

CONNECTICUT STATE DEPARTMENT OF EDUCATION  
DIVISION OF GRANTS MANAGEMENT

**Request for Proposals**

**School Repair and Renovation Grants  
2001-2003**

**Purpose:** School repair and renovation grants shall be limited to one or more of the following: (1) Emergency repairs or renovations to public school facilities only to ensure the health and safety of students and staff, (2) school facilities modifications necessary to render public school facilities accessible in order to comply with the Americans with Disabilities Act of 1990, (3) school facilities modifications necessary to render public school facilities accessible in order to comply with Section 504 of the Rehabilitation Act of 1973, (4) asbestos abatement or removal from public school facilities, or (5) renovation, repair and acquisition needs related to the building infrastructure of a charter school.

**Under Public Law:** 106-554, Sec. 321(b)(2)

**Application Due Date:** January 15, 2002

**Published:** November 1, 2001

Connecticut State Department of Education

Theodore S. Sergi  
Commissioner of Education

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

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## **SCHOOL REPAIR AND RENOVATION GRANTS 2001-2003 REQUEST FOR PROPOSALS**

### **Overview and Description of Grants**

The Connecticut State Department of Education has received a federal grant which includes an amount of \$7,287,608 to support school repair and renovation projects. These funds must be awarded to local educational agencies (LEAs) on a competitive basis and may be used only for one or more of the following purposes:

- (1) Emergency repairs or renovations to public school facilities only to ensure the health and safety of students and staff. These may include, but are not necessarily limited to:
  - repairing, replacing or installing roofs, electrical wiring, plumbing systems or sewage systems;
  - repairing, replacing or installing heating, ventilation, or air conditioning systems (including insulation); and
  - bringing public schools into compliance with fire and safety codes.
- (2) School facilities modifications necessary to render public school facilities accessible in order to comply with the Americans with Disabilities Act of 1990;
- (3) School facilities modifications necessary to render public school facilities accessible in order to comply with Section 504 of the Rehabilitation Act of 1973;
- (4) Asbestos abatement or removal from public school facilities; or
- (5) Renovation, repair, and acquisition needs related to the building infrastructure of a charter school.

As required by the federal legislation providing the funding for this grant, the Connecticut State Department of Education must use the following criteria in awarding competitive grants to LEAs:

- (1) The percentage of poor students 5 to 17 years of age enrolled in the LEA;
- (2) The need of an LEA for school repairs and renovation, as demonstrated by the condition of its public school facilities;
- (3) The fiscal capacity of an LEA to meet repair and renovation needs of its public school facilities without assistance from this grant; and

- (4) The likelihood that the LEA will maintain, in good condition, any facility repaired or renovated with the assistance of this grant.

In addition, \$4,040,811 must be reserved specifically for grants to high poverty LEAs and \$51,931 specifically for grants to rural LEAs. These reserved amounts are based on the percentage of those LEAs' aggregate allocations in fiscal year 2000 from the Title 1 Part A program.

High poverty LEAs are defined as those in which either 30 percent or more of the students enrolled, or at least 10,000 of such students, are children who are 5 to 17 years of age and who are from families with incomes below the poverty line (as defined by the U.S. Office of Management and Budget) applicable to a family of the size involved for the most recent fiscal year for which data satisfactory to the Secretary of Education are available.

Rural LEAs are defined as those in which the total number of students in average daily attendance is less than 600, and all schools served by the LEA are designated with a School Locale code of 7 or 8 under the U.S. Department of Education's National Center for Education Statistics (NCES) locator system.

Lists of the Connecticut LEAs included in these two categories are provided in Attachment A.

### **Restrictions on the Use of Grant Funds**

No funds received through this grant may be used for:

- (1) Payment of maintenance costs in connection with any projects constructed in whole or part with federal funds provided through this grant:
- (2) The construction of new facilities, except for facilities for an impacted LEA (as defined in Public Law 106-554, Section 321(a)(3)); or
- (3) Stadiums or other facilities primarily used for athletic contests or exhibitions or other events for which admission is charged to the general public.

### **Grant Period and Due Date**

Grant Period: March 1, 2002 through September 30, 2003.

Grantees must obligate all funds by September 30, 2003, and liquidate such obligations within 90 days after the end of the funding period.

