

## STATE OF CONNECTICUT PROCUREMENT NOTICE

### LEGAL NOTICE

#### Request for Proposal (RFP) # 2021-0091 for Best Practices in LGBTQ Tobacco Control

The State of Connecticut Department of Public Health is seeking proposals to implement programs and initiatives that will lower the rate of tobacco use among Connecticut residents and prevent the initiation of tobacco use, following recognized best practices as defined by the United States Department of Health and Human Services, Centers for Disease Control and Prevention.

This proposal seeks to find a community organization to take the lead in developing and implementing a strategic plan designed to address tobacco-related disparities among the lesbian, gay, bisexual, and transgender (hereafter LGBTQ+) population in Connecticut in a designated community in the state.

Year 1 includes recruiting community stakeholders, developing a coalition or working with an existing one to provide results from a community health needs assessment, develop a strategic plan, provide training opportunities, establish objectives and implement strategies and activities, collect data, develop a best practice document and identify barriers to success.

This is a competitive bid; all those seeking funding must submit a proposal and follow the guidelines of this RFP.

This Request for Proposal is available in electronic format on the State Contracting Portal at [http://www.das.state.ct.us/Purchase/Portal/Portal\\_Home.asp](http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp) or from the Department's Official Contact:

Name:	Katie Shuttleworth
Address:	410 Capitol Avenue, MS#11 HLS
	P.O. Box 340308
	Hartford, CT 06134-0308
Phone:	860-509-8251
Fax:	860-509-7854
E-Mail:	DPHTobacco@ct.gov

The RFP is also available on the Department's website at <http://www.ct.gov/dph/rfp> "Request for Proposals" A printed copy of the RFP can be obtained from the Official Contact upon request.

Deadline for submission of proposals is May 10, 2022 at 2:00 P.M.

## TABLE OF CONTENTS

	Page
Procurement Notice . . . . .	1
Section I — GENERAL INFORMATION . . . . .	3
A. Introduction . . . . .	3
B. Abbreviations / Acronyms / Definitions . . . . .	4
C. Instructions . . . . .	5
D. Proposal Format . . . . .	10
E. Evaluation of Proposals . . . . .	11
Section II — MANDATORY PROVISIONS . . . . .	13
A. POS Standard Contract, Parts I and II . . . . .	13
B. Assurances . . . . .	13
C. Terms and Conditions . . . . .	15
D. Rights Reserved to the State . . . . .	15
E. Statutory and Regulatory Compliance . . . . .	18
Section III — PROGRAM INFORMATION. . . . .	18
A. Department Overview . . . . .	18
B. Program Overview . . . . .	19
C. Main Proposal Components . . . . .	21
D. Cost Proposal Components . . . . .	27
Section IV — PROPOSAL OUTLINE . . . . .	29
A. Proposal Cover Sheet	
B. Table of Contents	
C. Declaration of Confidential Information	
D. Conflict of Interest – Disclosure Statement	
E. Executive Summary	
F. Main Proposal	
G. Cost Proposal	
H. Attachments	
I. Forms	
Section V — Appendices . . . . .	32
Section VI — Application Forms . . . . .	54

## I. GENERAL INFORMATION

### ■ A. INTRODUCTION

#### **1. RFP Name or Number.**

Best Practices in LGBTQ Tobacco Control, DPH RFP # 2021-0091

#### **2. Summary.**

The State of Connecticut, Department of Public Health (hereafter the Department) is seeking proposals to implement and maintain initiatives that will lower the rate of tobacco use among Connecticut residents in certain populations with a disparate rate of tobacco use; several population subgroups have inordinately high rates of tobacco use. This RFP will encourage tobacco free lifestyles by preventing the initiation of tobacco use, especially among youth and young adults; increasing the utilization of tobacco use cessation services among those already utilizing tobacco products; and decreasing exposure to secondhand smoke following recognized best practices as defined by the United States Department of Health and Human Services, Centers for Disease Control and Prevention.

This RFP will target services to the LGBTQ+ population in Connecticut, following Best Practices for Comprehensive Tobacco Control Programs.

#### **3. Synopsis.**

The Department of Public Health is seeking applicants to implement and maintain programming to lower the rate of tobacco use in Connecticut.

#### **4. Commodity Codes.**

The services that the Department wishes to procure through this RFP are as follows:

0600: Services (Professional, Support, Consulting and Misc. Services)

2000: Community and Social Services

**■ B. ABBREVIATIONS / ACRONYMS / DEFINITIONS**

BFO	Best and Final Offer
CDC	Centers for Disease Control and Prevention (US)
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CT	Connecticut
DAS	Department of Administrative Services (CT)
DHHS	Department of Health and Human Services (US)
DPH	Department of Public Health (CT)
EHR	Electronic Health Record
FOIA	Freedom of Information Act (CT)
IRS	Internal Revenue Service (US)
LOI	Letter of Intent
OAG	Office of the Attorney General (CT)
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
POS	Purchase of Service
P.A.	Public Act (CT)
RFP	Request for Proposal
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States

- *Contractor:* a private provider organization, CT State agency, or municipality that enters into a POS contract with the Department as a result of this RFP
- *Department:* the State of Connecticut, Department of Public Health
- *Proposer:* a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP. Also referred to as an “applicant” or “bidder”
- *Prospective proposer:* a private provider organization, CT State agency, or municipality that may submit a proposal to the Department in response to this RFP, but has not yet done so
- *Subcontractor:* an individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific health or human service as part of a POS contract with the Department as a result of this RFP
- *Tobacco use:* all forms of tobacco, not just cigarettes. This includes both combustible products such as cigarettes, cigars, little cigars, pipes, hookahs; and non-combustible products such as smokeless tobacco and electronic nicotine delivery systems such as electronic cigarettes and vape pens.
- *Youth:* for the purposes of this RFP, youth is defined as middle and high school students, aged 11-18 years old.

## ■ C. INSTRUCTIONS

### 1. Official Contact.

The Department has designated the individual below as the Official Contact for purposes of this RFP. The Official Contact is the **only authorized contact** for this procurement and, as such, handles all related communications on behalf of the Department. Proposers, prospective proposers, and other interested parties are advised that any communication with any other Department employee(s) (including appointed officials) or personnel under contract to the Department about this RFP is strictly prohibited. Proposers or prospective proposers who violate this instruction may risk disqualification from further consideration.

Name: Katie Shuttleworth  
Address: 410 Capitol Avenue, MS#11 HLS, Hartford, CT 06134-0308  
Phone: 860-509-8251  
Fax: 860-509-7854  
E-Mail: DPHTobacco@ct.gov

Please ensure that e-mail screening software (if used) recognizes and accepts e-mails from the Official Contact.

**Registering with State Contracting Portal.** Respondents must register with the State of CT contracting portal at <https://portal.ct.gov/DAS/CTSOURCE/Registration> if not already registered. Respondents shall submit the following information pertaining to this application to this portal (on their supplier profile), which will be checked by the Department contact.

- Secretary of State recognition – Click on appropriate response
- Non-profit status, if applicable
- Notification to Bidders, Parts I-V
- Consulting Agreement Affidavit (OPM Ethics Form 5) – Requires Notarization <https://portal.ct.gov/-/media/OPM/OPMForm5ConsultingAgreementAffidavit32814pdf.pdf>
- Affirmation of Receipt of State Ethics Affidavit (OPM Ethics Form 6) – Requires Notarization <https://portal.ct.gov/-/media/OPM/Finance/psa/OPMEthicsForm6Final91511PDFpdf.pdf>
- Iran Certificate (OPM Ethics Form 7) – Requires Notarization <https://portal.ct.gov/-/media/OPM/OPMForm7IranCertification32814pdf.pdf>

### 2. RFP Information.

The RFP, amendments to the RFP, and other information associated with this procurement are available in electronic format from the Official Contact or from the Internet at the following locations:

- Department's RFP Web Page  
<http://www.ct.gov/dph/rfp>

### “Requests for Proposal”

- Department of Administrative Services  
State Contracting Portal  
<https://portal.ct.gov/DAS/CTSource/BidBoard>  
Filter by Department of Public Health

It is strongly recommended that any proposer or prospective proposer interested in this procurement subscribe to receive e-mail alerts from the State Contracting Portal. Subscribers will receive a daily e-mail announcing procurements and addendums that are posted on the portal. This service is provided as a courtesy to assist in monitoring activities associated with State procurements, including this RFP.

Printed copies of all documents are also available from the Official Contact upon request.

### **3. Contract Awards.**

The award of any contract pursuant to this RFP is dependent upon the availability of funding to the Department. The Department anticipates the following:

- Total Funding Available: \$100,000 per year
- Number of Awards Anticipated: One
- Contract Term: October 1, 2022-April 28, 2025 (Anticipated)

### **4. Eligibility.**

Community Organizations, provider organizations (defined as nonstate entities that are either nonprofit or proprietary corporations or partnerships), local or state government agencies, and municipalities are eligible to submit proposals in response to this RFP.

Individuals who are not a duly formed business entity are ineligible to participate in this procurement.

### **5. Minimum Qualifications of Proposers.**

To qualify for a contract award, a proposer must have the following minimum qualifications:

Applications will be accepted from public and private organizations, community-based agencies and individuals who are a duly formed business entity. Proposals will be screened for completeness and compliance with the requirements specified in the RFP. Applicants who fail to follow instructions or to include all required elements will be deemed incomplete and removed from further review. In addition, applicants with outstanding unresolved issues on current and prior year contracts with the Department may be removed from consideration for additional funding.

## **6. Procurement Schedule.**

Dates after the due date for proposals ("Proposals Due") are target dates only (\*). The Department may amend the schedule, as needed. Any change will be made by means of an amendment to this RFP and will be posted on the State Contracting Portal and, if available, the Department's RFP Web Page.

- RFP Planning Start Date: March 1, 2021
- RFP Released: March 18, 2022
- Deadline for Questions: April 14, 2022
- Answers Released: April 21, 2022
- Letter of Intent Due: April 26, 2022
- Proposals Due: May 10, 2022
- (\*) Proposer Selection: May 25, 2022
- (\*) Start of Contract Negotiations: June 1, 2022
- (\*) Start of Contract: October 1, 2022

## **7. Letter of Intent.**

A Letter of Intent (LOI) is required by this RFP.

The LOI is non-binding and does not obligate the sender to submit a proposal. The LOI must be submitted to the Official Contact by US mail, fax, or e-mail by the deadline established in the Procurement Schedule. The LOI must clearly identify the entity that will be submitting a proposal, identify the sender, including name, postal address, telephone number, fax number, and e-mail address for ongoing communications regarding the RFP.

The LOI should be a total of one page, and include a brief description of the project, including a list of the partners that will be involved with the project. This project information will assist with better preparation for review but is non-binding.

It is the sender's responsibility to confirm the Department's receipt of the LOI. Failure to submit the required LOI in accordance with the requirements set forth herein shall result in disqualification from further consideration.

## **8. Inquiry Procedures.**

All questions regarding this RFP or the Department's procurement process must be directed, in writing, to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or anonymous questions).

Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. If this RFP requires a Letter of Intent, the Department reserves the right to answer questions only from those who have submitted such a letter. The Department may combine similar questions and give only one answer. All questions and answers will be compiled into a written

amendment to this RFP. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such. The agency will release the answers to questions on the date(s) established in the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Department's RFP Web Page. At its discretion, the Department may distribute any amendments to this RFP to prospective proposers who submitted a Letter of Intent.

## **9. RFP Conference.**

An RFP conference will not be held to answer questions from prospective proposers; however, the Department will accept questions in writing regarding the RFP. All questions submitted will be answered in a written amendment to this RFP, which will serve as the Department's official response to questions. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such. The agency will release the amendment on the date established in the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Department's RFP Web Page.

## **10. Proposal Due Date and Time.**

The Official Contact is the only authorized recipient of proposals submitted in response to this RFP. Proposals must be received by the Official Contact on or before the due date and time:

- Due Date: May 10, 2022
- Time: 2:00 P.M.

Proposals that have only been faxed or e-mailed will not be evaluated: both paper and electronic copies are required. When hand-delivering proposals by courier or in person, allow extra time due to building security procedures.

The Department will not accept a postmark date as the basis for meeting the submission due date and time. Proposals received after the due date and time may be accepted by the Department as a clerical function, but late proposals will not be evaluated. At the discretion of the Department, late proposals may be destroyed or retained for pick up by the submitters.

An acceptable submission must include the following:

- one (1) original proposal;
- seven (7) conforming copies of the original proposal; and
- one (1) electronic copy of the original proposal.

The original proposal must carry original signatures and be clearly marked on the cover as "Original." Unsigned proposals will not be evaluated. The original proposal and each conforming copy of the proposal must be complete, properly formatted and outlined, and ready for evaluation by the Screening Committee.

The electronic copy of the proposal should be submitted via email to the email address DPHTobacco@ct.gov. The entire proposal can be scanned and submitted in Portable Document Format (PDF) or similar file format.

**11. Multiple Proposals.**

The submission of multiple proposals is an option with this procurement. The proposal must adhere to the page limit guideline (it is not expanded) and must meet all other requirements outlined in this RFP.

**12. Declaration of Confidential Information.**

Proposers are advised that all materials associated with this procurement are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations and interpretations resulting from them. If a proposer deems that certain information required by this RFP is confidential, the proposer must label such information as CONFIDENTIAL. In Section C of the proposal submission, the proposer must reference where the information labeled CONFIDENTIAL is located in the proposal. *EXAMPLE: Section G.1.a.* For each subsection so referenced, the proposer must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the proposer that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).

