

# CONNECTICUT STATE DEPARTMENT OF EDUCATION

## DIVISION OF EDUCATIONAL PROGRAMS AND SERVICES Bureau of Adult Education and Nutrition Programs Middletown

### Request for Proposals

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## PROGRAM IMPROVEMENT PROJECTS (PIP)

### ADULT EDUCATION

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**July 1, 2004 - June 30, 2005**

**Purpose:** To provide opportunities for the improvement of educational programs and services for adults who lack the level of basic skills and literacy necessary for effective citizenship and productive employment.

Funding is made available under Title II of the Workforce Investment Act (WIA), Adult Education and Family Literacy Act, Public Law 105-220.

Proposals Due: May 3, 2004

Published: February, 2004

**RFP # 066**

# CONNECTICUT STATE DEPARTMENT OF EDUCATION

Dr. Betty J. Sternberg  
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.

2004-2005 ADULT EDUCATION PROGRAM IMPROVEMENT PROJECTS  
**TABLE OF CONTENTS**

	<b>Page</b>
I General Information	
A. Introduction/Purpose .....	1
B. Overview of Federal Requirements .....	1
Eligible Applicants .....	2
Target Population .....	2
Indicators of Performance.....	2
Considerations for Funding.....	3
Coordination with Workforce Investment Boards and One Stops.....	3
Direct and Equitable Access .....	3
Allowable Activities.....	3
General Education Provisions Act (GEPA) Section 427 .....	3
C. Application Priorities .....	3
D. Available Funding.....	3
E. Accountability Practices .....	4
F. Preparing and Submitting the Application .....	5
G. Proposal Review and Evaluation .....	6
H. Direct and Equitable Access .....	6
I. Bidders' Conference and Further Information.....	6
J. Disposition of Applications .....	6
K. Grant Awards .....	6
L. Matching Funds .....	6
M. Administrative Costs.....	7
N. Obligations of Grantees .....	7
O. Freedom of Information Act .....	7
P. Utilization of Minority Business Enterprises.....	7
II Priority Area Specifications.....	
• AE-05-1 Workforce Preparation.....	8
• AE-05-2 Workplace Education.....	9
• AE-05-3 Family Literacy Services.....	10
• AE-05-4 Transition to Postsecondary Education and Training Programs.....	12
• AE-05-5 Technology Implementation III.....	13
• AE-05-6 Connecticut Adult Virtual High School .....	15
• AE-05-7 English Language Acquisition/Civics Education.....	17
III Proposal Guidelines and Requirements for Program Improvement Projects.....	
A. Proposal Cover .....	18
B. Proposal Abstract.....	18
C. Organization's Background/Program Management .....	18
D. Statement of Needs/Target Population.....	18
E. Project Design .....	19

F. Prior Program Performance/Accomplishments .....	19
G. Interagency Collaboration.....	19
H. Future Funding.....	20
I. Project Site.....	20
J. Attestations.....	20
K. General Education Provisions Act (GEPA) Attestation.....	20
L. Edit Check.....	20
M. Budget (ED 114) and Budget Narrative.....	20
N. Indirect Costs.....	20
O. Statement of Assurances.....	20
P. Certifications.....	21
Q. Affirmative Action Packet.....	21
R. Date of Local Board or Agency Acceptance.....	21

**IV Appendices**

A. Proposal Cover (Form).....	22
B. Proposal Abstract (Form).....	23
C. Goals and Objectives (Form).....	24
D. Adult Education Core Indicators of Performance 2004-2005 (Form).....	25
E. Prior Program Performance/Accomplishments (Form).....	30
F. Interagency Collaboration (Form).....	32
G. Attestations.....	33
H. General Education Provisions Act (GEPA) Attestation (Form).....	34
I. Proposal Edit Check (Form).....	35
J. Evaluation Criteria.....	36
K. Budget ED 114 (Form).....	38
L. ED 114 Budget Narrative (Form).....	39
M. Matching funds – Budget Narrative Form.....	41
N. Budget Code Description.....	43
O. Statement of Assurances.....	46
P. Certification Regarding Lobbying; Debarment, and Suspension and Drug-Free Workplace Requirements. ....	50
Q. Affirmative Action Packet (pages 53 to 63) .....	53
R. Resource Information:	
1. Considerations for Funding .....	64
2. Special Rule for Family Literacy Programs.....	66
3. Regional Workforce Development Board Directors .....	67
4. Service Delivery Areas (SDA) Towns.....	68

# REQUEST FOR PROPOSALS

## 2004-2005 Adult Education Program Improvement Projects Workforce Investment Act, Title II The Adult Education and Family Literacy Act

### I. General Information

#### A. Introduction/Purpose

Adult Education continues to experience a rapidly changing environment that creates new challenges and demands for creativity and flexibility in the delivery of instruction while ensuring superior quality and accountability. Strong literacy skills coupled with employment and family related competencies, critical thinking skills and technological awareness are essential.

Strong technological literacy incorporated into basic skill competencies, English fluency and the attainment of a high school diploma is more critical than ever for older adults, individuals learning the English language, working adults, individuals with families, individuals with disabilities and high school dropouts.

Recognizing the burgeoning need for access to technology, flexible hours of operation and the goals of the Connecticut State Board of Education, and the Workforce Investment Act, Title II, the Adult Education and Family Literacy Act (P.L. 105-220), the State Department of Education's (SDE) Bureau of Adult Education and Nutrition Programs (BAENP) is conducting a solicitation of proposals through this Request for Proposal (RFP).

The purpose of this competitive RFP is to provide financial resources that will enable agencies to deliver quality and comprehensive adult education services in the identified priority areas: Workforce Preparation; Workplace Education; Family Literacy Services; Transition to Postsecondary Education and Training; Technology Implementation III; Connecticut Adult Virtual High School; and English Language Acquisition/Civics Education.

All priority areas require program designs that are comprehensive and systematic to: improve the learning experience; reach a greater number of students; increase a district's/agency's outreach and collaboration capacity; promote diversity in the delivery of instruction; integrate the use of technology and increase learning gains.

#### B. Overview of WIA Title II Federal Requirements

The guiding principles of Title II, the Adult Education and Family Literacy Act, of the Workforce Investment Act (P. L. 105-220), are those of partnership, flexibility, accountability and improved quality of services. Each state's grant is based on its population of adults 16 years and older who are school dropouts or who lack basic literacy skills or proficiency in the English language. Each state is required to use not less than 82.5 percent of its federal grant to make competitive sub-grants to local providers of workplace literacy, family literacy, basic skills adult education and English as a second language instruction. This RFP is in response to this directive.

The purpose of Title II is to create partnerships to assist adults:

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

WIA II legislation mandates that the requirements described in the following paragraphs be incorporated into activities supported by the State and these funds.

**Eligible Applicants:** Eligible applicants include: local educational agencies and charter schools, community-based and volunteer literacy organizations of demonstrated effectiveness, institutions of higher education, public or private nonprofit agencies, libraries, public housing authorities, other non-profit institutions that have the ability to provide literacy services to adults and families, and consortia of such entities.

**Target Population:** The term “adult education” means services or instruction below the postsecondary level for individuals who have attained 16 years of age and are not enrolled or required to be enrolled in secondary school under state law; lack sufficient mastery of basic educational skills to function effectively in society; do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or are unable to speak, read, or write the English language.

Programs must target individuals with multiple barriers to education attainment, including; individuals with disabilities; criminal offenders; single parents and displaced homemakers; and individuals with limited English proficiency.

**Special Notes:** “Correctional Education” as defined by law, funds are to be used for educational programs for criminal offenders in correctional institutions and for other institutionalized individuals, including academic programs for: basic education; special education; English literacy; and secondary school completion. Providers of services to criminal offenders are required to give priority to serving individuals who are likely to leave the correctional institution within 5 years of participation in the program.

A “criminal offender” is defined as any individual who is charged with or convicted of any criminal offense.

The term “correctional institution” is defined as any: prison; jail; reformatory; work farm; detention center; half-way house; community-based rehabilitation center; or other similar institution designed for the confinement or rehabilitation of criminal offenders.

**Indicators of Performance/Performance Measures:** WIA Title II established a new accountability system in which states set levels of performance for “Core Indicators” and identified additional indicators for adult education and literacy activities. The indicators drive the performance of local programs in order to ensure the improvement of adult education and literacy services. The “core measures,” at a minimum, must include the following:

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

Each recipient of state or federal funds must meet these Core Indicators. The Core Indicators adopted for the 2003-2004 program year are contained in Appendix D. The State Department of Education is currently in the process of renegotiating performance levels with the U.S. Department of Education for each of the core indicators. It is expected that the indicator percentages will change. Successful grantees will be required to submit revised information that will exceed the minimum requirements.

**Considerations for Funding:** In awarding grants to local programs, the state must evaluate the applications based on the considerations detailed in Appendix R-1. Eligible providers must demonstrate the following: past effectiveness of programs; classes of sufficient intensity and duration; measurable student outcomes; the use of computer technology; coordination of services with local schools, colleges, one-stop employment centers, job-training programs and social-service agencies; flexible program schedules and provision of support services and an information-management system capable of reporting student outcomes and monitoring program performance.

