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**CONNECTICUT OFFICE OF EARLY CHILDHOOD**

**Smart Start**  
**May 1, 2015 to June 30, 2017**



**Legislative Authority**

Public Act 14-41

**RFP**  
**810**

**Due Date**

**December 19, 2014**

**MYRA JONES-TAYLOR, PH.D.  
COMMISSIONER**

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Levy Gillespie  
Equal Employment Opportunity Director/American with Disabilities Act Coordinator  
State of Connecticut Department of Education  
25 Industrial Park Road  
Middletown, CT 06457  
860-807-2101  
[Levy.Gillespie@ct.gov](mailto:Levy.Gillespie@ct.gov)

**The State of Connecticut Office of Early Childhood is an affirmative action/equal opportunity employer.**

# Table of Contents

I. Program Information and Requirements .....	4-7
Purpose .....	4
Background .....	4
Conditions for Funding .....	4
Eligible Applicants .....	5
Grant Period .....	6
Funds Available.....	7
II. Application Requirements.....	7-10
Cover Sheet .....	7
Proposal Abstract .....	7
Program Data.....	8
Accreditation/Head Start Approval Information .....	9
Proposed Services and Activities .....	9
Part I: Capital Improvements .....	9
Part II: Operations .....	9
Reporting and Evaluation .....	10
Budget Forms .....	10
Budget Justification.....	10
Statement of Assurances .....	10
Affirmative Action Packet.....	10
Date of Board Acceptance.....	11
III. Application Process .....	11-12
Obligation of Grantees .....	11
Freedom of Information Act.....	11
Management Control of the Program and Grant Consultation .....	11
Updating of Information.....	11
Definition of Terms .....	11-12
Due Date.....	12
Review of Proposal and Grant Awards .....	12
Other Program Requirements .....	12
IV. Review Criteria.....	13-14
Application Check List.....	13
Scoring Rubric .....	14
V. Application Form.....	15-26
Cover Page .....	15
Proposal Abstract: Capital Improvements .....	16
Proposal Abstract: Operations.....	17
Documentation and Evaluation .....	18
Inclusion of Special Populations and Collaboration.....	20
Sample Budget Justification .....	22
Capital Improvements Budget .....	23
Operations Budget.....	24
Capital Improvement Budget Justification .....	25
Operations Budget Justification .....	26
VI. Appendices .....	27-37
Appendix A. Budget Object Codes .....	27
Appendix B. Affirmative Action Plan.....	30
Appendix C. Statement of Assurances .....	31
Appendix D. Unmet Need .....	36
Appendix E. Approved Sliding Fee Scales .....	37

## Part I. Program Information and Requirements

### **Purpose**

Smart Start is intended to serve the following purpose as specified in Public Act 14-41:

“To reimburse local and regional boards of education for capital and operating expenses related to establishing or expanding a preschool program under the jurisdiction of the board of education for the town.”

### **Background**

The Connecticut Office of Early Childhood (OEC) is committed to providing children greater access to high-quality preschool programs in an effort to reduce the achievement gap between the state’s poorest students and their wealthier peers. Research shows that access to high-quality preschool programs provides important foundational skills needed for academic and lifelong success. Expanding preschool services to high-need children will increase opportunities for promoting children’s development and school readiness. Through Smart Start, more children can be engaged in high-quality preschool experiences that address the whole child including the developmental domains of cognition, science, mathematics, creative arts, language and literacy, physical health and development, social and emotional development, and social studies.

Grantees are able to propose expanding current preschool programs to include additional children or to develop new preschool programs. Funding must be used to support enrollment in preschool programs that are at minimum school-day and school-year in duration (i.e., a minimum of 6 hours/day and 180 days/year).

Local Education Agencies (LEAs) demonstrating unmet need are considered eligible and are invited to submit applications for Smart Start (see Appendix D).

This grant is intended to serve additional children who would not otherwise be able to enroll in a preschool program.

### **Conditions for Funding**

LEAs funded through this grant must:

- Locate proposed preschool classroom(s) in a public school or in a space maintained by an early care and education and child development provider, pursuant to an agreement between the board of education and the provider;
- Hold accreditation and be in good standing with the National Association for the Education of Young Children (NAEYC), be approved and/or in good standing with the federal Head Start program, have documentation that they are in the process of obtaining accreditation from NAEYC or have a plan to ensure that the program will be accredited within three years of receiving funding through Smart Start;
- Comply with annual interim quality measures while seeking accreditation (Early Childhood Environmental Rating Scale);
- Submit a letter of support for establishing or expanding a preschool program by the local or regional School Readiness Council, if any, for the school district.
- Have class sizes that do not exceed 18 children;

- Demonstrate evidence of cooperating and coordinating with other governmental and community programs to provide services during periods when the preschool program is not in session; and
- Demonstrate how they will prioritize enrollment of children with special needs and children who are dual language learners.

