

**PROCUREMENT NOTICE**

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Department of Public Health

Public Health Initiatives Branch

Community, Family Health, and Prevention Section  
Nutrition, Physical Activity, and Obesity Prevention Program

**LEGAL NOTICE**

Request for Proposal (RFP)

RFP #2019-0910 Connecticut Healthy Communities Project

The State of Connecticut, Department of Public Health (DPH or the Department), is seeking proposals to implement community-wide health promotion activities for the Connecticut Healthy Communities Project (CT HCP). Selected applicants will facilitate implementation of food service guidelines (FSGs) in community settings and worksites to increase the availability of healthier foods and coordinate with DPH to promote breastfeeding. An anticipated total of up to \$200,000 of federal funding is expected to be available to support this project. Funding is estimated to be for a two year period beginning approximately September 30, 2019 through September 29, 2021, **subject to the availability of funds and satisfactory program performance.**

The RFP is available in electronic format on the Department's website at <http://www.ct.gov/dph/rfp> (Request for Proposal) or from the Department's Official Contact:

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

**Deadline for submission of proposals is May 29, 2019 at 3 p.m.**

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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.*

### A. INTRODUCTION

1. **RFP Name or Number.** The Connecticut Healthy Communities Project, DPH RFP Log# 2019-0910.
2. **Summary.** The State of Connecticut, Department of Public Health (DPH or the Department), is seeking proposals to implement community-wide health promotion activities for the Connecticut Healthy Communities Project (CT HCP). Selected applicants will facilitate implementation of food service guidelines (FSGs) in community settings and worksites to increase the availability of healthier foods and coordinate with DPH to promote breastfeeding. An anticipated total of up to \$200,000 of federal funding is expected to be available to support this project. Funding is estimated to be for a two year period beginning approximately September 30, 2019 through September 29, 2021, **subject to the availability of funds and satisfactory program performance.**
3. **Synopsis.** The purpose of this RFP is to identify two communities to implement the CT HCP. Scoring will consider applicants serving communities with a demonstrated need based on community demographics, socioeconomic status, and disease burden; the applicant's readiness to implement the required strategies; the applicant's participation in coalitions with the capability and experience to implement community-wide initiatives; and the proposed reach and impact of the project.

Funding Restrictions: Funds are for CT HCP activities and may be used for personnel, fringe benefits, staff travel, contractual services to support project activities, and other direct and indirect costs associated with the services proposed. Funds cannot be used to pay for food, research, capital improvements, construction, or lobbying activities.

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

### 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)
DPH	Department of Public Health (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
PSA	Personal Services Agreement
P.A.	Public Act (CT)
RFP	Request For Proposal
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States

- *2015-2020 Dietary Guidelines for Americans*: a set of standards issued by the U.S. Department of Agriculture and intended for policymakers and health professionals which emphasizes the importance of creating a healthy eating pattern to maintain health and reduce the risk of disease.
- *action plan*: a sequence of steps to be taken and the resources required to achieve a goal or objective.
- *applicant*: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP.
- *at risk*: a commonly used term in public health to describe the high probability of an unfavorable health outcome due to an identified exposure.
- *Baby Café*: a peer-support group model that offers free resources for pregnant or breastfeeding mothers to increase breastfeeding duration and exclusivity and includes support from specifically-trained staff, opportunities to share experiences and make friends, enjoy refreshments, and participate in open forum discussions.
- *best practices*: established or proposed standards which are suitable for widespread adoption and shown by research and experience to produce optimal results.
- *Breastfeeding Friendly Child Care recognition program*: a program being developed by the Connecticut Breastfeeding Coalition to recognize exemplary breastfeeding practices in child care facilities, including policies that support lactation accommodation laws, private space for breastfeeding and/or pumping, and support for breastfeeding mothers.
- *Breastfeeding Friendly Worksite recognition program*: a program created and run by the Connecticut Breastfeeding Coalition to recognize exemplary breastfeeding practices in workplaces, including policies that support lactation accommodation laws, private space for breastfeeding and/or pumping, and support for breastfeeding mothers.
- *Centers for Disease Control and Prevention (CDC)*: a federal agency within the U.S. Department of Health and Human Services that works to improve the health of the nation and reduce inequalities.
- *community*: a group of people who share some or all of the following characteristics: sociodemographic, geographic boundaries, sense of membership, culture, language, common norms, and interests.

