

**CONNECTICUT STATE DEPARTMENT OF EDUCATION**  
Division of Teaching, Learning and Instructional Leadership  
Bureau of Curriculum and Instruction

**Request for Proposals**

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**INVESTING AND PERSONAL FINANCE EDUCATION  
PROFESSIONAL DEVELOPMENT/TECHNICAL  
ASSISTANCE ACTIVITIES**

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**July 1, 2008 – June 30, 2009**

**Purpose:** To provide professional development and technical assistance activities for Connecticut's program professionals in order to assist them in providing quality educational services in investing and personal finance education.

**Proposals Due:** June 9th, 2008

**Published:** May 2008

# **CONNECTICUT STATE DEPARTMENT OF EDUCATION**

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

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**AN EQUAL OPPORTUNITY/AFFIRMATIVE ACTION EMPLOYER.**

**PROFESSIONAL DEVELOPMENT ACTIVITIES**  
**May 1, 2008 – June 30, 2009**

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# **REQUEST FOR PROPOSALS PROFESSIONAL DEVELOPMENT ACTIVITIES**

## **I. GENERAL INFORMATION**

### **A. Introduction/Purpose:**

Financial literacy refers to the basic skills people need to manage money and make financial decisions. People are financially literate when they understand money, income and taxes, budgeting, banking, saving, investing, credit, insurance and retirement planning and managing money for economic self-sufficiency. The average student who graduates from high school lacks basic skills in the management of personal finance affairs. Many are unable to balance a checkbook and most lack the insight into the basic survival principles involved with earning, spending, saving and investing. Many young people fail in the management of their first consumer credit experience, establish bad financial management habits and stumble through life learning by trial and error.

According to the Connecticut General Statutes (CGS) of the Subsection (d) of Section 10-16b, the State Board of Education shall make assist local and regional boards of education in developing instructional programs in personal financial management as Section 10-16b of the C.G.S. provides that The State Board of Education shall make available curriculum materials and other materials to assist local and regional boards of education in developing instructional programs, including a program for personal financial management.

In response to CGS Section 10-16b this RFP is intended to provide an opportunity for the development of an investing and personal finance education program. This program will provide:

- content knowledge and skills in investing and financial education for educators;
- quality professional development and technical assistance for teachers and administrators responsible for personal finance education; and
- investing and financial skills for students that will enable them to apply effective financial decision-making as they transition into postsecondary education and/or the workforce.

It is the intent of the State Department of Education (SDE) to enter into, subject to the availability of funding, a comprehensive 12-month agreement to provide coordinated professional development and technical services activities, as well as other services listed above with funding provided by the State Department of Banking.

### **B. Eligible Applicants:**

This project is a limited solicitation directed towards educational entities including the regional educational service centers (RESCs), other professional agencies/organizations and non-profit organizations with experience in personal finance that are able to demonstrate their ability to provide professional development activities for Adult and Career and Technical Education. Applicants must demonstrate their ability to provide professional development and technical assistance in career development and postsecondary opportunities in investing and personal finance.

### **C. Applicant Format:**

To be considered for funding, all applications must include the following:

1. Five (5) copies of the proposal with one (1) bearing an original signature of the official legally authorized to apply for the agency. All proposals submitted become the property of the Division of Teaching, Learning and Instructional Leadership and a part of the public domain.

2. Proposals must address the purpose of the project on page 4 and follow the guidelines on pages 5 through 7 and Appendices A through I.

**D. Contract Period:**

July 1, 2008, to June 30, 2009.

**E. Funding Level:**

Anticipated funding level: \$50,000 for a 12-month period.

**F. Application Deadline:**

Proposals (original and four copies), **irrespective of postmark date and means of transmittal, must be received by 5:00 p.m. on Monday, June 9, 2008.** Only proposals with the original signatures will be accepted as timely. **Extensions will not be given.**

Proposals should be sent to:

**Mailing Address**

Lee C. Marcoux, Program Manager  
CT State Department of Education  
Bureau of Curriculum and Instruction  
P.O. Box 2219  
Hartford, CT 06145

**Delivery Address**

Lee C. Marcoux, Program Manager  
CT State Department of Education  
Bureau of Curriculum and Instruction  
165 Capitol Avenue, Room 363  
Hartford, CT 06106

**G. Proposal Review:**

Completed proposals will be reviewed and rated by the SDE according to the criteria in Appendix F.