**Coordination with the Workforce Investment Boards (WIB) and the One Stops:** The Workforce Investment Act requires recipients of Title II funds to demonstrate coordination with the One Stop Centers for the benefit of their common customers; to provide programmatic information on their programs and services to the One Stops; and to engage in collaborative activities with the Workforce Investment Boards to ensure a comprehensive approach to literacy and employment. A list of the Workforce Investment Board Directors is included in Appendix R-3.

**Direct and Equitable Access:** The state must adhere to direct and equitable access in every step of the competitive grant application process. In addition, the state is obligated to use “the same grant or contract announcement process and application process for all eligible providers.”

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

- adult education and literacy services, which may include workplace literacy services (literacy services that are offered for the purpose of improving the productivity of the workforce through the improvement of literacy skills);
- family literacy services; and
- English literacy programs.

**General Education Provisions Act (GEPA) Section 427:** The purpose of this provision is to ensure that, in designing their projects to be carried out with federal funds, applicants address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve high standards. Consistent with program requirements and its approved application, an applicant may use the federal funds awarded to it to eliminate barriers it identifies.

Section 427 of GEPA affects all applicants for grant awards under this program. **ALL APPLICANTS FOR GRANTS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.** Applicants must complete the GEPA Attestation form, Appendix H.

**C. Application Priorities:**

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

**D. Available Funding:**

Approximately 3.8 million dollars will be available for grants under this initiative. The SDE has set funding parameters for grants ranging from \$20,000 to \$100,000 as outlined in each of the following priority areas:

- Workforce Preparation;
- Workplace Education;
- Family Literacy Services;
- Transition to Postsecondary Education Training and Programs;
- Technology Implementation III;
- Connecticut Adult Virtual High School; and
- English Language Acquisition/Civics Education

The SDE expects that proposals will be funded in all priority areas. Regional needs, the quality of the proposals submitted and the recommendations of the review panel will be considered as well. The SDE reserves the right to move funds from undersubscribed priority areas to oversubscribed areas and to consider geographic distribution and access in making funding decisions. The funding period is July 1, 2004 to June 30, 2005.

An additional focus, “Connecticut Adult Virtual High School” is a statewide priority affecting populations in all SDAs. The maximum funding available is \$250,000. Proposals submitted in response to this priority will form a discrete category.

In order to comply with the requirements of WIA, an appropriate percentage of Title II federal funds will be allocated from grant awards to the designated Workforce Investment Board in each service delivery area for the provision of three specific core services. The three core services at the One Stops include the following\*:

- Initial assessment of basic skill levels;
- Information relating to the availability of support services, including child care and transportation; and
- Performance and cost information with respect to providers that receive funding as outlined by the National Reporting System and WIA.

**E. Accountability Practices:**

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

- Use of the Connecticut Competency System (CCS) and the General Educational Development (GED) official practice test (as applicable) to appraise and assess student progress; and
- Use of the Connecticut Adult Reporting System (CARS) to collect and report on programmatic and student data, specifically the program’s progress in performance levels for the Core Indicators of Performance.

\* See Connecticut State Plan for Adult Education and Family Literacy, Title II of the Workforce Investment Act, Public Law 105-220 for more detailed information.

The CCS is an appraisal, instructional and assessment system that provides a comprehensive framework for teaching and assessing a common core of competencies that adults need in order to function effectively in society. The system allows for articulated movement among programs, provides a common assessment vocabulary and minimizes duplicative or unnecessary testing. As of July 1, 2002 a required writing assessment, determined by the SDE, has been phased in for all ABE, ESL and High School Completion programs. All funded grantees are expected to adhere to this policy as part of the required assessment protocols.

The GED practice test is an assessment that follows the format of the GED examination and serves as an effective predictor of a student's ability to pass the GED examination. It is the grantee's responsibility to ensure that staff is fully trained in the implementation of both the CCS assessments and the GED practical tests. Training is offered through the Adult Training and Development Network (ATDN) at the Capital Region Education Council (CREC), and the Bureau of Adult Education and Nutrition Programs (BAENP) at the SDE.

The CARS is used to collect and submit program and student data. Minimum computer hardware configuration for implementation of this system includes:

- Pentium 3 Processor or equivalent 450 MHz or higher;
- 1GB of hard drive storage;
- 64MB RAM (256 MB recommended);
- Internet Explorer 5.5 or higher; and
- Internet Connectivity (DSL or Broadband Service).

It is the grantee's responsibility to ensure that appropriate staff is trained in the CARS system. Training is provided by the BAENP.

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

The proposals must be prepared in accordance with the "Proposal Guidelines and Requirements for Program Improvement Projects" which begins on page 18. Six copies, one bearing original signatures must be submitted. All proposals submitted become the property of the State Department of Education and a part of the public domain.

Proposals (one original and five copies), **IRRESPECTIVE OF POSTMARK DATE**, must be received by 5:00 p.m. on **Monday, May 3, 2004**. Facsimile ("Faxed") or E-mailed copies of proposals/applications will not be accepted. Only proposals/applications with the original signatures will be accepted as timely filed. **EXTENSIONS SHALL NOT BE GIVEN.**

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

Gail Brooks-Lemkin, Consultant  
Bureau of Adult Education and Nutrition Programs  
Connecticut State Department of Education  
25 Industrial Park Road  
Middletown, CT 06457-1543

**G. Proposal Review and Evaluation**

Each proposal will be reviewed by a team of content specialists related to the specific priority area. Proposals will be rated according to the evaluation criteria contained in Appendix J. Applicants are advised to review the evaluation criteria when writing their proposals.

**H. Direct and Equitable Access**

The SDE will use “the same grant or contract announcement process and application process for all eligible providers.”

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

A bidders’ conference will be held at 9:00 a.m. on **Friday, March 5, 2004 at the Connecticut State Department of Transportation, 2800 Berlin Turnpike, Newington, CT 06131, [Tel: (860) 594-2000]**. Bureau of Adult Education and Nutrition Programs staff will be available to answer questions regarding application procedures, proposal format, and funding requirements. To register for the conference, please call Gina Gromak at (860) 807-2117 by February 27, 2004. Directions will be sent or faxed to attendees at that time.

**J. Disposition Of Applications**

Applicants will be notified of the acceptance or rejection of their proposals within approximately four weeks of the submission deadline date. If a proposal is selected for funding, a grant will be initiated by the Bureau of Adult Education and Nutrition Programs. The content and cost of proposals are subject to negotiation prior to the final grant. Notification of the grant award will be issued by the Associate Commissioner of the Division of Educational Programs and Services. The level of funding and effective dates of the project will be set forth in the notification of the grant award.

**K. Grant Awards**

THE 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 IN A PRIORITY AREA AND TO CONDUCT A MORE EXTENSIVE PROPOSAL SOLICITATION, TO FUND MORE THAN THE STATED NUMBER OF PROPOSALS IN ANY GIVEN PRIORITY AREA SHOULD THEY BE DEEMED TO HAVE PARTICULAR MERIT, TO REJECT A LOWER COST PROPOSAL IF IT BELIEVES THAT A HIGHER COST PROPOSAL MORE APPROPRIATELY MEETS THE STATED OBJECTIVES, OR TO TRANSFER FUNDS BETWEEN PRIORITIES IF THE NUMBER AND QUALITY OF PROPOSALS SHOULD WARRANT IT. IN ORDER TO PROMOTE A BROAD DISTRIBUTION OF FUNDS, THE DEPARTMENT RESERVES THE RIGHT TO LIMIT THE NUMBER OF GRANT AWARDS PER APPLICANT AND/OR PER GEOGRAPHIC AREA.

ALL AWARDS ARE SUBJECT TO THE AVAILABILITY OF FEDERAL FUNDS. GRANTS ARE NOT FINAL UNTIL THE AWARD LETTER IS EXECUTED.

**L. Matching Funds**

Applicants must provide a minimum of 25 percent (25%) in matching funds for all federally funded programs. Matching funds may include expenditures from state, local and other non-federal sources for adult education programs, services and activities, as defined in the Adult Education and Family Literacy Act. Matching funds may be cash or in-kind but must be able to be clearly documented.

**M. Administrative Costs**

According to the Workforce Investment Act, Title II: “The Adult Education and Family Literacy Act,” at least 95 percent (95%) of an eligible recipient’s federal grant award must be expended for adult education instructional activities. The remaining amount, not to exceed 5 percent (5%), may be used for local administrative costs, including planning, administration, evaluation, personnel development, and coordination. In cases where the administrative cost limit is too restrictive and would provide insufficient funds for the aforementioned non-instructional purposes, a grant applicant may submit a written request to the Chief, Bureau of Adult Education and Nutrition Programs to negotiate for a higher administrative funding level.

**N. Obligations of Grantees**

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

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

**O. Freedom of Information Act**

All of the information contained in a proposal submitted in response to this RFP is subject to the provisions of Chapter 3 of the Connecticut General Statutes {Public Records and Meetings and Freedom of Information Act [FOIA] Sections 1-200 through 1-241, inclusive.} 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.