**13. Conflict of Interest - Disclosure Statement.**

Proposers must include a disclosure statement concerning any current business relationships (within the last three [3] years) that pose a conflict of interest, as defined by C.G.S. § 1-85. A conflict of interest exists when a relationship exists between the proposer and a public official (including an elected official) or State employee that may interfere with fair competition or may be adverse to the interests of the State. The existence of a conflict of interest is not, in and of itself, evidence of wrongdoing. A conflict of interest may, however, become a legal matter if a proposer tries to influence, or succeeds in influencing, the outcome of an official decision for their personal or corporate benefit. The Department will determine whether any disclosed conflict of interest poses a substantial advantage to the proposer over the competition, decreases the overall competitiveness of this procurement, or is not in the best interests of the State. In the absence of any conflict of interest, a proposer must affirm such in the disclosure statement. *Example: "[name of proposer] has no current business relationship (within the last three (3) years) that poses a conflict of interest, as defined by C.G.S. § 1-85."*

**■ D. PROPOSAL FORMAT****1. Required Outline.**

All proposals must follow the required outline presented in Section IV – Proposal Outline. Proposals that fail to follow the required outline will be deemed non-responsive and will not be evaluated.

**2. Cover Sheet.**

The Cover Sheet(s) is Page 1 and Page 2 of the proposal. Proposers must complete and use the Cover Sheet form provided by the Department in Section VI. Application Forms.

### **3. Table of Contents.**

All proposals must include a Table of Contents that conforms to the required proposal outline. (See Section IV.)

### **4. Executive Summary.**

Proposals must include a high-level summary, not exceeding two (2) pages, of the main proposal and the cost proposal.

### **5. Attachments.**

Letters of reference are required from two previous employer/grantors that include a description of the project performed, timeliness of project activities, and completeness of project deliverables.

Two letters of collaboration and support are required from a variety of community organizations and project partners that detail the level of involvement and evidence of assistance that they will provide to the project.

Letters of reference and collaboration are required of this RFP by all applicants. Letters of reference and letters of collaboration should be currently dated, and not copies from previous submissions. Letters of reference and collaboration cannot be provided by DPH staff.

Attachments other than the required Attachments, Forms and Letters identified in Section IV may not be evaluated. Further, the required Attachments or Forms must not be altered or used to extend, enhance, or replace any component required by this RFP. Failure to abide by these instructions will result in disqualification.

### **6. Style Requirements.**

Submitted proposals must conform to the following specifications:

- Binding Type: Use a single binding clip; do not use staples or other more permanent binding.
- Dividers: None specified
- Paper Size: 8 1/2 x 11
- Page Limit: 25 pages  
[Includes Proposal Outline Items A through F. Does not include Attachments or Forms; see Section IV Proposal Outline for more detail. (Page 40)]
- Print Style: 2-sided
- Font Size: 12 Font
- Margins: 1 inch
- Line Spacing: 1 1/2 minimum spacing

NOTE: The pre-designed forms do NOT need to be re-formatted to fit within these specifications.

### **7. Pagination.**

The proposer's name must be displayed in the header of each page. All pages, including the required Attachments and Forms, must be numbered in the footer.

## **8. Packaging and Labeling Requirements.**

Proposal packages – One (1) original and seven (7) conforming copies - must be submitted in sealed envelopes or packages and be addressed to the Official Contact. The Legal Name and Address of the proposer must appear in the upper left corner of the envelope or package. The RFP Name or Number must be clearly displayed on the envelope or package. Any received proposal that does not conform to these packaging or labeling instructions will be opened as general mail. Such a proposal may be accepted by the Department as a clerical function, but it will not be evaluated. At the discretion of the Department, such a proposal may be destroyed or retained for pick up by the submitters.

# **■ E. EVALUATION OF PROPOSALS**

## **1. Evaluation Process.**

It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful proposers, and awarding contracts, the Department will conform with its written procedures for POS procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85).

## **2. Screening Committee.**

The Department will designate a Screening Committee to evaluate proposals submitted in response to this RFP. The contents of all submitted proposals, including any confidential information, will be shared with the Screening Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Screening Committee may result in disqualification of the proposer.

## **3. Minimum Submission Requirements.**

All proposals must comply with the requirements specified in this RFP. To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the Proposal Format requirements; (3) follow the required Proposal Outline; and (4) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Department will reject any proposal that deviates significantly from the requirements of this RFP.

## **4. Evaluation Criteria (and Weights).**

Proposals meeting the Minimum Submission Requirements will be evaluated according to the established criteria. The criteria are the objective standards that the Screening Committee will use to evaluate the technical merits of the proposals. The criteria listed below will be used to evaluate proposals. The criteria are weighted according to their relative importance. The weights are disclosed below.

Organizational Profile	10%	
Scope of Services	20%	
Staffing Plan, including subcontractors, if any	10%	As part of its evaluation of the Staffing Plan, the Screening Committee will consider the proposer's demonstrated commitment to affirmative action, as required by the Regulations of CT State Agencies § 46A-68j-30(10).
Data and Technology	10%	
Evaluation Plan-Logic Model	10%	
Work Plan	20%	
Budget and Budget Narrative	20%	

##### **5. Proposer Selection.**

Upon completing its evaluation of proposals, the Screening Committee will submit the rankings of all proposals to the Department head. The Screening Committee can make recommendations to partially fund proposals. The final selection of a successful proposer is at the discretion of the Department head. Any proposer selected will be so notified and awarded an opportunity to negotiate a contract with the Department. Such negotiations may, but will not automatically, result in a contract.

Pursuant to Governor M. Jodi Rell's Executive Order No. 3, any resulting contract will be posted on the State Contracting Portal. All unsuccessful proposers will be notified by e-mail or U.S. mail, at the Department's discretion, about the outcome of the evaluation and proposer selection process.

##### **6. Debriefing.**

Within ten (10) days of receiving notification from the Department, unsuccessful proposers may contact the Official Contact and request information about the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the ten (10) days. If unsuccessful proposers still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the evaluation process and their proposals. If held, the debriefing meeting will not include any comparisons of unsuccessful proposals with other proposals. The Department will schedule and hold the debriefing meeting within fifteen (15) days of the request. The Department will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.

##### **7. Appeal Process.**

Proposers may appeal any aspect of the Department's competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Department head. A proposer may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful proposers about the outcome of the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. The filing of an

appeal shall not be deemed sufficient reason for the Department to delay, suspend, cancel, or terminate the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.

#### **8. Contract Execution.**

Any contract developed and executed as a result of this RFP is subject to the Department's contracting procedures, which may include approval by the Office of the Attorney General.

## **II. MANDATORY PROVISIONS**

### **■ A. POS STANDARD CONTRACT, PARTS I AND II**

*By submitting a proposal in response to this RFP, the proposer implicitly agrees to comply with the provisions of Parts I and II of the State's "standard contract" for POS:*

Part I of the standard contract is maintained by the Department and will include the scope of services, contract performance, quality assurance, reports, terms of payment, budget, and other program-specific provisions of any resulting POS contract. A sample of Part I is available from the Department's Official Contact upon request.

Part II of the standard contract is maintained by OPM and includes the mandatory terms and conditions of the POS contract. Part II is available on OPM's website at: [http://www.ct.gov/opp/fin/standard\\_contract](http://www.ct.gov/opp/fin/standard_contract)

*Note:*

Included in Part II of the standard contract is the State Elections Enforcement Commission's notice (pursuant to C.G.S. § 9-612(g) (2)) advising executive branch State contractors and prospective State contractors of the ban on campaign contributions and solicitations. If a proposer is awarded an opportunity to negotiate a contract with the Department and the resulting contract has an anticipated value in a calendar year of \$50,000 or more, or a combination or series of such agreements or contracts has an anticipated value of \$100,000 or more, the proposer must inform the proposer's principals of the contents of the SEEC notice.

Part I of the standard contract may be amended by means of a written instrument signed by the Department, the selected proposer (contractor), and, if required, the Attorney General's Office. Part II of the standard contract may be amended only in consultation with, and with the approval of, the Office of Policy and Management and the Attorney General's Office.

### **■ B. ASSURANCES**

*By submitting a proposal in response to this RFP, a proposer implicitly gives the following assurances:*

#### **1. Collusion.**

The proposer represents and warrants that the proposer did not participate in any part of the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance. The proposer further represents and warrants that no agent, representative, or employee of the State participated

directly in the preparation of the proposer's proposal. The proposer also represents and warrants that the submitted proposal is in all respects fair and is made without collusion or fraud.

**2. State Officials and Employees.**

The proposer certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFP. The Department may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the proposer, contractor, or its agents or employees.

**3. Competitors.**

The proposer assures that the submitted proposal is not made in connection with any competing organization or competitor submitting a separate proposal in response to this RFP. No attempt has been made, or will be made, by the proposer to induce any other organization or competitor to submit, or not submit, a proposal for the purpose of restricting competition. The proposer further assures that the proposed costs have been arrived at independently, without consultation, communication, or agreement with any other organization or competitor for the purpose of restricting competition. Nor has the proposer knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.

**4. Validity of Proposal.**

The proposer certifies that the proposal represents a valid and binding offer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto. The proposal shall remain valid for a period of 180 days after the submission due date and may be extended beyond that time by mutual agreement. At its sole discretion, the Department may include the proposal, by reference or otherwise, into any contract with the successful proposer.

**5. Press Releases.**

The proposer agrees to obtain prior written consent and approval of the Department for press releases that relate in any manner to this RFP or any resultant contract.

**■ C. TERMS AND CONDITIONS**

*By submitting a proposal in response to this RFP, a proposer implicitly agrees to comply with the following terms and conditions:*

**1. Equal Opportunity and Affirmative Action.**

The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.

**2. Preparation Expenses.**

Neither the State nor the Department shall assume any liability for expenses incurred by a proposer in preparing, submitting, or clarifying any proposal submitted in response to this RFP.

**3. Exclusion of Taxes.**

The Department is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Proposers are liable for any other applicable taxes.

**4. Proposed Costs.**

No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.

**5. Changes to Proposal.**

No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Department may request and authorize proposers to submit written clarification of their proposals, in a manner or format prescribed by the Department, and at the proposer's expense.

**6. Supplemental Information.**

Supplemental information will not be considered after the deadline submission of proposals, unless specifically requested by the Department. The Department may ask a proposer to give demonstrations, interviews, oral presentations or further explanations to clarify information contained in a proposal. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Department. At its sole discretion, the Department may limit the number of proposers invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per proposer.

**7. Presentation of Supporting Evidence.**

If requested by the Department, a proposer must be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. The Department may make onsite visits to an operational facility or facilities of a proposer to evaluate further the proposer's capability to perform the duties required by this RFP. At its discretion, the Department may also check or contact any reference provided by the proposer. Proposers should include at least two letters of reference from entities for which they have provided similar services.

**8. RFP Is Not An Offer.**

Neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or the Department or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the Department and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the proposer or for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by the Department and, if required, by the Attorney General's Office.

**■ D. RIGHTS RESERVED TO THE STATE**

*By submitting a proposal in response to this RFP, a proposer implicitly accepts that the following rights are reserved to the State:*

**1. Timing Sequence.**

The timing and sequence of events associated with this RFP shall ultimately be determined by the Department.

**2. Amending or Canceling RFP.**

The Department reserves the right to amend or cancel this RFP on any date and at any time, if the Department deems it to be necessary, appropriate, or otherwise in the best interests of the State.

**3. No Acceptable Proposals.**

In the event that no acceptable proposals are submitted in response to this RFP, the Department may reopen the procurement process, if it is determined to be in the best interests of the State.

**4. Award and Rejection of Proposals.**

The Department reserves the right to award in part, to reject any and all proposals in whole or in part, for misrepresentation or if the proposal limits or modifies any of the terms, conditions, or specifications of this RFP. The Department may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Department reserves the right to reject the proposal of any proposer who submits a proposal after the submission date and time.

**5. Sole Property of the State.**

All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.

**6. Contract Negotiation.**

The Department reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Department further reserves the right to contract with one or more proposer for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFO) on cost from proposers. The Department may set parameters on any BFOs received.

**7. Clerical Errors in Award.**

The Department reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the proposer.

**8. Key Personnel.**

When the Department is the sole funder of a purchased service, the Department reserves the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Department also reserves the right to approve replacements for key personnel who have terminated employment. The Department further reserves the right to require the removal and replacement of any of the proposer's key personnel who do not perform adequately, regardless of whether they were previously approved by the Department.

## ■ E. STATUTORY AND REGULATORY COMPLIANCE

*By submitting a proposal in response to this RFP, the proposer implicitly agrees to comply with all applicable State and federal laws and regulations, including, but not limited to, the following:*

### **1. Freedom of Information, C.G.S. § 1-210(b).**

The Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b). Proposers are generally advised not to include in their proposals any confidential information. If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State has no obligation to initiate, prosecute, or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. The proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a proposer may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.

### **2. Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.**

CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to insure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.

### **3. Consulting Agreements, C.G.S. § 4a-81.**

Proposals for State contracts with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall include a consulting agreement affidavit attesting to whether any consulting agreement has been entered into in connection with the proposal. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of C.G.S. Chapter 10 as of the date such affidavit is submitted in accordance with the provisions of C.G.S. § 4a-81. The Consulting Agreement Affidavit (OPM Ethics Form 5) is available on OPM's website at [http://www.ct.gov/opp/fin/ethics\\_forms](http://www.ct.gov/opp/fin/ethics_forms)

IMPORTANT NOTE: A proposer must complete and submit OPM Ethics Form 5 to the Department with the proposal.

**4. Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8 and No. 7C, Para. 10; C.G.S. § 9-612(g) (2).**

If a proposer is awarded an opportunity to negotiate a contract with an anticipated value of \$50,000 or more in a calendar or fiscal year, the proposer must fully disclose any gifts or lawful contributions made to campaigns of candidates for statewide public office or the General Assembly. Municipalities and CT State agencies are exempt from this requirement. The gift and campaign contributions certification (OPM Ethics Form 1) is available on OPM's website at [http://www.ct.gov/opp/fin/ethics\\_forms](http://www.ct.gov/opp/fin/ethics_forms)

IMPORTANT NOTE: The successful proposer must complete and submit OPM Ethics Form 1 to the Department prior to contract execution.

