

**PROCUREMENT NOTICE**

Department of Public Health  
Public Health Initiatives Branch  
Health, Education, Management & Surveillance Section

**LEGAL NOTICE****Request for Proposal (RFP)  
# 2012-0909****ACHIEVE Initiative Program**

The State of Connecticut, Department of Public Health is seeking proposals from community coalitions or other local or regionally-based organizational entities to reduce the incidence of cancer by addressing poor nutrition, physical inactivity, and obesity at the policy, systems, and environmental change level using the National Association for Chronic Disease Directors(NACDD) and the Centers for Disease Control and Prevention's Action Communities for Health, Innovation and EnVironmental ChangE (ACHIEVE) initiative as a model in effecting such changes in their communities. Preference will be given to proposals from organizations that will target urban communities.

The intent of the request is to implement strategies that will meet the goal and objectives of the Connecticut Cancer Plan 2009-2013 related to the prevention of cancer: *Reduce cancer risk, incidence, and mortality through the development and adoption of policies and interventions that support healthy lifestyles and risk reduction practices among children and adults.*

A total of up to \$50,000 of state funds is available to support this project. Funding will begin approximately July 1, 2011 through June 30, 2013, subject to the availability of funds and satisfactory performance.

The 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

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The RFP is also available on the Department's website at:

[http://www.ct.gov/dph/cwp/view.asp?a=3152&q=389676&dphNav\\_GID=1601](http://www.ct.gov/dph/cwp/view.asp?a=3152&q=389676&dphNav_GID=1601).

A printed copy of the RFP can be obtained from the Official Contact upon request.

**Deadline for submission of proposals to the DPH is  
Friday, February 4, 2011 by 4:00 pm**

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## I. GENERAL INFORMATION

*This section of the RFP provides general information about the Department's procurement and, most importantly, gives instructions to proposers and prospective proposers about how to comply with the RFP process and how to submit an acceptable proposal for review. Failure to comply with the RFP process or instructions may deem a proposal non-responsive and subject to rejection without further consideration. The subsections of Section I are standard, but their contents vary by RFP, depending on the Department's procurement requirements.*

### ■ A. INTRODUCTION

1. **RFP Name or Number.** RFP# 2012-0909
2. **Summary.** The Connecticut Department of Public Health is seeking proposals to develop and implement policy, systems, and environmental change strategies that can help prevent or manage health risk factors for cancer by addressing physical inactivity and obesity in communities using the CDC ACHIEVE (Action Communities for Health, Innovation and EnVironmental ChangeE) initiative as a model to implement these changes.
3. **Synopsis (Optional).** This procurement addresses Connecticut Cancer Plan 2009-2013 goal and objectives related to prevention: Reduce cancer risk, incidence, and mortality through the development and adoption of policies and interventions that support healthy lifestyles and risk reduction practices among children and adults.
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
  - 3000 Education and Training Services

### ■ B. ABBREVIATIONS / ACRONYMS / DEFINITIONS

BFO	Best and Final Offer
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CT	Connecticut
DAS	Department of Administrative Services (CT)
FOIA	Freedom of Information Act (CT)
IRS	Internal Revenue Service (US)
LOI	Letter of Intent
OAG	Office of the Attorney General
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
- *proposer:* a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP

- *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

## ■ 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.

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Fax: 860.509.7855  
E-Mail: shiu-yu.kettering@ct.gov

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

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: (Click on request for proposals on main page)

<http://www.ct.gov/dph>

State Department of Administrative Service (DAS) Contracting Portal

[http://www.das.state.ct.us/Purchase/Portal/Portal\\_Home.asp](http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp)

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: \$50,000
- Number of Awards: 1
- Contract Cost: \$50,000
- **Contract Term: July 1, 2011 - June 30, 2013**

4. **Eligibility.** Connecticut Private provider organizations (defined as nonstate entities that are either nonprofit or proprietary corporations or partnerships), CT State 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.

**Important Note:**

Pursuant to C.G.S. § 18-101, the Department of Correction (DOC) must award purchase of service contracts only to private nonprofit organizations, State agencies, or units of local government. Proprietary corporations or partnerships are not eligible to submit proposals in response to any RFP issued by DOC.

- 5. Minimum Qualifications of Proposers.** To qualify for a contract award, a proposer must have the following minimum qualifications:
- A history of successful community collaboration, coalitions or organizational capacity to address physical activity and healthy nutrition promotion.
  - Experience in developing and implementing strategies in a community or communities to reduce the incidence of cancer at the policy, systems, and environmental change level.
  - Documented readiness and capability to execute the proposed plan of service delivery, including accounting and financial reporting systems and sound fiscal stability.
  - Linkages to the Department of Public Health and or regional health department or a plan to enhance this partnership.
- 6. Procurement Schedule.** See below. 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: April 22, 2010
  - RFP Released:
  - Letter of Intent Due: January 7, 2011
  
  - Deadline for Questions: January 10, 2010
  - Answers Released: January 14, 2011
  - RFP Conference: Not Applicable
  - Proposals Due: February 4, 2011
  - (\*) Proposer Selection: March 2011
  - (\*) Start of Contract Negotiations: April 1, 2011
  - (\*) Start of Contract: July 1, 2011
- 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 sender, including name, postal address, telephone number, fax number, and e-mail address. 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 or attended the RFP Conference.