**P. Utilization of Minority Business Enterprises**

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

Contractors shall certify under oath to the Commission on Human Rights and Opportunities and the 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 and Community Development.

## II. PRIORITY AREA SPECIFICATIONS

**Priority Area:** Workforce Preparation

**Priority Code:** AE-05-1

**Funding Available:** (\$500,000) Grants not to exceed \$50,000

**Rationale for this Priority Area:** To provide intensive literacy instruction that improves basic skills, promotes self sufficiency and provides opportunities for individuals to move toward full employment by offering a continuum of educational and pre-employment services.

**Requirements Specific to Workforce Preparation Programs:** In addition to the mandatory components outlined in “Proposal Guidelines and Requirements” (Section III of the RFP) intensive basic skills instruction and/or ESL instruction and/or secondary completion instruction must be addressed for this priority area. The program’s design, in the selected instructional area, should incorporate the following components into the curriculum:

1. Employability skill development including orientation to the world of work, resume writing, job application completion, interviewing skills, interpersonal and problem-solving skills;
2. Career exploration including non-traditional careers for women and men, community service, job shadowing or part-time work experience;
3. Transition and support services including links to employment, occupational training and/or post-secondary education;
4. Technology integration including computer literacy, Internet job search, career portfolios;
5. Motivational activities including dressing for success, family budgeting, child-care contingencies; and
6. Proposals should include documentation of formal involvement with the local One Stop Center and coordination with one or more appropriate agencies/groups in the community.

## **PRIORITY AREA SPECIFICATIONS**

**Priority Area:** Workplace Education

**Priority Code:** AE-05-02

**Funding Available:** (\$500,000) Grants not to exceed \$25,000

**Rationale for this Priority Area:** Title II of the Workforce Investment Act encourages adult education programs to offer “workplace literacy services for the purpose of improving the productivity of the workforce.” Workplace education programs will serve individuals who are already employed but in need of educational skills development and will offer instruction that supports job performance, job retention or career advancement while responding to the evolving needs of the business community.

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

1. Program staff must have participated in the Workforce Education Model provided by the Bureau of Adult Education and Nutrition Programs or must be willing to attend such training if funded;
2. Letter from the employer(s) must be provided which includes a commitment to participate in an onsite educational program and which outlines the level to which the employer will contribute to the cost of the workplace education program in either cash, in-kind services or a combination of both (e.g. employee release time, space etc.);
3. A needs assessment process must be in place that utilizes appropriate methods to identify employees’ basic skill needs (e.g. basic skills inventory, job task analysis, employee appraisals, etc.); and
4. A strategic plan must be developed which outlines implementation of the workplace education program and which includes a timeline and a description of the following:
  - the workplace needs assessment process including a workplace audit;
  - the curricular development process including objective performance measures;
  - curricular and instructional models that incorporate computer literacy and writing as appropriate; and
  - a follow-up plan to evaluate employee progress in the workplace(s) after program completion.

## PRIORITY AREA SPECIFICATIONS

<b>Priority Area:</b>	Family Literacy Services
<b>Priority Code:</b>	AE-05-3
<b>Funding Available:</b>	(\$500,000) Grants not to exceed \$50,000

**Rationale For This Priority Area:** Funds in this priority area are to be used to develop and expand programs that integrate the following activities: parent literacy training that leads to economic self-sufficiency; age-appropriate education for children; training for parents regarding how to be the primary teacher and full partner in the education of their children; and interactive literacy activities between parents and children. Family literacy services must be of sufficient intensity and duration to make sustainable educational progress in a family.

**Special Rule For Family Literacy Programs:** Funds may be used to support services to children in family literacy programs, but providers must attempt to obtain support for services to children from other programs prior to using funds under the Act for these services. Grantees looking to use funding for early childhood activities are required to submit evidence that they have exhausted other funding options for these activities. See Appendix R-2 for the Special Rule for Family Literacy Programs.

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

1. Funds must be used to support adult education components in order to provide basic skills, English as a second language (ESL) and/or secondary school completion instruction in an integrated learning environment. Programs must use a curriculum that incorporates computer literacy into the subject matter and uses technology to provide instruction, access career information or employment information and develop individual career portfolios;
2. A proposal must address and integrate at least 3 of the four components of a family literacy program: Adult Education, Early Childhood Education, and one (1) of the following: Parent Education or interactive literacy activities between parents and children into a unified family literacy program. Identification and recruitment of families must meet the requirements of the Adult Education and Family Literacy Act. Families must participate in all program components;
3. The early childhood education component may focus on children from birth through third grade;
4. Programs must be able to document good faith efforts to serve parents of children attending the particular school where the program is located;
5. The proposal should include appropriate support services; early childhood education/child care for the period of time parents are involved in the program; transportation to enable parents and children to participate in the program; and counseling services to promote family education planning. Include information on how barriers to program participation will be recognized and addressed;
6. Programs must show evidence of a formal collaboration with family learning/support providers such as: Even Start; Family Resource Centers; Head Start; Title I; Early Reading Success; Severe Need or state designated "accountable elementary school"; School Readiness; School-Family-Community

Partnerships; or with other public schools or libraries in the community to ensure that all components are offered; and

7. The evaluation plan should measure the effectiveness (progress and outcomes) of all components of the project with particular emphasis on the reading achievement of parents and children and intergenerational reading activities. Other changes in family interaction, e.g., improved communication between parent and child should also be described.

Note: Preference will be given to projects that are on-site in an elementary school, an early childhood facility or a learning center. All programs must include steps to demonstrate connections with the school, its staff and administration. If space is unavailable, the program may be offered in close proximity but should describe how connections with the school will be accomplished. Proposal must describe scheduling and co-location of services to allow joint participation by children and parents;

## **PRIORITY AREA SPECIFICATIONS**

**Priority Area:** Transition to Postsecondary Education and Training Programs

**Priority Code:** AE-05-4

**Funding Available:** (\$350,000) Grants not to exceed \$35,000

### **Rationale For This Priority Area:**

The purpose of the Transition to Post-Secondary Education and Training Program priority area is to broaden opportunities for students in adult education by creating a bridge between adult education programs and post-secondary education and training opportunities. Program designs should provide adult education students with the requisite skills to successfully complete the post-secondary programs of their choice.

**Requirements specific to the priority area:** In addition to proposal requirements addressed under Section III “Proposal Guidelines and Requirements,” the following requirements must be addressed for this priority area;

1. Written agreements between the adult education provider and its post-secondary partner or partners;
2. Evidence of an institutional commitment and capacity on the part of all partners to enhance and expand their programs of study in keeping with the requirements of this priority area;
3. Establishment of a collaborative planning team comprised of local adult education program staff and students, post-secondary education personnel, and appropriate other agency personnel (BRS, One-stops, WIB, etc.);
4. Creation of a program mission/vision with corresponding curriculum framework which includes the necessary assessment criteria for entrance into post-secondary education programs;
5. Development of a student referral process for students that have 16 or more credits or students with a score of 2500 on the Practice GED Test and/or other specifically defined program criteria; and
6. Partnerships between adult education and post-secondary education and training programs must provide at a minimum:
  - Dual or concurrent enrollment for academic and technical courses;
  - Academic and career related counseling combined with other student support services;
  - Academic assessments in line with the receiving institution to ensure student readiness for enrollment; and
  - Facilitation of the admissions and financial aid process for transition students.

## PRIORITY AREA SPECIFICATIONS

**Priority Area:** Technology Implementation III

**Priority Code:** AE – 05-5

**Funding Available:** Grants in this priority area are offered in the following two mutually exclusive sub-categories:

1. Initial Implementation Grants \$25,000 to \$100,000 (Total available \$1,000,000)
2. Enhancement Grants not to exceed \$35,000 (Total available \$525,000)

### **Rationale for this Priority Area:**

To increase access to instructional technology for students and staff in communities with limited existing resources;

To foster multiple approaches to the integration of technology in instruction (*Ginsburg L. in Technology, Basic Skills, and Moving Forward, 1998*) including:

- focusing on technology as curriculum to be taught;
- utilizing it as a means to deliver adult education instruction; and
- incorporating it as a seamless tool for research, analysis, evaluation, synthesis, and application.

To enhance student competencies in the areas of basic academic skills (reading, writing, and math), technological abilities, and complex skills including critical thinking, problem solving, and decision-making; and

To enrich and deepen ongoing technology initiatives.

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

### Initial Implementation Grants:

1. Applicants under this sub-category should not have received Technology Implementation funds under the Workforce Investment Act (WIA) Title II in any of the past three years.
2. Proposals must demonstrate how they will integrate multiple technology applications and utilize diverse instructional approaches (such as didactic, coaching, and constructivist) that will result in the enhancement of not only basic skills or technological abilities but also some of the complex skills outlined above.
3. Applicants must submit with their proposal a comprehensive but succinct technology plan that reflects diverse stakeholder input, places strong emphasis on staff development and teacher support, and outlines achievable goals/objectives.
4. Proposals should address how their project will result in specific outcomes that will be shared for the benefit of other programs including curriculum products, publications/presentations on lessons learned, videos, online resources, etc.

5. Technology resources (hardware or software) acquired as part of this grant must remain a property of the eligible applicant and be used primarily for the education of adult learners.

