

**PROCUREMENT NOTICE**

State of Connecticut – Department of Public Health  
Public Health Initiatives Branch  
Health Education, Management, and Surveillance Section  
Tobacco Use Prevention and Control Program

**REQUEST FOR PROPOSAL**

# 2010-0916

For

**Tobacco Use Prevention Countermarketing and Media Campaign**

The State of Connecticut, Department of Public Health, is seeking proposals from applicants for a statewide countermarketing and media campaign to assist in our efforts to reduce and eliminate tobacco use among Connecticut youth and young adults.

The intent of the request is to identify a contractor to develop, implement and maintain a comprehensive tobacco use prevention countermarketing and media campaign that will help to reduce the initiation and ongoing use of tobacco.

This campaign will be conducted both statewide and at the local community level and target youth ages 12-17 and young adults ages 18- 24 years old.

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

Official Contact:

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

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 is February 24, 2011, 4:00 PM EST.

*This document is configured for 2-sided printing.*

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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-** Tobacco Use Prevention Countermarketing and Media Campaign, RFP # 2010-0916.

**2. Summary.** The intent of the request is to identify a contractor to develop, implement and maintain a comprehensive tobacco use prevention countermarketing and media campaign that will help to reduce the initiation and ongoing use of tobacco in Connecticut. This campaign will be conducted both statewide and at the local community level.

**3. Commodity Codes.** The services that the Department wishes to procure through this RFP are as follows:

- 0600: Services (Professional, Support, Consulting and Misc. Services)
- 3000: Education and Training

### ■ 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 (CT)
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
POS	Purchase of Service
P.A.	Public Act (CT)
RFP	Request For Proposal
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States

- *contractor:* a private provider organization, CT State agency, or municipality that enters into a POS contract with the Department as a result of this RFP
- *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.

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

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

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  
[www.ct.gov/dph/rfp](http://www.ct.gov/dph/rfp)
- State 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: \$950,000 anticipated
- Number of Awards: one (1)
- Contract Cost: \$950,000
- Contract Term: May 1, 2011 – April 30, 2013

4. **Eligibility.** 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.

5. **Minimum Qualifications of Proposers.** To qualify for a contract award, a proposer must have the following minimum qualifications:

The Department of Public Health (DPH) is seeking organizations that can demonstrate the ability to provide cost-effective tobacco use countermarketing and media campaigns, including the following:

- Positive impact by providing culturally and linguistically appropriate campaigns;
- Cost of operations within the limit of available funds;
- History of compliance with the Department.

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: September 20, 2010
- RFP Released: December 14, 2010
- Letter of Intent Due: February 1, 2011
- Deadline for Questions: February 8, 2011
- Answers Released: February 17, 2011
- Proposals Due: February 24, 2011
- (\*) Proposer Selection: March 8, 2011
- (\*) Start of Contract Negotiations: March 15, 2011
- (\*) Start of Contract: May 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.

9. **RFP Conference.** An RFP conference **will not** be held to answer questions from prospective proposers. All questions submitted will be answered in a written amendment to this RFP, which will serve as the Department’s official response to questions asked at the conference. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such. The agency will release the amendment on the date established in

the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Department's RFP Web Page.

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

- Due Date: February 24, 2011
- Time: 4:00 P.M. Eastern Standard Time

Faxed or e-mailed proposals will not be evaluated. When hand-delivering proposals by courier or in person, allow extra time due to building security procedures. The Department will not accept a postmark date as the basis for meeting the submission due date and time. Proposals received after the due date and time may be accepted by the Department as a clerical function, but late proposals will not be evaluated. At the discretion of the Department, late proposals may be destroyed or retained for pick up by the submitters.

An acceptable submission must include the following:

- one (1) original proposal;
- five (5) conforming copies of the original proposal; and
- one (1) conforming electronic copy of the original proposal.

The original proposal must carry original signatures and be clearly marked on the cover as "Original." Unsigned proposals will not be evaluated. The original proposal and each conforming copy of the proposal must be complete, properly formatted and outlined, and ready for evaluation by the Screening Committee. The electronic copy of the proposal 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 – Forms.
3. **Table of Contents.** All proposals must include a Table of Contents that conforms with the required proposal outline. (See Section IV.)
4. **Executive Summary.** Proposals must include a high-level summary, not exceeding 2 pages, of the main proposal and cost proposal.
5. **Attachments.** Attachments other than the required Appendices, Work Samples 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:
  - Binding Type: **Use a single binding clip**; do not use staples or other more permanent binding.
  - Dividers: None specified
  - Paper Size: 8.5 X11
  - Page Limit: 15 (to include executive summary and main proposal components,)
  - Print Style: double sided
  - Font Size: 12
  - Font Type: Times New Roman
  - Margins: 1 inch
  - Line Spacing: 1½ spacing
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.

