

CONNECTICUT STATE DEPARTMENT OF EDUCATION

DIVISION OF FAMILY AND STUDENT SUPPORT SERVICES

MIDDLETOWN

**BUREAU OF HEALTH/NUTRITION, FAMILY SERVICES
AND ADULT EDUCATION**

Request for Proposals

PRIMARY MENTAL HEALTH PROGRAM

2007-09

Purpose: To assist Connecticut school districts to better serve at-risk primary grade children through the availability of an early intervention mental health program for the detection and prevention of emotional, behavioral and learning problems, under Connecticut General Statutes, Sections 10-76t-w.

RFP #026

CONNECTICUT STATE DEPARTMENT OF EDUCATION

**Mark K. McQuillan
Commissioner of Education**

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

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INTRODUCTION

In 2007-09 the State Department of Education will award funds authorized by Connecticut General Statutes, Sections 10-76t-w (inclusive) to establish or continue a Primary Mental Health Program (PMHP) in local or regional boards of education.

The provisions of the Primary Mental Health Program legislation are intended to further the State Board of Education goals of Equity and Equal Opportunity, Improving School Programs, Ensuring Professional Competence and Evaluating Success.

Our purpose is to assist Connecticut school districts to better serve at-risk children through the use of these funds. It is our intention to seek the most qualified districts for these programs. Those districts with a demonstrated record of early intervention mental health services for at-risk students will be given priority in funding. Please note that a special effort is made to assist those school districts that have been designated as "Priority School Districts" by the State Board of Education.

This is the third consecutive year in which PMHP applications are being received and evaluated for a two-year period. School districts that, in 2006, were deemed eligible for two years of funding need only submit limited information, as listed on p. 3. Please note that prior determination of eligibility does not ensure funding or funding at any particular level, since the award of funds for each application is issued annually.

Paul Flinter, Chief
Bureau of Health/Nutrition, Family
Services and Adult Education

GENERAL INFORMATION

LEGAL AUTHORITY

Connecticut General Statutes, Sections 10-76t-w (inclusive), directs the Connecticut State Department of Education (CSDE) to distribute funds to local and regional boards of education for the establishment of school-based primary mental health programs for the detection and prevention of emotional, behavioral and learning problems in public school children primarily in grades kindergarten through grade three.

ELIGIBLE APPLICANTS

Local or regional boards of education may apply for these grants. A primary mental health program (PMHP) supported under the terms of this announcement must be school-based and must focus on the provision of services to children in kindergarten through third grade. Preschool children may be served as well, especially if the school provides classroom instruction and/or other programs for the education and healthy development of preschool children.

Applicants should take special note of the following criteria:

1. New applicants must operate the standard PMHP model (hereafter called “Primary Project”), as outlined on pp. 5 - 6.
2. School districts that have previously received state funding to offer the Primary Project for two school years (hereafter called “Continuing Districts”) may apply if, and only if, the district continues to offer the Primary Project at the previously funded level, **and**
 - a. expands the Primary Project to one or more additional schools, or
 - b. implements or continues a Complementary Behavioral Health Program at the same school, as outlined on p. 7.
3. The program may serve preschool children if at least two other grade levels in the K-3 range are served.
4. The services provided by school-based mental health professionals must be provided as in-kind contribution by the school district, and not included in the proposed budget (i.e., Appendix C).
5. Twenty percent of available funds will be reserved for new applicants.

TOPIC AREA

The focus of the grant is on the implementation of the general education, school-based early detection and intervention Primary Project, which serves children kindergarten through grade three who are identified as being at risk of developing behavior or school adjustment problems. Continuing Districts are encouraged to implement complementary behavioral health programs to enhance the impact of the Primary Project.

APPLICATION PRIORITIES

Preference will be granted according to the following criteria:

1. First time applicants will receive a bonus of 10 points in the proposal scoring;

2. Districts that indicate in their proposal how the Primary Project will create opportunities for parents to participate beyond the minimal parental involvement requirements will receive up to 5 points in the proposal scoring; and
3. The district provides evidence of future stability of the program and its personnel through a continuation plan. Those districts with explicit school board support for the continuation of the program will receive a bonus of 5 points in the proposal scoring.
4. The district makes school-based mental health professionals (e.g., school psychologist, school social worker, school counselor) available for participation in the program

PRIORITY SCHOOL DISTRICTS

In 1984, the Connecticut State Board of Education (CSBE) initiated the Priority School District Program. The goal of the program is to assist Connecticut school districts with the greatest demonstrated academic need to improve student achievement and enhance educational opportunities. While the focus of the program and the associated state grant is basic skills achievement and the improvement of instruction, the CSDE will also be attempting to target discretionary resources from all sources and for all purposes at these same districts. Therefore, districts identified by the CSBE as priority school districts are particularly encouraged to prepare proposals for the grants included in this request for proposals. Priority school districts that apply will be awarded a 10 point bonus in the proposal scoring.