**5. Nondiscrimination Certification, C.G.S. §§ 4a-60(a) (1) and 4a-60a (a) (1).**

If a proposer is awarded an opportunity to negotiate a contract, the proposer must provide the Department with *written representation or documentation* that certifies the proposer complies with the State's nondiscrimination agreements and warranties. A nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. The nondiscrimination certification forms are available on OPM's website at [http://www.ct.gov/opp/fin/nondiscrim\\_forms](http://www.ct.gov/opp/fin/nondiscrim_forms)

IMPORTANT NOTE: The successful proposer must complete and submit the appropriate nondiscrimination certification form to the awarding Department prior to contract execution.

### III. PROGRAM INFORMATION

#### ■ A. DEPARTMENT OVERVIEW

The Connecticut Department of Public Health (DPH) is the state's leader in public health policy and advocacy, the agency is the center of a comprehensive network of public health services and is a partner to local health departments. The agency provides advocacy, training and certification, technical assistance and consultation, and specialty services such as risk assessment that are not available at the local level.

The agency is a source of accurate, up-to-date health information to the Governor, the Legislature, the Federal government, and local communities. This information is used to monitor the health status of Connecticut's residents, set health priorities, and evaluate the effectiveness of health initiatives. The agency is focused on health outcomes, maintaining a balance between assuring quality and administrative functions among personnel, facilities, and programs. DPH is a leader on the national scene through direct input to Federal agencies and the United States Congress.

The mission of DPH is to protect and improve the health and safety of the people of Connecticut by:

- Assuring the conditions in which people can be healthy
- Preventing disease, injury, and disability, and
- Promoting the equal enjoyment of the highest attainable standard of health,

which is a human right and a priority of the state.

At the Department of Public Health, we emphasize evidence-based practices based on the collection of health data to shape our policy and program initiatives. We work together with our partners and others to provide an integrated public health system that maximizes the public's investment in public health.

Chronic diseases are the number one cause of death and disability in Connecticut and the United States for men and women, and across all racial and ethnic groups.

This RFP is being issued by the Tobacco Control Program of the Community, Family Health, and Prevention Section.

## ■ **B. PROGRAM OVERVIEW**

The Tobacco Control Program operates under a cooperative agreement with the Centers for Disease Control and Prevention as a state-based national tobacco control program. We are working to enhance the well-being of Connecticut's residents by promoting tobacco-free lifestyles and by educating communities about the economic and health costs and consequences of tobacco use. Tobacco use is the single most avoidable cause of morbidity and mortality.

The Program has the following goals:

- 1) To prevent the initiation of tobacco use.
- 2) To promote quitting among young people and adults.
- 3) To eliminate exposure to secondhand smoke.
- 4) To identify and eliminate the disparities related to tobacco use and its effects on diverse population groups.

DPH is committed to the elimination of health inequities. Racial and ethnic minorities and Connecticut's disadvantaged residents experience health inequities, and therefore do not have the same opportunities as other groups to achieve healthy outcomes. Throughout the various components of the proposal, proposers are required to address the extent to which health disparities and/or health inequities are manifested in their communities. The proposer must also explain how the proposed program services and/or activities will address these discrepancies.

The Program works on a variety of initiatives in each goal area, including educating the general public about various aspects of tobacco free living including adoption of smoke free policies that will help to keep youth from beginning tobacco use, such as increasing the age of sale for tobacco products which went into effect on October 1, 2019, and reducing resident exposure to secondhand smoke, both through voluntary policies such as working with landlords to adopt smoke free policies in multi-unit housing complexes, and through statewide changes such as requiring all workplaces to be smoke and aerosol free. The statewide tobacco use cessation telephone Quitline is available to any Connecticut resident, offering both over the phone and web-based cessation counseling services and text messaging options.

Although tobacco control programs have made gains in substantially reducing cigarette smoking in the general population, certain groups including the LGBTQ+ community remain disproportionately affected by tobacco use. As examples, overall tobacco use

rate among Connecticut adults in 2018 was 17.1%, however certain groups have higher rates of tobacco use.

Male	20.7%	Female	13.7%
Household Income < \$ 35,000	25.2%	Household Income > \$ 75,000	13.9%
Adults aged 18-34	23.9%	Adults aged 55 and over	11.7%
Disability Yes	22.3%	Disability No	14.6%
Sexual Orientation Straight	16.0%	Sexual Orientation LGBTQ+	25.1%

From the 2019 Youth Risk Behavior Survey administered in Connecticut High Schools, we know that overall, 30.5% of high school youth report being exposed to secondhand smoke or aerosol, but inside that data 48.8% of lesbian, gay, bisexual youth report exposure as compared with 27.8% of heterosexuals. Current cigarette smoking among all high school students is 3.7%, but 9.2% of LGB students vs. 2.3% of heterosexual youth report current cigarette smoking. These disparities are also reflected in the adult data, where 16.0% of adults that identify as straight report using tobacco products as compared with 25.1% of those identifying as LGBTQ+.

In addition to premature deaths, tobacco use causes illness, disability and productivity loss, and is also responsible for high economic costs. Health care costs caused by tobacco use in Connecticut are estimated at \$2.03 billion every year, and there are also annual productivity losses in addition to that. [Centers for Disease Control and Prevention, Smoking-Attributable Mortality, Morbidity, and Economic Costs (SAMMECT)]

Smoking and smokeless tobacco use are usually initiated during adolescence – more than 90% of adult smokers begin smoking before 18 years of age. 99% of smokers start by age 26, so if young people do not start using tobacco by age 26, they most likely never will. (U.S. Department of Health and Human Services, Office of the Surgeon General). Once smoking is initiated, the addictive nature of tobacco makes it very difficult to quit. Estimates are that nearly 70% of smokers want to quit, but each year, fewer than 3% of those who want to quit are successful.

Prevention of initiation of tobacco use and successful tobacco use cessation programming is the quickest and most cost-effective means of reducing the public health impact of tobacco use. Brief advice by health care providers to quit smoking can increase cessation rates by 30% according to the Agency for Healthcare Research and Quality. More intensive interventions (including individual, group, and telephone counseling services) that provide social support and training in problem-solving skills are even more effective. FDA-approved medications (e.g., nicotine patch, gum, and bupropion hydrochloride) are effective, especially when out-of-pocket costs are minimized and combined with counseling and other interventions. Availability of no or low-cost cessation services increase an individual's motivation and readiness to quit.

Factors driving LGBTQ+ disparities in tobacco use include but are not limited to: stress due to social stigma and discrimination, peer pressure, aggressive marketing by the tobacco industry, and limited access to effective tobacco treatment.

Under the direction of the Tobacco Control Program, the purpose of this RFP is to fund a community program following CDC Best Practices to develop and implement a strategic plan that will help reduce tobacco use among the LGBTQ+ in Connecticut by offering more culturally appropriate avenues and messages to provide more relevant support.

The community program will also utilize the specialized Best Practices developed by the National LGBT Cancer Network, <https://cancer-network.org/resource-library/>, who will be a partner on this project, in order to reduce the prevalence of tobacco use in Connecticut among LGBTQ+ residents. We are striving to create a culture where tobacco free is the norm. Messaging should include both groups vulnerable to initiating tobacco use as well as those already utilizing tobacco products in order to decrease their use of tobacco.

### **OVERVIEW OF CDC BEST PRACTICES:**

The U.S. Department of Health and Human Services, Centers for Disease Control and Prevention has developed an evidence-based guide to help states to implement comprehensive tobacco control programs that will reduce rates of tobacco use. This coordinated effort to establish smoke free policies and social norms, to promote and assist tobacco users to quit, and to prevent initiation of tobacco use combines educational, clinical, regulatory, economic, and social strategies. This guide, "Best Practices for Comprehensive Tobacco Control Programs-2014" is divided into five areas of practice: 1) State and Community Interventions, 2) Mass-Reach Health Communication Interventions, 3) Cessation Interventions, 4) Surveillance and Evaluation, and 5) Infrastructure Administration and Management.

#### State and Community Interventions:

These interventions target social norms in order to influence behavior change, using coordinated and combined societal and community resources. Interventions can focus on building community capacity, awareness, engagement, and mobilization; coordination of state efforts, policies, laws, and regulations; and influencing people in their daily environment. These interventions cover a wide range of areas, and a multi-faceted range of interventions is desirable for this solicitation.

#### Mass-Reach Health Communication Interventions:

These interventions include the various means by which public health information reaches large numbers of people to make meaningful changes in population-level awareness, knowledge, attitudes, and behaviors. These interventions promote and facilitate cessation, prevent tobacco use initiation and shape social norms related to tobacco use, but go beyond a traditional mass media placement.

#### Cessation Interventions:

These interventions provide treatment services, such as directly delivering cessation counseling and medications through population-based services such as a telephone Quitline; as well as population-level strategic efforts to reconfigure policies and systems in order to normalize quitting, support tobacco free lifestyles, and ensure ongoing tobacco use screening and intervention are part of ongoing medical care.

#### Surveillance and Evaluation:

These interventions include surveillance: continually monitoring attitudes and behaviors and health outcomes over time, and Evaluation: Monitoring and documenting short-term, intermediate, and long-term outcomes within populations. This is accomplished through systematic collection of information about the activities

and results of programs to inform decisions about future programming and/or increase understanding. Evaluation also serves to document or measure the effectiveness of programs, including policy and media efforts.

**Resource:**

Centers for Disease Control and Prevention. Best Practices for Comprehensive Tobacco Control Program-2014. Atlanta: U.S. Department of Health and Human Services, Centers for Disease Control and Prevention, National Center for Chronic Disease Prevention and Health Promotion, Office on Smoking and Health, 2014.

Document is located at

[http://www.cdc.gov/tobacco/stateandcommunity/best\\_practices/index.htm](http://www.cdc.gov/tobacco/stateandcommunity/best_practices/index.htm)

## ■ C. MAIN PROPOSAL COMPONENTS

### 1. Cover Sheet, Contractor Information, Notification to Bidders

The proposal must contain a completed Cover Sheet, Contractor Information Form, and a signed Notification to Bidders Form, which are included in the attached Application Forms.

### 2. Organizational Requirements

Applications will be accepted from public and private organizations. The proposal must describe the organization, including its purpose, services provided, and length of time in operation. The proposal must also describe the organization's experience working in areas related to tobacco use prevention and control activities.

### 3. Services to be Provided

All bidders must be able to provide the services that they include in their proposal. The approach to providing these services must be clearly and completely addressed in the proposal.

*Resources:*

A number of resources are included in Appendix C to assist with RFP responses. There is a wealth of information available from national sources on best practice programs and evidence-based strategies.

This RFP focuses on state and community interventions as defined in the Best Practices document. The overall goal is to ensure that the LGBTQ+ population is aware of industry targeting them to induce tobacco use, to assure their awareness of tobacco use cessation resources available in CT, and to adopt tobacco free living policies in various areas including homes and events.

Community engagement and mobilization are an important part of tobacco control programs, and bidders are encouraged to mobilize community partners to engage in a variety of activities that will work together to promote tobacco free living as a societal norm. A multi-component campaign will have greater effect on the community selected for intervention.

Successful bidders will be expected to develop and implement evidence-based strategies and activities that have been recommended by the Centers for Disease Control and Prevention, Office on Smoking and Health to reduce, eliminate, and/or prevent tobacco use and secondhand smoke exposure by Connecticut residents.

These programs are based on the recommendations of the Task Force on Community Preventive Services: Tobacco Use Prevention and Control that specify a multi-component approach to effectively combatting tobacco use as well as the CDC best practices, tailored by recommendations of the National Network, the LGBT+ Cancer Network.

#### State and Community Interventions:

Strategies focus on population-wide approaches and target the general public and policy makers: community level activities that enhance community involvement promote buy in and support; and community-level policies, partnerships and interventions lead to social norm and behavior changes. Community-level activities that educate policy makers help to inform policy change, and through this coordination, tobacco-free social norms can be established.

Some ideas for evidence-based activities or areas are included below:

*Note: For the purposes of this RFP, youth is defined as middle and high school students, aged 11-18 years old.*

- Education about the myths and misleading information that portrays tobacco use as common, normative, and a positive behavior. Include information about the immediate and long-term physical, social and financial consequence of tobacco use; what is in tobacco products; actual statistics and social norms of tobacco use.
- Anti-Tobacco Industry and Messaging
  - Develop and implement an anti-tobacco influence campaign, the hidden strategies of big tobacco and how advertising is targeting certain populations, including the LBGTQ+ and youth and young adult populations.
- Promote use of available tobacco use cessation resources.
- Provide training to establish youth anti-tobacco advocates and leaders who will then conduct the activities listed and advocate for policies.
- Tobacco Sponsorship/tobacco use in movies/entertainment:
  - Develop and implement a campaign designed to create public awareness of pro-tobacco messaging in movies and entertainment and discourage further use of tobacco in movies and entertainment.
- Voluntary adoption of smoke/tobacco free policies (including electronic nicotine delivery systems) in workplaces, multi-unit housing and open spaces.
- Voluntary adoption of policies that limit and or ban tobacco product advertisements, including electronic nicotine delivery systems, in various media including magazines, merchant store fronts, and in front of check-out counters.
- Collaborate with stakeholder groups, community and state agencies to develop a community strategic plan to promote tobacco free spaces and places.
- Inform and educate leaders, decision makers, and the public about the benefits of implementing tobacco free polices.

Mass-reach health communication refers to the various means by which public health information reaches large numbers of people, which goes beyond a traditional mass (television, radio and print ads) media placement. This information assists to make meaningful change in awareness, knowledge, attitudes and behaviors as it relates to tobacco use in Connecticut.