- *community group*: an alliance of stakeholders which may include individuals or local, state, or national representatives from community-based, private, public, or academic organizations.
- *community sites*: an area where community members go for a variety of activities, which may include, but is not limited to, parks, stadiums, and buildings where community organizations meet.
- *Connecticut Breastfeeding Coalition (CBC)*: an organization that promotes and supports breastfeeding as the cultural norm for infant and child feeding in Connecticut.
- *Connecticut Healthy Communities Project (CT HCP)*: a DPH-funded initiative to support implementation of local level interventions that create and promote a healthier environment within a specific community, with a focus on residents at higher risk for obesity, poor nutrition, and physical inactivity.
- *contractor*: a private provider organization, CT State agency, or municipality that enters into a PSA contract with the Department as a result of this RFP.
- *Department of Health and Human Services (DHHS)*: a federal agency that protects the health of all Americans and provides essential human services.
- *early care and education (ECE) programs*: organizations or entities that provide care and education, regardless of funding source, for children from birth to kindergarten entry, including, but not limited to, programs operated by child care centers and in family child care homes; preschool programs; Early Head Start and Head Start programs; school readiness programs; and non-relative child care providers.
- *Federally Qualified Health Centers (FQHCs)*: a private, non-profit health care organization that has been identified by the federal government to qualify for federal reimbursement by meeting specific criteria under the Social Security Act.
- *food service guidelines (FSGs)*: specific standards for food and nutrition, facility efficiency, environmental support, community development, food safety, and behavioral design for use in community sites, worksites, organizations, or programs to create healthy food environments in a variety of venues. For the purposes of this contract, communities will implement venue-appropriate FSG strategies which are consistent with the Food Service Guidelines for Federal Facilities from DHHS and the U.S. Department of Agriculture's 2015-2020 Dietary Guidelines for Americans.
- *Food Service Guidelines for Federal Facilities*: a set of food, nutrition, and behavioral design standards developed by DHHS for use in federal agencies and facilities.
- *milestone*: an activity marking a significant change or stage in development.
- *outreach*: the provision of education and/or information to populations about a specific topic or set of topics to raise awareness about those topics.
- *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.
- *Secrets of Baby Behavior*: an evidence-based educational course on normal infant behaviors.
- *stakeholders*: individuals with interest or concern in something, or who may be impacted by a program or service being offered.

- *State Physical Activity and Nutrition Program (SPAN)*: a five-year cooperative agreement received by the Department from CDC to implement evidence-based strategies and to leverage resources from multiple stakeholders and sectors to improve nutrition and increase physical activity in the state.
- *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 PSA contract with the Department as a result of this RFP.
- *technical assistance*: the provision of counseling, education, and support including services such as consulting, editing, and planning.
- *U.S. Department of Agriculture (USDA)*: a federal agency responsible for developing and executing federal laws related to farming, forestry, and food.
- *venues*: a place where food is prepared, served, or sold which may include, but is not limited to, cafeterias, cafés, grills, snack bars, concession stands, and vending machines and in areas where social functions are held.
- *worksites*: an area where an industry is located or where work takes place which may include, but is not limited to, hospitals, universities/colleges, private workplaces, and state, local and tribal government facilities.

## ■ 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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E-Mail: Jennifer.Vinci@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 <https://portal.ct.gov/dph/Request-For-Proposals/Request-for-Proposals>
- State Contracting Portal [https://biznet.ct.gov/SCP\\_Search/Default.aspx?Acclast=2](https://biznet.ct.gov/SCP_Search/Default.aspx?Acclast=2)

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: \$200,000
- Awards will not exceed \$50,000 per community per year.
- Number of Awards: 2
- Contract Cost: To be negotiated with successful proposers
- Contract Term: See below

<b>Funding Period</b>	<b>Community #1</b>	<b>Community #2</b>	<b>Total</b>
September 30, 2019-September 29, 2020	\$50,000	\$50,000	\$100,000
September 30, 2020-September 29, 2021	\$50,000	\$50,000	\$100,000

**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. Entities or organizations that are currently funded by DPH to conduct these activities through CT SPAN funding are not eligible to apply.