APPLICATION REQUIREMENTS

To be considered for funding, all applications must include an **original plus four (4) copies** of the application. The original must bear the original signature of the official legally authorized to apply on behalf of the agency. This official must sign both the cover page of the application AND THE STATEMENT OF ASSURANCES. Applications must follow the format prescribed in this document.

All applications submitted become the property of the CSDE and become part of the public domain. The Connecticut State Department of Education reserves the right to make necessary policy changes after proposals are submitted, and to negotiate awards with potential recipients.

APPLICATION DEADLINE

Proposals (original and 4 copies), IRRESPECTIVE OF POSTMARK DATE AND MEANS OF TRANSMITTAL, must be received by 4:30 p.m. on Friday, September 7, 2007. EXTENSIONS WILL NOT BE GIVEN.

Applications may be mailed or hand delivered to:

**Scott Newgass
Bureau of Health/Nutrition, Family Services and Adult Education
Connecticut State Department of Education
25 Industrial Park Road
Middletown, CT 06457-1543**

SELECTION

Each application will be reviewed by the CSDE to determine basic eligibility. Based on the recommendations of the Chief of the Bureau of Health/Nutrition, Family Services and Adult Education and the Associate Commissioner, Division of Family and Student Support Services the Commissioner of Education will make the final decision as to awards annually. The CSDE will determine eligibility for the two-year period from July 1, 2007 through June 30, 2009, when applicable¹. Determination of eligibility does not ensure funding, since the award of funds for each application is issued annually. Eligibility means that the application process for the 2007-08 fiscal year will only require (1) a new budget submission, (2) timelines for the 2007-08 school year, and (3) a description of any proposed changes in the program.

In rating and ranking applications submitted by school districts, special consideration will be given to applications from (a) school districts designated by the State Board of Education as "priority school districts," (b) districts that develop innovative parent involvement strategies, and (c) districts that indicate how this mental health program will effectively interface with other early intervention programs.

If technical questions arise that prevent final selection on the basis of application review, finalists will be contacted by the Chief of the Bureau of Health/Nutrition, Family Services and Adult Education and/or bureau staff.

SPECIAL INSTRUCTIONS FOR DISTRICTS DEEMED ELIGIBLE FOR 2007-08

A school district that submitted an application in 2006 for the next two school years (2006-07 and 2007-08) may have already been determined to be eligible for funding in 2007-08. These school districts are listed in Appendix J. If the district was determined to be eligible as a Continuing District, it must continue to meet the requirements described on p. 1 (Eligible Applicants).

The district's application for the 2007-08 school year must include (1) a description of any proposed modifications in the program, (2) timelines for the 2007-08 school year, and (3) budget information for the 2007-08 school year. Specifically, the application must include the following components:

1. Cover Page with signature, etc. (Appendix A)
2. Abstract Page (Appendix B)
3. Program Description and Implementation Plan (modifications only)
4. Timelines, as described on pages 9 and 10 (II.H. and III.C.)
5. Budget Form (Appendix C)
6. Budget Explanation (Appendix D)
7. Personnel Costs (Appendix E)
8. Budget Worksheet for Continuing Districts, if applicable (Appendix F)

Please note that determination of eligibility does not ensure funding, since the award of funds for each application is issued annually.

¹ A school district that has previously received two years of state funding through this grant will be considered for one year of funding only.

TECHNICAL ASSISTANCE AND MANAGEMENT

Scott Newgass, Connecticut State Department of Education consultant, has been assigned as project manager. Questions regarding this Request for Proposals may be directed to him at scott.newgass@ct.gov or (860) 807-2044. The project manager is responsible for monitoring funded projects. The State Department of Education reserves the right to monitor program progress at least annually, including examination and approval of all reports and data collection.

GRANT AWARDS

The minimum grant award will be \$15,000 or the amount requested, whichever is less. The maximum grant award is \$25,000. For new applicants that are proposing to offer the Primary Project only, the maximum grant award is \$20,000. For continuing applicants, the school district must contribute at least \$5,000 or one-fourth of the total budget (i.e., for Primary Project plus the Complementary Behavioral Health Program), whichever is greater. Salaries of school personnel (e.g., administrators and school mental health professionals) may not be included as part of the school district's contribution.

The funding request must be necessary to implement or continue the project. Funds may not be used for student field placement stipends. All materials and equipment purchased with program funds remain state property and are to be returned to the CSDE unless otherwise designated by the Bureau Chief.

The CSDE reserves the right to make awards under this program without discussion with the applicants. Therefore, applications should represent the best effort from both a technical and cost standpoint.

PRIMARY PROJECT

DESCRIPTION

Primary Project is a non-instructional, general education program for primary grade children (K-3) who are having minor difficulties in adjusting to school. Under the conditions specified on page 1, the program may also serve preschool age children. The focus of Primary Project is prevention, not remediation. It is a school-based program which detects early school adjustment problems and prevents the establishment of chronic school problems by providing identified students with attention and extra support as they engage in play-based activities with a specially trained paraprofessional.