Ideas in this area:

- Strategic communications; performing marketing and developing messages for selected community groups.
- Media advocacy and promotion through press releases, press conferences, social media and campaign events timed with pride events, holidays, heritage months and health observances such as the 'Great American Smokeout®' and 'Taking Down Tobacco Day'.
- Conduct formative research to identify promising messages and concepts and pretest campaign and marketing materials.
- Develop and implement a local media promotion, event sponsorship and community collaborations to support and reinforce the statewide goals and campaigns.
- Promote the availability of services such as the CT Quitline, quitting websites and social media pages.
- Assist the program to further the reach of culturally appropriate messaging for population subgroups.
- Develop and implement press kits for statewide and local promotions and events to share with other community partners.

**Tobacco Use and Dependence Treatment Interventions:** Successful bidders will be responsible for developing and implementing evidence-based strategies and activities that have been recommended by the Centers for Disease Control and Prevention, Office on Smoking and Health to reduce, eliminate, and/or prevent tobacco use and secondhand smoke exposure by Connecticut residents. Tobacco use is one of the six high burden health conditions with effective interventions identified in the CDC's 6/18 Initiative as a priority to improve health and reduce health care costs.

Components of this portion for this solicitation are promoting health systems change and utilizing proven tobacco use cessation treatments.

- Systems Change outreach and education to health care providers and systems for screening and referral of patients to tobacco use cessation services; the importance of screening all patients for tobacco use, advising them to quit, and referring them to cessation services.
  - The importance of addressing tobacco use with patients,(LGBTQ population) including the effects of secondhand smoke, and the benefits of integrating tobacco use treatment into the clinical workflow.

- Training on how to screen for tobacco use, how to integrate screening protocols into workflows and electronic health records.
- Referring patients to cessation services; promoting referrals to the CT Quitline, integrating referrals to cessation services into workflows and electronic health records.

**Surveillance and Evaluation:** Develop and implement an overall formative, process and outcome evaluation plan that will provide valid, reliable evidence of progress achieved through the activities performed under this contract.

Evaluate program, service and project progress, determine effectiveness, determine if desired results are being obtained, and identify any areas that need improvement.

Report on program effectiveness, as well as provide overall summary results of all activities for concise reporting purposes.

The contractor will identify strengths and weaknesses for use in future planning and implementation and identify areas in need of additional services and/or programmatic changes.

Identify the specific population including the geographic area for each intervention that is described in your proposal and describe each intervention in as much detail as possible. This should include the length of time/number of sessions, curriculum to be developed/utilized, materials that will be provided or developed through this effort, and any pertinent details that will further describe your proposed project.

Evaluation shall be ongoing with these initiatives. Each applicant needs to provide a draft evaluation plan with their proposal that includes effective use of available data. A logic model template is included in the appendices to assist applicants; a logic model needs to be part of the evaluation plan.

Describe your process for meeting reporting deadlines and providing narrative updates: contractors will need to submit written narrative reports on a quarterly basis that demonstrate program progress, including, but not limited to, number and date of meetings/sessions/programs held, number of people reached, and other data elements based on the type of program being offered.

Contractors will need to submit a final report that includes their self-assessment of the project; program summary and status, marketing of their program including outreach activities, accomplishments, the effectiveness of services provided, determination of project successes and descriptions of challenges encountered, what worked and what did not, and what suggestions could be made for changes for the future. In the application, describe your process for this self-assessment of the project.

Describe how your program will be sustainable once these contract funds have expired.

#### **4. Staffing Requirements**

The proposal must describe the staff assigned to this project, including the extent to which they have the appropriate training, experience, and sufficient time allocated to perform assigned duties. Staff should have familiarity with evidence-based

programming and have the ability to address the needs of the targeted population. Resumes must be provided with the proposal for the management and professional staff assigned to this project. One person shall function as the single point of contact for the program.

### **5. Data and Technology Requirements**

The applicant must develop and maintain a data collection system that has the ability to collect, store, and report any data elements to DPH that are needed in order to report on program outcomes, such as participant information, status of coverage for cessation services, policy adoption status, or partner communication lists.

The applicant should describe data base management including quality assurance (e.g. conduct periodic data assessments to evaluate the quality, accuracy and validity of the data; assess, and validate data collection methods utilized by staff). Discussion of data management must include plans for quality improvement such as modifications to operations, protocols, data elements, software and/or equipment, staff training, and improved communication methods.

Quarterly reports will be required from each contractor to report program data on an ongoing basis. The applicant will also be expected to respond to questions from the evaluator on data submissions and program operations and may be expected to make data collection modifications in order to assure outcome measures are being tracked.

### **6. Work Plan**

The work plan format is provided with the application forms. A work plan is required that includes specific details about the interventions and/or services to be performed, the proposed activities to be performed as part of the intervention or service, the responsible staff position and target population for each activity, and the expected outcome or measure of success for that activity. Detail should be provided about the relationship and tasks to be performed by each subcontractor.

The expected outcome or measure of success will be further described within the draft evaluation plan, which is to be prepared as a separate document (see 7. below).

All interventions and/or services should be described in as much detail as possible. This may include information such as what curriculum will be utilized, the length of time for each program or session, materials that will be provided or developed through this effort, and any pertinent details that will further describe your proposed project.

### **7. Evaluation Plan**

Each bidder should provide a draft evaluation plan and logic model with their application that defines the outcome measures that they anticipate realizing once program activities have been implemented. The evaluation should be formed to answer certain questions, and the methodology for determining the answers be provided.

The expected outcomes, indicator or performance measures, method for obtaining the measure, data source, frequency and person responsible should all be included, as well as a logic model that details the anticipated short term, medium term, and long term outcomes from this project.

A sample format for the evaluation plan summary and draft logic models are included in Section V: Informational Appendices and a fillable logic model is included with the application forms provided in WORD format.

## **8. Additional Information : QUESTIONS TO ADDRESS**

Provide answers to the following questions after the summary paragraphs for the work plan and evaluation plan (Sections 6 and 7) in the main proposal. All applicants must provide a response. If a question is not applicable, then please state so in the response.

- 1) Explain your capability to work with the population identified for interventions and how you will choose the activities to obtain success in reducing tobacco use
- 2) Explain what it is about your identified strategy that will work.
- 3) Explain how you will ensure that you reach the 25.1% of LGBT+ that currently utilize tobacco (vs. the 74.9% that do not)?
- 4) Describe your experience effecting long term changes in a person's behavior and defining a new social norm.
- 5) Describe experience recruiting stakeholders
- 6) Describe your experience developing/utilizing existing coalitions
- 7) Describe your experience with community health assessments
- 8) Describe your experience developing and implementing a strategic plan
- 9) If you have previously provided similar services included in this RFP (e.g.: tobacco use cessation services, tobacco prevention programming, or health care systems outreach); please provide a summary of program successes and results, "lessons learned" and how you overcame challenges.

## **D. COST PROPOSAL COMPONENTS**

### **1. Financial Requirements**

Quarterly expenditure reports will be required. Budget basis programs will require expenditure reports that are submitted to the Department via an Excel spreadsheet that is provided by the Department. Any services that are going to be provided on a fee-for-service basis need to include an invoice.

### **2. Budget Requirements**

The proposal must contain an itemized budget and budget justification for the entire contract period describing what elements are included in each fee to be charged, using budget forms included in the Attachments to this RFP.

All costs (salaries, travel, etc.) must be included in contract price. Applicants may include media purchase within their budget as it relates to their work plan.

Use of subcontractors is allowed. Subcontractor information and detail also must be in the itemized budget. Subcontractor Schedule A - Detail form must be completed.

Any organization including administrative and general costs as part of the project budget must also provide their cost allocation plan that identifies what categories of costs are included in the plan and how they are allocated.

Applicants may propose either a Project-based budget or a fee-for-service budget for reimbursement of services. Fee-for-service budgets need to include a breakdown of all cost components that are included in the fee, such as salary-fringe benefit-workbook. The Budget Justification Schedule B form should be used for fee-for-service budgets, and Position Schedule 2a completed for salaries being charged to the contract.

**Competitiveness of the budget will be considered as part of the proposal review process.**

These funds cannot be used for capital purchases.

The State of Connecticut is exempt from the payment of excise, transportation and sales taxes imposed by the Federal and/or state government. Such taxes must not be included in contract prices. Indirect costs are not allowed, all budget items must be direct charges.

The maximum component amounts of the bid may not be increased after the proposal is submitted. All cost estimates will be considered as "not to exceed" quotations. The proposed budget may be subject to change during contract award negotiations.

The proposal must identify and provide contact information for all potential subcontractors used to meet the services required for this RFP. The selected Contractor must provide DPH with copies of any subcontracts. All information required of the contractor must be applied to the subcontractor as well.

**Copies of state set aside certifications for small and/or minority business must also be provided.**

*The rest of this page is intentionally blank*

## IV. PROPOSAL OUTLINE

*This section presents the **required** outline that must be followed when submitting a proposal in response to this RFP. Proposals must include a Table of Contents that conforms with the required proposal outline (below). Proposals must include all the components listed below, in the order specified, using the prescribed lettering and numbering scheme. Incomplete proposals will not be evaluated. While the proposal outline is standard, the information requested from proposers will vary by RFP, depending of the Department's procurement requirements.*

*Items A-F count towards the 25 page maximum. Items G, H and I do not.*

	Page
<b>A. Proposal Cover Sheet-Applicant Information Form</b>	. . . . .
<b>B. Table of Contents</b>	. . . . .
<b>C. Declaration of Confidential Information</b>	. . . . .
<b>D. Conflict of Interest - Disclosure Statement</b>	. . . . .
<b>E. Executive Summary</b> . . . <b>(Maximum three pages)</b>	. . . . .
<b>F. Main Proposal</b>	. . . . .
<b>1. Organizational Profile</b>	. . . . .
a. Purpose, Mission, Vision, Values	. . . . .
b. Entity Type / Parent Organization / Years of Operation	. . . . .
c. Location of Offices / Facilities	. . . . .
d. Location where services will be provided	. . . . .
e. Functional Organization	. . . . .
f. Current Range of Services /Clients	. . . . .
g. Qualifications	. . . . .
h. Relevant Experience	. . . . .
i. Accreditation / Certification / Licensure	. . . . .
j. Governance System	. . . . .
k. References	. . . . .
<b>2. Scope of Services to be Provided</b>	. . . . .
a. Anticipated Program Reach	. . . . .
b. Estimated Number of People Receiving Services	. . . . .
c. Community Collaboration and Engagement	. . . . .
d. Service Capacity / Delivery Plan/Systems / Processes / Protocols	. . . . .
e. Client Engagement/Consultation /Evaluation	. . . . .
f. Quality Assurance Protocols	. . . . .
g. Administrative Support	. . . . .
h. Special Health or Safety Requirements	. . . . .
<b>3. Staffing Plan</b>	. . . . .
a. Key Personnel / Managers	. . . . .

b.	Staffing Levels & Qualifications . . . . .
c.	Job Descriptions . . . . .
d.	Personnel Organization Chart . . . . .
e.	Point of Contact Identified . . . . .
f.	Recruitment, Hiring & Retention Plan . . . . .
g.	Staff Training / Education / Development . . . . .
h.	Hours of Operation & Hours of Service Provision . . . . .
<b>4. Data and Technology</b>	· · · · ·
a.	E-Mail / Internet Capabilities . . . . .
b.	IT Infrastructure / Hardware / Software Quality . . . . .
c.	Data Collection / Storage . . . . .
d.	Reporting Capability . . . . .
e.	Methods of Communication . . . . .
f.	Evaluation / Outcome Measures . . . . .
<b>5. Subcontractors</b>	· · · · ·
a.	Legal Name of Agency, Address, FEIN . . . . .
b.	Contact Person, Title, Phone, Fax, E-mail . . . . .
c.	Services Currently Provided . . . . .
d.	Services To Be Provided Under Subcontract . . . . .
e.	Subcontractor Oversight . . . . .
f.	Subcontract Cost and Term . . . . .
<p>Note for the next two items: A summary paragraph of both plans must be included in the main proposal, but the full Work Plan and Evaluation Plan documents will be included as attachments.</p>	
<b>6. Work Plan</b>	· · · · ·
a.	Services to be Provided . . . . .
b.	Tasks, Deliverables . . . . .
c.	Staff Position(s) responsible. . . . .
d.	Target Population for service . . . . .
e.	Measurable Objectives . . . . .
f.	Timeframe / Schedule start and end dates . . . . .
g.	Measurable Objectives . . . . .
<b>7. Evaluation Plan</b>	· · · · ·
a.	Measurable Objective. . . . .
b.	Method for Collecting Measure . . . . .
c.	Data Source . . . . .
d.	Frequency. . . . .
e.	Responsibility . . . . .
f.	Comments. . . . .
<b>8. Additional Information Requested</b>	· · · · ·
a.	Questions 1-5 . . . . .

## **G. Cost Proposal** · · · · ·

<b>1. Financial Profile</b>	· · · · ·
a.	Annual Budget and Revenues . . . . .
b.	Financial Standing . . . . .
c.	Financial Management Systems . . . . .

d. Revenue Generation / Billing / Third Party Reimbursement	.....
<b>2. Budget and Budget Narrative</b>	.....
a. Narrative	.....
b. Budget Summary	.....
c. Budget Justification	.....
d. Position Schedule	.....
e. Subcontractor Costs	(Subcontractor Schedule A- Detail) .....
<b>H. Attachments</b>	.....
a. Work Plan	.....
b. Evaluation Plan including Logic Models	.....
c. Résumés of Key Personnel	.....
d. Letters of Reference	.....
e. Letters of Collaboration	.....
f. Cost Allocation Plan	.....
g. Audited Financial Statements	.....
<b>I. Forms</b>	.....
a. Tobacco Industry Funding and Partnership Certification (DPH)	.....
b. Consulting Agreement Affidavit	.....
c. Notification to Bidders	.....
d. Workforce Analysis	.....

