



CONNECTICUT STATE DEPARTMENT OF EDUCATION

## REQUEST FOR PROPOSALS

**PURPOSE:** Planning Grants to Transform Professional Learning Systems (2015-2016 School Year)

**RFP Number:** 815

**Submission Due:** No later than 4:00 pm on October 16, 2015

**RFP Published:** August 2015



## CONNECTICUT STATE DEPARTMENT OF EDUCATION

**Dr. Dianna R. Wentzell  
Commissioner of Education**

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## Overview and Purpose

“The most powerful strategy school systems have at their disposal to improve teacher effectiveness is professional development. . . It is available to almost every educator, and – when planned and implemented correctly – it ensures that educators acquire the knowledge and skills necessary to help more students meet standards.<sup>1</sup>” Student success depends on effective teaching and leadership. Connecticut’s vision for professional learning is that each and every Connecticut educator engages in continuous learning every day to increase professional effectiveness, resulting in positive outcomes for each and every student. For Connecticut’s students to graduate ready for college and careers, educators must engage in strategically-planned, well-supported, standards-based ongoing professional learning that, in turn, results in student growth and development.

In 2012, the Performance Evaluation Advisory Council (PEAC) put forward the recommended *Connecticut Guidelines for Educator Evaluation (Guidelines)* which the State Board of Education subsequently adopted on June 27, 2012. As required by Connecticut General Statutes (C.G.S.) Section 10-151b, the Connecticut State Department of Education (CSDE) developed a state model for educator evaluation and support known as the *System for Educator Evaluation and Development (SEED)* that served as one option of a model aligned to guidelines that districts could adopt. When the *Guidelines* and *SEED* were developed in 2012, the CSDE fully recognized that additional work would be necessary to build out the most critical component of any local or regional educator evaluation system – a system of and expectations for high-quality professional learning. As stated in C.G.S. Section 10-148a, all local educational agencies (LEAs) are required to provide annual professional learning to educators that is comprehensive, sustained and intensive; improves practice; fosters collective responsibility for student performance; and is aligned with rigorous student standards. Developing a comprehensive professional learning system that meets statutory requirements demands the need for additional support to LEAs on how to develop systems that not only meet requirements but, more importantly, enhance educator practice and student growth.

Some of the key elements needed to build a high-quality professional learning system are: 1) an understanding of educator and student needs, 2) an understanding of LEA- and school-level goals, 3) an established Professional Development and Evaluation Committee (PDEC), and 4) a comprehensive professional learning plan that aligns to the *Connecticut Standards for Professional Learning*. These elements must be continuously developed, implemented, monitored, and evaluated to support educator and student growth and development over the long term.

In order to achieve results for educators and students, professional learning must shift from common historical practices, which were measured by documented hours spent in professional development or continuing education units (CEUs), to sustained, authentic, job-embedded professional learning measured by evidence of positive impact on practice and student growth. Figure 1 summarizes the major research-supported shifts.<sup>2</sup>

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<sup>1</sup> Killion, J. (2012). *Meet the Promise of Content Standards: Professional Learning Required*. Oxford, OH: Learning Forward.

<sup>2</sup> Killion, J. (2012, January 6). Terms carry meaning. Retrieved from [http://blogs.edweek.org/edweek/learning\\_forwards\\_pd\\_watch/2012/01/terms\\_carry\\_meaning.html](http://blogs.edweek.org/edweek/learning_forwards_pd_watch/2012/01/terms_carry_meaning.html)

**Figure 1: Shifts for High-Quality Professional Learning**

Less	More
Driven by educator preference	Driven by student, educator and systems data
Focused on generic instruction	Focused on depth of knowledge, including cross-disciplinary and discipline-specific instruction and/or practice
Large group, formal, one-size-fits-all to build awareness	Informal, self-directed and collaborative learning to develop, refine and enhance practice
Occasional, episodic learning	Cycles of continuous growth and development
Passive process	Active process
Removed from daily work	Embedded throughout daily work
Outside individuals/organizations deliver trainings/sessions	Facilitated and designed by educators in school/LEA; external sources used when expertise is necessary

The goal of professional learning is to improve and enhance educator practice in order to promote and improve student growth and development. All professionals, regardless of their field of work, engage in continuous learning as part of their professional practice. Educator professional learning requires collaboration with colleagues to meet the diverse learning needs of all students, a commitment to continuously analyze and refine one’s practice, and a responsibility to take action to improve one’s performance. It is sustained over time, not the result of a single event or episode, focused on deep learning and application of learning, and incorporates effective adult learning practices.