MINIMUM REQUIREMENTS

1. Solid support among a school's administrative, instructional and pupil services staff;
2. Adequate playroom space;
3. Employment of child associate(s), or CA—a warm, caring, responsible person with proven ability to relate well to children—to provide direct services to children, as described in the following section;
4. Availability of one or more school mental health professionals (e.g., school counselor, school psychologist, school social worker) to provide the paraprofessional with a minimum of one hour of direct supervision per week at a designated time, and consultation on an "as needed" basis;
5. Commitment to staff development for the child associate(s) through state-level training, which other program personnel are encouraged to attend as well;
6. Systematic screening to identify children who could benefit from services using the AML-R (a standardized behavior rating scale) and input of professional staff;
7. Establishing specific goals for individual children which evolve from the areas in which the child is perceived to be having difficulties;
8. Provision of individual and—if appropriate for the child, as a school district option—group sessions that focus on child-centered play and promote social development, self-esteem and adjustment to school;
9. Evaluation of student outcomes through the use of data collection measures identified by the CSDE;
10. Timely submission of an annual report of the program following the format provided by the CSDE;
11. Monitoring of student progress towards goal achievement through informal parent/teacher conferences and formal progress and termination conferences;
12. A plan design to ensure parent involvement that includes:

- Signed permission for student participation;
 - Parent participation in progress and termination conferences;
 - Opportunities for parents to participate in the program, to learn about their child's development and needs, and/or to acquire parenting skills; and
 - Parent participation in program evaluation.
13. Coordination of services with and referrals of children to community agencies providing child and family services; and
14. Linkages with other school-based prevention and early intervention programs and supports.

DIRECT SERVICES PROVIDED BY CHILD ASSOCIATES

Research has shown that the Primary Project has a positive effect on children's adjustment to school and sense of well-being. Essential to this model is the establishment of a personal relationship with the student, who comes to trust and feel accepted by the child associate (CA). This relationship is established as:

1. Children meet with the CA on a weekly basis outside of the classroom;
2. Children engage in self-directed expressive play;
3. Children are initially seen on an individual basis; and
4. Direct services are provided to each child for at least 12 weeks.

Some latitude in the service delivery model is permissible. The following are acceptable practices:

1. Children are offered a choice of activities during play sessions;
2. Some children (i.e., those who will benefit) transition from individual to small group sessions;
3. The CA meets with children on an emergency basis, in addition to their usual session;
4. The CA *occasionally* visits classrooms to become known to students or promote PMHP goals; and
5. The CA is familiar with social skills curriculum used in the classroom and makes reference to terms and concepts during sessions. (Program activities themselves, however, should not involve implementation of a "canned" curriculum.)

Programs that engage in the following practices, which are contrary to the program's core concepts, will not be funded:

1. The service model regularly involves classroom-based instruction or coaching;
2. Children are seen exclusively in group sessions;
3. Children's weekly sessions may be cancelled as a punishment; and
4. CAs used for general duties, disciplinary activities, academic instruction, office assistance, or other non-program-related activities.

COMPLEMENTARY BEHAVIORAL HEALTH PROGRAM

DESCRIPTION

As described on page 4, one of the two conditions under which a Continuing District may again apply for these funds is if it adds a Complementary Behavioral Health Program while continuing to implement the Primary Project at a comparable level. A Complementary Behavioral Health Program is one that provides prevention services (i.e., for the general population) or early intervention services (i.e., for students at elevated risk) that enhance the benefits of Primary Project by improving pro-social behavior, school adjustment and/or family support for education. Examples include:

- Curriculum for teaching social skills or promoting social-emotional development;
- Teaching self-control strategies;
- Collaboration to develop and/or increase the availability of community-based resources²;
- Parent education/support to promote pro-social behavior and development;
- Parent-to-parent mentoring/outreach program;
- Classroom-wide and school-wide positive behavioral interventions; and
- Programmatic approaches to promoting a positive, supportive school environment.

Selecting more than one of the above programs will not improve the chances of being funded. More important is to ensure that the program can be effectively designed and delivered with the resources available.

MINIMUM REQUIREMENTS

1. The District's share of the overall PMHP budget (i.e., Primary Project plus Complementary Behavioral Health Program) must be at least \$5,000 or one-quarter of the total budget (i.e., local share plus state-funded share), whichever is greater.
2. The District may meet the requirement of providing a Complementary Behavioral Health Program by continuing to offer a current program that meets the description above.
3. The District must provide evidence that the Complementary Behavioral Health Program uses an approach and/or practices that are known to be exemplary (preferably) or promising.³
4. The school(s) should have a building-based team or committee to coordinate and monitor PMHP and related programs. Ideally, this should be an existing team.

² One recommended means of developing community resources is through the local Community Collaborative. For more information, see the *Community Collaboratives for Children and Families* at: http://www.ct.gov/dcf/lib/dcf/behavioral_health/pdf/irectory.pdf.

³ See http://www.casel.org/projects_products/safeandsound.php for descriptions and evaluation of prevention programs.

FORMAT FOR PREPARING APPLICATIONS

The application must be typewritten, double-spaced (with the exception of the Abstract Page), and on one side only of standard size paper. All applications must adhere to the following standard format:

Cover Page

A model for the format and content of the cover page is provided (see Appendix A).