Enhancement Grants:

1. Applicants under this sub-category must have implemented program-wide technology initiatives for at least the past two years.
2. Proposals must demonstrate how they will use the funds to enrich and deepen their ongoing technology initiatives.
3. Applicants must outline specific actions for obtaining the funding necessary to sustain their technology initiatives after the end of this grant period.

## PRIORITY AREA SPECIFICATIONS

- Priority Area:** Connecticut Adult Virtual High School
- Priority Code:** AE-05-6
- Funding Available:** (\$250,000) One grant not to exceed \$250,000

### Rationale for this Priority Area:

- To improve the adult high school credit diploma program in Connecticut, increase access to the program statewide, and enhance the credentials of adult students entering and succeeding in the labor force, postsecondary education and/or the community.
- To **expand** the collaborative model currently being developed for a Web-based adult high school credit diploma program by increasing provider participation and expanding course offerings.
- To **institutionalize** the model into a Connecticut Adult Virtual High School by formalizing a management structure and other policies and processes relative to the implementation of a statewide system.

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

The successful applicant will be expected to work closely with the Bureau representative on all aspects of this project and facilitate, if necessary, the creation of a proposal for the modification of legislation. The detailed activities to be conducted are outlined below:

### 1. **Formalize and Implement the Connecticut Adult Virtual High School**

**Formalize** Connecticut’s recommended model for a Web-based adult high school credit diploma program by **implementing** the Connecticut Adult Virtual High School that addresses the following:

- A sustainable management structure that provides for:
  - a) costs, incentives, and benefits for district participation in the system,
  - b) encourages interdistrict collaboration,
  - c) promotes efficiencies of scale and reduces duplication of services, and
  - d) expands access to all programs;
- A process for hiring and compensating instructors;
- A system for scheduling courses, and registering students statewide;
- Online tools and support services for students including tutoring and help desk;
- Formalized professional development modules and procedures particular to the learning management system that prepare instructors to teach online, and Online Mentor/Facilitators to support student participation;
- A formal process coupled with standards for the ongoing review, approval, and revision of adult credit courses; and
- A system for ongoing research and evaluation that challenges the status quo, gathers and evaluates data, and recommends strategies for improvement.

2. **LEA Participation and Committee Structure:**

- Expand the participation of adult high school diploma program providers from the current level of four (4) to at least eight (8).
- Ensure staff representation from all the providers on the various existing committees including the advisory board, the content committee, the research and evaluation committee, and the support services committee.
- Facilitate communication between and among the different committees and the advisory board.
- Support the participation of the providers through stipends.

3. **Course Offerings:**

- Increase the course offerings by adding at least four (4) new comprehensive adult credit courses that consider the following: method for acquisition (develop, license, or purchase); quality of materials; areas of greatest need and potential for large enrollments; adult-orientation of context; inclusion of updated web sites; alignment of curriculum with Connecticut Frameworks and CASAS competencies; promotion of equity, equality and accessibility; and responsiveness to diverse levels and styles of learning.
- Ensure that course topic selection and review happens by November 30, 2004.
- Serve at least 20 students through each of the eight (8) adult credit-bearing courses. At least 20 students must enroll in these courses from each of the eight (8) participating providers.
- Offer the orientation course to all providers statewide along with the requisite training.

4. **Project Deliverables:**

The successful applicant will be expected to deliver the following at the end of the grant period:

- Formal functioning structure for the continued expansion and implementation of the Connecticut Adult Virtual High School that incorporates all the aspects outlined in (1).
- Full array of course offerings including an orientation course and a total of eight comprehensive adult credit courses.
- Course scheduling system that coordinates statewide offerings of courses.
- Registration system that manages the student registrations from various districts statewide.

## PRIORITY AREA SPECIFICATIONS

**Priority Area:** English Language Acquisition/Civics Education

**Priority Code:** AE-05-7

**Funding Available:** (\$260,000) Grants not to exceed \$20,000

**Rationale for this Priority Area:** the provision of English Language Acquisition and Civics Education for immigrants and other limited English proficient populations which promotes effective participation in the education, work and civic opportunities of this country.

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

1. Improvement of literacy skills including speaking, reading, writing and numeracy in order to provide learners with the skills to apply English and mathematics accurately and appropriately in a variety of home, community, workplace and academic settings;
2. Utilization of various approaches that assist students in gaining an understanding of the American free enterprise system, individual freedom and the responsibilities of citizenship;
3. Utilization of research-based instructional models that have proven effective in teaching individuals to read, write, and speak English effectively;
4. Collaboration with community agencies that offer services to limited English proficient populations;
5. Employment of instructional activities which utilize advances in technology, including the use of computers; and
6. Incorporation of community involvement projects that offer students the opportunity to become active community members.

### III. PROPOSAL GUIDELINES AND REQUIREMENTS FOR PROGRAM IMPROVEMENT PROJECTS

Important Note: Attention should be given to all of the guidelines and requirements in this section. The considerations for funding (Appendix R-1) are imbedded in the following application requirements.

The proposal must be typewritten, double spaced, on single sided (8 1/2 x 11”), un-ruled, white paper and stapled. The font must be set at a 12 point size, and 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 must be included that references the responses to the required information. 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. Clear, brief, succinct responses are encouraged.

- A. **Proposal Cover:** (Appendix A) A template for the format of the cover page is provided. The cover page must contain all the required information, the signature of the authorized official of the submitting agency, and the date of board approval.
- B. **Proposal Abstract:** (Appendix B) A template for the format of the program abstract is provided. The abstract should describe the major components of the program design and not exceed one page.
- C. **Organization’s Background/Program Management:** (Narrative) Briefly describe the following:
  - background and experience of the applicant agency, including services to primary population(s) and geographic areas served;
  - management of the project in order to ensure the attainment of successful outcomes;
  - project staff, responsibilities and positions for the proposed project;
  - volunteers (if applicable); and
  - professional development/training and how it will be funded.
- D. **Statement of Need/Target Population:** (Narrative) Provide a statement of need for the project within the community and the Service Delivery Area. Your description should justify the program you are proposing, the current gaps in access and/or service in the applicant’s delivery of adult education services. In addition, the proposal must describe the specific target population to be served.

**Respondents to Priority Area #5 (Technology Implementation III):** Subcategory 1 must describe the need for this project, outline the technology resources currently available to students/staff, substantiate the need for resources as part of this proposal, and answer the questions below. (The BAENP reserves the right to verify the accuracy of this information):

1. What is the total number of computers (PC Pentium or Mac equivalent) currently available for use by students in your program, regardless of ownership? \_\_\_\_\_
2. Of the total number of computers listed in item 1, how many have dedicated Internet access (only include DSL, Cable or faster)? \_\_\_\_\_
3. List your current technology support capacity in “annual person-hours”. In estimating your support capacity, include technology instructors/coordinators and hardware/software technicians available to your program. \_\_\_\_\_
4. List the total number of students, 12 hours or more by applicant, from FY 2003 CARS report Schedule 8. \_\_\_\_\_
5. Item 4 divided by Item 1. \_\_\_\_\_
6. Item 4 divided by Item 2. \_\_\_\_\_

## E. **Project Design:**

1. **Project Design:** (Narrative) Provide a succinct description of the design of the project you are proposing, why it is appropriate to meet the objectives, and how it will build on the organization's existing programs.
2. **Project Objectives:** (Form) State clearly the project's objectives, and activities/strategies in terms of measurable outcomes for all program participants. Include a timeline depicting each phase or aspect of the program. The use of additional diagrams or flow charts may be effective for this purpose. The evaluation methods and outcomes related to specific activities are to be entered into the Goals and Objectives chart contained in Appendix C. Include specific information about the skills learned and/or the jobs for which participants will be prepared.
3. **Indicators of Performance:** For sample see Appendix D. The State Department of Education is currently in the process of renegotiating performance levels with the U.S. Department of Education for each of the core indicators. It is expected that the indicator percentages will change. Successful grantees will be required to submit revised information that will exceed the minimum requirements.
4. **Curriculum:** (Narrative) Describe the curriculum to be used for the proposed project. Describe how the use of technology and writing instruction will be integrated into the curriculum to improve student achievement and program quality. Indicate that projected activities and instruction are built on a strong foundation of research and effective educational practice.
5. **Support Services:** (Narrative) Briefly describe any support services that will be offered to program participants and/or the referral process used to access support services for participants in order to minimize barriers to their successful learning experiences. (e.g., transportation, child-care, etc.)
6. **Transition Services:** (Narrative) Describe services to be provided during transition to a job, further training, higher education or after program completion. Describe post-program follow-up services, if any.
7. **Evaluation:** Describe the evaluation process and how it will be used for program improvement.

F. **Prior Program Performance/Accomplishments:** (Narrative and Form) Agencies receiving WIA II funds are required to demonstrate successful past performance in delivering a similar program or serving a similar population. Complete Appendix E and include a brief narrative that supports your agencies past performance. The SDE reserves the right to verify information.