**9. RFP Conference. An RFP conference will not be held to answer questions from prospective proposers.**

**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: February 4, 2011
- Time: 4 P.M. Eastern Standard Time

Faxed or e-mailed proposals will not be evaluated. Proposals hand-delivered by the proposer will not be accepted. **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 UNBOUND proposal (marked as Original);**
- **five (5) conforming UNBOUND copies (marked as copy) of the original proposal; and**
- **one (1) conforming electronic copy of the original proposal emailed to the Official Contact. Please indicate in email Subject line: Name of Proposer and ACHIEVE Initiative Program, RFP#2012-0909.**

**The original proposal must carry original signatures and be clearly marked on the cover as "Original." Unsigned proposals will not be evaluated.**

The electronic copy of the proposal must be compatible with *Microsoft Office Word 2003*. For the electronic copy, required forms and appendices may be scanned and submitted in Portable Document Format (PDF) or similar file format.

**11. Multiple Proposals.** The submission of multiple proposals is not an option with this procurement.

**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 not evaluated.
2. **Cover Sheet.** The Cover Sheet is Page 1 of the proposal. Proposers must complete and use the Cover Sheet form provided by the Department in Section IV.I – Application Forms.
3. **Table of Contents.** All proposals must include a Table of Contents that conforms with the required proposal outline. (See Section IV.)  
*Legal Name* is defined as the name of private provider organization, CT State agency, or municipality submitting the proposal. *Contact person* is defined as the individual who can provide additional information about the proposal or who has immediate responsibility for the proposal. *Authorized Official* is defined as the individual empowered to submit a binding offer on behalf of the proposer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto.
4. **Executive Summary.** Proposals must include a high-level summary, not exceeding 3 pages, of the main proposal and cost proposal. The Executive Summary must include a brief description of how the proposer will enhance or create a community organizational effort to support and implement policy, systems and environmental change strategies consistent with the ACHIEVE Initiative and, also, how such changes will be sustained.

Executive Summary Style Requirements:

- Font Size: 12 pitch
  - Font Type: Arial or Times Roman
  - Margins: 1"
  - Line spacing: Double spaced
5. **Attachments.** Attachments other than the required Appendices or Forms identified in Section IV are not permitted and will not be evaluated. Further, the required Appendices 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 (*for Executive Summary style requirements see #4 above*):
    - Binding Type: None specified
    - Dividers: None specified
    - Paper Size: 8.5" x 11"
    - Page Limit: None specified
    - Print Style: 2-sided
    - Font Size: 12 pitch
    - Font Type: Arial or Times Roman
    - Margins: 1"
    - Line Spacing: Double spaced

7. **Pagination.** The proposer's name must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.
8. **Packaging and Labeling Requirements.** All proposals 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.
9. **Packaging and Labeling Requirements.** All proposals 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. Any received that does not conform to these packaging or labeling instructions will be opened as general mail. Such 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. In addition, applicants with long-standing significant unresolved issues on current or prior year contracts with the DPH may be removed from consideration for additional funding.
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. Only 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%)**

The extent to which the applicant has demonstrated successful experience providing similar services. The Department's prior experience with the applicant organization including issues of contract compliance.

The extent to which references support the applicant's success in providing similar services.
  - **Scope of Services (25%)**



- The extent to which services to be provided are described clearly and cover all requirements outlined in the RFP.
- **Staffing Plan (10%)**  
The extent to which the profile of staff who will be working on this project is clear and adequate to manage the services to be provided.
  - **Data and Technology (10%)**  
The extent to which the applicant demonstrates need for services as outlined in the RFP in their catchment area.
  - **Subcontractors (5%)**  
The extent to which any subcontractors included in the proposal meet qualifying criteria for eligibility to participate in this RFP.
  - **Work Plan (20%)**  
The extent to which adequate time is allocated to manage the services to be provided.  
The extent to which a thorough work plan is presented with measurable objectives and specific, appropriate timelines.
  - **Budget and Budget Narrative (15%)**  
The extent to which a cost effective budget is presented which follows eligibility guidelines.
  - **The fiscal competitiveness of the proposal (5%)**

**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).

5. **Proposer Selection.** Upon completing its evaluation of proposals, the Screening Committee will submit the rankings of all proposals to the Department head. 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 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

*This section of the RFP provides information about the State's mandatory procurement and contracting requirements, including, the standard Purchase of Service contract, proposer assurances, the terms and conditions of this RFP, the rights reserved to the State, and compliance with statutes and regulations. The Department is solely responsible for rendering decisions in matters of interpretation of all mandatory provisions. Section II is standard for all RFPs for POS and the content does not vary.*

### ■ 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/opm/fin/standard\\_contract](http://www.ct.gov/opm/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.
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/opm/fin/ethics\\_forms](http://www.ct.gov/opm/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/opm/fin/ethics\\_forms](http://www.ct.gov/opm/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/opm/fin/nondiscrim\\_forms](http://www.ct.gov/opm/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 for which it 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 a regulator focused on health outcomes, maintaining a balance between assuring quality and administrative burden on the personnel, facilities and programs regulated. The agency is a leader on the national scene through direct input to federal agencies and the United States Congress.

#### **Mission Statement for the Connecticut Department of Public Health:**

To protect and improve the health and safety of the people of Connecticut by:

- Assuring the conditions in which people can be healthy;
- Promoting physical and mental health, and
- Preventing disease, injury, and disability.

