

**CONNECTICUT STATE DEPARTMENT OF EDUCATION**

**DIVISION OF FAMILY AND STUDENT SUPPORT SERVICES**

Request for Proposals

**EDUCATION FOR HOMELESS CHILDREN AND YOUTH**

**2009-12**



Purpose: To establish a competitive grant program for the purpose of assisting local and regional boards of education with the facilitation of the enrollment, attendance and success of homeless children and youth in the schools through the availability of funds under both the American Recovery and Reinvestment Act (ARRA), Public Law 111-5, Title VII (Part B) Homeless Education and Subtitle B of Title VII of the McKinney-Vento Homeless Assistance Act, 42 U.S.C. 11431 et seq.

Applications Due: June 22, 2009

Published: May 19, 2009

**RFP #078**

# **CONNECTICUT STATE DEPARTMENT OF EDUCATION**

**Mark K. McQuillan**  
**Commissioner of Education**

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**AN EQUAL OPPORTUNITY / AFFIRMATIVE ACTION EMPLOYEE**

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## **I. General Information**

The Education for Homeless Children and Youth program was enacted in 1987 as Title VII Subtitle B of the Stewart B. McKinney Homeless Assistance Act. Both the McKinney Homeless Assistance Act Amendments of 1990 and the Improving America's Schools Act of 1994 amended the program. In October 2000, Congress renamed this legislation the McKinney-Vento Homeless Assistance Act. More recently, the legislation of the No Child Left Behind Act of 2001 reauthorized the McKinney-Vento Homeless Assistance Act's Education for Homeless Children and Youth (EHCY) program. (A copy of the most recent legislation may be found at <http://www.sde.ct.gov/sde/cwp/view.asp?a=2678&q=320796&sdePNavCtr=45493#45543>.)

The intent of this legislation is to ensure that all children and youth impacted by the loss of fixed, regular and adequate housing receive a quality education. State and local educational agencies are required to develop, review, and revise policies to remove barriers to the enrollment, attendance, and the academic success of children and youth experiencing homelessness and provide such children and youth with the opportunity to meet the same challenging state content and state student performance standards to which all students are held.

The Connecticut State Department of Education (CSDE) has developed a State Plan to meet the requirements of the McKinney-Vento Act and receives federal funds to support local programs that meet the needs of homeless preschool and school age children and youth and the requirements of Section 722(g)(3-7). Grant funds are targeted to provide educational support activities and/or services for homeless children and youth, to secure their enrollment, attendance and success in school, regardless of the permanency of their residence in a district. A local education agency (LEA), to the extent feasible, shall comply with the request made by a parent or guardian to keep students who are in homeless situations in their school of origin (defined as the school attended when permanently housed, or the school in which they were last enrolled). Students can stay in their school of origin the entire time they are homeless, and until the end of any academic year in which they move into permanent housing. Students may also choose to enroll in any public school that students living in the same attendance area are eligible to attend.

This Request for Proposals (RFP) has been issued for the purpose of soliciting proposals from local and regional boards of education and regional educational service centers (RESCs) of Connecticut for the development and/or continuation of programs, which meet the needs of homeless children and youth and the requirements of the McKinney-Vento Act. Grants will be awarded to local and regional boards of education and RESCs that meet the requirements under Sections 723(a)(1) through 723(d)(1-16) and specifications outlined in this RFP.

## **II. Purpose of the Program**

The McKinney-Vento EHCY Grant Program is designed to promote the enrollment, attendance, and success of homeless children and youth in schools and other educational services for which they are eligible, including Head Start, Even Start, and preschool programs administered by the LEA. In order to accomplish this mission, it is necessary to offer educational and related services to homeless children and youth to supplement the traditional classroom experience. Services provided with McKinney-Vento Act funds must not replace the regular academic program and must be designed to expand upon or improve services provided as part of the school's regular academic program.

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

- supplemental educational services, such as tutoring and other academic enrichment programs;
- expedited evaluations for various educational services;

- professional development activities for educators and pupil services personnel working with homeless students;
- health referral services (e.g., medical, dental, mental health);
- defraying the excess cost of transportation in order to enable students to attend the school of origin;
- early childhood education programs for preschool-aged homeless children;
- services and assistance to attract, engage, and retain homeless children and youth and unaccompanied youth in public school programs;
- before- and after-school, mentoring, and summer programs with educational activities;
- payment of fees and costs associated with tracking, obtaining, and transferring records of homeless children and youth;
- education and training for parents of homeless children and youth about rights and resources;
- development of coordination between schools and agencies providing services;
- provision of pupil services (including violence prevention counseling) and referrals for such services;
- activities to address needs that may arise from domestic violence;
- adaptation of space and purchase of supplies for nonschool facilities to provide services listed above;
- provision of school supplies, including those to be distributed at shelters or other appropriate locations; and
- other extraordinary or emergency assistance needed to enable homeless students to attend school.