**H. Disposition of Applications:**

Applicants will be notified of the acceptance or rejection of their proposals within approximately one week of the submission deadline date. If a proposal is selected for funding, a contract will be initiated by the Bureau of Curriculum and Instruction. The content and cost of proposals are subject to negotiation prior to the final contract.

**I. Contract Awards:**

The SDE reserves the right to make contract awards under this program without discussion with the applicants; therefore, proposals should represent the applicant's best effort from both a technical and cost standpoint. The SDE reserves the right to reject all proposals and to conduct a more extensive proposal solicitation, to fund more than the stated number of proposals should they be deemed to have particular merit and to reject a lower cost proposal if a higher cost proposal more appropriately meets the stated objectives.

**J. Obligations:**

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

**K. Freedom of Information Act:**

All of the information contained in a proposal submitted in response to this RFP is subject to the provisions of Freedom of Information Act C.G.S. Sections 1-200 et seq. (FOIA). 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.

**L. Utilization of Minority Business Enterprises:**

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

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

**M. Fiscal Responsibility and Reporting Requirements:**

The contractor will be responsible for adherence to all state and federal regulations governing expenditures, accounting and reporting requirements and shall prepare and submit all reports as required by the SDE.

**II. PURPOSE OF THE PROJECT**

**A. Funding Source:**

This contract is intended for the development or enhancement of an investing and personal finance education program including quality professional development and technical assistance. The program will provide educators with content knowledge and skills that will enable them to assist students in applying effective financial decision-making as they transition into postsecondary education and/or the workforce.

**B. Objectives of Project:**

- establish a plan for investing and personal finance professional development workshops;
- explain the model curriculum, lesson activities and assessments that will be created using the Connecticut Personal Finance Standards and Competencies and the Career and Technical Education Academic Foundation Standards (see Appendix I);
- provide promotional brochures and information related to investing and personal finance that can be used by school districts;
- establish a plan for facilitating work-based learning and mentoring activities for students and teachers involved in investing and personal finance activities;
- create an investing and personal finance advisory board that will assist in the creation of model curriculum, promotional information and work-based mentoring activities for students and teachers;
- revise the Connecticut Personal Finance Management Resource Guide;
- establish a plan for data collection of academic and skill attainment, the number of schools offering personal finance, the impact on student learning and all students who will be pursuing a finance career; and
- create and maintain a website with all the resource materials produced.

### III. GUIDELINES FOR PREPARING THE PROPOSAL

The proposal must be typed on one side of standard (8 1/2" x 11"), double spaced, un-ruled, white paper and stapled, not bound. The font must be set at 12 point size. Five copies must be received by the deadline date. One of the five copies must bear the original signature(s) of the authorized official(s) of the submitting agency on both the cover page and the Statement of Assurances. A table of contents should be included that references the responses to the required information. Pages must be numbered consecutively, beginning with the abstract page. All proposals must adhere to the format described in this section. Any information such as visuals or charts, which can simplify the evaluators' understanding of the submitted project, is appreciated.

**A. Cover Page (Appendix A, page 7):**

A model for the format of the cover page is provided with this RFP. The cover page must contain all required information.

**B. Abstract (Appendix B, page 8):**

A model for the format of the program abstract is provided. The abstract should briefly describe the major components of the program design and not exceed one page.

**C. Organization's Background (Narrative):**

Describe the general background, experience and purpose of the organization. Include history, type of service, population(s) and geographical areas served. Describe how the project will relate to your organization's mission.

**D. Project Design (Narrative):** Describe the general design of the project and why it is particularly appropriate to meet the objectives. Objectives should be clearly stated and measurable. Describe the methods and procedures which will be used to implement the project. Indicate how each phase of the project components, under each of the funding sources, will be administered and coordinated for each year of the project. **It is strongly recommended that a matrix, in chronological order, be used to delineate each component by the following:**

1. the activity to be performed;
2. the timeline for completion of the activity;
3. indicators of achievement;
4. staff assigned; and
5. percentage of staff time to be spent on the activity.

**E. Documentation and Evaluation (Narrative):**

Describe how you will measure the project's progress and effectiveness in achieving its stated objectives. A mid-year progress report will be required by January 15, 2009. A final report, including a self-evaluation, will be due on or before June 30, 2009.