The CSDE is committed to providing guidance and resources to the educators of the LEA and/or school community who are charged with the development, evaluation and annual updating of a comprehensive professional learning plan for certified employees of the district, as represented by the PDEC (C.G.S. Section 10-151b). This guidance will support the PDEC’s work of developing and sustaining high-quality systems of professional learning that enhance educator practice, improve student outcomes, and complement the LEA’s educator evaluation and support system.

To advance this work, the CSDE Talent Office, in partnership with the RESC Alliance and Learning Forward, has established a shared vision of a statewide system for professional learning. Beginning in 2012, the CSDE convened a broadly representative group of Connecticut stakeholders, as well as experts from Learning Forward, to develop guidance for designing, implementing and evaluating high-quality professional learning systems.

In 2014-15, the CSDE, under the leadership of Sarah J. Barzee, Ph.D., Chief Talent Office, convened the Professional Learning Advisory Committee (PLAC) to further develop guidance to LEAs and draft the [Connecticut Definition of Professional Learning](#) and the [Connecticut Standards for Professional Learning](#). The definition and standards were adopted by the State Board of Education (SBE) on May 6, 2015 and are designed to serve as the foundation of comprehensive professional learning systems throughout Connecticut. The committee is comprised of representatives from the CSDE, American Federation of Teachers Connecticut (AFT-CT), Connecticut Association of Boards

of Education (CABE), Connecticut Association of Public School Superintendents (CAPSS), Connecticut Association of Schools (CAS), Connecticut Education Association (CEA), Connecticut Federation of School Administrators (CFSA), RESC Alliance, and the State Education Resource Center (SERC).

Since the SBE's adoption, there are ongoing efforts to develop guidance and support LEAs as they begin to integrate the definition and standards into the professional learning offered to their educators. The PLAC continues to engage stakeholders through various subcommittees to promote practices for meaningful, job-embedded, sustained learning. In addition to the commitment of the CSDE to advance these efforts, additional fiscal resources have been allocated through the CSDE Talent Office. These funds are expected to support LEAs in developing, coordinating and strengthening strategies to enhance their comprehensive professional learning systems over a two year period.

With this request for proposals (RFP) the CSDE invites LEAs to design an innovative, multi-year plan to develop and implement a sustainable comprehensive professional learning system aligned to the *Connecticut Standards for Professional Learning*. The implementation of these plans will be an essential component of the CSDE's long-term strategy to support the development and implementation of standards-based, high-quality professional learning systems, potentially serving as models of best practice for LEAs committed to increasing the quality and effectiveness of professional learning systems.