Grant Contact: Martin Hollis  
Telephone: (860) 713-6454  
Fax: (860) 713-7013  
E-mail: [martin.hollis@po.state.ct.us](mailto:martin.hollis@po.state.ct.us)

Mailing Address: Connecticut State Department of Education  
165 Capitol Avenue, Room 325  
P.O. Box 2219  
Hartford, CT 06145-2219

Due Date: All applications to be considered for funding **must be received by 5:00 pm, Tuesday, January 15, 2002.**

Facsimile (faxed) copies of proposals will not be accepted. Only proposals with the original signatures will be accepted as timely filed.

It is anticipated that completed applications received by January 15, 2002 will be reviewed in time for grant awards to be announced by March 1, 2002.

### **Eligible Applicants**

Local or regional school districts, regional educational service centers (RESCs), vocational-technical schools and charter schools are eligible to apply for and receive grants. Private schools may not apply directly for the grants; however, a private non-profit elementary or secondary school with a population of students in poverty that is at least 40 percent, and that is located within the boundaries of an LEA that has received a grant under this program, may participate. School repairs and renovations in private schools supported by this grant are restricted to modifications necessary to meet the standards applicable to public schools under the Americans with Disabilities Act of 1990 and Section 504 of the Rehabilitation Act of 1973, and to asbestos abatement or removal from school facilities.

### **Participation of Private Schools**

The LEA is obligated to:

- Consult in a timely and meaningful way with private school officials on the needs of their students, how the program can help to meet those needs, development of a plan, and implementation of the program in the private school within the budget amount generated;
- Determine if the school has a child poverty rate of 40 percent or greater; and
- Provide or contract for the provision of school repair and renovation services for the private school as outlined in the plan.

Participating private schools should cooperate with the LEA in developing and implementing a repair and renovation program, and provide the appropriate assistance to the LEA to determine if the school has a child poverty rate of 40 percent or greater.

It is realized that poverty data referenced in the program legislation may not always be available for private schools. LEAs, in consultation with private schools, must obtain the best available poverty data on private school children. Because private school officials may have access to some sources of poverty information not easily accessible to public school officials, public and private school officials need to cooperate in this effort.

LEAs allocate funds for private school repair and renovation on the basis of the proportion of students in private schools that have a student population of greater than or equal to 40 percent poverty compared with the number of students in the public schools that are assisted under this program. If there is not enough need at the eligible private schools for the maximum amount that could be allocated for private school repairs and renovations, the LEA may use the remainder to address additional repair and renovation needs in its public school facilities. Once the proper allocation for private school renovation and repair is determined, the LEA provides or contracts for the provision of these services. No funds are paid to the private school.

### **Review of Proposals and Grant Awards**

In addition to the four review criteria required by the federal legislation, consideration will also be given to projects designed to improve air quality and to the eligibility of other projects for state school construction grants. The scoring, based on a maximum of 100 points, will be determined as follows:

- The percentage of poor students 5 to 17 years of age enrolled in the LEA. (maximum of 20 points) \*
- The need of an LEA for school repairs and renovation, as demonstrated by the condition of its public school facilities. (maximum of 20 points) \*\*
- The fiscal capacity of an LEA to meet repair and renovation needs of its public school facilities without assistance from this grant. (maximum of 20 points) \*
- The likelihood that the LEA will maintain, in good condition, any facility repaired or renovated with the assistance of this grant. (maximum of 20 points)

\* Scores for these two criteria are predetermined based on data already available to SDE, and are provided in Attachment B.

\*\* Points awarded based on need for school repairs and renovation will be determined using data submitted for "The Condition of Connecticut's Public School Facilities" on form ED050.

- Additional considerations:
  - Projects to improve air quality. (20 points)
  - Other projects, not eligible for state school construction grant. (15 points)
  - Other projects, eligible for state school construction grant. (10 points)

Following the evaluation, all acceptable proposals will be ranked in a single list according to their scores. Grants will first be awarded to high poverty LEAs, beginning with the highest ranked among them, until the funds reserved for such LEAs are exhausted. Grants will next be awarded to rural LEAs, beginning with the highest ranked among them, until the funds so reserved are exhausted.

Remaining funds will then be awarded in rank order to LEAs (including any remaining high poverty and rural LEAs) that received no funds from the first two distributions until such remaining funds are exhausted. Grants awarded in this third distribution will range between \$10,000 and \$250,000 per project and in aggregate will not exceed \$500,000 per LEA.

