

# **WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND**

## **Knowledge Development Request for Proposal for**

**[INSERT ENTITY]**\_\_\_\_\_

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**Please submit one signed hard copy of full proposal including all appendix items and one pdf electronic copy of the full grant including appendices.**

# I. OVERVIEW: MEMORIAL FUND

## Background of the Memorial Fund

The mission of the William Caspar Graustein Memorial Fund is to improve the effectiveness of education in fostering both personal development and leadership.

Connecticut's children are the focus of the Graustein Memorial Fund's grantmaking. Our intent is inclusive: to work with rural, urban and suburban communities, and both public and private schools. We want to provide means for our grantees to learn from one another's experience, and we seek to include those people who will be affected by programs in their design and evaluation. A belief that education benefits both individuals and society as a whole guides our work.

To accomplish this mission, the Memorial Fund has set three goals:

1. To engage young children more deeply in their own education.
2. To support Connecticut communities in improving education for their elementary and pre-school children. We think of communities both geographically and culturally, and mean to include teachers, parents, administrators, and others who have a concern for the lives of children.
3. To develop both statewide and local leadership dedicated to improving and advocating for education.

## 2010-2014 Strategic Plan

The William Caspar Graustein Memorial Fund engaged in a six-month consultation process with more than 300 parents, teachers, community leaders, advocates, early childhood providers, researchers, and other partners through a series of forums and work groups. The plan builds on past work of the Memorial Fund through two birth-to-eight initiatives, as well as our work in statewide policy and PreK-12 education. In particular the plan builds on what we have learned through the current initiative called Discovery.

Discovery began in 2001 and grew into a \$32 million, 8-year commitment to Connecticut's young children. In June 2009, our Trustees decided to continue the work of Discovery over the next five years. Core values of Discovery are parent engagement and community collaboration. Through the first eight years of the Discovery initiative, local collaborative groups have been established in more than 50 communities statewide. In partnership with a coalition of organizations statewide, these community collaborative tables are working to improve educational success for young children.

The Memorial Fund's strategic plan also includes continuing engagement in instructional leadership development in the PreK-12 system. All of the work responds to the Memorial Fund mission: *to improve the effectiveness of education in fostering both personal development and leadership.*

The greater part of our resources continue to support early childhood education; the Discovery initiative aims to achieve this result:

*Connecticut children of all races and income levels are ready for school by age five and are successful learners by age nine.*

To advance this result, families need equal access to quality services for all children. The Memorial Fund will continue to lead and support community change and policy reform efforts that establish an early childhood education system in Connecticut. In her report, “American Early Childhood Education: Preventing or Perpetuating Inequity?” Dr. Sharon Lynn Kagan makes a case for using a systemic approach to early childhood reform. She finds that “quality and equality will emerge only when fiscal and policy attention is accorded to both programs and their underlying infrastructure.”

According to Kagan’s research, the infrastructure necessary to support the varied programs for young children would include, for example: common licensing standards, a quality rating system, early learning standards, measurement and reporting, early childhood teaching credentials, comparable wages, universal pre-k for all 3- and 4-year-olds, and facilities expansion and improvement. Our own experience over the last eight years, and community input into our planning process would expand this definition of infrastructure to include other capacities, such as: local decision-making structures, parent engagement, results-based community plans, integration of state and local advocacy, and measurement of progress.

The Memorial Fund is therefore interested in supporting community change and policy reform efforts that contribute to:

*Building an early childhood system at both the state and local levels, with communities as full partners from creating the vision to implementation.*

The following strategies support the building of an early childhood education system in Connecticut:

- *Increase parent engagement and leadership in early care and education through information, support and leadership development.*
- *Improve the quality of and access to family- and center-based early care and education for children from birth through age five.*
- *Improve the quality of PreK-3 education by increasing practice and policy alignment across all grades in curriculum, standards, assessment, professional development, instructional methods, transitions, resource deployment, and parent engagement.*
- *Increase state and local capacity for storytelling, measurement and accountability.*

The Memorial Fund will pursue these strategies through partnership and leverage, knowledge development, capacity building, advocacy, and communications. Across all strategies we want to help close Connecticut’s achievement and preparation gaps and to address issues of economic and racial equity. Most importantly, we are looking to engage more deeply with all our partners in Connecticut and nationally to continue to improve the lives of young children. Partnership is a deeply-held Memorial Fund value. These times call for extraordinary partnerships. Together

we will be stronger, and our children, of all races and income levels, can indeed be ready for school by age five and successful learners by age nine.