### Scope of Work/Expectations

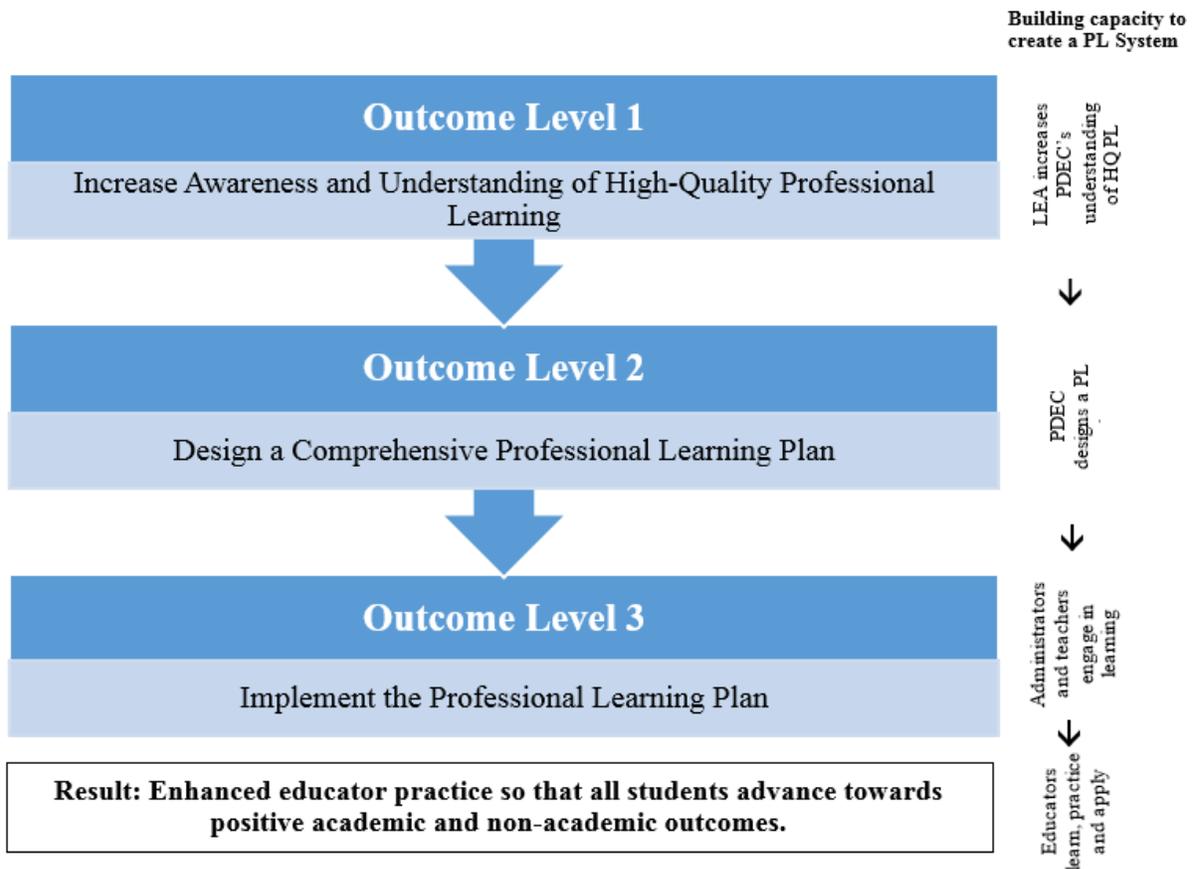
The CSDE will award planning grants not to exceed \$25,000 in the 2015-16 academic year to facilitate the coordination of local efforts to design and implement a comprehensive professional learning system. LEAs will serve as the lead applicants, with expectations that each proposal will include key roles for other partners. The CSDE anticipates funding approximately 6 to 8 of the highest-ranked proposals.

Applicants will propose a structure and methods for developing a multi-year plan focused on building and enhancing their LEA's professional learning system aligned to the *Connecticut Standards for Professional Learning*. Funds may be used to pay for staff time, travel, materials, and external facilitators, consultants, trainers, or advisors. This is intended to be a two-year partnership, assessed and renewed pending available funds, with additional awards in FY 2017. However, plans should not be contingent on the future availability of funds, and should include low-to-no-cost and cost-sharing strategies for implementing the proposed work whenever possible. Applicants will be required to submit a new budget for the second year of the grant if and when requested by the CSDE.

Upon award, applicants chosen through this RFP will design activities that result in well-defined, measurable outcomes and are responsive to the local context within which they will be deployed. Awarded funds must be obligated by June 30, 2016 and liquidated no later than July 30, 2016.

The conceptual framework below (Figure 2) presents the outcomes to be addressed in awardees' proposals and final plans.

**Figure 2: Framework for Building a High-Quality Professional Learning System**



The right column of Figure 2 highlights the importance of building capacity of PDEC members as they help to build and support an LEA’s comprehensive professional learning system. Each outcome requires capacity-building efforts aimed at PDEC members, district and school administrators, teachers, families and community members. When choosing or designing strategies for building a comprehensive professional learning system, LEAs should consider how these strategies will build awareness of high-quality professional learning and build educator capacity to facilitate and design professional learning that leads to the desired outcomes.