G. **Interagency Collaboration:** (Narrative and Form) Describe existing or planned coordination with other programs, agencies and/or services. Provide specific information delineating the role and responsibilities to be carried out by the collaborating agency(ies). At least 4 letters of collaboration (Appendix F) must be included with the proposal. Programs must document how they will collaborate with One-Stops and the Workforce Investment Board in their area. (See listing in Appendix R-3).

- H. **Future Funding:** (Narrative) Describe the organization's plans and ideas for sustaining the project, after the one-year funding period.
- I. **Project Site:** (Narrative) Identify the site(s) in which this project would be implemented affirming the availability and appropriateness for use. Efforts must be made to secure public facilities, which involve no cost to the state. If you are proposing to use facilities other than your own, a letter of support must be included. NOTE: ALL PROGRAMS AND INSTRUCTIONAL SITES MUST BE ACCESSIBLE TO PERSONS WITH DISABILITIES.
- J. **Attestations:** (Form) The Project Director must sign and date the Attestation Form (Appendix G)
- K. **General Education Provisions Act (GEPA):** (Narrative and Form) Provide a description of the steps you intend to take to ensure equitable access to, and equitable participation in, the project to be conducted with federal adult education assistance. (The special needs of students, teachers and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on gender, race, color, national origin, disability and age must be addressed.) The description should address those barriers that are applicable to your circumstances, (e.g., making materials available on audio tape, distributing a brochure printed in the native language of the population you plan to serve by the project.) Complete the GEPA Attestation form in Appendix H.
- L. **Edit Check:** (Form) Complete form as indicated.
- M. **Budget (ED 114) and Budget Narrative: (Forms)** Using the budget format, ED 114 in Appendix K, prepare a budget for federal project costs for the period of July 1, 2004 to June 30, 2005. A detailed line item budget narrative must accompany the proposal.
- Applicants anticipating administrative costs in excess of 5 percent (5%) must submit a request to negotiate a waiver with their proposal. (Refer to Administrative Costs, page 7.)
  - Local Matching: Local matching funds of 25 percent (25%) must be provided for all projects. ("Matching Funds" page 6) A detailed budget narrative must accompany the proposal describing the matching funds. Other federal funds are not eligible for meeting match requirements.
- N. **Indirect Costs:** The SDE has approved restricted and unrestricted indirect rates for the RESCs and some local education agencies. Only those agencies which have an approved indirect rate on file in the department may apply costs to line item 940 (Indirect Cost). These rates may be used to compute indirect costs for grants and contracts funded by the U.S. Department of Education (USDOE) as well as other federal and private agencies. The rates are to be applied to a base composed of total direct costs less items of equipment, alterations and renovation, and subcontracts in excess of \$25,000 and flow through grants. When using prepayment grant budgets and expenditure statements, indirect overhead may only be budgeted and reported using line item 940. Do not combine indirect overhead with any other line item. For PIP grants use the Restricted Indirect Rate.
- O. **Statement of Assurances:** One of the six (6) copies of the proposal submitted must bear the original signature(s) of the authorized official(s) of the applicant on the Statement of Assurances (Appendix O).

- P. **Certifications:** One of the six (6) copies of the proposal submitted 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 P).
- Q. **Affirmative Action Packet:** SEE AFFIRMATIVE ACTION PACKET (Appendix Q).
- R. **Date of Local Board or Agency Acceptance:** If it is not possible for you to obtain board approval prior to May 3, 2004, please submit the proposal to the State Department of Education by May 3, 2004, and send official board approval no later than May 15, 2004.

**IV. APPENDICES**

**APPENDIX A**

**PROPOSAL COVER**

**FOR 2004 – 2005 ADULT EDUCATION PROGRAM IMPROVEMENT PROJECTS  
BUREAU OF ADULT EDUCATION and NUTRITION PROGRAMS**

**RFP Priority Area:** AE-05-\_\_\_\_  
For Technology III only – Indicate Subcategory:\_\_\_\_\_

**Title Of Project:** (Be concise, avoid highly technical terms.)

**Applicant Organization:** (Name and address of applicant agency or organization)

**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., Superintendent of Schools, Chief Executive Officer of agency.)

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

**2004-2005 Project Funds**

Federal funds requested: \_\_\_\_\_  
Matching funds: \_\_\_\_\_  
Total Project Cost: \_\_\_\_\_

**Date Submitted:** \_\_\_\_\_

**Date of Board/Agency Approval:** \_\_\_\_\_

**APPENDIX B**  
**PROPOSAL ABSTRACT**

**Priority Area:** \_\_\_\_\_

**Title of Project:** \_\_\_\_\_

**Project Director:** \_\_\_\_\_

**Applicant Organization:** \_\_\_\_\_

Beginning Date: 7/01/2004

Ending Date: 6/30/2005

Requested federal funds	Planned Enrollment
2004-2005	

**Type of Program:**

ABE     ESL     AM/CIT     GED     HSCD     Other: \_\_\_\_\_

**Target Population:** \_\_\_\_\_

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

**PROJECT DESIGN:** (Give a brief description of the overall design.)

**APPENDIX C  
GOALS AND OBJECTIVES**

Use separate sheets for each objective. Make copies of this form as necessary.

**Goal Statement:** \_\_\_\_\_

**Objective:** \_\_\_\_\_

<b>ACTIVITIES/STRATEGIES</b>	<b>ANTICIPATED OUTCOMES</b>	<b>EVALUATION METHOD</b>	<b>TIMELINE START/END DATES</b>

**APPENDIX D  
ADULT EDUCATION CORE INDICATORS OF PERFORMANCE\* - 2004-2005**

**\*The State Department of Education is currently in the process of renegotiating performance levels with the U.S. Department of Education for each of the core indicators. It is expected that the indicator percentages will change. Successful grantees will be required to submit revised information that will exceed the minimum requirements.**

*Below are the FY04 standards to be used as a sample only*

**Core Indicator #1: Demonstrated Improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy, problem solving, English language acquisition, and other literacy skills.**

Performance Measure	Minimum State Performance Standards 2003-2004
<b>Adult Basic Education (ABE)</b>	
The percentage of adult learners enrolled twelve hours or more in <b>Beginning Literacy</b> who will complete that level.	41% of Beginning Literacy adult learners will acquire the level of basic skills needed to complete the educational functioning level as evidenced by a CASAS scale score of 200 or above
The percentage of adult learners enrolled twelve hours or more in <b>Beginning ABE</b> who will complete that level.	41% of Beginning ABE learners will acquire the level of basic skills needed to complete the educational functioning level as evidenced by a CASAS scale score of 200 or above.
The percentage of adult learners enrolled twelve hours or more in <b>Low Intermediate ABE</b> who will complete that level.	31% of Low Intermediate ABE learners will acquire the level of basic skills needed to complete the Low Intermediate functioning level as defined by a CASAS scale score of 220 or above.
The percentage of adult learners enrolled twelve hours or more in <b>High Intermediate ABE</b> who will complete that level	31% of High Intermediate ABE learners will acquire the level of basic skills needed to complete the High Intermediate educational functioning level as evidenced by a CASAS scale score of 235 or above.
The number of adult learners enrolled twelve hours or more in <b>Low Adult Secondary</b> who will complete that level.	28% of students in GED will pass one or more subsections of the GED practice or the GED test per reporting period.  28% of students in Credit Diploma Program will have earned 10 credits towards a CDP diploma.  25% of students enrolled in External Diploma Program will move from diagnosis into assessment and/or complete one task
The number of adult learners enrolled twelve hours or more in <b>High Adult Secondary</b> who will complete that level.	28% of students enrolled in secondary programs (GED, CDP, EDP) will earn a diploma. (See Core Indicator Three.)

**APPENDIX D  
ADULT EDUCATION CORE INDICATORS OF PERFORMANCE\* - 2004-2005**

**\*The State Department of Education is currently in the process of renegotiating performance levels with the U.S. Department of Education for each of the core indicators. It is expected that the indicator percentages will change. Successful grantees will be required to submit revised information that will exceed the minimum requirements.**

*Below are the FY04 standards to be used as a sample only*

**Core Indicator #1: Demonstrated Improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy, problem solving, English language acquisition, and other literacy skills.**

Performance Measure	State Performance Standards 2003-2004
<p><b>English as a Second Language (ESL)</b></p> <p>The percentage of adult learners enrolled twelve hours or more in <b>Beginning ESL Literacy</b> who will complete that level.</p> <p>The percentage of adult learners enrolled twelve hours or more in <b>Beginning ESL</b> who will complete that level.</p> <p>The percentage of adult learners enrolled twelve hours or more in <b>Low Intermediate ESL</b> who will complete that level.</p> <p>The percentage of adult learners enrolled twelve hours or more in <b>High Intermediate ESL</b> who will complete that level.</p> <p>The percentage of adult learners enrolled twelve hours or more in <b>Low Advanced ESL</b> who will complete that level.</p> <p>The percentage of adult learners enrolled twelve hours or more in <b>High Advanced ESL</b> who will complete that level.</p>	<p>41% of Beginning ESL Literacy adult learners will acquire the level of basic skills needed to complete the educational functioning level as evidenced by a CASAS scale score of 180 or above.</p> <p>41% of Beginning ESL learners will acquire the level of basic skills needed to complete the educational functioning level as evidenced by a CASAS scale score of 210 or above.</p> <p>31% of Low Intermediate ESL learners will acquire the level of basic skills needed to complete the Low Intermediate functioning level as evidenced by a CASAS scale score of 210 or above.</p> <p>31% of High Intermediate ESL learners will acquire the level of basic skills needed to complete the High Intermediate educational functioning level as evidenced by a CASAS scale score of 220 or above.</p> <p>26% of Low Advanced ESL learners will acquire the level of basic skills needed to complete the educational functioning level as evidenced by a CASAS scale score of 235 or above.</p> <p>Please refer to ABE/secondary completion educational functioning levels. Students scoring above 235 in CASAS ESL testing are referred to ABE/ secondary completion as appropriate.</p>