This RFP is issued by the Public Health Initiatives Branch, Health Education, Management, and Surveillance Section by the Comprehensive Cancer Program. The Program has the following goals:

- promote cancer risk reduction and prevention;
- improve early detection;
- increase access to health and social services, and
- reduce the burden of cancer.

#### ■ B. PROGRAM OVERVIEW:

The Comprehensive Cancer Program provides leadership for and coordination of statewide cancer control efforts. The Program collaborates with the Connecticut Cancer Partnership (Partnership) to identify state specific cancer issues, develop a plan that includes goals, objectives and strategies for statewide cancer control and evaluates progress in achieving goals and objectives. The Partnership developed the Connecticut Cancer Plan 2009-2013 (Plan) and prioritized goals and objectives of the Plan for implementation.

In 2009, the Department was awarded \$4.3 million from pharmaceutical settlement funds designated by the Office of the Attorney General to address statewide cancer control. This Request for Proposal addresses the goal of prevention of cancer from the Plan.

Recommended resources:

Connecticut Cancer Plan 2009-2013

<http://ct.cancerpartnership.org/doc/CTCancerPlan20092013Cdversion.pdf>

#### ■ C. MAIN PROPOSAL COMPONENTS

##### 1. Organizational Requirements:

Applications will be accepted from public and private organizations and community-based agencies. Preference will be given to local health departments or applicants who can partner with local health departments.

**2. Service Requirements:**

The contractor will develop and implement policy, systems, and environmental change strategies that can help prevent or manage health risk factors related to cancer such as nutrition/physical inactivity and may focus on the community-at-large, school or work site sectors using the ACHIEVE Initiative model. The following deliverables must be included:

1. Development of a coalition or enhancement of an existing coalition whose members are leaders representing cities and counties, schools, businesses, health-focused foundations, faith-based organizations, public health agencies, health care purchasers, civic organizations, plans or providers, academic institutions, and urban planning and transportation groups and whose members are committed to building healthy communities and eliminating health disparities.
2. Participation in a one (1) day coaches or coalition team leader meeting with an ACHIEVE Community technical advisor selected through this RFP to learn more about the community change process and receive tools such as the Change Health Assessment and Group Evaluation (CHANGE) Tool and strategies to assist in program implementation.
3. Participation in a two (2) day training for coalition members conducted by an ACHIEVE Community technical advisor selected through this RFP to learn about tools such as the CHANGE Tool, resources, and strategies to build healthier communities and develop a community action plan.
4. Development of an assessment process that describes the health aspects of the target community sector (community-at-large, school or work sites) using the CHANGE Tool.
5. Development of a community action plan for improving policies, systems and the environment to facilitate and support healthy lifestyles for the target community sector using the CHANGE Tool.
6. Prioritize community needs and allocate available resources for target community sector using CHANGE Tool.
7. Implementation of policy, systems, and environmental change strategies at the local level that will support and sustain community members to lead healthier lifestyles in their communities.
8. Participation on conference calls to include technical assistance calls, learning webinars, progress updates, and other calls as mandated by the Department or the ACHIEVE Community technical advisor selected through this RFP.
9. Participation in quarterly meetings with all contractors selected through this RFP.
10. Participation on quarterly site visits with an ACHIEVE Community technical advisor selected through this RFP.
11. Development of evaluation methods that will support sustainability planning.
12. Include a written statement acknowledging Partnership support of the activities of this Request for proposal on all documents, reports, and other publications for public distribution resulting from the performances of this Request for Proposal.
13. Present progress of this initiative to the Partnership and at the Partnership Annual Meeting(s) as requested by the DPH.
14. Provide all progress and expenditure reports as required by the Department.

**3. Staffing Requirements:**

The contractor will hire or assign an employee with appropriate experience and sufficient time allocated to serve as coach or team leader and provide oversight and management of the program.

**4. Data and Technology Requirements:**

Progress reports will be submitted by e-mail **monthly** using an Adobe PDF Form.



**D. COST PROPOSAL COMPONENT**

**1. Financial Requirements:**

Line item expenditure reports must be completed and submitted to the Department on a quarterly basis.

**2. Budget Requirements:**

Competitiveness of the budget will be considered as part of the proposal review process. The Program has developed a sample budget to be used to guide the applicant in preparing an appropriate estimated budget for the contract. See Application Forms.

## IV. PROPOSAL OUTLINE

	Page
<b>A. Cover Sheet</b> . . . . .	<b>1</b>
<b>B. Table of Contents</b> . . . . .	<b>2</b>
<b>C. Declaration of Confidential Information</b> . . . . .	<b>Etc.</b>
<b>D. Conflict of Interest - Disclosure Statement</b> . . . . .	
<b>E. Executive Summary.</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. Functional Organization . . . . .	
e. Current Range of Services / Clients . . . . .	
f. Qualifications . . . . .	
g. Relevant Experience . . . . .	
h. References . . . . .	
<b>2. Scope of Services</b> . . . . .	
a. Catchment Area . . . . .	
b. Documentation of Community Needs / Resources . . . . .	
c. Community Collaboration . . . . .	
d. Service Capacity / Delivery Plan / Systems / Processes / Protocols . . . . .	
e. Quality Assurance Protocols and evaluation. . . . .	
f. Administrative Support . . . . .	
g. Special Health or Safety . . . . .	
h. Current coalition or organizational entity's capacity and collaboration effort with health issues (including mission, vision and relevant health objectives and goals)	
i. Current state of readiness and capability with physical activity and/or healthy nutrition promotion	
j. Listing of current partnerships relevant to the application.	
k. Linkages to the State Health Department Chronic Disease Program and/or local or regional health department or a plan to enhance this partnership	
l. How this application will enhance or create a community organizational effort to support and implement policy, systems and environmental change strategies consistent with the ACHIEVE Initiative model.	
m. Evidence of sustainability	
<b>3. Staffing Plan</b> . . . . .	
a. Key Personnel / Managers . . . . .	
b. Staffing Levels & Qualifications. . . . .	
c. Job Descriptions . . . . .	
d. Personnel Organization Chart . . . . .	
e. Recruitment, Hiring & Retention Plan . . . . .	
f. Staff Training / Education / Development . . . . .	

