

**CONNECTICUT STATE DEPARTMENT OF EDUCATION  
OFFICE OF STUDENT SUPPORTS AND ORGANIZATIONAL  
EFFECTIVENESS**



**Application for Funds**

Every Student Succeeds Act (ESSA): Title IV, Part A:

**Student Support and Academic Enrichment (SSAE) Grant  
2017-18**

**PURPOSE:**

To assist state and local educational agencies, schools, and local communities to:  
1) provide all students with access to a well-rounded education; 2) improve school conditions for student learning; and 3) improve the use of technology in order to improve the academic achievement and digital literacy of all students.

**Submission Due:** November 22, 2017

**Published:** October 2017



# CONNECTICUT STATE DEPARTMENT OF EDUCATION

Dr. Dianna R. Wentzell  
Commissioner of Education

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## TABLE OF CONTENTS

		<b>Page</b>
<b>I.</b>	Overview of State and Federal Requirements	1
<b>II.</b>	Proposal Objectives	3
<b>III.</b>	Applicant Information	5
<b>IV.</b>	Application Directions	6
	<b>APPENDICES</b>	
	Appendix A – Grant Application	7
	Appendix B – Form ED114	11
	Appendix C – Budget and Budget Justifications	12
	Appendix D – Budget Form Object Code Definitions	13
	Appendix E – Statement of Assurances	15
	Appendix F – Certification That Affirmative Action Packet is on File	21
	Appendix G – Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions	22
	Appendix H – Basic Needs Assessment	23
	Appendix I – Examples of Needs Assessments	24

## **I. OVERVIEW OF STATE AND FEDERAL REQUIREMENTS**

With reauthorization in December 2015 of the *Elementary and Secondary Education Act of 1965 (ESEA)*, the *Every Student Succeeds Act (ESSA)* provides funding under the newly authorized subpart 1 of Title IV, Part A with the intention of increasing state and local capacity to address three priority areas: 1) provide all students with access to a well-rounded education, as defined in *ESSA* section 8101(52); 2) improve school conditions for student learning; and 3) improve the use of technology in order to improve the academic achievement and digital literacy of all students.

Where possible, the Connecticut State Department of Education (CSDE) encourages local education agencies (LEAs) to coordinate Student Support and Academic Enrichment (SSAE) programs and activities with those authorized under other sections of the law. Priority must be given to: 1) those schools with students having the greatest needs, as determined by the LEA; 2) have the highest number of students from low-income families who are counted for the purpose of Title I, Part A funding; 3) are identified for support under Title I, Part A of the *ESSA*; and 4) are implementing support and improvement plans under Title I, Part A of the *ESSA*, or are identified as persistently dangerous schools under *ESSA* 4106(e)(2)(A).

### **ELIGIBLE APPLICANTS**

LEAs or consortiums of LEAs that receive Title I, Part A funds are eligible to receive and may apply for SSAE program funds.

### **FUNDING**

The CSDE will distribute SSAE grant funds to LEAs by formula, as an entitlement, based on the prior year's Title I, Part A allocations (*ESSA* section 4105(a)(1)). The minimum grant amount to LEAs will be \$10,000. LEAs receiving \$30,000 or more must spend a portion of their allocations in each of the priority areas as described in the Use of Funds section below.

### **FOCUS OF FUNDS**

LEAs or consortiums of LEAs can apply for the funds and must prioritize the distribution of funds to schools that:

- are among those with the greatest needs;
- have the highest number of students from low-income families who are counted for the purpose of Title I, Part A funding; or
- are identified as level 4 or 5 schools needing targeted or comprehensive support.

### **ADMINISTRATIVE AND INDIRECT COSTS**

Only school districts and regional educational service centers (RESCs) that have approved indirect cost rates for fiscal year 2017-18 may apply for indirect costs.

LEAs can reserve up to two (2) percent of its allocation for direct administrative costs associated with implementing the grant.