#### ■ E. EVALUATION OF PROPOSALS

1. **Evaluation Process.** It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful proposers, and awarding contracts, the Department will conform with its written procedures for POS procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85).
2. **Screening Committee.** The Department will designate a Screening Committee to evaluate proposals submitted in response to this RFP. The contents of all submitted proposals, including any confidential information, will be shared with the Screening Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Screening Committee may result in disqualification of the proposer.
3. **Minimum Submission Requirements.** All proposals must comply with the requirements specified in this RFP. To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the Proposal Format requirements; (3) follow the required Proposal Outline; and (4) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Department will reject any proposal that deviates significantly from the requirements of this RFP.
4. **Evaluation Criteria (and Weights).** Proposals meeting the Minimum Submission Requirements will be evaluated according to the established criteria. The criteria are the objective standards that the Screening Committee will use to evaluate the technical merits of the proposals. 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 (5%)
  - Scope of Services (35%)
  - Staffing Plan and Subcontractors (5%) *see note*
  - Data and Technology (5%)
  - Work Plan (20%)
  - Financial Profile (5%)
  - Budget and Budget Narrative (20%)
  - Appendices (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.

This RFP is being issued by the Tobacco Use Prevention and Control Program of the Health Education, Management, and Surveillance Section of the Public Health Initiatives Branch.

The Program has the following goals:

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

#### B. PROGRAM OVERVIEW

The Tobacco Use Prevention and Control Program is working to enhance the well being of Connecticut's residents by promoting tobacco-free lifestyles and by educating communities about the economic and health costs and consequences of tobacco use.

Tobacco use is the single most preventable cause of death and disease in the United States. Each year, tobacco use causes 440,000 deaths in the United States and secondhand smoke claims another 50,000 lives. In Connecticut, approximately 429,500 adults, or 15.9% smoke cigarettes (2008 BRFSS Data). In CT high schools, 15.3% of students smoke cigarettes, 16% of boys and 14.4% of girls. (2009 CTSHS data)

Comprehensive statewide tobacco control programs have been effective in reducing both death and disease associated with tobacco use. Programs need to be a coordinated effort and need to include establishment of smoke-free policies and social norms to promote and assist tobacco users to quit and to prevent the initiation of tobacco use. This comprehensive approach includes educational, clinical, regulatory, economic, and social strategies.

In Connecticut alone, the Tobacco Industry spends \$124.1 million a year marketing their products. Published research studies have found that children and adolescents are almost twice as likely as adults to recall tobacco advertising, are more likely to be influenced to smoke by cigarette marketing than by peer pressure, and that one-third of underage experimentation with tobacco use is attributable to tobacco company advertising.

(<http://www.tobaccofreekids.org/reports/settlements/toll.php?StateID=CT>)

Tobacco countermarketing plays a vital role in countering the influential promotional activities of the tobacco industry. (Designing and Implementing an Effective Tobacco Countermarketing Campaign, CDC, 2003). Tobacco countermarketing is the use of commercial marketing tactics to reduce the prevalence of tobacco use. Countermarketing attempts to counter pro-tobacco influences and increase pro-health messages and influences.

Under the direction of the Tobacco Use Prevention and Control Program, this request for proposals seeks to identify organizations possessing the capacity to develop, implement and maintain a comprehensive tobacco use prevention countermarketing campaign that will help to reduce the initiation and ongoing use of tobacco.

The State of Connecticut Department of Public Health Tobacco Use Prevention and Control Program issued a similar request in early 2009. The successful bidder of that project was Cronin and Company of Glastonbury Connecticut. Cronin remains under contract to do additional activities during 2010 and 2011 and we have been pleased with their performance in response to that request.

Due to the fact that additional funding has been allocated for countermarketing activities, the Department of Public Health is requesting proposals once again to ensure a fair and competitive award of this additional funding.

Applicants may expand the activities being conducted by the current Contractor, develop new concepts, initiatives and activities or propose to conduct a mixture of both an expansion of current activities and new development.

The current campaign information can be found at [www.itsawaste.org](http://www.itsawaste.org).