**Outcome Level 1 – Increase Awareness and Understanding of High-Quality Professional Learning.** LEAs are expected to build PDEC members’ understanding of key elements of high-quality professional learning and be attentive to evaluating current professional learning practices. Capacity-building support at this level will *require* the LEA Team members identified in the proposal attend the CSDE-sponsored Connecticut Academy for Professional Learning (CAPL). Other support at this level may include, but not be limited to, the following:

- Construction of a common belief of professional learning for the LEA
- Identification of guiding principles for professional learning

- Developing an understanding of the *Connecticut Standards for Professional Learning*
- Developing an understanding of how the LEA's educator evaluation plan connects to professional learning

**Outcome Level 2 – Design a Comprehensive Professional Learning Plan.** A high-quality professional learning system is dependent upon a thoughtful and comprehensive LEA professional learning plan. Activities at this level should be designed to develop, evaluate and update the LEA's professional learning plan, including:

- Examination of sources of data to identify needs of students, which provide information used to design meaningful, relevant professional learning for educators
- Understanding characteristics of the LEA that will influence educator learning
- Identification of goals and outcomes for students and educators as a result of professional learning

**Outcome Level 3 – Implement the Professional Learning Plan.** Implementing a high-quality professional learning plan requires a long-term view. The LEA must consider ongoing learning needs, differentiated support that addresses the stages of change for educators, and formative and summative quantitative and qualitative data to implement, monitor and assess professional learning. Activities in this area may include, but not be limited to, the following:

- Identification of processes to monitor and assess different learning designs for educators
- Provision of time for educators to apply new learning
- Establishment of short-term and long-term goals and steps to monitor and assess professional learning

The CSDE recognizes that high-quality professional learning is essential to educator growth, which ultimately supports student growth and development. For the purpose of this grant, applicants are encouraged to focus on the three outcome levels described above.

Grantees must:

- 1) Establish an LEA Team that will consist of 3-6 members to oversee the grant work and collaborate with the CSDE team. This LEA Team must be representative of the following:
  - a) District administration: (superintendent/assistant superintendent for teaching/learning/assessment, curriculum/professional learning director, etc.)
  - b) Professional Development and Evaluation Committee (PDEC) members:
    - i) Building administration: principal/assistant principal
    - ii) Teacher leaders (instructional coaches, classroom teachers)
    - iii) Representatives selected by the exclusive bargaining representative
  - c) Districts may also include key leaders and/or stakeholders on the team (school board members, etc.)
- 2) Attend a half-day convening in Hartford at the start of the grant period and a full-day convening at the conclusion of each of the two grant years. The purpose of the first convening will be to clarify expectations, provide technical assistance in setting targets, and facilitate collaboration and networking among LEA Teams. The purpose of the convening at the conclusion of each grant

year will be for each grantee LEA to complete and present an Annual Progress Report (APR) that describes its work progress and any findings during each grant year. Additional convenings may be scheduled, as appropriate.

- 3) Attend six full-day sessions of the CAPL scheduled throughout the 2015-16 academic year. All members of the LEA Team must be present at the CAPL. The CAPL dates are:
  - a) January 14-15, 2016
  - b) March 10-11, 2016
  - c) April 25-26, 2016
- 4) Attend two to four full-day sessions of the CAPL throughout the 2016-17 academic year.
- 5) Administer the Standards Assessment Inventory (SAI2)<sup>3</sup> twice annually, the beginning and end of each academic year. The first administration must be completed no later than **November 30, 2015**.
- 6) Develop and commit to working toward building the LEA's professional learning system so that educators will have equitable access to professional learning opportunities to enhance their practice and advance all students towards positive academic and non-academic outcomes.
- 7) Share processes, products, resources, and experiences resulting from the grant project within and across districts, and at regional and local meetings, as requested by the CSDE.

## Proposal Requirements

In order to be considered for an award, each applicant must submit (I) a proposal narrative and (II) a proposal budget and budget narrative, addressing all components in the order described below.