**4. Data and Technology**

- a. E-Mail / Internet Capabilities . . . . .
- b. IT Infrastructure / Hardware & Software Quality . . . . .
- c. Data Collection / Storage / Reporting . . . . .
- d. Assessment of Client Satisfaction . . . . .
- e. Evaluation / Outcome Measures . . . . .

**5. Subcontractors**

- 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 . . . . .

**6. Work Plan**

- a. Start Date . . . . .
- b. Timetable / Schedule . . . . .
- c. Tasks, Deliverables . . . . .
- d. Methodologies . . . . .
- e. Measurable Objectives . . . . .

**G. Cost Proposal**

**1. Financial Profile**

- a. Annual Budget and Revenues . . . . .
- b. Financial Standing . . . . .
- c. Financial Management Systems . . . . .

**2. Budget and Budget Narrative**

- a. Narrative . . . . .
- b. Line Item Budget Form . . . . .
- c. Justification and Detail for each Budget Line Item . . . . .
- d. Subcontractor Costs, including line item breakdown of those costs . . . . .

**H. Appendices**

- a. Memorandum of Agreement . . . . .
- b. Résumés of Key Personnel . . . . .
- c. Audited Financial Statements . . . . .

**I. Application Forms**

<b>1. Cover Sheet/Applicant Information</b>	. . . . .	<b>21</b>
<b>2. Contractor Information</b>	. . . . .	<b>22</b>
<b>3. Budget Forms and Instructions</b>	. . . . .	<b>23</b>
<b>4. Work Plan Form</b>	. . . . .	<b>28</b>
<b>5. Staffing Profile</b>	. . . . .	<b>29</b>
<b>6. Workforce Analysis</b>	. . . . .	<b>30</b>
<b>7. Notification to Bidders</b>	. . . . .	<b>31</b>

**APPLICATION FORMS****COVER SHEET**

**REQUEST FOR PROPOSAL  
RFP # 2012-0909  
ACHIEVE Community Initiative  
DEPARTMENT OF PUBLIC HEALTH  
Public Health Initiatives Branch**

**1. Applicant Information**

Applicant Agency: \_\_\_\_\_  
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
- E-mail address
- 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.

**2. CONTRACTOR INFORMATION**

*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  NO

**Agency Fiscal Year:**

**Type of Agency:**  Public  Private  Other,  
 Explain:  
 Profit  Non-Profit

**Federal Employer I.D. Number:**

**Town Code No:**

**Medicaid Provider Status:**  YES  NO

**Medicaid Number:**

**Minority Business Enterprise (MBE):**  YES  NO

**Women Business Enterprise (MBE):**  YES  NO

**Women Business Enterprise (MBE):**  YES  NO

### 3. **Budget Forms and Instructions**

#### A. **Instructions Budget Summary 1**

##### I. **Personnel** (lines #1 - #5) each person funded:

- a) Name of person & Title
- b) Hourly rate, # hours working per week, and # of weeks. (calculate)
- c) Fringe benefit rate. (calculate)

**Example:**

1. Name & Position: John Smith, Coordinator	
Calculation: \$25.00 hr X 35hrs X 45wks	\$39,375
Fringe Benefit: 26%	\$10,238

- II. Line #11 **Contractual (Subcontracts)** provide the total of all subcontracts and complete Subcontractor Schedule.
- III. Lines #6 - #13 complete categories as appropriate,
- IV. Line # 14: Other Expenses are any other types of expense that do not fit into the categories listed.  
For example: Equipment (purchasing a computer at a cost of \$1,500). 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 \$2,500 or more.
- V. \*\*\* **Audit Costs**, the cost of audits made in accordance with OMB Circular A133 (Federal Single Audit) are allowable charges to Federal awards. The cost 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.**
- VI. Line Item #15 **Administrative and General Costs**, these 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.ct.gov/opm/cwp/view.asp?a=2981&q=382994>.
- VII. **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.
- VIII. **Other Income** list any other program income such as in-kind contributions, fees collected, or other funding sources and include brief explanation on Budget Justification.
- IX. **2 Year Contracts:** 2 sets of budget forms have been provided. Please do a full budget for each year of the contract, clearly indicating the year on each form. Assume level funding for the second year.

Note: If space allowed is not sufficient for large or complex subcontract budgets, the Budget Summary format may be copied and used instead.

**Budget Justification Schedule B**

- I. 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.

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

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

**Example:**

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

**C. Subcontractor Schedule A--Detail**

- I. 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.