## ■ C. MAIN PROPOSAL COMPONENTS

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

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

### 2. Organizational Requirements,

Applications will be accepted from public and private organizations. The Applicant does not need to be a vendor currently listed on the Marketing, Media, Advertising and Public Relations Contract Award Number 08 PSX 0068 of the State of Connecticut, Department of Administrative Services.

The proposal must describe the organization, including its purpose, services provided, and length of time in operation.

### 3. Services to be Provided

Tobacco countermarketing is the use of commercial marketing tactics to reduce the prevalence of tobacco use. Countermarketing attempts to counter pro-tobacco influences and increase pro-health messages and influences.

The goal of this campaign is to reduce initiation and on-going use of tobacco by working to change the social norms regarding tobacco use among Connecticut youth and young adults, through a variety of countermarketing messaging vehicles.

The following services should be conducted. Include your approach to providing these services within the proposal:

1. Develop and implement a Countermarketing plan with clearly defined objectives, strategies and outcome measures.
  - a. Consult with both the Legacy for Health Foundation and the Campaign for Tobacco Free Kids, who both have a national presence, on efforts that can be coordinated with the Connecticut campaign.
  - b. Bidders are **strongly** encouraged to work/consult with vendors who have performed Countermarketing campaigns in other states.
  - c. Plan should be for a 24-month campaign.
2. Develop and implement a culturally competent, integrated, two-pronged tobacco use countermarketing campaign targeting youth ages 12-17 and young adults ages 18- 24 (both college students and "straight to work"). English and Spanish language components are needed at a minimum.
  - a. **Prong 1-** A statewide countermarketing campaign delivering high-impact, hard hitting messages designed to counter pro- tobacco messaging, prevent tobacco use initiation, facilitate cessation, and shape social norms related to tobacco use. A variety of media may be used including television, radio, outdoor (except billboards), print, pod casts, texting, social media networks and interactive media including online and website applications. *Messages will be developed and media used that specifically resonates with each of the targeted populations, especially the use of social media networks.*
  - b. **Prong 2-** Local community, grassroots countermarketing efforts targeting sub-groups of the targeted populations disproportionately affected by tobacco use are to be designed and implemented to prevent tobacco use initiation, facilitate cessation, and shape social norms related to tobacco use. A variety of media strategies can be used including but not limited to public relations efforts at local, social and health promotion events, community organizing, and partnerships as well as at local venues frequented by the targeted population. *Messages will be developed and media used that specifically resonates with each of the targeted populations.*

Sub-groups to be targeted include but are not limited to Low- Socio-economic, Hispanic, African American and Gay, Lesbian, Bi-Sexual and Transgender youth and young adults.

Targeted populations have been chosen due to their tobacco use rates, vulnerability, and Tobacco Industry targeting tactics.

3. Previously created advertisements from other states and agencies may be purchased, such as those available from the Centers for Disease Control and Prevention (CDC) Media Campaign Resource Center, through the Campaign for Tobacco-Free Kids, or through the Legacy for Health Foundation, and/or new creative may be developed. There are television advertisements that have been developed through the current media campaign that may also be used. A combination of all of these methods may be the most advantageous.
4. Involve members of the targeted population in the development of messages and in the planning and implementation of the campaign. The contractor is encouraged to use groups or "Street Teams" of the targeted populations to assist with the dissemination of messages in public venues.
5. Pre-test all new messages before implementation.
6. Incorporate referrals to the Connecticut Telephone Quitline as appropriate. The Quitline number will be tagged on most advertisements as appropriate.
7. Hire or subcontract with a grassroots community advocate to assist in recruiting community members to champion and direct messages to reach subpopulations at the local community level.
8. Cooperate with the contractor, Professional Data Analysts, Inc. (PDA), hired by DPH under a separate contract to evaluate the process and outcomes of the countermarketing campaign.

Applicants may expand the activities being conducted by the current Contractor, develop new concepts, initiatives and activities or may propose both an expansion of current activities and new development. Applicants should indicate whether each activity would be an expansion or new development.

Provide at least three letters of reference, including their telephone numbers, to support your description of your experience in providing the types of services listed.

Proposals must include a comprehensive and realistic work plan that includes a schedule for completion of the above tasks, including details of strategies to be used in targeting these audiences. Include campaign reach and frequency, including market share and anticipated exposure to the campaign by each of the target groups and sub-groups. It is expected that there will be promotional and value-added elements included in the proposal.

The work plan should include measurable objectives describing the tasks to be performed, the staff responsible, the deliverables, and timeframes, including a project start date. Work Plan Template is attached.