### I. Proposal Narrative

Applicants must organize their responses as follows:

- A. ***Description of current professional learning system.*** Please provide information about the LEA's current professional learning system. It must describe the LEA's current plan and describe how educators engage in differentiated learning opportunities aligned to LEA, school and individual goals. Include details about the role and experience of the LEA's Professional Development and Evaluation Committee (PDEC).
- B. ***Alignment of high-quality professional learning system with other districtwide efforts.*** Please describe how the professional learning plan will support other LEA initiatives or priorities.
- C. ***Proposed structure and methods for developing a multi-year, multi-pronged action plan.*** Please describe the approach the LEA will take to develop and generate buy-in for a comprehensive professional learning system that is ready for presentation at the end of the

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<sup>3</sup> A survey aligned to the *Connecticut Standards for Professional Learning* designed to measure teachers' perceptions to provide data on the quality of professional learning at the school or LEA level.

grant period. Describe how the LEA will ensure that the plan includes multi-level outcomes presented in Figure 2 and solicit voice/input from stakeholders. Include details about past experience managing a complex planning process within a short timeframe. Attach a project plan (no template provided) with key tasks, entity or person responsible for each task, and timeline.

- D. **Implementation and Sustainability.** This is intended to be a multi-year partnership with the CSDE, assessed and renewed each year pending available funds, with additional awards possible during the 2016-17 school year. However, plans should not be contingent on the future availability of funds and should include low-to-no-cost and cost-sharing strategies whenever possible. Please describe your ideas about how the LEA could integrate and sustain the final plan's strategies into existing initiatives.
- E. **Staffing plan.** Please describe the qualifications of the staff member(s) who will lead this project, the proposed level of effort, and how this project will be balanced with his/her other responsibilities. Include resume(s) as "Attachment 1" to the Proposal Narrative.

## II. Proposal Budget & Budget Narrative

Budgets for this work should not exceed \$25,000 in total over the one year grant period. Funds may be used to pay for staff time, travel, materials and external facilitators, consultants, trainers or advisors. Please use the template provided in Appendix A.

## III. Other Requirements

Each proposal should include a signed, completed "Statement of Assurances" form (see Appendix B) and an Affirmative Action Plan Certification (see Appendix C). Applications should also follow the formatting requirements below.

- Length of Proposal Narrative is not to exceed 10 pages
- Page Size: 8 ½ x 11; portrait
- Font must be Times New Roman, size 12
- Text must be double-spaced
- Margins: 1" minimum on the top, bottom, and sides of all pages
- All pages must be numbered and single-sided.
- Do not place proposals in notebooks or binders. Metal clips may be used to bind pages together.
- Only include attachments requested or required by this RFP. Other documents will not be considered by proposal readers.

Applicants who do not follow these requirements risk disqualification from the review process.

## Selection Criteria

A selection committee will review and score all proposals. Reviewers will consider the thoroughness, quality and clarity of each applicant's responses in reference to:

1. The LEA's commitment to align the professional learning system to the *Connecticut Definition of Professional Learning* and the *Connecticut Standards for Professional Learning*;
2. The expertise and experience that the proposed project partners bring to the task of developing a comprehensive professional learning system;
3. The LEA's qualifications to serve as lead applicant;
4. The intersection of a comprehensive professional learning system with other districtwide efforts;
5. The proposed structure and methods for developing a multi-year professional learning plan;
6. The proposed project plan;
7. The applicant's ability to conceptualize low- and no-cost implementation strategies;
8. The proposed staffing plan and qualifications of the project managers; and
9. The project's cost effectiveness.

## Submission Guidelines

### I. Schedule

Publication of RFP by electronic means on the CSDE websites	August 27, 2015
Period during which questions will be accepted	August 27, 2015 to September 25, 2015
Answers to questions posted as an Addendum on the CSDE website	September 30, 2015
Proposal due date	No later than 4:00 pm on October 16, 2015
Final award decisions	October 30, 2015

### II. Questions

Questions for the purpose of clarifying the RFP must be submitted **in writing by e-mail** and must be received no later than September 25, 2015.