SAMPLE

**APPENDIX D  
ADULT EDUCATION CORE INDICATORS OF PERFORMANCE\* – 2004-2005**

**\*The State Department of Education is currently in the process of renegotiating performance levels with the U.S. Department of Education for each of the core indicators. It is expected that the indicator percentages will change. Successful grantees will be required to submit revised information that will exceed the minimum requirements.**

*Below are the FY04 standards to be used as a sample only*

**Core Indicator #2: Placement in, retention in, or completion of post secondary education, training, unsubsidized employment or career advancement.**

Performance Measure	Minimum State Performance Standards 2003-2004
<p><b>Retention in or job advancement</b></p> <p>The percentage of employed adult learners enrolled twelve hours or more who retain employment or advanced on the job.</p>	<p>28% of all employed students enrolled in adult education programs will retain or advance their current position.</p>
<p><b>Placement in postsecondary education or training</b></p> <p>The percentage of adult learners having post secondary education as a goal and enrolled twelve hours or more who enter other academic or vocational programs.</p>	<p>6% of students with post secondary education as a goal enrolled in adult education programs will enroll in further academic or vocational programs.</p>
<p><b>Placement in unsubsidized employment</b></p> <p>The percentage of unemployed adult learners enrolled twelve hours or more who obtain unsubsidized employment.</p>	<p>16% of unemployed students enrolled in adult education programs will obtain unsubsidized employment.</p>

**Core Indicator # 3: Receipt of a secondary school diploma or its recognized equivalent.**

Performance Measure	Minimum State Performance Standards 2003-2004
<p><b>High School Completion</b></p> <p>The percentage of adults enrolled who earned a high school diploma or recognized equivalent</p>	<p>28% of adults enrolled in secondary completion programs will earn a diploma or recognized equivalent at the end of a standard reporting period.</p>

**APPENDIX D**  
**ADULT EDUCATION CORE INDICATORS OF PERFORMANCE\* 2004-2005**

**\*The State Department of Education is currently in the process of renegotiating performance levels with the U.S. Department of Education for each of the core indicators. It is expected that the indicator percentages will change. Successful grantees will be required to submit revised information that will exceed the minimum requirements.**

*Below are the FY04 standards to be used as a sample only*

**Additional Core Indicators of Performance:**

Performance Measure	Minimum State Performance Standards 2003-2004
<p><b>Program Planning and Operations</b></p> <p>Programs funded have an ongoing planning process which is responsive to community and participant needs, includes interagency collaboration, and is based on demographic and labor market needs.</p>	<p>Program has an advisory board which is representative of the community and meets on a scheduled basis with a minimum of two meetings per year to review program planning.</p> <p>Program has written goals and objectives which are updated and reported annually to the progress attained.</p>
<p><b>Recruitment</b></p> <p>Programs funded target their recruitment efforts to populations most in need of literacy and training services.</p>	<p>Program has a recruitment plan in place which targets populations most in need of literacy and training services, including individuals with disabilities, low income adults, single parents and displaced homemakers, and individuals with multiple barriers to education.</p>
<p><b>Curriculum and Instruction</b></p> <p>Programs funded provide instruction which assist adults to become literate and obtain the knowledge and skills necessary for employment, self-sufficiency and/or effective parenting.</p>	<p>Program provides students with a formal assessment as to their academic functioning.</p> <p>Program has on file a comprehensive curriculum for each program area offered, including ABE, ESL, secondary completion, family and workplace literacy.</p> <p>Program has on file a sampling of teacher prepared lesson plans which are coordinated with the appropriate curriculum and intended to address individual learning styles and needs.</p>

**SAMPLE**

**APPENDIX D  
ADULT EDUCATION ADDITIONAL INDICATORS OF PERFORMANCE 2003-2004**

**\*The State Department of Education is currently in the process of renegotiating performance levels with the U.S. Department of Education for each of the core indicators. It is expected that the indicator percentages will change. Successful grantees will be required to submit revised information that will exceed the minimum requirements.**

*Below are the FY04 standards to be used as a sample only*

**Additional Core Indicators of Performance:**

Performance Measure	Minimum State Performance Standard 2003-2004
<p><b>Support Services</b></p> <p>Programs funded provide the necessary support services and/or referrals designed to assist students in meeting educational goals.</p>	<p>Program has a plan for assessing and implementing support service needs of students.</p> <p>Program provides and/or formally collaborates with other agencies to provide support services to students.</p> <p>Program has on file documentation that the support service needs of students have been identified and addressed.</p>
<p><b>Professional Development</b></p> <p>Programs funded provide an ongoing professional development and training process to improve teacher effectiveness and program quality.</p>	<p>Program participates in statewide adult education professional development and technology assistance opportunities.</p> <p>Program submits and executes a local staff development plan that addresses identified training needs.</p>

SAMPLE

**APPENDIX E**

**Prior Program Performance for Previously Funded Adult Education Providers\***

Monitoring Learning Gains and Secondary School Completion

1. To complete, refer to **CARS Assessment Reports - Assessment Table 9: All Scores by Program and Class Level for ABE and ESL** for your most recent year end reports from CARS.

Program Area	A	B	C	D
	Number of Matched Test Pairs	Mean Gain	Total Number of Enrollments	Total Number of Exempt Enrollments
<b>ABE – Reading/Math</b>				
<b>ESL – Listening/Reading</b>				

2. To complete, refer to **CARS ED 241 Reports - Schedule 8: 1 Hour or More by Applicant** and **Schedule 13: Participant Achievements – Applicant Count for 1 hour or more** for your town’s FY 03 Year-End Reports.

Program Area	Number of Students Enrolled	Number of Graduates
<b>AHSCDP</b>		
<b>EDP</b>		
<b>GED</b>		

3. To complete, refer to **CARS Core Indicator Reports – Table 4: Educational Gains and Attendance by Educational Functioning Level** for most recent year end reports from CARS.

Entering Educational Functioning Level	Total Number Enrolled	Number Completing Level	Percentage Completing Level
ABE Beginning Literacy			
ABE Beginning			
ABE Low Intermediate			
ABE High Intermediate			
ASE Low			
ASE High			
ESL Beginning Literacy			
ESL Beginning			
ESL Low Intermediate			
ESL High Intermediate			
ESL Low Advanced			
ESL High Advanced			

\*Complete this section if you have received State Adult Education or Workforce Investment Act funds in the past four years.

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

This grid must be fully completed and attached to your proposal. List special grant funded programs related to this proposal within the last 3 years. Use more pages, if necessary.

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

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

Note: The SDE reserves the right to verify information

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

\*\*\*If never funded by the SDE, Bureau of Adult Education and Nutrition Programs, this grid must be completed.

**APPENDIX F**

**INTERAGENCY COLLABORATION  
LETTER OF AGREEMENT**

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

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

As we have previously discussed, we would like to enter into a collaborative agreement with your agency for the following services for fiscal years 2004-2005.

**Responsibilities of Proposing Agency:**

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

**Responsibilities of Collaborating Agency:**

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

Thank you for your support.

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

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

**APPENDIX G  
ATTESTATIONS**

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

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

- Implement the Connecticut Competency System (CCS) and ensure that appropriate staff participate in training as necessary.
- Maintain the Connecticut Adult Reporting System (CARS), collect and submit comprehensive and accurate data in a timely fashion for each program participant and ensure that appropriate staff participate in training as necessary.
- Ensure that the proposed program design is of sufficient intensity and duration to meet the planned student outcomes.
- Maintain complete management control of the grant. State Department of Education staff may be consulted for their expertise; however, they will not be directly responsible for the solicitation of sub-grantees or vendors, nor will they be directly involved in the expenditure and payment of funds to sub-grantees or vendors.
- Consult with staff listed in narrative to ensure their involvement in the design of the proposed project.
- Ensure that all teaching staff possess the appropriate adult education certification.
- Ensure that the proposed curriculum is based upon research and effective educational practice as evidenced by program design.
- Ensure that all “Conditions for Funding” as described in the Appendix R-1 have been reviewed and are addressed.
- Ensure that any presenters and/or sub-contractors hired will be secured through an open and competitive process with selection based on qualifications, demonstrated ability, prior experience and fees charged. Minority contractors will be encouraged.
- Ensure that federal funds will not be commingled with state or local funds. Costs proposed are those which are above and beyond normal operational costs and are attributed to the project described in the proposal.
- Disclose a) the dollar amount of federal funds for the project; and b) the percentage of the total cost of the project that will be financed with federal funds in any statements, press releases, bid solicitations, brochures and other documents describing this project.
- Disclose whether this or a similar proposal has been submitted to this or any other agency/ organization for funding. If so please fill in the name of the other funding agency.  
\_\_\_\_\_.
- Submit the required number of final reports to the Bureau of Adult Education and Nutrition Programs within sixty (60) days after the completion of the project. The report will include any product that was developed and a description of the process used to develop the product.
- Submit other reports, as required, on forms provided by the Bureau of Adult Education and Nutrition Programs.
- Participate in dissemination activities and share materials, procedures or findings supported through this grant.