Abstract Page

Following the cover page, on a separate sheet, there must be a **one page single-spaced abstract** of the program. Use the format attached (see Appendix B).

I. Program Foundations

A. Need

Describe the area of need that this grant would address. Include relevant descriptive information about the school(s).

B. Existing Programs

Summarize the mental health programs and supports that currently exist in the applying school(s) and how they are, or would be, linked with the Primary Mental Health Program. (Do not describe the Complementary Behavioral Health Program at length here.)

II. Primary Project: Description and Implementation

A. Objectives

List Primary Project objectives in order of importance. Objectives should be clearly stated and in measurable terms. They should be directly related to the purpose of the grant and the minimum requirements as described on pp. 4-5.

B. Target Population

Describe the applicant school(s), including such factors as size, pupil enrollment and ethnic make-up. Indicate what grades would be served by the program. Continuing Districts must describe staffing levels (CA hours in particular) and number of children served during the current school year. If services will be offered only to certain students within a grade or age range, describe the sub-population and provide the rationale.

C. Program Services: Students

Describe how services will be implemented for students.

1. Indicate the characteristics of children to be served, the number of children to be screened, the methods to be used for screening and selection of children and the

estimated number to be served. Applicants **must** follow the Primary Project model for screening and data collection.

2. Describe intervention procedures, e.g., form of intervention, location (name of school), frequency (times per week) and extent (minutes per session).
3. Specify the procedures to be used by school staff in communicating about the children during the course of the program.

D. Program Services: Parents

Describe how services will be implemented for parents.

1. Indicate methods for involving parents. Minimum parent involvement should include parental consent for student participation, parental participation in progress and termination conferences and parental participation in district level program evaluation.
2. Describe how the district will promote additional parental participation so that parents will become better informed about the program, parenting skills, their child's educational/developmental needs and how to meet them, etc.

E. Administration and Personnel

1. Identify the name and position of the person in the district preparing the application. Identify school-based mental health professional staff by background, role, experience and amount of time to be given to the project. Attach a resume for each professional member of the project.
2. Identify the number and type of child associates who will be working in the project. Indicate briefly how they will be recruited, supervised and trained (including statewide training) and how many hours per week they will work in the program at each school site.
3. Indicate how teachers and other school personnel will be informed about, and involved in, program goals and implementation.

F. Dissemination Plan

All applications should describe how the results of the project could be disseminated. Describe any effective ways (workshops, publicity, etc.) of making results available to others.

G. Facilities

Indicate facilities to be used and other resources available to your district which will aid in the implementation of the program. It is expected that building use will be a contribution of the recipient agency.

H. Program Timelines

Indicate projected beginning and ending dates for the program for the 2007 and 2008 school years. Please note in Section V.D. (Assurances) that programs must operate for at least 28 weeks during each school year, through at least May.

I. Program Evaluation

1. Grantees must complete an end-of-year report and collect such data as prescribed by the CSDE for purposes of program analysis and evaluation. The CSDE dictates data collection format and instruments to be used.
2. In addition to the evaluation procedures prescribed by the CSDE, describe how the district will evaluate program impact (e.g., knowledge and involvement of parents, staff and administration) and effectiveness.

J. Budget

Using the Budget Form (Appendix C), show the state funds requested to be used in the project. Proposed expenses are to be those which are above and beyond normal operational costs and must be attributed directly to the program described in the proposal. Using the Budget Explanation form (Appendix D) provide a detailed explanation for each line item on the Budget Form. In addition to the Budget Explanation, use the Personnel Costs page (Appendix E) to specify the time commitment for all project staff, including those not paid for by the grant. Line items in budget category 100 are to be itemized on a per diem basis for each individual. The school district should budget \$600 per school for purchase of machine-scored forms and data analysis. Use line 590, Other Purchased Services, for this purpose.

III. Complementary Behavioral Health Program: Description and Implementation

Complete this section only if applicable. If the Complementary Behavioral Health Program described below is already in existence, submit documentation of current contribution of local funds. For districts seeking funds for a Complementary Behavioral Health Program, complete the Budget Worksheet (Appendix F) rather than the Budget Form (Appendix C) in order to summarize both the pledged local funds and requested PMHP funds. On the Budget Worksheet, exclude in-kind contributions such as salaries for school district personnel and use of buildings and grounds.

A. Objectives

List program objectives in order of importance. Objectives should be clearly stated and in measurable terms. They should be directly related to the purpose of the grant and the minimum requirements as described on p. 6.

B. Program Description

Describe program services and activities, including how and when services will be provided, to whom and by what personnel. Indicate how staff involvement and commitment will be obtained. Describe any special resource or material requirements. Include evidence that the program is supported by research and based on sound practices.

C. Program Timelines

Provide timelines for describing when the major components of the program will be initiated or completed.

D. Data Analysis and Evaluation

Describe how progress towards objectives will be evaluated. Indicate how data from screening and progress assessment measures will be used.

E. Personnel and Organization

1. Identify the name and positions of school district personnel involved in the program, their roles and training, and amount of time to be devoted to the project. Attach a resume for each professional member of the project.
2. Describe the organizational structure(s) for program coordination and monitoring.

