

CONNECTICUT STATE DEPARTMENT OF EDUCATION

**Division of Family and
Student Support Services**

**Bureau of Health/Nutrition, Family Services
and Adult Education**

Request for Proposals

After School Technical Assistance, Evaluation,
Accreditation Support Services Proposal and Professional Development

Purpose:

The purpose of this project is to identify one organization to work with the State Department of Education to increase the quality and capacity of after school state-funded programs by providing technical assistance, evaluation, accreditation support services and professional development that will improve student outcomes and create lifelong learners.

Pursuant to Connecticut General Statutes Section 10-16x as amended by Section 26 of Public Act 07-3.

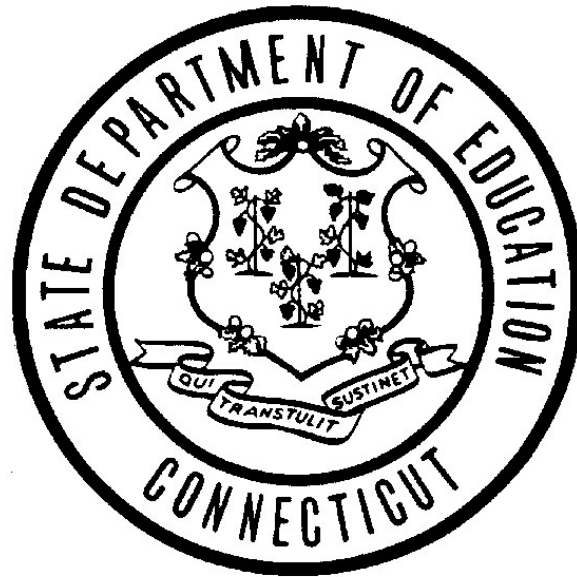
The State Department of Education reserves the right to make necessary policy changes after proposals are submitted and to negotiate awards with potential recipients.

Application Due Date: October 5, 2007

Published Date: September 7, 2007

RFP # 987

Connecticut State Department of Education



Mark K. McQuillan
Commissioner of Education

IT IS THE POLICY OF THE CONNECTICUT STATE BOARD OF EDUCATION THAT NO PERSON SHALL BE EXCLUDED FROM PARTICIPATION IN, DENIED THE BENEFITS OF, OR OTHERWISE DISCRIMINATED AGAINST UNDER ANY PROGRAM INCLUDING EMPLOYMENT, BECAUSE OF RACE, COLOR, RELIGIOUS CREED, SEX, AGE, NATIONAL ORIGIN, ANCESTRY, MARITAL STATUS, SEXUAL ORIENTATION, MENTAL RETARDATION AND PHYSICAL DISABILITY.

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I. Purpose

The purpose of this project is to identify one organization to work with the State Department of Education to increase the quality and capacity of after school state-funded programs by providing technical assistance, evaluation, accreditation support services and professional development, that will improve student outcomes and create lifelong learners.

II. Goals and Objectives

Connecticut has long recognized the significant benefits derived from promoting opportunities for academic and enrichment activities during out-of-school time hours. Since 2001, Connecticut, serving over 100,000 children in its lowest income school districts, has focused on determining how after school programs in these communities can help close an alarming achievement gap that has been recognized as the most rapidly widening in the country. To this end, Connecticut convened a state-wide steering committee, led by the State Department of Education, to bring together policymakers, educators, childcare providers, youth development workers, program developers, advocates, and others to establish strategies and guidelines to support effective after school programs and foster strong school-family-community partnerships.

One result of these efforts was the passage of Section 10-16x of the 2007 supplement, as amended by Section 26 of Public Act 07-3, mandating the creation of a new After School Grant Program and directing the State Department of Education to provide grant recipients with technical assistance, evaluation of their performance based on student achievement, accreditation support services and professional development. This proposal seeks to obtain the professional services of an organization to provide high-quality technical assistance, evaluation of state-funded after school programs using, but not limited to, performance outcomes such as school attendance, in-school suspension of student participants and student achievement, providing accreditation support services and delivering professional development activities. This work will support program quality and promote best practices for state-funded after school grant programs.