Priority for funding will be given to boards of education that:

- Demonstrate the greatest need for the establishment or expansion of a preschool program;
- Allocates at least sixty percent of the spaces to children who are members of families that are at or below seventy-five percent of the state median income, or fifty percent of the of the spaces to children who are eligible for free and reduced price lunches; and
- Offer a full-day kindergarten program to all children.

LEAs may utilize other funding streams that may be available locally and/or privately. LEAs may also collect family fees for services provided through Smart Start (see Appendix E).

Each classroom proposed for funding must be taught by an individual who is an employee of the board of education and holds certification pursuant to Connecticut General Statutes Sec. 10-145b with an endorsement in early childhood education or early childhood special education as follows:

- 112 Integrated Early Childhood/Special Ed., Birth - K
- 113 Integrated Early Childhood/Special Ed., N/K through grade 3
- 001 PreK-Grade 8
- 002 PreK – Grade 6
- 003 PreK-Grade 3
- 008 PreK-K
- 065 Comprehensive Special Education PreK-Grade 12

The LEA must guarantee that any classroom that has been renovated using Smart Start funds will remain in use as a pre-kindergarten classroom for the duration of the Smart Start funding period for operating expense.

### **Eligible Applicants (P.A. 14-41 (b)(1))**

LEAs are eligible to apply if they either:

- Have been determined through a statewide needs assessment conducted by the Connecticut Health and Educational Facilities Authority (CHEFA) on behalf of the OEC to have an unmet need for additional preschool spaces for high-needs 3- and 4-year-olds in their community.

(Refer to Appendix D for a list of eligible LEAs.)

OR,

- Have not been determined eligible as a result of the statewide needs assessment conducted on behalf of the OEC, but can demonstrate an unmet need. Any LEA not found to have an unmet need based on the statewide needs assessment must submit a justification with supporting documentation demonstrating unmet need. Evidence of need requires significant documentation as well as a statement by the Chief Elected Official and Superintendent of Schools about the unmet need.

## Grant Period

Following approval, the OEC anticipates the funding of Smart Start for a five-year period based on the availability of funds. The funding will be allocated in two parts:

- 1) Capital expenses (not to exceed \$75,000 per classroom) for costs related to renovation of an existing public school in year one of the grant; and
- 2) Operating expenses for years two through five of the grant (not to exceed \$5,000 per child, OR in an amount not to exceed \$75,000 for each preschool classroom; annual operating costs cannot exceed \$300,000 per town).

Operations funding will be awarded for a period not to exceed six years. The LEA is responsible for entering the budget on an annual basis using the ED114 Prepayment Grant System.

Funding Year	Capital Expenses for Renovations	Operations
2014-2015	Up to \$75,000 per classroom	Not Available
2015-2016	Up to \$75,000 per classroom	\$5,000/child = \$75,000/classroom (maximum of \$300,000)
2016-2017	Up to \$75,000 per classroom	\$5,000/child = \$75,000/classroom (maximum of \$300,000)
2017-2018	Up to \$75,000 per classroom	\$5,000/child = \$75,000/classroom (maximum of \$300,000)
2018-2019	Up to \$75,000 per classroom	\$5,000/child = \$75,000/classroom (maximum of \$300,000)
2019-2020	Up to \$75,000 per classroom	\$5,000/child = \$75,000/classroom (maximum of \$300,000)
2020-2021	Up to \$75,000 per classroom	\$5,000/child = \$75,000/classroom (maximum of \$300,000)
2021-2022	Up to \$75,000 per classroom	\$5,000/child = \$75,000/classroom (maximum of \$300,000)
2022-2023	Up to \$75,000 per classroom	\$5,000/child = \$75,000/classroom (maximum of \$300,000)
2023-2024	Up to \$75,000 per classroom	\$5,000/child = \$75,000/classroom (maximum of \$300,000)
2024-2025	Not Available	\$5,000/child = \$75,000/classroom (maximum of \$300,000)

## **Funds Available**

The amount of \$15,000,000 is anticipated to be available for capital expenses for funding year 2014-2015. \$10,000,000 per year is anticipated to be available for capital expenses per year thereafter for nine years.

The amount of \$10,000,000 is anticipated to be available for operating expenses for funding year 2015-2016. \$10,000,000 is anticipated to be available for operating expenses per year thereafter for nine years.

New applicants for Smart Start funds may be considered on an annual basis.

Successful applicants are required to submit updated narrative reports, budgets and budget justifications to the Office of Early Childhood every two years. The applicant will be responsible for entering the budget on an annual basis using the ED114 Prepayment Grant System.

All grants shall be awarded within the limits of available funding. Should all available funds not be obligated the OEC reserves the right to reissue this application.

