

CONNECTICUT STATE DEPARTMENT OF EDUCATION
DIVISION OF TEACHING, LEARNING AND ASSESSMENT
BUREAU OF EDUCATOR PREPARATION, CERTIFICATION,
SUPPORT AND ASSESSMENT

WALLACE FOUNDATION FUNDED
STATE ACTION FOR EDUCATIONAL LEADERSHIP PROGRAM (SAELP II)

DISTRIBUTED LEADERSHIP
FORMALIZED SCHOOL LEADER INDUCTION FOR SCHOOL IMPROVEMENT
AND
CONTINUOUS ADMINISTRATOR PROFESSIONAL DEVELOPMENT AND
CAPACITY BUILDING FOR SCHOOL IMPROVEMENT



2004 – 2007

Purpose: This request for proposal is designed to create District-Based Policy Laboratories designed to address three key Connecticut leadership initiatives: (1) to expand shared leadership practices with redesigned school leader roles and responsibilities which serve to raise student achievement; (2) to create statewide formalized induction of beginning school administrators; and (3) to use district-based policy labs to identify professional development processes and capacity building that support school improvement.

Proposals Due: November 15, 2004

Bidders Conference: October 12, 2004

Published October, 2004

RFP 134

CONNECTICUT STATE DEPARTMENT OF EDUCATION

Betty J. Sternberg, Ph.D.
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 PAST/PRESENT HISTORY OF MENTAL DISORDER, LEARNING DISABILITY AND PHYSICAL DISABILITY.

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REQUEST FOR PROPOSAL

GENERAL INFORMATION

Introduction

Connecticut's SAELP II proposal builds upon key accomplishments of SAELP I including clarification of school leader roles and responsibilities, development of statewide school leader evaluation and professional development guidelines, development and implementation of an instrument to measure shared leadership at the school level (Distributed Leadership Readiness Scale), and piloting of urban leadership academies. For further information about SAELP I, applicants may review the Connecticut State Department of Education link: <http://www.state.ct.us/sde/dtl/t-a/leadership/saelp/index.htm>

Source of Funding – Wallace Foundation

Connecticut is one of 15 states that have received funding as part of the Wallace Foundation State Action for Educational Leadership Program (SAELP). In addition, the Wallace Foundation created Leadership for Educational Achievement in Districts (LEAD) grants for one urban district within most of the 15 SAELP states. Hartford Public School was awarded a five year LEAD grant in 2001. The state and district grants are designed to address the conditions of leadership policies and practices that impact student achievement. Connecticut was recently awarded a SAELP II grant that builds upon its earlier leadership development in SAELP I. The funding for FY 2004-2005 (12/1/04 – 6/30/05) is \$200,000, renewable for the next two years, for up to a total of \$600,000 of which a maximum of \$430,000 is available for distribution through this RFP. The bulk of Connecticut's SAELP II grant will go to support "policy laboratories", or demonstration sites for the three major leadership initiatives proposed in the grant. The Wallace Foundation refers to these initiatives as "break-through ideas." Funding of the grant awards will be on an annual basis with refunding contingent upon refunding by the Wallace Foundation and satisfactory progress by the grantee.

Overview and Purpose of the Connecticut SAELP II Initiatives

SAELP II is designed to institutionalize policies to enhance working conditions, skills and capacities of school leaders throughout their career continuum, including providing more purposeful preparation and induction for educational leaders and continuous improvement and leadership capacity building that steadfastly focuses on raising student achievement of students with the greatest needs. For a summary of the SAELP II leadership initiatives see Attachment J.

District Policy Laboratories

Policy laboratories are defined as demonstration sites for each of the three break-through ideas in which participating districts are working to change conditions, skills and capacities of school leaders to implement school improvement processes. The purpose of the policy laboratories is to help districts develop the policies and practices that lead to increased student achievement, inform state policy development, as well as collect indicators of policy change at the district and school level to evaluate progress over time, and eventually document and share these practices across the state.

Break-through Idea One – Distributed Leadership

There is a growing body of evidence that a vital ingredient of schools that transform themselves into high performing organizations is an environment which provides teachers a range of opportunities for exercising leadership. There are a variety of teacher leadership roles that are critical to the success of school improvement initiatives and without the expertise of teachers as mentors, staff developers, curricular leaders, department heads and the like, principals and superintendents would have little opportunity to formally draw on the expertise of accomplished practitioners. A way to accomplish shared leadership is to implement **distributed leadership** structures that provide teachers with expanded opportunities for "formal" leadership positions (i.e., actual part- or full-time positions outside the classroom) as well as restructure the roles of principals and other administrators. It is expected that teacher leaders with expanded career pathways and opportunities to exercise leadership at the school/district level, will also be attracted to educational administration positions. When the chasm between the classroom and the principal's office is narrowed, more teachers are likely to consider administration positions. In general, teacher leadership programs are effective because:

- experience as teacher leaders will make the transition to a principal or assistant principal more familiar and less daunting;
- when the principal creates leadership teams to better focus on instructional improvement, the role becomes more attractive as a career path;
- leadership is better distributed to more effectively meet the learning needs of students and teachers; and
- expanding school leadership capacity helps school administrators to more effectively balance the often overwhelming responsibilities of managing a school and serving as its instructional leader.

The expansion of shared leadership and accountability has good potential for creating more career pathways to a principalship, as well as fundamentally redesigning leadership roles and responsibilities of administrators. Funding through this grant will assist Connecticut in developing policies to promote the redesign of roles, restructured responsibilities and shared decision making. This Policy Lab grant seeks a consortium leader to work with a minimum of two districts to review, develop and implement distributed leadership policies and processes.

Break-through Idea Two – Formalized School Leader Induction for School Improvement

National and state level research confirms that professional support is often lacking for new school administrators. Particularly in the first two years of practice, principals, as well as other administrators, are faced with an extensive set of learning needs and challenges, yet induction and support vary considerably from district to district. Districts that provide systematic induction and assessment programs for new administrators are likely to be more successful in developing and retaining effective leaders.

Some of the characteristics found in effective induction programs include:

- an orientation program for first-year administrators and other administrators new to the district; the assignment of a trained mentor in the first-year of practice;
- the assignment of a support team that may consist of a mentor and/or a district administrator qualified to evaluate administrators;
- provision of adequate time for the mentor and the beginning administrator to regularly meet to address learning, teaching and organizational needs; and
- provision of adequate time and resources to understand and apply the Connecticut School Leader Standards.

In addition, a growing number of states are using collaborative, school improvement-based exercises or activities as a means to assist beginning principals and their mentors in identifying professional development needs. This Policy Lab grant seeks a consortium leader to work with a minimum of two districts to review, develop and implement induction policies and processes, and to develop a school improvement activity or task for beginning administrators. The purpose of this activity will be to serve as a development tool for supervisors, mentors and or coaches in identifying needs and providing support for beginning administrators.

Leader-in-Residence

A primary role of the Leader-in-Residence (LIR) will be to assist in writing the State Guidelines for School Leader Induction. In addition, the LIR will work with the SDE and serve as a liaison to the three policy labs through the three years of the grant. Funds in this grant are designated for a part-time LIR (approximately .5 FTE in year 1; .4 FTE in year two, and .2 FTE in year 3, with the grantee encouraged to identify matching funds in years two and three).

Break-through Idea Three – Continuous Administrator Professional Development and Capacity Building for School Improvement

“To ensure an effective school leader evaluation system, the school board, district and community must provide the time, technology, on-going training, and related resources needed to develop a capacity for school improvement as well as an accountability system to support and sustain that capacity.