The funded organization will be required to provide the following:

1. Technical assistance by:
 - promoting quality standards that improve student achievement, school attendance and the in-school behavior of student participants;
 - identifying and disseminating information about successful after school practices and model schools and communities;
 - establishing guidelines for age-appropriate constructive activities for after school programs;
 - promoting after school related higher education and other credential courses;
 - assisting state after school grantees with their preparation and submission of the End of Year Report (EYR) to the State Department of Education; and

- providing training to the state-funded after school grantees in the use of a web-based data collection database.
2. Evaluate the state-funded after school program by:
- collaborating with the Department of Education in the design, data collection, evaluation and report writing of the state-funded after school program grantees' results of performance outcomes, to be submitted to the General Assembly by October 1, 2008; and
 - working closely with the state-funded grantees in the collection of the following:
 - Program Data –**
 - site information;
 - type of activities offered (academic, enrichment, recreational);
 - teacher surveys; and
 - demographics.
 - Student Data –**
 - school attendance;
 - student achievement (e.g., grades, standardized test scores); and
 - in-school behavior (e.g., detentions, in-school suspensions and expulsions).
3. Provide accreditation support services to after school programs following the accreditation standards of the National After School Association.
4. Professional development by:
- providing training that relates to age-appropriate, constructive activities for after school programs;
 - developing a state-wide calendar of after school related professional development opportunities;
 - promoting after school related higher education and other credential courses; and
 - increasing state-wide access to consistent, ongoing, quality professional development through improved collaborations among public and private agencies, resulting in a credential based on high-quality standards.

III. Eligible Applicants

This project is a limited solicitation directed toward professional and nonprofit organizations under Section 501(c)(3), Institutions of Higher Education and Regional Education Service Centers (RESA's) with a successful track record of providing technical assistance, evaluation expertise, accreditation support services and professional development to state-funded after school programs. The State Department of Education reserves the right to make the final decision on the award of this grant.

IV. Application Format:

To be considered for funding, all applications must include the following:

- 1. Three (3) copies of the proposal with one (1) bearing an original signature of the official legally authorized to apply for the agency. All proposals submitted become the property of the Division of Family and Student Support Services.

V. Grant Period

The grant period is two years.

VI. Funding Level

Anticipated funding level: a minimum of \$300,000 each year.

VII. Number of Grants

One grant will be awarded.

VIII. Fiscal Responsibility and Reporting Requirements:

The grantee will be responsible for adherence to all state and federal regulations governing expenditures, accounting and reporting requirements and shall prepare and submit all reports as required by the State Department of Education.

IX. Timeline of Activities

RFP available on Connecticut State Department of Education Website: http://www.sde.ct.gov/ <i>click on: Request for Proposals</i> <i>click on: School/Family Partnership</i>	September 7, 2007
A bidder’s conference will be held: 9:00 a.m. until noon Central Connecticut State University Phil Brick Camp Room Student Center 1615 Stanley Street New Britain, Connecticut 06053 (860) 832-CCSU.	September 20, 2007 <u>Must RSVP</u> attendance by contacting Joanne Scovill at (860) 807-2123 or via e-mail at joanne.scovill@ct.gov by September 17, 2007
Application Deadline:	October 5, 2007
Peer Review of Applications:	October 8-12, 2007
Grant Award Notices Mailed:	October 15-19, 2007

X. Grant Awards

The State Department of Education reserves the right to make grant and contract 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

Department reserves the right to reject all proposals and to conduct a more extensive proposal solicitation, to fund more than the stated number of proposals should they be deemed to have particular merit and to reject a lower cost proposal if it believes that a higher cost proposal more appropriately meets the stated objectives.