**F. Administration and Personnel (Narrative):**

Describe the administrative structure, including the fiscal agent, project staff, advisory committees and outside consultants, if any. Describe how the project will be managed in order to achieve stated objectives. Include all cooperating agencies or institutions that are providing services. Identify project staff qualifications and the duties for each position. Describe the percentage of time each staff member will devote to this project. If you will be using volunteers, describe their roles. Identify any previous experiences of the agency and personnel in providing similar services.

**G. Budget (Appendix C):**

Complete and submit the attached budget form. A detailed line item budget narrative must accompany the proposal. It must identify all costs associated with the project and support the project purpose and objectives (**Appendix D Master Budget Code Descriptions**).

**H. Other Information:**

- Edit Check – Complete the Proposal Edit Check (**Appendix E**) prior to submitting the proposal.
- Disclosure of Federal Funding in Public Announcements – When issuing statements, press releases, RFPs, bid solicitations, and other documents describing this project, the recipient shall state clearly: (1) the dollar amount of state funds for the project; and (2) the percentage of the total cost of the project that will be financed with state funds.
- Miscellaneous – Provide a brief statement about each of the following:
  1. whether or not this or a similar proposal has been submitted to any other agency or organization;
  2. whether or not this or a similar proposal has been submitted to this division or any other division of the SDE; and
  3. whether or not this proposal is an extension of, or addition to, a previous or existing project; if yes, give details.

**I. Statement of Assurances:**

One of the five copies of the proposal being submitted must bear the original signature(s) of the authorized official(s) of the applicant on the Statement of Assurances (**Appendix G**).

**J. Affirmative Action:**

SEE SUPPLEMENTAL AFFIRMATIVE ACTION PACKET (**Appendix H**).

**K. Submission Information/Reporting:**

Each proposal shall include the following statement: “Five copies of the final report will be submitted to the Career and Technical Education Unit, Bureau of Curriculum and Instruction, Division of Teaching, Learning and Instructional Leadership within sixty (60) days after completion of the project.” The report should include any product that was developed and a description of the process used to develop the product.

**APPENDIX A**

**PROPOSAL COVER PAGE FORMAT**

**PROFESSIONAL DEVELOPMENT ACTIVITIES**

Title Of Project: \_\_\_\_\_

Applicant Organization: Name and address of RESC or other agency

Initiated by: Full name, position, telephone number and extension of person responsible for developing the proposal

Project Director: Full name, position, address, telephone number and extension of person who will be in charge of the project

Submitted by: Full name, position, telephone number and extension of person authorized to commit agency to the project if it is selected; e.g., chief executive officer of agency

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

Total Project Costs \$ \_\_\_\_\_

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

**APPENDIX B**

**ABSTRACT PAGE FORMAT**

Starting on a separate sheet, provide a one-page, single-spaced abstract of the project by *each* funding source. Insert the abstracts immediately following the cover page.

**Title of Project:** \_\_\_\_\_

**Project Director:** \_\_\_\_\_

**Applicant Organization:** \_\_\_\_\_

**Total Project Funds Requested:** \_\_\_\_\_

**Funding Source:** \_\_\_\_\_

**Beginning Date:** July 1, 2008

**Ending Date:** June 30, 2009

**OBJECTIVES:** State briefly the objectives of the project.

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**PROJECT DESIGN:** Give a brief description of the overall design or plan of the project.

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**APPENDIX C**

**ED 114 FISCAL YEAR 2008**

**BUDGET FORM**

**FUNDING STATUS:**

<b>NAME:</b>		
<b>TITLE:</b> Investing and Personal Finance Education Professional Development/Technical Assistance Activities		
<b>CORE-CT CLASSIFICATION:</b> FUND: 12060                      SPID: 35351                      PROGRAM: 84013		
<b>BUDGET REFERENCE:</b> 2008		<b>CHARTFIELD1:</b> 170003 <b>CHARTFIELD2:</b> SDE00070
<b>PERIOD:</b> 07/01/2008 - 6/30/2009		<b>AUTHORIZED AMOUNT:</b> \$
<b>AUTHORIZED AMOUNT by SOURCE:</b>		
<b>LOCAL BALANCE:</b> \$		<b>CARRY-OVER DUE:</b> \$ <b>CURRENT DUE:</b> \$
<b>CODES</b>	<b>DESCRIPTIONS</b>	<b>BUDGET</b>
111A	ADMINISTRATOR/SUPERVISOR SALARIES	
111B	TEACHERS	
119	OTHERS	
200	PERSONAL SERVICES-EMPLOYEE BENEFITS	
322	IN SERVICE	
330	OTHER PROFESSIONAL TECHNICAL SERVICES	
400	PURCHASED PROPERTY SERVICES	
510	PUPIL TRANSPORTATION	
530	COMMUNICATIONS	
590	OTHER PURCHASED SERVICES	
	<b>TOTAL</b>	