### **Management Control of the Program and Other Obligations of Grantees**

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

The LEA shall ensure that, if it carries out repair or renovation through a contract, any such contract process ensures the maximum number of qualified bidders, including small, minority, and women-owned businesses, through full and open competition.

The LEA (1) shall provide parents, educators, and all other interested members of the community the opportunity to consult on the use of funds received under this grant; (2) shall provide the public with adequate and efficient notice of the opportunity described in item (1) in a widely read and distributed medium; and (3) shall provide the opportunity described in item (1) in accordance with any applicable state and local law specifying how the comments may be received and how the comments may be reviewed by any member of the public.

The LEA shall submit a report to the State Department of Education, at such time and in such manner as the Commissioner may require, describing the use of grant funds.

The facility affected by the project will be maintained in good condition.



## **Supplement versus Supplant**

Except for modifications necessary to provide accessibility under the Americans with Disabilities Act of 1990 or under Section 504 of the Rehabilitation Act of 1973, an LEA shall use the grant funds only to supplement the amount of funds that would, in the absence of this grant, be made available from non-federal sources for school repair and renovation.

## **Freedom of Information Act**

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

## Attachment A

Federal legislation governing the school repair and renovation grants dictates that certain amounts be set-aside for grant awards to High Poverty and Rural LEAs. High poverty LEAs are defined as those in which either 30 percent or more of the students enrolled, or at least 10,000 of such students, are children who are 5 to 17 years of age and who are from families with incomes below the poverty line (as defined by the U.S. Office of Management and Budget) applicable to a family of the size involved for the most recent fiscal year for which data satisfactory to the Secretary of Education are available. Rural LEAs are defined as those in which the total number of students in average daily attendance is less than 600 and all schools served by the LEA are designated with a School Locale code of 7 or 8 under the U.S. Department of Education's National Center for Education Statistics (NCES) locator system. The amounts set-aside and LEAs that qualify to participate in the competitive process for these awards are as follows:

### High Poverty LEAs

**Amount set-aside: \$ 4,040,811**

Bridgeport  
Hartford  
New Britain  
New Haven  
Jumoke Academy  
Common Ground High School  
Bridge Academy  
Charter Oak Preparatory Academy  
Amistad Academy

### Rural LEAs

**Amount set-aside: \$ 51,931**

Andover  
Ashford  
Bethany  
Bozrah  
Canaan  
Canterbury  
Chaplin  
Chester  
Colebrook  
Cornwall  
Eastford  
Franklin  
Hampton  
Hartland  
Norfolk  
Preston  
Salem  
Scotland  
Sprague  
Sterling  
Union  
Voluntown  
District No. 1  
District No. 11  
EASTCONN  
Explorations

## Attachment B

### Listing by LEA of Points Awarded for Poverty and Fiscal Capacity

District Code	District Name	Poverty Score (20 Points)	Fiscal Capacity Score (20 Points)
1	Andover	0.7	13.1
2	Ansonia	5.5	18.5
3	Ashford	2.8	15.8
4	Avon	0.1	2.0
5	Barkhamsted	0.8	9.2
7	Berlin	1.5	6.5
8	Bethany	4.5	6.1
9	Bethel	1.1	7.9
11	Bloomfield	1.3	6.9
12	Bolton	1.4	10.4
13	Bozrah	3.1	12.6
14	Branford	1.5	5.7
15	Bridgeport	12.5	19.6
17	Bristol	2.4	16.0
18	Brookfield	1.1	3.8
19	Brooklyn	4.2	17.7
21	Canaan	0.9	6.3
22	Canterbury	1.8	17.9
23	Canton	2.4	6.7
24	Chaplin	2.0	16.2
25	Cheshire	0.0	6.4
26	Chester	1.4	6.8
27	Clinton	1.9	10.6
28	Colchester	2.3	14.9
29	Colebrook	0.6	7.5
30	Columbia	0.8	9.6
31	Cornwall	4.2	1.1
32	Coventry	1.0	15.2
33	Cromwell	2.3	11.5
34	Danbury	3.5	9.8
35	Darien	0.7	0.1
36	Deep River	2.1	9.3
37	Derby	4.8	17.0
39	Eastford	1.5	12.9
40	East Granby	0.8	4.9
41	East Haddam	3.0	9.9