Applicants will be notified of the acceptance or rejection of their proposal. The proposal selected for funding may be subject to negotiation. The grant award will be issued by the Associate Commissioner of the Division of Family and Student Support Services. The level of funding and effective dates of the project will be set forth in the notification of the grant award.

XI. Management Control and Consultative Assistance:

The grantee will have complete management control of this grant. While State Department of Education staff may be consulted for their expertise, they will not be directly responsible for the selection of sub-grantees or vendors, nor will they be directly involved in the expenditure or payment of funds.

Paul Flinter, Chief (860) 807-2050 and Agnes Quinones, Education Consultant (860) 807-2126, Bureau of Health/Nutrition, Family Services and Adult Education, will be available to answer questions concerning this Request for Proposal.

XII. Application Contents

The grant application must include the following completed sections to be considered:

- A. Signed Grant Cover Page
- B. Application Abstract (one page)
- C. Table of Contents (one page)
- D. Application Narrative (one page)
 1. Project Design (five pages)
 2. Adequacy of Resources (two pages) to:
 - coordinate state-wide after school efforts
 - maximize funding resources
 - assure program quality
 - provide professional development
 3. Program Management Plan (one page)
 4. Evidence of After School Experience (two pages)
 5. Documentation and Evaluation (one page)
- E. Budget ED114 and Budget Narrative (two pages)

XIII. Guidelines for Preparing the Proposal (five pages)

A. Project Design (five pages)

The proposal must be typed on one side of standard size (8 ½" x 11"), double-spaced, unruled, white paper, stapled and unbound. The font size must be set at 12 point. Three

(3) copies must be received by the deadline date. One of the two copies must bear the original signature(s) of the authorized official(s) of the submitting agency on both the cover page and the Statement of Assurances. A table of contents should be included that references the responses to the required information. Pages must be numbered consecutively, beginning with the abstract page. A table of contents should be included that references the responses to the required information. All proposals must adhere to the format described in this section. Any information such as visuals or charts, which can simplify the evaluators' understanding of the submitted project, is appreciated.

- **Cover Page:** (Appendix A) model for the format of the cover page is provided with this request for proposal. The cover page must contain all required information.
- **Abstract:** (Appendix B) model for the format of the program abstract is provided. The abstract should briefly describe the major components of the program design and not exceed one page.

Guidance for applicants: Clearly describe the activities to be provided by the project and elaborate on how these goals and objectives are linked to the identified needs. Further, clearly delineate the roles to be played describing who will do what, when and where, to what ends, and with what anticipated results. It is also suggested that the project be carefully tailored to achieve the desired outcomes while addressing the specific needs of the state.

B. Adequacy of Resources (two pages)

1. The adequacy of support, including facility, equipment, supplies and other resources from the leading organization.

Guidance for applicants: Show that appropriate resources and personnel have been carefully allocated for the tasks and activities described in the application. Successful applicants will make sure that their budgets will be adequately covered. Also describe the resources the applicant agency will contribute, such as the use of staff, supplies, etc., from sources other than this grant. Costs should be allocated by budget category and will be judged against the scope of the project and its anticipated benefits.

Provide a detailed budget narrative that itemizes how the project will spend grant funds, as well as in-kind funds. Grant funds cannot be used to purchase facilities or support new construction.

C. Management Plan (one page)

1. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines and milestones for accomplishing project tasks.

Guidance for applicants: Charts, timetables and position descriptions for key staff are particularly helpful in describing the structure of the project and the procedures for managing it successfully. A clear presentation of goals, objectives, activities, events, beneficiaries and anticipated results is required. Successful applicants will also describe the roles and responsibility of all key staff and partners and plan and provide resources

for ongoing staff development and training. A description of previous success in achieving this or similar projects is required.

D. Evidence of After School Experience (two pages)

(Narrative) Describe the general design of the project and why it is particularly appropriate to meet the objectives. Objectives should be clearly stated and measurable. Describe the methods and procedures which will be used to provide technical assistance, evaluate the state-funded after school programs, provide accreditation support services and deliver professional development.