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

- At least one qualified staff dedicated (at least 0.25 FTE minimum) to be the project coordinator.
- Administration and organizational leadership support to implement the proposed project.

In addition, proposals will be screened for completeness and compliance with the requirements specified in the RFP. Applicants who fail to follow instructions or to include all required elements will be deemed incomplete and removed from further review. Applicants with long-standing, significant outstanding unresolved issues on current and prior year contracts with the DPH may be removed from consideration for additional funding.

**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 Released: April 8, 2019
- Letter of Intent Due: May 3, 2019
- Deadline for Questions: May 10, 2019
- Answers Released: May 17, 2019
- RFP Conference: Not Applicable

- Proposals Due: May 29, 2019
- (\*) Proposer Selection: June 6, 2019
- (\*) Start of Contract Negotiations: June 17, 2019
- (\*) Start of Contract: September 30, 2019

**7. Letter of Intent.** A Letter of Intent (LOI) is strongly recommended, but not 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.

**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. **Questions submitted via e-mail must indicate in the e-mail subject line: RFP #2019-0903.** 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 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.

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

- Due Date: May 29, 2019
- Time: 3:00 p.m.

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 DPH 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; and
- three (3) conforming copies of the original proposal; and



- one (1) conforming electronic copy of the original proposal emailed to the Official Contact.

**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 2013**. 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. Applicants must complete and use the Cover Sheet form provided by DPH in Section V. A. Attachments.

*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.

3. **Table of Contents.** All proposals must include a Table of Contents that conforms to the required proposal outline. (See Section IV.)
4. **Executive Summary.** Proposals must include a high-level summary, not exceeding two (2) pages, of the main proposal and cost proposal.
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:
  - Binding Type: Unbound, but fastened with binder or paper clips
  - Dividers: None specified
  - Paper Size: 8.5" x 11"
  - Page Limit: Maximum of 20 pages (ten 2-sided sheets) narrative limit which does not include the Executive Summary (two page maximum, one 2-sided sheet), the Work Plan (six page maximum, three 2-sided sheets), and the budget narrative and required forms and attachments (no maximum page limit).
  - Print Style: 2-sided
  - Font Size: 12 point type
  - Font Type: Times New Roman, Arial, or Verdana
  - Margins: 0.5" top, bottom, left and right margins
  - Line Spacing: 1.5 line spacing
7. **Pagination.** The applicant's name (e.g., agency or organization name) must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be clearly and consecutively numbered at the bottom center of each page.
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 DPH 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.
  - Applicant Organizational Requirements and Profile (10)
  - Service Requirements-Scope of Services (30)
  - Staffing Requirements-Staffing Plan (15) *see note*
  - Work Plan (25)
  - Cost Proposal Component (20)

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. 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, 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.*

### A. PERSONAL SERVICES AGREEMENT (PSA)

*By submitting a proposal in response to this RFP, the proposer implicitly agrees to comply with the following applicable provisions:*

A standard template for Personal Services Agreements is maintained by the Department and will include the scope of services, contract performance, reports, terms of payment, budget, and other program-specific provisions of any resulting PSA. The template also includes mandatory terms and conditions.

Note:

Included in the standard template 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.

The PSA may be amended by means of a written instrument signed by the Department, the selected proposer (contractor), and, if required, 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

*In this section, DPH provides proposers with background information about the Department and program. More specific information is provided about the service that DPH seeks to procure. This information is designed to promote a better understanding of the needs of the Department and its clients and to assist proposers in preparing better proposals in response to this RFP.*

#### **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, and technical assistance, consultation and oversight. 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 among assuring quality and administrative burden on personnel, facilities and programs regulated. The DPH is a leader on the national scene through direct input to federal agencies and the United States Congress.

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

- Assuring the conditions in which people can be healthy;
- Preventing disease, injury, and disability; and
- Promoting the equal enjoyment of the highest attainable standard of health, which is a human right and a priority of the state.

In March 2017, the CT DPH was awarded the Public Health Accreditation by Public Health Accreditation Board (PHAB). National accreditation provides standards that health departments can seek to meet in order to ensure that they are continuously improving as they work to keep their communities healthy. Our accreditation will drive the Department to continuously improve the quality of our public health practice and their performance.

