveys of the Workforce, or from records as to the identity of employees after the starting date of employment.

Please note that conducting a visual survey and keeping records of the race/ethnic identity of employees is legal in all jurisdictions and under all Federal and State Laws.

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purpose of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group.

### **DESCRIPTION OF JOB CATEGORIES:**

**Officials and managers:** Occupations requiring administrative managerial personnel who set broad policies, exercise overall responsibility for execution of these policies, and direct individual departments or special phases of a firm's operations. Includes: *officials, executives, middle management, plan managers, department managers, and superintendents, salaried supervisors who are members of management, purchasing agents and buyers, railroad conductors and yard masters, ship captains, mates and other officers, farm operators and managers, and kindred workers.*

**Professionals:** Occupations requiring either college graduation or experience of such kind and amount as to provide a comparable background. Includes: *accountants and auditors, airplane pilots, and navigators, architects, artists, chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, registered professional nurses, personnel and labor relations specialists, physical scientists, physicians, social scientists, teachers, and kindred workers.*

**Technicians:** Occupations requiring a combination of basic scientific knowledge and manual skill which can be obtained through two (2) years of post-high school education, such as is offered in many technical institutes and junior colleges, or through equivalent on-the-job training. Includes: *computer programmers, drafters, engineering aides, junior engineers, mathematical aides, licensed practical or vocational nurses, photographers, radio operators, scientific assistants, surveyors, technical illustrators, technicians (medical, dental, electronic, physical science), and kindred workers.*

**Sales:** Occupations engaging wholly or primarily in direct selling. Includes *kindred workers.*

**Office and clerical:** All clerical type work regardless of level of difficulty. Includes *kindred workers*.

**Craft Workers:** (*skilled*) - Manual workers of relatively high skill level having a thorough comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. Includes *kindred workers*.

**Operatives:** (*semiskilled*) - Workers who operate machine or processing equipment or perform other factory-type duties of intermediate skill level which can be mastered in a few weeks and require only limited training. Includes *kindred workers*.

**Laborers:** (*unskilled*) - Workers in manual occupations, which generally require no special training, perform elementary duties that may be learned in a few days and require the application of little or no independent judgment. Includes *kindred workers*.

**On-the job trainees:**

**Production:** Persons engaged in formal training as a craft worker - when not trained under apprentice programs - operative, laborer and service occupations.

**White collar:** Persons engaged in formal training for clerical, managerial, professional, technical, sales office and clerical occupations.

**CONTRACTOR'S MINORITY BUSINESS ENTERPRISES**

**UTILIZATION FORM**

<b>NAME AND ADDRESS OF AWARDING AGENCY:</b>	<b>NAME AND ADDRESS OF CONTRACTOR:</b>
---	--

**PROJECT NO:** \_\_\_\_\_

**DATE AWARDED:** \_\_\_\_\_

**DATE BID OPENED:** \_\_\_\_\_

---

**NOTICE TO CONTRACTORS:** Under Section 46a-68J-23(5) of the Contract Compliance Regulations, contractors are required to make GOOD FAITH EFFORTS to employ Minority Business Enterprises (MBEs) as subcontractors and suppliers of materials on all projects subject to contract compliance requirements. The contract which is referenced above is subject to contract compliance requirements.

**INSTRUCTIONS:** List the name and addresses of all MBEs you have selected as subcontractors and suppliers of materials for this project. If the MBEs selected as subcontractors and suppliers of materials meet the criteria for MBEs set out in Section 4a-60 of Connecticut General Statutes, contractors MUST complete the attached affidavit. If such business are not currently registered with the Department of Economic Development and if the contractor wishes the Commission on Human Rights and Opportunities (CHRO) to consider favorably the selection of an unregistered MBE in the evaluation of **the contractor's good faith efforts**, contractors MUST complete the attached affidavit. In either case, the affidavit must be filled out in triplicate, with the original sent to the CHRO, Contract Compliance Unit, 21 Grand Street, Hartford, Connecticut 06106; one copy sent to the Awarding Agency; and one copy retained by contractor. If the contractor does not wish the CHRO to consider selection of an unregistered MBE in its evaluation of the contractor's good faith efforts, no affidavit need be made.