The extent to which the organization has provided leadership, support, training and technical assistance, professional development and capacity building to local and state level after school program providers.

Guidance for applicants: Describe the background, experience and purpose of the organization. Include history, type of service, population(s) and geographical areas served. The successful applicant will also describe their leadership role in the field of after school programs, describe their accomplishments in capacity building and evaluation of the impact of after school programs in student achievement.

E. Documentation and Evaluation (one page)

(Narrative) Describe how you will measure progress and effectiveness in achieving the stated objectives. A mid-year progress report will be required by July 1, 2008. A final report, including a self-evaluation, will be due on or before June 30, 2009.

APPENDIX A: GRANT COVER PAGE

CONNECTICUT STATE DEPARTMENT OF EDUCATION

*After School Technical Assistance, Evaluation, Accreditation Support
Services and Professional Development*

GRANT COVER PAGE

Applicant: _____

Grant Contact Person/Title:	_____
Facility Name:	_____
Street Address:	_____
Town, State, Zip Code:	_____
Telephone/Fax:	_____
E-mail Address:	_____

The undersigned authorized chief administrative official submits this proposal on behalf of the applicant agency, attests to the appropriateness and accuracy of the information contained therein and certifies that this proposal will comply with all relevant requirements of the state laws and regulations.

*In addition, funds obtained through this source will be used solely to support the purpose, goals and objectives as stated herein. The following **signature** is required.*

Director: _____

Name (typed): _____

Date: _____

Please return **by 4:30 p.m. on October 5, 2007** to:

Dr. Agnes Quinones, Program Manager
State Department of Education
25 Industrial Park Road
Middletown, CT 06457

APPENDIX B: ABSTRACT PAGE FORMAT

Starting on a separate sheet, provide a one page, single-spaced abstract of the project. Insert the abstract immediately following the cover page.

Title of Project: _____

Project Director: _____

Applicant Organization: _____

Total Project Funds Requested: _____

Funding Source: _____

Beginning Date: July 1, 2007 **Ending Date:** June 30, 2009

OBJECTIVES:

PROJECT DESIGN:

APPENDIX C: APPLICATION/SCORING REVIEW RATING FORM

SDE use only RFP category No. _____ Proposal No. _____

Application Scoring/Reviewer Rating Form

AFTER SCHOOL TECHNICAL ASSISTANCE, EVALUATION, ACCREDITATION SUPPORT SERVICES AND PROFESSIONAL DEVELOPMENT

Applicant District/RESC _____

Reader No. _____

Applicant Agency _____

Reader Instructions: Give the proposal a score which best describes its attributes in each category. Give the proposal a subtotal as indicated at the end of each section. Total all the subsections in the final scoring chart attached.

Total Score of this proposal is _____ Maximum 80

	EXCELLENT <small>(well conceived and thoroughly developed)</small>	GOOD <small>(clear and complete)</small>	MARGINAL <small>(requires additional clarification)</small>	WEAK <small>(lacks sufficient information)</small>	INADEQUATE <small>(information not provided)</small>
A. PROJECT DESIGN (max. 5 points)					
Provides a description of the general design of the project and why it is particularly appropriate to meet the objectives.	5	4	3	2	0
SUBTOTAL (max. 5 points)					
TOTAL SCORE A (maximum 5 points) _____					

