

**CONNECTICUT STATE DEPARTMENT OF EDUCATION**

**DIVISION OF FAMILY AND STUDENT SUPPORT SERVICES  
Bureau of Health/Nutrition, Family Services and Adult Education  
Middletown**

**Request for Proposal**

**Program Improvement Projects**

**ADULT EDUCATION**

**July 1, 2012 - June 30, 2013**

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

Proposals Due: April 27, 2012

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**RFP # 066**



Program Improvement Projects-Adult Education

CONNECTICUT STATE DEPARTMENT OF EDUCATION

Stefan Pryor  
Commissioner of Education

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**\*There must be one abstract and project plan for each priority area within the grant application.**

## I. General Information

### A. Introduction/Purpose

The Connecticut State Department of Education's (CSDE) Bureau of Health/Nutrition, Family Services and Adult Education is conducting a one-year solicitation of proposals through a Request for Proposal (RFP) funded by the Adult Education and Family Literacy Act (20 U.S.C. § 9201 et seq., hereinafter the "Act").

The major purpose of this RFP is to increase the capacity of Connecticut's adult education programs to provide the needed educational and support services in all of the Connecticut workforce investment areas. The goals of the Adult Education Program Improvement Projects RFP are as follows:

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

All priority areas require program designs that are comprehensive and systematic, improve students' learning experiences, increase accessibility, enhance outreach and collaboration, promote diversity in the delivery of instruction, and integrate the use of technology into instruction.

Technology has become an increasingly important resource within the adult education classroom. When addressing priority areas, programs should consider: (1) how to incorporate technology into the everyday classroom experiences; (2) how to provide instructional staff with the necessary professional development in the use of this technology; and (3) how to best structure system maintenance to ensure consistent delivery of instructional and data collection services.

### B. Overview of Workforce Investment Act (WIA) Title II Federal Requirements

The guiding principles of the Act are partnership, flexibility, accountability and improved quality of services. Each state is required to use not less than 82.5 percent of its federal grant to make competitive sub-grants to local providers of family literacy, basic skills adult education, secondary completion programs and English as a second language instruction. The purpose of the Act is to create partnerships to assist adults:

- to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;
- to obtain the educational skills necessary to become full partners in the educational development of their children (if parents); and
- to complete a secondary school education.

The Act mandates that the following requirements be incorporated into activities supported by the State and through these funds.

**Eligible Applicants:** Eligible applicants include: local educational agencies and charter schools; community-based and volunteer literacy organizations of demonstrated effectiveness; institutions of higher education; public or private nonprofit agencies; libraries; public housing authorities; faith-based organizations; other nonprofit institutions that have the ability to provide literacy services to adults and families; and a consortium of the agencies, organizations, institutions and libraries described above.

**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.

*Special Notes:* Funds which are to be 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. Providers of services to criminal offenders are required to give priority to serving individuals who are likely to leave the correctional institution within five years of participation in the program. 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.

**Indicators of Performance:** The Act has established an accountability system that requires states to set specific measures for program performance on an annual basis. At a minimum, programs responding to this RFP will be required to exceed the Connecticut performance levels for FY 2013 as part of their program outcomes in the appropriate areas below:

- demonstrated improvements in literacy skill levels in reading, writing and speaking the English language, numeracy, problem-solving, English language acquisition and other literacy skills;
- placement in, retention in, or completion of post-secondary education, job training, unsubsidized employment or career advancement; and
- receipt of a secondary school diploma or its recognized equivalent.

Since the FY 2013 performance levels have yet to be negotiated, they are not included in this RFP. However, you will be able to find past state performance levels, along with the FY 2012 performance levels, when established, under State Plan Revisions at the following website: <http://www.SDE.ct.gov/SDE/cwp/view.asp?a=2620&Q=321914>.

**Considerations for Funding:** In awarding grants to local programs, the CSDE must evaluate the applications based on the considerations detailed in Appendix T on page 58. Eligible providers must show the following: demonstrated effectiveness of programs delivering services; 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; incorporation of research based reading, mathematics and writing instruction; flexible program schedules and provision of support services and an information-management system capable of reporting student outcomes and monitoring program performance.

**Coordination with the Workforce Investment Boards (WIB) and the One Stop Centers:** The Act requires recipients of Title II funds to demonstrate:

- coordination with the one stop centers for the benefit of their common customers;

- provision of programmatic information on their programs and services to the one stop centers; and
- engagement in collaborative activities with the Workforce Investment Boards to ensure a comprehensive approach to literacy and employment.

A list of the Workforce Investment Board Directors is included in Appendix U on page 60. As directed in Program Memorandum OVAE 99 -14, a portion of the funds awarded to all programs will be used, by providing services or through other means, to create and maintain the One Stop delivery system and to provide applicable core services through the One Stop delivery system. The expenditure of funds related to One Stop participation will be consistent with the provisions of the Act.

**Direct and Equitable Access:** The state must ensure that all eligible applicants have direct and equitable access to apply in this competitive grant application process and that the same grant or contract announcement process is used for all eligible providers.

**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:** In providing family literacy services under this subtitle, an eligible provider shall attempt to coordinate with programs and services that are not assisted under this subtitle prior to using funds for adult education and literacy activities under this subtitle for activities other than adult education activities (20 U.S.C. § 9241 (d)).

**General Education Provisions Act (GEPA) Section 427:** The purpose of this provision 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, Appendix F on page 26.

### C. Priority Areas

Priority areas with their minimum requirements and target populations are listed in the specifications section beginning on page 8. Only proposals that address the stated priorities and minimum requirements will be considered for funding. The priority code number **must** be included on the cover page of the application.

### D. Available Funding

The CSDE estimates that 4.48 million dollars will be available for grants under this initiative. The grants will range from \$30,000 to \$50,000 as outlined in each of the following priority areas:

- Transition: Preparing for Twenty-first Century Careers
- Family Literacy Services;
- Nontraditional Adult Education Instruction and Services;
- Expansion of the National External Diploma Program;
- Transition: Post-secondary Education and Training;
- Transition: Integrated Basic Education and Skills Training (I-BEST);
- English Literacy and Civics Education.

The Connecticut Adult Virtual High School is a statewide priority affecting populations in all Workforce Investment 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.

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, 2012, to June 30, 2013.

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

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

- Use the Connecticut Competency System (CCS) to appraise and assess student progress; and
- Use the Connecticut Adult Reporting System (CARS) to collect and report on programmatic and student data, specifically the program’s progress on performance levels for the Core Indicators of Performance.

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 available at <http://www.SDE.ct.gov/SDE/lib/SDE/PDF/DEPS/Adult/accountability/ccspolicies.pdf>.

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) at the Capital Region Education Council (CREC) and the CSDE.

The 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 Internet Explorer 6.0 or higher 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 available online at <http://www.SDE.ct.gov/SDE/lib/SDE/PDF/DEPS/Adult/accountability/carspolicies.pdf>. Training is provided by the CSDE.