## **STAKEHOLDER CONSULTATION**

During the design and development of the SSAE grant application, an LEA or consortium of LEAs must engage in consultation with stakeholders in the area served by the LEA or the area served by all districts included in a consortium. Such stakeholders must include, but are not limited to:

- Parents
- Teachers
- Principals
- Students
- School leaders
- Charter school teachers, principals and other school leaders, when applicable
- Specialized instructional support personnel
- Others with relevant and demonstrated expertise
- Community-based organizations
- Indian tribes or tribal organizations

Stakeholders can be engaged in a variety of ways including through surveys, meetings and focus groups. Additional information on stakeholder engagement is available in the U.S. Department of Education [Dear Colleague Letter on Stakeholder Engagement](#), which highlights the importance and value of stakeholder engagement as states and local school districts transition to and, eventually, implement the ESSA, and to provide guidance, resources, and examples of stakeholder engagement for states and districts to consider.

## **NEEDS ASSESSMENT**

ESSA section 4106(d) requires that an LEA receiving an SSAE program allocation of at least \$30,000 must conduct a comprehensive needs assessment prior to receiving its allocation, and must update the needs assessment at least once every three years to examine its need for improvement in the three target areas of the grant. Planning for expenditures and programs should be based on a comprehensive needs assessment of the entire school/district that takes into account information on the academic achievement of children in relation to the challenging state academic standards, particularly the needs of those children who are failing, or are at-risk of failing, and any other factors as determined by the LEA. An assessment conducted by the district during the past three years meets the requirements of this grant application. Stakeholder feedback should be included in any needs assessment. Examples of needs assessments are listed in Appendix I.

LEAs that receive less than \$30,000 are required to conduct a basic needs assessment (see Appendix H). It is important for all LEAs, school leaders, and other stakeholders to consider the needs of the schools that may receive SSAE in the three priority areas. There are many questions to consider including:

- What data are needed to best understand local needs?
- Do our current systems fully capture the needs of our hardest-to-serve students, including those who might experience adversity that might not emerge in a survey or other data collection?
- Are there inequities inherent in the system that is driving some of the local needs?
- How should identified needs be prioritized when several significant needs are identified?

## **PARTNERSHIPS**

LEAs may partner with an institute of higher learning, business, nonprofit organization, community-based organization, or other public or private entity with a demonstrated record of success in implementing allowable activities under the SSAE.

## **REPORTING**

LEAs receiving SSAE funding must complete an annual CSDE report regarding how SSAE program funds are being used.

## **SUPPLEMENT NOT SUPPLANT REQUIREMENT**

In considering how to use SSAE programs funds, LEAs should be mindful that SSAE program funds may be used only to supplement, and not supplant, non-federal funds that would otherwise be available for activities under the SSAE program. This means, in general, that LEAs may not use SSAE program funds for the cost of activities if the cost of those activities would have otherwise been paid with state or local funds in the absence of SSAE program funds.

## **EQUITABLE PARTICIPATION OF PRIVATE SCHOOLS**

LEAs and consortia must consult with officials of private schools located within their service area to identify the needs of eligible private school students and teachers consistent with the requirements in section 8015 of ESSA.

# **II. PROPOSAL OBJECTIVES**

## **USE OF FUNDS**

The SSAE grant is specifically directed toward improving the lowest-performing schools and providing each and every student with:

- a well-rounded education;
- school conditions that ensure learning in safe and healthy school environments; and
- technology that improve academic achievement and digital literacy.

For LEAs or consortia that receive \$30,000 or more:

- at least 20 percent of the funds must be used to support activities pertaining to well-rounded educational opportunities;
- at least 20 percent of the funds must be used to support activities pertaining to safe and healthy students; and
- a portion of the funds must be used to support activities pertaining to the effective use of technology, but not more than 15 percent of funds designated for effective use of technology can be used for purchasing technology infrastructure. At least 85 percent of the technology funds must be used to support professional learning to enable the effective use of educational technology.

LEAs that receive less than \$30,000 are not required to use funds in each priority area.

Once needs have been identified, and evidence is available, LEAs should select relevant evidence-based activities that will have the likelihood of working in the local context.