Grants may be used for programs on school grounds or at other facilities. Schools must not provide services in settings within a school that segregate homeless children and youth from other children and youth, except as is necessary for short periods of time for health and safety emergencies, or to provide temporary, special, and supplementary services. These programs on school grounds may also be available to children or youth who are determined to be at risk of failing in or dropping out of school; however, priority for such services shall be given to homeless children and youth. To the maximum extent practicable, services shall be provided through other existing programs that integrate homeless and nonhomeless individuals. All school districts are required to develop, review and revise policies to eliminate barriers to the access to and success in educational opportunities for homeless children and youth, regardless of whether they receive funds under McKinney-Vento. Additionally, LEAs are required to establish or designate a homeless liaison within the school district [Section 722(g)(1)(J)(ii)]. This liaison ensures that homeless children and youth enroll in and succeed in school and that the children and their families receive educational services and referrals to health, dental and mental health care and other services as appropriate.

Strategies for addressing issues in homeless education include interagency collaboration to meet the needs of homeless children and youth. School districts that collaborate with local agencies and shelters are able to provide comprehensive services that are continuous and nonduplicative. This grant program requires a commitment to establish collaborative efforts that provide the opportunity for a systematic support for the educational, health, counseling and other service needs of homeless children, youth and their families.

### **III. Eligibility**

Any local or regional board of education or RESC applying on behalf of a local or regional board of education that serves an identified homeless population of children and youth located within Connecticut is eligible to apply for McKinney-Vento Grant funds.

The term "homeless children and youth" is defined as:

- children and youth who lack a fixed, regular, and adequate nighttime residence, and includes children and youth who are sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason; are living in motels, hotels, trailer parks, or camping grounds due to lack of alternative adequate accommodations; are living in emergency or transitional shelters; are abandoned in hospitals; or are awaiting foster care placement;
- children and youth who have a primary nighttime residence that is a private or public place not designed for or ordinarily used as a regular sleeping accommodation for human beings;
- children and youth who are living in cars, parks, public spaces, abandoned buildings, substandard housing, bus or train stations, or similar settings; and
- migratory children who qualify as homeless because they are living in circumstances described above.

Funding will be provided to new programs and grantees applying for continuation of this project beyond the first year based upon the availability of funds.

A local educational agency may submit, or be included in, no more than one proposal.

#### **IV. Duration of the Grant**

The CSDE is anticipating the funding of the EHCY program for a three-year period; July 1, 2009 – June 30, 2012, based on the availability of funds. Programs must submit applications addressing the RFP for a three-year period, FY 2009-10, FY 2010-11, and FY 2011-12. For year two and year three, the CSDE will require grantee agencies to submit a summary of the prior year's activities, objectives achieved, an annual budget for the ongoing program year and applicable revisions to the original application submitted.

Funds available through the American Recovery and Reinvestment Act (ARRA) will be distributed in program year one, FY 2009-10. Carryover into FY 2010-11 may be granted for the use of ARRA funds not expended in FY 2009-10. ARRA funds are available for use for the 27-month period from July 1, 2009, through September 30, 2011.

#### **V. Funds Available**

This program is 100% federally funded. This application is intended to award program funding administered through both the regular McKinney-Vento Title X, Part C appropriation and ARRA Homeless Education funds. The total amount targeted for programs for each fiscal year aligned in this proposal is approximately \$425,000.

The full ARRA appropriation (\$336,668) will be distributed in program year one, FY 2009-10. These ARRA funds may be used to implement program year one of a multi-year project aligned under this proposal. The CSDE anticipates continued funding of the EHCY program for a three-year period based upon the regular, annual McKinney-Vento Title X, Part C appropriation.

The amount of individual grants awarded may be contingent upon negotiations to the level of funding requested and the CSDE reserves the right to negotiate budget amounts accordingly. It is anticipated that projects successfully funded under this proposal may receive funding in part or in full with ARRA funds for program year one, FY 2009-10. All subsequent year funding is dependent upon the CSDE receiving its regular McKinney-Vento allocation from the United States Department of Education.

It is important to note, that all McKinney-Vento statutory and regulatory requirements apply to ARRA Homeless Education funds. Related federal guidance documents can be found at:

<http://www.ed.gov/policy/gen/leg/recovery/guidance/homeless.doc> and  
<http://www.ed.gov/programs/homeless/guidance.pdf>.

The EHCY program is intended to combine the resources and expertise from a variety of educational programs and services to meet the needs of children, youth and families who are experiencing homelessness. The EHCY program requires that the LEA provide a minimum of 25% cash contribution for any EHCY grant request of \$11,000 or more (see page four for “Matching” alignment and guidelines for funding.) In other words, at least one “match” dollar must be spent for every four dollars being awarded with Federal EHCY program funding. LEAs that demonstrate greater match funding are eligible to apply for increased award amounts. Projects that can provide higher rates of match are preferred.