## V. APPENDICES

The following appendices are provided for your further information:

A) Minimum Criteria Review Worksheet . . . . .	33
o Review form to be used for screening proposals as they are received	
B) Preliminary Review Team Technical Criteria Worksheet. . . . .	35
o RFP evaluation and scoring form to be used by screening committees	
C) Resource List . . . . .	37
o List of resource documents and materials available in each of the components.	
D) Evaluation Plan Summary: Sample Format . . . . .	38
E) Sample Logic Model . . . . .	39

*The information and forms in this section are for your reference only. The forms contained herein will be required of applicants awarded funding and will be requested during the contract development process. Some of the indicated information may be submitted electronically.*

**Do not include any of the forms included here with your proposal, they are provided for your information.**

F) Nondiscrimination Certification Instructions . . . . .	41
G) Nondiscrimination Certification . . . . .	42
H) Gift and Campaign Contribution Certification . . . . .	43
I) False Claims Act Compliance Notification . . . . .	45
a. False Claims Act Policy . . . . .	46
b. False Claims Act Procedure . . . . .	49
J) SEEC Form 11 Definitions . . . . .	52

**A) MINIMUM CRITERIA REVIEW CHECKLIST**  
**DPH RFP # 2021-0091: Best Practices in LGBTQ Tobacco Control**

<b>APPLICANT:</b>			
		Yes	No
<b>Letter of Intent:</b>	Received by April 26, 2022 11:59 PM EDST		
<b>Proposal due date and time:</b>	May 10, 2022 by 2:00 PM EDST One original proposal: -Original must have original signatures -Must be clearly marked as ORIGINAL. -Seven (7) conforming copies of the original proposal -One conforming electronic copy of the original proposal		
<b>Proposal Format:</b>	<b>Required Outline:</b>		
	A) Cover Sheet –Applicant Information Form Completed B)Table of Contents C)Declaration of Confidential Information D)Conflict of Interest – Disclosure statement E)Executive Summary (three pages allowed) Summary of Services that defines the scope of the project and anticipated short term results		
	<b>F)Main Proposal</b>		
	1) Contractor Information-Organizational Profile and Service Area 2) Scope of Services 3) Staffing Plan 4) Data and Technology 5) Subcontractors 6) Work Plan 7) Evaluation Plan 8) Questions Answered		
	<b>Cost Proposal:</b>		
	1) Financial Profile 2) Budget and Budget Narrative (Budget Justification and Schedules)		
	<b>Attachments:</b>		
	Work Plan Evaluation Plan including Logic Model Resumes for professional and management staff Two letters of reference from previous employer/grantors		

	Three letters of support and collaboration from community organizations and project partners		
	Cost Allocation Plan if charging Administrative and General Costs		
	Audited Financial Statements		
	<b>Forms:</b>		
	Tobacco Industry Funding and Partnership Certification		
	Consulting Agreement Affidavit (OPM Ethics Form 5)		
	Acknowledgement of Contract Compliance/Notification to Bidders Form		
	Workforce Analysis Form		
<b>Style Requirements</b>	Use a single binding clip, no staples or more permanent binding		
	Page Limit: 25 pages (does not include Attachments and Forms)		
	2-sided printing		
	Font Size 12		
	1-inch margins, 1 1/2 minimum spacing		
<b>Pagination</b>	Proposer's name on header of each page.		
	All pages numbered in the footer		
<b>Budget and Budget Narrative Contents:</b>	Direct Costs are defined and justification includes complete description of all line items		
	No Indirect Costs are included in the project price		
	Cost Allocation Plans are enclosed for any costs that are included in the budget that are allocated via an allocation plan.		

**B) PRELIMINARY REVIEW TEAM TECHNICAL CRITERIA WORKSHEET****RFP # 2021-0091: Best Practices in LGBTQ Tobacco Control****Applicant***Proposals must receive a minimum score of 70% in order to be considered for funding*

	Max Points	Comments	Score
<b>1.) Organizational Profile and Service Area 10%, 30 Points</b>			
The extent to which the applicant has provided and/or demonstrated:  a. Experience providing similar services. b. Answer to Question # 5 <i>If you have previously provided any of the services included in this RFP (e.g.: tobacco use cessation services, tobacco prevention programming, or health care systems outreach); please provide a summary of program successes and results, "lessons learned" and how you overcame challenges.</i> c. Letters of collaboration and support that show evidence and level of assistance they will provide to the project; d. Experience with community and other collaborative projects in the cities/towns in which program will be located and plan to collaborate with other partners/subcontractors. e. Letters of Reference that provide evidence of applicant's success implementing similar services.	30		
<b>2.) Scope of Services 20%, 60 Points</b>			
The rationale provided and solutions appear to be feasible:  The extent to which services to be provided are described clearly and cover requirements outlined in the RFP for this component:  a. The Applicant has demonstrated an effective approach to providing services and/or performing identified tasks b. Services will be provided that are culturally and linguistically appropriate c. Services and materials will follow best practices recommendations d. Applicant incorporates creativity into program components	60		
<b>3.) Staffing Plan and Subcontractors 10%, 30 Points</b>			
Note: As part of its evaluation of the Staffing Plan, the Screening Committee will consider the proposer's demonstrated commitment to affirmative action, as required by the Regulations of CT State Agencies § 46A-68j-30(10).  a. The extent to which adequate time is allocated to manage the services to be provided: The extent to which the profile of staff and subcontractors are clear and adequate to manage the services to be provided. b. To what extent has proposer demonstrated its capability to effectively coordinate, manage, and monitor the efforts of assigned staff,	30		

including subcontractors, to ensure that work is effectively completed in a timely manner?			
<b>4.) Data and Technology 10%, 30 points</b>			
The extent to which the applicant has demonstrated the ability to: <ul style="list-style-type: none"> <li>a. Maintain a data collection system that is capable of tracking and documenting program participant information needed to report on program outcomes.</li> <li>b. Monitor and maintain data quality assurance including quality improvement modifications, protocols, data elements, software and/or equipment, staff training, and improved communication methods</li> <li>c. Provide required reports and respond to data requests as outlined by DPH</li> </ul>	30		
<b>5.) Work Plan 20%, 60 points</b>			
Work plan must include sufficient narrative description for reviewers to understand how services will be carried out by the applicant. Applicants utilizing repetitive direct quotes from the RFP may have points deducted for responsiveness. <ul style="list-style-type: none"> <li>a. The extent to which a thorough yet realistic work plan is presented with clearly defined tasks to be performed, measurable objectives, and specific, appropriate timelines</li> <li>b. Answer to Question 2</li> <li>c. To what extent does Proposer describe in detail the specific actions (tasks, activities, functions) they will perform to fulfill program requirements.</li> <li>d. Answers to questions #1, 3, and 4;</li> <li>e. To what extent will program elements be incorporated that resonate with the target audience?</li> <li>f. To what extent did Proposer adequately demonstrate how it will measure and/or prove the completion of major tasks, functions, or activities (e.g. identification of key events/outcomes/deliverables)</li> </ul>	60		
<b>6.) Evaluation Plan 10%, 30 points</b>			
Evaluation Plan incorporates logic model with expected program outcomes over time <ul style="list-style-type: none"> <li>a. To what extent does the plan include measurable outcomes to assure evidence based programming</li> </ul>	30		
<b>7.) Budget and Budget Narrative 20%, 60 points</b>			
<ul style="list-style-type: none"> <li>a. To what extent is the budget cost-effective;</li> <li>b. To what extent does the detailed budget include justifications and a breakdown for any components</li> <li>c. The fiscal competitiveness of the proposal</li> </ul>	30		
	<u>Total</u>	300	

**C) RESOURCE LIST****RFP # 2021-0091: Best Practices in LGBTQ Tobacco Control**

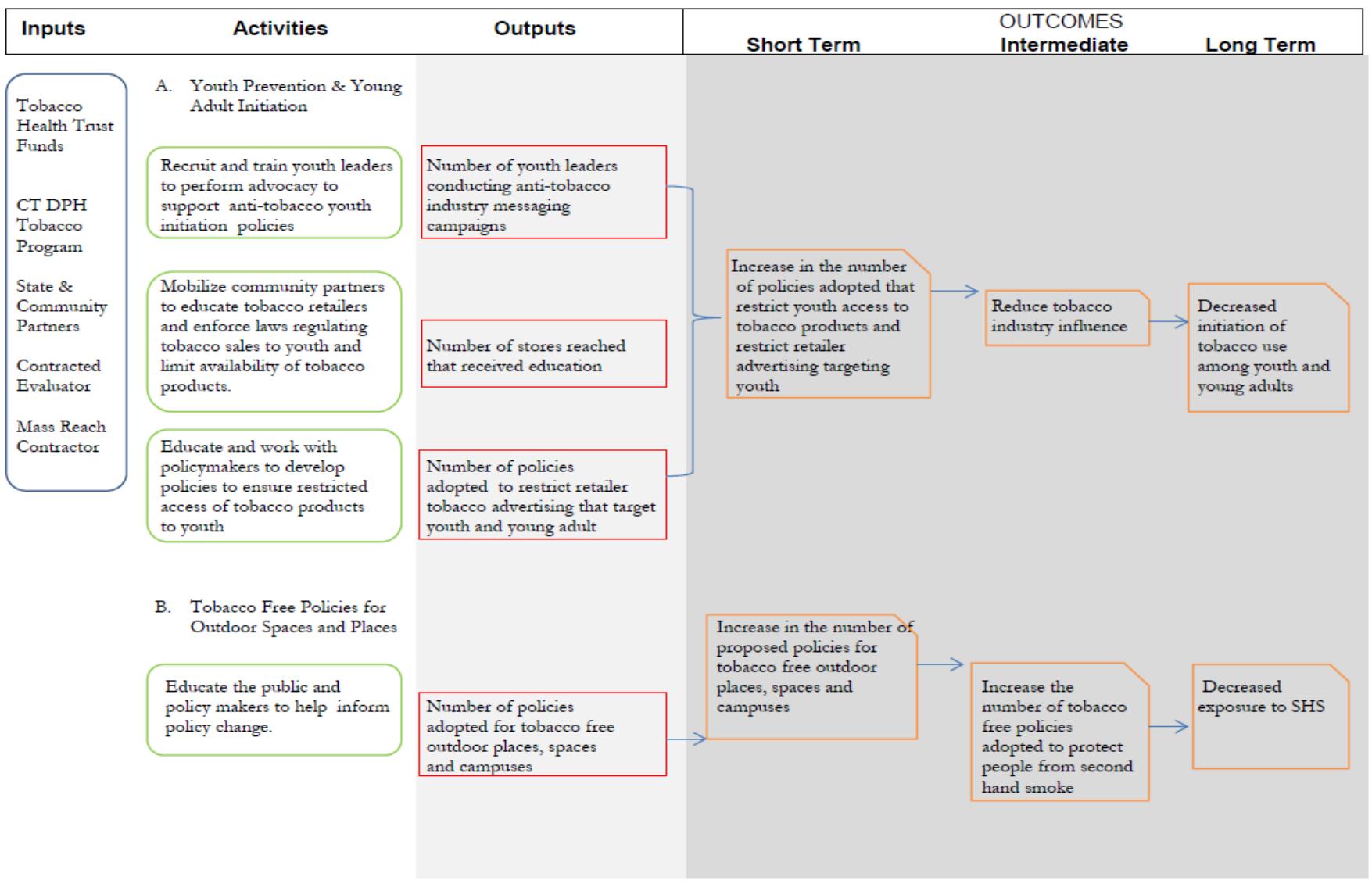
A number of resources are listed here for your convenience, to assist with proposal responses and program planning:

- 1) Centers for Disease Control and Prevention. Best Practices for Comprehensive Tobacco Control Program-2014. Atlanta: U.S. Department of Health and Human Services, Centers for Disease Control and Prevention, National Center for Chronic Disease Prevention and Health Promotion, Office on Smoking and Health, 2014.  
[http://www.cdc.gov/tobacco/stateandcommunity/best\\_practices/index.htm](http://www.cdc.gov/tobacco/stateandcommunity/best_practices/index.htm)
- 2) Best Practices and reference documents developed by the National LGBT Cancer Network, <https://cancer-network.org/resource-library/>
- 3)
- 4) The Community Guide to Reducing Tobacco Use and Exposure to Secondhand Smoke:  
<http://www.thecommunityguide.org/tobacco/index.html>
- 5) Key Outcome Indicators for Evaluating Comprehensive Tobacco Control Programs:  
[http://www.cdc.gov/tobacco/stateandcommunity/tobacco\\_control\\_programs/surveillance\\_evaluation/key\\_outcome/index.htm](http://www.cdc.gov/tobacco/stateandcommunity/tobacco_control_programs/surveillance_evaluation/key_outcome/index.htm)
- 6) Introduction to Process Evaluation in Tobacco Use Prevention and Control:  
[http://www.cdc.gov/tobacco/stateandcommunity/tobacco\\_control\\_programs/surveillance\\_evaluation/process\\_evaluation/pdfs/tobaccousemanual\\_updated04182008.pdf](http://www.cdc.gov/tobacco/stateandcommunity/tobacco_control_programs/surveillance_evaluation/process_evaluation/pdfs/tobaccousemanual_updated04182008.pdf)
- 7) Evaluation Toolkit for Smokefree Policies:  
[http://www.cdc.gov/tobacco/basic\\_information/secondhand\\_smoke/evaluation\\_toolkit/index.htm](http://www.cdc.gov/tobacco/basic_information/secondhand_smoke/evaluation_toolkit/index.htm)
- 8) Tobacco use cessation materials must adhere to the United States Department of Health and Human Services, Public Health Service, Clinical Practice Guidelines-Treating Tobacco Use and Dependence [http://www.cdc.gov/tobacco/quit\\_smoking/cessation/index.htm](http://www.cdc.gov/tobacco/quit_smoking/cessation/index.htm)  
Include adaptations for tobacco use cessation programs for lesbian/gay/bisexual/transgender: How to Run a Culturally Competent LGBT Smoking Treatment Group <http://lgbttobacco.org/files/Bible.pdf>
- 9) Additional Resources: The CDC funds national networks that address specific populations that experience tobacco-related and cancer health disparities:  
<http://www.cdc.gov/tobacco/about/coop-agreements/national-networks/>

**G) Evaluation Plan Summary Sample Format**

Evaluation Question	Indicator/Performance Measure	Data Collection Method	Data Source	Frequency	Responsibility	Comments

## H) Sample Logic Model





## Appendix I

### Nondiscrimination Certification Instructions

The governing body of your **corporation, company, or entity** must adopt policies and/or pass a resolution adopting and supporting nondiscrimination agreements and warrantees as indicated in the attached Certification Form.