*(Attached additional pages if necessary, using same headings.)*



<b>NAME AND ADDRESS OF ALL MBE SUBCONTRACTOR(S) OR SUPPLIER(S) OF MATERIALS:</b>	<b>If MBE(s) qualify under Section 4a- 60 of the Conn. Gen. Statues, check here.</b>	<b>If MBE is unregistered but wants consideration for good faith efforts, check here.</b>

This form developed pursuant to Section 46a-68j-23(5) of Regulations of Connecticut State Agencies concerning Contract Compliance.

**AFFIDAVIT**

I, \_\_\_\_\_ acting on behalf of \_\_\_\_\_ of which  
(Name of person signing certification) (Contractor)

I am the \_\_\_\_\_ Certify and affirm:  
(Title)

*Check if provision applicable:* That the following minority business subcontractors and /or suppliers of

materials that \_\_\_\_\_ has hired for Contract No. \_\_\_\_\_ with  
(Contractor)

\_\_\_\_\_ meet the criteria for Minority Business Enterprises  
(Awarding Agency)

set out in Section 4a-60 of the Connecticut General Statutes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(Lists names of Minority Business Enterprises that qualified under current statutory requirements)

\_\_\_\_\_  
\_\_\_\_\_

*Check if provision applicable:* \_\_\_\_ That the \_\_\_\_\_ has hired the  
(Contractor)

following minority business subcontractors or suppliers of materials for Contract No. \_\_\_\_

\_\_\_\_\_ with \_\_\_\_\_ that are not  
(Awarding Agency)

registered with the Department of Economic Development, but which should be considered by the Connecticut Commission on Human Rights and Opportunities when evaluating

\_\_\_\_\_ the good faith efforts:  
(Contractor)

\_\_\_\_\_  
(List names or unregistered MBEs)  
\_\_\_\_\_  
\_\_\_\_\_

I further certify and affirm that I have read and understand the contract compliance requirements codified at Section 4a-60 and Section 46a-7 1 (d) of the Connecticut General statutes.

I further certify and affirm that I have read and understand the contract compliance Regulations codified at Section 46a-68j-2 I through 43 of the Regulations of Connecticut State Agencies.

I understand that false statements made herein are punishable by law.

\_\_\_\_\_  
(Name of Corporation or Firm)                      \_\_\_\_\_  
(Signature and Title of Official Making the Affidavit)

Subscribed and sworn to before me, this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_.

\_\_\_\_\_  
Notary Public/Commissioner of the Superior Court

My Commission Expires: \_\_\_\_\_

**CERTIFICATE OF CORPORATION**

I, \_\_\_\_\_ certify that I am the Secretary of the Corporation named in the foregoing instrument; that I have been duly authorized to affix the seal of the Corporation to such papers as require the seal; that \_\_\_\_\_, who signed said instrument on behalf of the Corporation was then \_\_\_\_\_ of said Corporation; that said instrument was duly signed for and in behalf of said Corporation by authority of its governing body and is within the scope of its Corporation powers.

\_\_\_\_\_  
(Signature of person certifying)

(Corporate Seal)

**SAMPLE:** (You may use this as an example or you may use it as your statement by placing it on your letterhead).

**AFFIRMATIVE ACTION  
POLICY STATEMENT**

It has always been the policy and will continue to be the strong commitment of \_\_\_\_\_ and all contractors and subcontractors who do business with \_\_\_\_\_ to provide equal opportunities in employment to all qualified persons solely on the basis of job-related skills, ability and merit.

\_\_\_\_\_ will continue to take affirmative action to ensure that no persons are discriminated against with regard to their race, color, sex, sexual orientation, national origin, ancestry, religion, age, physical disability, mental retardation, marital status, present or past history of mental disorder, learning disability or criminal record. Such action includes, but is not limited to, employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation and selection for training including apprenticeship. \_\_\_\_\_ will continue to make good faith efforts to comply with all federal and state laws and policies which speak to Equal Employment Opportunity and Affirmative Action.