#### **F. Preparing and Submitting the Application**

The proposals must be prepared in accordance with the “Proposal Guidelines and Requirements” which begin on page 16. Six copies, one bearing original signatures must be submitted. All proposals submitted become the property of the CSDE and become part of the public domain. Proposals (one original and five copies), **REGARDLESS OF POSTMARK DATE**, must be



received by 5:00 p.m. on **Friday, April 27, 2012**. Facsimile or e-mailed copies of proposals/applications will not be accepted. Only proposals/applications with an original signature will be accepted as timely filed. **EXTENSIONS SHALL NOT BE GIVEN.**

**Only the ED 114 and budget narrative (s) must be submitted electronically to [susan.pierson@ct.gov](mailto:susan.pierson@ct.gov)**

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

Susan Pierson, Education Consultant  
Bureau of Health/Nutrition, Family Services and Adult Education  
Connecticut State Department of Education  
25 Industrial Park Road  
Middletown, CT 06457-1543

**G. Proposal Review and Evaluation**

Each proposal will be assessed by a team of independent reviewers involving a standardized evaluation process using the evaluation contained in Appendix I on page 30. The criteria include the following: eligible provider's response to RFP requirements in each priority area; eligible provider's prior performance and program management; accuracy of the itemized budget in meeting line item limits and definitions; and the considerations for funding listed in Appendix T on page 58. Applicants are strongly advised to review the evaluation criteria when writing their proposals.

**H. 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 Act.

**I. Bidders' Conference and Further Information**

The CSDE will publish a *Notice of Availability* in all major newspapers throughout the State of Connecticut. Notice of the Program Improvement Projects RFP will be mailed: to all local education agencies and higher education institutions; to a master list of current and past providers which includes community based organizations, regional education service centers, housing authorities, volunteer organizations, libraries, Department of Correction, other correctional facilities and institutions; and to all current providers and Workforce Investment Boards.

A bidder's conference will be publicly advertised with the Notice of Availability and will be held on **Friday, March 16, 2012, from 9:30 to 11:00 a.m. and again at 11:15 a.m. at the Connecticut State Department of Education, 25 Industrial Park Road, Middletown, CT 06457.** Directions can be found at <http://www.sde.ct.gov/sde/cwp/view.asp?a=2683&Q=321768>. CSDE staff will be available to answer questions regarding application procedures, proposal format and funding requirements.

**J. Disposition of Applications**

Applicants will be notified of the acceptance or rejection of their proposals within approximately six weeks of the submission deadline date. If a proposal is selected for funding, a grant will be initiated by the CSDE. The content and cost of proposals are subject to negotiation prior to the final grant. Notification of the grant award will be issued by CSDE. The level of funding and effective dates of the project will be set forth in the notification of the grant award.

**K. 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 it believes that a higher cost proposal more appropriately meets the stated objectives; or (5) transfer funds between 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.

**L. Matching Funds**

Applicants must provide a minimum of twenty-five percent (25%) 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 Act. 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.

**M. Administrative Costs**

According to the Act, at least ninety-five percent (95%) of an eligible recipient’s federal grant award must be expended for adult education instructional activities. The remaining amount, not to exceed five percent (5%), 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 noninstructional purposes, a grant applicant may submit a written request to Susan Pierson, Education Consultant, Bureau of Health/Nutrition, Family Services and Adult Education to negotiate a higher administrative funding level.

**N. 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.

**O. 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 (as defined in the statute) are public records and every person has the right to inspect such records and receive a copy of such records.

**P. 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

**CONNECTICUT STATE DEPARTMENT OF EDUCATION  
Division of Family and Student Support Services  
Bureau of Health/Nutrition, Family Services and Adult Education**

### SPECIFICATIONS

**Priority Area:** Transition: Preparing for Twenty-first Century Careers

**Priority Code:** AE-13-1

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

**Rationale for this Priority Area:** To promote the self-sufficiency of adult education students and their ability to respond to the needs of a rapidly changing labor market; to provide exposure to and experience in STEM (science, technology, engineering & math) or other relevant career pathways; 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 job placement services.**

**Target Population:** Individuals who lack sufficient mastery of basic skills, who do not have a secondary diploma or its equivalent or who are limited English proficient and 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 addition to proposal requirements addressed under Section III “Proposal Guidelines and Requirements,” the following requirements must be addressed for this priority area:

1. Integration of academic assessment, career advising, career exploration and labor market research in STEM and other relevant adult career pathways to increase students’ awareness of potential employment opportunities.
2. Development of a **customized** career pathway profile for **each** student, which includes individualized education and career plans.
3. Utilization of some or all components of the [Integrating Career Awareness \(ICA\)](#) curriculum.
4. Development of career pathway opportunities including job shadowing, internships and/or pre-apprenticeships.
5. Provision of transition services including links to employment, occupational training and/or post-secondary credit and non-credit certificate programs.
6. Establishment of a collaborative planning team comprised of local adult education program staff and students, post-secondary education and training personnel, One Stop/Workforce Investment Board staff and local businesses to contextualize and integrate learning with workplace practices including employer-recognized workplace soft skills.
7. Embedding of technology literacy into the core curriculum to create opportunities for authentic research, writing and communication while encouraging critical thinking, decision making and problem solving skills.
8. Provision of support services such as counseling, financial literacy, child-care and transportation.
9. Classes of sufficient intensity and duration (minimum of 75 hours per semester) to ensure substantial learning gains and achievement of relevant performance measures.

**CONNECTICUT STATE DEPARTMENT OF EDUCATION**  
**Division of Family and Student Support Services**  
**Bureau of Health/Nutrition, Family Services and Adult Education**

**SPECIFICATIONS**

**Priority Area:** Family Literacy Services

**Priority Code:** AE-13-2

**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.

**Target Population:** Parents who lack sufficient mastery of basic skills or who are unable to speak, read or write the English language effectively enough to assist their children in school 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 3**, the following additional requirements must also be addressed for this priority area:

1. Funds must be used to support adult education components in an integrated learning environment which provide basic skills instruction in reading, mathematics and writing; English as a second language (ESL); or instruction that leads to secondary school completion.
2. Programs must incorporate technology literacy into the core curriculum, thereby, creating opportunities for authentic research, writing, and communication while encouraging critical thinking, decision making, and problem solving.
3. Programs must provide access to career or employment information and assist students in the development of individual career portfolios.
4. The project design must address and integrate all of the four components of a family literacy program: adult education, early childhood education, parent education and interactive literacy activities between parents and children into a unified family literacy program; identification and recruitment of families must meet the requirements of the Act; families must participate in all four program components.
5. The early childhood education component may focus on children from birth through third grade.
6. Adult education classes shall be of sufficient intensity and duration (minimum of 75 hours per semester) for participants to achieve substantial learning gains and shall be evidenced by a program design suitable to achieve applicable performance measures.
7. The proposal must include appropriate support services; early childhood education for the period of time parents are involved in the program; transportation to enable parents and children to participate in the program; and counseling services to promote family education planning. Include information on how barriers to program participation will be recognized and addressed.