F. Budget

In this section, indicate the amount of pledged local funds and requested state funds for the Primary Project and Complementary Behavioral Health Program, respectively, on the Budget Worksheet (Appendix F). Costs proposed are to be those that are above and beyond normal operational costs and attributed directly to the program described in the proposal. Using the budget explanation form (Appendix D), provide a full explanation for each line item listed in the Budget Worksheet (Appendix F), including local contribution items. Do not include salaries for professional staff in this budget. In addition to the budget explanation, use the Personnel Costs page (Appendix E) to specify the time commitment for all project staff, including those not paid for by the grant.

IV. Additional Points

A. Infrastructure

Provide evidence of prevention, early intervention, and/or family supports programs, or of well-developed plans to begin implementing them. Describe how school and community services are linked.

B. Sustainability

Provide evidence of the school district's support for long-term continuation of the program. Describe how the district intends to maintain the program after the grant period.

V. Other Application Requirements

A. Date of Board Approval to Submit the Application

Documentation (e.g., official board minutes) of a governing board's approval to submit a proposal is a required component. If it is not possible for you to obtain Board approval prior to September 7, 2007, please submit the application according to the timelines written herein

and send documentation of official Board approval no later than September 21, 2007. No grant will be awarded to a school district without approval from its school board.

B. 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, Section 4a-60 and Section 4a-60a and Sections 46a-68j-23 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 Commission on Human Rights and Opportunities.

C. Affirmative Action

In accordance with the regulations established by the Commission on Human Rights and Opportunities, each applicant is required to complete the Affirmative Action Packet (Appendix H). All applicants must read and complete the appended forms, where appropriate, submitting the completed forms as a part of the proposal.

D. Assurances

Each application must include a Statement of Assurances undersigned by the authorized official of the district (see Appendix I).

Each application must clearly indicate that a viable program of services will be operating at each project site for at least a 28-week period each school year between October and May.

E. 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 1-242]. 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.

F. Management Control of the Program and Grant Consultation Role of SDE Personnel

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

G. Annie E. Casey Foundation

Applicants that are part of a collaborative effort funded in whole or in part by the Annie E. Casey Foundation must submit documentation that the collaborative oversight entity has been provided the opportunity to review and comment on the grant application or proposal prior to submission to the Department; the proposal or application submitted provides information detailing the activities which assure priority access to services to children, youth and families referred by the collaborative oversight entity; and the applicant shall designate someone to act as liaison for the referral process.

H. Use of "Faxed" Copies for RFP's and Grant Applications

Facsimile ("Faxed") copies of proposals/applications will not be accepted. Only proposals/applications with the original signatures will be accepted as timely filed.

APPLICATION REQUIREMENTS

- TITLE:** Primary Mental Health Program - Summary Sheet
- FUNDS AVAILABLE:** \$490,000, \$25,000 maximum per continuing grant recipient, \$20,000 for first year applicants
- PROJECT DURATION:** September 1, 2007 through June 30, 2009
- PRIORITY AREA:** Implement a school-based early detection and intervention mental health program for emotional, behavioral and learning problems in public school children in kindergarten through grade three.
- RATIONALE:** School districts can benefit from an early intervention and detection mental health program designed to prevent "at-risk" youngsters from developing more serious learning and behavioral disorders.

MINIMUM REQUIREMENTS FOR APPLICATION:

The proposal should clearly describe how the district intends to ensure that:

1. there is solid support among administrative, instructional and pupil services staff;
2. the district will develop appropriate linkages with school and community-based programs and services;
3. adequate space is available to house the program;
4. one or more school-based mental health professionals (i.e., school psychologist, school social worker, school counselor) is available for participation in the program;
5. CAs are carefully selected and made key members of the program;
6. provisions are made to facilitate CA involvement in statewide staff development;
7. the district uses the screening and program evaluation measures specified by the CSDE and includes \$600/school in the proposed budget and designates a school district data coordinator for this purpose;
8. specific goals, which evolve from the areas of perceived difficulties, are established for individual children;
9. student progress toward goal achievement is monitored through informal parent/teacher conferences and formal progress and termination conferences;
10. linkages are established with school and community resources to provide support to students with behavioral health needs that are not addressed by Primary Project services. The school district agrees to share any other project data with the CSDE; and
11. there is reasonable evidence of future stability of the program and its personnel.

RFP. #026
Sec. 10-76t-w
Rev. 7/07

Project No: _____
(For State Use Only)

Agency: _____

COVER PAGE

Connecticut State Department of Education
Division of Family and Student Support Services
Bureau of Health/Nutrition, Family Services and Adult Education
Middletown

Applicant Agency
(name, address, & phone):

Local Program Title:

Name of School(s) Where Program Will Operate:

Date of Initial PMHP Funding (for continuing programs):

Agency Contact Person
(name, address, phone, **email**)

Program Dates:
From _____ To _____

I, _____, the undersigned authorized chief administrative official of this agency, submit this application on behalf of the participating agency, attest to the appropriateness and accuracy of the information contained herein, and certify that this application, if funded, will comply with all relevant requirements of Connecticut General Statutes, Section 10-76t-w (inclusive) and that the Statement of Assurances and all other assurances made herein will be fully implemented.