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

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



**APPENDIX I**

**PROPOSAL EDIT CHECK  
2004-2005 ADULT EDUCATION PROGRAM IMPROVEMENT PROJECT**

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

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

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

Item	Yes	No	Page #
Table of Contents is included.			
Cover Page is correctly completed/signed w/ date of Board/Agency approval.			
Abstract is included and correctly completed.			
Proposal addresses the minimum requirements of the priority area.			
Program design includes all requirements.			
Goals & Objectives included (form completed).			
Core Indicators of Performance matrices are completed.			
Prior Program Performance/Accomplishments form completed.			
Interagency collaboration forms are completed/signed.			
GEPA form is completed/signed.			
Attestation form is checked and signed.			
ED114 Budget is complete.			
Budget line item narrative is accurate and complete.			
Matching funds narrative is accurate and complete.			
Matching funds equal at least 25% of total grant.			
Administration costs are within 5% guideline. If not, waiver request is included.			
The following proposal requirements are addressed:			
Assurances signed;			
Certification Regarding Debarment and Suspension/ Drug Free Workplace requirements signed; and			
Appropriate documents in Affirmative Action packet completed/signed.			

Edit Check Completed by:

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

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

**APPENDIX J**

**EVALUATION CRITERIA  
COVER PAGE**

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

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

<b>Required Information</b>	<b>Yes</b>	<b>No</b>	<b>Reader's Comments</b>
<b>COVER PAGE:</b> Addresses all information, signed, Board/Agency approved.			
<b>ABSTRACT:</b> Addresses each item as outlined and provides a brief summary of objectives and program design.			
<b>EDIT CHECK:</b> Completed and Signed.			
<b>ATTESTATION:</b> All items completed and signed.			
<b>ASSURANCES:</b> Signed.			
<b>CERTIFICATIONS:</b> Signed.			
<b>AFFIRMATIVE ACTION PACKET:</b> Completed and Signed.			
<b>GEPA:</b> Includes completed form that describes efforts to reduce barriers and ensure equitable access and participation.			
<b>BUDGET:</b> Includes completed ED 114 and budget narrative including detail for line item costs that are reasonable and appropriate for scope of program.			
Provides evidence of 25% in-kind match and includes line item detail.			
Demonstrates that administrative funds are within 5% cap or includes a request for a waiver.			

Category	Maximum Score	Reader's Score
Organization's Background	6	
Project Management		
Statement of Need/Target Population	25	
Program Design	45	
Prior Performance	15	
Collaboration	5	
Future Funding	4	
<b>Total Possible Points:</b>	<b>100</b>	

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

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

## EVALUATION CRITERIA

	Reader's Score	Reader's Comments
<b>ORGANIZATION'S BACKGROUND/PROJECT MANAGEMENT (Max 6 pts)</b>		
Describes administrative structure, background and experience of persons conducting the program. (2 pts)		
Describes adequate staffing for the program showing names, position and responsibilities. (2 pts)		
Describes the use of volunteers if applicable and includes plans for professional development. (2 pt)		
<b>STATEMENT OF NEED/TARGET POPULATION (Max 25 pts)</b>		
Demonstrates a strong need for project in the community. (5 pts)		
Describes target population. (5 pts)		
Demonstrates that proposed project addresses gap in services for target population. (15 pts)		
<b>PROGRAM DESIGN PER PRIORITY AREA SPECIFICATIONS (Max 45 pts)</b>		
Meets all requirements of priority area. (5 pts)		
Provides succinct description of the project and is appropriate for the design as it relates to the priority area. (5 pts)		
Provides realistic goals and objectives that relate to priority area and are stated in a clear and measurable manner. (5 pts)		
Describes activities/strategies and outcomes that are measurable and impact learning gains. (5 pts)		
Curriculum is appropriate for priority area program design and integrates technology. (5 pts)		
Includes instructional practices that research has proven to be effective in the priority area. (5 pts)		
Provides adequate and appropriate support and transition services in conjunction with other resources. (5 pts)		
Describes a process to be used to evaluate the success of the program and measure the degree to which each objective of the project is to be achieved. (5 pts)		
Describes a process by which the evaluation will be used for program improvement. (5 pts)		
<b>PRIOR PERFORMANCE (15 pts)</b>		
Demonstrates successful prior performance in serving a similar target population or delivering a similar program. Appropriate Worksheet or Grid completed. (15 pts)		
<b>COLLABORATION (Max 5 pts)</b>		
Includes collaboration appropriate to priority area. (2 pts)		
Provides completed "Interagency Collaboration Forms with responsibilities delineated. Includes forms from WIB and One Stop Operator. (3 pts)		
<b>FUTURE FUNDING Max (4 pts)</b>		
Describes how the project will be sustained at the end of the grant period. (4 pts)		
<b>TOTAL POSSIBLE POINTS: 100</b>		

**APPENDIX K**

ED114 FISCAL YEAR 2005

MASTER BUDGET FORM

GRANTEE NAME:		TOWN CODE:
GRANT TITLE: Adult Education		
PROJECT TITLE: XXXXXXXXXXXXX		
CORE-CT CLASSIFICATION:	FUND: 12060	SPID:20784
BUDGET REFERENCE:	CHARTFIELD1:	PROGRAM: XXXXX
	CHARTFIELD2:	XXXXXX
GRANT PERIOD: 07/01/04 - 06/30/05		AUTHORIZED AMOUNT:\$
AUTHORIZED AMOUNT by SOURCE:		CURRENT DUE:\$
LOCAL BALANCE:\$		CARRY-OVER DUE:\$
CODES	DESCRIPTIONS	BUDGET AMOUNT
111A	ADMINISTRATOR/SUPERVISOR SALARIES	
111B	TEACHERS	
112A	EDUCATION AIDES	
112B	CLERICAL	
119	OTHERS	
200	PERSONAL SERVICES-EMPLOYEE BENEFITS	
321	TUTORS	
322	IN SERVICE	
323	PUPIL SERVICES	
324	FIELD TRIPS	
325	PARENT ACTIVITIES	
330	OTHER PROFESSIONAL TECHNICAL SERVICES	
400	PURCHASED PROPERTY SERVICES	
510	PUPIL TRANSPORTATION	
530	COMMUNICATIONS	
580	TRAVEL	
590	OTHER PURCHASED SERVICES	
611	INSTRUCTIONAL SUPPLIES	
612	ADMINISTRATIVE SUPPLIES	
641	TEXTBOOKS	
690	OTHER SUPPLIES	
700	PROPERTY	
940	INDIRECT COSTS	
	TOTAL	

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

**APPENDIX L  
ED 114 BUDGET NARRATIVE FORM – FY 2005**

Provide detail on the cost factors included in each line item.  
Refer to the *Code Budget Description* on page 43 for budget line item descriptions.

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

**APPENDIX L**

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

**APPENDIX M**  
**MATCHING FUNDS - BUDGET NARRATIVE FORM –FY 2005**  
 Matching funds must equal at least 25% of grant funds

Provide details on the cost factors included in each line item.  
 Refer to the *Master Code Budget Description* on page 43 for budget line item descriptions.