## **Part II: Application Requirements**

THE FOLLOWING FORMAT IS REQUIRED FOR ALL APPLICATIONS. THE OEC WILL NOT ACCEPT MODIFICATIONS, ADDITIONAL PAGES, ATTACHMENTS OR APPENDICES.

### **Cover Sheet**

The format for the cover sheet appears on page 15 of this document. The cover sheet must be signed by the Superintendent of Schools, the Chief Elected Official and the Chairperson of the local board of education. The cover page must identify the amount of funding requested for capital improvements and/or operating expenses as well as the number of proposed classrooms and number of additional preschool children to be served as a result of Smart Start funding.

### **Proposal Abstracts**

Separate abstracts are required for requests that include funding for both capital improvements and operating costs. The abstracts must include how the applicant plans to meet the purpose of the Smart Start and provide high-quality preschool programing. The following information must be included:

#### Capital Improvements

- Key features of the capital improvements and program operations;
- Specific capital improvements planned (including specific information about capital improvements necessary to meet NAEYC program accreditation standards); and
- Number of classrooms to be created through Smart Start.

#### Operations

- A letter of support for establishing or expanding a preschool program by the local or regional School Readiness Council, if any, for the school district;

- Total number of additional preschool children to be served as a result of Smart Start;
- NAEYC accreditation/demonstration of commitment to secure NAEYC accreditation within three years of operation or Head Start approval;
- How Smart Start will contribute to the district’s efforts to create a coherent pre-Kindergarten to 3<sup>rd</sup> Grade continuum;
- Plans for recruitment and prioritization of children who are dual language learners (DLL) or identified with special needs and projections of how many children from the categories will be served;
- Plan for hiring and retaining qualified staff including a teacher for each classroom that meets the requirements detailed in the conditions for funding on page two of this application;
- Evidence of cooperation and coordination with other governmental and community programs to provide services during periods when the preschool program is not in session (e.g. after school, winter and summer breaks, etc.);
- Plans for charging tuition using the required sliding fee scale (see Appendix E) or a statement that the program will not charge tuition; and
- Evidence of collaboration with other governmental and community programs to make appropriate referrals for other services as needed.

**Program Data**

Please complete the following table

Program address	Number of classrooms	Number of children	Hour per day	Days per year



**Accreditation/Head Start Approval Information**

Are you accredited by NAEYC or a federal Head Start grantee? If yes, complete the following information:

NAEYC ID#	Valid until date	Are you aware of and planning to meet NAEYC's renewal timeline?	Have you submitted Intent to Renew?	Have you submitted Renewal Materials? If yes, indicate date.	Has the program been denied candidacy, or deferred or denied accreditation by NAEYC?	Are you a Federal Head Start grantee?	If you are a Federal Head Start grantee what is your annual funding month?

If not currently accredited or a federal Head Start grantee complete the following information:

Have you enrolled (Step 1) with NAEYC?	Have you applied (Step 2) for accreditation? If yes, indicate candidacy date.	If not currently enrolled, planned enrollment date?	If not currently enrolled, planned application date?

**Proposed Services and Activities**

**Part I: Capital Improvements**

Describe the facility and capital improvements planned in order to meet NAEYC and/or Head Start Program Standards. Include a timeline detailing when the planned improvements are to take place as well as specific reference to the NAEYC Standards and Accreditation Criteria and/or Head Start program standards that are being addressed. Note that educational environments include both indoor and outdoor space used by children. New construction will not be considered for this grant program.

Applications for capital improvements will not be considered unless an approved operations plan (Part II of this application) is submitted.

**Part II: Operations**

Describe the staffing patterns that will enable services to be provided in accordance with NAEYC and/or Head Start Program Standards. Identify all proposed staff/positions (e.g. teachers, paraprofessionals, classroom aides) to be funded through Smart Start and the proposed rates of pay.

The plan must include the hours and days of operation, as well as how the program will coordinate with other governmental and community programs to provide services during periods when the preschool program is not in session. Please address plans for collaboration with other agencies and services to meet the needs of the children you propose serving.

Describe how the program will address the cycle of intentional teaching (learning standards, curriculum and assessment), including use of the Connecticut Early Learning and Development Standards (CT ELDS), and aligned student assessments appropriate for the developmental level and intended purpose. Describe how the LEA proposes to actively engage and form partnerships with families in order to support children's learning.

Describe the need for programming for children with identified special needs and those who are dual language learners. Provide detail about how the program will recruit and include children with special needs and those who are dual language learners. Include a description of how you will ensure the number of children with special needs does not exceed the proportion of children with special needs in grades K through 12. Describe specific efforts to meet students' unique needs.

Provide information about family fee collection if the program intends to charge tuition using the approved sliding fee scale (see Appendix E). Please provide information about other funding sources for the program.