Signature: _____ Title: _____

Name (typed): _____ Date: _____

Agency: _____

ABSTRACT PAGE

Applicant Agency: _____

Local Project Title: _____

Funds Requested: _____

Objectives:

Project Activities:

Procedures for Data Collection and Reports Expected:

BUDGET FORM

ED 114 FISCAL Year 2008

GRANT <input checked="" type="checkbox"/> CONTRACT <input type="checkbox"/>		
GRANTEE NAME:		TOWN CODE:
GRANT TITLE: PRIMARY MENTAL HEALTH PROGRAM		
PROJECT TITLE:		
CORE-CT CLASSIFICATION: FUND: 11000 SPID: 12198 PROGRAM: 82079 BUDGET REFERENCE: 2008 CHARTFIELD1: 170036		
GRANT PERIOD: 07/01/07 - 06/30/08		AUTHORIZED AMOUNT: _____
CODES	DESCRIPTIONS	BUDGET
112A	EDUCATION AIDES	
112B	CLERICAL	
119	OTHER	
200	PERSONAL SERVICES EMPLOYEE BENEFITS	
322	INSERVICE	
324	FIELD TRIPS	
325	PARENT ACTIVITIES	
580	TRAVEL	
611	INSTRUCTIONAL SUPPLIES	
690	OTHER SUPPLIES	
700	PROPERTY/EQUIPMENT ONLY	
	TOTAL	

_____ Original request date
 _____ Revised request date

 State Department of Education
 Program Manager Authorization

 Date of
 Approval

Budget Object Codes

This list is a description of the codes in the budget. The list is provided to help you in designing your budget for the program.

- 112A **Education Aides.** Salaries for grantee employees who assist staff in providing program services. 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 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 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 is the employer's cost of group insurance, social security contribution, retirement contribution, tuition reimbursement, unemployment compensation and workmen's compensation.
- 322 **Inservice** (Instructional Program Improvement Services). Payments for services performed by persons qualified to assist program personnel and/or teachers to enhance program quality or effectiveness. This category includes curriculum consultants, inservice training specialists, etc., who are not on the grantee payroll.
- 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.
- 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 **Communications.** 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 organization 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.
- 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 over \$1,000 and the useful life of more than one year.

BUDGET EXPLANATION

Provide a detailed description of the proposed use of funds for each line item amount listed on the budget page. Wherever applicable, cite local policy and/or contractual basis for amounts requested. Examples:

- “The salary amount is projected at the 1st step of the Education Aides salary range established in the local education agency's collective bargaining agreement.”
- “Line 322 represents the contracted services of a workshop presenter who will be paid x dollars per day for y days.”
- “Line 580, travel expenses, includes x amount for y miles of auto travel at z cents per mile in accordance with the local collective bargaining agreement.”

Please respond to this task with as much detail as possible in order to avoid requests for more information, which may delay the granting process.

APPENDIX F

PMHP BUDGET WORKSHEET FOR CONTINUING DISTRICTS

School District: _____

FISCAL Year 2008

CODES	DESCRIPTIONS	LOCAL CONTRIBUTION		STATE FUNDS AWARDED	
		Primary Project	CBHP	Primary Project	CBHP
112A	EDUCATION AIDES				
112B	CLERICAL				
119	OTHER				
200	PERSONAL SERVICES EMPLOYEE BENEFITS				
322	INSERVICE				
324	FIELD TRIPS				
325	PARENT ACTIVITIES				
580	TRAVEL				
590	OTHER PURCHASED SERVICES				
611	INSTRUCTIONAL SUPPLIES				
690	OTHER SUPPLIES				
700	PROPERTY/EQUIPMENT ONLY				
	TOTALS				

_____ Original request date
 _____ Revised request date

 State Department of Education
 Program Manager Authorization

 Date of Approval

PROPOSAL EVALUATION INSTRUMENTS

Connecticut State Department of Education
Division of Family and Student Support Services
Bureau of Health/Nutrition, Family Services and Adult Education
Middletown

2007-2009

These evaluation instruments are included with this RFP for two reasons:

1. To provide a self-review checklist for applicants to ensure that submitted proposals are complete.
2. To publicize the criteria by which proposals will be reviewed.

The Basic Eligibility checklist will be used by CSDE staff and the PMHP project manager. The Proposal Evaluation Form will be used by the proposal reading team.

Connecticut State Department of Education
 Division of Family and Student Support Services
 Bureau of Health/Nutrition, Family Services and Adult Education
 Middletown

Evaluation of Proposals in the Primary Mental Health Program
 Public Law 10-76t-w

Applicant Agency: _____

RFP Title and Number: Primary Mental Health Program #026 / 2007-09

Program Title: _____

BASIC ELIGIBILITY

For each item below, check the appropriate response. Check one response only.