Payments will be tied to providing several documents that must be produced and delivered to DPH for approval. These documents, along with the required services, will be the indicators for measuring the performance of the contractor.

Development of deliverables from the project work plan include the following:

- a. Media plan with clearly defined objectives, strategies and outcome measures.
- b. Drafts of advertisement materials produced or purchased for approval.
- c. Final advertisement materials produced or purchased.
- d. Copies of all media buy and/or placement plans for approval.
- e. Affidavits of media placements.
- f. List of scheduled public relations events.
- g. List of public relations events held.
- h. Monthly progress reports

Sources of additional information include the following links:

**Designing and Implementing an Effective Tobacco Countermarketing Campaign**

[http://www.cdc.gov/tobacco/media\\_communications/countermarketing/campaign/00\\_pdf/Tobacco\\_CM\\_Manual.pdf](http://www.cdc.gov/tobacco/media_communications/countermarketing/campaign/00_pdf/Tobacco_CM_Manual.pdf)

Citation: Centers for Disease Control and Prevention. *Designing and Implementing an Effective Tobacco Countermarketing Campaign*. Atlanta, Georgia: U.S. Department of Health and Human Services, Centers for Disease Control and Prevention, National Center for Chronic Disease Prevention and Health Promotion, Office on Smoking and Health, First Edition October 2003.

**Guide to Community Preventive Services: Tobacco Use Prevention and Control**

<http://www.thecommunityguide.org/tobacco/default.htm>

A task force of experts provides guidance about effective community-based strategies for tobacco control, including cessation.

Citation: A report on recommendations of the Task Force on Community Preventive Services. MMWR. 2000; 49 (No. RR-12): 1-11. Also published as: Task Force on Community Preventive Services.

Recommendations regarding interventions to reduce tobacco use and exposure to environmental tobacco smoke. Am J Prev Med. 2001; 20(2S): 10-15.

**Best Practices for Comprehensive Tobacco Control Programs—2007**

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

Citation: Centers for Disease Control and Prevention. *Best Practices for Comprehensive Tobacco Control Programs—2007*. Atlanta: U.S. Department of Health and Human Services, Centers for Disease Control and Prevention, National Center for Chronic Disease Prevention and Health Promotion, Office on Smoking and Health; October 2007. *Reprinted with corrections*.

**National Alliance for Tobacco Cessation**

<https://www.thenatc.org/144.aspx>

Connecticut Department of Public Health is a member of this coalition and supports the national campaign:

**“Become an Ex” National Campaign**

[http://www.becomeanex.org/#learn\\_overview](http://www.becomeanex.org/#learn_overview)

**State of New York Countermarketing Campaign Evaluation Materials**

[http://www.health.state.ny.us/prevention/tobacco\\_control/docs/independent\\_evaluation\\_report\\_2006.pdf](http://www.health.state.ny.us/prevention/tobacco_control/docs/independent_evaluation_report_2006.pdf)

[http://www.health.state.ny.us/prevention/tobacco\\_control/docs/independent\\_evaluation\\_report\\_2007.pdf](http://www.health.state.ny.us/prevention/tobacco_control/docs/independent_evaluation_report_2007.pdf)

**3. Staffing Requirements.**

Describe the staff to be assigned to this project, including the extent to which they have the appropriate training and experience to perform those duties. Discuss how staff and subcontractors will be managed and supervised to assure project progress and quality.

Resumes must be provided with the proposal for the key management and professional staff assigned to this project.

**4. Data and Technology Requirements.**

The use of social media is essential to reach the targeted populations. Describe the types of strategies that will be incorporated into the campaign and provide examples.

**5. Reporting Requirements:**

Narrative progress and activity reports and affidavits for media placed are required monthly.

**D. COST PROPOSAL COMPONENT**

**1. Financial Requirements.**

Provide a narrative justification of costs. All costs must be included in the contract price. Competitiveness of the budget will be considered as part of the proposal review process.

**2. Budget Requirements.**

The proposal must contain an itemized budget with justification for each line item developed/proposed by the Applicant. Use the budget forms included in the Attachment. All costs must be included in the contract price. Competitiveness of the budget will be considered as part of the proposal review process.

These funds cannot be used for capital purchases or for the purchase of computer equipment. The State of Connecticut is exempt from the payment of excise, transportation and sales taxes imposed by the Federal and/or state government. Such taxes must not be included in contract prices.