### **Reporting and Evaluation**

Each local or regional board of education receiving Smart Start funding shall submit an annual report, in a format prescribed by the Office of Early Childhood, regarding the status and operations of the preschool program.

### **Budget Forms**

Use the appropriate form(s) on pages 23 through 24 to indicate how the grant funds will be expended for each year of funding. A grantee (fiscal agent) with delegate agencies must provide a composite budget that includes proposed expenditures for the delegate agencies. Such fiscal agent must complete individual budget justification sheets and attach for each delegate agency represented in the composite budget.

Applicants must provide budget amounts for the periods of: May 1, 2015, through June 30, 2016 for capital improvements and July 1, 2015, through June 30, 2016 for operating expenses. **The OEC does not permit grantees to use more than 5 percent of the total budget for administrative costs.** Administrative costs are reflected on budget lines 111A.

The alignment of the budget with the purpose and scope of Smart Start is one of the criteria for award consideration.

### **Budget Justification**

Provide a detailed explanation by code number of the line item expenditures in each budget. Separate budgets for capital expenses and program operations are required.

### **Statement of Assurances**

The Statement of Assurances must be signed and included with this application and certified on the Cover Sheet by the applicant agency.

### **Affirmative Action Packet**

In accordance with the regulation established by the Commission on Human Rights and Opportunities, each applicant is required to have a completed Affirmative Action Packet on file with the Connecticut Office of Early Childhood (OEC). This grant application contains the "Affirmative Action Certification Form" certifying that an Affirmative Action Plan is on file with OEC. The individual authorized to sign on behalf of the applicant must sign and return the Affirmative Action Certification Form and submit such form with the grant application.

## **Date of Board Acceptance**

If it is not possible to obtain board approval prior to December 19, 2014, please submit the application by this date. Send official board approval no later than January 9, 2015.

## **Part III: Application Process**

### **Obligations of Grantees**

All bidders are hereby notified that the grant to be awarded is subject to contract compliance requirements as set forth in C.G.S. Sections 4a-60, 4a-60a and Sections 4a-68j-1 et seq. of the Regulations of the Connecticut State Agencies.

The grantee must submit periodic reports of its employment and sub-contracting practices in such form, in such a manner and in such time as may be prescribed by the Commission on Human Rights and Opportunities.

### **Freedom of Information Act**

All of the information contained in a proposal submitted in response to this Request for Proposal (RFP) is subject to the Freedom of Information Act Sections 1-200 et seq. (FOIA). The FOIA declares that, except as provided by federal law 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 record and receive a copy of such records.

### **Management Control of the Program and Grant Consultation**

The grantee must have complete management control of this grant. While the OEC staff may be consulted for their expertise they will not be directly involved in the expenditure and payment of funds.

### **Updating of information**

The applicant is required to provide updates of any changes in program administration and copies of all reports relating to findings, deficiencies or investigations by Head Start, the CT Department of Public Health or local health department, the U.S. Department of Health and Human Services, the CT Department of Children and Families or any agency or organization reviewing the program or program staff.

- Self-reporting of information (including accompanying documentation) must be received by the OEC program manager within 72 hours of any significant incident or report.

### **Definition of Terms**

- The following definitions should be considered when drafting the application:
- *School day*: programming provided for a minimum of 6 hours
- *School year*: programming provided for a minimum of 180 days
- *Children with special needs*: children who have an Individual Education Program (IEP)
- *Dual language learners*: children who are acquiring two or more languages simultaneously. The term encompasses other terms frequently used e.g. Limited English Proficient (LEP), bilingual, English Language Learners (ELL), children who speak a language other than English (LOTE)
- *Capital improvement*: a structural improvement or restoration of some aspect of a property that will improve the property's ability to function as a pre-Kindergarten

classroom based on NAEYC Standards and Accreditation Criteria or Head Start program standards (includes furnishings/equipment with a ten year life).

- *Unmet need:* a documented deficit of center-based pre-Kindergarten programs for 3 and 4 year-olds.

### **Due Date**

An electronic copy of the grant application must be received by 4:30 PM on December 19, 2014. Additionally, original signature pages as well as a copy of the application on a CD must be received by 4:30 PM on December 19, 2014. Original signatures must be received by the due date **IRRESPECTIVE OF POSTMARK DATE**. Faxed copies of the signatures will not be accepted.

### **Mailing and Delivery Information**

<u>Mailing Address:</u> Andrea Brinnel, Smart Start Manager CT Office of Early Childhood PO Box 2219 Hartford, CT 06145-2219	<u>Delivery Address:</u> CT Office of Early Childhood 165 Capitol Avenue, Room G-17 Hartford, CT 06106 <a href="mailto:oeec@ct.gov">oeec@ct.gov</a>
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### **Review of Proposals and Grant Awards**

The OEC reserves the right to make grant awards under this program without discussion with applicants. Therefore, applicants should submit proposals that present the project in the most favorable light from both technical and cost standpoints.