Listing by LEA of Points Awarded for Poverty and Fiscal Capacity

District Code	District Name	Poverty Score (20 Points)	Fiscal Capacity Score (20 Points)
42	East Hampton	0.5	13.0
43	East Hartford	3.2	16.4
44	East Haven	1.7	17.5
45	East Lyme	2.4	9.0
46	Easton	0.4	1.0
47	East Windsor	2.2	12.4
48	Ellington	1.8	13.3
49	Enfield	1.4	15.7
50	Essex	2.6	3.2
51	Fairfield	0.9	2.5
52	Farmington	0.9	2.7
53	Franklin	1.0	8.9
54	Glastonbury	1.4	4.4
56	Granby	0.1	7.6
57	Greenwich	0.9	0.0
58	Griswold	5.3	18.9
59	Groton	2.5	14.5
60	Guilford	1.7	4.2
62	Hamden	1.6	14.6
63	Hampton	1.2	15.4
64	Hartford	20.0	20.0
65	Hartland	0.7	11.2
67	Hebron	2.1	11.7
68	Kent	3.5	4.5
69	Killingly	2.6	18.8
71	Lebanon	2.2	13.7
72	Ledyard	0.2	13.6
73	Lisbon	1.1	17.1
74	Litchfield	1.1	7.1
76	Madison	0.5	2.9
77	Manchester	2.2	15.0
78	Mansfield	2.7	19.4
79	Marlborough	0.4	10.2
80	Meriden	6.1	18.7
83	Middletown	4.0	14.8
84	Milford	2.1	8.5
85	Monroe	0.9	6.0
86	Montville	3.2	15.1

Listing by LEA of Points Awarded for Poverty and Fiscal Capacity

District Code	District Name	Poverty Score (20 Points)	Fiscal Capacity Score (20 Points)
88	Naugatuck	3.0	17.3
89	New Britain	12.5	19.8
90	New Canaan	0.9	0.2
91	New Fairfield	0.1	5.1
92	New Hartford	1.2	10.5
93	New Haven	16.4	19.9
94	Newington	0.5	11.0
95	New London	10.0	19.3
96	New Milford	0.5	8.0
97	Newtown	0.9	5.0
98	Norfolk	3.1	5.6
99	North Branford	1.3	12.3
100	North Canaan	2.5	14.4
101	North Haven	1.7	4.6
102	North Stonington	3.0	11.1
103	Norwalk	3.4	4.8
104	Norwich	9.1	18.3
106	Old Saybrook	2.3	3.0
107	Orange	1.1	3.3
108	Oxford	0.5	9.5
109	Plainfield	4.2	19.0
110	Plainville	1.9	14.2
111	Plymouth	2.0	16.9
112	Pomfret	2.5	12.0
113	Portland	1.8	11.9
114	Preston	2.7	15.6
116	Putnam	6.1	18.0
117	Redding	0.9	0.7
118	Ridgefield	0.3	0.8
119	Rocky Hill	2.3	8.6
121	Salem	1.1	12.1
122	Salisbury	3.5	1.4
123	Scotland	1.7	16.1
124	Seymour	2.4	14.0
125	Sharon	2.7	2.4
126	Shelton	1.5	7.0
127	Sherman	1.1	1.8
128	Simsbury	0.3	3.9

Listing by LEA of Points Awarded for Poverty and Fiscal Capacity

District Code	District Name	Poverty Score (20 Points)	Fiscal Capacity Score (20 Points)
129	Somers	0.2	13.5
131	Southington	1.3	10.8
132	South Windsor	0.4	7.7
133	Sprague	4.0	17.6
134	Stafford	2.7	17.4
135	Stamford	4.3	3.1
136	Sterling	2.6	18.1
137	Stonington	2.1	5.5
138	Stratford	1.6	11.3
139	Suffield	0.8	7.3
140	Thomaston	2.2	14.3
141	Thompson	4.2	18.2
142	Tolland	1.6	11.4
143	Torrington	2.9	16.5
144	Trumbull	0.9	4.3
145	Union	0.5	12.7
146	Vernon	2.9	16.3
147	Voluntown	2.7	16.8
148	Wallingford	1.2	10.1
151	Waterbury	10.0	19.2
152	Waterford	2.4	1.2
153	Watertown	2.3	13.2
154	Westbrook	1.5	3.7
155	West Hartford	1.6	5.8
156	West Haven	3.3	18.6
157	Weston	0.6	0.5
158	Westport	1.7	0.4
159	Wethersfield	1.3	8.3
160	Willington	1.8	15.5
161	Wilton	1.3	0.6
162	Winchester	3.0	16.7
163	Windham	10.5	19.5
164	Windsor	0.6	9.4
165	Windsor Locks	1.5	8.8
166	Wolcott	0.9	13.8
167	Woodbridge	0.4	1.7
169	Woodstock	1.7	11.8
201	District No. 1	1.8	5.4