## APPENDIX D

### MASTER CODE BUDGET DESCRIPTION

#### Object Code Descriptions

**111A Administrator/Supervisor Salaries**

Amounts paid to administrative employees not involved in providing direct services to pupils/clients. Include all gross salary payments for these individuals while they are on the 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 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 you are paying employee benefits, and who is on the payroll, is included; a person who is paid a fee with no obligation for benefits is not.

**119 Other**

Salaries paid for any other employee not fitting into Objects 111A or 111B. Include the gross salaries for these individuals, including overtime salaries or temporary employees. Included can be janitorial personnel costs, activity coordinators' salaries and food service personnel.

**200 Personal Services – Employee Benefits**

Amounts paid on behalf of the employees whose salaries are reported in Objects 111A, 111B 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, 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.

**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 payroll.

**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.

**400 Purchased Property Services**

Expenditures for services to operate, repair, maintain and rent property owned and/or used. These are payments for services performed by persons other than 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 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 the 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 Communications**

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.

**590 Other Purchased Services**

All other payments for services rendered by organizations or personnel not on the payroll but detailed in 510, 530. These include: Insurance Costs (other than employee benefits) – payments for all types of insurance coverage including property, liability and fidelity; Printing and Binding – publication costs; and, Advertisement – any expenditures for announcements in professional publications, newspapers or broadcasts over radio or television including personnel recruitment, legal ads and the purchase and sale of property.



**APPENDIX F  
EVALUATION CRITERIA  
PROFESSIONAL DEVELOPMENT**

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

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

- 1. The proposal addresses the minimum requirements.  Yes  No
- 2. Educational experience with staff training and professional development for educators  Yes  No
- 3. The applicant has completed the GEPA attestation form.  Yes  No

**NOTE:** If any of the above are “NO,” do not proceed.

YES: 3 points  
NO: 0 points

Criteria are to be rated according to the five point scale:	N/A	Missing	Poor	Fair	Average	Good	Excellent
	0	0	1	2	3	4	5
<b>1. Program Design (Max = 30 points)</b> a) describes the general design; b) addresses coordination between the agency and service providers; c) describes how the objectives will be met; d) describes the management of the project; e) describes the implementation plan for each of the objectives; and f) clearly states expected results.							
<b>2. Timeline (Max = 10 points)</b> a) includes practical timeline and matrix; and b) presents logical plan for continuation of planned activities.							
<b>3. Evaluation (Max = 10 points)</b> a) describes how objectives will be measured; and b) describes self-evaluation design.							
<b>4. Administrative and Personnel (Max = 15 points)</b> a) describes administrative structure and background and experience of persons conducting activities; b) provides evidence of efficient use of staff; and c) identifies percentage of time to project tasks is identified.							
<b>5. Budget (Max = 10 points)</b> a) is reasonable for scope of the program and includes narrative with line item explanation and justification; and b) is cost effective as it relates to the services provided.							
<b>6. Other Information (Max = 6 points)</b> a) addresses management, reporting, assurances, affirmative action packet and includes necessary signatures; and b) edit check completed.							
<b>Total possible points: 84</b>							
<b>TOTAL SCORE:</b>							

**APPENDIX G**  
**Statement of Assurances**

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

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

**THE APPLICANT:** \_\_\_\_\_ **HEREBY ASSURES THAT:**

(Insert Company Name)

- A.** The applicant has the necessary legal authority to apply for and receive the proposed contract;
- 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 contract 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.** 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;
- F.** 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 this project;
- G.** 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 contract;
- H.** The contract award is subject to approval of the State Department of Education and availability of state or federal funds.
- I.** 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) For purposes of this section, "Commission" means the Commission on Human Rights and Opportunities.