All LEAs are encouraged to use SSAE funding to support activities related to trauma-informed practices, reducing chronic absenteeism, reducing exclusionary discipline, and improving family engagement that support the goals of *The Connecticut State Board of Education’s Five-year Comprehensive Plan 2016-21*.

The chart below provides examples of allowable program activities.

<b>Overview of Allowable SSAE Program Activities/Uses of Funds</b>		
<b>Well-Rounded Educational Opportunities (ESSA section 4107)</b>	<b>Safe and Healthy Students (ESSA section 4108)</b>	<b>Effective Use of Technology (ESSA section 4109)</b>
<ul style="list-style-type: none"> <li>Improving access to world language instruction, arts and music education</li> <li>Supporting college and career counseling, including providing information on opportunities for financial aid through the Free Application for Student Aid (FAFSA)</li> <li>Providing programming to improve instruction and student engagement in science, technology, engineering and mathematics (STEM), including computer science and increasing access to these subjects for underrepresented groups</li> <li>Promoting access to accelerated learning opportunities, including Advanced Placement (AP) and International Baccalaureate (IB) programs, dual or concurrent enrollment programs and early college high schools</li> <li>Strengthening instruction in American history, civics, economics, geography, government education and environmental education</li> </ul>	<ul style="list-style-type: none"> <li>Promoting community and parent involvement in schools</li> <li>Providing school-based mental health services and counseling</li> <li>Promoting supportive school climates to reduce the use of exclusionary discipline, engaging in restorative practices and promoting supportive school discipline</li> <li>Establishing or improving dropout prevention</li> <li>Supporting diversion and re-entry programs and transition services for justice-involved youth</li> <li>Implementing programs that support a healthy, active lifestyle (nutritional and physical education)</li> <li>Implementing systems and practices to prevent bullying and harassment</li> <li>Developing relationship building skills to help improve safety through the recognition and prevention of coercion, violence or abuse</li> <li>Establishing community partnerships</li> </ul>	<ul style="list-style-type: none"> <li>Supporting high-quality professional development for educators, school leaders and administrators to personalize learning and improve academic achievement</li> <li>Building technological capacity and infrastructure</li> <li>Carrying out innovative blended learning projects</li> <li>Providing students in rural, remote and underserved areas with the resources to benefit from high-quality digital learning opportunities</li> <li>Delivering specialized or rigorous academic courses and curricula using technology, including digital learning technologies and assistive technology</li> </ul>
<p>*Note: This table provides examples of allowable activities and is not an exclusive list. More information can be found in sections 4107-4109 of the ESSA statute. The text of the Non-Regulatory Guidance for the Student Support and Enrichment Grants can be found at: <a href="http://www2.ed.gov/policy.pdf">www2.ed.gov/policy.pdf</a>.</p>		

### **III. APPLICANT INFORMATION**

#### **AFFIRMATIVE ACTION**

All fiscal agents must complete the affirmative action packet, or attest that one is on file, to be considered for a contract award.

#### **OBLIGATIONS OF GRANTEES**

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

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

#### **UTILIZATION OF MINORITY BUSINESS ENTERPRISE**

All grantees shall make “good faith efforts” to employ minority business enterprises as subcontractors and suppliers of materials on all projects subject to contract requirements.

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

#### **FREEDOM OF INFORMATION ACT (FOIA)**

All of the information contained in a proposal submitted in response to this Application for Funding is subject to the provisions of the FOIA, Sections 1-200 et seq. 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.

#### **MANAGEMENT CONTROL OF THE PROGRAM AND GRANT CONSULTATION ROLE OF CONNECTICUT STATE DEPARTMENT OF EDUCATION PERSONNEL**

The grantee has overall management control of the grant. While CSDE staff may be consulted for their expertise, they will not be directly responsible for the selection of subgrantees or vendors, nor will they be directly involved in the expenditure and payment of funds obligated by the grantee or subgrantee.