**CONNECTICUT STATE DEPARTMENT OF EDUCATION**  
**Division of Family and Student Support Services**  
**Bureau of Health/Nutrition, Family Services and Adult Education**

**SPECIFICATIONS**

**REQUEST FOR PROPOSAL**

**Priority Area:** Nontraditional Adult Education Instruction and Services

**Priority Code:** AE-13-3

**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 including, but not limited to: individuals with disabilities; individuals within a correctional institution; individuals residing in a half-way house or homeless shelter and to provide comprehensive counseling and support services that improve student outcomes.

**Target Population:** Individuals with disabilities, individuals within a correctional institution, and individuals residing in a halfway house or homeless shelter who lack basic skills, do not have a secondary diploma or its equivalent or 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 basic skills or English-as-a-second language 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.
  - A basic skills, English-as-a-second language, 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.
4. Programs must include comprehensive counseling and support services provided by onsite staff or through collaboration with other community, educational and human services organizations.
5. Programs must integrate technology literacy into the core curriculum that creates opportunities for authentic research, writing, and communication while encouraging critical thinking, decision making, and problem solving skills.
6. Programs must demonstrate how they will collaborate with the CT Works/One Stop Center in their area to ensure delivery of appropriate services such as participant referral, job search, workshops and/or career information.
7. Program classes shall be of sufficient intensity and duration (minimum of 75 hours per semester) as evidenced by a program design, for participants to achieve substantial learning gains and to achieve applicable performance measures.

**CONNECTICUT STATE DEPARTMENT OF EDUCATION**  
**Division of Family and Student Support Services**  
**Bureau of Health/Nutrition, Family Services and Adult Education**

**SPECIFICATIONS**

**REQUEST FOR PROPOSAL**

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

**Priority Code:** AE-13-4

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

**Rationale For This Priority Area:** To increase the accessibility of the National External Diploma Program (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. The NEDP 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 III “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 annual Comprehensive Adult Student Assessment System (CASAS) Summer Institute.
7. Must have representation at the biannual National External Diploma Program Council (NEDPC) Conference.
8. A sustainability plan for the NEDP must be provided within the proposal.

**CONNECTICUT STATE DEPARTMENT OF EDUCATION**  
**Division of Family and Student Support Services**  
**Bureau of Health/Nutrition, Family Services and Adult Education**

**SPECIFICATIONS**

**REQUEST FOR PROPOSAL**

**Priority Area:** Transition: Post-secondary Education and Training

**Priority Code:** AE-13-5

**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 post-secondary education and training opportunities.

**Target Population:** Individuals who do not have a secondary diploma or its equivalent and need additional services to transition into and progress within a post-secondary 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 post-secondary 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. Applicants must establish a collaborative planning team comprised of local adult education program staff and students, post-secondary education personnel, and other appropriate agency personnel (One Stops, Workforce Investment Board, etc.).
4. The curricular framework must include the necessary assessment criteria for entrance into post-secondary education programs.
5. Utilization of some or all components of the [Integrating Career Awareness \(ICA\)](#) curriculum.
6. Applicants must implement a referral process for students that have 16 or more credits, students with a score of 2500 on the Practice GED Test, students in the National External Diploma Program who are in the portfolio review stage of the program, or advanced-level English-as-a-second language students.
7. Partners on both the adult education and post-secondary sides must be consistently represented at the Transition meetings held throughout the year.
8. Partnerships between adult education and post-secondary 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.



**CONNECTICUT STATE DEPARTMENT OF EDUCATION**  
**Division of Family and Student Support Services**  
**Bureau of Health/Nutrition, Family Services and Adult Education**

**SPECIFICATIONS**

**REQUEST FOR PROPOSAL**

**Priority Area:** Transition: Integrated Basic Education and Skills Training (I-BEST)

**Priority Code:** AE-13-6

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

*Funds in this priority may be used to plan, develop and deliver the basic education component of the 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](#) (click link for additional information) provides a parallel, simultaneous approach that combines basic skills adult education with technical training. The model has been [nationally validated](#) (click link for comprehensive study) as an effective method for teaching adults who need both basic skills and job skills. It increases the rate at which adult basic, adult secondary and English-as-a-second-language learners make improvements in reading, writing, math, English language acquisition and high school completion and earn industry-recognized credentials in fields offering good wages and opportunities for career advancement.

**Target Population:** Students enrolled in mandated adult education classes

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

1. Provide evidence of 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.
2. Provide detailed information on the process that will be used to develop a joint program of study that integrates basic education and skills training that addresses the following:
  - a. Indicate 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. Specify 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. Identify all partners including technical training providers, workforce investment boards, foundations and employers, and how they will provide training, job shadowing, mentoring and/or on-the-job training opportunities for learners.
  - d. Identify the industry-recognized credential(s) and its alignment to labor market need and local/regional priorities.
  - e. Identify the support services, student success strategies and transition strategies that will be integrated into the project. Identify additional supports that will be provided on an as-needed basis.
  - f. Indicate how learners will be prepared to enter the next step of an educational pathway and how this progress will be documented
3. Indicate how job development and placement services will be provided to assist learners in obtaining employment in the newly credentialed area. To reiterate, local, state or federal adult education funds CANNOT support job development and placement services.

**CONNECTICUT STATE DEPARTMENT OF EDUCATION**  
**Division of Family and Student Support Services**  
**Bureau of Health/Nutrition, Family Services and Adult Education**

**SPECIFICATIONS**

**REQUEST FOR PROPOSAL**

**Priority Area:** English Literacy and Civics Education (EL/Civics)

**Priority Code:** AE-13-7

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

**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.

**Four Required Components for EL/Civics Projects:** Provision of integrated instructional programs and services that incorporate both English literacy instruction and civics education and which include the following four components to help participants acquire the skills and knowledge to become active and informed parents, workers and community members:

- 1) Rights and responsibilities of citizenship;
- 2) Naturalization procedures;
- 3) Civic participation; and
- 4) U.S. history and government.

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

1. Programs must develop designs that support comprehensive English literacy programs, which incorporate civics education and related support services into an integrated and coordinated program for immigrants or individuals of limited English proficiency.
2. Curriculum must focus on the 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.
3. Opportunities for experiential learning in which participants are actively engaged in community pursuits must be included in the program design.
4. Collaboration with community agencies that offer services to immigrants and limited English proficient populations must be documented.
5. Programs must embed technology literacy into the core curriculum, thereby, creating opportunities for authentic research, writing, and communication and encouraging critical thinking, decision making, and problem solving skills.
6. Classes shall be of sufficient intensity and duration (minimum of 75 hours per semester) for participants to achieve substantial learning gains and to ensure that the four required components of EL/Civics education outlined above are met.