This match must be made with cash spent within the project on specific line items and documented in the proposed budget. All matching funds must be specifically related to the proposed project and the source of matching funds must be identified. Indicate the source(s) of the cash match on the Budget page. The CSDE encourages grantees to use a cash match from Federal Title I, Part A (Education of the Disadvantaged) funding.

LEAs are required to certify that the cash match for this project is not being applied toward another LEA project. Examples of appropriate cash contributed specifically to cover the actual costs of the project include, but are not limited to: funds from other federal or state sources; contributions from local governments or sponsors; and gifts solicited from local businesses, corporate, charitable and other foundation sources.

Any cash match must be verifiable from the records of the LEA reporting the match, entered into the LEA accounting records, and be auditable from those records. “Matching” alignment and guidelines for funding are as follows:

<b>McKinney-Vento EHCY Request</b>	<b><u>Total 25% Match</u></b>	<b><u>Total 30% Match</u></b>	<b><u>Total 40% Match</u></b>	<b><u>Total 50% Match</u></b>	<b>TOTAL PROJECT BUDGET</b>
10,000	N/A	N/A	N/A	N/A	10,000
11,000	2750	N/A	N/A	N/A	13,750
12,000	3000	N/A	N/A	N/A	15,000
13,000	3250	N/A	N/A	N/A	16,250
14,000	3500	N/A	N/A	N/A	17,500
15,000	3750	N/A	N/A	N/A	18,750
16,000	4000	N/A	N/A	N/A	20,000
17,000	4250	N/A	N/A	N/A	21,250
18,000	4500	N/A	N/A	N/A	22,500
19,000	4750	N/A	N/A	N/A	23,750
20,000	5000	N/A	N/A	N/A	25,000
21,000	N/A	6300	N/A	N/A	27,300
22,000	N/A	6600	N/A	N/A	28,600
23,000	N/A	6900	N/A	N/A	29,900
24,000	N/A	7200	N/A	N/A	31,200
25,000	N/A	7500	N/A	N/A	32,500
26,000	N/A	7800	N/A	N/A	33,800
27,000	N/A	8100	N/A	N/A	35,100
28,000	N/A	8400	N/A	N/A	36,400
29,000	N/A	8700	N/A	N/A	37,700
30,000	N/A	9000	N/A	N/A	39,000
31,000	N/A	N/A	12,400	N/A	43,400
32,000	N/A	N/A	12,800	N/A	44,800

33,000	N/A	N/A	13,200	N/A	46,200
34,000	N/A	N/A	13,600	N/A	47,600
35,000	N/A	N/A	14,000	N/A	49,000
36,000	N/A	N/A	14,400	N/A	50,400
37,000	N/A	N/A	14,800	N/A	51,800
38,000	N/A	N/A	15,200	N/A	53,200
39,000	N/A	N/A	15,600	N/A	54,600
40,000	N/A	N/A	16,000	N/A	56,000
41,000	N/A	N/A	N/A	20,500	61,500
42,000	N/A	N/A	N/A	21,000	63,000
43,000	N/A	N/A	N/A	21,500	64,500
44,000	N/A	N/A	N/A	22,000	66,000
45,000	N/A	N/A	N/A	22,500	67,500
46,000	N/A	N/A	N/A	23,000	69,000
47,000	N/A	N/A	N/A	23,500	70,500
48,000	N/A	N/A	N/A	24,000	72,000
49,000	N/A	N/A	N/A	24,500	73,500
50,000	N/A	N/A	N/A	25,000	75,000

- any McKinney-Vento EHCY request beyond \$50,000 will not be considered;
- LEAs unable to commit any cash match for the purposes of this grant are eligible to apply for a maximum EHCY request of \$10,000; and
- any additional cash match beyond 50 percent is encouraged but not required.

While this request for proposals is for a three-year period, the grant period is for only one year, July 1, 2009 through June 30, 2010. Grantees will be required to demonstrate success during year one in order to be funded for a subsequent second and third year. Successful grantees will then be required to submit a separate budget for the grant periods July 1, 2010 – June 30, 2011, and July 1, 2011 – June 30, 2012.

In addition, the CSDE has chosen to take steps to align this program with other CSDE initiatives serving the state’s most disadvantaged children and youth. Therefore, areas designated as Priority School Districts by the CSDE will be targeted for assistance under this program.