Learning and knowledge development are necessary both to achieve our desired results through the outlined strategies and to share our lessons with others. We invite scholars, researchers and evaluators to explore the issues close to our work and to participate in a dialogue with us and our partners about these. We support rigorous inquiry from various disciplinary and methodological perspectives and encourage investigators to take risks in constructing, with us, multi-faceted approaches to understanding and documentation. We therefore ask our knowledge development grantees to engage with each other and Memorial Fund staff and partners, and also to consider widespread dissemination approaches for contributing their research based perspectives and insights to a broader public conversation.

## **II. Overview of Knowledge Development**

Knowledge development at the Memorial Fund attempts to be about: meaning making, not just information gathering; conversations about data, not just data collecting; participation and sharing in knowledge activities, not just report writing; and contributions to the fields of philanthropy, education and community change benefiting children, not just internal discussion.

### **Emerging Lines of inquiry**

With the above strategies, the Memorial Fund supports work in advocacy, capacity building and instructional improvement as all key to educational change. The following lines of inquiry encompass our areas of research interest and also form a basic research theory of change that guides our learning agenda. Although Discovery is the primary investment of the Memorial Fund, the foundation investments span efforts of prek-12 educational improvement.

**Early childhood Needs** – we believe that early child care and education is essential to achieving the result that “*children from all races and economic backgrounds being ready to learn at age 5 and successful learners at age 9.*” Increasingly we are focusing on early literacy as the foundation of future success. We know that the demographics of communities too often determine success and that quality early care can contribute to success for all children.

**Change process through networks and collaboration** – we believe that change is necessary to improve early child care and education and to sustain any gains made in early childhood. A large part of change involves connecting people who care for kids in a network that learns together and can prompt communities and school systems to change according to the needs of children and families.

**Parent engagement** – we believe that the first step to ensuring change is to support the adults in children’s lives, most importantly those who are closest, care most and are socially and legally responsible for the 24 hour care of children. Essential to supporting parent engagement is parent access to information and leadership development.

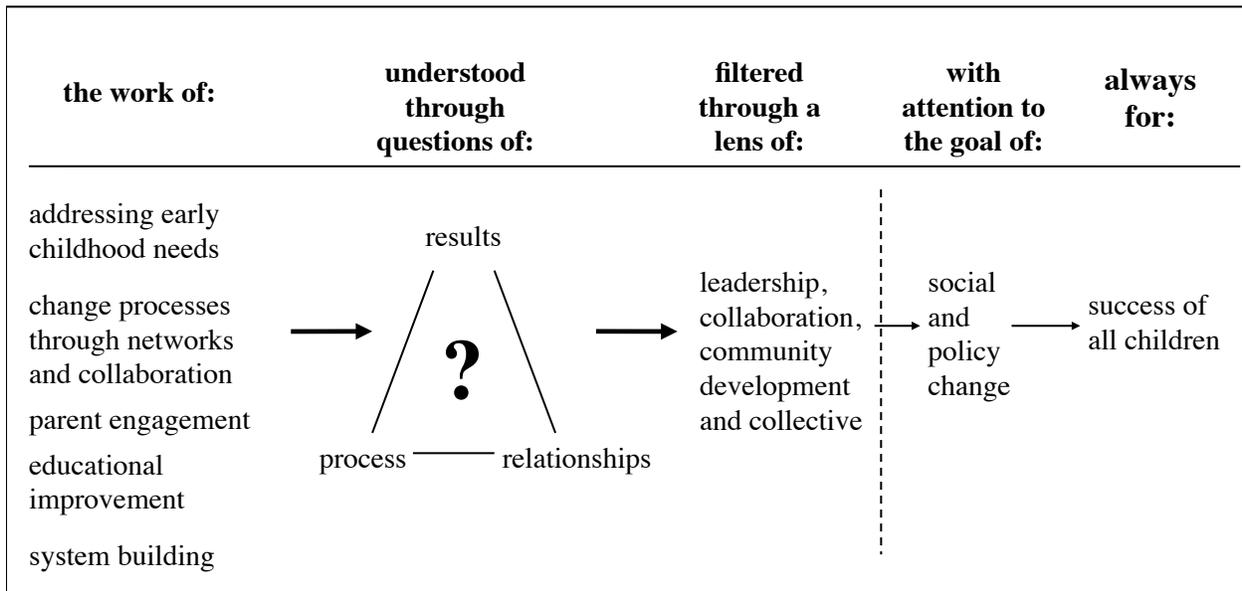
**Educational improvement** – we believe that parents are not the only people responsible for the care and education of children. There are many other people who commit their time to care and educate and the prek-12 system needs caring people. Indeed children themselves also have power as it relates to their own learning. Supporting those who engage each other and our children in their own learning is essential to ensuring that children are nurtured and flourish.

**System building** – we believe that a network of people who care for children can come together to build a system for early care and education and indeed that the system will be designed more effectively and function better if all those adults who care about children are involved in constructing the system together.