*Applicants with long-standing, significant outstanding unresolved issues on current and prior year contracts with the Department may be removed from consideration for additional funding.*

*Costs for developing proposals are entirely the responsibility of the proposer and shall not be reimbursed by the Department of Public Health.*

**IV. PROPOSAL OUTLINE**

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

	Page
<b>A. Cover Sheet</b> . . . . .	<b>1</b>
<b>B. Contractor Information</b> . . . . .	<b>2</b>
<b>C. Table of Contents</b> . . . . .	<b>3</b>
<b>D. Declaration of Confidential Information</b> . . . . .	<b>Etc.</b>
<b>E. Conflict of Interest - Disclosure Statement</b> . . . . .	
<b>F. Executive Summary</b> . . . . .	
<b>G. Main Proposal</b> . . . . .	
<b>1. Organizational Profile</b> . . . . .	
<i>The purpose of this subsection is to gather information about the administrative and operational capabilities of the proposer to provide the purchased service.</i>	
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 . . . . .	
<b>2. Scope of Services</b> . . . . .	
<i>The purpose of this subsection is to gather information about how the proposer intends to provide the purchased service (including the use of any subcontractors).</i>	
a. Catchment Area . . . . .	
b. Documentation of Community Needs / Resources . . . . .	
c. Service Capacity / Delivery Plan / Systems / Processes / Protocols . . . . .	
d. Client Consultation / Evaluation . . . . .	
e. Administrative Support . . . . .	
<b>3. Staffing Plan</b> . . . . .	
<i>The purpose of this subsection is to gather information about the quality and quantity of personnel that the proposer intends to employ to deliver the purchased service.</i>	
a. Key Personnel / Managers . . . . .	
b. Staffing Levels & Qualifications . . . . .	

- c. Staff Training / Education / Development . . . . .

**4. Data and Technology . . . . .**

*The purpose of this subsection is to gather information about the proposer's information management and performance measurement systems.*

- a. Data Collection / Reporting . . . . .
- b. Experience with Social Media . . . . .
- c. Evaluation / Outcome Measures . . . . .

**5. Subcontractors . . . . .**

*If Section F.2 includes the use of any subcontractors for the provision or delivery of a service, the purpose of this subsection is to gather information about the administrative and operational capabilities of each such subcontractor.*

- a. Legal Name of Agency, Address, FEIN . . . . .
- b. Contact Person, Title, Phone, Fax, E-mail . . . . .
- c. Services To Be Provided Under Subcontract . . . . .
- d. Subcontractor Oversight . . . . .
- e. Subcontract Cost and Term . . . . .

**6. Work Plan (use template provided) . . . . .**

*The purpose of this section is for the proposer to explain the tasks, participants, time estimates, and schedule for providing the purchased service.*

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

**H. Cost Proposal . . . . .**

**1. Financial Profile . . . . .**

*The purpose of this subsection is to gather information about the proposer's fiscal stability, accounting and financial reporting systems, or relevant business practices*

- a. Financial Management Systems . . . . .
- b. Revenue Generation / Billing / Third Party Reimbursement . . . . .

**2. Budget and Budget Narrative . . . . .**

*The purpose of this subsection is to gather information about how the proposer developed the proposed budget and cost allocations*

- a. Narrative . . . . .
- b. Budget Justification and Schedule of Costs Forms (include in-kind & value added) . . . . .
- c. Subcontractor Costs . . . . .

**I. Appendices . . . . .**

*The purpose of this subsection is to gather any other additional information that the Department needs to evaluate the proposer.*

- a. Résumés of Key Personnel . . . . .
- b. Letters of Reference (2) . . . . .
- c. Work samples (3-5 samples only) . . . . .
- d. Any additional appendices that are only directly related to the application . . . . .
- e. Letters of Collaboration (from any partnering agencies) . . . . .

**J. Forms . . . . .**

**1. Department. . . . .**

- a. Tobacco Industry Funding and Partnership Certification (DPH) . . . . .

**2. Other . . . . .**

- a. Acknowledgment of Contract Compliance / Notification to Bidders (CHRO) . . . . .
- b. Workforce Analysis . . . . .
- c. Consulting Agreement Affidavit (OPM Ethics Form 5)<sup>1</sup> . . . . .

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<sup>1</sup> Attached when the contract resulting from this RFP has an anticipated value of \$50,000 or more in a calendar or fiscal year. The proposer must submit this certification to the Department with the proposal.