The Smart Start Manager will be available to answer questions concerning this RFP at [andrea.brinnel@ct.gov](mailto:andrea.brinnel@ct.gov) or 860-713-6771. A bidder's conference will be held on November 3, 2014 from 9:00 to 11:30 AM in Room 307 A/B of the State Office Building located at 165 Capitol Avenue in Hartford. The conference will also be live streamed in Conference Room 3 at The Connecticut State Department of Education Middletown offices located at 25 Industrial Park Rd. If attending the live streaming in Middletown, please enter through the rear entrance. Attendees will be required to sign in with security.

The OEC will review and rate proposals according to the Review Criteria in this RFP. The OEC intends to announce grant awards by May 2015.

### **Other Program Requirements**

The OEC may conduct announced and unannounced on-site monitoring visits of any grant awardees.

The OEC requires LEAs that receive funding under this grant to submit annual and monthly activity reports and attend meetings as scheduled by the OEC.

Annual reports must be submitted to the OEC, on or before August 15 following the end of the funding year.

Within 60 days after the close of the fiscal year, each grantee must file a financial statement of expenditures with the OEC on such forms as prescribed by the OEC.

LEAs receiving Smart Start funding (for capital improvements and/or operations) are required to participate in evaluations conducted by or on behalf of the Office of Early Childhood.

**SMART START GRANT**

**Application Checklist**

	Yes	No
Proposal Abstract for Capital Improvements		
Budget for Capital Improvements		
Budget Justification Sheet for Capital Improvements		
Proposal Abstract for Operating Expenses		
Budget for Operating Expenses		
Budget Justification for Operating Expenses		
NAEYC Accreditation/Head Start Approval or Evidence of Application		
Letter of support from School Readiness Council (if applicable)		
Statement of Assurances		
Affirmative Action Packet		

**Scoring Rubric**

**1. Applicant meets basic requirements**

All basic requirements must be met to be considered for funding.

	Yes	No
Letter of support from School Readiness Council (if applicable)		
Additional preschool spaces are proposed.		
NAEYC accredited <u>or</u> have a detailed plan to achieve NAEYC accreditation <u>or</u> Head Start approved.		
Unmet need is documented through statewide needs assessment or through the provision of specific data.		
Program is able to demonstrate a plan for proportional enrollment of children: <ul style="list-style-type: none"> <li>• With special needs (proportionate to K-12 enrollment)</li> <li>• Who are dual language learners</li> </ul>		
All teachers have required certification.		
Proposed class size does not exceed 18.		
Expenditures for administrative costs in the proposed budget do not exceed 5 percent.		

**2. Overall Proposal:**

The proposal is able to demonstrate the LEA’s ability to provide a high-quality preschool program for 3- and 4-year-olds.

	Points Awarded	Possible Points
Offers full-day kindergarten to all age eligible children		5
Allocates at least sixty percent of the spaces to children who are members of families that are at or below seventy-five percent of the state median income, or fifty percent of the of the spaces to children who are eligible for free and reduced price lunches and has a recruitment plan.		10
Staffing patterns are appropriate		5
Describes a cycle of intentional teaching and use of Connecticut Early Learning and Development Standards (planning and implementation/observing and assessing).		10
Describes efforts to engage families.		5
Use of appropriate child assessments and appropriate use of assessment data.		10
Includes plan for Smart Start as a part of a Pre-Kindergarten to Grade 3 continuum.		5
Describes collaborative and coordinating efforts with local agencies and organizations to provide services when school is not in session.		5

**(55)**

**3. Program Evaluation**

There is a plan to use the child and program evaluation data for continuous program improvement		10
Plans for program evaluation include data collection methods and tools (e.g. ECERS, CLASS, parent surveys, etc.).		10

**(20)**

**4. Budget**

Proposed capital expenditures are tied to specific NAEYC and Head Start program standards.		5
Proposed expenditures for capital improvements are appropriate and cost effective.		5
Proposed expenditures for program operations are appropriate.		5
Budget justifications for capital improvements provide detailed information on how the funds are to be spent.		5
Budget justifications for program operations provide detailed information on how the funds are to be spent.		5

**(25)**

**TOTAL**

Possible Points	Points Scored
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<b>100</b>	
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**Connecticut Office of Early Childhood  
SMART START APPLICATION**

**GRANT PERIOD**  
**June 30, 2015 to June 30, 2020**

**GRANT COVER PAGE**

School District
Contact Name
Address
Telephone Number
Contact E-mail Address

\*It is the responsibility of the grantee to provide up-to-date contact information. In the event of any changes, contact information must be reported to the Smart Start Manager within five business days.

I hereby certify that the information contained in this application is true and accurate to the best of my knowledge and belief.