Equal Employment Opportunity is essential, but is not enough to guarantee the full and fair employment of minorities, women or other protected classes. Therefore, Affirmative Action is necessary. Affirmative Action is results - oriented programs used to address and overcome the present effects of past discrimination.

Sexual Harassment, another form of sex discrimination, will not be tolerated in the work place. Therefore, engaging in acts of sexual harassment or any other forms of unlawful discrimination will constitute grounds for disciplinary action.

This Policy Statement is based on both the spirit and the letter of state and federal anti-discrimination laws, regulations and executive orders. Accordingly, care is taken to ensure that

no person shall be excluded from participation in, be denied the benefits of, or otherwise be unlawfully discriminated against. Further,

\_\_\_\_\_ will not knowingly use the services of, patronize or otherwise deal with any business, contractor, subcontractor or agency that engages in acts of unlawful discrimination.

This Affirmative Action Policy Statement reaffirms my personal commitment to the principles of Equal Employment Opportunity and Affirmative Action.

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATED

**AFFIRMATIVE ACTION PLAN**

IF A CURRENT AFFIRMATIVE ACTION PLAN IS ON FILE WITH THE CONNECTICUT DEPARTMENT OF EDUCATION, COMPLETE THE STATEMENT WRITTEN BELOW AND SUBMIT AS PART OF THE PROPOSAL.

IF A CURRENT AFFIRMATIVE ACTION PLAN IS NOT ON FILE, COMPLETE THE ATTACHED AFFIRMATIVE ACTION PACKAGE AND SUBMIT AS PART OF THE PROPOSAL.

CERTIFICATION THAT A CURRENT AFFIRMATIVE ACTION PLAN IS ON FILE

I, the undersigned authorized official, hereby certify that the current affirmative action plan of the applying organization/agency is on file with the Connecticut State Department of Education. The affirmative action plan is, by reference, part of this application.

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

**APPENDIX M**  
**CONSIDERATIONS FOR FUNDING**  
**Section 231 of the WIOA**

**Evaluation of Applications**

In awarding grants under the Program Enhancement Projects (PEP) RFP, the State provides for a standardized evaluation process and evaluates the considerations defined in Section 231.

- (1)** The degree to which the eligible provider would be responsive to:
  - (A)** Regional needs as identified in the local plan under section 108 (as evidenced by a description of regional needs and how the applicant will be responsive to those needs); and
  - (B)** Serving individuals in the community who were identified as most in need of adult education and literacy activities, including individuals who have low levels of literacy skills or who are English language learners (as evidenced by an objective statement of need accompanied by a recruitment and retention plan which targets these individuals).
- (2)** The ability of the eligible provider to serve eligible individuals with disabilities, including eligible individuals with learning disabilities (as evidenced by an objective statement of need accompanied by a recruitment and retention plan which targets these individuals).
- (3)** Past effectiveness of the eligible provider in improving the literacy of eligible individuals, to meet state-adjusted levels of performance for the primary indicators of performance described in Section 116, especially with respect to eligible individuals who have low levels of literacy (as evidenced by meeting or exceeding performance measures based on documentation from the CARS and annual reviews for previously funded providers; and as evidenced by comparable objective performance measures which demonstrate successful student outcomes for new eligible providers).
- (4)** The extent to which the eligible provider demonstrates alignment between proposed activities and services and the strategy and goals of the local plan under section 108, as well as the activities and services of the one-stop partners (as evidenced by description of proposed activities, strategies and goals, and how the provider plans to align them).
- (5)** Whether the eligible provider's program is of sufficient intensity and quality, and based on the most rigorous research available, so that participants achieve substantial learning gains and uses instructional practices that include the essential components of reading instruction (as evidenced by a program design suitable to achieve applicable performance measures – appropriateness of program design may be demonstrated by past performance of successful outcomes or documentation of a similar program design and associated outcomes).