A. The proposal is responsive to the RFP: YES _____ NO _____

B. The proposal includes all required components, as follows:

	YES	NO
9. Cover Page with signature, etc. (Appendix A)	_____	_____
10. Abstract Page (Appendix B)	_____	_____
11. Program Objectives	_____	_____
12. Program Description and Implementation Plan	_____	_____
13. Demographics and Existing Programs	_____	_____
14. Administration and Personnel	_____	_____
15. Program Services	_____	_____
16. Dissemination Plan	_____	_____
17. Facilities	_____	_____
18. Program Timelines	_____	_____
19. Program Evaluation	_____	_____
20. Budget Form (Appendix C)	_____	_____
21. Budget Explanation (Appendix D)	_____	_____
22. Personnel Costs (Appendix E)	_____	_____
23. Budget Worksheet for Continuing Districts, if applicable (Appendix F)	_____	_____
24. Continuation Plan	_____	_____
25. Date of Board Approval to Submit the Proposal	_____	_____
26. Affirmative Action Packet (Appendix H)	_____	_____
27. Signed Statement of Assurances (Appendix I)	_____	_____
28. Annie E. Casey Foundation, if applicable	_____	_____

Note concerning "No" responses: Specify particular missing components.

Applicant: _____

Proposal Evaluation Form

For each component write a number (between 0 and the maximum allotted to that item) to best describe your rating. Refer to pages 7-10 for guidance in evaluating items.

I. Program Foundation

A. Need – The proposal specifies areas of need that are responsive to the criteria outlined in the RFP. Includes descriptive information. _____
Max. 5 pts.

B. Existing Programs – The proposal describes related school-based programs and clearly delineates existing or proposed linkages. (Do not evaluate Complementary Behavioral Health Programs here.) _____
Max. 5 pts.

Total points for Sections I _____
Max. 10 pts.

II. Primary Project: Description and Implementation

A. Objectives – The proposal clearly states objectives, which are related to the RFP, in measurable terms. _____
Max. 5 pts.

B. Target Population – The proposal specifies demographics of the target population, including grade levels, and provides a rationale for any special conditions of eligibility. _____
Max. 5 pts.

C. Program Services: Students – The proposal describes how program services will be implemented for students (see pp. 7-8). Score on the basis of consistency with Application Requirements #1-8 on page 4. For districts previously receiving funding through this grant, the application must also provide documentation of effectiveness of their interventions. _____
Max. 20 pts.

D. Program Services: Parents – The proposal describes how program services will be implemented for parents (see p. 8). Score 5 points for adherence to requirements (i.e., permission to participate, involvement in progress and termination conferences, program evaluation), and up to 5 points for parent involvement and support components that exceed the minimum requirements. _____
Max. 10 pts.

E. Administration and Personnel – The proposal describes which staff will be involved in the program, their roles, training and hours in the program. _____
Max. 10 pts.

F. Dissemination Plan – The plan describes how the results of program outcomes will be considered and disseminated. _____
Max. 5 pts.

- G. **Facilities** – The district describes the spaces and other resources used in the implementation of the program. _____
Max. 10 pts.
- H. **Program Timelines** – The plan includes a timeline for implementation of the program. _____
Max. 5 pts.
- I. **Program Evaluation** – A district plan for evaluation of the program, including participation in state-level evaluation, is included. _____
Max. 5 pts.
- J. **Budget** – The budget provides sufficient support for success and appears reasonable. Review the Budget Explanation (Appendix D). _____
Max. 5 pts.

Total points for Sections II Max. 80 pts.

III. Complementary Behavioral Health Program: Description and Implementation

- A. **Objectives** – The proposal clearly states objectives that are related to the RFP, in measurable terms. _____
Max. 5 pts.
- B. **Program Description** – The proposal describes the service population, program services and activities, and the rationale for program content and structure. The program should be well-conceived, and have sufficient resources and staff **commitment to have good prospects for success** – The proposal provides solid evidence that the program is **research-based (preferably), or highly promising.** _____
Max. 15 pts.
- C. **Personnel and Organization** – The proposal describes what staff will be involved in the program, their roles and training, and hours; and organizational structure(s) for program coordination and monitoring. _____
Max. 5 pts.
- D. **Program Timelines** – The plan includes a timeline for implementation of the program. _____
Max. 5 pts.
- F. **Data Analysis and Evaluation** – The proposal describes how screening results will be used, and what data will be generated to evaluate progress towards objectives. _____
Max. 5 pts.
- G. **Budget** – The budget provides sufficient support for success and appears reasonable. Review the Budget Explanation (Appendix D). _____
Max. 5 pts.

Total points for Sections III Max. 40 pts.

IV. Additional Points (30 points)

- A. **Infrastructure** –Evidence of early intervention and family support programs, or well developed plans to begin implementing them. School-based mental

health professionals provide services beyond minimum required for mandates and for Primary Project.

Max. 5 pts

B. Sustainability – Indication of school board support for continuation of the program. New applicants: score 5 points for stated commitment.
Continuing Districts: score 5 points for actual evidence of district funding.

Max. 5 pts.