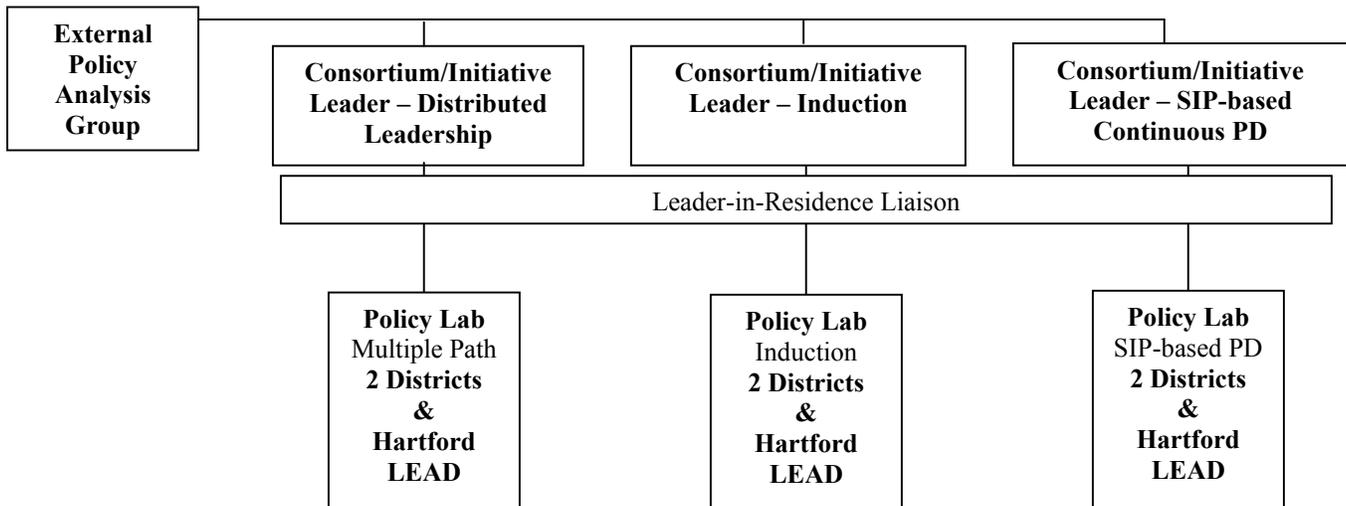
Appropriate, meaningful, and readily applicable professional development for school leaders is an integral component of the evaluation process. School leaders must be afforded the opportunity to build their capacity as instructional leaders and school managers, as well as be provided time to share, collaborate and reflect upon promising practices with their colleagues”. *CSDE School Evaluation and Professional Development Guidelines (2002)*.

The concept of continuous professional development builds on the assumptions that student learning is directly a function of teacher and administrator competence; and that administrators, like teachers, must be continual learners. As the role of administrators continues to focus on the achievement of students, there is a growing need for administrators to have opportunities to continuously self-evaluate their understanding and practice. School leaders need opportunities to assess their own performance based upon district and school needs and school improvement plans using multiple sources of evidence to evaluate growth.

Districts participating in this Policy Lab will carefully consider what policies and processes should be put into place to provide ongoing support for their school leaders. Often, the professional development of administrators takes a back seat to the development and support of others. But as supervisors, mentors and coaches, school administrators must continually build on their own understanding and expertise if they are to maintain and expand their effectiveness.

This Policy Lab grant seeks a consortium leader to work with a minimum of two districts to review, develop policies and programs that implement continuous school improvement-based professional development and capacity building for administrators.

The structure of the Policy Laboratories is as follows:



Responsibilities of the Policy Laboratory Consortium/Leader (e.g., professional organization, RESC, university):

- coordinate the specific “break-through idea” policy initiatives being examined, developed and implemented in each participating district;
- coordinate communications between the policy technical consultant, state and district*;
- provide technical assistance and guidance to districts aligned with the Connecticut Accountability for Learning Model (CALM);
- collect data on behalf of the policy technical consultant and the State;
- report on district progress, to inform state policy development, and to share and disseminate practices across the state and SAELP states, as appropriate;
- prepare quarterly and yearly report as required by the Wallace Foundation;
- participate in SAELP Conferences, workshops and meetings; and
- participate in the Connecticut Accountability for Learning Model (CALM) training*.

* More information about CALM will be provided at the Bidder’s Conference.

Demonstration sites will include:

- a minimum of two local districts with one or more participating schools per district meeting eligibility requirements provided below; and
- Hartford Public Schools, including one or more schools (LEAD partner). Hartford will be funded by the LEAD grant.

GRANT PERIOD

Three-Year Grants: December 1, 2004 – June 30, 2007. The first year of the grant is for a seven month period (December 1, 2004- June 30, 2005). All funds must be obligated by June 30, 2005. There are no exceptions or waivers to this requirement.

FUNDING

The State Department of Education (SDE) reserves the right to make grant awards under this program without discussion with the applicants; therefore, proposals should represent the applicant's best effort to ensure a quality proposal from both a technical and cost standpoint. All awards are subject to approval and refunding by the Wallace Foundation. Grants are not final until the award letter is executed. The Associate Commissioner will issue notification of the grant award. The level of funding and effective dates of the project will be set forth in the notification of the grant award.

Funds received shall be used to supplement, and not supplant, funds that would otherwise be used for proposed activities.

Category	Overall Project Duration 31 Months	Number of Awards	Maximum Grant Award over 31 mos.
BTI One: Distributed Leadership	Three – Year 12/1/04 – 6/30/07	One	\$120,000.00
BTI Two: Formalized Induction and Leader-in-Residence	12/1/04 – 6/30/07	One	\$205,000.00*
BTI Three: SIP-based Administrator Professional Development	12/1/04 – 6/30/07	One	\$105,000.00

*Includes funding for Leader-in-Residence

GENERAL APPLICATION REQUIREMENTS

DISTRICT LABORATORY REQUIREMENTS

Since each policy initiative involves coordination of a minimum of three districts, it is important that applicants provide evidence that they can coordinate meaningful partnerships as evidenced by the following characteristics:

- **Sustainability**
A partnership must demonstrate an ability to maintain the targeted activities beyond the length of the project, and describe how the partnership will continue the activities funded under this proposal after the original grant period has expired.
- **Commitment**
Evidence of active long-term planning and involvement of all partners must be documented.
- **Capacity**
Evidence of the number and quality of staff to carry out the proposed activities and the institutional resources to support the activities must also be included.

- **Scope And Impact**

A partnership must demonstrate that the scope of the project and the impact is of sufficient scale to warrant funding.

POLICY ANALYSIS

Each application submitted shall describe the applicant’s commitment to work with the policy technical consultant to collect data and analyze policy change.

REPORTING REQUIREMENTS

Each eligible partnership receiving a grant must provide quarterly status reports to the Connecticut State Department of Education.

The first quarterly project status report with all project deliverables is due on or before March 15, 2005. The final project report with all project deliverables is due on or before June 15, 2005. More detailed information will follow. Reports to the State Department of Education should be mailed or e-mailed to Larry Jacobson, SAELP II (Co-director), 165 Capitol Avenue, Hartford, CT 06106, or larry.jacobson@po.state.ct.us.