Listing by LEA of Points Awarded for Poverty and Fiscal Capacity

District Code	District Name	Poverty Score (20 Points)	Fiscal Capacity Score (20 Points)
204	District No. 4	0.9	6.1
205	District No. 5	0.6	3.3
206	District No. 6	2.7	4.3
207	District No. 7	3.1	9.0
208	District No. 8	1.5	11.4
209	District No. 9	0.9	0.8
210	District No. 10	0.8	8.5
211	District No. 11	1.6	16.0
212	District No. 12	2.0	1.9
213	District No. 13	1.5	10.4
214	District No. 14	2.9	6.0
215	District No. 15	1.1	3.9
216	District No. 16	0.9	13.1
217	District No. 17	0.8	6.7
218	District No. 18	0.3	2.0
219	District No. 19	1.6	18.1
241	CREC	5.7	12.7
242	Education Connection	1.9	8.7
243	CES	4.6	6.9
244	ACES	5.7	14.5
245	LEARN	3.2	10.6
253	EASTCONN	3.4	16.4
261	Jumoke Academy	20.0	20.0
263	Odyssey Comm. School	2.2	15.0
264	Integrated Day Charter	9.1	18.3
265	ISSAC	10.0	19.3
268	Common Ground High	16.4	19.9
269	Bridge Academy	12.5	19.6
270	Side By Side Comm.	3.4	4.8
272	Explorations	3.0	16.7
273	Brooklawn Academy	0.9	2.5
274	Charter Oak Prep. Acad.	12.5	19.8
277	Highville Charter	1.6	14.6
278	Trailblazers Academy	4.3	3.1
279	Amistad Academy	16.4	19.9
301	V-T Schools	4.8	15.7

## **Attachment C**

### **Application Packet**

#### Contents:

- Application Form and Instructions
- Budget Form
- Budget Instructions and Guidelines
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion (This form must be included with grant applications for federal grants in excess of \$50,000)
- Certification that a Current Affirmative Action Packet is on File
- Affirmative Action Packet
- Affirmative Action Policy Statement
- Statement of Assurances
- Connecticut Commission on Human Rights and Opportunities Contract Compliance Regulations
- Notification to Bidders
- Annie E. Casey Foundation





**Instructions for Completing  
Application for  
School Repair and Renovation Grant**

**General:**

An LEA applying for a grant under this program is responsible, in addition to the obligations set forth in the request for proposals (RFP), for providing a copy of the application packet including these instructions to any private non-profit elementary or secondary schools located within its boundaries.

A separate application form must be submitted for each project. A project is defined as a single activity at one school. If more than one Type of Project is being conducted at the same school, each category is to be considered a separate project. If the same work is being done at more than one school, a separate application must be submitted for each school.

**Type of Project:**

Any project to improve air quality should be included under the category of Emergency Health and Safety. If you have any other questions about classifying your project, see the Grant Period and Due Date section of the RFP for the name of the grant contact person and means of contact.

**Project Description:**

Keeping in mind that this is a competitive grant, the project description should be detailed enough to clearly indicate the nature of the work to be done and enable an objective evaluation. Technical details should be avoided. Additional sheets may be attached as required.

**Anticipated start and completion dates:**

All funds must be obligated by September 30, 2003, and liquidated within 90 days after that date. The anticipated completion date for the project should therefore not go beyond September 30, 2003.

**Expenditures from local funds for routine maintenance:**

Provide here the expenditures for the LEA as a whole, not just for the school at which the project is to take place. Utility costs are not to be included.