**CONNECTICUT STATE DEPARTMENT OF EDUCATION**  
**Division of Family and Student Support Services**  
**Bureau of Health/Nutrition, Family Services and Adult Education**

**SPECIFICATIONS**

**REQUEST FOR PROPOSAL**

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

**Priority Code:** AE-13-8

**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 implementing 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 General Educational Development (GED) programs.
2. The applicant agency must increase the number of courses offered each term and ensure that they are aligned with the Common Core State Standards and the Comprehensive Adult Student Assessment System (CASAS) competencies and content standards.
3. Teachers with the appropriate 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 as needed.

### III. PROPOSAL GUIDELINES AND REQUIREMENTS

The proposal must be typewritten and double spaced, on single sided, unruled white paper (8 ½” by 11”), **unstapled**, and with a font set at a 12 point size. CSDE must receive, by the deadline date, six (6) copies, one of 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. 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 must be limited to **five pages**. The plan must be sufficient in scope to ensure that all necessary information is included for the proposal to be effectively assessed by the readers. 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 on page 20. The cover page must contain all the required information, the signature of the authorized official of the submitting agency, and the date of board approval.
  
- B. **Project Plan:** For each priority area, there must be an individual project plan which is limited to **five pages**. The Project Plan as outlined in Appendices B and B-1 on pages 21 and 22 must have the following:
  - **Proposal Abstract:** Provide a program abstract which is described in Appendix B on page 21. The abstract should 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 workforce investment area. 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 technology will be integrated 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.
  - **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 Act 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 2010 and/or FY 2011 must include their Adult Education Program Profiles for 2010 and 2011 and the Provider Performance Summary for 2010 and 2011. All other programs must complete Appendix C on page 23 and include 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 One Stops and the Workforce Investment Board in their area. At least four letters of collaboration found in Appendix D on page 24 must be completed and included with the proposal, one of which must be from the Workforce Investment Board in the applicant agency's area. The listing can be found in Appendix U on page 60.
- 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 which is found in Appendix E on page 25.
- 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. The special needs of students, teachers and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on gender, race, color, national origin, disability and age 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 in Appendix F on page 26.

**I. Edit Check:** Complete the edit check form found in Appendix G on page 27.

**J. Budget Form ED 114 and Budget Narratives:** There are two budget forms included in this RFP.

- Appendix J on page 32 is the comprehensive ED 114 which will be used for all priority areas other than EL/Civics. Applicants will use this form to provide a budget for the total allocation requested within the proposal (other than EL/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 Transition: Preparing for 21<sup>st</sup> Century Careers and Family Literacy Services, the applicant shall indicate whether the program will target an adult basic education (ABE), English-as-a-second language (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).

Code	Priority Area	Total
XWFE	Transition: Preparing for 21 <sup>st</sup> Century Careers - ESL, ABE/GED	
XWFS	Transition: Preparing for 21 <sup>st</sup> Century Careers - CDP, NEDP	
XFLE	Family Literacy Services - ESL, ABE, GED	
XFLS	Family Literacy Services - CDP,NEDP	

- Appendix K on page 33 is the budget narrative for the comprehensive ED-114. Applicants shall provide information (refer to the Budget Buddy found on the CSDE web site: [www.SDE.ct.gov](http://www.SDE.ct.gov) for specific details) per line item as to the anticipated total allocation across all identified priority areas.
- Appendix L on page 35 is the budget narrative for the matching funds of the comprehensive ED-114. The total match must be at least 25 percent of the total amount requested within the RFP.
- Appendix M on page 37 is the ED-114 for the EL/Civics priority area.
- Appendix N on page 38 is the budget narrative for the EL/Civics ED-114. Applicants will provide information (refer to the Budget Buddy for specific details) per line item as to the anticipated total allocation across all appropriate priority areas.
- Appendix O on page 39 is the budget narrative for EL/Civics ED-114 matching costs. The total must be at least 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 provided on the CSDE Web site: [www.ct.gov/SDE](http://www.ct.gov/SDE).**

Applicants anticipating administrative costs in excess of five percent must submit a request to negotiate a waiver for their proposal. Local matching funds of twenty-five percent must be provided for all projects as described on page six. Other federal funds are not eligible for meeting match requirements.

**K. Indirect Costs:** The CSDE has approved restricted and unrestricted indirect rates for the RESCs and some local education agencies. Only those agencies which have an approved indirect rate on file in the department may apply costs to line item 940 (Indirect Cost) 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:** One of the six copies of the proposal submitted must bear an original signature(s) of the authorized official(s) of the applicant on the Statement of Assurances found in Appendix Q on page 43.
- M. **Certifications:** One of the six copies 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 in Appendix R on page 46.
- N. **Affirmative Action Packet:** Complete, as appropriate, the information required in Appendix S beginning on page 47. If the applicant agency has an Affirmative Action Plan on file with the Office of Affirmative Action, they need to only complete page 57.
- O. **Date of Local Board or Agency Acceptance:** Board approval must be obtained prior to submitting the proposal on April 27, 2012. If this is not possible, approval must be forwarded no later than May 10, 2012.

**APPENDIX A**

**PROPOSAL COVER  
FOR 2012 – 2013 ADULT EDUCATION PROGRAM IMPROVEMENT 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 email address of person responsible for developing the proposal.)

**Project Director:** (Full name, position, address, telephone number, extension and email address of person who will be in charge of the project.)

**Submitted By:** (Full name, position, telephone number and extension of person authorized to commit agency to the project if it is selected; e.g., Superintendent of Schools, Chief Executive Officer of agency.)

**Signature of Superintendent of Schools or Chief Executive Officer of Agency:**

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<b>Priority Area</b>	<b>Code</b>	<b>Funds Requested</b>	<b>Matching Funds</b>
Transition: Preparing for Twenty-first Century Careers- <i>Elementary ESL and ABE/GED</i>	<b>AE-13-1E</b>		
Transition: Preparing for Twenty-first Century Careers- <i>Secondary</i>	<b>AE-13-1S</b>		
Family Literacy – <i>Elementary ESL and ABE/GED</i>	<b>AE-13-2E</b>		
Family Literacy- <i>Secondary</i>	<b>AE-13-2S</b>		
Nontraditional Adult Education Instruction and Services	<b>AE-13-3</b>		
Expansion of the National External Diploma Program	<b>AE-13-4</b>		
Transition: Post-Secondary Education and Training	<b>AE-13-5</b>		
Transition: I-BEST	<b>AE-13-6</b>		
English Literacy and Civics Education	<b>AE-13-7</b>		
CT Adult Virtual High School	<b>AE-13-8</b>		
<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.**

<b>Priority Area Name:</b>	<b>Project Title:</b>
<b>Applicant Organization:</b>	<b>Project Director:</b>
<b>Beginning Date: 7/1/2012</b>	<b>End Date: 6/30/13</b>
<b>Requested Federal Funds:</b>	<b>Program(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)**

**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 **FIVE 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 will be integrated into the curriculum to improve student achievement and how technology 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:** 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:** 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 in order to minimize barriers to their successful learning experiences (e.g., transportation, child care, etc.).
- **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 3 years. Use more pages, if necessary.