**II. Detail of Each Subcontractor:**

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.

Provide the detail for each subcontract referencing the corresponding program of the contract. Detail must be provided for each subcontractor listed in the Summary.

**Example A. Budget Basis**

Outreach Educator \$20/hr x 20hrs/wk x 50wks	\$20,000
Travel 590 miles @ .44 cents/mile	260
Supplies	500
Total	\$20,760

**Example B. Fee for Service:**

Develop and Produce	
500 Videos @ \$10 each	\$5,000
Total	

**Example C. Hourly Rate:**

Quality Assurance Review of 200 Patient Charts	
by Nurse Clinician 200 hours @ \$25/hour	\$5,000
Total	\$5,000

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



Category	Amount
<b>Personnel:</b>	
1) Name & Position: _____ , _____	
Calculation:	
Fringe Benefit: _____ %	
2) Name & Position: _____ , _____	
Calculation:	
Fringe Benefit: _____ %	
3) Name & Position: _____ , _____	
Calculation:	
Fringe Benefit: _____ %	
4) Name & Position: _____ , _____	
Calculation:	
Fringe Benefit: _____ %	
5) Name & Position: _____ , _____ :	
Calculation:	
Fringe Benefit: _____ %	
6) Travel _____ per mile X _____ miles	
7) Training	
8) Educational Materials	
9) Office Supplies	
10) Medical Materials	
11) Contractual (Subcontracts)***	
12) Telephone	
13) Advertising	
14) Other Expenses (List Below)	
a)	
b)	
c)	
d)	
e)	
f)	
15) Administrative and General Costs	
<b>Total DPH Grant</b>	
Other Program Income:	

\*\*\* Complete Subcontractor Schedule A

**Budget Justification Schedule B**

<b>Line Item (Description)</b>	<b>Amount</b>	<b>Justification including Breakdown of Costs</b>

**Subcontractor Schedule A-Detail  
#1**

Program:

Subcontractor Name:

Address:

Telephone: ( ) ( - )

Select One: **A**  Budget Basis    **B**  Fee-for-Service    **C**  Hourly Rate

Indicate One:     MBE     WBE     Neither

Line Item	Amount
Total Subcontract Amount:	

**#2**

Subcontractor Name:

Address:

Telephone: ( ) ( - )

Select One: **A**  Budget Basis    **B**  Fee-for-Service    **C**  Hourly Rate

Indicate One:     MBE     WBE     Neither

Line Item	Amount
Total Subcontract Amount:	

**#3**

Subcontractor Name:

Address:

Telephone: ( ) ( - )

Select One: **A**  Budget Basis    **B**  Fee-for-Service    **C**  Hourly Rate

Indicate One:     MBE     WBE     Neither

Line Item	Amount
Total Subcontract Amount:	

**4. Work Plan (make as many blank pages as needed)**

Deliverables	Activities	Staff Position(s) Responsible	Timeframe for Completion

## 5. Staffing Profile

Profile of staff providing services (see Section E of this RFP). Please provide the information requested below.

Professional Staff*	Name	Title	Hourly Rate	Assigned to Project: # hrs/wk
Position 1				
Position 2				
Position 3				
Position 4				
Clerical/ Support Staff:				
Position 1				
Position 2				

**\*Attach résumés and job descriptions for all Professional Staff in Appendix Section**

**6. 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

**7. 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:

---

---

**V. ATTACHMENTS**

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The following attachments are for your information only. Attachments 4, 5,6, and 7 will be used for applicants awarded funding and will be requested during the contract development process.

1. 2009 ACHIEVE Initiative RFA Sample . . . . .	33
2. Affirmative Action Contract Compliance Statement . . . . .	38
3. State of Connecticut, CHRO Contract Compliance Regulations . . . . .	39
4. Nondiscrimination Certification for contracts less than \$50,000 . . . . .	40
5. Nondiscrimination Certification for contracts \$50,000 or more . . . . .	41
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**Action Communities for Health, Innovation and  
EnVironmental Change (ACHIEVE) Initiative  
Request for Funding Assistance:**

**Applications due: January 12, 2009, by 11:59 pm ET**

**Community Application**

**Provide a summary of community need (no more than ½ page)**

The Health District (HD) provides services **communities in xx**, encompassing xxx square miles and serving over xxx residents. The community is diverse in many respects; it includes a broad range of socioeconomic classes, and has a significant number of international residents. The characteristics that are inherently part of the country charm in our community are the barriers that create a population that tends to be obese, physically inactive, and has limited access to high quality nutritional foods. There is extensive documentation that supports this theory including works by Parks, Housemann and Brownson, (Saint Louis University) and the U.S. Department of Health and Human Services. Parks, Housemann and Brownson (2000) reported that “rural residents were least likely to meet physical activity recommendations... Significant differences across income levels and urban/rural areas were found for those reporting neighborhood streets, parks, and malls as places to exercise”. The DHHS publication, Health, United States, 2001 With Urban and Rural Health Chartbook documented differences in a wide-ranging set of health characteristics for people residing in communities from the most rural to the most urban. Among its specific findings, “*Suburban* residents were more likely to exercise during leisure time and were the least likely to be obese” (as compared to rural or urban women).