Chairperson, Board of Education	Date

Superintendent of Schools	Date

Chief Elected Official	Date

Number of Classrooms	Total Number of Children

Total Funds Requested \$	Capital Improvements \$	Annual Operating Expenses \$

**Proposal Abstracts**

Provide a one-page abstract that contains a summary for each of the funding requests. There should be a separate abstract for capital expenses and a separate abstract for operations. Use space provided.

Capital Improvement Abstract



Operations Abstract

## **Documentation and Evaluation**

Describe the methods and procedures used to evaluate the program, classroom and children's progress. Describe how the data gathered will be used for continuous program improvement as well as planning for instruction, including strategies for sharing progress and communicating with families. Use space provided as necessary.

**Documentation and Evaluation (continued)**

**Inclusion of special populations and collaboration**

Describe how the program will prioritize enrollment of children who are dual language learners and/or have special needs. Describe how the program will collaborate with other agencies and organizations to provide services for children. Use space provided as necessary.

**Inclusion of special populations and collaboration (continued)**

**SAMPLE BUDGET JUSTIFICATION**

Year 1 & 2

Indicate costs of implementing Funding Years 2014-2015 and 2015-2016 by budget code. Refer to Budget Object Codes in application packet for code descriptions. A worksheet is provided following each Budget Form page. Use additional pages if needed.

A summary explanation must be provided for each line item expenditure noted in your budget. Examples are provided below.

**Examples:**

Code #	Description	Expenditure Explanation
111B	INSTRUCTIONAL	3 hours per day for 39 weeks \$ 15,470 8 hours per day for 13 weeks (total 1,105 hours) 1,105 hours @\$14/hour x 1 teacher
200	PERSONAL SERVICES-EMPLOYEE BENEFITS	FICA @ 7.68% of salaries: \$1,925 \$ 7,063 Worker's Compensation 6.9% of salaries: \$850 Health Insurance @ \$3,525/staff/year: \$4,288

**SMART START**

**FISCAL YEARS 2015-2016**

**BUDGET FORM**

GRANTEE NAME:	TOWN CODE:
GRANT TITLE: <b>CAPITAL IMPROVEMENTS</b>	YEARS:
PROJECT TITLE:	
FUND:            SPID:            YEAR: 2015	PROG:            CF1:            CF2:
GRANT PERIOD: 7/1/15 – 6/30/17            AUTHORIZED AMOUNT: \$	

CODES	DESCRIPTIONS	BUDGET AMOUNT	
		FY 14-15	FY 15-16
300	PURCHASED SERVICES/TECHNICAL SERVICES		
400	PURCHASED PROPERTY SERVICES, INCLUDING CONSTRUCTION		
500	OTHER PURCHASED SERVICES		
600	OTHER SUPPLIES		
700	PROPERTY		
800	OTHER OBJECTS		
	<b>TOTAL</b>		

ORIGINAL REQUEST DATE	OFFICE OF EARLY CHILDHOOD	DATE OF
REVISED REQUEST DATE	PROGRAM MANAGER AUTHORIZATION	APPROVAL

**SMART START**

**FISCAL YEARS 2015-2016**

**BUDGET FORM**

GRANTEE NAME:	TOWN CODE:
GRANT TITLE: <b>OPERATIONS</b>	YEARS:
PROJECT TITLE:	
FUND:            SPID:            YEAR: 2015    PROG:            CF1:            CF2:	
GRANT PERIOD: 7/1/15 –6/30/17	AUTHORIZED AMOUNT: \$

CODES	DESCRIPTIONS	BUDGET AMOUNT	
		FY 15-16	FY 16-17
111A	NON-INSTRUCTIONAL SALARIES		
111B	INSTRUCTIONAL SALARIES		
200	PERSONAL SERVICES-EMPLOYEE BENEFITS		
322	INSERVICE		
323	PUPIL SERVICES		
324	FIELD TRIPS		
325	PARENTAL ACTIVITIES		
330	EMPLOYEE TRAINING AND DEVELOPMENT SERVICES		
340	OTHER PROFESSIONAL SERVICES		
400	PURCHASED PROPERTY SERVICES		
510	STUDENT TRANSPORTATION SERVICES		
530	COMMUNICATIONS		
580	TRAVEL		
600	SUPPLIES		
700	PROPERTY		
	<b>TOTAL</b>		

ORIGINAL REQUEST DATE	OFFICE OF EARLY CHILDHOOD	DATE OF
REVISED REQUEST DATE	PROGRAM MANAGER AUTHORIZATION	APPROVAL



## CAPITAL IMPROVEMENT BUDGET JUSTIFICATION

Indicate costs of implementing FY 15-16 and FY 16-17 by budget code. Refer to Budget Object Codes in application packet for code descriptions. Use additional pages if needed.