- (6)** Whether the eligible provider's activities, including reading, writing, speaking, mathematics and English language acquisition instruction, delivered by the eligible provider, are based on the best practices derived from the most rigorous research available and appropriate, including scientifically valid research and effective educational practice (as evidenced by program design and /or curriculum).
- (7)** Whether the eligible provider's activities effectively use technology, services, and delivery systems, including distance education in a manner sufficient to increase the amount and quality of learning, and how such technology, services, and systems lead to improved performance (as evidenced by program design and/or curriculum and the accessibility of hardware and software applications as appropriate).
- (8)** Whether the eligible provider's activities provide learning in context, including through IET, so that an individual acquires the skills needed to transition to and complete postsecondary education and training programs, obtain and advance in employment leading to economic self-sufficiency, and to exercise the rights and responsibilities of citizenship (as evidenced by program design and/or curriculum which focus on skills needed for postsecondary education and training, the workplace and citizenship).
- (9)** Whether the eligible provider's activities are delivered by well-trained instructors, counselors, and administrators who meet any minimum qualifications established by the state, where applicable, and who have access to high-quality professional development, including through electronic means (as evidenced by appropriate degrees, certifications and trainings).
- (10)** Whether the eligible provider's activities coordinate with other available education, training, and social service resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, institutions of higher education, local WDBs, One-Stop Centers, job training programs, social service agencies, business, industry, labor organizations, community-based organizations, nonprofit organizations and intermediaries, for the development of career pathways (as evidenced by formal collaborations and the commitment of the provider to assess and address the literacy and non-literacy support services of participants).
- (11)** Whether the eligible provider's activities offer flexible schedules and coordination with federal, state, and local support services (such as child care, transportation, mental health services and career planning) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs (as evidenced by program schedules and documentation of support services available).
- (12)** Whether the eligible provider maintains a high-quality information management system that has the capacity to report measurable participant outcomes (consistent with Section 116) and to monitor program performance (as evidenced by prior participation in or a commitment to participate in the eligible agency's CCS and CARS, and to submit comprehensive, timely and accurate data).



- (13) Whether the local areas in which the eligible provider is located have a demonstrated need for additional English language acquisition programs and civics education programs (as evidenced by area demographic data).

**Special Rule**

Whenever a State or outlying agency implements any rule or policy relating to the administration of - or operation of - a program authorized under this subtitle that imposed a requirement that is not imposed by federal law, the state or outlying area shall identify, to eligible providers, the rule or policy as being state or outlying area imposed. If an eligible agency has created any rule that impacts the activities, that aspect shall be provided. The PEP RFP will specify to eligible providers which rules, policies and requirements are imposed by the state.

**APPENDIX N**

**WORKFORCE DEVELOPMENT BOARD DIRECTORS**

<b>WORKFORCE DEVELOPMENT AREAS (WIOA)</b>	<b>DIRECTORS</b>	<b>PHONE AND FAX</b>
<b>Southwest</b> The WorkPlace	Joseph M. Carbone, Executive Director The WorkPlace 350 Fairfield Avenue Bridgeport, CT 06604	203-610-8502 203-335-9703 (FAX)
<b>North Central</b> Capital Workforce Partners	Alex Johnson, CEO Capital Workforce Partners 1 Union Place Hartford, CT 06103	860-522-1111 x12 860-722-2486 (FAX)
<b>South Central</b> Workforce Alliance	William P. Villano, Executive Director Workforce Alliance 560 Ella T. Grasso Boulevard New Haven, CT 06519	203-562-7811 203-562-1106 (FAX)
<b>Eastern</b> Eastern CT Workforce Development Board	John Beauregard, Executive Director Eastern CT Workforce Development Board 108 New Park Avenue Franklin, CT 06254	860-859-4100 860-859-5741 (FAX)
<b>Northwest</b> Northwest Regional Workforce Development Board	Catherine Awwad, Executive Director Northwest Regional Workforce Development Board 249 Thomaston Avenue Waterbury, CT 06702	203-574-6971 x 426 203-573-8951 (FAX)

The Department of Rehabilitation Services Local and Regional offices can be found at their Web site:

[Department of Rehabilitation Services](#)