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

**APPENDIX M**

**Local Match (contd.)**

<b>LINE ITEMS</b>	<b>NARRATIVE</b>	<b>LINE ITEM TOTALS</b>
330	<b>OTHER PROFESSIONAL TECHNICAL SERVICES</b>	\$
400	<b>PURCHASED PROPERTY SERVICES</b>	\$
510	<b>PUPIL TRANSPORTATION</b>	\$
530	<b>COMMUNICATIONS</b>	\$
580	<b>TRAVEL</b>	\$
590	<b>OTHER PURCHASED SERVICES</b>	\$
611	<b>INSTRUCTIONAL SUPPLIES</b> (Instructional supplies and/or instructional equipment less than \$1000)	\$
612	<b>ADMINISTRATIVE SUPPLIES</b>	\$
641	<b>TEXTBOOKS</b>	\$
690	<b>OTHER SUPPLIES</b>	\$
700	<b>PROPERTY</b>	\$
	<b>TOTAL LOCAL MATCHING</b>	\$

## APPENDIX N

### BUDGET CODE DESCRIPTIONS

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

- 323 Pupil Services (Non Payroll Services)  
Expense for certified or licensed individuals who are not on the grantee payroll and who assist in solving pupils' mental and physical problems. This category includes medical doctors, therapists, audiologists, neurologists, psychologists, psychiatrists, contracted guidance counselors, etc.
- 324 Field Trips  
Costs incurred for conducting educational activities off site. Includes admission costs to educational centers, fees for tour guides, etc.
- 325 Parental Activities  
Expenditures related to services for parenting including workshop presenters, counseling services, baby-sitting services, and overall seminar/workshop costs.
- 330 Other Professional/Technical Services  
Payments for professional or technical services that are not directly related to instructional activities. Included are payments for data processing, management consultants, legal services, etc. Do not include the cost of an independent auditor in this category.
- 400 Purchased Property Services  
Expenditures for services to operate, repair, maintain and rent property owned and/or used by the grantee. These are payments for services performed by persons other than grantee employees. Most frequently allowed expenditures include: Rentals - costs for renting or leasing land, buildings, equipment or vehicles; Repair and Maintenance services - expenditures for repairs and maintenance services not provided directly by grantee personnel, including contracts and agreements covering the upkeep of buildings and equipment; and Construction Services (Remodeling and Renovation)- payments to contractors for major permanent structural alterations and for the initial or additional installation of heating and ventilating systems, electrical systems, plumbing systems or other service systems in existing buildings. Utility services such as cleaning service, disposal service, snow plowing, lawn care, etc. could also be reported in this category. It is up to the program manager to inform applicants what is an allowable purchased property service under a grant program. The review of the budget justification should reveal the existence of any unallowable item.
- 510 Pupil Transportation  
Expenditures for transporting pupils to and from school and other activities. Included are such items as bus rentals for field trips and payments to drivers for transporting handicapped children.
- 530 Communication  
Payments for services provided by persons or businesses to assist in transmitting and receiving messages or information. This category includes telephone and telegraph services as well as postage machine rental and postage.
- 580 Travel  
Expenditures for transportation, meals, hotel and other expenses associated with staff travel. Per diem payments to staff in lieu of reimbursement for subsistence (room and board) are also included.
- 590 Other Purchased Services  
All other payments for services rendered by organizations or personnel not on the GRANTEE payroll not detailed in 510, 530, 560, 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.
- 641 Textbooks  
Expenditures for textbooks, workbooks, textbook binding and repair.
- 690 Other Supplies  
Allowable Expenditures for any other supply which is not instructional or administrative in nature. This category would include maintenance supplies, heating supplies, and transportation supplies.
- 700 Property  
Expenditures for acquiring fixed assets, including land or existing buildings, improvements of grounds, initial equipment, additional equipment, and replacement of equipment. For most grants only equipment such as computers, duplicating machines, furniture, and fixtures is allowable and the line item description on the budget will read Property/Equipment only. Other items which could be included in this category if allowable under grant legislation are expenditures for the acquisition but not the rental of buildings and land. Although cost of materials which resulted in a new or vastly improved structure would also be included here, the expenditures for the contracted construction of buildings, for permanent structural alterations, and for the initial or additional installation of heating and ventilating systems, fire protection systems, and other service systems in existing buildings are recorded under object 400 - Purchased Property Services.

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

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

**APPENDIX O**

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

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

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

(Insert Agency/School Name)

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

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

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

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

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

- 2) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut. If the contract is for a public works project, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such project. The contractor further agrees to take affirmative action to insure that applicants with job related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved; (b) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "Affirmative Action-Equal Opportunity Employer" in accordance with regulations adopted by the commission; (c) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union or worker's representative of the contractor's commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (d) the contractor agrees to comply with each provision of this section and Conn. Gen. Stat. Sections 4a-62, 32-9e, 46a-56 and 46a-68b to 46a-68k, inclusive, and with each regulation or relevant order issued by said Commission pursuant to said sections; (e) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor as relate to the provisions of this section and section 46a-56.
- 3) Determination of the contractor's good faith efforts shall include but shall not be limited to the following factors: The contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
- 4) The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.

- 5) The contractor shall include the provisions of subsection (2) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with this section and Conn. Gen. Statute Sections 4a-62, 32-9e, 46a-56 and 46a-68b to 46a-68k, inclusive; provided if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.
  - 6) The contractor agrees to comply with the regulations referred to in this section as they exist on the date of this contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.
  - 7) (a) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any matter prohibited by the laws of the United States or of the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (b) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (c) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56 of the general statutes; (d) the contractor agrees to provide the commission on human rights and opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor which relate to the provisions of this section and section 46a-56 of the general statutes.
  - 8) The contractor shall include the provisions of subsection (7) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56 of the general statutes; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.
- M. The grant award is subject to approval of the State Department of Education and availability of state or federal funds.

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

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

Signature \_\_\_\_\_

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

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

Date \_\_\_\_\_

Rev. 6/99

## APPENDIX P

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

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

#### **1. LOBBYING**

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

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

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

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

#### **2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

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

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 civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (I)(b) of this certification; and

(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; and

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

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

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

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

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

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (dX2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to:

Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office, Building No. 3), Washington, DC 20202-

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

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.

\_\_\_\_\_  
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 whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary takeover~ transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of roles implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which

this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by *this* clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

### Certification

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

---

**Name of Applicant**

---

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

---

**Printed Name and Title of Authorized Representative**

---



---

**Signature**

---

**Date**

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

## APPENDIX Q

### 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 Police 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) 713-6530

(Rev 6/99)

**NOTIFICATION TO BIDDERS**

The contract to be awarded is subject to contract compliance requirements mandated by Section 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Section 46a71(d) and 46a-81 i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies which establish a procedure for the awarding of all contracts covered by Sections 46a-71(d) of the Connecticut General Statutes.

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

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

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

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

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

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**On behalf of:**

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

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

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

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

**CONTRACT COMPLIANCE**

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

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

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

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

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



## DEFINITIONS FOR WORKFORCE ANALYSIS

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

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

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

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

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

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

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

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

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

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

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

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

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

**On-the job trainees:**

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

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

**CONTRACTOR'S MINORITY BUSINESS ENTERPRISES**

**UTILIZATION FORM**

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

PROJECT NO:	_____
DATE AWARDED:	_____
DATE BID OPENED:	_____

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

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

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

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

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

**AFFIDAVIT**

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

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

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

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

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

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

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

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

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

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

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

**CERTIFICATE OF CORPORATION**

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

\_\_\_\_\_  
(Signature of person Certifying)

(Corporate Seal)

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

**AFFIRMATIVE ACTION  
POLICY STATEMENT**

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

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

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

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

This Policy Statement is based on both the spirit and the letter of state and federal anti discrimination laws, regulations and executive orders. Accordingly, care is taken to ensure that no person shall be excluded from participation in, be denied the benefits of, or otherwise be unlawfully discriminated against. Further,

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

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

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATED

**AFFIRMATIVE ACTION PLAN**

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

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

CERTIFICATION THAT A CURRENT AFFIRMATIVE ACTION PLAN IS ON FILE

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

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

**APPENDIX R-1**  
**CONSIDERATIONS FOR FUNDING**

**Evaluation of Applications**

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

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

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

**Special Rule**

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

## **APPENDIX R-2**

### **SPECIAL RULE FOR FAMILY LITERACY PROGRAMS ACCORDING TO SPECIAL RULE IN SECTION 231 2(D)**

Local programs may not use funds for adult education and literacy activities for the purpose of supporting or providing programs, services, or activities to serve individuals who do not meet service criteria — individuals who are at least 16 years of age; are not enrolled nor required to be enrolled in secondary school under state law; and who lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society; or do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or are unable to speak, read, or write the English language — unless those individuals are enrolled in a family literacy program. Programs taking advantage of this exception are to attempt to secure funding for activities not normally supportable from adult education funds via coordination with other funding sources before expending adult education funds for these activities.

**APPENDIX R-3**

**REGIONAL WORKFORCE DEVELOPMENT BOARD DIRECTORS**

<b>WORKFORCE INVESTMENT AREAS (WIA)</b>	<b>DIRECTORS</b>	<b>PHONE AND FAX</b>
Southwest The WorkPlace, Inc.	Joseph M. Carbone, Executive Director The WorkPlace, Inc. 350 Fairfield Avenue Bridgeport, CT 06604	203-576-7030 203-335-9703 (FAX)
North Central Capital Region WDB	Thomas Phillips, President/CEO Capital Region Workforce Development Board 99 Pratt Street, 5th Floor Hartford, CT 06103	860-522-1111x12 860-722-2486 (FAX)
South Central South Central Regional Workforce Development Board	William P. Villano, Executive Director The RWDB of Greater New Haven 560 Ella T. Grasso Boulevard New Haven, CT 06519	203-624-1493 203-562-1106 (FAX)
Eastern Region Southeastern CT Workforce Investment Board	John Beauregard, Executive Director Southeastern CT Workforce Investment Board 113 Salem Turnpike North Building-Suite 200 Norwich, CT 06360	860-859-5740 860-859-5741 (FAX)
Northwest Workforce Connection	Catherine Awwad, Executive Director Workforce Connection 249 Thomaston Avenue Waterbury, CT 06702	203-574-6971 203-573-8951 (FAX)

**APPENDIX R-4  
Service Delivery Areas**

**Workforce Investment Area (WIA)**

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

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

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

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

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