These national reports are substantiated by a local survey conducted in 2002 in member towns in which residents indicated that there was a **lack of access** to indoor and outdoor recreational facilities, and 79% self-reported physical activity less than 3 times a week. Given that 70% of the communities served by the health district are classified as rural by the Office of Rural Health, and the remaining towns share many of the barriers to physical activity that characterize rural towns due to the distance between homes and lack of sidewalks, there is an overwhelming need in the health district to address modifiable risk factors for chronic disease.

The health district has conducted additional surveys in the last few years that indicate that this is the opportune time for the community to pull together to address modifiable risk factors to reduce the incidence of chronic disease. Surveys at senior centers and worksites across the health district reflect a community that **does not get a physical activity** (58%), **does not eat a healthy diet** (54%), and is **overweight** (63%). These surveys indicate willingness by respondents to change their behaviors and improve their health. Although the health district has conducted various surveys in our community, there is a **need for a comprehensive community assessment** to better focus our limited resources.

**E. Current coalition or organizational entity’s capacity and collaboration effort with health issues (including mission, vision and relevant health objectives and goals)**

Five years ago the HD brought together community partners to form the “Matters of the Heart Partnership”. Although the original focus was specifically on cardiovascular health, the Partnership has evolved over the years to embrace general risk factors (primarily physical activity and nutrition) for many chronic diseases. Although the HD has tapped into community partners, and the group meets on a semiannual basis, the Partnership functions on a loose framework and **needs further development** and involvement from additional stakeholders to effectively address risk factors for chronic disease that exist in our community. The current status of this coalition would fit the ACHIEVE classification of **Group 1**: we are ready to participate in a community assessment; develop a community action plan, and implement a policy, environmental or systems changes. The HD Partnership is poised and ready to become a CHART; commit to a long-term intervention strategy; and welcomes this funding, mentoring, and training opportunity. The ACHIEVE grant would provide resources for a logical next step for our ten-town regional health district community and move the Partnership into a more systematic approach to addressing chronic disease through physical activity and nutrition in our community.

Currently, the HD Partnership’s **mission is to: Promote Healthy Communities** by developing sustainable interventions to prevent illness and promote wellness throughout the community. The vision is to create a healthy community in XX by addressing existing community health issues with policy and environmental changes. The Partnership recognizes that by reducing obesity, increasing access to physical activity, and improving food choices for all ages in our community we will improve chronic disease outcomes, reduce the incidence of chronic disease, and reduce the dependency on the medical care system. The Partnership has made small steps in realization over the past few years including an initiative to improve the access to free opportunities for physical activity, and has been surveying residents to determine some baseline data to support interventions.

#### **F. Current state of readiness and capability with physical activity and healthy nutrition promotion or tobacco reduction efforts**

The HD community and Partnership are ready to move to the next step of sustainable policy and environmental changes. Over the past several years, the Health District has brought together community partners from all ten member towns through the Matters of the Heart Partnership to address barriers to a healthy community. Although partners have been identified, the partnership has yet to be fully developed or reach its capacity for change in the community. Indicators for our state of readiness and capability:

- Partnership has worked on initiatives to increase the opportunities for physical activity in member towns;
- The HD has an emerging vision with existing initiatives and local trends. In the past year the HD has brought together member town recreation & senior center directors to facilitate cooperation and coordination of services and resources to community members;
- HD has shaped a readiness for change among leaders in our ten member town communities through documenting need (using surveys), and identifying strengths and opportunities;
- The Partnership has been able to improve the access to free physical activities for all youth to increase youth activity. This was accomplished by purchasing equipment with a state grant for local park and recreation investments to implement & manage.

The HD Partnership needs to be further developed and utilize the CHANGE tool as a priority actions to achieve the desired results of a healthy community and realize the local vision for positive environmental system change that impact community norms that lead to healthier people and communities.

#### **G. Listing of current partnerships relevant to the application**

The HD has established solid working relationships with these community partners:

- Member town participation in all towns (**Town Manager, First Selectman, Mayor**, etc)
- All member town **park & recreation department & senior center** directors/coordinators
- **Health Care Center** (providing health care/services to the **uninsured/underinsured**)
- **Women’s Center** Director
- **Associate Professor** for Kinesiology
- **Ag Extension nutrition** program (EFNEP)
- **Public Schools** in each of the member towns (**administration, teachers, and nurses**)
- Local major **grocery** chain in member towns
- Visiting **Nurse Associations** serving member towns
- State DPH **Chronic Disease Program/Obesity & Cardiovascular** Health sections

#### **H. Linkages to the State Health Department Chronic Disease Program and or local or regional health department or a plan to enhance this partnership**

As a **regional health district**, the HD has a strong relationship with both the State Department of Public Health Chronic Disease Program, & other health districts in our area of the state. The HD is currently working on grants through the state Chronic Disease Program to address Healthy Eating Active Living in the HD community and to promote cardiovascular health in women 55 and older. Through these initiatives, the state agency has coordinated five members at the respective coalition workgroups (which participate in the Partnership), and provides technical support for coalition initiatives. Furthermore, working on several chronic disease issues with other local health districts has created an expanded network and valuable resources for the HD health education efforts.

The HD also developed an employee wellness program to reduce the prevalence of chronic disease in the community; which is used at several local municipalities and school districts. Resources, lessons learned and technical support have been shared with the state chronic disease program and other health districts.