GRANTEE NAME:		TOWN CODE:	
GRANT TITLE: RENOVATION, IDEA & TECHNOLOGY GRANT PROJECT TITLE: SCHOOL REPAIR & RENOVATIONS ACCOUNTING CLASSIFICATION:      FUND:                      SPID:                      ACTIVITY:			
GRANT PERIOD: 03/01/2002 - 09/30/2003		AUTHORIZED AMOUNT:\$	
<u>CODES</u>	DESCRIPTIONS	PUBLIC	NONPUBLIC
100	PERSONAL SERVICES - SALARIES		
200	PERSONAL SERVICES - EMPLOYEE BENEFITS		
300	PURCHASED PROF/TECH SERVICES		
450	CONSTRUCTION SERVICES		
500	OTHER PURCHASED SERVICES		
600	SUPPLIES		
730	EQUIPMENT		
840	CONTINGENCY		
	<u>TOTAL</u>		

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

ED114  
BUDGET INSTRUCTIONS AND GUIDELINES

**ITEM**

**REQUIREMENTS**

100

**Personal Services - Salaries**

Do not include any salaries other than direct labor to be performed by employees of the Board of Education with the following limitations:

1. You may not charge any portion of the current salaries of board or town personnel to the grant.
2. If overtime is used for direct labor on one or more projects, the cost of such overtime may be reported here.
3. If new staff are hired to perform the work to be done, the salaries of such new staff may be included here.

200

**Personal Services - Benefits**

The cost of benefits for any new staff included under object 100 may be reported here. Any additional benefit costs incurred as a result of overtime salaries included under object 100 may be reported here. No other employee benefits may be included.

300

**Purchased Professional/Technical Services**

Costs for architectural, engineering or other purchased professional services required for those projects may be included here.

450

**Construction Services**

Costs for general contractors and other purchased labor for constructing, renovating or remodeling work should be included under this object.

500

**Other Purchased Services**

Other purchased services not reportable under objects 300 or 400 may be included here, for example, advertising costs.

600

**Supplies (and Materials)**

Include the cost of any supplies or building materials to be purchased directly by the grantee under this object. (If a general contractor is being used, report the entire contract amount under object 450. Do not try to break out the contractors supplies and materials costs separately in this line).

730

### **Equipment**

Equipment and furnishings under this grant is limited to new equipment needed to be installed or replaced as part of the facility remodeling or improvement. Items such as air conditioners, boilers and other built-in equipment are permitted. Furniture, instructional equipment, or maintenance equipment are not permitted.

840

### **Contingency**

An estimated contingency amount to be expended under other allowable objects during the grant period may be included here. This amount may not exceed 10% of your total grant.

Note exception to the agency budget modification policy. Budgeted contingency amounts may be moved to other approved object categories as needed without prior State Department of Education (SDE) authorization. All other transfers between objects must be in accordance with SDE policy (enclosed.)

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

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

### Instructions for Certification

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

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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.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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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

---

Date

**Certification that a Current Affirmative Action packet is on file**

I, the undersigned authorized official, hereby certify that the current affirmative action packet for \_\_\_\_\_ (LEA Name) is 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 (typed)

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

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

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

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

**The following are appended hereto:**

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

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

Affirmative Action Office  
State Department of Education  
(860) 713-6530



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

## **AFFIRMATIVE ACTION POLICY STATEMENT**

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

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

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

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

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

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

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

## STATEMENT OF ASSURANCES

### Connecticut State Department of Education Standard Statement of Assurances Grant Programs

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

\_\_\_\_\_

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

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

## L. Required Contract Language

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

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

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

- (2) (a) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut. If the contract is for a public works project, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such project. The contractor further agrees to take affirmative action to insure that applicants with job related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved; (b) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the commission; (c) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission, advising the labor union or worker's representative of the contractor's commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (d) the contractor agrees to comply with each provision of this section and Conn. Gen. Stat. Sections 4a-62, 32-9e, 46a-56 and 46a-68b to 46a-68k, inclusive, and with each regulation or relevant order issued by said commission pursuant to said sections; (e) the contractor agrees to provide the commission on human rights and opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and

procedures of the contractor as relate to the provisions of this section and section 46a-56.

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

commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such section 46a-56 of the general statutes; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

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

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

Signature \_\_\_\_\_

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

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

Date \_\_\_\_\_

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

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

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

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

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

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

## **NOTIFICATION TO BIDDERS**

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

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

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

- a) the bidder's success in implementing an affirmative action plan;
- b) the bidder's success in developing an apprenticeship program complying with Section 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- c) the bidder's promise to develop and implement a successful affirmative action plan;
- d) the bidder's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and
- e) the bidder's promise to set aside a portion of the contract for legitimate minority business enterprises. **See** Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

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

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

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

On behalf of:

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

\_\_\_\_\_  
Project No.

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

## **ANNIE E. CASEY FOUNDATION**

All RFPs for competitive grants related to at risk youth must contain the uniform language that follows:

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

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