Questions must be emailed to Kimberly Audet, Associate Education Consultant, at [kimberly.audet@ct.gov](mailto:kimberly.audet@ct.gov).

Questions and responses will be posted as an “Addendum to RFP for Planning Grants” on the CSDE website on September 30, 2015. Bidders’ submissions of questions do not enhance or guarantee the chances of receiving an award.

During the period from your organization’s receipt of this Request for Proposals and until grants are awarded, bidders shall not contact any employee of the CSDE for additional information except in writing to Kimberly Audet as indicated above.

### **III. Proposal Submission**

All responses to this solicitation must be received by October 16, 2015 no later than 4:00 p.m. at the CSDE (address below).

The attached cover page must bear an **original signature** of the **official authorized** to submit the proposal. Electronic submissions and faxed copies of proposals will not be accepted.

Please submit **one (1) original** and **three (3) copies** of the proposal addressed to:

Kimberly Audet  
Connecticut State Department of Education  
165 Capitol Avenue  
Room 231  
Hartford, CT 06106  
Attention: Professional Learning Planning Grants

## **General Information**

### **I. Grant Period**

The grant period shall be from October 30, 2015 through June 30, 2016. Awarded funds must be obligated by June 30, 2016, and liquidated no later than July 30, 2016.

### **II. Amendment or Cancellation of the RFP**

The CSDE reserves the right to cancel, amend, modify, or otherwise change this RFP at any time if it deems it to be in the best interests of the CSDE.

### **III. Proposal Modifications**

No additions or changes to any proposal will be allowed after the proposal due date, unless such modification is specifically requested by the CSDE. The CSDE, at its option, may seek proposer retraction and clarification of any discrepancy or contradiction found during its review of proposals.

### **IV. Erroneous Awards**

The CSDEs reserve the right to correct inaccurate awards. This includes revoking the awarding of a contract to a proposer and subsequently awarding the contract to a different proposer.

Such action shall not constitute a breach of contract on the part of the CSDE, because the contract with the initial proposer will be deemed voided as if no contract was ever in place.

**V. Proposal Expenses**

Proposers are responsible for all costs and expenses incurred in the preparation of proposals and for any subsequent work on the proposal that is required.

**VI. Ownership of Proposals**

All proposals shall become the property of the CSDE and will not be returned.

**VII. Oral Agreement or Arrangements**

Any alleged oral agreements or arrangements made by proposers with the CSDE, any State agency, or a State employee(s) will be disregarded in any proposal evaluation or associated award.

**VIII. Accounting Procedures**

Generally accepted accounting principles (GAAP) or another acceptable accounting method must be utilized.

## APPENDIX A

### ED114 FISCAL YEAR 2016 MASTER BUDGET FORM

<b>APPLICANT NAME:</b>		<b>TOWN CODE:</b>
<b>GRANT TITLE: Planning Grants to Transform Professional Learning Systems</b>		
<b>PROJECT TITLE:</b>		
<b>GRANT PERIOD: 10/15/2015 - 6/30/2016</b>		
<b>CODES</b>	<b>DESCRIPTIONS</b>	<b>BUDGET AMOUNT</b>
<b>100</b>	<b>SALARIES</b>	
<b>200</b>	<b>PERSONAL SERVICES-EMPLOYEE BENEFITS</b>	
<b>330</b>	<b>EMPLOYEE TRAINING AND DEVELOPMENT SERVICES</b>	
<b>580</b>	<b>TRAVEL</b>	
<b>600</b>	<b>SUPPLIES</b>	
	<b>TOTAL</b>	

Please refer to the following information when determining the line item in which to present your proposed grant-related expenses. Each budget must be accompanied by a budget narrative that provides a detailed description of each line item and how it was calculated.