**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.

\*\*\*Programs that received federal or state adult education funding from the CSDE in FY 2011 and FY 2012 must include their Adult Education Program Profiles for 2010 and 2011 and the Provider Performance Summary for 2010 and 2011. All other programs must complete this form and include a brief narrative that supports the agency's past performance. The CSDE reserves the right to verify information.

**APPENDIX D**

**INTERAGENCY COLLABORATION  
LETTER OF AGREEMENT *(This is not an MOU)***

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

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

We would like to enter into a collaborative agreement with your agency for the following services for fiscal year 2012-13.

**Responsibilities of Proposing Agency:**

*(Describe the specific activity to be provided by the proposing agency for this application, the number of people to be served, the location of the activity, time period, etc.)*

**Responsibilities of Collaborating Agency:**

*(Describe the specific activity to be provided by the collaborating agency for this application, 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.*

Thank you for your support.

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

**APPENDIX E  
ATTESTATIONS**

This attestation affirms that \_\_\_\_\_ will adhere  
(Applicant Agency)

to the following requirements requested by the State Department of Education (CSDE) in the RFP entitled Program Improvement Projects (PIP) should this proposal be funded.

- Implement the Connecticut Competency System (CCS) and ensure that appropriate staff participate in training as necessary.
- Maintain the Connecticut Adult Reporting System (CARS), collect and submit comprehensive and accurate data in a timely fashion for each program participant and ensure that appropriate staff participate in training as necessary.
- 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. 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 the Appendix T 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 INVESTMENT 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 (UCSDE) in implementing its mission to ensure equal access to education and to promote educational excellence.

If funded, the following steps will be taken to ensure equitable access to and equitable participation in the project or activity to be conducted with federal adult education assistance by addressing the access needs of students, teachers and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on gender, race, color, national origin, disability and age.

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  
2012-2013 ADULT EDUCATION PROGRAM IMPROVEMENT PROJECTS**

Applicant Agency: \_\_\_\_\_ Priority Area: \_\_\_\_\_

Project Title: \_\_\_\_\_

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

<b>Item</b>	<b>Yes</b>	<b>No</b>	<b>Page #</b>
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 page 16-17			
Program Profile and Provider Performance Summary included or Appendix C completed.			
Interagency collaboration forms (minimum of 4) are completed and signed.			
GEPA form is completed and signed.			
Attestation form is checked and signed.			
ED-114 Budget(s) is completed.			
Budget Narratives are completed and accurate.			
Matching funds equal at least 25% of total grant.			
Administration costs are within five percent guideline. If not, waiver request is included.			
<b>The following proposal requirements are addressed:</b>			
Assurances signed.			
Certification Regarding Debarment and Suspension requirements signed.			
Appropriate documents in Affirmative Action packet are completed and signed.			

Edit Check Completed by:

Name: \_\_\_\_\_

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

**Appendix H  
Evaluation Cover Page**

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

Total Points Awarded: \_\_\_\_\_ Recommended for Funding: Yes \_\_\_\_\_ No \_\_\_\_\_

<b>Required Information</b>	<b>Yes</b>	<b>No</b>
<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 and there is a plan for each appropriate priority area for which they 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>BUDGET:</b>		
<ul style="list-style-type: none"> <li>• Includes completed Budget Form ED 114 for each appropriate priority area.</li> </ul>		
<ul style="list-style-type: none"> <li>• Provides a complete and accurate budget narrative for each appropriate priority area.</li> </ul>		
<ul style="list-style-type: none"> <li>• Provides a complete and accurate budget narrative for the matching funds in each appropriate priority area.</li> </ul>		
<ul style="list-style-type: none"> <li>• Demonstrates that administrative funds are within 5% cap or includes a request for a waiver.</li> </ul>		



**Appendix H**  
**Evaluation Cover Page (Continued)**

<b>Category</b>	<b>Maximum Score</b>	<b>Reader's Score</b>							
Priority Area Project Plan	(44 each area)	<b>AE-13-1</b>	<b>AE-13-2</b>	<b>AE-13-3</b>	<b>AE-13-4</b>	<b>AE-13-5</b>	<b>AE-13-6</b>	<b>AE-13-7</b>	<b>AE-13-8</b>
Organization's Background and Project Management									
Prior Performance									
Collaboration									
Budget									
<b>Total Points</b>									

Reviewer's Name: \_\_\_\_\_

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

**APPENDIX I  
EVALUATION WORKSHEET**

**Scoring Rubric**

<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
<b>Excellent</b> (well-conceived and thoroughly developed)	<b>Good</b> (clear and complete)	<b>Marginal</b> (requires additional clarification)	<b>Weak</b> (lacks sufficient information)	<b>Inadequate</b> (information not provided)

***Reviewers must only use the above number references. No half scores or numbers in between the numbers should be used.***

PROGRAM COMPONENT	SCORE Max pts - 4	READER'S COMMENTS
<b>ORGANIZATION'S BACKGROUND/PROJECT MANAGEMENT (Maximum Points – 8)</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 (Maximum Points – 4)</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 (Maximum Points – 8)</b>		
1. Includes collaboration appropriate to priority areas with completed forms from Appendix D (e.g., Transition - Post-Secondary Institution)		
2. Collaboration forms from Appendix D with the Workforce Investment boards (WIB) and One Stop Operator(s).		
<b>BUDGET (Maximum Points – 8)</b>		
1. Provides a complete and accurate ED-114, budget worksheet and budget narrative.		
2. Budget is reasonable for the scope of the project.		
<b>TOTAL POINTS (MAXIMUM POINTS AVAILABLE FOR THIS PAGE-28)</b>		

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

**ADDITIONAL READER'S COMMENTS:**

**APPENDIX I (continued)**

**PRIORITY AREA PROJECT PLAN**  
**Scoring Rubric**

**Evaluation Criteria (Maximum Points – 44 for each priority area)**

*Reviewers use only these numbers – No half scores or other numbers*

<b>Criteria</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>				
	<b>Excellent</b> (well-conceived and thoroughly developed)	<b>Good</b> (clear and complete)	<b>Marginal</b> (requires additional clarification)	<b>Weak</b> (lacks sufficient information)	<b>Inadequate</b> (information not provided)				
	<b>AE-13-1</b>	<b>AE-13-2</b>	<b>AE-13-3</b>	<b>AE-13-4</b>	<b>AE-13-5</b>	<b>AE-13-6</b>	<b>AE-13-7</b>	<b>AE-13-8</b>	<b>AE-13-8</b>
Meets all requirements of the priority area.									
Provides description of the project which is appropriate for and relates to the priority area.									
Provides goals and objectives that relate to priority area and are stated in a clear and measurable manner.									
Shows a strong need for project in the community; provides and describes how the services will be directed to the most in need.									
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.									
Incorporates technology into the everyday classroom experience and provides necessary professional development for staff in the appropriate application of technology.									
Includes instructional practices that research has proven to be effective in the priority area and is of sufficient intensity and duration.									
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</b>									