The DPH is committed to the elimination of health inequities. Racial and ethnic minorities and Connecticut's disadvantaged residents experience health inequities and therefore do not have the same opportunities as other groups to achieve healthy outcomes.

Within the DPH Public Health Initiatives Branch is the Community, Family Health and Prevention Section (CFHPS) that works to improve the health of the overall population across the lifespan, especially mothers, infants, children, adolescents and other vulnerable groups, by establishing opportunities that support healthy living habits through education, early detection, access to care and chronic disease prevention. The CFHPS is comprised of six (6) program units including the Chronic Disease Unit which houses the Nutrition, Physical Activity, and Obesity Prevention (NPAO) Program. The NPAO Program supports education and public health policies, system, and environmental change strategies aimed at reducing obesity by promoting healthy eating and active living for CT residents of all ages, with an emphasis on addressing health disparities.

## B. PROGRAM OVERVIEW

**Background:** Obesity, poor nutrition, and physical inactivity are prevalent in CT. About 26% of adults, 29% of high school students, and 15% of low-income children are obese. Over one-third (34.0%) of CT children (<18 years) eat fast food or pizza two or more times per week, 29.1% drink at least one 12 ounce soda or sugar sweetened drink per day, and almost half have three or more hours of screen time (TV and computer) per day. Additionally, 21.3% of adults (18+ years) do not participate in leisure time physical activity, 35.5% eat less than one fruit per day, and 19.5% eat less than one vegetable per day. While an estimated 84.9% of CT infants are ever breastfed, only 57.7% are breastfed at 6 months, with 26.1% exclusively breastfed at 6 months, and 33% are breastfed at 12 months.

Disparities exist in the prevalence of obesity, poor nutrition, and physical inactivity. For example, Black and Hispanic youth and adults are more likely to be obese compared with White youth and adults. CT adults with annual household incomes less than \$25,000 are less likely to participate in leisure time physical activity compared to adults with annual household incomes of \$75,000 or more. Additionally, geographic disparities exist, with adults in the state's urban centers experiencing the highest prevalence of obesity and physical inactivity. Addressing obesity, and associated risk factors such as poor nutrition, physical inactivity, and low rates of breastfeeding duration and exclusivity requires a multi-faceted approach targeting CT's most vulnerable residents.

**Connecticut State Physical Activity and Nutrition Program:** The NPAO Program has received a five-year funding award from the Centers for Disease Control and Prevention (CDC) for Cooperative Agreement DP18-1807, *State Physical Activity and Nutrition Program* (SPAN), available at: <https://www.cdc.gov/nccdphp/dnpao/state-local-programs/fundingopp/2018/span-1807.html>. SPAN has four required aims which are consistent with a variety of publications, expert recommendations, and National Public Health Priorities and Strategies including [Healthy People 2020](#):

**Aim 1:** Implement interventions supportive of breastfeeding that address maternity care practices in birthing facilities, continuity of care and community support, and workplace compliance with the federal and state lactation accommodation law.

**Aim 2:** Implement food service guidelines (FSGs) in worksites and in community sites, in multiple venues.

**Aim 3:** Implement and integrate nutrition and physical activity standards into statewide early care and education (ECE) systems such as quality rating improvement systems, state professional development systems, licensing, statewide technical assistance networks, state subsidy programs, statewide recognition programs, and others outlined in the CDC [ECE opportunities framework](#).

**Aim 4:** Collaborate with partners to connect sidewalks, paths, bicycle routes, public transit with homes, early care and education, schools, worksites, parks, or recreation centers through implementing master plans and land use interventions; establish new or improved pedestrian, bicycle, or transit transportation systems (e.g., activity-friendly routes) that are combined with new or improved land use or environmental design (e.g., connecting everyday destinations).

Additional information about the strategies is available on the CDC SPAN [website](#). **The focus of this RFP is on aims 1 and 2 as detailed further below. Applicants are not to respond to aims 3 and 4, which is provided for contextual purposes.**

The DPH is seeking two (2) communities to implement the CT Healthy Communities Project (CT HCP). The CT HCP is designed to address community-level implementation of FSGs in worksites and community settings and increasing breastfeeding continuity of care, worksite compliance with state and federal lactation accommodation law, and supportive breastfeeding practices in birthing facilities. Successful applicants will work closely with the DPH and our partners to implement the CT HCP.