ALIGNMENT TO STATE STANDARDS

Policy and Program activities and strategies should be aligned with the Connecticut School Leadership Standards, the Connecticut Guidelines for Evaluation and Professional Development and the Connecticut Accountability for Learning Model.

A. Available Funds (December 1, 2004 – June 30, 2005)

Policy Laboratory	SDE Funds	** Matching Funds
BTI One- Distributed Leadership	45,000.00	20,000.00
BTI Two- Induction	60,000.00	NA
BTI Three- Formalized Professional Development	40,000.00	15,000.00

***Anticipated Funds (July 1, 2005 – June 30, 2006)**

BTI One- Distributed Leadership	40,000.00	25,000.00
BTI Two- Induction	75,000.00	25,000.00
BTI Three- Formalized Professional Development	35,000.00	20,000.00

***Anticipated Funds (July 1, 2006 – June 30, 2007)**

BTI One- Distributed Leadership	35,000.00	30,000.00
BTI Two- Induction	70,000.00	30,000.00
BTI Three- Formalized Professional Development	30,000.00	25,000.00

*Proposals may include draft projected budgets for 2005-2007. Grantees will submit new budget requests prior to the refunding of each successive year. The State Department of Education will provide further information regarding refunding in 2005.

**Matching funds refer to I. Page 12.

B. Eligible Recipients

This project is a limited solicitation directed towards organizations or educational entities with the technical and administrative capacity to serve as the consortium/initiative leader, including coordinating district- and school-based initiatives, and collecting data for an external research partner. Eligible applicants include, but are not limited to, Regional Educational Service Centers, professional organizations, universities or other educational organizations. Applicants may apply for one or more of the Policy Laboratories. *Preference will be given to organizations that can coordinate and link Break-through Ideas One- Distributed Leadership and Break-through Idea Three- School Improvement-based Professional Development Laboratories.*

C. Eligible Districts for Demonstration Sites

The eligible priority districts are listed below, at a defined level of progress or “readiness” for change. Readiness is defined as: (1) local board and superintendent support for building capacity of school leaders as related to the goals of each “break-through idea”; (2) principal and faculty support for participation in the policy laboratory; (3) evidence of previous or ongoing interest and/or engagement of teachers and principals in leadership development (e.g., promoting of teachers as leaders, shared-decision making at school-level, informal and formal principal mentoring processes within the district, district policies providing well-defined professional growth continuum for administrators); and (4) willingness to participate in the Connecticut Accountability for Learning Model (CALM)*.

*More information about CALM will be provided at the Bidder’s Conference.

*Priority School Districts (PSD)**

Ansonia, Bloomfield, Bridgeport, Bristol, Danbury, East Hartford, Hartford, Meriden, New Britain, New Haven, New London, Norwalk, Putnam*, Stamford, Waterbury, West Haven*, Windham

* Please note that Putnam and West Haven are no longer priority school districts however as PSD phase out recipients they are eligible for purposes of this grant.

D. Application Deadline:

Proposals (original and five copies) IRRESPECTIVE OF POSTMARK DATE AND MEANS OF TRANSMITTAL, must be received by **4:00 p.m. on Monday, November 15, 2004**. Facsimile (“Faxed”) copies of proposals will not be accepted. Only proposals with the original signatures will be accepted as timely. EXTENSIONS SHALL NOT BE GIVEN. The address for mailing or delivery is:

Ann R. Gaulin, Division Grants Manager
Connecticut State Department of Education
165 Capitol Avenue
Room 223
Hartford, CT 06106

E. Bidders Conference

A bidders conference will be held October 12, 2004 at 1:30 p.m. at **Avon Old Farms Inn** P.O. Box 535, Routes 10 & 44, Avon, CT 06001, (860) 677-2818. Directions are available at: <http://www.avonoldfarmsinn.com/directions.html>

Division staff will be available to answer questions regarding the proposal and application process. Please contact Ann R. Gaulin at ann.gaulin@po.state.ct.us to register for the conference no later than October 4, 2004. For questions about the policy laboratories contact Larry Jacobson at: larry.jacobson@po.state.ct.us

F. Proposal Review

Completed proposals will be reviewed and rated by the State Department of Education and external Connecticut educational administrators according to the criteria in Appendix G.

G. Disposition of Applications

Applicants will be notified of the acceptance or rejection of their proposals. If a proposal is selected for funding, a grant will be initiated by the Division of Teaching, Learning and Assessment. The content and cost of proposals are subject to negotiation prior to the final award.

H. Grant Awards

THE STATE DEPARTMENT OF EDUCATION RESERVES THE RIGHT TO MAKE GRANT AWARDS UNDER THIS PROGRAM WITHOUT DISCUSSION WITH THE APPLICANTS; THEREFORE, PROPOSALS SHOULD REPRESENT THE APPLICANT'S BEST EFFORT FROM BOTH A TECHNICAL AND COST STANDPOINT. THE 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.

The proposal(s) selected for funding may be subject to negotiation. The grant award will be issued by the Associate Commissioner of the Division of the Teaching, Learning and Assessment. The level of funding and effective dates of the project will be set forth in the notification of the grant award.

ALL AWARDS ARE SUBJECT TO THE AVAILABILITY OF WALLACE FOUNDATION FUNDS. GRANTS ARE NOT FINAL UNTIL THE AWARD LETTER IS EXECUTED. WALLACE FOUNDATION FUNDS HAVE BEEN ALLOTTED FOR YEAR ONE AND AWARDED APPLICANTS WILL BE NOTIFIED, IF AND WHEN RE-FUNDING IS ANNOUNCED BY THE WALLACE FOUNDATION. BIDDERS ARE ASKED TO SUBMIT PROPOSALS FOR THE FULL THREE YEARS OF THE GRANT PERIOD.

I. Matching Funds

Applicants are strongly urged to provide matching funds for the SAELP II Policy Laboratory (see dollar amounts on page 9). Matching funds may include expenditures from state, local and federal and private sources. Matching funds may be cash or in-kind, but must be clearly documented.

J. Management Control and Consultative Assistance

The grantee will have complete management control of this grant. 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.

For technical questions about the grant process, Ann R. Gaulin, Division Grants Manager, will be assessable through email at ann.gaulin@po.state.ct.us. For questions about the District Policy Laboratories contact Larry Jacobson through email at larry.jacobson@po.state.ct.us.

K. Obligations of Grantees

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

L. Freedom of Information Act

All of the information contained in a proposal submitted in response to this RFP is subject to the provisions of Chapter 3 of the Connecticut General Statutes (Public Records and Meetings) and Freedom of Information Act [FOIA] Sections 1-200 to 1-241, inclusive, in lieu thereof. 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 records and receive a copy of such records.

M. Utilization of Minority Business Enterprises

All awardees shall make good faith efforts to employ minority business enterprises as sub-contractors and suppliers of materials on projects subject to award requirements.

Awardees shall certify under oath to the Commission on Human Rights and Opportunities and the state agency that the minority businesses selected as sub-contractors and suppliers of materials comply with the criteria of CGS, Section 4a-60 if such businesses are not currently registered with the Department of Economic Development.

N. Program Evaluation

The State Department of Education and its technical consultant designee will provide direction to the grantee in collecting and analyzing policy and related data.

O. Fiscal Responsibility and Reporting Requirements

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

GUIDELINES FOR PREPARING THE PROPOSAL

The proposal must be typewritten, double spaced, on one side of standard size (8 ½” x 11”), unruled, white paper and stapled, not bound. The font must be set at 12 point size. Six (6) copies must be received by the deadline date. One of the six 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 with the proposal. Pages must be numbered consecutively, beginning with the abstract page. 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.