If an **individual**, you must certify that you will adhere to the required nondiscrimination agreements and warrantees, as indicated in the *attached* Certification Form.

Individual	Corporation, Company or Entity
Use FORM A	Use FORM B (under \$50,000) or FORM C ( \$50,000 or more)
For an individual, enter your full legal name and address of residence.	<p>Enter the legal Name and Title of the Authorized Signatory if not already included on the form. This is the person <u>named</u> in the Secretarial Certification as authorized to sign.</p> <p>Alternately, the person authorized to certify the authorized signatory may sign this certification. If this option is chosen, the individual signing the secretarial certification and the nondiscrimination certification should be the same individual.</p>
This does not apply for contracts with individuals.	Enter Corporation / Contractor Name with <b>no</b> abbreviations unless it is legally abbreviated in the charter if not already included on the form. Exception: Corp. is a legal abbreviation.
This does not apply for contracts with individuals.	Enter State or Commonwealth of Incorporation where required if not already included on the form
Enter the <u>Day, Month, Year</u> on which the certification is signed. This date <u>must be the same or later</u> than the date the Contract is signed	Enter the <u>Day, Month, Year</u> on which the certification is signed. This date <u>must be the same or later</u> than the date the Contract is signed
Enter the Signer's Signature.	Enter the Signer's Signature.

#### IMPORTANT

Name of Signer must be typed **exactly** the same at the beginning of Document as at the end of the Document. Signature must match typed name **exactly**.

It is **not** necessary to have the form notarized unless an area for such appears on the form. Notarization is required, however, if so indicated on the form.

The requirement for notarization exists for contracts including funding in excess of \$50,000 per year.

The enclosed form is an official document approved by the Connecticut Office of Attorney General. Substitute documents are not acceptable.

## SECTION V. APPENDICES

**Appendix J)****Any type of correction fluid or tape is not acceptable! \*\*\***

\*\*\*We can supply additional forms if necessary.



**STATE OF CONNECTICUT**  
**NONDISCRIMINATION CERTIFICATION – Affidavit**  
**7/8/09**  
**By Entity**  
**For Contracts Valued at \$50,000 or More**

**Form C**

*Documentation in the form of an affidavit signed under penalty of false statement by a chief executive officer, president, chairperson, member, or other corporate officer duly authorized to adopt corporate, company, or partnership policy that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended*

**INSTRUCTIONS:**

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at \$50,000 or more for any year of the contract. Complete all sections of the form. Sign form in the presence of a Commissioner of Superior Court or Notary Public. Submit to the awarding State agency prior to contract execution.

**AFFIDAVIT:**

I, the undersigned, am over the age of eighteen (18) and understand and appreciate the obligations of an oath.

I am \_\_\_\_\_ of \_\_\_\_\_, an entity  
 Signatory's Title \_\_\_\_\_ Name of Entity \_\_\_\_\_

duly formed and existing under the laws of \_\_\_\_\_ Name of State or Commonwealth \_\_\_\_\_

I certify that I am authorized to execute and deliver this affidavit on behalf of

\_\_\_\_\_ and that \_\_\_\_\_  
 Name of Entity \_\_\_\_\_ Name of Entity \_\_\_\_\_

has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut

General Statutes §§ 4a-60(a) (1) and 4a-60a (a) (1), as amended.

\_\_\_\_\_  
 Authorized Signature

\_\_\_\_\_  
 Printed Name

**Sworn and subscribed to before me on this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.**

**Commissioner of the Superior Court/  
 Notary Public**

**Commission Expiration Date**



## STATE OF CONNECTICUT

### GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

*Certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2), as amended by Public Act 07-1*

#### INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution (and on each anniversary date of a multi-year contract, if applicable).

**CHECK ONE:**  Initial Certification

Annual Update (Multi-year contracts only.)

#### GIFT CERTIFICATION:

As used in this certification, the following terms have the meaning set forth below:

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is an Annual Update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "Gift" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Planning Start Date" is the date the State agency began planning the project, services, procurement, lease or licensing arrangement covered by this Contract, as indicated by the awarding State agency below; and
- 7) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am the official authorized to execute the Contract on behalf of the Contractor. I hereby certify that, between the Planning Start Date and Execution Date, neither the Contractor nor any Principals or Key Personnel has made, will make (or has promised, or offered, to, or otherwise indicated that he, she or it will, make) any **Gifts** to any Applicable Public Official or State Employee.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding **Gifts** by providing for any other principals, key personnel, officials, or employees of the Contractor, or its or their agents, to make a **Gift** to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

#### CAMPAIGN CONTRIBUTION CERTIFICATION:

I further certify that, on or after December 31, 2006, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(g)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(g)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(g)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:



**STATE OF CONNECTICUT**  
**GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION**

**Lawful Campaign Contributions to Candidates for Statewide Public Office:**

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>
--------------------------	----------------------------	------------------	--------------	--------------------

---



---



---



---

**Lawful Campaign Contributions to Candidates for the General Assembly:**

---



---



---



---

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>
--------------------------	----------------------------	------------------	--------------	--------------------

---



---



---



---

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Contractor Name	Signature of Authorized Official
-------------------------	----------------------------------

**Subscribed and acknowledged before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.**

**Commissioner of the Superior Court (or Notary Public)**

<b>For State Agency Use Only:</b>	
Awarding State Agency	Planning Start Date
Contract Number or Description	

## Appendix L

### FALSE CLAIMS ACT COMPLIANCE NOTIFICATION

This Contract requires compliance with The Deficit Reduction Act (“Act”) of 2005, which requires that the contractor or “qualified provider” receiving the contract comply with the Department’s False Claims Act Policy and Procedure as follows:

- 1 Review, print, and maintain on file the following Department’s False Claims Act Policy and False Claims Act Procedure.
- 2 Provide appropriate notice of the requirements of the Policy and Procedure by providing copies of the Department’s False Claims Policy and False Claims Procedure to all employees of your organization, including officers and officials as well as subcontractors providing services funded by this Contract, in accordance with the requirements of Section 4.3.3 of the Department’s False Claims Act Procedure.

**Do not return the False Claims Policy or False Claims Procedure to the Department.** Your signature on the executed Contract confirms your receipt and compliance with the Department’s False Claims Act compliance requirement.

 <p>DPH Connecticut Department of Public Health</p>	<h2>False Claims Act (Policy)</h2>	<b>PL-CGMS C-001</b> <b>Revision: 1.0</b> <b>Effective Date:</b> <b>05/21/2010</b>
--	------------------------------------	---

APPROVAL SIGNATURES		DATE
J. Robert Galvin, M.D., M.P.H. (original signature on file)	Commissioner of Public Health	05/21/2010

REVISION HISTORY			
Revision	Description of Change	Author	Effective Date
Basic	Initial Release	Bruce Wallen	05/21/2010

REFERENCE DOCUMENTS	
Document	Title
The Deficit Reduction Act ("Act") of 2005	Section 6032
United States Code (U.S.C.)	Sections 3729-3733
Connecticut General Statutes (C.G.S.)	Section 53a-290 Vendor Fraud
Connecticut General Statutes (C.G.S.)	Section 4-61dd Whistleblower
Connecticut General Statutes (C.G.S.)	Section 31-51m Blacklisting
Connecticut General Statutes (C.G.S.)	Section 17b-127 General Assistance

 <p>DPH Connecticut Department of Public Health</p>	<h2>False Claims Act (Policy)</h2>	<b>PL-CGMS C-001</b> <b>Revision: 1.0</b> <b>Effective Date:</b> <b>05/21/2010</b>
--	------------------------------------	---

### 1.0 Purpose

The Deficit Reduction Act ("Act") of 2005 is the federal government's legislative effort to control spending for entitlement programs, such as Medicaid. The Act seeks to control spending by reducing federal overpayments for prescription drugs and medical services, thereby improving the integrity of federally funded entitlement programs.

### 2.0 Scope

Section 6032 of the Act states that any entity, such as the Department of Public Health (Department), which receives or makes payments under a state plan approved under Title XIX or under a waiver of such plan, totaling at least \$5,000,000 annually, is required to establish written policies providing detailed information about the False Claims Act ("FCA") and any state false claims laws to all Department employees, contractors and agents. The Department is also required to establish and inform all employees, contractors, qualified providers and agents about the Department's policies and procedures for the detection and prevention of fraud, waste and abuse, the protection afforded to any person who reports an incident of a false claim to a regulatory body (e.g., Whistleblower Protection) and any civil or criminal penalties for false claims.

### 3.0 Definitions and Acronyms

Specialized acronyms and definitions identified in this contract procedure are defined below.

#### 3.1 Acronyms

- CGMS The Connecticut Department of Public Health, Contracts & Grants Management Section
- Department The State of Connecticut Department of Public Health
- FCA False Claims Act
- PFCRA Program Fraud Civil Remedies Act

#### 3.2 Definitions

Claim - means any request or demand, whether under a contract or otherwise, for money or property which is made by a contractor, grantee, or other recipient if the United States government provides any portion of the money or property which is requested or demanded or if the government will reimburse such contractor, grantee, or other recipient for any portion of the money or property which is requested or demanded.

Contractor or Agent - means any contractor, subcontractor, agent, qualified vendor, consumer or family member who act as an employer or other person which or who, on behalf of the entity, furnishes, or otherwise authorizes the furnishing of, Medicaid health care items or services, performs billing or coding functions, or is involved in the monitoring of health care provided by the entity.

Employee - means any officer or employee of the entity, contractor, or agent.

Entity - means a governmental agency, organization, unit, corporation, partnership or other business arrangement, including Medicaid managed care organizations, whether for profit or not-for-profit, which receives or makes payments, under a state plan approved under Title XIX or under any waiver of such plan, totaling at least \$5,000,000 annually.

Knowing and Knowingly - means that a person with respect to information 1) has actual knowledge of the information; 2) acts in deliberate ignorance of the truth or falsity of the information; or 3) acts in reckless disregard of the truth or falseness of the information.

	<h2>False Claims Act (Policy)</h2>	<b>PL-CGMS C-001</b> <b>Revision:</b> <b>1.0</b> <b>Effective Date:</b> <b>05/21/2010</b>
---	------------------------------------	---

## 4.0 Compliance

### 4.1 False Claim Act

The FCA prohibits any person, firm, corporation or entity from knowingly presenting, or causing to be presented, a false claim or statement to a federally funded program, including Medicaid, or conspiring to defraud the federal government. Any person, company or entity that acts in deliberate ignorance of or with reckless disregard of the truth of such information is considered to have acted knowingly.

The civil penalty for violating the FCA is a fine of not less than \$5,000 and not more than \$10,000 per violation. The person, company or entity may also be fined an additional three times the amount of damages sustained by the federal government. The PFCRA also provides that any person or company that commits fraud by making a false statement or claim can be assessed a penalty of \$5,000 per false claim or statement in addition to the penalties available under the FCA.

A person may bring a civil action for violating the FCA on behalf of said person and the United States government. If the federal government proceeds with an action brought by such person then that person shall receive at least 15 percent but not more than 25 percent of the proceeds of the action or settlement. If the federal government does not proceed with the action and the person initiating the action proceeds, then the person bringing the action shall receive a reasonable amount, to be determined by the court, but not less than 25% and not more than 30% of the proceeds of the action or settlement.

The FCA prohibits retaliation by an employer against an employee for bringing a false claim action or participating in such action (Whistleblower Protection). Any employee subject to retaliation by an entity, contractor or agent shall be entitled to all relief necessary to make the employee whole, including but not limited to reinstatement, two times the amount of back pay, interest on back pay and special damages.

### 4.2 State False Claim Related Acts

Under Connecticut's Vendor Fraud statute it is illegal for a person on his own behalf or on the behalf of an entity, with intent, to fraudulently provide goods or services to a beneficiary or recipient under Title XIX or to fraudulently receive goods or services. Connecticut law also prohibits any vendor from fraudulently providing services or goods for any recipient of General Assistance. The State Whistleblower law provides any employee who reports a suspected violation of state or federal law with protection against retaliation by the employer. State law also prohibits any person, corporation, state or political subdivision from blacklisting any employee.

### 4.3 Compliance Reporting

All DPH employees, contractors and agents, are required to report fraud, waste and abuse to: The Department of Public Health, Contracts & Grants Management Section, 410 Capitol Avenue, MS#13GCT, P.O. Box 340308, Hartford, CT 06134-0308.