#### **I. How this application will enhance or create a community organizational effort to support and implement policy, systems and environmental change strategies consistent with the ACHIEVE Initiative**

The current partnership is a loose framework that **needs the infusion of the ACHIEVE grant** to realize the full potential of change in our community. The training, mentoring, and guidance provided through this grant will enhance the existing partnership's efforts to implement policy, systems and environmental change strategies that align with the ACHIEVE initiative. Specifically, the HD would use this opportunity to:

- Fully develop and implement a community assessment (CHANGE tool) to identify needs and improve decision making
- Enhance partnership quality through training of key partners
- Improve the structure to the partnership through training at community level
- **Systematically create community change through evidence-based decision making**
- Engage a more diverse group in the Future's CHART to increase community buy-in and awareness

#### **J. Coalition or organization's commitment to implement this initiative's philosophy**

The ACHIEVE philosophy to move chronic disease prevention and health promotion strategies into the local community and create opportunities for policy and environmental change strategies to our local community is one that the HD and Partnership wholly embraces. As a Health District, we are ready to commit the personnel and funds needed for indirect costs and administrative oversight to insure the success of both our local CHART and the ACHIEVE initiative in our member towns. The HD has a strong history of similar grant-funded initiatives:

- Healthy Eating Active Living project that created sustainable 'Active Living' projects in member towns
- Women's Healthy Heart project that provided exercise equipment to member town senior centers to improve access to free, safe, and convenient physical activity
- Cardiovascular Health project that has produced an ongoing impact in the communities served by the HD years after funding expired including: healthy dining restaurant certification program, promotion of no-cost recreation in member towns, Cardiovascular Health Promotion Awards program
- Skin cancer prevention and Lyme disease prevention education programs that are offered through the local public school systems

Furthermore, the current partnership is committed to attending the trainings, participating in conference calls and other opportunities to network, utilizing the CHANGE tool, sharing lessons learned, working with member towns, and utilizing the evaluation resources. We recognize the commitment required to fulfill this three-year grant, and are in a position to make that commitment.

#### **K. Evidence of sustainability**

The HD has a **strong record of sustainable interventions despite the end of funding**. Previously noted are a few of the recent and current initiatives (Healthy Eating Active Living, Women's Healthy Heart, and Cardiovascular Health) that demonstrate not only the community's ability to commit to this grant initiative, but also show **sustained results from our interventions**. Finally, the HD has been the catalyst for other policy and environmental changes in

our member towns that show the depth of our ability to achieve sustainability of interventions including:

- Developed and facilitated the implementation of policy for local employees to receive a discount at local gym that exists to this day.
- Established permanent program to provide resources and support for a local employer to develop and implement an Employee Wellness Committee
- Established permanent high impact employee wellness program for local public agency employers
- Facilitated the establishment of relationships between local grocers and local public schools to promote fruits and vegetables in the cafeteria (free produce is provided on a weekly basis); a relationship that exists to this day
- Facilitated the establishment of relationships between the Department of Kinesiology and public schools to promote physical activity a relationship that exists to this day
- Provided member towns with a small amount of funds to leverage additional town funding for trail projects and other infrastructure projects to provide free recreational opportunities for residents

In terms of creating a CHART in the Health District, we have **Memoranda of Agreement from current Partners that state their interest in, and commitment** to improving the health and addressing barriers to healthy lifestyles in the community. The Partnership has grown over the past five years, and is ready to move to the next level of involvement and address the needs of the community in a comprehensive manner; a step that would be more significant with this ACHIEVE funding. These partners have both a strong and on-going relationship with the health district as well as a vested interest in the on-going success of a community CHART.

#### L. Evidence of ability to participate in evaluation efforts

The HD Health Education Program has on-going administrative support and a **history of successful evaluation efforts**. In the past year, the HD completed a grant (LPDA Safe Routes to School) that required frequent and extensive evaluation of both program and coalition efforts and effectiveness. The evaluation components were completed ahead of schedule, were accurate, and complete. The HD program coordinator worked collaboratively with the national project evaluator to provide assistance in refining evaluation needs, and the tools that were used. This grant also required regular conference calls, an evaluation meeting at the end of the grant period, and a final report that incorporated surveys, assessment, plans, and lessons learned. The HD Health Education Program continually evaluates programs, progress, and efforts of each project including:

- Skin cancer, Asthma, & Lyme disease prevention programs (pre/post tests, presentation/participant feedback)
- Wellness programs (surveys, pre/post tests, exit surveys)

The HD's history of successful completion of evaluation tools, the administrative capacity to contribute to an understanding that evaluation & assessment are key to a successful sustainable intervention provides the local evidence of our ability to participate in the ACHIEVE evaluation efforts.