**V. RFP ATTACHMENTS**

- Request for Proposal Cover Sheet
- Applicant information Form/ Contractor Information
- Budget Forms and Justification
- Tobacco Industry Funding and Partnership Certification.
- Work Plan Template
- State of Connecticut, CHRO Contract Compliance Package, Parts I – III
- Notification of Bidders Form
- Workforce Analysis
- Ethics Form



CONTRACTOR INFORMATION

PLEASE LIST THE AGENCY CONTACT PERSONS RESPONSIBLE FOR COMPLETION AND SUBMITTAL OF:

Contract and Legal Documents/Forms:

Name	Title	Tel. No.	Fax No.

Street	Town	Zip Code	E-Mail

Program Progress Reports:

Name	Title	Tel. No.	Fax No.

Street	Town	Zip Code	E-Mail

Financial Expenditure Reporting Forms:

Name	Title	Tel. No.	Fax No.

Street	Town	Zip Code	E-Mail

Incorporated:  Yes  No

Type of Agency:  Public  Private  Other \_\_\_\_\_  
Explain

Agency Fiscal Year

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 (WBE):  Yes  No

## Budget

Note: If space allowed is not sufficient for large or complex budgets, the Budget Justification Schedule may be copied and multiple pages submitted.

### Budget Justification Schedule

- 1.) Please provide a brief explanation for each line item listed on the Budget Summary. This must include a detailed breakdown of the components that make up the line item and any calculation used to compute the amount.
- 2.) For subcontracts, a description of the purpose of each subcontract must be provided, including the portion of the campaign that they will be working on. 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.

### Subcontractor Schedule Detail

All subcontractors used 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 area. 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 component.

#### 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 area. Detail must be provided for each subcontractor listed in the Summary.

#### Example A. Budget Basis

Grassroots Advocate \$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	\$5,000

#### Example C. Hourly Rate:

Focus Group Facilitation	
20 hours @ \$25/hour	\$500
Total	\$500



**Budget, Continued**  
**Subcontractor Schedule Detail**

**#1**  
 Program Area:

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**  
 Program Area:

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**  
 Program Area:

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:	

**Profile of Staff Providing Services:**

Key Staff*	Name	Title, Type of Project Support to be Provided	Assigned to Project: # Hrs/Wk/Month
Position 1			
Position 2			
Position 3			
Position 4			
Position 5			
Position 6			
Position 7			
Position 8			
Position 9			
Position 10			

**\*Attach Resumes for all Key Staff**

**State of Connecticut**  
**Department of Public Health**

**Tobacco Use Prevention and Control Program**

**Tobacco Industry Funding and Partnership Certification**

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

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

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

\_\_\_\_\_  
Date

**Work plan (make as many extra blank pages as needed)**

Services to be Provided	Activities	Staff Responsible	Expected Outcomes and Measures of Success	Timetable

**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  
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

### **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.

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

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Signature

---

Date

On behalf of:

---

**WORKFORCE ANALYSIS**

Contractor Name:  
Address:

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

Complete the following Workforce Analysis for employees on Connecticut worksites who are:

Job Categories	Overall Totals (Sum of all cols. male & female)	White (Not of Hispanic Origin)		Black (Not of Hispanic Origin)		Hispanic		Asian or Pacific Islander		American Indian or Alaskan Native		People with Disabilities	
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Officials & Managers													
Professionals													
Technicians													
Office & Clerical													
Craft Workers (Skilled)													
Operatives (Semi-skilled)													
Laborers (Unskilled)													
Service Workers													
Totals Above													
Totals 1 year Ago													
FORMAL ON-THE-JOB TRAINEES (Enter figures for the same categories as are shown above)													
Apprentices													
Trainees													
EMPLOYMENT FIGURES WERE OBTAINED FROM:						Visual Check:		Employment Records		Other:			

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

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

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

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

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

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

\_\_\_\_\_  
Date

**OPM ETHICS FORM 5**



**STATE OF CONNECTICUT  
CONSULTING AGREEMENT AFFIDAVIT**

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

**INSTRUCTIONS:**

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

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

This affidavit must be amended if the contractor enters into any new consulting agreement(s) during the term of the State contract.

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

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

Consultant's Name and Title	Name of Firm (if applicable)	
Start Date	End Date	Cost
Description of Services Provided:		

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

If YES: \_\_\_\_\_  
Name of Former State Agency Termination Date of Employment

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

Printed Name of Bidder or Vendor **Signature of Chief Official or Individual** **Date**

\_\_\_\_\_ Printed Name (of above) \_\_\_\_\_ Awarding State Agency  
**Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.**

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