The DPH will provide oversight, guidance, and technical assistance to selected applicants to ensure that all activities meet CDC requirements and are aligned to national best practices, evidence-based interventions, and DPH initiatives. Selected applicants will work with the DPH and its evaluation contractor to identify an evaluation and performance monitoring plan that aligns with mandated CDC performance measures for all services provided.

■ **C. MAIN PROPOSAL COMPONENTS (20 page maximum – ten 2-sided sheets, not including the work plan)**

**1. Applicant Organizational Requirements and Profile (Weighted Value = 10 points)**

**a. Purpose, Mission, Vision, and History of Organization**

The applicant must provide a brief overview of the history and structure of the organization. The applicant must explain how the proposal will fit into the organization's overall mission and meet the intent of this RFP.

**b. Entity Type (Profit/Non-Profit, etc.) and Years of Operation**

The applicant must indicate entity type and years of operation. Proposals will be accepted from public and private organizations, community agencies, and individuals that meet the eligibility requirements in Section I.C.4.

The proposal must contain a completed Cover Sheet, Contractor Information Form, and a signed Notification to Bidders Form, which are included in the attached Application Forms (See Section V.A). Provide the name, title, address, telephone, and fax number of staff persons responsible for the completion and submittal of:

1. Contract and legal documents/forms
2. Program progress reports
3. Financial expenditure reports

*Accurate information is needed by the Department concerning the applicant's legal status.*

**c. Current Range of Services**

Describe the current range of services provided by the applicant organization that are relevant to this RFP and the populations served. Please describe the range of services only applicable to the proposed activities in this RFP.

**d. Organization's Experience**

The applicant must:

- Describe experience coordinating, conducting, implementing, or facilitating activities designed to improve nutrition and promote breastfeeding. Be

specific about the applicant's role in the activities, any collaborating partners, and successes and challenges.

- Discuss recent (past 3 years) participation in coalition(s) with community organizations and stakeholders to effectively collaborate on nutrition and breastfeeding initiatives relevant to this application.
- Describe experience developing and implementing community initiatives which impact at-risk populations to address health disparities. Discuss successes and challenges.
- Describe experience managing grants and organizational capacity and support to successfully administer the project.

**e. Data and Technology Requirements**

**• E-Mail/Internet Capabilities**

The applicant must define current capabilities as well as system restrictions. Applicants must have access to email and the internet for the purposes of data collection and record reporting, for any required or recommended DPH webinars and teleconferences, and other activities as needed. The applicant must describe its capacity to engage with CT DPH Grants and Contracts Management Unit through the CORE-CT web-based contract platform for all aspects of contract development, execution, and reporting including budgets and fiscal reporting.

**• IT Infrastructure/Hardware & Software Quality**

Applicants must describe the current operating system, including indicating any staff assigned to IT management. Such individual's name and contact information must be included.

**• Data Collection/Storage/Reporting**

Successful applicants will work with the DPH and its evaluation contractor to identify an evaluation and performance monitoring plan that aligns with mandated CDC performance measures for all services provided. The applicant must have the ability to collect, store, and report any data elements to DPH that are needed in order to report on project progress and outcomes. The applicant should describe database management including quality assurance (e.g. conduct periodic data assessments to evaluate the quality, accuracy and validity of the data; assess, and validate data collection methods utilized by staff). Discussion of data management must include plans for quality improvement such as modifications to operations, protocols, data elements, software and/or equipment, staff training, and improved communication methods.

Reports will be required from successful applicants to report program data on an ongoing basis (e.g., monthly or every other month). The frequency of the reports will depend on CDC required data submissions and program performance and progress. The applicant will also be expected to respond to questions from an independent evaluator on data submissions and program operations, and may be expected to make data collection modifications in order to assure outcome measures are being tracked.

**2. Service Requirements-Scope of Services (Weighted Value = 30 points)**

The applicant must describe in full how they will implement the CT HCP in their community, including a detailed work plan (See Section V. Attachments, scored separately) which outlines activities, staff assigned, a timeline for completion of activities, and expected outcomes. Applicants should refer to the synopsis for more information on scoring.