**VI. Deadline and Use of Application Form**

Applications (original and three copies), **IRRESPECTIVE OF POSTMARK DATE AND MEANS OF TRANSMITTAL**, must be received by 4:30 p.m. on Monday, June 22, 2009. **EXTENSIONS SHALL NOT BE GIVEN**. Applications may be mailed or hand delivered to:

Louis B. Tallarita, Associate Education Consultant  
Connecticut State Department of Education  
Division of Family and Student Support Services  
Bureau of Health/Nutrition, Family Services and Adult Education  
25 Industrial Park Road  
Middletown, Connecticut 06457-1543

**ONLY THE ENCLOSED APPLICATION FORM MAY BE USED. THIS FORM MAY BE COPIED ONTO A WORD PROCESSING PROGRAM. HOWEVER, MODIFICATIONS, ADDITIONAL PAGES, ATTACHMENTS OR APPENDICES WILL NOT BE ACCEPTED.**

**VII. Items to Be Included in the Application**

A. Abstract:

The abstract should briefly describe the major components of the program design, not to exceed one page.

B. Statement of Demonstrated Need/Problem:

The focus of this section is a concise statement of the educational needs of the homeless children and youth in the district, including the number of preschool, elementary and secondary homeless children and youth in the district. Applicants must:

- describe the homeless population that currently exists within your community including the number of students who are “homeless” or are expected to be homeless within the next school year;
- describe the ways in which the district has attempted to meet the educational and related needs of these homeless children and youth; and
- describe the process and data used to identify the needs, including the method(s) and/or information used by the school districts and/or RESCs to determine needs and to set project objectives.

C. Goals and Objectives:

Applicants must:

- provide a statement of goal(s) of the project describing how the project will facilitate the enrollment, retention and educational success of homeless children and youth;
- provide a list of specific objectives for the project. Each objective and intended related outcome should be stated in measurable terms; and
- include a description of how this project attempts to surpass the basic requirements of every LEA to address the needs of all homeless students.

Continuous program improvement should be designed into local programs. Grantees are encouraged to identify what it is they are striving to achieve in their program and then what information they need to determine whether they are achieving these goals. A variety of education stakeholders should be involved in the process of identifying program goals. These stakeholders may include teachers, counselors, school and district level administrators, school board members, state agency staff, parents and students. Generally, all those who will be responsible for helping to achieve the goals of this grant should participate in establishing them.

D. Project Organization, Services and Activities:

Provide a description of the services and programs for which assistance is sought and the problems to be addressed. Indicate the following:

- designated local homeless liaison in the district;
- designated staff involved in the delivery of the programs and services;
- staff responsible for administering the grant;
- a description of existing or planned collaboration with other programs, agencies and/or services. Provide specific information delineating the role and responsibilities to be carried out by the collaborating programs, especially Title I, Head Start, Even Start and other existing service for disadvantaged children and youth; and
- the policies and procedures your agency will implement to ensure that activities carried out through this grant will not isolate or stigmatize homeless children and youth.

#### E. Documentation and Evaluation:

Each grantee awarded funds under the EHCY program must provide a year-end report following the end of each fiscal year, consistent with the grant application and in the manner and form as prescribed by the CSDE. All grantees are expected to document relevant data deemed necessary in assessing all applicable goals and objectives on the challenges and successes of their McKinney-Vento grant. Procedures and formats for documentation and evaluation that collect information consistent across all project sites will be provided by the CSDE to successful grantees awarded funding.

While this RFP is for a three-year period, successful grantees will be required to demonstrate success in attaining objectives each year in order to be funded for any subsequent year of this grant. Applicants must designate a person responsible for documentation and evaluation of the project.

If this is a continuation of a project previously funded with McKinney-Vento grant funds, the current year evaluation is a condition of eligibility in this grant program and will be considered a part of the application.

Because of the ARRA investment, there are additional reporting requirements with regard to ARRA Homeless Education funds beyond the regular McKinney-Vento Title X, Part C funds. The use of ARRA funds will be accounted for, and reported on separately. Any district that is awarded any portion of ARRA funds will be required to maintain accurate, complete and reliable documentation of all ARRA expenditures. Information on the fiscal and programmatic use of ARRA funds will be made public on [www.recovery.gov](http://www.recovery.gov) and [www.recovery.ct.gov](http://www.recovery.ct.gov).

Any LEA receiving ARRA Homeless Education funds is required to submit to the CSDE quarterly reports containing the information required under section 1512(c) of the ARRA. The United States Department of Education is currently developing a common reporting form that will describe for States a streamlined quarterly process for reporting on the use of the ARRA Homeless Education funds.

#### F. Budget:

The Budget Packet FY 2010 in Appendix C: ED114 Budget form and Budget Narrative, must be completed. The costs must be reasonable in relationship to the expected outcomes and provide sufficient information to support the requested amount of funds. Projects funded under this grant program must provide matching funds as described in Section V of this RFP.

In preparing the budget, applicants should consider the following items:

- the grant is to be used for the implementation and/or continuation of projects for the time period commencing July 1, 2009, and ending June 30, 2012;
- the budget should indicate how the grant funds will be expended and must be related to the project's goals, objectives and activities; and
- all requests for grant budget revisions must be filed with the CSDE by May 1, 2010, 2011, and 2012, respectively.