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

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

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

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

may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

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

Signature \_\_\_\_\_

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

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

Date \_\_\_\_\_

Rev. 6/99

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

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

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

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

**The following are appended hereto:**

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

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

Affirmative Action Office  
State Department of Education  
(860) 566-7619

**NOTIFICATION TO BIDDERS**

The contract to be awarded is subject to contract compliance requirements mandated by Section 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Section 46a71(d) and 46a-81 i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies which establish a procedure for the awarding of all contracts covered by Sections 46a-71(d) of the Connecticut General Statutes.

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

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

- a) the bidder's success in implementing an affirmative action plan;
- b) the bidder's success in developing an apprenticeship program complying with Section 46a-68-1 to 46a-68- 17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- c) the bidder's promise to develop and implement a successful affirmative action plan;
- d) the bidder's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and
- e) the bidder's promise to set aside a portion of the contract for legitimate minority business enterprises. **See** Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.
- f) the bidder's certifies firm is not listed on debarment lists promulgated pursuant to CGS, Section 31-53a and 34 CFR Part 85., Appendix A of federal statutes.

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

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

Signature	Date
<b>On behalf of:</b>	
	<u>Project No:</u>
Organization Name	

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

**CONTRACT COMPLIANCE**

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

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

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

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

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

**CONNECTICUT COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES  
WORKFORCE ANALYSIS**

Contractor Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Total number of CT employees:  
 Full-time \_\_\_\_\_ Part time \_\_\_\_\_

Complete the following Analysis for employees of Connecticut work sites who are:

JOB CATEGORIES	OVERALL TOTALS (SUM OF ALL COLS. MALE & FEMALE)	WHITE (NOT OF HISPANIC ORIGIN)		BLACK (NOT OF HISPANIC ORIGIN)		HISPANIC		ASIAN OR PACIFIC ISLANDER		AMERICAN INDIAN OR ALASKAN NATIVE		PEOPLE WITH DISABILITIES	
		MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE
OFFICIALS & MANAGERS													
PROFESSIONALS													
TECHNICIANS													
PARAPROFESSIONAL													
SALES WORKER													
OFFICE & CLERICAL													
CRAFT WORKERS (Skilled)													
OPERATIVES (Semi-skilled)													
LABORERS (unskilled)													
SERVICE WORKERS													
TOTALS ABOVE													
TOTALS ONE YEAR AGO													

**FORMAL, ON - THE JOB TRAINEES (Enter figures for the same categories as are shown above).**

Apprentices													
Trainees													

EMPLOYMENT FIGURES WERE OBTAINED FROM VISUAL CHECK: EMPLOYMENT RECORDS: OTHER: \_\_\_\_\_

- Have you successfully implemented an Affirmative Action Plan? Yes: \_\_\_\_\_ Date of implementation \_\_\_\_\_  
 Not Applicable: \_\_\_\_\_ Explain: \_\_\_\_\_  
 (a) Please submit a summary of your Affirmative Action Plan.
- Have you successfully developed an apprenticeship program complying with Sec. 46a-68-17 of the Connecticut Department of Labor Regulations, inclusive? Yes: \_\_\_\_\_ No: \_\_\_\_\_ Not Applicable: \_\_\_\_\_ Explain: \_\_\_\_\_
- According to EEO-1 data, is the composition of your workforce at or near parity when compared with the race and gender composition of the workforce in the relevant labor market area? Yes: \_\_\_\_\_ No: \_\_\_\_\_ Explain: \_\_\_\_\_
- If you plan to subcontract, will you set aside a portion of the contract for legitimate minority business enterprises?  
 Yes: \_\_\_\_\_ No: \_\_\_\_\_ Explain: \_\_\_\_\_

\_\_\_\_\_  
 Contractor's Authorized Signature  
 [WFA 6/99]

\_\_\_\_\_  
 Date

## DEFINITIONS FOR WORKFORCE ANALYSIS

### **RACE/ETHNIC IDENTIFICATION:**

You may acquire the race/ethnic information necessary for this report either by visual surveys of the Workforce, or from records as to the identity of employees after the starting date of employment.

Please note that conducting a visual survey and keeping records of the race/ethnic identity of employees is legal in all jurisdictions and under all Federal and State Laws.

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purpose of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group.