**a. The applicant should clearly:**

- Define the community represented (e.g., cities/towns in the applicant's catchment area or geographic reach)
- Demonstrate the community needs based on resident demographics, socioeconomic status, disease burden, etc. Include details about any recent needs assessments or community health assessments conducted.
- Describe how the activities proposed by the applicant will target at-risk populations in the community disproportionately affected by obesity, poor nutrition and low breastfeeding rates.
- Outline how activities will be coordinated internally and externally with partner organizations to align initiatives, leverage resources, and reduce the duplication of efforts.
- Describe how existing coalitions will support the activities included as part of the proposal. Include letters of support from key partners and subcontractors, if applicable, as an Appendix to demonstrate the coordination of activities and support.

**b. Applicants must describe how they will implement the following strategies:**

Strategy 1: FSGs in worksites and community sites in multiple venues which are aligned with the Department of Health and Human Services [Food Service Guidelines for Federal Facilities](#) and the [2015-2020 Dietary Guidelines for Americans](#) to increase the availability of healthy foods.

- Describe the plan for:
  - Recruiting worksites and community sites with a variety of venues for participation in the CT HCP.
  - Obtaining a written commitment to implement FSGs from sites recruited.
  - Facilitating and supporting implementation of venue-appropriate FSGs at each recruited site. This may include activities such as conducting a baseline assessment of the food environment; identifying the policy and FSGs approach(es) to be implemented; creating a site-specific implementation plan; and providing training, technical assistance, and resources to site staff.
  - Monitoring implementation of FSGs using venue-appropriate tools.
- Identify the proposed number of sites targeted each year of the project, anticipated number of individuals impacted, and number and types of venues addressed.

NOTE: Applicants are required to implement FSGs in worksites and community sites, for a total percent effort of 75% of the project. Applicants must also select a minimum of one of the following breastfeeding strategies (2-4) to implement as part of this proposal to make up the remaining 25% effort. Applicants will be scored based on the quality of the proposal, not the total number of strategies selected.

Strategy 2: [Interventions](#) supportive of breastfeeding that address maternity care practices in birthing facilities and environmental supports in community sites and health care practices.

- Describe the applicant's plan to expand on the [It's Worth It!](#) breastfeeding campaign including promoting existing campaign messages; disseminating materials to birthing facilities, community sites, and health care practices; and connecting DPH and our partners to sites that need technical assistance.

- Discuss how the applicant will recruit health care practices in their community to participate in DPH-sponsored education and professional development and connect those practices to DPH and our partners.

Strategy 3: [Interventions](#) supportive of breastfeeding that address continuity of care/community support.

- Describe the applicant's plan to:
  - Recruit Federally Qualified Health Centers (FQHCs) or community groups to participate in the DPH-sponsored [Secrets of Baby Behavior](#) training, who have not yet been trained OR
  - Recruit FQHCs or community groups who have been trained on the Secrets of Baby Behavior to receive follow-up technical assistance.
- Discuss the applicant's plan for creating a breastfeeding support group that meets the needs of at-risk families in your community. Include details on what support group model will be used (e.g., [Baby Café](#)) and why it was chosen, if applicable, or describe what criteria will be used to select a support group model for the community. Also include:
  - Engagement of key stakeholders in the process
  - The support group logistics
  - Recruitment model
  - Staffing
  - Linkages to clinical support

Strategy 4: [Interventions](#) supportive of breastfeeding that address workplace compliance with the state and federal lactation accommodation law. Describe the applicant's plan for:

- Promoting the [Breastfeeding Friendly Worksite](#) recognition program through the CT Breastfeeding Coalition (CBC) to worksites and recruiting worksites to work with DPH and its partners to achieve recognition.
- Promoting the Breastfeeding Friendly Child Care recognition program (in development) through the CBC to ECE programs and recruiting ECE programs to work with DPH and its partners to achieve recognition.

**c. Applicants must discuss how they will:**

- Develop a communication plan, in collaboration with DPH, to promote CT HCP initiatives.
- Align selected breastfeeding strategy(ies) with the FSGs strategy.
- Monitor and track progress for CT HCP initiatives.
- Collect and report data throughout the contract period to DPH. The types of data collected will be determined by CDC performance measures and evaluation requirements.