Because of the transparency and reporting requirements required for the use of ARRA funds, all districts that receive any portion of ARRA Homeless Education fund will be required to complete separate budgets and budget narratives. Based upon the notification of an award that includes any ARRA funds, districts will be required to provide separate budget pages with

specific coding for the ARRA funds and budget narratives with sufficient details that clearly describe the use of all ARRA funds. The clarity provided in the program and budget narratives will assist districts in meeting their reporting responsibilities.

All LEAs applying for funding under this RFP should be prepared to accept any portion of ARRA Homeless Education funds for FY 2009-10. Any LEA that does not wish to receive any portion of ARRA funds for FY 2009-10 should decline by checking the appropriate box contained on the ED114 Budget form in Appendix C.

G. **Statement of Assurances:**

A Statement of Assurances (Appendix D) must be included in this application and certified via the cover page by the applicant agency.

In addition, an ARRA Statement of Assurance (Appendix I) must be included in this application.

VIII. **Affirmative Action Information and Certification Regarding Lobbying, Debarment:**

The CSDE requires that applicants submit a Certification Regarding Lobbying; Debarment, Suspension, Ineligibility and Voluntary Exclusion (Appendix E). Applicants must also submit a Debarment and Suspension Certification (Appendix F), implementing Executive Order 12549.

Additionally, in accordance with the regulations established by the Commission on Human Rights and Opportunities, each applicant is required to have a completed Affirmative Action Packet on file with the CSDE. A completed Affirmative Action Statement (Appendix G), must be submitted with this application.

IX. **Obligations of Grantees:**

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

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

X. **Freedom of Information Act:**

All of the information contained in a proposal submitted in response to this RFP is subject to the provisions of the Freedom of Information Act (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.

XI. **Management Control of the Program and Grant Consultation Role of CSDE Personnel**

The grantee must have complete management control of this grant. While CSDE 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.

CSDE staff may conduct on-site monitoring visits to all grant programs. The purpose of the site visit is as follows:

- to ensure that the program is meeting the requirements of the funding legislation;
- to review program progress toward attaining relevant goals and objectives;
- to improve program quality;
- to provide assistance in identifying and resolving problems; and
- to assist the CSDE in identifying future technical assistance and professional development needs.

## **XII. Date of Local Board Acceptance**

If it is not possible for you to obtain your board's approval prior to June 5, 2009, please submit the application according to the timelines written herein. Send official board approval no later than June 30, 2009.

## **XIII. Annie E. Casey Foundation**

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

- (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 CSDE.
- (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.
- (3) The applicant shall designate someone to act as liaison for the referral process.

## **XIV. Use of "FAXED" Copies for RFP's and Grant Applications**

Facsimile ("Faxed") copies of proposals will not be accepted. Only proposals with an original signature will be accepted as timely filed.

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

Complete proposals will be reviewed and rated by a committee of professionals. Proposals will be rated according to the Evaluation Criteria contained in Appendix A. Applicants are advised to review the Evaluation Criteria for specific priority areas when writing their proposals.

The CSDE reserves the right to make grant awards under this program without discussion with the applicants. Therefore, proposals should be submitted in the most favorable terms from both a technical and cost standpoint. All awards are dependent upon the CSDE receiving its allocation from the United States Department of Education.

The CSDE intends to announce recipients of grant awards by July 31, 2009. Grant amounts will be determined based on the appropriation. Applicants will be notified in writing as to the final disposition of their proposal. **ALL AWARDS ARE SUBJECT TO THE AVAILABILITY OF FEDERAL FUNDS. GRANTS ARE NOT FINAL UNTIL THE AWARD LETTER IS EXECUTED. APPLICANTS AWARDED FUNDS UNDER THIS GRANT PROGRAM ARE CAUTIONED NOT TO COMMIT SUCH FUNDS UNTIL AN OFFICIAL GRANT AWARD LETTER IS RECEIVED.**

**XVI. Technical Assistance/Bidder's Conference Call**

A bidder's conference call is planned to review the parameters of this RFP. The call will be held by the CSDE on June 2, 2009 at 2:00 p.m. and is planned to provide assistance with responses to the RFP. This bidder's conference call is optional. Anyone interested in participating in the bidder's conference call must R.S.V.P. by Thursday, May 28, 2009, to Marie Aligata by phone at 860-807-2061 or e-mail: [marie.aligata@ct.gov](mailto:marie.aligata@ct.gov). Bidders registered for the call will be forwarded instructions for accessing the conference line.