**And ultimately contributing to early care and education:** We believe that supporting adults, especially parents and others who care for children and are concerned about their education, will make an important contribution to addressing the needs of children in Connecticut. This includes bringing people together in change processes through networks that can critique policy, structures and practices, and can collaborate in advocating for improved access to quality education and creating a formal system to govern and implement early care and education. We are interested in learning how the Memorial Fund’s work in this area contributes to the success of all children.

**Questions of contribution**

Although our learning agenda is about educational change, the lines of inquiry all relate to the overall question of the contribution of the Memorial Fund to the success of all children. The following frame helps us to ask questions about accountability.



**III.**

**Overview of desired inquiry**

**[insert details of request]**





## **VI. INQUIRY PROPOSAL**

*(Narrative section should not exceed ten (10) pages single-spaced.)*

### **1. Background and purpose of this work**

Briefly describe the purpose and process as you understand it from the background information provided thus far.

### **2. Conceptual framing**

Describe how you frame your research approach with particular attention to how you might engage with Memorial Fund staff and potentially grantees in the inquiry design and implementation.

### **3. Research design**

Briefly describe any initial ideas you have for this research design.

### **4. Conclusion**

Describe the types of contributions this research may make beyond the Memorial Fund (e.g. practical, policy, literature).

### **5. Human subjects protection information**

It is expected that the researchers will meet all professional standards for appropriate treatment of research participants and obtain written permission from participants regarding use of names, quotes and identifiable information. The Memorial Fund will provide a standard release form to be used as necessary. Describe the researcher's approach to ethical treatment of participants along with any information about institutional requirements of review that will be met prior to the study initiation. Copies of related approvals will be requested prior to the start of the study. It is expected that the principal investigator will take reasonable steps to secure the project data, in all its forms, in accordance with the requirement to protect confidentiality of participant information.

### **6. Deliverables**

Describe specific deliverables (e.g. reports, learning tools) to be made to the Memorial Fund. The Memorial Fund retains sole right to review, request edits, publish and disseminate these deliverables, in part or in their entirety with appropriate authorship credit given to the researcher and community participants who contribute meaningfully to the content of the written deliverables. This section should include the ways in which the researcher intends to constructively share findings with Memorial Fund staff and/or research participants.

### **7. Dissemination strategy**

It is anticipated that the author(s), as part of their own research, teaching and service agendas, will identify a minimum of three opportunities (in addition to the deliverable above) to use the project data and disseminate the findings from the study broadly through conferences, publications, course inclusion, and other means. The specific opportunities pursued may be negotiated over the course of the grant to take advantage of real opportunities that arise.

Acknowledgement of the Memorial Fund contribution is expected whenever doing so will not breach the confidentiality agreements with participants. We request prior notification of any public release of the study. Please describe, in this section, the three opportunities.

## **8. Timeline**

Please describe your timeline from design through implementation and including deliverable dates.

## **9. Budget narrative**

This section should provide an itemized budget for the initial design phase of the work. Please note that Memorial Fund policy prohibits the inclusion of overhead costs. We will be happy to provide a letter to this effect for institutional files.

## **10. Works Cited**

List any references included in this grant proposal.

## **11. Appendices**

### **Principal investigator**

- Curriculum vitae of lead researcher
- Publication excerpt of principal investigator (maximum 5 pages)

### **Organization/institution**

- Budget for last fiscal year for unit where work is to be housed (e.g. research center, department, university)
- Letter of determination of tax exempt status and E.I.N. number
- Audited financial statements - most recent
- Annual report - most recent
- List of board members

# GRANT AWARD MEMORANDUM

Project Title  
Organization Legal Name  
Grant ID #

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**Grant Period:** [Grant period]

**Total Award:** [Grant Amount]

**Project Description:** [add per grant details]

**Measures of Success:**

The [org legal name] will, based on information contained in the funding proposal, demonstrate the extent to which the following were achieved during the time period of this grant.

[add grant details]

**Principal Investigator:** [PI's name] will be the principal investigator on behalf of the [Org Legal Name] and will serve as the primary contact person on all items related to this agreement.

**Conditions of the Grant Award:**

1. *Program and Fiscal Accountability*

The Grantee will provide the following deliverables based on the approved proposal.

2. *Reporting Schedule and Funds Disbursements*

The Grantee will provide interim and final narrative and fiscal reports.

a) Deliverables are due according to the schedule below:

Quarterly Progress Reports to be submitted in the first two weeks of the month following the quarter until the project is completed.	Reports are due by
Reports should include progress on project goals as outlined in the proposal, any challenges encountered, and percentage of time spent on the project for purposes of both accrual accounting and documenting the progress of the work.	Second week of April, July, October and January
Standard form will be provided.	
Deliverable #1:	
Deliverable #2:	

Deliverable #3:	
Deliverable #4:	
Deliverable #5:	
Final Fiscal Report	Submitted not later than two months after completion of grant.

b) Funds will be disbursed as follows:

First Payment	Upon receipt of signed Agreement	
Second Payment		

**3. Evaluation**

The Grantee will participate in the formal evaluation commissioned or conducted by the Memorial Fund. In addition to any evaluation proposed as part of this grant project, the Grantee will also commit to completing requests for information or surveys along with the mid-year and the final narrative and fiscal reports due for this project.