- A. Cover Page:** (Appendix A, page 18) A model for the format of the cover page is provided with this request for proposals. The cover page must contain all required information.
- B. Abstract:** (Appendix B, page 19) A 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. If applying for multiple “break-through ideas” (BTI), submit a separate abstract for each BTI.
- C. Organization’s Background:** (Narrative) Describe the general background, experience and purpose of the organization. Include history, type of service, population(s) and geographical areas served. Describe how the project will relate to your organization’s mission.
- D. Grant Category Design:** Applicants must address the following requirements based on the focus (Break-through Idea) of their proposal.

Title of category: Break-through Idea One – Distributed Leadership Policy Laboratory

Purpose of the category:

Policy analysis and development of shared leadership strategies for school improvement.

Applicants for this category must:

- identify the chief goals for this initiative;
- identify who will be involved, including district/schools and other partners. Describe the districts/school and the basis for their selection, including evidence of their “readiness” (as defined previously). A minimum of two districts and one or more schools within each district should be identified;
- describe plans to engage the commitment of the districts’ key decision makers (i.e. board of education, superintendent, principals, faculty, staff, community and others, as appropriate) plan to make a change and sustain the goals and purposes of Policy Initiative One – Shared Leadership Roles and Responsibilities;
- describe how this initiative augments each district’s school improvement plan;
- describe key strategies to be used to provide technical assistance on district and school policies around Initiative One, and provide a description of how new strategies will differ

from existing practices of each participating district, and how the proposed assistance is expected to build each districts'/schools' capacity:

- i) Specifically describe the nature of the technical assistance to be provided.
 - ii) Specifically address proposed strategies to assist districts to expand school-based shared leadership practices;
- explain how the project will be sustained beyond the grant period. The districts and or partners involved must show a commitment to providing time, resources and funding during the grant period; and
 - describe the Policy Lab participants' commitment to participate in the *Connecticut Accountability for Learning Model (CALM). More information about CALM will be provided at the bidder's conference.

Title of category: Break-through Idea Two – Formalized School Leader Induction for School Improvement Policy Laboratory.

Purpose of the category: Policy analysis and development of school improvement-based induction for beginning administrators.

Applicants for this category must:

- identify the chief goals for this initiative;
- identify who will be involved, including districts/schools and other partners. Describe the districts/school and the basis for their selection, including evidence of their “readiness” (as defined previously). A minimum of two districts and one or more schools within each district should be identified;
- describe year one activities involving how stakeholders will be engaged to develop draft Connecticut School Leader Induction Guidelines;
- describe how this initiative augments each district's school improvement plan;
- describe the plan for developing and implementing Induction models with the participating districts in years two and three;
- describe plans to engage the commitment of the districts' key decision makers (i.e. board of education, superintendent, principals, faculty, staff, community and others, as appropriate) plan to make a change and sustain the goals and purposes of Policy Initiative Two – Formalized School Leader Induction;
- select and hire a Leader-in-Residence based on criteria identified in Appendix J (Leader-in-Residence Selection Criteria). The selection committee will consist of no fewer than three members with one of the members being the CT SAELP co-director. The Leader-in-Residence will assist in writing the State Induction Guidelines, serve as a liaison between each of the three policy laboratories and work with the SDE. Funding for the Leader-in-Residence has been reflected in the grant total for this initiative;

- describe the specific proposed technical assistance to districts to assist them in developing induction strategies for new administrators;
- propose strategies to develop and pilot a school improvement task or activity designed to help identify professional development needs of beginning administrators; and
- explain how the project will be sustained beyond the grant period. The districts and or partners involved must show a commitment to providing time, resources and funding during the grant period.

Title of category: Break-through Idea Three – Continuous Administrator Professional Development and Capacity Building for School Improvement Policy Laboratory.

Purpose of the category: Policy analysis and development of ongoing school improvement-based professional development and capacity building for school administrators.

Applicants for this category must:

- identify the chief goals for this initiative;
- identify who will be involved, including districts/schools and other partners. Describe the districts/schools and the basis for their selection, including evidence of their “readiness” (as defined previously). A minimum of two districts and one or more schools within each district should be identified;
- describe plans to engage the commitment of the districts’ key decision makers (i.e. board of education, superintendent, principals, faculty, staff and community and others, as appropriate) plan to make a change and sustain the goals and purposes of Policy Initiative Three – Continuous Administrator Professional Development for School Improvement
- describe how this initiative augments each districts’ school improvement plan;
- describe the specific proposed technical assistance to help districts develop support strategies for administrators:
 - i) Specifically address proposed strategies to change the policies and processes used to provide school-improvement-based professional development for principals and vice principals (as appropriate).
 - ii) Describe the Policy Lab participants’ commitment to participate in the Connecticut Accountability for Learning Model (CALM)*. More information about CALM will be provided at the bidder’s conference; and
- explain how the project will be sustained beyond the grant period. The districts and or partners involved must show a commitment to providing time, resources and/or funding during the grant period.

Grantees for all grant categories are expected to:

- identify, select and coordinate the operation of a minimum of two district policy labs (demonstration sites) for each leadership initiative. Hartford Public Schools will collaborate as a third district for each of the policy labs. Note that Hartford’s participation as a policy lab

is funded through the Wallace Foundation LEAD grant. Each participating district will involve participation by one or more schools;

- submit proposals for any of the three grant categories. Applicants are encouraged to submit in more than one category;
- work in collaboration with the CSDE, Policy Analysis Technical Consultant and the School Leadership Advisory Panel;
- participate in the Connecticut Accountability for Learning Model (CALM). More information about CALM will be provided at the bidder's conference;
- participate in state and national SAELP meetings, conferences and workshops as appropriate to the grant objectives;
- summarize in a matrix or table the chronological order to be used to delineate by each component the following:
 1. the activity to be performed;
 2. the timeline for completion of the activity;
 3. indicators of achievement;
 4. staff assigned; and
 5. percentage of staff time to be spent on the activity.

Since the program plan calls for activities over a three-year period, delineation of activities should be more specific for year one with a more generalized plan for the next two years. However, the plan should clearly demonstrate the progression of activities through the third year of the project.

E. Documentation and evaluation: (Narrative) Describe how you will measure the project's progress and effectiveness in achieving its stated objectives. The first quarterly progress report will be due on or before March 15, 2005. A final report for the first year activities, including a self-evaluation, will be due on or before June 15, 2005. Funding for subsequent years will be based upon a satisfactory evaluation by the Department of Education of first-year performance and continued funding by the Wallace Foundation.

F. Administration and personnel: (Narrative) Describe the administrative structure, including the fiscal agent, project staff, advisory committees and outside consultants, if any. Describe how the project will be managed in order to achieve stated objectives. Include all cooperating agencies or institutions that are providing services. Identify project staff and the duties for each position. State the percentage of time each staff member will devote to this project. If you will be using volunteers, describe their roles. Identify any previous experiences of the agency and personnel in providing similar services.

G. Budget: Complete and submit the attached budget forms (Appendix C). A detailed line item budget narrative must accompany the proposal. It must identify all costs associated with the project and support the project purpose and objectives (Appendix D, Master Budget Code Description). Matching funds are strongly encouraged for all grant categories.