**APPENDIX A: EVALUATION CRITERIA PACKET**

PROJECT NUMBER \_\_\_\_\_  
*(CSDE Use Only)*

**EDUCATION OF HOMELESS CHILDREN AND YOUTH**

**EVALUATION CRITERIA  
 Cover Page**

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

Total Points Awarded: \_\_\_\_\_

Recommended for Funding: Yes \_\_\_\_\_ No \_\_\_\_\_

Required Information	Yes	No	Comments
<b>COVER PAGE:</b> Addresses all information, signed, Board/Agency approved.			
<b>ABSTRACT:</b> Provides a brief summary of program's design and objectives.			
<b>STATEMENT OF ASSURANCES:</b> Completed and Signed.			Appendix D
<b>CERTIFICATION REGARDING LOBBYING:</b> Completed and Signed.			Appendix E
<b>DEBARMENT AND SUSPENSION CERTIFICATION:</b> Completed and Signed.			Appendix F
<b>AFFIRMATIVE ACTION STATEMENT:</b> Completed and Signed.			Appendix G
<b>ANNIE E. CASEY FOUNDATION FORM:</b> Completed and Signed.			Appendix H
<b>ARRA ASSURANCE SIGN-OFF SHEET:</b> Completed and Signed.			Appendix I

Category	Maximum Score	Reader's Score
<b>Statement of Need/Problem</b>	<b>20</b>	
<b>Goals and Objectives</b>	<b>15</b>	
<b>Project Organization, Services &amp; Activities</b>	<b>20</b>	
<b>Documentation &amp; Evaluation</b>	<b>15</b>	
<b>Budget</b>	<b>30</b>	
<b>Special Considerations</b>	<b>5</b>	
<b>TOTAL</b>	<b>105</b>	

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

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

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

**RATING SCALE:**

Criteria are to be rated according to either the five-point or 10-point scale shown:

<b>5 Point Scale</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
	<b>Not Provided</b>	<b>Poor</b>	<b>Fair</b>	<b>Average</b>	<b>Good</b>	<b>Excellent</b>
<b>10 Point Scale</b>	<b>0</b>	<b>2</b>	<b>4</b>	<b>6</b>	<b>8</b>	<b>10</b>

<b>Statement of Need/Problem (Max 20 pts)</b>	<b>Reader's Score</b>	<b>Reader's Comments</b>
Demonstrates a strong need for this project in the community. (10 pts) <i>Proposal reviewers use 10 point scale.</i>		
Describes ways in which the district has identified the specific needs of children and youth who are homeless, including how this information was used to identify project needs. (5 pts)		
Describes the number of children and youth identified as homeless, including the method used for identification. (5 pts)		
<b>Goals and Objectives (Max 15 pts)</b>	<b>Reader's Score</b>	<b>Reader's Comments</b>
Provides a concise statement of the goal(s) of the project that addresses how the enrollment, retention and educational success of homeless children are achieved. (5 pts)		
Provides realistic project objectives that are clearly stated in measurable terms, impact learning gains, and contain appropriate evaluation methods. (5 pts)		
Describes activities and strategies that will be used to obtain measurable outcomes. (5 pts)		
<b>Project Organization, Services &amp; Activities (Max 20 pts)</b>	<b>Reader's Score</b>	<b>Reader's Comments</b>
Describes how the proposed project facilitates the immediate enrollment, retention and/or educational success of children and youth who are homeless, including evidence of planned involvement for parents/guardians of homeless children or youth in the education of their children. (5 pts)		
Describes a plan for collaboration through which schools are able to link community resources and other services available to homeless children and youths and their families. (5 pts)		
Provides an outline of related services to disadvantaged children and youth that demonstrates how the applicant will build upon, and not duplicate, those provided by other service providers. (5 pts)		
Describes clearly the administrative structure and adequate staffing for the project showing name(s), position(s), and responsibilities, including the role of the LEA homeless liaison in the project. (5 pts)		

<b>Documentation and Evaluation (Max 15 pts)</b>	<b>Reader's Score</b>	<b>Reader's Comments</b>
Describes a process to be used to evaluate the success of the program and measures the degree to which each objective of the project is achieved. (5 pts)		
Describes a process to collect feedback related to this project for use in local evaluation and program improvement. (5pts)		
Describes a process to collect relevant documentation for every student receiving services through this grant, how this information will be compiled, and by whom. (5 pts)		
<b>Budget (Max 30 pts)</b>	<b>Reader's Score</b>	<b>Reader's Comments</b>
Includes a completed Budget Packet (Appendix C) including detail for line item costs reasonable and appropriate for scope of program. (10 pts) <i>Proposal reviewers use 10 point scale.</i>		
Budget is realistic overall, given the intended objectives and program design. (10 pts) <i>Proposal reviewers use 10 point scale.</i>		
The applicant makes use of current available resources as evidenced by the total cash match required by this application. (10 pts) <i>Proposal reviewers use 10 point scale.</i>		
<b>Special Consideration (5 pts)</b>	<b>Reader's Score</b>	<b>Reader's Comments</b>
Priority school district (5 pts).		
<b>TOTAL</b>		