#### I. General Description

The Connecticut State Department of Education is using object code definitions from the United States Department of Education publication "Financial Accounting for Local and State School Systems." (<http://nces.ed.gov/pubs2009/2009325.pdf>) Per federal definition, an object is used to describe the service or commodity obtained as the result of a specific expenditure. There are nine major object categories which are defined below. These major categories use a single digit followed by two zeroes; more specific object classifications replace one or both of the zeroes with other figures. (e.g., the major category "Purchased Professional and Technical Services" is code 300. At the second level of detail, the code is 340 for "Other Professional Services", 320 for "Professional Educational Services", and 330 for "Employee Training and Development Services". At the lowest level of detail, codes 321 and 322 further breakdown "Professional Educational Services" to "Tutors" and "In Service", respectively.) Letters A and B are used to further define the second level of detail for the Personal Services - Salaries category.

## **II. Major Object Code Definitions**

### **100 Personal Services - Salaries**

Amounts paid to both permanent and temporary grantee employees, including personnel substituting for those in permanent positions. This includes gross salary for personal services rendered while on the payroll of the grantees.

### **200 Personal Services - Employee Benefits**

Amounts paid by the grantee on behalf of employees; 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.

### **330 Employee Training and Development Services**

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

### **580 Travel**

Expenditures for transportation, meals, hotel and other expenses associated with staff travel. Per diem payments to staff in lieu of reimbursement for subsistence (room and board) are also included.

### **600 Supplies**

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

**STATEMENT OF ASSURANCES**

CONNECTICUT STATE DEPARTMENT OF EDUCATION  
STANDARD STATEMENT OF ASSURANCES  
GRANT PROGRAMS

**PROJECT TITLE:**

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**THE APPLICANT:**

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**HEREBY ASSURES THAT:**

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(insert Agency/School/CBO Name)

- A.** The applicant has the necessary legal authority to apply for and receive the proposed grant;
- B.** The filing of this application has been authorized by the applicant's governing body, and the undersigned official has been duly authorized to file this application for and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application;
- C.** The activities and services for which assistance is sought under this grant will be administered by or under the supervision and control of the applicant;
- D.** The project will be operated in compliance with all applicable state and federal laws and in compliance with regulations and other policies and administrative directives of the State Board of Education and the Connecticut 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 Connecticut State Department of Education, including information relating to the project records and access thereto as the Connecticut 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 Connecticut State Department of Education any moneys not expended in accordance with the approved program/operation budget as determined by the audit;

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

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

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

- (1) "Commission" means the Commission on Human Rights and Opportunities;
- (2) "Contract" and “contract” include any extension or modification of the Contract or contract;
- (3) "Contractor" and “contractor” include any successors or assigns of the Contractor or contractor;
- (4) "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose.
- (5) “good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
- (6) "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;

- (7) "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced;
- (8) "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders;
- (9) "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise, and (3) who are members of a minority, as such term is defined in subsection (a) of Connecticut General Statutes § 32-9n; and
- (10) "public works contract" means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

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

- (b)
- (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the State of Connecticut; and the Contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by the Contractor that such disability prevents performance of the work involved; (2) the Contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the Commission; (3) the Contractor agrees to provide each labor union or representative of workers with which the Contractor has a collective bargaining agreement or other contract or understanding and each vendor with which the Contractor has a contract or

understanding, a notice to be provided by the Commission, advising the labor union or workers' representative of the Contractor's commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the Contractor agrees to comply with each provision of this Section and Connecticut General Statutes §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes §§ 46a-56, 46a-68e and 46a-68f; and (5) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor as relate to the provisions of this Section and Connecticut General Statutes § 46a-56. If the contract is a public works contract, the Contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works projects.

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

a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes § 46a-56; and (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this Section and Connecticut General Statutes § 46a-56.

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

**M.** The grant award is subject to approval of the Connecticut 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 there under are hereby incorporated by reference.

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

Superintendent

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

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

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

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

**AFFIRMATIVE ACTION CERTIFICATE**

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

*According to the Connecticut Commission on Human Rights and Opportunities (CHRO) municipalities that operate school districts and also file a federal and/or state Affirmative Action Plan(s) are exempt from the requirement of filing an Affirmative Action Plan with the Connecticut State Department of Education. Agencies with an Affirmative Action Plan on file need to certify such by signing the statement below.*

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