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

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

**APPENDIX J  
COMPREHENSIVE ED-114**

ED114 FISCAL YEAR 2013

BUDGET FORM

FUNDING STATUS:

GRANTEE NAME:		VENDOR ID:
GRANT TITLE: Adult Education		
PROJECT TITLE: Program Improvement Project(s)		
FUND: 12060	SPID:20784	YEAR: 2013
PROGRAM: 84002	CF1:	CF2:
GRANT PERIOD: 07/01/12 - 06/30/13		AUTHORIZED AMOUNT:
AUTHORIZED AMOUNT by SOURCE:		
LOCAL BALANCE	CARRYOVER DUE:	CURRENT DUE:
CODES	DESCRIPTIONS	BUDGET AMOUNT
111A	ADMINISTRATOR/SUPERVISOR SALARIES	
111B	TEACHERS	
112A	EDUCATION AIDES	
112B	CLERICAL	
119	OTHER	
200	PERSONAL SERVICES-EMPLOYEE BENEFITS	
321	TUTORS	
322	IN SERVICE	
323	PUPIL SERVICES	
324	FIELD TRIPS	
325	PARENT ACTIVITIES	
330	OTHER PROFESSIONAL TECHNICAL SERVICES	
400	PURCHASED PROPERTY SERVICES	
510	PUPIL TRANSPORTATION	
530	COMMUNICATIONS	
580	TRAVEL	
590	OTHER PURCHASED SERVICES	
611	INSTRUCTIONAL SUPPLIES	
612	ADMINISTRATIVE SUPPLIES	
641	TEXTBOOKS	
690	OTHER SUPPLIES	
700	PROPERTY	
940	INDIRECT COSTS	
	TOTAL	
XWFE	Transition:Preparing for 21 <sup>st</sup> Century Careers - ESL, ABE/GED	
XWFS	Transition:Preparing for 21 <sup>st</sup> Century Careers - CDP, NEDP	
XFLE	Family Literacy Services - ESL, ABE/GED	
XFLS	Family Literacy Services - CDP,NEDP	
XNAE	Nontraditional Adult Education Instruction and Services	
XNED	Expansion of the National External Diploma Program (NEDP)	
XTPS	Transition: Post-Secondary Education and Training	
XVHS	Connecticut (CT) Adult Virtual High School)	
XTIB	Transition: Integrated Basic Education & Skills Training	
	TOTAL	
XZLM	Matching Funds	

_____ ORIGINAL REQUEST DATE	_____ STATE DEPARTMENT OF EDUCATION	_____ DATE OF
_____ REVISED REQUEST DATE	PROGRAM MANAGER AUTHORIZATION	APPROVAL

**APPENDIX K**  
**COMPREHENSIVE ED 114 BUDGET NARRATIVE FORM – FY 2013**

Provide detail on the cost factors included in each line item.  
Refer to the *Budget Code Descriptions* on page 40 for budget line item descriptions.

LINE ITEMS	NARRATIVE	LINE ITEM TOTALS
111A	ADMINISTRATOR/SUPERVISOR SALARIES	\$
111B	TEACHERS	\$
112A	EDUCATION AIDES	\$
112B	CLERICAL	\$
119	OTHER	\$
200	PERSONAL SERVICES - EMPLOYEE BENEFITS	\$
321	TUTORS	\$
322	IN SERVICE	\$
323	PUPIL SERVICES	\$
324	FIELD TRIPS	\$
325	PARENT ACTIVITIES	\$

LINE ITEMS	NARRATIVE	LINE ITEM TOTALS
330	OTHER PROFESSIONAL TECHNICAL SERVICES	\$
400	PURCHASED PROPERTY SERVICES	\$
510	PUPIL TRANSPORTATION	\$
530	COMMUNICATIONS	\$
580	TRAVEL	\$
590	OTHER PURCHASED SERVICES	\$
611	INSTRUCTIONAL SUPPLIES (Instructional supplies and/or instructional equipment less than \$1000)	\$
612	ADMINISTRATIVE SUPPLIES	\$
641	TEXTBOOKS	\$
690	OTHER SUPPLIES	\$
700	PROPERTY	\$
940	INDIRECT COSTS (Only for agencies with a CSDE approved indirect rate)	\$
	TOTAL	\$

**APPENDIX L**  
**COMPREHENSIVE ED 114 BUDGET NARRATIVE FORM – FY 2013 MATCHING FUNDS**

Provide detail on the cost factors included in each line item.  
Refer to the *Budget Code Descriptions* on page 40 for budget line item descriptions.

LINE ITEMS	NARRATIVE	LINE ITEM TOTALS
111A	ADMINISTRATOR/SUPERVISOR SALARIES	\$
111B	TEACHERS	\$
112A	EDUCATION AIDES	\$
112B	CLERICAL	\$
119	OTHER	\$
200	PERSONAL SERVICES - EMPLOYEE BENEFITS	\$
321	TUTORS	\$
322	IN SERVICE	\$
323	PUPIL SERVICES	\$
324	FIELD TRIPS	\$
325	PARENT ACTIVITIES	\$

LINE ITEMS	NARRATIVE	LINE ITEM TOTALS
330	OTHER PROFESSIONAL TECHNICAL SERVICES	\$
400	PURCHASED PROPERTY SERVICES	\$
510	PUPIL TRANSPORTATION	\$
530	COMMUNICATIONS	\$
580	TRAVEL	\$
590	OTHER PURCHASED SERVICES	\$
611	INSTRUCTIONAL SUPPLIES (Instructional supplies and/or instructional equipment less than \$1000)	\$
612	ADMINISTRATIVE SUPPLIES	\$
641	TEXTBOOKS	\$
690	OTHER SUPPLIES	\$
700	PROPERTY	\$
940	INDIRECT COSTS (Only for agencies with a CSDE approved indirect rate)	\$
	TOTAL	\$



**APPENDIX M  
EL/CIVICS ED-114**

ED114 FISCAL YEAR 2013

BUDGET FORM

FUNDING STATUS:

GRANTEE NAME:		VENDOR ID:
GRANT TITLE: Adult Education		
PROJECT TITLE: English Literacy Acquisition (EL/Civics)		
FUND: 12060	SPID:20784	YEAR: 2013 PROGRAM: 84002 CF1: 170015 CF2:
GRANT PERIOD: 07/01/12 - 06/30/13		AUTHORIZED AMOUNT:
AUTHORIZED AMOUNT by SOURCE:		
LOCAL BALANCE	CARRYOVER DUE:	CURRENT DUE:
CODES	DESCRIPTIONS	BUDGET AMOUNT
111A	ADMINISTRATOR/SUPERVISOR SALARIES	
111B	TEACHERS	
112A	EDUCATION AIDES	
112B	CLERICAL	
119	OTHER	
200	PERSONAL SERVICES-EMPLOYEE BENEFITS	
322	IN SERVICE	
324	FIELD TRIPS	
330	OTHER PROFESSIONAL TECHNICAL SERVICES	
510	PUPIL TRANSPORTATION	
530	COMMUNICATIONS	
580	TRAVEL	
590	OTHER PURCHASED SERVICES	
611	INSTRUCTIONAL SUPPLIES	
612	ADMINISTRATIVE SUPPLIES	
641	TEXTBOOKS	
700	PROPERTY	
940	INDIRECT COSTS	
	TOTAL	
XTLM	TOTAL LOCAL MATCHING	