## Action Communities for Health, Innovation and EnVironmental Change (ACHIEVE) Initiative

### NACDD ACHIEVE - WORK PLAN

<b>Objective 1: Develop local CHART</b>			
<b>Action Steps</b>	<b>Timetable</b>	<b>Responsible Party</b>	<b>Notes</b>
Identify & recruit additional members Reengage past members	March 2009 Ongoing	HD & current Partners	
Meet & orientation Improve commitment of current Partnership to CHART	April or May 2009 Ongoing	HD	
Training: Coach's meeting	April 2009	HD + one Partner	
Training: Action Institute	July 2009	10 partners	
<b>Objective 2: Develop Community Assessment &amp; Action Plan</b>			
<b>Action Steps</b>	<b>Timetable</b>	<b>Responsible Party</b>	<b>Notes</b>
Gather Data	April through September 2009	HD + Partners	Using CHANGE tool
Assessment of data	July through December 2009	HD + Partners	
Develop report	January 2010	HD + Partners	
Develop Action Plan	February – April 2010	HD + Partners	
<b>Objective 3: Implement Policy, Environmental &amp; Systems Change</b>			
<b>Action Steps</b>	<b>Timetable</b>	<b>Responsible Party</b>	<b>Notes</b>
Identify primary actions for implementation	February 2010– April 2010	HD + Partners	Using Action Plan/CHANGE tool
Implementation of policy or environmental changes	February 2010 → No end date	HD + Partners	
Evaluation	December 2009 Through March 2012	HD + Partners	Ongoing – beginning prior to December with baseline data/observations
Refine Action Steps/Action Plan based on Evaluation	March 2010 → ongoing	HD + Partners	Continual cycle of evaluation and modification of plan and implementation of plan

# STATE OF CONNECTICUT

## DEPARTMENT OF PUBLIC HEALTH



J. Robert Galvin, M.D., M.P.H.  
Commissioner

M. Jodi Rell  
Governor

### AFFIRMATIVE ACTION CONTRACT COMPLIANCE POLICY STATEMENT

The Department of Public Health is an affirmative action employer, in compliance with all state and federal laws which prohibit discrimination and mandate affirmative action to overcome the present effects of past discrimination. Accordingly, we require that the individuals and organizations with which we do business do not engage in discriminatory practices.

This Department and our contractors shall fully comply with the CONTRACT COMPLIANCE REGULATIONS OF CONNECTICUT STATE AGENCIES, Sections 46a-68j-21 through 46a-68j-43, which establish procedures for evaluating compliance with Connecticut General Statutes, Section 4a-60, the state's nondiscrimination contract provisions. We require our contractors to cooperate with the Connecticut Commission on Human Rights and Opportunities in all activities pertinent to these regulations.

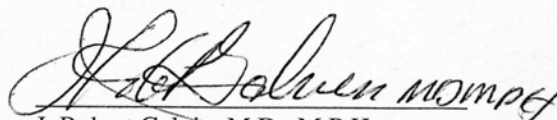
This Department will not knowingly do business with any contractor, subcontractor or supplier of materials who unlawfully discriminates against members of any class protected under state or federal law. Contractors whose overall employment statistics are not reflective of the general employment area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

As part of our contract compliance program, bidders, contractors, subcontractors, and suppliers are encouraged to develop and follow a plan of affirmative action to achieve or exceed parity of employment with the applicable labor market. The existence and active administration of voluntary plans will be a factor in deciding contract approvals and the continuation of existing contracts, in accordance with Section 46a-68j-30.

This Department also solicits and encourages the participation of minority business enterprises as bidders, awardees, contractors, suppliers, and subcontractors.

All bidders and contractors shall be notified of this policy, must sign a Notification to Bidders Form, and complete a workforce analysis questionnaire necessary for the contract award process.

17 Sep 04  
Date

  
J. Robert Galvin, M.D., M.P.H.  
Commissioner of Public Health



PHONE: (860) 509-7101 FAX: (860) 509-7111  
410 CAPITOL AVENUE - MS#13COM, P.O. Box 340308, HARTFORD, CONNECTICUT 06134-0308  
Affirmative Action/Equal Employment Opportunity Employer

### 3. CONNECTICUT COMMISSION ON HUMAN RIGHTS & OPPORTUNITIES CONTRACT COMPLIANCE REGULATIONS

#### **Sec. 46a-68j-23. Obligation of Contractors**

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

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

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

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



4. STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – Representation By Entity
For Contracts Valued at Less Than \$50,000

Written representation that 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 less than \$50,000 for each year of the contract. Complete all sections of the form. Submit to the awarding State agency prior to contract execution.

REPRESENTATION OF AN ENTITY:

I, \_\_\_\_\_ of \_\_\_\_\_,
Authorized Signatory Title Name of Entity

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

represent that I am authorized to execute and deliver this representation 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

\_\_\_\_\_
Date

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





5. STATE OF CONNECTICUT

NONDISCRIMINATION CERTIFICATION – Affidavit By Entity

7/8/09

**For Contracts Valued at \$50,000 or More**

*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 \_\_\_\_\_, 201\_\_\_\_.

\_\_\_\_\_  
Commissioner of the Superior Court/ Notary Public Commission Expiration Date



**STATE OF CONNECTICUT**  
**NONDISCRIMINATION CERTIFICATION – Representation**  
**By Individual**  
**For All Contract Types Regardless of Value**

*Written representation that 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 individual who is not an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut, regardless of contract value. Submit to the awarding State agency prior to contract execution.

**REPRESENTATION OF AN INDIVIDUAL:**

I, \_\_\_\_\_, of \_\_\_\_\_,  
Signatory Business Address

represent that I will comply with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

\_\_\_\_\_  
Signatory

\_\_\_\_\_  
Date

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



## 7. 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:**

Contribution Date Name of Contributor Recipient Value Description

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

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

Contribution Date Name of Contributor Recipient Value Description

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

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 on this \_\_\_\_\_ day of \_\_\_\_\_, 201\_\_.

\_\_\_\_\_  
Commissioner of the Superior Court (or Notary Public)