**3. Staffing Requirements—Staffing Plan (Weighted Value = 15 points)**

Applicants must designate a coordinator, for a minimum 0.25 FTE, supported by CT SPAN funding or other resources, responsible for overseeing community-level recruitment, planning, and implementation of strategies; serving as a liaison to the DPH and participating in monthly calls or in-person meetings; reporting on progress toward outcomes for evaluation and performance monitoring; and participating in the DPH-convened meetings, as required.

The applicant should describe all staff assigned to this project, regardless of funding source, and describe the extent to which these staff have the appropriate training, experience, and sufficient time allocated to perform assigned duties. Assigned project staff should have familiarity with health promotion, obesity prevention, or similar initiatives relevant to the proposal.

For each staff person identified in the narrative, include a description of the individual's role in the project and the extent to which he or she has the appropriate training, qualifications, credentials, and experience to perform the duties outlined. The applicant should clearly indicate in the narrative the number of hours per week dedicated to the project by each staff person and must attach the following as an Appendix:

- A full job description for each staff assigned to the project
- A Resume or Curriculum Vitae for each professional staff assigned to the project

The applicant must describe the organization's administrative structure and include an organizational chart as an Appendix.

The applicant must complete and attach the Position Schedule 2a, Attachments Section V. as part of the Budget and Budget narrative.

The applicant must complete and attach an organizational Work Force Analysis included in Section V.A. as part of the Forms section. The applicant must also provide evidence that the proposer will utilize small and minority businesses whenever feasible and appropriate in the purchase of supplies and services.

### **Subcontractors**

If subcontractors are utilized for the provision or delivery of a service, the purpose of this subsection is to specify the information to be provided about the administrative and operational capabilities of each such subcontractor.

If subcontractors will be used in the proposed program, specify the following information for each one:

- Legal Name of Agency, Address, FEIN
- Contact Person, Title, Phone, Fax, E-mail
- Services Currently Provided
- Services to Be Provided Under Subcontract
- Subcontractor Oversight
- Subcontract Cost and Term
- Subcontractor Qualifications (see Staffing Requirements above)

NOTE: The proposal must include a completed Subcontractor Schedule A—Detail Form for each subcontractor proposed as part of the Budget and Budget Narrative (If known at application time, otherwise, will be required to submit during contract negotiations; see Section V. - Attachments.)

### **4. Work Plan (Weighted Value = 25 points)**

A comprehensive and realistic first year work plan for the funding period September 30, 2019 to September 29, 2020 must be provided. The applicant must submit one work plan form per strategy. The work plan must:

- Be consistent with the proposal and the project's goals.
- Include specific details about proposed activities and the settings addressed, the timeframe for completion of activities including the start and end dates, and responsible parties.
- Identify which activities are milestones for the project.
- Provide detail about the relationship and tasks to be performed by each subcontractor, if applicable.

Applicants must include a high-level narrative outlining the second year's proposed activities.



The detailed work plan must be completed in the required format provided in the Attachments (See Section V.) and included at the end of the Main Proposal narrative. The entire work plan, including the table and the narrative, should not exceed six total pages (three pages front and back). It does not count toward the Main Proposal Component page limit.

## 5. Appendices and Forms

The applicant must include the following items as appendices:

- A full job description for each staff person assigned to the project
- Resume or Curriculum Vitae (for professional staff)
- An organizational chart
- Letters of support

The applicant must include the following forms:

- Workforce Analysis
- Notification to Bidders
- Consulting Agreement Affidavit

## ■ D. COST PROPOSAL COMPONENT (Weighted Value = 20 points; no page limit)

### 1. Financial Requirements

Financial expenditure reports will be required on an ongoing basis in a format provided by the Department and on a schedule consistent with the state's Procurement Standards based on the organization type. Applicants must outline who within their organization will be responsible for tracking and reporting financial expenditures as required by the Department.

### 2. Budget and Budget Narrative

The proposal must contain an itemized budget for the first year of the contract period with a detailed justification for each line item.

- a. The narrative explaining all line item costs (personnel, travel, printing, supplies, subcontractors, etc.) must be included in the proposal. Any organization including administrative and general costs as part of the project budget must also provide a detailed breakdown to explain how those costs are calculated, which identifies what categories of costs are included, and how they are allocated.