## IV. APPLICATION DIRECTIONS

1. The following grant application sections must be submitted:
  - i. Appendix A – Grant Application
  - ii. Appendix B – Form ED114
  - iii. Appendix C – Budget and Budget Justifications
  - iv. Appendix D – Budget Code Object Form Definitions
  - v. Appendix E – Statement of Assurances\*
  - vi. Appendix F – Certification that an Affirmative Action Plan is on File\*
  - vii. Appendix G – Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions\*
  - viii. Appendix H – Basic Needs Assessment (a separate, comprehensive needs assessment must be completed by districts receiving \$30,000 or more)
  - ix. Appendix I – Examples of Needs Assessments
  
2. To be considered for funding, all applications submitted must adhere to the following requirements:
  - The selection of specific services by the grantee must be the result of an open and competitive process.
  - Applications must follow the format described in this document.
  - Applications must be typewritten, double-spaced on one side of standard (8-1/2 x 11), unruled white paper.
  - **One** (1) set of documents, bearing the signatures of the legally authorized agent for the applicant, and other signatures requested, must be e-mailed to Scott Newgass at the address below.
  
3. All applications must be submitted by e-mail to Scott Newgass at [scott.newgass@ct.gov](mailto:scott.newgass@ct.gov) no later than 4 p.m. on November 22, 2017. No additions or changes to any application will be allowed after the application due date, unless such modification is specifically requested by the CSDE. For questions or for additional information, contact Scott Newgass at the e-mail address list above or at 860-807-2044.

\*signature required

**APPENDIX A**

CONNECTICUT STATE DEPARTMENT OF EDUCATION

**Student Support and Academic Enrichment Grant (SSAE)  
Grant Application for 2017-18**

**INSTRUCTIONS**

E-mail one copy of the grant application to Scott Newgass at [scott.newgass@ct.gov](mailto:scott.newgass@ct.gov) by November 22, 2017.

**PART I. DISTRICT/LEA INFORMATION**

**Name of School District/LEA:** \_\_\_\_\_ **Town/District Code:** \_\_\_\_\_

**Contact Person's Name and Title:** \_\_\_\_\_

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

**Phone:** \_\_\_\_\_ **Fax:** \_\_\_\_\_ **E-mail:** \_\_\_\_\_

**Date of Local Board Acceptance:** \_\_\_\_\_

**I hereby certify that the information contained in this application is true and accurate to the best of my knowledge and belief.**

\_\_\_\_\_  
**Signature of Superintendent of Schools**

\_\_\_\_\_  
**Date**

Is your LEA participating in a consortium? Yes \_\_\_\_\_ No \_\_\_\_\_

If your LEA is part of a consortium, the lead LEA should complete Part I above. Other LEAs that are members of the consortium should complete Part IA on the next page.

**PART IA. CONSORTIUM PARTICIPANT INFORMATION**  
(Consortia Participants that are not the Lead LEA)

Name of School District/LEA: \_\_\_\_\_ Town/District Code: \_\_\_\_\_

Contact Person's Name and Title: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

Date of Local Board Acceptance: \_\_\_\_\_

I hereby certify that the information contained in this application is true and accurate to the best of my knowledge and belief.

\_\_\_\_\_  
Signature of Superintendent of Schools

\_\_\_\_\_  
Date

**Student Support and Academic Enrichment Grant (SSAE)  
Grant Application for 2017-18**

**PART II. PROJECT DESCRIPTION**

Use as much space as necessary to fully answer the following questions.

If your district will be receiving less than \$30,000, please skip to Question #2.

1. Have you performed a districtwide comprehensive needs assessment within the last three years? \_\_\_\_\_ YES    \_\_\_\_\_ NO    \_\_\_\_\_ Currently being administered
  - a. If yes, please attach your district's most recent needs assessment and any resource mapping results that your district might have collected.
  - b. If no needs assessment has been performed or is currently being administered, what are the anticipated beginning and ending dates of your planned needs assessment? \_\_\_\_\_
2. Identify the mechanism for developing your stakeholder group and how they contributed to the process of identifying needs and intended supports. Attach a list of the stakeholder group membership and their representations as an appendix.