C. First Time Applicant – The applicant has never before been awarded grant funding to support Primary Mental Health Program activities.

Max. 10 pts.

D. Priority School District

If applicable, 10 pts.

Total points for Sections IV

Max. 30 pts.

SCORING SUMMARY:

I. Program Foundation (10 pts.)

II. Primary Project Description and Implementation (80/40 pts.)
Divide points in half, rounding upwards, if a continuing district.

III. Complementary Behavioral Health Program (40 pts.)
For Continuing Districts only.

IV. Additional Points (30 pts.)

TOTAL (120 pts.)

Please note any specific strengths and/or weaknesses of this proposal that should be included in the final evaluation. For additional space, use reverse side of page.

Strengths:

Weaknesses:

Reader's Signature: _____

Date: _____

**CERTIFICATION THAT A CURRENT AFFIRMATIVE ACTION PACKET
IS ON FILE**

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

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

Signature of Authorized Official: _____ Date: _____

Name and Title: _____

APPENDIX H
CONNECTICUT STATE DEPARTMENT OF EDUCATION
AFFIRMATIVE ACTION PACKET

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

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

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

The following are appended hereto:

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

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

Affirmative Action Office
State Department of Education
(860) 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 46a-71(d) and 46a-81i(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 CSDE 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: _____

Rev. 6/99

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.

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

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

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

Contractor Name: _____
 Address: _____

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

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

JOB CATEGORIES	OVERALL TOTALS (SUM OF ALL COLS. MALE & FEMALE)	WHITE (NOT OF HISPANIC ORIGIN)		BLACK (NOT OF HISPANIC ORIGIN)		HISPANIC		ASIAN OR PACIFIC ISLANDER		AMERICAN INDIAN OR ALASKAN NATIVE		PEOPLE WITH DIS-ABILITIES	
		MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE
OFFICIALS & MANAGERS													
PROFESSIONALS													
TECHNICIANS													
PARA-PROFESSIONAL													
SALES WORKER													
OFFICE & CLERICAL													
CRAFT WORKERS													

JOB CATEGORIES	OVERALL TOTALS (SUM OF ALL COLS. MALE & FEMALE)	WHITE (NOT OF HISPANIC ORIGIN)		BLACK (NOT OF HISPANIC ORIGIN)		HISPANIC		ASIAN OR PACIFIC ISLANDER		AMERICAN INDIAN OR ALASKAN NATIVE		PEOPLE WITH DIS-ABILITIES	
		MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE
(Skilled)													
OPERATIVES (Semi-skilled)													
LABORERS (unskilled)													
SERVICE WORKERS													
TOTALS ABOVE													
TOTALS ONE YEAR AGO													

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

Apprentices													
Trainees													

EMPLOYMENT FIGURES WERE OBTAINED FROM:

VISUAL CHECK: _____ **EMPLOYMENT RECORDS:** _____ **OTHER:** _____

1. Have you successfully implemented an Affirmative Action Plan? Yes: ___ Date of implementation _____
Not Applicable: _____ Explanation:

(a) Please submit a summary of your Affirmative Action Plan.

2. Have you successfully developed an apprenticeship program complying with Sec. 46a-68-17 of the Connecticut Department of Labor Regulations, inclusive? Yes: ___ No: ___ Not Applicable: ___ Explanation:

3. According to EEO-1 data, is the composition of your workforce at or near parity when compared with the race and gender composition of the workforce in the relevant labor market area? Yes: ___ No: ___ Explanation:

4. If you plan to subcontract, will you set aside a portion of the contract for legitimate minority business enterprises? Yes: ___ No: ___ Explanation:

Contractor's Authorized Signature

Date

[WFA 6/99]

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 businesses 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.

(Attach 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 _____ (Name of person signing certification) (Contractor)

which 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. ____
(Contractor)
with _____ meet the criteria for Minority Business
(Awarding Agency)
Enterprises set out in Section 4a-60 of the Connecticut General Statutes:

(Lists names of Minority Business Enterprises that qualified under current statutory requirements)

Check if provision applicable: ____ That the _____ has
(Contractor)
hired the following minority business subcontractors or suppliers of materials for Contract No. _____
with _____ that are not _____ (Awarding Agency)
registered with the Department of 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 _____ 2007.

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

Statement Of Assurances

Connecticut State Department Of Education
Standard Statement Of Assurances
Grant Programs

A. PROJECT TITLE:

Blank lines for project title input.

THE APPLICANT: _____ HEREBY ASSURES THAT:

(Insert Agency/School Name)

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

- L. The grant award is subject to approval of the State Department of Education and availability of state or federal funds.
- M. The applicant agrees and warrants that Sections 4 –190 to 4 –197, inclusive, of the Connecticut General Statutes concerning the Personal Data Act and Sections 10-4-8 to 10-4-10, inclusive, of the Regulations of Connecticut State Agencies promulgated there under are hereby incorporated by reference.

N. Required Language:

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

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

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

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

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

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

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

APPENDIX J

School Districts Previously Deemed Eligible for 2007-2008

Ashford
Canterbury
Windham