### **DESCRIPTION OF JOB CATEGORIES:**

**Officials and managers:** Occupations requiring administrative managerial personnel who set broad policies, exercise overall responsibility for execution of these policies, and direct individual departments or special phases of a firm's operations. Includes: *officials, executives, middle management, plan managers, department managers, and superintendents, salaried supervisors who are members of management, purchasing agents and buyers, railroad conductors and yard masters, ship captains, mates and other officers, farm operators and managers, and kindred workers.*

**Professionals:** Occupations requiring either college graduation or experience of such kind and amount as to provide a comparable background. Includes: *accountants and auditors, airplane pilots, and navigators, architects, artists, chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, registered professional nurses, personnel and labor relations specialists, physical scientists, physicians, social scientists, teachers, and kindred workers.*

**Technicians:** Occupations requiring a combination of basic scientific knowledge and manual skill which can be obtained through two (2) years of post-high school education, such as is offered in many technical institutes and junior colleges, or through equivalent on-the-job training. Includes: *computer programmers, drafters, engineering aides, junior engineers, mathematical aides, licensed practical or vocational nurses, photographers, radio operators, scientific assistants, surveyors, technical illustrators, technicians (medical, dental, electronic, physical science), and kindred workers.*

**Sales:** Occupations engaging wholly or primarily in direct selling. Includes *kindred workers.*

**Office and clerical:** All clerical type work regardless of level of difficulty. Includes *kindred workers.*

**Craft Workers:** (*skilled*) - Manual workers of relatively high skill level having a thorough comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. Includes *kindred workers.*

**Operatives:** (*semiskilled*) - Workers who operate machine or processing equipment or perform other factory-type duties of intermediate skill level which can be mastered in a few weeks and require only limited training. Includes *kindred workers.*

**Laborers:** (*unskilled*) - Workers in manual occupations which generally require no special training, perform elementary duties that may be learned in a few days and require the application of little or no independent judgment. Includes *kindred workers.*

**On-the job trainees:**

**Production:** Persons engaged in formal training as a craft worker - when not trained under apprentice programs - operative, laborer and service occupations.

**White collar:** Persons engaged in formal training for clerical, managerial, professional, technical, sales office and clerical occupations.

**CONTRACTOR'S MINORITY BUSINESS ENTERPRISES**

**UTILIZATION FORM**

NAME AND ADDRESS OF AWARDING AGENCY:	NAME AND ADDRESS OF CONTRACTOR:
--------------------------------------	---------------------------------

PROJECT NO:	_____
DATE AWARDED:	_____
DATE BID OPENED:	_____

**NOTICE TO CONTRACTORS:** Under Section 46a-68J-23(5) of the Contract Compliance Regulations, contractors are required to make GOOD FAITH EFFORTS to employ Minority Business Enterprises (MBEs) as subcontractors and suppliers of materials on all projects subject to contract compliance requirements. The contract which is referenced above is subject to contract compliance requirements.

**INSTRUCTIONS:** List the name and addresses of all MBEs you have selected as subcontractors and suppliers of materials for this project. If the MBEs selected as subcontractors and suppliers of materials meet the criteria for MBEs set out in Section 4a-60 of Connecticut General Statutes, contractors MUST complete the attached affidavit. If such business are not currently registered with the Department of Economic Development and if the contractor wishes the Commission on Human Rights and Opportunities (CHRO) to consider favorably the selection of an unregistered MBE in the evaluation of **the contractor's good faith efforts**, contractors MUST complete the attached affidavit. In either case, the affidavit must be filled out in triplicate, with the original sent to the CHRO, Contract Compliance Unit, 21 Grand Street, Hartford, Connecticut 06106; one copy sent to the Awarding Agency; and one copy retained by contractor. If the contractor does not wish the CHRO to consider selection of an unregistered MBE in its evaluation of the contractor's good faith efforts, no affidavit need be made.

*(Attached additional pages if necessary, using same headings.)*

NAME AND ADDRESS OF ALL MBE SUBCONTRACTOR(S) OR SUPPLIER(S) OF MATERIALS:	Check here if MBE(s) qualify under Section 4a-60 of the Conn. Gen. Statues.	Check here if MBE is unregistered but wants consideration for good faith efforts.
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This form developed pursuant to Section 46a-68j-23(5) of Regulations of Connecticut state Agencies concerning Contract Compliance.