 <p>DPH Connecticut Department of Public Health</p>	<h2>False Claims Act (Procedure)</h2>	<b>PR-CGMS C-001</b> <b>Revision: 1.0</b> <b>Effective Date:</b> <b>05/21/2010</b>
--	---------------------------------------	---

APPROVAL SIGNATURES		DATE
J. Robert Galvin, M.D., M.P.H. (original signature on file)	Commissioner of Public Health	05/21/2010

REVISION HISTORY			
Revision	Description of Change	Author	Effective Date
Basic	Initial Release	Bruce Wallen	05/21/2010

REFERENCE DOCUMENTS	
Document	Title
The Deficit Reduction Act ("Act") of 2005	Section 6032
United States Code (U.S.C.)	Sections 3729-3733
Connecticut General Statutes (C.G.S.)	Section 53a-290 Vendor Fraud
Connecticut General Statutes (C.G.S.)	Section 4-61dd Whistleblower
Connecticut General Statutes (C.G.S.)	Section 31-51m Blacklisting
Connecticut General Statutes (C.G.S.)	Section 17b-127 General Assistance

 <p>DPH Connecticut Department of Public Health</p>	<h2>False Claims Act (Procedure)</h2>	<b>PR-CGMS C-001</b> <b>Revision: 1.0</b> <b>Effective Date:</b> <b>05/21/2010</b>
--	---------------------------------------	---

### 1.0 Purpose

This procedure provides guidance to the Department of Public Health on informing all employees, contractors and agents about the Department of Public Health False Claims Policy, PL-CGMS C-001.

### 2.0 Scope

This procedure applies to all Department of Public Health staff, and officers and employees of contractors, agents, qualified providers and subcontractors funded by the department.

### 3.0 Definitions and Acronyms

Specialized acronyms and definitions identified in this contract procedure are defined below.

#### 3.1 Acronyms

<u>CGMS</u>	The Connecticut Department of Public Health, Contracts & Grants Management Section
<u>Department</u>	The State of Connecticut Department of Public Health
<u>FCA</u>	False Claims Act
<u>PFCRA</u>	Program Fraud Civil Remedies Act
<u>POS</u>	Purchase of Service Contract

#### 3.2 Definitions

Claim - means any request or demand, whether under a contract or otherwise, for money or property which is made by a contractor, grantee, or other recipient if the United States government provides any portion of the money or property which is requested or demanded, or if the government will reimburse such contractor, grantee, or other recipient for any portion of the money or property which is requested or demanded.

Contractor or Agent - means any contractor, subcontractor, agent, qualified vendor, consumer or family member who act as an employer or other person which or who, on behalf of the entity, furnishes, or otherwise authorizes the furnishing of, Medicaid health care items or services, performs billing or coding functions, or is involved in the monitoring of health care provided by the entity.

Employee - means any officer or employee of the entity, contractor or agent.

Entity - means a governmental agency, organization, unit, corporation, partnership or other business arrangement, including Medicaid managed care organizations, whether for profit or not-for-profit, which receives or makes payments, under a state plan approved under Title XIX or under any waiver of such plan, totaling at least \$5,000,000 annually.

Knowing and Knowingly - means that a person with respect to information 1) has actual knowledge of the information; 2) acts in deliberate ignorance of the truth or falsity of the information; or 3) acts in reckless disregard of the truth or falseness of the information.

Purchase of Service Contract - Previously Human Service Contract, a contract document used to procure direct client services to populations served by the Department over a defined period and for an agreed upon maximum price.

Subcontractor – See “Contractor or Agent” above.



## False Claims Act (Procedure)

**PR-CGMS C-001**  
**Revision: 1.0**  
**Effective Date:**  
**05/21/2010**

### 4.0 Process

#### 4.1 Dissemination to the Department's New Employees

- 4.1.1 The Department's Human Resources staff shall present and provide all newly hired Department employees with a copy of the False Claims Act Policy and Procedure during the new employee orientation.
- 4.1.2 Each new Department employee must acknowledge receipt of the False Claims Act Policy and Procedure by signing an acknowledgement that they received it. The acknowledgement shall be maintained in their personnel file.

#### 4.2 Dissemination to the Department's Existing Employees

Each existing Department employee shall receive a copy of the Department's False Claims Act Policy and Procedure and must sign an acknowledgement that they have received it. The acknowledgement shall be maintained in their personnel file.

#### 4.3 Dissemination to Contractors and Qualified Providers

- 4.3.1 CGMS shall include the Department's False Claims Act Policy and Procedure in all POS contracts between the Department and its contractors and agents.
- 4.3.2 Contractors and agents shall inform all employees providing services funded by the contract of the policy and procedure and obtain acknowledgement of receipt.
- 4.3.3 Execution of the contract by a contractor or agent, via authorized signature, shall indicate acceptance of and compliance with the Department's False Claims Policy and Procedure in accordance with Part II, Section C.4, (Terms and Conditions, Contractor Obligations, Federal Funds) of the POS Contract.
- 4.3.4 Contractors and agents under contract with the Department shall inform all subcontractors, providing services funded by the contract, of the policy and procedure and obtain acknowledgement of receipt either via inclusion of a contract term/condition in the sub-contractual agreement as in 4.3.3 above, and execution of such subcontract, or via separate acknowledgement.

### 5.0 Records

- 5.1 The following records shall be maintained, generated, or updated, and filed by the Department in accordance with this procedure and CGMS record retention requirements and schedules. Contractors shall maintain records according to their established record retention schedules.

Record Name	Responsible	Retention Req.	Location
Employee acknowledgement of receipt of False Claims Policy and Procedure	Human Resources Office	Until employee termination	Employee File
Fully Executed Contract Document	CGMS	3 Yrs. From end date of contract(s)	CGMS Contract File

## Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations

This notice is provided under the authority of Connecticut General Statutes §9-612(g) (2), as amended by P.A. 10-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the reverse side of this page).

### CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

*No state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee (which includes town committees).*

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

On and after January 1, 2011, no state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a

quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall **knowingly solicit** contributions from the state contractor's or prospective state contractor's employees or from a *subcontractor or principals of the subcontractor* on behalf of (i)

an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

### DUTY TO INFORM

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

### PENALTIES FOR VIOLATIONS

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

**Civil penalties**—Up to \$2,000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of up to \$2,000 or twice the amount of the prohibited contributions made by their principals.

**Criminal penalties**—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or not more than \$5,000 in fines, or both.

### CONTRACT CONSEQUENCES

In the case of a state contractor, contributions made or solicited in violation of the above prohibitions may result in the contract being voided.

In the case of a prospective state contractor, contributions made or solicited in violation of the above prohibitions shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State shall not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information may be found on the website of the State Elections Enforcement Commission, [www.ct.gov/seec](http://www.ct.gov/seec). Click on the link to "Lobbyist/Contractor Limitations."

## DEFINITIONS

“State contractor” means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. “State contractor” does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

“Prospective state contractor” means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. “Prospective state contractor” does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

“Principal of a state contractor or prospective state contractor” means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

“State contract” means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. “State contract” does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan, a loan to an individual for other than commercial purposes or any agreement or contract between the state or any state agency and the United States Department of the Navy or the United States Department of Defense.

“State contract solicitation” means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

“Managerial or discretionary responsibilities with respect to a state contract” means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

“Dependent child” means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

“Solicit” means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. *Solicit* does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

“Subcontractor” means any person, business entity or nonprofit organization that contracts to perform part or all of the obligations of a state contractor's state contract. Such person, business entity or nonprofit organization shall be deemed to be a subcontractor until December thirty first of the year in which the subcontract terminates. “Subcontractor” does not include (i) a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or (ii) an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

“Principal of a subcontractor” means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a subcontractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a subcontractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a subcontractor, which is not a business entity, or if a subcontractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any subcontractor who has managerial or discretionary responsibilities with respect to a subcontract with a state contractor, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the subcontractor.

## VI. APPLICATION FORMS

**APPLICATION FORMS:** *The information and forms included in this section are required for submission of a proposal. The included forms must be completed and included in the proposal submission as applicable.*

1. Proposal Cover Sheet: Applicant Information Form. . . . .	55
2. Applicant Information Form (continuation) . . . . .	56
3. Main Proposal Outline – Project Narrative and Required Questions . . .	57
4. Project Budget . . . . .	58
A) Budget Summary . . . . .	60
B) Budget Justification Schedule B. . . . .	61
C) Position Schedule # 2a . . . . .	62
D) Subcontractor Schedule A – Detail. . . . .	63
5. Work Plan Form . . . . .	64
6. Logic Model Template for Evaluation Plan . . . . .	65
7. Tobacco Industry Funding and Partnership Certification . . . . .	66
8. Consulting Agreement Affidavit . . . . .	67
9. Notification to Bidders . . . . .	69
10. Workforce Analysis Form. . . . .	70

**REQUEST FOR PROPOSAL COVER SHEET**  
**State of Connecticut – Department of Public Health**  
**TOBACCO CONTROL PROGRAM**

**RFP # 2021-0091**

**BEST PRACTICES IN LGBTQTOBACCO CONTROL**

**Applicant Information**

Legal Name

Address

City/Town

State

Zip Code

Telephone No.

FAX No.

E-Mail Address

Contact Person: \_\_\_\_\_ Title: \_\_\_\_\_

Telephone No:

**TOTAL PROGRAM COST:** \$\_\_\_\_\_

I certify that to the best of my knowledge and belief, the information contained in this application is true and correct. The application has been duly authorized by the governing body of the applicant, the applicant has the legal authority to apply for this funding, the applicant will comply with applicable state and federal laws and regulations, and that I am a duly authorized signatory for the applicant.

Signature of Authorizing Official:

Date

Typed Name and Title

The applicant agency is the agency or organization, which is legally and financially responsible and accountable for the use and disposition of any awarded funds. Please provide the following information:

- Full legal name of the organization or corporation as it appears on the corporate seal and as registered with the Secretary of State
- Mailing address;
- Main telephone number;
- Fax number, if any-
- Principal contact person for the application (person responsible for developing application)
- Total program cost

The funding application and all required submittals must include the signature of an officer of the applicant agency who has the legal authority to bind the organization. The signature, typed name and position of the authorized official of the applicant agency must be included as well as the date on which the application is signed.

**Applicant Information (continuation)****PLEASE LIST THE AGENCY CONTACT PERSONS RESPONSIBLE FOR COMPLETION AND SUBMITTAL OF:****Contract and Legal Documents/Forms:**

Name	Title	Tel. No.
Street	Town	Zip Code
Email		Fax No.

**Program Progress Reports:**

Name	Title	Tel. No.
Street	Town	Zip Code
Email		Fax No.

**Financial Expenditure Reporting Forms:**

Name	Title	Tel. No.
Street	Town	Zip Code
Email		Fax No.

Incorporated:  YES  NOAgency Fiscal Year: Type of Agency:  Public  Private  Other, Explain: \_\_\_\_\_ Profit  Non-ProfitFederal Employer I.D.  
Number: Town Code No: Medicaid Provider Status:  YES  NOMedicaid Number: Minority Business Enterprise (MBE):  YES  NOWomen Business Enterprise (WBE):  YES  NO

**F) MAIN PROPOSAL - OUTLINE for Project Narrative****Organizational Profile**

- Purpose, Mission, Vision, Values
- Entity Type / Parent Organization / Years of Operation
- Location of Offices / Facilities
- Location Where Services will be Provided
- Functional Organization
- Current Range of Services /Clients
- Qualifications
- Relevant Experience
- Accreditation / Certification / Licensure
- Governance System
- References

**Scope of Services**

- Anticipated Program Reach
- Estimated Number of People Receiving Services
- Community Collaboration and Engagement
- Service Capacity / Delivery Plan/Systems / Processes / Protocols
- Client Engagement/Consultation /Evaluation
- Quality Assurance Protocols
- Administrative Support
- Special Health or Safety Requirements

**Staffing Plan**

- Key Personnel / Managers
- Staffing Levels & Qualifications
- Job Descriptions
- Personnel Organization Chart
- Point of Contact Identified
- Recruitment, Hiring & Retention Plan
- Staff Training / Education / Development
- Hours of Operation & Hours of Service Provision

**Data and Technology**

- E-Mail / Internet Capabilities
- IT Infrastructure / Hardware/Software Quality
- Data Collection / Storage
- Reporting Capability
- Methods of Communication
- Evaluation / Outcome Measures

**Subcontractors**

- Legal Name of Agency, Address, FEIN
- Contact Person, Title, Phone, Fax, E-mail
- Services Currently Provided
- Services to Be Provided Under Subcontract
- Subcontractor Oversight
- Subcontract Cost and Term

**For Project Narrative in the Main Proposal, a summary paragraph of both plans must be included. The full Work Plan and Evaluation Plan are to be included as an attachment.**

**Work Plan****Evaluation Plan**

**Additional Information:**  
**Questions 1-5**

## A. BUDGET SUMMARY INSTRUCTIONS

1. **Position Schedule #2a**
  - a. Complete the schedule for all positions to be funded, even if currently vacant.
  - b. Complete one Position Schedule (#2a) for each Program/Fund to be included in the Budget.
2. **Personnel** (lines #1 - #2)
  - a. **Line #1 Salary and Wages:** Enter the total salary to be charged, as listed on Position Schedule 2a.
  - b. **Line #2 Fringe Benefits Line:** Enter the total fringe benefits to be charged, as listed on Position Schedule 2a.
3. Lines #3 - #7, #9, and #10: Complete categories as appropriate,
4. **Line #8 Contractual (Subcontracts):**

Provide the total of all subcontracts and complete Subcontractor Schedule.
5. **Line #11: Other Expenses:**

For any other types of expense that do not fit into the categories listed.

For example: Equipment: Please note that the state's definition of equipment is tangible personal property with a normal useful life of at least one year and a value of at least \$5,000 or more.

  - a. **Audit Costs:**

The cost of audits made in accordance with OMB Circular A133 (Federal Single Audit) are allowable charges to Federal awards. The costs of State Single Audits (CGS 4-23 to 4-236) are allowable charges to State awards. Audit costs are allowable to the extent that they represent a pro-rata share of the cost of such audit.