**SUMMARY COMMENTS AND RECOMMENDATIONS:**

(Attach additional page if needed)

**APPENDIX B: GRANT APPLICATION PACKET**

Project No. \_\_\_\_\_  
*(CSDE Use Only)*

RFP #078  
Sec. P.L. 107-110, Sub. VII B  
Rev. 05/09

Agency: \_\_\_\_\_

GRANT APPLICATION PACKET  
COVER PAGE

CONNECTICUT STATE DEPARTMENT OF EDUCATION  
Division of Family and Student Support Services  
Middletown, CT

Applicant Agency  
*(Name, address, & phone)*

Local Program Title

Name of Program School(s)

Agency Contact Person:  
*(Name, address, phone)*

Program Dates  
From: \_\_\_\_\_ To: \_\_\_\_\_

I, \_\_\_\_\_, the undersigned authorized chief administrative official of this agency, submit this application on behalf of the participating agency, attest to the appropriateness and accuracy of the information contained herein, certify that this application, if funded, will comply with all relevant requirements of P.L. 107-110, McKinney-Vento Homeless Assistance Act, Subtitle VII B, and that the Statement of Assurances and all other assurances made herein will be fully implemented.

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

Name (typed): \_\_\_\_\_ Date: \_\_\_\_\_

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

PROJECT NUMBER: \_\_\_\_\_  
(CSDE Use Only)

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

Grant Period: \_\_\_\_\_

McKinney-Vento EHCY  
Funds Requested: \$ \_\_\_\_\_

Amount and Source of  
Project Cash Match \$ \_\_\_\_\_ Source: \_\_\_\_\_

**A. ABSTRACT**

**B. STATEMENT OF DEMONSTRATED NEED/PROBLEM**

1. Describe the need for this project that currently exists in the community to meet the educational and related needs of homeless children and youth.
  
2. Describe the process and types of information/procedures used to identify the need for this project.
  
3. Provide the following program information:
  - A. Total number of homeless children and youth identified in the community.
  - B. Estimated number of homeless children and youth to be served by this grant.
  - C. Percentage of students by grade level to be served by this grant: (Total should add up to 100%).

Below prekindergarten:		Grades 4 – 5:	
PK – K:		Grades 6 – 8:	
Grades 1 – 3:		Grades 9 – 12:	

- D. List the Participating schools and/or school districts (attach additional page if required).









## 2009-10 McKinney-Vento Project Budget

**Grantee Name:** \_\_\_\_\_  
*(multiple LEAs in consortia must select one fiscal agency)*

Line Items	Description	McKinney-Vento EHCY Request	Cash Match Budget
111A			
111B			
112A			
112B			
119			
200			
321			
322			
323			
324			
325			
330			
331			
400			
510			
530			
580			
611			
612			
642			
690			
700			
940			
	<b>TOTALS</b>		

**IMPORTANT:**

1. Refer to the *Budget Code Descriptions* on pages 22-24 for budget line item descriptions and include how each proposed expenditure was calculated.
2. "Indirect Costs" are allowable only for agencies with a CSDE approved indirect rate.

## Master Budget Form Object Code Descriptions/Includable Items

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

- 324 **Field Trips**  
Costs incurred for conducting educational activities off site. Includes admission costs to educational centers, fees for tour guides, etc.
- 325 **Parental Activities**  
Expenditures related to services for parenting including workshop presenters, counseling services, baby-sitting services, and overall seminar/workshop costs.
- 330 **Other Professional/Technical Services**  
Payments for professional or technical services that are not directly related to instructional activities. Included are payments for data processing, management consultants, legal services, etc. Do not include the cost of an independent auditor in this category.
- 331 **Audit**  
Direct cost for the audit of the grant program by an independent auditor. This category is separated from object code 330 as many grants do not include this cost as an eligible grant expenditure.
- 400 **Purchased Property Services**  
Expenditures for services to operate, repair, maintain and rent property owned and/or used by the grantee. These are payments for services performed by persons other than grantee employees. Most frequently allowed expenditures include: Rentals - costs for renting or leasing land, buildings, equipment or vehicles; Repair and Maintenance services - expenditures for repairs and maintenance services not provided directly by grantee personnel, including contracts and agreements covering the upkeep of buildings and equipment; and Construction Services (Remodeling and Renovation)-payments to contractors for major permanent structural alterations and for the initial or additional installation of heating and ventilating systems, electrical systems, plumbing systems or other service systems in existing buildings. Utility services such as cleaning service, disposal service, snow plowing, lawn care, etc. could also be reported in this category. It is up to the program manager to inform applicants what is an allowable purchased property service under a grant program. The review of the budget justification should reveal the existence of any unallowable item.
- 510 **Pupil Transportation**  
Expenditures for transporting pupils to and from school and other activities. Included are such items as bus rentals for field trips and payments to drivers for transporting handicapped children.
- 530 **Communication**  
Payments for services provided by persons or businesses to assist in transmitting and receiving messages or information. This category includes telephone and telegraph services as well as postage machine rental and postage.
- 580 **Travel**  
Expenditures for transportation, meals, hotel and other expenses associated with staff travel. Per diem payments to staff in lieu of reimbursement for subsistence (room and board) are also included.
- 611 **Instructional Supplies**  
Expenditures for consumable items purchased for instructional use.
- 612 **Administrative Supplies**  
Expenditures for consumable items directly related to program administrative (non-instructional) activities.
- 642 **Library Books (and Periodicals)**  
Expenditures for library books, reference books, periodicals and newspapers that are purchased for use by the school library.