A summary explanation must be provided for each line item expenditure noted in your budget. You are only allowed to use the budget codes that have been assigned. **Please note that budget codes available differ for capital improvements and operating expenses.** You are required to complete a separate budget justification for each funding year and for each funding category (capital improvements and operating expenses).

Code #	Description

**OPERATIONS BUDGET JUSTIFICATION**

Indicate costs of implementing FY 15-16 and FY 16-17 by budget code. Refer to Budget Object Codes in application packet for code descriptions. Use additional pages if needed.

A summary explanation must be provided for each line item expenditure noted in your budget. You are only allowed to use the budget codes that have been assigned. **Please note that budget codes available differ for capital improvements and operating expenses.** You are required to complete a separate budget justification for each funding year and for each funding category (capital improvements and operating expenses).

Code #	Description

## APPENDIX A: Budget Object Codes

This list is a description of the budget codes. The list is provided to help you in designing budgets for operating expenses and capital improvements.

### 111A Non-Instructional

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 Instructional

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.

### 200 Personal Services - Employee Benefits

Amounts paid by the grantee on behalf of the employees whose salaries are reported in objects 100 or 111A and 111B. 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.

### 300 Purchased Professional and Technical Services

Services which, by their nature, can be performed only by persons or firms with specialized skills and knowledge. While a product may or may not result from the transaction, the primary reason for the purchase is the service provided. Included are the services of architects, engineers, auditors, dentists, medical doctors, lawyers, consultants, teachers, accountants, etc.

### 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 Employee Training and Development Services

Services supporting the professional and technical development of school district personnel, including instructional, administrative, and service employees. Included are course registration fees (that are not tuition reimbursement), charges from external vendors to conduct training courses (at either school district facilities or off-site), and other expenditures associated with training or professional development by third-party vendors.

### 340 Other Professional Services

Professional services other than educational services that support the operation of the school district. Included, for example, are medical doctors, lawyers, architects, auditors, accountants, therapists, audiologists, dieticians, editors, negotiations specialists, paying agents, systems analysts, and planners.

### 400 Purchased Property Services

Services purchased to operate, repair, maintain, and rent property owned or used by the grantee. These services are performed by persons other than grantee employees. While a product may or may not result from the transaction, the primary reason for the purchase is the service provided.

### 500 Other Purchased Services

Amounts paid for services rendered by organizations or personnel not on the payroll of the grantee (separate from Professional and Technical Services or Property Services). While a product may or may not result from the transaction, the primary reason for the purchase is the service provided.

### 510 Student Transportation Services

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

Services provided by persons or businesses to assist in transmitting and receiving messages or information. This category includes telephone and voice communication services; data communication services to establish or maintain computer based communications, networking, and Internet services; video communications services to establish or maintain one-way or two-way video communications via satellite, cable, or other devices; postal communications services to establish or maintain postage machine rentals, postage, express delivery services, and couriers. Include licenses and fees for services such as subscriptions to research materials over the Internet software, both 'downloaded' and 'off-the-shelf,' should be coded to objects 650 or 735.

### 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.

#### 600 Supplies

Amounts paid for items that are consumed, worn out, or deteriorated through use, or items that lose their identity through fabrication or incorporation into different or more complex units or substances.

#### 700 Property

Expenditures for acquiring fixed assets, including land or existing buildings, improvements of grounds, initial equipment, additional equipment, and replacement of equipment.

In accordance with the Connecticut State Comptroller's definition 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 and data processing equipment that has unit price under \$1,000.00 and a useful life of not less than five years.

#### 800 Debt Service and Miscellaneous

Amounts paid for goods and services not otherwise classified above.

**APPENDIX B: Affirmative Action Plan**

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

IF A CURRENT AFFIRMATIVE ACTION PLAN IS NOT ON FILE, COMPLETE THE AFFIRMATIVE ACTION PACKET 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 Office of Early Childhood. The Affirmative Action Plan is, by reference, part of this application.

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name of Authorized Official

APPENDIX C: Statement of Assurances

**STATEMENT OF ASSURANCES**

CONNECTICUT OFFICE OF EARLY CHILDHOOD  
STANDARD STATEMENT OF ASSURANCES  
GRANT PROGRAMS

**PROJECT TITLE:**

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**THE APPLICANT:**

HEREBY ASSURES THAT:

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(insert Agency/School/CBO Name)