H. Indirect costs: Applicants that have been approved for indirect cost rate, a maximum of 8% may be applied to line item 940 (Indirect Cost). The rates are to be applied to a base composed to total costs less items of equipment, alterations and renovation, and subcontracts in excess of \$25,000.00 and flow-through grants. When using prepayment grant budgets and expenditure statements, indirect overhead may only be budgeted and reported using line item 940. Do not combine indirect overhead with any other line item. For all funds under this proposal use the Restricted Indirect Rate.

I. Other information:

- Edit Check – Complete the Proposal Edit Check (Appendix E, page 25) prior to submitting the proposal.
- Miscellaneous – Provide a brief statement about each of the following:
 - ✓ whether or not this or a similar proposal has been submitted to any other agency or organization;
 - ✓ whether or not this or a similar proposal has been submitted to this division or any other division of the Connecticut State Department of Education; and
 - ✓ whether or not this proposal is an extension of, or addition to, a previous or existing project. If yes, give details.

J. Statement of Assurances: One of the six (6) copies of the proposal being submitted must bear the original signature(s) of the authorized official(s) of the applicant on the Statement of Assurances (Appendix H, page 35).

K. Certifications: One of the six (6) copies of the proposal must bear the original signature(s) of the authorized official(s) of the applicant on the Certification Regarding Debarment and Suspension, and the Certification Regarding Drug-Free Workplace Requirements (Appendix G, page 32).

L. Affirmative Action: SEE SUPPLEMENTAL AFFIRMATIVE ACTION PACKET (Appendix I, page 39).

M. Submission information/reporting: Each proposal shall include the following statement: “Three (3) copies of the final report will be submitted to the Division of Teaching, Learning and Assessment within sixty (60) days after completion of the project.” The report should include any product that was developed and a description of the process used to develop the product.

N. Annie E. Casey Foundation

Applicants that are part of a collaborative effort funded in whole or in part by the Annie E. Casey Foundation must submit documentation that:

the collaborative oversight entity has been provided the opportunity to review and comment on the grant application or proposal prior to submission to the Department; the proposal or application submitted provides information detailing the activities which assure priority access to services to children, youth and families referred by the collaborative oversight entity; and the applicant shall designate someone to act as liaison for the referral process.

APPENDIX A

PROPOSAL COVER PAGE FORMAT

(Use a separate cover page for each grant category policy lab)

TITLE OF PROJECT:

Applicant Organization: (Name and Address)

Initiated by: (Full name, position, telephone number and extension of person responsible for developing the proposal)

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

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

Signature: _____

Duration of Project: December 1, 2004 – June 30, 2005 (First year)

Project Costs:

Total Funds Requested	\$ _____
Matching Funds	\$ _____
Total Project Costs	\$ _____

Date Submitted: _____

APPENDIX B

ABSTRACT PAGE FORMAT

Starting on a separate sheet, provide a one-page, single-spaced abstract of the project for each Policy Laboratory. Insert the abstracts immediately following the cover page. If applying for multiple policy initiatives, provide a separate abstract page for each Policy Lab.

Title of Project:

Project Director:

Applicant Organization:

Total Project Funds Requested:

Funding Source:

Beginning Date: December 1, 2004

Ending Date: June 30, 2005

OBJECTIVES: (State briefly the objectives of the project.)

PROJECT DESIGN: (Give a brief description of the overall design or plan of the project).

APPENDIX C.1

**BUDGET FORM
ED 114
SAELP II Policy Laboratory Grant
FISCAL YEAR 2004-2005**

GRANTEE NAME:		TOWN CODE:	
GRANT TITLE: Distributed Leadership Policy Laboratory {One Year Grant}			
PROJECT TITLE:			
ACCOUNTING CLASSIFICATION			
FUND 12060 SPID 30256 BUDGET 2005 PROGRAM 82010			
CHARTFIELD 1: 170003 CHARTFIELD 2:			
GRANT PERIOD: 12/1/04 - 6/30/05		AUTHORIZED AMOUNT:	
	CODE	DESCRIPTION	BUDGET AMOUNT
111A		ADMINISTRATOR/SUPERVISOR SALARIES	
111B		TEACHERS	
112A		EDUCATION AIDES	
112B		CLERICAL	
119		OTHER	
200		PERSONAL SERVICES-EMPLOYEE BENEFITS	
322		INSERVICE (INSTRUCTIONAL PROGRAM IMPROVEMENT SERVICES)	
325		PARENTAL ACTIVITIES	
330		OTHER PROFESSIONAL/TECHNICAL SERVICES	
530		COMMUNICATION	
580		TRAVEL	
590		OTHER PURCHASED SERVICES	
611		INSTRUCTIONAL SUPPLIES	
612		ADMINISTRATIVE SUPPLIES	
690		OTHER SUPPLIES	
890		OTHER OBJECTS (MISCELLANEOUS EXPENDITURES)	
940		INDIRECT COSTS	
		TOTAL	

ORIGINAL REQUEST DATE _____

REVISED REQUEST DATE _____

STATE DEPARTMENT OF EDUCATION DATE OF
PROGRAM MANAGER AUTHORIZATION APPROVAL _____

APPENDIX C.2

**BUDGET FORM
ED 114
SAELP II Policy Laboratory Grant
FISCAL YEAR 2004-2005**

GRANTEE NAME:		TOWN CODE:	
GRANT TITLE: Formalized School Leader Induction for School Improvement Policy Laboratory {One Year Grant}			
PROJECT TITLE:			
ACCOUNTING CLASSIFICATION			
FUND 12060 SPID 30256 BUDGET 2005 PROGRAM 82010			
CHARTFIELD 1: 170003 CHARTFIELD 2: SDE00005			
GRANT PERIOD: 12/1/04 - 6/30/05		AUTHORIZED AMOUNT:	
	CODE	DESCRIPTION	BUDGET AMOUNT
111A		ADMINISTRATOR/SUPERVISOR SALARIES	
111B		TEACHERS	
112A		EDUCATION AIDES	
112B		CLERICAL	
119		OTHER	
200		PERSONAL SERVICES-EMPLOYEE BENEFITS	
322		INSERVICE (INSTRUCTIONAL PROGRAM IMPROVEMENT SERVICES)	
325		PARENTAL ACTIVITIES	
330		OTHER PROFESSIONAL/TECHNICAL SERVICES	
530		COMMUNICATION	
580		TRAVEL	
590		OTHER PURCHASED SERVICES	
611		INSTRUCTIONAL SUPPLIES	
612		ADMINISTRATIVE SUPPLIES	
690		OTHER SUPPLIES	
890		OTHER OBJECTS (MISCELLANEOUS EXPENDITURES)	
940		INDIRECT COSTS	
		TOTAL	