_____ ORIGINAL REQUEST DATE	_____ STATE DEPARTMENT OF EDUCATION	_____ DATE OF
_____ REVISED REQUEST DATE	_____ PROGRAM MANAGER AUTHORIZATION	_____ APPROVAL

**APPENDIX N**

**ED 114 BUDGET NARRATIVE FORM EL/CIVICS– FY 2013**

Provide detail on the cost factors included in each line item.

Refer to the *Budget Code Descriptions* on page 40 for budget line item descriptions.

LINE ITEMS	NARRATIVE	LINE ITEM TOTALS
111A	ADMINISTRATOR/SUPERVISOR SALARIES	\$
111B	TEACHERS	\$
112A	EDUCATION AIDES	\$
112B	CLERICAL	\$
119	OTHER	\$
200	PERSONAL SERVICES – EMPLOYEE BENEFITS	\$
322	IN SERVICE	\$
324	FIELD TRIPS	\$
330	OTHER PROFESSIONAL TECHNICAL SERVICES	\$
510	PUPIL TRANSPORTATION	\$
530	COMMUNICATIONS	\$
580	TRAVEL	\$
590	OTHER PURCHASED SERVICES	\$
611	INSTRUCTIONAL SUPPLIES (Instructional supplies and/or instructional equipment less than \$1000)	\$
612	ADMINISTRATIVE SUPPLIES	\$
641	TEXTBOOKS	\$
700	PROPERTY	\$
940	INDIRECT COSTS (Only for agencies with a CSDE approved indirect rate)	\$
	<b>TOTAL</b>	\$

**APPENDIX O**  
**ED 114 BUDGET NARRATIVE FORM EL/CIVICS– FY 2013 MATCHING FUNDS**

Provide detail on the cost factors included in each line item.  
Refer to the *Budget Code Descriptions* on page 40 for budget line item descriptions.

LINE ITEMS	NARRATIVE	LINE ITEM TOTALS
111A	ADMINISTRATOR/SUPERVISOR SALARIES	\$
111B	TEACHERS	\$
112A	EDUCATION AIDES	\$
112B	CLERICAL	\$
119	OTHER	\$
200	PERSONAL SERVICES - EMPLOYEE BENEFITS	\$
322	IN SERVICE	\$
324	FIELD TRIPS	\$
330	OTHER PROFESSIONAL TECHNICAL SERVICES	\$
510	PUPIL TRANSPORTATION	\$
530	COMMUNICATIONS	\$
580	TRAVEL	\$
590	OTHER PURCHASED SERVICES	\$
611	INSTRUCTIONAL SUPPLIES (Instructional supplies and/or instructional equipment less than \$1000)	\$
612	ADMINISTRATIVE SUPPLIES	\$
641	TEXTBOOKS	\$
700	PROPERTY	\$
940	INDIRECT COSTS (Only for agencies with a CSDE approved indirect rate)	\$
	<b>TOTAL</b>	<b>\$</b>

## APPENDIX P

### BUDGET CODE DESCRIPTIONS

- 111A Administrator/Supervisor Salaries \*  
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 \*  
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 are 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 Improvement Services) \*  
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 Other Professional/Technical 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 \*  
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, or 580. 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 \*  
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 State Department of Education to apply for a restricted and unrestricted rate. Only grantees that have received rate approvals are eligible to claim indirect costs.

**\*These lines count towards administrative costs which should total no more than 5 percent of the total budget. Requests for waiver must be addressed to Susan Pierson if administrative costs exceed 5 percent.**

**APPENDIX Q**

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

**PROJECT TITLE:** \_\_\_\_\_

**THE APPLICANT:** \_\_\_\_\_ **HEREBY ASSURES THAT:**

(Insert Agency/School 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 Connecticut State Board of Education and the 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 State Department of Education, including information relating to the project records and access thereto as the 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 State Department of Education any moneys not expended in accordance with the approved program/operation budget as determined by the audit;

## **L. Required Contract Language:**

- 1) For purposes of this section, "Commission" means the Commission on Human Rights and Opportunities.

For the purposes of this section, "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: (a) who are active in the daily affairs of the enterprise, (b) who have the power to direct the management and policies of the enterprise and (c) who are members of a minority, as such term is defined in subsection (a) of Conn. Gen. Statue Section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "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.

For purposes of this section, "sexual orientation" means having a preference for heterosexuality, homosexuality or bisexuality, having a history of such preference or being identified with such preference, but excludes any behavior which constitutes a violation of part VI of chapter 952 of the general statutes.

- 2) 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, mental retardation 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. If the contract is for a public works project, 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 project. 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, mental retardation, 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; (b) 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; (c) 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, advising the labor union or worker's 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; (d) the contractor agrees to comply with each provision of this section and Conn. Gen. Stat. Sections 4a-62, 32-9e, 46a-56 and 46a-68b to 46a-68k, inclusive, and with each regulation or relevant order issued by said Commission pursuant to said sections; (e) 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 section 46a-56.
- 3) 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.
- 4) The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.
- 5) The contractor shall include the provisions of subsection (2) 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 this section and Conn. Gen. Statute Sections 4a-62, 32-9e, 46a-56 and 46a-68b to 46a-68k, inclusive; 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.

- 6) 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.
- 7) (a) 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 matter prohibited by the laws of the United States or of the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (b) 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; (c) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56 of the general statutes; (d) 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 section 46a-56 of the general statutes.
- 8) The contractor shall include the provisions of subsection (7) 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 section 46a-56 of the general statutes; 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 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 thereunder are hereby incorporated by reference.