**AFFIDAVIT**

I, \_\_\_\_\_ acting on behalf of \_\_\_\_\_ of which  
(Name of person signing certification) (Contractor)

I am the \_\_\_\_\_ Certify and affirm:  
(Title)

*Check if provision applicable:* \_\_\_\_\_ That the following minority business subcontractors and /or suppliers of materials that \_\_\_\_\_ has hired for Contract No. \_\_\_\_\_ with  
(Contractor)  
\_\_\_\_\_ meet the criteria for Minority Business Enterprises set  
(Awarding Agency)  
out in Section 4a-60 of the Connecticut General Statutes: \_\_\_\_\_  
(Lists names of Minority Business Enterprises that qualified under  
\_\_\_\_\_ current statutory requirements)

*Check if provision applicable:* \_\_\_\_\_ That the \_\_\_\_\_ has hired the following  
(Contractor)  
minority business subcontractors or suppliers of materials for Contract No. \_\_\_\_\_ with  
\_\_\_\_\_ that are not registered with the Department of  
(Awarding Agency)  
Economic Development, but which should be considered by the Connecticut Commission on Human  
Rights and Opportunities when evaluating \_\_\_\_\_ the  
(Contractor)  
good faith efforts:  
\_\_\_\_\_ (List names or unregistered MBEs)

I further certify and affirm that I have read and understand the contract compliance requirements codified at Section 4a-60 and Section 46a-7 1 (d) of the Connecticut General statutes.

I further certify and affirm that I have read and understand the contract compliance Regulations codified at Section 46a-68j-2 I through 43 of the Regulations of Connecticut State Agencies.

I understand that false statements made herein are punishable by law.

\_\_\_\_\_  
(Name of Corporation or Firm) (Signature and Title of Official Making the Affidavit)

Subscribed and sworn to before me, this \_\_\_\_\_ day of \_\_\_\_\_ 2000.

\_\_\_\_\_  
Notary Public/Commissioner of the Superior Court

My Commission Expires: \_\_\_\_\_

**CERTIFICATE OF CORPORATION**

I, \_\_\_\_\_ certify that I am the Secretary of the Corporation named in the foregoing instrument; that I have been duly authorized to affix the seal of the Corporation to such papers as require the seal; that \_\_\_\_\_, who signed said instrument on behalf of the Corporation was then \_\_\_\_\_ of said Corporation; that said instrument was duly signed for and in behalf of said Corporation by authority of its governing body and is within the scope of its Corporation powers.

\_\_\_\_\_  
(Signature of person certifying)

(Corporate Seal)

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

**AFFIRMATIVE ACTION  
POLICY STATEMENT**

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

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

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

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

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

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

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATED

**AFFIRMATIVE ACTION PLAN**

IF A CURRENT AFFIRMATIVE ACTION PLAN IS ON FILE WITH THE CONNECTICUT DEPARTMENT OF EDUCATION, COMPLETE THE STATEMENT WRITTEN BELOW AND SUBMIT AS PART OF THE PROPOSAL.

IF A CURRENT AFFIRMATIVE ACTION PLAN IS NOT ON FILE, COMPLETE THE ATTACHED AFFIRMATIVE ACTION PACKAGE AND SUBMIT AS PART OF THE PROPOSAL.

CERTIFICATION THAT A CURRENT AFFIRMATIVE ACTION PLAN IS ON FILE

I, the undersigned authorized official, hereby certify that the current affirmative action plan of the applying organization/agency is on file with the Connecticut State Department of Education. The affirmative action plan is, by reference, part of this application.

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title

## APPENDIX I

### CONNECTICUT STATE DEPARTMENT OF EDUCATION

#### **Business and Finance Technology Education Personal Finance Standard and Competencies**

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**Personal Finance:** The roles of consumers and citizens are to obtain knowledge and understanding about money management principles as they relate to personal financial decisions.

Apply a rational decision-making process as it applies to the roles of citizens, workers, and consumers.

- Identify various forms of income and analyze factors that affect income as a part of the career decision-making process.
- Develop and evaluate a spending/savings plan.
- Evaluate savings and investment options to meet short-term and long-term goals.
- Identify factors that affect the choice of credit, the cost of credit, and the legal aspects of using credit.
- Identify choices available to consumers for protection against risk and financial loss.