ORIGINAL REQUEST DATE _____

REVISED REQUEST DATE _____

STATE DEPARTMENT OF EDUCATION DATE OF
PROGRAM MANAGER AUTHORIZATION APPROVAL _____

APPENDIX C.3

**BUDGET FORM
ED 114
SAELP II Policy Laboratory Grant
FISCAL YEAR 2004-2005**

GRANTEE NAME:		TOWN CODE:	
GRANT TITLE: Continuous Administrator Professional Development and Capacity Building for School Improvement {One Year Grant}			
PROJECT TITLE:			
ACCOUNTING CLASSIFICATION			
FUND 12060 SPID 30256 BUDGET 2005 PROGRAM 82010			
CHARTFIELD 1: 170003 CHARTFIELD 2: SDE00006			
GRANT PERIOD: 12/1/04 - 6/30/05		AUTHORIZED AMOUNT:	
	CODE	DESCRIPTION	BUDGET AMOUNT
111A		ADMINISTRATOR/SUPERVISOR SALARIES	
111B		TEACHERS	
112A		EDUCATION AIDES	
112B		CLERICAL	
119		OTHER	
200		PERSONAL SERVICES-EMPLOYEE BENEFITS	
322		INSERVICE (INSTRUCTIONAL PROGRAM IMPROVEMENT SERVICES)	
325		PARENTAL ACTIVITIES	
330		OTHER PROFESSIONAL/TECHNICAL SERVICES	
530		COMMUNICATION	
580		TRAVEL	
590		OTHER PURCHASED SERVICES	
611		INSTRUCTIONAL SUPPLIES	
612		ADMINISTRATIVE SUPPLIES	
690		OTHER SUPPLIES	
890		OTHER OBJECTS (MISCELLANEOUS EXPENDITURES)	
940		INDIRECT COSTS	
		TOTAL	

ORIGINAL REQUEST DATE _____

REVISED REQUEST DATE _____

STATE DEPARTMENT OF EDUCATION DATE OF
PROGRAM MANAGER AUTHORIZATION APPROVAL _____

APPENDIX D

MASTER BUDGET CODE DESCRIPTION

Object Code Descriptions

111A Administrator/Supervisor Salaries

Amounts paid to administrative employees of the grantee not involved in providing direct services to pupils/clients. Include all gross salary payments for these individuals while they are on the grantee payroll including overtime salaries or salaries paid to employees of a temporary nature.

111B Teachers

Salaries for employees providing direct instruction/counseling to pupils/clients. This category is used for both counselors and teachers. Include all salaries for these individuals while they are on the grantee payroll including overtime salaries or salaries of temporary employees. Substitute teachers or teachers hired on a temporary basis to perform work in positions of either a temporary or permanent nature are also reported here. Tutors or individuals whose services are acquired through a contract are not included in the category. A general rule of thumb is that a person for whom the grantee is paying employee benefits and who is on the grantee payroll is included; a person who is paid a fee with no grantee obligation for benefits is not.

112A Education Aides

Salaries for grantee employees who assist staff in providing classroom instruction. Include all gross salaries for these individuals while they are on the grantee payroll including overtime salaries or salaries of temporary employees.

112B Clerical

Salaries for grantee employees performing clerical/secretarial services. Include all gross salaries for these individuals while they are on the grantee payroll including overtime salaries or salaries of temporary employees.

119 Other

Salaries for any other grantee employee not fitting into objects 111A, 111B, 112A or 112B. Include the gross salaries for these individuals including overtime salaries or temporary employees. Included can be janitorial personnel costs, grant activity coordinators' salaries, and food service personnel.

200 Personal Services – Employee Benefits

Amounts paid by the grantee on behalf of the employees whose salaries are reported in objects 111A, 111B, 112A, 112B or 119. These amounts are not included in the gross salary, but are in addition to that amount. Such payments are fringe benefit payments and, while not paid directly to employees, nevertheless are part of the cost of personal services. Included are the employer's cost of group insurance, social security contribution, retirement contribution, tuition reimbursement, unemployment compensation and workmen's compensation insurance.

- 322 Inservice (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, inservice training specialists, etc., who are not on the grantee payroll.
- 325 Parental Activities**
Expenditures related to services for parenting including workshop presenters, counseling services, baby-sitting services, and overall seminar/workshop costs.
- 330 Other Professional/Technical Services**
Payments for professional or technical services that are not directly related to instructional activities. Included are payments for data processing, management consultants, legal services, etc. Do not include the cost of an independent auditor in this category.
- 530 Communication**
Payments for services provided by persons or businesses to assist in transmitting and receiving messages or information. This category includes telephone and telegraph services as well as postage machine rental and postage.
- 580 Travel**
Expenditures for transportation, meals, hotel and other expenses associated with staff travel. Per diem payments to staff in lieu of reimbursement for subsistence (room and board) are also included.
- 590 Other Purchased Services**
All other payments for services rendered by organizations or personnel not on the GRANTEE payroll but detailed in 510, 530, 560, 580, or 590. These include: Insurance Costs (other than employee benefits) – payments for all types of insurance coverage including property, liability and fidelity; Printing and Binding – publication costs; and, Advertisement – any expenditures for announcements in professional publications, newspapers or broadcasts over radio or television including personnel recruitment, legal ads, and the purchase and sale of property.
- 611 Instructional Supplies**
Expenditures for consumable items purchased for instructional use.
- 612 Administrative Supplies**
Expenditures for consumable items directly related to program administrative (non-instructional) activities.
- 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.
- 940 Indirect Costs**
Costs incurred by the grantee, which are not directly related to the program but are a result thereof. Applicants may claim a maximum of 8% as the Indirect rate.

APPENDIX E

PROPOSAL EDIT CHECK

Grantee:

Project Name:

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

	Yes	No	Page Number/Comments
Cover page is correctly completed			
Abstract is included and correctly completed			
Proposal addresses the minimum requirements			
Objectives are measurable			
Matching funds are described and entered on ED-114			
Matching funds are identified in the grant			
Budget is complete			
Budget line item narrative is accurate and complete			
The following proposal requirements are addressed: <ul style="list-style-type: none"> - administration and personnel - presenters/sub-contractors - management and control of program and grant - other required information regarding proposal submission to any other agency, etc. 			
Assurances are signed			
Certification Regarding Debarment and Suspension Signed			
Affirmative Action addressed/signed			

Edit Check Completed by _____
Name
Title
Date

APPENDIX F.1

EVALUATION CRITERIA
Grant Category- BT 1- Distributed Leadership

Agency: _____

Reviewer: _____ Total Points Awarded: _____

The proposal addresses the minimum requirements. Yes _____ No _____

NOTE: If the above is “NO” do not proceed.

Criteria are to be rated according to the five point scale:	N/A	Missing	Poor	Fair	Average	Good	Excellent
	0	0	1	2	3	4	5
1. Program Design (Max = 45 points) <ul style="list-style-type: none"> • quality of goals for this lab • appropriate criteria used for “readiness” • effective plans for engaging key decision makers • describes what will change from existing strategies • effective plans for changing leader roles • effective plans for expanding shared leadership • provides an effective use of resources • describes innovative strategies • technical assistance to districts aligned with CALM 							
2. Timeline (Max = 10 points) <ul style="list-style-type: none"> • has practical timeline • presents logical plan for sustaining planned activities 							
3. Evaluation (Max = 10 points) <ul style="list-style-type: none"> • describes how objectives will be measured • describes evaluation design 							

Criteria are to be rated according to the five point scale:	N/A	Missing	Poor	Fair	Average	Good	Excellent
	0	0	1	2	3	4	5
4. Administrative and Personnel (Max = 15 points) <ul style="list-style-type: none"> describes administrative structure and background and experience of persons conducting activities provides evidence of efficient use of staff percentage of time to project tasks is identified 							
5. Budget (Max = 15 points) <ul style="list-style-type: none"> is reasonable for scope of the program and includes narrative with line item explanation and justification is cost effective as it relates to the services provided indicates matching funds 							
TOTAL							

	Yes	No
	5	0
6. Other Information (Max = 5 points) <ul style="list-style-type: none"> addresses management, reporting, assurances, affirmative action packet and includes necessary signatures 		
TOTAL POSSIBLE POINTS: 100		
TOTAL SCORE:		

APPENDIX F.2

EVALUATION CRITERIA
Grant Category- BTI 2- Formalized School Leader Induction for
School Improvement Policy Laboratory

Agency: _____

Reviewer: _____ Total Points Awarded: _____

The proposal addresses the minimum requirements. Yes _____ No _____

NOTE: If the above is “NO” do not proceed.