**4. Antidiscrimination Statement**

The Grantee commits to adhere to antidiscrimination policies in its governance, employment and service delivery practices on the basis of sex, race, creed, color, national origin and sexual orientation.

**5. IRB and participant confidentiality**

To protect participant confidentiality, all tapes, transcripts and notes will remain the property of the researcher(s). The researcher(s) retains rights of interpretation and editorial discretion. However, it is the practice of the Memorial Fund to encourage researchers to contact for consent and, when appropriate obtain written permission from participants to use identifiable quotes or visual images.

Where institutional regulations require an institutional review process to protect research participants, all forms received from the IRB in relation to this work should be submitted to the Memorial Fund.

**6. Confidentiality**

The Grantee agrees not to disclose any matters related to Memorial Fund operations that are confidential in nature which he or she may be privy to as a result of this Agreement.

**7. *Right to review***

The Memorial Fund will be provided the opportunity to review all specific deliverables in this agreement. A minimum of three weeks must be given for this review unless a shorter timeframe is approved.

The Memorial Fund will be provided copies of all other dissemination pieces that make reference to the Memorial Fund during and beyond the funding cycle.

Reasonable notice of press conferences and other media events related to the project will be provided.

**8. *Memorial Fund use and dissemination of materials***

The Memorial Fund retains the right to reuse, without additional compensation, any materials developed within the scope of this agreement including but not limited to formulas, survey and interview protocols, analysis tools and related products providing such reuse is consistent with the Memorial Fund's not for profit status and not for commercial purposes.

The Memorial Fund retains the right of independent dissemination of all deliverables and will do so with proper attribution to authors, organizations and agreed upon contributors.

**9. *Advisory groups***

The Memorial Fund reserves the right to serve on any advisory groups that are deemed necessary for the implementation of this work and to participate in the selection of additional members.

**10. *Use of Memorial Fund name***

The Grantee may use the name of the William Caspar Graustein Memorial Fund and/or logo with express permission only.

**11. *Acknowledgement of the Memorial Fund***

The Memorial Fund will be acknowledged as a funder in all materials related to this work during and beyond the funding cycle.

**12. *Communications***

The Memorial Fund will be provided with the opportunity to review and comment on written communications that contain references to the Memorial Fund.

**13. *Completion of work***

The Grantee agrees to notify the Memorial Fund at the first sign of any change to the expected project effort that may affect the schedule of deliverables.

**14. *Conditions***

The Grantee agrees to the following as conditions of the grant award:

[PI's name] role as PI is critical to achieving the goals of this agreement. Any changes to the key staff of this project must be approved in advance by the Memorial Fund.

The terms of this agreement cannot be changed or modified without written notification by duly appointed representatives of the Org\_Legal\_Name, and the written approval of the Memorial Fund. Signatures below and endorsement of grant award checks constitute agreement with all the terms and conditions as set forth in this Grant Award Memorandum.

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[Name], Executive Director  
William Caspar Graustein Memorial Fund  
One Hamden Center  
2319 Whitney Avenue Suite 2B  
Hamden, Connecticut 06518  
Tel: 203 230-3330  
Fax: 203 230-3331

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[Organization contact]

Date

Date

**William Caspar Graustein Memorial Fund  
Knowledge Development Quarterly Progress Report**

**Grantee/Consultant Name:**

\_\_\_\_\_

**Organization and Fiscal Agent (if applicable)**

\_\_\_\_\_

**Project**

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

**Grant/Contract Number:** \_\_\_\_\_

**Date of report:**

\_\_\_\_\_

**Please provide brief, bulleted responses, which we will discuss in relation to our contract or grant agreement.**

**What progress have you made this quarter on overall project goals?**

**What deliverables have you worked on in this quarter and how are those progressing?**

**How have you shared this work publicly (please include any written or video documentation)?**

**Accrual Accounting:**

**What percentage of resources (including time) have been expended to date?**

**Based on your estimation of the total effort it will take to complete our shared agreement, do you have any concerns about the deliverables being completed on time? If so, what are the implications?**

**Reflective notes:**

**What are the accomplishments or highlights you want to share for this quarter (up to three)?**

**What are the challenges (up to three) that you want to share for this quarter (project specific, institutional or other)?**

**Is there anything you think we should work together on to improve our process in completing this work?**

**What are any next steps that you would like to share or discuss?**