	EXCELLENT (well conceived and thoroughly developed)	GOOD (clear and complete)	MARGINAL (requires additional clarification)	WEAK (lacks sufficient information)	INADEQUATE (information not provided)
B. QUALITY OF PROJECT DESIGN (max. 25 points)					
Provides a description of how the goals, objectives and outcomes to be achieved are clearly specified and measurable.	10	8	5	2	0
Describes what methods and procedures will be used to provide technical assistance, evaluate the state-funded after school programs, accreditation support services and professional development.	10	8	5	2	0
Documents logical and realistic project activities and timeline to accomplish project goals and objectives.	5	4	3	2	0
SUBTOTAL (max. 25 points)					
TOTAL SCORE B (maximum 25 points) _____					
C. ADEQUACY OF RESOURCES AND QUALITY OF MANAGEMENT PLAN (max. 20 points)					
Provides description of the adequacy of the management plan to achieve the objectives of the proposed project on time, within budget, including clearly defined responsibilities and milestones to accomplish project tasks.	10	8	5	2	0
Provides a description of the adequacy of support, including facilities, equipment, supplies and other resources, from the applicant organization.	5	4	3	2	0
Demonstrates that costs are reasonable in relationship to the number of persons to be served and to the anticipated results and benefits.	5	4	3	2	0
SUBTOTAL (max. 20 points)					
TOTAL SCORE C (maximum 20 points) _____					

	EXCELLENT (well conceived and thoroughly developed)	GOOD (clear and complete)	MARGINAL (requires additional clarification)	WEAK (lacks sufficient information)	INADEQUATE (information not provided)
D. EVIDENCE OF AFTER SCHOOL EXPERIENCE (max. 20 points)					
Describes how the organization's background and purpose aligns with the requirements of the proposal.	10	8	5	2	0
Provides a description of the organization's leadership role, accomplishments in capacity building and experience in evaluating the impact of after school programs in student achievement and providing accreditation support services.	10	8	5	2	0
SUBTOTAL (maximum 20 points)					
TOTAL SCORE D (maximum 20 points) _____					
E. QUALITY OF PROGRAM EVALUATION: (max. 10 points)					
Describe how the organization will assess program effectiveness in achieving the stated objectives.	10	8	5	2	0
SUBTOTAL (maximum 10 points)					
TOTAL SCORED E (maximum 10 points) _____					

TOTAL SCORING CHART

<i>CATEGORY</i>	<i>POINTS</i>
A. Need for Project (5 points)	
B. Quality of Project Design (25 points)	
C. Adequacy of Resources and Quality of Management Plan (20 points)	
D. After School Experience (20 points)	
E. Quality of Program Evaluation (10 points)	
TOTAL SCORE (Maximum 80 pts)	

APPENDIX D: ED114 (BUDGET AND BUDGET OBJECT CODES)

ED114 FISCAL YEAR 2008

ED114 BUDGET FORM

GRANTEE NAME:		VENDOR CODE:			
GRANT TITLE: AFTER SCHOOL PROFESSIONAL DEVELOPMENT PROJECT TITLE: CORE-CT CLASSIFICATION: FUND:11000 SPID:17084 PROGRAM: 82079 CHARTFIELD1: 170004 BUDGET REFERENCE: 2008 CHARTFIELD2: SDE00070					
GRANT PERIOD: 07/01/2007 - 06/30/2009		AUTHORIZED AMOUNT:\$			
AUTHORIZED AMOUNT by SOURCE:					
LOCAL BALANCE:\$		CARRY-OVER DUE:\$		CURRENT DUE:\$	
CODES	DESCRIPTIONS	BUDGET AMOUNT	MATCH	IN-KIND	TOTAL
100	PERSONAL SERVICES-SALARIES				
200	PERSONAL SERVICES-EMPLOYEE BENEFITS				
300	PURCHASED PROF/TECH SERVICES				
400	PURCHASED PROPERTY SERVICES				
500	OTHER PURCHASED SERVICES				
600	SUPPLIES				
700	PROPERTY				
890	OTHER OBJECTS				
	TOTAL				

ORIGINAL REQUEST DATE: _____

REVISED REQUEST DATE: _____

STATE DEPARTMENT OF EDUCATION
PROGRAM MANAGER AUTHORIZATION

DATE OF
APPROVAL

APPENDIX D: (BUDGET AND BUDGET OBJECT CODES)

Master Budget Form Object Code Descriptions/Includable Items

100 Personal Services – 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.

200 Personal Services – Employee Benefits

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, are nevertheless 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 workers compensation insurance.