Criteria are to be rated according to the five point scale:	N/A	Missing	Poor	Fair	Average	Good	Excellent
	0	0	1	2	3	4	5
1. Program Design (Max = 45 points) <ul style="list-style-type: none"> • quality of goals for this lab • description of year one activities • description of year one & two work with districts • criteria used for “readiness” • effective plans for engaging key decision makers • describes what will change from existing strategies • describes strategies for developing and piloting an SIP activity • addresses hiring of leader-in-residence • technical assistance to districts aligned with CALM 							
2. Timeline (Max = 10 points) <ul style="list-style-type: none"> • has practical timeline • presents logical plan for sustaining planned activities 							
3. Evaluation (Max = 10 points) <ul style="list-style-type: none"> • describes how objectives will be measured • describes evaluation design 							

Criteria are to be rated according to the five point scale:	N/A	Missing	Poor	Fair	Average	Good	Excellent
	0	0	1	2	3	4	5
4. Administrative and Personnel (Max = 15 points) <ul style="list-style-type: none"> describes administrative structure and background and experience of persons conducting activities provides evidence of efficient use of staff percentage of time to project tasks is identified 							
5. Budget (Max = 15 points) <ul style="list-style-type: none"> is reasonable for scope of the program and includes narrative with line item explanation and justification is cost effective as it relates to the services provided indicates matching funds 							
TOTAL							

	Yes	No
	5	0
6. Other Information (Max = 5 points) <ul style="list-style-type: none"> addresses management, reporting, assurances, affirmative action packet and includes necessary signatures 		
TOTAL POSSIBLE POINTS: 100		
TOTAL SCORE:		

APPENDIX F.3

EVALUATION CRITERIA

Grant Category- BTI 3- Continuous Administrator Professional Development and Capacity Building for School Improvement Policy Laboratory

Agency: _____

Reviewer: _____ Total Points Awarded: _____

The proposal addresses the minimum requirements. Yes _____ No _____

NOTE: If the above is “NO” do not proceed.

Criteria are to be rated according to the five point scale:	N/A	Missing	Poor	Fair	Average	Good	Excellent
	0	0	1	2	3	4	5
1. Program Design (Max = 35 points) <ul style="list-style-type: none"> • identifies goals for this lab • effective plans for engaging key decision makers • criteria used for “readiness” • describes strategies to address SIP-based continuous professional development • provides an effective use of resources • describes innovative strategies • technical assistance to districts aligned with CALM 							
2. Timeline (Max = 10 points) <ul style="list-style-type: none"> • has practical timeline and matrix • presents logical plan for continuation of planned activities 							
3. Evaluation (Max = 10 points) <ul style="list-style-type: none"> • describes how objectives will be measured • describes evaluation design 							

Criteria are to be rated according to the five point scale:	N/A	Missing	Poor	Fair	Average	Good	Excellent
	0	0	1	2	3	4	5
4. Administrative and Personnel (Max = 15 points) <ul style="list-style-type: none"> describes administrative structure and background and experience of persons conducting activities provides evidence of efficient use of staff percentage of time to project tasks is identified 							
5. Budget (Max = 15 points) <ul style="list-style-type: none"> is reasonable for scope of the program and includes narrative with line item explanation and justification is cost effective as it relates to the services provided indicates matching funds 							
TOTAL							

	Yes	No
	5	0
6. Other Information (Max = 5 points) <ul style="list-style-type: none"> addresses management, reporting, assurances, affirmative action packet and includes necessary signatures 		
TOTAL POSSIBLE POINTS: 90		
TOTAL SCORE:		

APPENDIX G

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 subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients 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:

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

(b) 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;

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

(d) 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;

(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 and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, 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-

(1) 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 of Performance (Street address, city, county, state, zip code)

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 and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office Building No. 3) Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

Name of Applicant

PR/AWARD Number and/or Project Name

Signature

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, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

- 6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.
- 8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by *this* clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- 9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

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

Name of Applicant	PR/AWARD Number and/or Project Name
Printed Name and Title of Authorized Representative	
Signature	Date

APPENDIX H
Statement Of Assurances

Connecticut State Department Of Education
Standard Statement Of Assurances
Grant Programs

PROJECT TITLE: _____

THE APPLICANT: _____ **HEREBY ASSURES THAT:**
(Insert Agency/School Name)

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

- J. The applicant will protect and save harmless the State Board of Education from financial loss and expense, including legal fees and costs, if any, arising out of any breach of the duties, in whole or part, described in the application for the grant;
- K. At the conclusion of each grant period, the applicant will provide for an independent audit report acceptable to the grantor in accordance with Sections 7-394a and 7-396a of the Connecticut General Statutes, and the applicant shall return to the State Department of Education any moneys not expended in accordance with the approved program/operation budget as determined by the audit;
- L. The grant award is subject to approval of the State Department of Education and availability of state or federal funds.
- M. 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.

N. Required Language:

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

For the purposes of this section, "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (a) who are active in the daily affairs of the enterprise, (b) who have the power to direct the management and policies of the enterprise and (c) who are members of a minority, as such term is defined in subsection (a) of Conn. Gen. Statue Section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "Good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements.

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

- 2) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut. If the contract is for a public works project, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such project. The contractor further agrees to take affirmative action to insure that applicants with job related qualifications

are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved; (b) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "Affirmative Action-Equal Opportunity Employer" in accordance with regulations adopted by the commission; (c) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union or worker's representative of the contractor's commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (d) the contractor agrees to comply with each provision of this section and Conn. Gen. Stat. Sections 4a-62, 32-9e, 46a-56 and 46a-68b to 46a-68k, inclusive, and with each regulation or relevant order issued by said Commission pursuant to said sections; (e) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor as relate to the provisions of this section and section 46a-56.

- 3) Determination of the contractor's good faith efforts shall include but shall not be limited to the following factors: The contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
- 4) The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.
- 5) The contractor shall include the provisions of subsection (2) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with this section and Conn. Gen. Statute Sections 4a-62, 32-9e, 46a-56 and 46a-68b to 46a-68k, inclusive; provided if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.
- 6) The contractor agrees to comply with the regulations referred to in this section as they exist on the date of this contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.
- 7) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of

persons on the grounds of sexual orientation, in any matter prohibited by the laws of the United States or of the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (b) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (c) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56 of the general statutes; (d) the contractor agrees to provide the commission on human rights and opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor which relate to the provisions of this section and section 46a-56 of the general statutes.

- 8) The contractor shall include the provisions of subsection (7) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56 of the general statutes; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

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

Signature	_____
Name (typed)	_____
Title (typed)	_____
Date	_____

**APPENDIX I
CONNECTICUT STATE DEPARTMENT OF EDUCATION
AFFIRMATIVE ACTION PACKET**

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

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

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

The following are appended hereto:

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

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

Affirmative Action Office
State Department of Education
(860) 566-7619

NOTIFICATION TO BIDDERS

The contract to be awarded is subject to contract compliance requirements mandated by Section 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Section 46a-71(d) and 46a-81 i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies which establish a procedure for the awarding of all contracts covered by Sections 46a-71(d) of the Connecticut General Statutes.