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

Signature \_\_\_\_\_

Name (typed) \_\_\_\_\_

Title (typed) \_\_\_\_\_

Date \_\_\_\_\_

## APPENDIX R

### 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 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.

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 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 S

### 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.

Affirmative Action Office  
State Department of Education  
(860) 807-2071

(Rev 6/99)

**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 46a71(d) and 46a-81 i(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: \_\_\_\_\_

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

**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	
		MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	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

## 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, plant 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**

NAME AND ADDRESS OF AWARDING AGENCY:	NAME AND ADDRESS OF CONTRACTOR:
--------------------------------------	---------------------------------

<p><b>PROJECT NO:</b> _____</p> <p><b>DATE AWARDED:</b> _____</p> <p><b>DATE BID OPENED:</b> _____</p>	
--	--

**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.)*

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

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 set out in  
(Awarding Agency)

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 following  
(Contractor)  
minority business subcontractors or suppliers of materials for Contract No. \_\_\_\_\_ with  
\_\_\_\_\_ that are not registered with the Department of  
(Awarding Agency)  
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 T

### CONSIDERATIONS FOR FUNDING

#### **Evaluation of Applications**

In awarding grants under the Program Improvement Projects (PIP) RFP, the State provides for a standardized evaluation process and evaluates the considerations defined in Section 231 (e). Evidence required to support each consideration has been defined by the eligible agency and is printed in italics with the corresponding consideration.

1. The degree to which the eligible provider establishes measurable goals for participant outcomes as evidenced by goals which reflect interim learning gains and program completion outcomes.
2. The past effectiveness of an eligible provider in improving the literacy skills of adults and families as evidenced by past performance of successful student outcomes which reflect literacy attainment. After the one year period, beginning with the adoption of the eligible agency's performance measures under section 212, the success of the eligible provider receiving funding will be evidenced by meeting or exceeding performance measures, especially with respect to those adults with the lowest levels of literacy.
3. The commitment of the eligible provider to serve individuals in the community who are most in need of literacy service, including individuals who are low income or have minimal literacy skills as evidenced by an objective statement of need.
4. *a.* Whether or not the program is of sufficient intensity and duration for participants to achieve substantial learning gains as defined by the performance measures under Section 212. Sufficient intensity and duration shall be evidenced by a program design suitable to achieve applicable performance measures.  
  
*b.* Whether or not the program uses instructional practices such as phonemic awareness, systematic phonics, fluency and reading comprehension that research has proven effective in teaching individuals to read as evidenced by program design and/or curriculum for all programs providing reading, mathematics or writing instruction (e.g., STAR, Numeracy or Writing Matters).
5. Whether the instructional activities in reading, writing, English language learning and numeracy are built on a strong foundation of research and effective educational practice as evidenced by program design.
6. Whether the activities effectively employ advances in technology, as appropriate, including the use of computers as evidenced by program design and/or curriculum and the accessibility of hardware and software applications as appropriate.
7. Whether the activities provide learning in real life contexts (i.e. CASAS Competencies) to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship as evidenced by program design and/or curriculum which focus on skills for the workplace or citizenship.
8. Whether the activities are staffed by well-trained instructors, counselors and administrators as evidenced by appropriate certification.

9. Whether the activities coordinate with other available resources in the community such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, One Stop Centers, job training programs and social service agencies as evidenced by formal collaborations and the commitment of the provider to assess and address the literacy and nonliteracy support services of participants.
10. Whether the activities offer flexible schedules and support services (such as childcare and transportation) that are necessary to enable individuals, including individuals with disabilities or special needs, to attend and complete programs as evidenced by program schedules and documentation of support services available.
11. Whether the activities include maintenance of a high quality information management system that has the capacity to report participant outcomes and to monitor program performance against the performance measures as evidenced by prior participation in or a commitment to participate in the eligible agency's Connecticut Competency System and CT Adult Reporting System (CARS) and to submit comprehensive, timely and accurate data.
12. Whether the local communities have a demonstrated need for additional English literacy 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. Program Improvement Project RFP will specify to eligible providers which rules, policies, and requirements are imposed by the State.

**APPENDIX U**

**REGIONAL WORKFORCE DEVELOPMENT BOARD DIRECTORS**

<b>WORKFORCE INVESTMENT AREAS (WIA)</b>	<b>DIRECTORS</b>	<b>PHONE AND FAX</b>
Southwest The WorkPlace	Joseph M. Carbone, Executive Director The WorkPlace 350 Fairfield Avenue Bridgeport, CT 06604	203-610-8502 203-335-9703 (FAX)
North Central Capital Workforce Partners	Thomas Phillips, President/CEO Capital Workforce Partners 1 Union Place Hartford, CT 06103	860-522-1111x12 860-722-2486 (FAX)
South Central 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)
Eastern Eastern CT Workforce Investment Board	John Beauregard, Executive Director Eastern CT Workforce Investment Board 108 New Park Avenue Franklin, CT 06254	860-859-4100 860-859-5741 (FAX)
Northwest Northwest Regional Workforce Investment Board	Catherine Awwad, Executive Director Northwest Regional Workforce Investment Board 249 Thomaston Avenue Waterbury, CT 06702	203-574-6971 x 426 203-573-8951 (FAX)



## Workforce Investment Boards Service Delivery Areas

Southwest (20)	
Ansonia	Norwalk
Beacon Falls	Oxford
Bridgeport	Seymour
Darien	Shelton
Derby	Stamford
Easton	Stratford
Fairfield	Trumbull
Greenwich	Weston
Monroe	Westport
New Canaan	Wilton

Northwest (41)		
Barkhamsted	Litchfield	Salisbury
Bethel	Middlebury	Sharon
Bethlehem	Morris	Sherman
Bridgewater	Naugatuck	Southbury
Brookfield	New Fairfield	Thomaston
Canaan	New Hartford	Torrington
Cheshire	New Milford	Warren
Colebrook	Newtown	Washington
Cornwall	Norfolk	Waterbury
Danbury	North Canaan	Watertown
Goshen	Prospect	Winchester
Hartland	Redding	Wolcott
Harwinton	Ridgefield	Woodbury
Kent	Roxbury	

North Central (37)		
Andover	Farmington	Somers
Avon	Glastonbury	South Windsor
Berlin	Granby	Southington
Bloomfield	Hartford	Stafford
Bolton	Hebron	Suffield
Bristol	Manchester	Tolland
Burlington	Marlborough	Vernon
Canton	New Britain	W. Hartford
East Granby	Newington	Wethersfield
East Hartford	Plainville	Windsor
East Windsor	Plymouth	Windsor Locks
Ellington	Rocky Hill	
Enfield	Simsbury	

Eastern Region (41)		
Ashford	Killingly	Preston
Bozrah	Lebanon	Putnam
Brooklyn	Ledyard	Salem
Canterbury	Lisbon	Scotland
Chaplin	Lyme	Sprague
Colchester	Mansfield	Sterling
Columbia	Montville	Stonington
Coventry	New London	Thompson
East Lyme	North Stonington	Union
Eastford	Norwich	Voluntown
Franklin	Old Lyme	Waterford
Griswold	Plainfield	Willington
Groton	Pomfret	Windham
Hampton		Woodstock

South Central (30)		
Bethany	Essex	New Haven
Branford	Guilford	North Branford
Chester	Haddam	North Haven
Clinton	Hamden	Old Saybrook
Cromwell	Killingworth	Orange
Deep River	Madison	Portland
Durham	Meriden	Wallingford
East Haddam	Middlefield	West Haven
East Hampton	Middletown	Westbrook
East Haven	Milford	Woodbridge