Audit costs charged to Department of Public Health contracts **must be budgeted, reported and justified as an audit cost line item within the Administrative and General Cost category.**
6. **Line Item #12: Administrative and General Costs**
  - a. Are defined as those costs that have been incurred for the overall executive and administrative offices of the organization or other expenses of a general nature that do not relate solely to any major cost objective of the overall organization. Examples of A&G costs include salaries of executive directors, administrative & financial personnel, accounting, auditing, management information systems, proportional office costs such as building occupancy, telephone, equipment, and office supplies. Please review the OPM website on Cost Standards for more information at:  
[http://www.opm.state.ct.us/finance/pos\\_standards/coststandards.htm](http://www.opm.state.ct.us/finance/pos_standards/coststandards.htm)
  - b. **Administrative and General Costs** must be itemized on the Budget Justification Schedule. Costs that have a separate line item in the Budget Summary may not be duplicated as an Administrative and General Cost. For example, if the Budget Summary includes an amount for telephone costs, this cannot also be included as an Administrative and General Cost.
  - c. **Cost Allocation Plans** must be submitted with applications that include budget line items for allocated Administrative and General costs.
7. **Other Program Income:** list any other program income, if appropriate, such as in-kind contributions, fees collected, or other funding sources and include brief explanation on Budget Justification.

**B. Budget Justification Schedule B**

1. Please provide a brief explanation for each line item listed on the Budget Summary. This must include a detailed breakdown of the components that make up the line item and any calculation used to compute the amount.

Line Item (Description)	Amount	Justification - Breakdown of Costs
Travel	\$730	1,659 miles @ .44 = \$730.00 outreach workers going to meetings and site visits.

2. For contractors who have subcontracts, a brief description of the purpose of each subcontract must be provided. Use additional sheets as necessary.

*\*\*\*Please note: If Laboratory Services is a line item on the primary or subcontract budget, please supply a justification as to why a private laboratory is being used as opposed to the Connecticut State Laboratory.*

**C. Subcontractor Schedule A-Detail**

1. All subcontractors used by each program must be included, if it is not known who the subcontractor will be, an estimated amount and whatever budget detail is anticipated should be provided. (Submit the actual detail when it is available). A separate subcontractor schedule must be completed for each program included in the contract. For example: The contract is providing both a Needle Exchange program and an AIDS Prevention Education Program and Subcontractor "A" is providing services to both program there must be a separate budget for Subcontractor "A" for each.
2. Detail of Each Subcontractor:
  - a. Choose a category below for each subcontract using the basis by which it is paid:
 

A. Budget Basis       B. Fee for Service       C. Hourly Rate.
  - b. Choose whether the subcontractor is a minority or woman owned business:
 

MBE       WBE       Neither
  - c. Provide the detail for each subcontract just as for the primary contract budget referencing the corresponding program of the contract. Detail must be provided for each subcontractor listed in the Summary.  
 Note: If space allowed is not sufficient for large or complex subcontract budgets, the primary Budget Summary format may be copied and used instead.

Applicant Name:

FUNDING and CONTRACT PERIOD: 10/01/2022-9/28/2023

## A.) Budget Summary

Program:	Name	Name	Total
1. Salaries & Wages			
2. Fringe Benefits			
3. Contractual (Sub-Contracts)**			
4. Transportation			
5. Materials and Supplies			
6. Facilities			
7. Capital Expenses (> \$5,000)			
8. Client Subsidies			
9. Other Expenses (list)			
a.			
b.			
c.			
d.			
e.			
f.			
g.			
h.			
i.			
12. Administrative and General Costs			
<b>Total Project Budget</b>			
Other Program Income			

\*\*Complete Sub-contractor Schedule A

**Applicant Name:**

FUNDING and CONTRACT PERIOD: **10/01/2022-09/28/2023**

## Budget Justification Schedule B

**Program/Site:**

Applicant Name:

## C) Position Schedule #2a

Program/Site:

Position Description and Staff Person Assigned	Site/Location	Hours wk./ wks. per Year	Hourly Rate	Total Salary Charged	Fringe Benefit Rate %	Total Fringe Benefits
1.Position: Name:		/			%	
2.Position: Name:		/			%	
3.Position: Name:		/			%	
4.Position: Name:		/			%	
5.Position: Name:		/			%	
6.Position: Name:		/			%	
7.Position: Name:		/			%	
8.Position: Name:		/			%	
9.Position: Name:		/			%	
10.Position: Name:		/			%	
11.Position: Name:		/			%	
12.Position: Name:		/			%	
13.Position: Name:		/			%	
14.Position: Name:		/			%	
15.Position: Name:		/			%	
<b>Totals</b>						

\*Attach resumes and job descriptions for all Professional Staff

Applicant Name:

**D) Subcontractor Schedule A-Detail**Contract Period: Contract Start Date to Contract End  
Program/Site:**#1**

Subcontractor Name:

Address:

Telephone: (        )(        -        )

Select One: A  Budget Basis    B  Fee-for-Service    C  Hourly RateIndicate One:  MBE     WBE     Neither

Program:	Name	Name	Total
Line Item(s)			
<b>Total Subcontract Amount:</b>			

**#2**

Subcontractor Name:

Address:

Telephone: (        )(        -        )

Select One: A  Budget Basis    B  Fee-for-Service    C  Hourly RateIndicate One:  MBE     WBE     Neither

Program:	Name	Name	Total
Line Item(s)			
<b>Total Subcontract Amount:</b>			

**#3**

Subcontractor Name:

Address:

Telephone: (        )(        -        )

Select One: A  Budget Basis    B  Fee-for-Service    C  Hourly RateIndicate One:  MBE     WBE     Neither

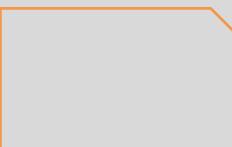
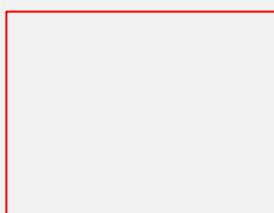
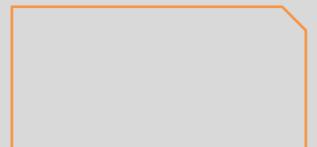
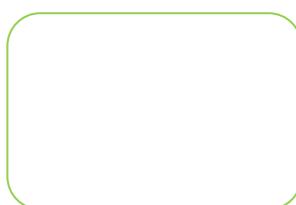
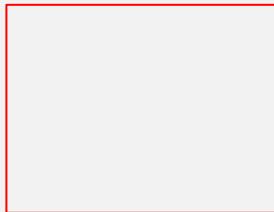
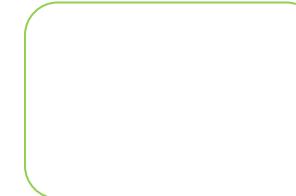
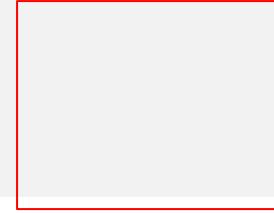
Program:	Name	Name	Total
Line Item(s)			
<b>Total Subcontract Amount:</b>			

**Work Plan**

(Make as many blank pages as needed, and form may be set up in either portrait or landscape mode)

Services to be Provided (Provide specifics)	Activities (Tasks/Deliverables)	Staff Position(s) Responsible  Target Population for this Activity	Expected Outcomes, Measures of Success	Timeframe for Completion (Include scheduled start and end dates)

**Evaluation Plan: Logic Model Template****(Add as many boxes as needed to reflect the proposed program)**

Inputs	Activities	Outputs	Short Term	<u>OUTCOMES:</u> Intermediate	Long Term
					
					
					
					

State of Connecticut  
Department of Public Health  
Tobacco Control Program

### **Tobacco Industry Funding and Partnership Certification**

I, \_\_\_\_\_ certify that \_\_\_\_\_ has not  
(Agency)  
received funding or engaged in partnerships, either formal or informal,  
with any Tobacco Company within the last three (3) years.

The above-mentioned agency will not accept funding nor engage in  
partnerships with any Tobacco Company during the contract period,  
should we be awarded funds from the CT Department of Public Health,  
Tobacco Control Program.

---

Contractor's Authorized Signature

---

Date



**STATE OF CONNECTICUT  
CONSULTING AGREEMENT AFFIDAVIT**

*Affidavit to accompany a bid or proposal for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b).*

**INSTRUCTIONS:**

**If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1):** Complete all sections of the form. If the bidder or contractor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. **If the bidder or contractor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1):** Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

**AFFIDAVIT:** [Number of Affidavits Sworn and Subscribed On This Day: \_\_\_\_\_]

I, the undersigned, hereby swear that I am a principal or key personnel of the bidder or contractor awarded a contract, as described in Connecticut General Statutes § 4a-81(b), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, **except for the agreement listed below:**

Consultant's Name and Title

Name of Firm (if applicable)

Start Date

End Date

Cost

Description of Services Provided: \_\_\_\_\_

Is the consultant a former State employee or former public official?  YES  NO

If YES:

Name of Former State Agency

Termination Date of Employment

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Name of Bidder or Vendor

**Signature of Chief Official or Individual**

**Date**

Printed Name (of above)

Dept. of Public Health  
Awarding State Agency

**Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.**

**Commissioner of the Superior Court  
or Notary Public**

## STATE OF CONNECTICUT

## DEPARTMENT OF PUBLIC HEALTH



Jewel Mullen, M.D., M.P.H., M.P.A.  
Commissioner

Dannel Malloy  
Governor

**AFFIRMATIVE ACTION  
CONTRACT COMPLIANCE POLICY STATEMENT**

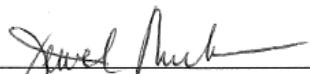
The Department of Public Health (DPH) is an Affirmative Action/Equal Employment Opportunity employer, in compliance with all state and federal laws and shall comply with the Contract Compliance Regulations and CGS 4a-60 Nondiscrimination and affirmative action provisions in contracts of the state and political subdivisions other than municipalities. Consistent with the Contract Compliance Regulations of Connecticut State Agencies, Sections 46a-68j-21 through 46a-68j-43, DPH encourages bidders, contractors, subcontractors, and suppliers to:

- Develop and follow a plan of affirmative action to achieve or exceed parity of employment with the applicable labor market
- Develop and follow an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive
- Submit employment statistics contained in the "Employment Information Form", indicating that the composition of its workforce is at or near parity when compared to the race/sex composition of the workforce in the relevant labor market area
- Develop and follow a plan to set aside a portion of the contract for legitimate minority business enterprises per Section 46a-68j-30(10)(E) of the Contract Compliance Regulations

DPH considers bidders success in these factors in reviewing the bidder's qualifications under the Contract Compliance requirements. Accordingly, any individual or organization that desires to business with DPH shall not:

- Discriminate or permit discrimination against any protected class person or protected group in the performance of contracts
- Engage in discriminatory practices or permit discriminatory practices in their workplace
- Cooperate with the Connecticut Commission on Human Rights and Opportunities in all activities
- In all contract solicitations or advertisements state that they are an "affirmative action-equal opportunity employer"
- Must sign a Notification to Bidders Form, and complete a workforce analysis questionnaire necessary for the contract award process

DPH notifies bidders, contractors, subcontractors, and suppliers of this policy and will not knowingly do business with any contractor, subcontractor or supplier of materials who unlawfully discriminates against members of any class protected under state or federal law. Contractors whose overall employment statistics are not reflective of the general employment area may be required to show good faith efforts to ensure that their personnel policies and practices do not have a discriminatory impact.

  
Jewel Mullen, MD, MPH, MPA  
Commissioner, DPH

7/30/2013  
Date

### **NOTIFICATION TO BIDDERS**

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71 (d) and 46a-81i (d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 46a-68j-43 of the Regulations of Connecticut State agencies, which establish a procedure for the awarding of all contracts covered by Sections 4a-60 and 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; and, (3) Who are members of a minority, as such term is defined in subsection (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) Women ... (4) Asian Pacific Americans and Pacific Islanders; or (5) American Indians." 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 Sections 46a-68-1 to 46a-68-18 of the Connecticut General Statutes, 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 the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and,
- e) the bidder's promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30 (10) (E) of the Contract Compliance Regulations.

**INSTRUCTION:** Bidder must sign acknowledgment below line and return acknowledgment to Awarding Agency along with the bid proposal.

---

The undersigned acknowledges receiving and reading a copy of the "Notification to Bidders" form.

---

Signature

---

Date

On behalf of:

---

**WORKFORCE ANALYSIS**

Contractor Name:  
Address:

Total Number of CT employees:  
Full Time: Part Time:

Complete the following Workforce Analysis for employees on Connecticut worksites 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													
Office & Clerical													
Craft Workers (skilled)													
Operatives (semi-skilled)													
Laborers (unskilled)													
Service Workers													
Totals Above													
Totals 1 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:		

1. Have you successfully implemented an Affirmative Action Plan?  YES  NO  
Date of implementation: \_\_\_\_\_ If the answer is "No", explain.

1. a) Do you promise to develop and implement a successful Affirmative Action?  
 YES  NO  Not Applicable Explanation:

2. Have you successfully developed an apprenticeship program complying with Sec. 46a-68-1 to 46a-68-18 of the Connecticut Department of Labor Regulations, inclusive?  YES  NO  Not Applicable Explanation:

3. According to EEO-1 data, is the composition of your work force at or near parity when compared with the racial and sexual composition of the work force in the relevant labor market area?  YES  NO Explanation:

4. If you plan to subcontract, will you set aside a portion of the contract for legitimate minority business enterprises?  
 YES  NO Explanation:

\_\_\_\_\_  
Contractor's Authorized Signature

\_\_\_\_\_  
Date