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

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

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

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

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

Signature

Date

On behalf of:

Organization Name

Project No: _____

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

CONTRACT COMPLIANCE

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

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

- 1) Comply fully with all federal and state anti-discrimination laws, and shall not discriminate or permit a discriminatory practice to be committed;
- 2) Cooperate fully with the commission;
- 3) Submit periodic reports of its employment and subcontracting practices in such a form, in such a manner and at such a time as may be prescribed by the Commission;
- 4) Provide reasonable technical assistance and training to minority business enterprises to promote the participation of such concerns in state contracts and subcontracts;
- 5) Make a good faith effort, based upon the availability of minority business enterprises in the labor market area, to award a reasonable proportion of all subcontractors to such enterprises;
- 6) Maintain full and accurate support data for a period of two (2) years from the date the record is made or the date the contract compliance form is submitted, whichever is later, provided that this provision shall not excuse compliance with any other applicable record retention, state regulation or policy providing for a period of retention in excess of two (2) years;
- 7) Not discharge, discipline or otherwise discriminate against any person who has filed a complaint, testified or assisted in any proceeding with the commission;
- 8) Make available for inspection and copying any support data requested by the commission, and make available for interview any agent, servant or employee having knowledge of any matter concerning the investigation of a discriminatory practice complaint or any matter related to a contract compliance review;
- 9) Include a provision in all subcontracts with minority enterprises requiring that the minority business enterprise provide the Commission with such information on its structure and operations as the Commission finds necessary to make an informed determination as to whether the standards of Section 4a-60 of the Connecticut General Statutes as amended by Sec. 2 of Public Act 89-253 have been met; and
- 10) Undertake such other reasonable activities or efforts as the Commission may prescribe to ensure the participation of minority business enterprises as state contractors and subcontractors.

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

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

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

Contractor Name: _____
 Address: _____

Total number of CT employees:
 Full-time _____ Part time _____

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

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

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

Apprentices													
Trainees													

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

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

 Contractor's Authorized Signature

 Date

DEFINITIONS FOR WORKFORCE ANALYSIS

RACE/ETHNIC IDENTIFICATION:

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

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

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

DESCRIPTION OF JOB CATEGORIES:

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

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

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

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

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

Craft workers: (*skilled*) - Manual workers of relatively high skill level having a thorough comprehensive knowledge of the processes involved in their work. Exercise considerable

independent judgment and usually receive an extensive period of training. Includes *kindred workers*.

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

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

On-the job trainees:

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

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

CONTRACTOR'S MINORITY BUSINESS ENTERPRISES

UTILIZATION FORM

NAME AND ADDRESS OF AWARDING AGENCY:	NAME AND ADDRESS OF CONTRACTOR:	
PROJECT NO: _____ DATE AWARDED: _____ DATE BID OPENED: _____		
NOTICE TO CONTRACTORS: Under Section 46a-68J-23(5) of the Contract Compliance Regulations, contractors are required to make GOOD FAITH EFFORTS to employ Minority Business Enterprises (MBEs) as subcontractors and suppliers of materials on all projects subject to contract compliance requirements. The contract which is referenced above is subject to contract compliance requirements.		
INSTRUCTIONS: List the name and addresses of all MBEs you have selected as subcontractors and suppliers of materials for this project. If the MBEs selected as subcontractors and suppliers of materials meet the criteria for MBEs set out in Section 4a-60 of Connecticut General Statutes, contractors MUST complete the attached affidavit. If such business are not currently registered with the Department of Economic Development and if the contractor wishes the Commission on Human Rights and Opportunities (CHRO) to consider favorably the selection of an unregistered MBE in the evaluation of the contractor's good faith efforts , contractors MUST complete the attached affidavit. In either case, the affidavit must be filled out in triplicate, with the original sent to the CHRO, Contract Compliance Unit, 21 Grand Street, Hartford, Connecticut 06106; one copy sent to the Awarding Agency; and one copy retained by contractor. If the contractor does not wish the CHRO to consider selection of an unregistered MBE in its evaluation of the contractor's good faith efforts, no affidavit need be made. <i>(Attached additional pages if necessary, using same headings.)</i>		
NAME AND ADDRESS OF ALL MBE SUBCONTRACTOR(S) OR SUPPLIER(S) OF MATERIALS:	Check here if MBE(s) qualify under Section 4a-60 of the Conn. Gen. Statues.	Check here if MBE is unregistered but wants consideration for good faith efforts.

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

AFFIDAVIT

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

I am the _____ Certify and affirm:
(Title)

Check if provision applicable: _____ That the following minority business subcontractors and /or suppliers of materials that _____ has hired for Contract No. _____ with
(Contractor)
_____ meet the criteria for Minority Business Enterprises set
(Awarding Agency)
out in Section 4a-60 of the Connecticut General Statutes: _____
(Lists names of Minority Business Enterprises that qualified under
_____ current statutory requirements)

Check if provision applicable: _____ That the _____ has hired the following
(Contractor)
minority business subcontractors or suppliers of materials for Contract No. _____ with
_____ that are not registered with the Department of
(Awarding Agency)
Economic Development, but which should be considered by the Connecticut Commission on Human
Rights and Opportunities when evaluating _____ the
(Contractor)
good faith efforts:
_____ (List names or unregistered MBEs)

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

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

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

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

Subscribed and sworn to before me, this _____ day of _____ 2000.

Notary Public/Commissioner of the Superior Court

My Commission Expires: _____

CERTIFICATE OF CORPORATION

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

(Signature of person Certifying)

(Corporate Seal)

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

**AFFIRMATIVE ACTION
POLICY STATEMENT**

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

_____ will continue to take affirmative action to ensure that no persons are discriminated against with regard to their race, color, sex, sexual orientation, national origin, ancestry, religion, age, physical disability, mental retardation, marital status, present or past history of mental disorder, learning disability or criminal record. Such action includes, but is not limited to, employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation and selection for training including apprenticeship. _____

_____ will continue to make good faith efforts to comply with all federal and state laws and policies which speak to Equal Employment Opportunity and Affirmative Action.

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

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

This Policy Statement is based on both the spirit and the letter of state and federal anti discrimination laws, regulations and executive orders. Accordingly, care is taken to ensure that no person shall be excluded from participation in, be denied the benefits of, or otherwise be unlawfully discriminated against. Further, _____ will not knowingly use the services of, patronize or otherwise deal with any business, contractor, subcontractor or agency that engages in acts of unlawful discrimination.

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

SIGNATURE

DATED

AFFIRMATIVE ACTION PLAN

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

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

CERTIFICATION THAT A CURRENT
AFFIRMATIVE ACTION PLAN IS ON FILE

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

Signature of Authorized Official _____
Date

Name and Title

Appendix J

**Criteria for Selection of Leader-in-Residence
Criteria Rating Sheet**

Applicant's Name _____ **Committee member name** _____

1. Distributed Leadership Experience and Training (20 points) _____

2. Beginning Administrator Support Experience and Training (20 points) _____

3. Administrator Professional Development and Capacity Building Experience and Training (20 points) _____

4. School Improvement Planning and Implementation Experience and Training (20 points) _____

5. Oral Communication and Presentation Skills and Experience (10 points) _____

6. Writing Skills (e.g., correspondence, reports, training) (10 points) _____

Total Points _____
(out of 100)

What is your overall rating of the applicant?

Below Average Average Above Average Very Good Excellent

Would you recommend hiring this candidate?

YES

NO