3. Identify the schools selected for targeted intervention. Please provide the means used to select these schools related to the funding criteria on page 1 and provide local data used to support the selection of these schools.

4. Describe any proposed use of funds for direct administrative costs of implementing SSAE activities consistent with the LEA's authority to reserve up to 2 percent of its allocation for such costs.

5. For each proposed SSAE activity, please describe the objectives, activities, intended outcomes, and the method that will be used to evaluate the effectiveness of the activity. For LEAs receiving \$30,000 or more, describe how funds will be used for activities in the following three priority areas (refer to the “Use of Funds” guidelines on pages 3 and 4).

Well-Rounded Education:

Activity	Objective	Outcomes	Evaluation

Safe and Healthy Students:

Activity	Objective	Outcomes	Evaluation

Effective Use of Technology:

Activity	Objective	Outcomes	Evaluation

**APPENDIX B**

ED114 Fiscal Year 2017-2018

BUDGET FORM

GRANTEE NAME:		TOWN CODE:		
GRANT TITLE: Student Support and Academic Enrichment				
PROJECT TITLE:				
CORE-CT CLASSIFICATION: FUND: 12060 SPID: 22854 PROGRAM: 82079				
BUDGET REFERENCE: 2018 CHARTFIELD1: 170002 CHARTFIELD2:				
GRANT PERIOD: 7/1/2017 - 6/30/2018 AUTHORIZED AMOUNT: \$				
CODES	DESCRIPTIONS	PUBLIC	NON-PUBLIC	TOTAL
111A	NON-INSTRUCTIONAL SALARIES			
111B	INSTRUCTIONAL SALARIES			
200	PERSONAL SERVICES-EMPLOYEE BENEFITS			
320	PROFESSIONAL EDUCATIONAL SERVICES			
321	TUTORS			
322	IN SERVICE			
323	PUPIL SERVICES			
324	FIELD TRIPS			
325	PARENT ACTIVITIES			
510	STUDENT TRANSPORTATION SERVICES			
560	TUITION			
640	BOOKS AND PERIODICALS			
650	SUPPLIES—TECHNOLOGY RELATED			
	<b>TOTAL</b>			

\_\_\_\_\_ ORIGINAL REQUEST DATE

STATE DEPARTMENT OF EDUCATION  
PROGRAM MANAGER AUTHORIZATION

DATE OF  
APPROVAL

\_\_\_\_\_ REVISED REQUEST DATE

**APPENDIX C**

**Budget and Budget Justifications**

CODES	DESCRIPTIONS	BUDGET	NARRATIVE/JUSTIFICATION
111A	NON- INSTRUCTIONAL SALARIES		
111B	INSTRUCTIONAL SALARIES		
200	PERSONAL SERVICES- EMPLOYEE BENEFITS		
320	PROFESSIONAL EDUCATIONAL SERVICES		
321	TUTORS		
322	IN SERVICE		
323	PUPIL SERVICES		
324	FIELD TRIPS		
325	PARENT ACTIVITIES		
510	STUDENT TRANSPORTATION SERVICES		
560	TUITION		
640	BOOKS AND PERIODICALS		
650	SUPPLIES- TECHNOLOGY RELATED		
	<b>TOTAL BUDGET</b>		