690 Other Supplies

Allowable Expenditures for any other supply which is not instructional or administrative in nature. This category would include maintenance supplies, heating supplies, and transportation supplies.

700 Property

Expenditures for acquiring fixed assets, including land or existing buildings, improvements of grounds, initial equipment, additional equipment, and replacement of equipment. For most grants only equipment such as computers, duplicating machines, furniture, and fixtures is allowable and the line item description on the budget will read Property/Equipment only. Other items which could be included in this category if allowable under grant legislation are expenditures for the acquisition but not the rental of buildings and land. Although cost of materials which resulted in a new or vastly improved structure would also be included here, the expenditures for the contracted construction of buildings, for permanent structural alterations, and for the initial or additional installation of heating and ventilating systems, fire protection systems, and other service systems in existing buildings are recorded under object 400 - Purchased Property Services.

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

940 Indirect Costs

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

## **APPENDIX D: STATEMENT OF ASSURANCES**

### **Connecticut State Department of Education Standard Statement of Assurances**

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

THE APPLICANT: \_\_\_\_\_ HEREBY ASSURES THAT:  
(Insert Local Educational Agency name)

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

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

**N. Required Language:**

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

For the 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 per cent 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 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.

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. 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 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; (d) the contractor agrees to comply with each provision of this section and sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to sections 46a-56, 46a-68e and 46a-68f; (e) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor as relate to the provisions of this section and section 46a-56.

- 3) Determination of the contractor's good faith efforts shall include but shall not be limited to the following factors: The contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
- 4) The contractor shall develop and maintain adequate documentation, in a manner prescribed by the Commission, of its good faith efforts.
- 5) The contractor shall include the provisions of section (2) above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; 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 the term of this contract and any amendments thereto as they exist on the date of the 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 manner 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; (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.
- 8) The contractor shall include the provisions of section (7) above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; 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.

Additional assurances for McKinney-Vento Grant;

- O.** The applicant assures that its combined fiscal effort per student, or the aggregate expenditures of that agency and the State with respect to the provision of free public education by such agency for the fiscal year preceding the fiscal year for which the determination is made, was not less than 90 percent of such combined fiscal effort or aggregate expenditures for the second fiscal year preceding the fiscal year for which the determination is made.
- P.** The applicant certifies that it will comply with, or will use requested funds to comply with; paragraphs (3) through (7) of section 722(g) of the McKinney-Vento Act.
- Q.** The applicant assures that the cash match identified in this grant proposal has not been used as funding in any other LEA project.

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

Signature \_\_\_\_\_

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

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

Date \_\_\_\_\_

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

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

### **1. LOBBYING**

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

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

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

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

### **3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 –

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying

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

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

The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civil charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (I)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

GSA Regional Office, Building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d) (2), with respect to any employee who is so convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a

the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

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

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

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

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

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

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

Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124,

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

\_\_\_\_\_  
Name of Applicant

\_\_\_\_\_  
Signature  
ED 80-0013

drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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

Check  if there are workplaces on file that are not identified here.

**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office Building No. 3) Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

\_\_\_\_\_  
PR/AWARD Number and/or Project Name

\_\_\_\_\_  
Date

## APPENDIX F: DEBARMENT AND SUSPENSION

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

### Instructions for Certification

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

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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

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Date

**APPENDIX G: CERTIFICATION THAT A CURRENT AFFIRMATIVE ACTION PACKET IS ON FILE**

*Agencies with an affirmative action plan on file need to certify such by signing the statement below.*

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.

\_\_\_\_\_  
Superintendent's Name

\_\_\_\_\_  
Superintendent's Signature

\_\_\_\_\_  
Date

**APPENDIX H: 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 application shall designate someone to act as liaison for the referral process.

_____	_____
<b>Name of Applicant</b>	<b>PR/AWARD Number and/or Project Name</b>
_____	_____
<b>Printed Name and Title of Authorized Representative</b>	
_____	_____
<b>Signature</b>	<b>Date</b>