- A. The applicant has the necessary legal authority to apply for and receive the proposed grant;
- B. The filing of this application has been authorized by the applicant's governing body, and the undersigned official has been duly authorized to file this application for and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application;
- C. The activities and services for which assistance is sought under this grant will be administered by or under the supervision and control of the applicant;
- D. The project will be operated in compliance with all applicable state and federal laws and in compliance with regulations and other policies and administrative directives of the Connecticut Office of Early Childhood;
- E. Grant funds shall not be used to supplant funds normally budgeted by the agency;
- F. Fiscal control and accounting procedures will be used to ensure proper disbursement of all funds awarded;
- G. The applicant will submit a final project report (within 60 days of the project completion) and such other reports, as specified, to the Connecticut Office of Early Childhood, including information relating to the project records and access thereto as the Connecticut Office of Early Childhood may find necessary;
- H. The Connecticut Office of Early Childhood 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 Connecticut Office of Early Childhood from financial loss and expense, including legal fees and costs, if any, arising out of any breach of the duties, in whole or part, described in the application for the grant;
- K. At the conclusion of each grant period, the applicant will provide for an independent audit report acceptable to the grantor in accordance with Sections 7-394a and 7-396a of the Connecticut General Statutes, and the applicant shall return to the Connecticut Office of Early Childhood any moneys not expended in accordance with the approved program/operation budget as determined by the audit;

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

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

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

- i. "Commission" means the Commission on Human Rights and Opportunities;
- ii. "Contract" and “contract” include any extension or modification of the Contract or contract;
- iii. "Contractor" and “contractor” include any successors or assigns of the Contractor or contractor;
- iv. "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose;
- v. “good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
- vi. "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;
- vii. "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced;
- viii. "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders;
- ix. "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) who are active in the daily affairs of the enterprise, (2) who



have the power to direct the management and policies of the enterprise, and (3) who are members of a minority, as such term is defined in subsection (a) of Connecticut General Statutes § 32-9n; and

- x. "public works contract" means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms "Contract" and "contract" do not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

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

Connecticut General Statutes § 46a-56. If the contract is a public works contract, the Contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works projects.

- (c) Determination of the Contractor's good faith efforts shall include, but shall not be limited to, the following factors: The Contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
- (d) The Contractor shall develop and maintain adequate documentation, in a manner prescribed by the Commission, of its good faith efforts.
- (e) The Contractor shall include the provisions of subsection (b) of this Section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Connecticut General Statutes §46a-56; provided if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.
- (f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.
- (g) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes § 46a-56; and (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to

pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this Section and Connecticut General Statutes § 46a-56.

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

**M.** The grant award is subject to approval of the Connecticut Office of Early Childhood and availability of state or federal funds.

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

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

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

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

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

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

## APPENDIX D: Unmet Need

The following communities have been identified by the Office of Early Childhood as having an unmet need for high-quality preschool in their community:

Ansonia	Easton	New Canaan	Southbury
Ashford	Ellington	New Fairfield	Southington
Avon	Enfield	New Hartford	Stafford
Barkhamsted	Farifield	New London	Stamford
Beacon Falls	Farmington	New Milford	Sterling
Berlin	Glastonbury	Newington	Stonington
Bethel	Granby	Newtown	Stratford
Branford	Greenwich	North Branford	Suffield
Bridgeport	Griswold (and Jewett City)	North Haven	Thompson
Bristol	Groton	North Stonington	Tolland
Brookfield	Guilford	Norwich (Taftville)	Torrington
Brooklyn	Haddam	Old Saybrook	Trumbull
Burlington	Hamden	Orange	Vernon (and Rockville)
Canton	Kent	Oxford	Wallingford
Cheshire	Killingly	Plainfield	Waterbury
Chester	Killingworth	Plainville	Waterford
Clinton	Lebanon	Plymouth	Watertown
Colchester	Ledyard	Pomfret	West Hartford
Coventry	Lyme	Portland	West Haven
Cromwell	Madison	Preston	Westport
Danbury	Manchester	Prospect	Wethersfield
Darien	Marlborough	Putnam	Willington
Deep River	Meriden	Redding	Wilton
Derby	Middlebury	Ridgfield	Winchester (and Winsted)
Durham	Middlefield	Rocky Hill	Windham
East Granby	Middletown	Salem	Windsor
East Haddam	Milford	Seymour	Windsor Locks
East Hampton	Monroe	Sharon	Wolcott
East Hartford	Montville	Shelton	Woodbury
East Haven	Naugatuck	Simsbury	Woodstock
East Lyme	New Britain	Somers	
East Windsor		South Windsor	

If your community is not listed above, you may apply for Smart Start funding by providing detailed evidence of unmet need in your community. Include specific data as well as the methodology used by the community to determine unmet need for preschool.

## APPENDIX E: Approved Sliding Fee Scale

Use the following link to access the OEC Administered State-Funded Program General Policy. Programs that choose to charge a parent fee must use the sliding fee scale that has been approved for use by School Readiness programs and Child Day Care contractors.

[http://www.ct.gov/oec/lib/oec/earlycare/smart\\_start\\_fee\\_schedule.pdf](http://www.ct.gov/oec/lib/oec/earlycare/smart_start_fee_schedule.pdf)