## APPENDIX D

### Budget Form Object Code Definitions

- 111A **Non-Instructional:** Amounts paid to administrative employees of the grantee not involved in providing direct services to pupils/clients. Include all gross salary payments for these individuals while they are on the grantee payroll, including overtime salaries or salaries paid to employees of a temporary nature.
- 111B **Instructional:** Salaries for employees providing direct instruction/counseling to pupils/clients. This category is used for both counselors and teachers. Include all salaries for these individuals while they are on the grantee payroll including overtime salaries or salaries of temporary employees. Also reported here are substitute teachers or teachers hired on a temporary basis to perform work in positions of either a temporary or permanent nature. Tutors or individuals whose services are acquired through a contract are not included in the category. A general rule of thumb is that a person for whom the grantee is paying employee benefits and who is on the grantee payroll is included; a person who is paid a fee with no grantee obligation for benefits is not.
- 200 **Personal Services-Employee Benefits:** Amounts paid by the grantee on behalf of the employees whose salaries are reported in objects 111A and 111B. These amounts are not included in the gross salary, but are in addition to that amount. Such payments are fringe benefit payments and, while not paid directly to employees, nevertheless are part of the cost of personal services. Included are the employer's cost of group insurance, social security contribution, retirement contribution, tuition reimbursement, unemployment compensation and workmen's compensation insurance.
- 320 **Professional Educational Services:** Services supporting the instructional programs and its administration. Included are curriculum improvement services, assessment, counseling and guidance services, library and media support, and contracted instructional services.
- 321 **Tutors (Instructional Non-Payroll Services):** Payments for services performed by persons qualified to assist students. Include the services of teachers and teachers' aides who are not on the payroll of the grantee.
- 322 **In-service (Instructional Program Improvement Services):** Payments for services performed by persons qualified to assist teachers and supervisors to enhance the quality of the teaching process. This category includes curriculum consultants, in-service training specialists, etc., who are not on the grantee payroll.
- 323 **Pupil Services (Non-Payroll Services):** Expense for certified or licensed individuals who are not on the grantee payroll and who assist in solving pupils' mental and physical problems. This category includes medical doctors, therapists, audiologists, neurologist, psychologists, psychiatrists, contracted guidance counselors, etc.
- 324 **Field Trips:** Costs incurred for conducting educational activities off site. Include 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 **Student Transportation Services:** 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.
- 560 **Tuition:** Expenditures to reimburse other educational agencies for instructional services to pupils.
- 640 **Books and Periodicals:** Expenditures for books, textbooks and periodicals prescribed and available for general use, including reference books. This category includes the cost of workbooks, textbook binding or repairs and textbooks that are purchased to be resold or rented. Also recorded here are the costs of binding or other repairs to school library books.
- 650 **Supplies: Technology Related:** Technology-related supplies include supplies that are typically used in conjunction with technology-related hardware or software. Some examples are CDs, flash or jump drives, parallel cables and monitor stands. Software costs below the capitalization threshold should be reported here.

**APPENDIX E**

CONNECTICUT STATE DEPARTMENT OF EDUCATION

STATEMENT OF ASSURANCES

Title IV, Part A: Student Support and Academic Enrichment (SSAE) Grant

**PROJECT TITLE:**

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**THE APPLICANT:**

**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 applicant will prioritize the distribution of SSAE grant funds to schools based on one or more of the following criteria:
  - are among those with the greatest needs;
  - have the highest number of students from low-income families who are counted for the purpose of Title I, Part A funding;
  - are identified as level 4 or 5 schools needing targeted or comprehensive support; or
  - are identified as a persistently dangerous public elementary school or secondary school. (ESSA section 4106(e)(2)(A).
- E. For an LEA or consortium that receives \$30,000 or more:
  - not less than 20 percent of the funds must be used to support activities pertaining to well-rounded educational opportunities;
  - not less than 20 percent of the funds must be used to support activities pertaining to safe and healthy students; and
  - a portion of the funds must be used to support activities pertaining to the effective use of technology, but not more than 15 percent of funds designated for effective use of technology can be used for purchasing technology infrastructure. (ESSA section 4109(b)).