300 Purchased Professional and Technical 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.

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: rental 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.

500 Other Purchased Services

Expenses for services rendered by organizations that are not classified as Purchased Professional and Technical Services or Purchased Property Services.

600 Supplies

Expenses for items that are consumed, worn out, or deteriorated through use and have an expected useful life of less than one year.

700 Property

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

890 Other Objects (Miscellaneous Expenditures)

Expenditures for goods or services not properly classified in one of the above objects. Included in the category could be expenditures for dues and fees, judgments against a grantee that are not covered by liability insurance and interest payments on bonds and notes.

APPENDIX E: APPLICATION CHECKLIST

Applicant Name: _____

The following sections of the State-wide After School Intermediary Proposal must be attached to this checklist to be deemed a “Completed Application Package”.

Please be sure to check each box as the required document is attached.

- Grant Cover Page (Appendix A)
- Application Abstract (Appendix B)
- Project Design
- Adequacy of Resources
- Program Management Plan
- After School Experience
- Project Evaluation
- ED114 (Appendix D)
- Budget Narrative
- Application Check List (Appendix E)
- Statement of Assurances (Appendix F)
- Certification Regarding Lobbying, Debarment and Suspensions (Appendix G)
- Affirmative Action Packet (Appendix H)

APPENDIX F: STATEMENT OF ASSURANCES

CONNECTICUT STATE DEPARTMENT OF EDUCATION
STANDARD STATEMENT OF ASSURANCES
GRANT PROGRAMS

PROJECT TITLE:

THE APPLICANT:

HEREBY ASSURES THAT:

(Insert Agency/School/CBO Name)

- A. The applicant has the necessary legal authority to apply for and receive the proposed grant;
- B. The filing of this application has been authorized by the applicant's governing body, and the undersigned official has been duly authorized to file this application for and on behalf of said applicant and otherwise to act as the authorized representative of the applicant in connection with this application;
- C. The activities and services for which assistance is sought under this grant will be administered by or under the supervision and control of the applicant;
- D. The project will be operated in compliance with all applicable state and federal laws and in compliance with regulations and other policies and administrative directives of the 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 are 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 Connecticut General Statutes 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 Connecticut 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;

(a) 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; (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, 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; (c) 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; (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 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 Connecticut General Statutes 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 Connecticut 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 Connecticut 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 Connecticut 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 G: CERTIFICATION REGARDING LOBBYING, DEBARMENT & SUSPENSION

B-10: CERTIFICATION REGARDING LOBBYING, DEBARMENT AND SUSPENSION AND OTHER RESPONSIBILITY MATTERS, AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR, Part 82, "New Restrictions on Lobbying, and 34 CFR Part 85, "Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying" in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-grants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110 –

A. The applicant certifies that it and its principals:

(1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(2) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (I)(b) of this certification; and

(4) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES) OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (dX2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants & Contracts Service, U.S. Dept of Education, 400 Maryland Avenue, S.W. (Rm. 3124, GSA Bldg 3).

As the duly authorized representative of the applicant, I hereby certify compliance with the above certifications.

Name of Applicant

Signature

GSA Regional Office, Building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d) (2), with respect to any employee who is so convicted-

(l) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place/Performance (Street address, city, county, state, zip)

Check if there are workplaces on file that are not identified here.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to Director, Grants & Contracts Service, U.S. Dept of Education, 400 Maryland Avenue, S.W. (RM. 3124, GSA Regional Off Bldg 3) Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

PR/AWARD Number and/or Project Name

Date

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 which 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,
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.
1. 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 H: AFFIRMATIVE ACTION PACKET

CERTIFICATION THAT CURRENT AFFIRMATIVE ACTION PACKET IS ON FILE

Agencies with an Affirmative Action Plan on file need to certify such by signing the statement below. This is in lieu of completing again the packet on the following pages.

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

Signature of Authorized Official: _____ Date: _____

Name and Title: _____