- F.** Any local educational agency receiving an allocation under section 4105(a)(1) in an amount less than \$30,000 shall be required to provide only one of the assurances described in subparagraphs (C), (D), and (E) of subsection (e)(2). Under this subpart the district agrees to support one or more of the activities authorized: (C) use not less than 20 percent of funds received under this subpart to support one or more of the activities authorized under section 4107; “(D) use not less than 20 percent of funds received under this subpart to support one or more activities authorized under section 4108; “(E) use a portion of funds received under this subpart to support one or more activities authorized under section 4109(a), including an assurance that the local educational agency, or consortium of local educational agencies, will comply with section 4109(b).
- G.** The applicant complies with regulations regarding the equitable participation of private school children and teachers.
- H.** 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.
- I.** Grant funds shall not be used to supplant funds normally budgeted by the agency.
- J.** Fiscal control and accounting procedures will be used to ensure proper disbursement of all funds awarded.
- K.** The applicant will complete and submit an annual report to the Connecticut State Department of Education regarding how funds for the SSAE program are being used.
- L.** 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.
- M.** 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.
- N.** 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.
- O.** 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.
- P. REQUIRED LANGUAGE (NON-DISCRIMINATION)**
  - (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.

- Q.** The grant award is subject to approval of the Connecticut State Department of Education and availability of state or federal funds.
  
- R.** 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: \_\_\_\_\_

**APPENDIX F**

**AFFIRMATIVE ACTION CERTIFICATE**

**CERTIFICATION THAT CURRENT AFFIRMATIVE ACTION PACKET 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: \_\_\_\_\_



## APPENDIX G

### **Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

#### **Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted, if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary takeover~ transaction,” “principal,” “proposal” and “voluntarily excluded” as used in this clause, have the meanings set out in the Definitions and Coverage sections of roles implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion Lower Tier Covered Transactions,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the non-procurement list.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by *this* clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction in addition to other remedies available to the federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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#### **Certification**

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

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**Name of Applicant**

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

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**Printed Name and Title of Authorized Representative**

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**Signature**

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**Date**

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

**APPENDIX H**

**BASIC NEEDS ASSESSMENT**

(for LEAs or consortia of LEAs receiving less than \$30,000)

For each of the priority areas below please answer the following questions:

- What is the greatest need at the identified school/schools related to the priority area?
- How did you identify this need? What data was used?
- How are you currently addressing this need?
- Based on the information above, which priority areas(s) will you fund? How did you reach this decision?

Well-Rounded Education:

Safe and Healthy Students:

Effective Use of Technology:

Based on the information above, which priority area(s) will you fund? How did you reach that decision?

## APPENDIX I

### EXAMPLES OF NEEDS ASSESSMENTS

1. *PBIS Tiered Fidelity Inventory (for PBIS schools, only)*  
The TFI (PDF) is based on earlier PBIS fidelity surveys. First-year implementers may conduct the TFI as an initial assessment – moving to administering the survey every third or fourth meeting. Schools reaching 70 percent fidelity three consecutive times may choose to take the TFI as an annual assessment.
2. *PBIS Self-Assessment Survey (SAS)*  
The SAS (RTF) is an annual assessment used by schools to identify the staff perception of the implementation status and improvement priority for schoolwide, classroom, non-classroom and individual student systems. Results of the SAS are effective in identifying the staff priorities for action planning.
3. *School Health Assessment and Performance Evaluation System (SHAPE)*  
The SHAPE System serves as the portal by which comprehensive school mental health systems can access the census and performance measures, as well as obtain customized school and district level progress reports and useful resources to improve system quality and sustainability.
4. *Future Ready Schools (FRS)*  
Future Ready District Assessment is an effective tool that gauges your district's readiness to begin implementing digital learning. It includes a series of questions designed to help you frame a vision for digital learning, recognize the elements of the Future Ready Framework, specify how technology can help align these efforts to achieve higher college- and career-ready standards, and understand the type of digital leadership required to stage your district for success.
5. *School Health Index (SHI)*  
The SHI has two activities that are to be completed by teams from your school: a self-assessment process and a planning for improvement process. The self-assessment process involves members of your school community coming together to discuss what your school is already doing to promote good health and to identify your strengths and weaknesses. The planning for improvement process enables you to identify recommended actions your school can take to improve its performance in areas that received low scores and guides you through a simple process for prioritizing the various recommendations. This step will help you decide on a handful of actions to implement this year. Finally, you will complete a School Health Improvement Plan to list the steps you will take to implement your actions.