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

- b. **Please complete all of the budget forms included in the Attachments in Section V.A.** Use of subcontractors is allowed. Subcontractor information and details also must be in the itemized budget. Subcontractor Schedule A – Detail form must be completed. All information required of the contractor must be applied to the subcontractor as well.
- c. 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.
- d. The maximum amount of the bid may not be increased after the proposal is submitted. All cost estimates will be considered as “not to exceed” quotations against which time and expenses will be charged.

- e. The proposed budget is subject to change during the contract award negotiations.
- f. Copies of state set aside certifications for small and/or minority business must also be provided.
- g. Payments will be negotiated based on time frames and deliverables described in section V of this RFP.

**Total available funding is \$200,000 for the two year period (\$50,000 per contractor, per year) beginning September 30, 2019 (estimated) through September 29, 2021.**

## 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 to 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.*

	Page
<b>A. Cover Sheet</b> . . . . .	<b>1</b>
1. Applicant Information Form (continuation)	
<b>B. Table of Contents</b> . . . . .	<b>2</b>
<b>C. Declaration of Confidential Information</b> <i>(Per instructions: Section I. C.12.)</i> <b>Etc.</b>	
<b>D. Conflict of Interest - Disclosure Statement</b> <i>(Per instructions: Section I. C.13.)</i>	
<b>E. Executive Summary</b> <i>(Per instructions: Section I. D. 4.)</i>	
<b>F. Main Proposal Components</b> . . . . .	
<b>1. Applicant Organizational Requirements and Profile</b> . . . . .	
<b>2. Service Requirements-Scope of Services</b> . . . . .	
<b>3. Staffing Requirements-Staffing Plan</b> . . . . .	
<b>4. Work Plan</b> . . . . .	
<b>G. Cost Proposal Component.</b> . . . . .	
<b>1. Financial Requirements</b> . . . . .	
<b>2. Budget and Budget Narrative</b> . . . . .	
<b>H. Appendices</b> . . . . .	
<b>I. Forms.</b> . . . . .	

**V. ATTACHMENTS**

■ **A. APPLICATION FORMS:** *The information and forms included in this section are required for submission of a proposal. The included forms must be completed and included in the proposal submission as applicable and directed however item numbers 9 and 12 may be submitted to the State of Connecticut Department of Administrative Services (DAS) Document Vault in accordance with existing procedures and within the statutorily required timeframes. If valid forms have been previously submitted they need not be submitted again but the proposal must clearly state that the electronic documents are available for viewing within the DAS Document Vault.*

1. Cover Sheet . . . . .	29
2. Applicant Information Form (continuation) . . . . .	30
3. Budget Summary Instructions . . . . .	31
4. Budget Summary Form. . . . .	33
5. Budget Justification Schedule B Form . . . . .	34
6. Position Schedule #2a Form . . . . .	35
7. Subcontractor Schedule A Detail Form . . . . .	36
8. Work Plan Form . . . . .	37
9. OPM Consulting Agreement Affidavit . . . . .	38
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11. Notification to Bidders . . . . .	40
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The remainder of this page is intentionally blank

## VI. APPLICATION FORMS

### COVER SHEET

#### REQUEST FOR PROPOSAL RFP DPH Log# 2019-0910 Connecticut Healthy Communities Project CONNECTICUT DEPARTMENT OF PUBLIC HEALTH

#### Applicant Information

Applicant Agency: \_\_\_\_\_  
Legal Name

\_\_\_\_\_ Address

\_\_\_\_\_ City/Town State Zip Code

\_\_\_\_\_ Telephone No. \_\_\_\_\_ FAX No. \_\_\_\_\_ Email Address

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

Telephone No: \_\_\_\_\_

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

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

\_\_\_\_\_  
Signature of Authorizing Official:

\_\_\_\_\_  
Date

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

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

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

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

**Applicant Information Form (continuation)**

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

**Contract and Legal Documents/Forms:**

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

**Program Progress Reports:**

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

**Financial Expenditure Reporting Forms:**

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

**Incorporated:**  YES  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 (WBE):**  YES  NO

**A. Budget Summary Instructions****1. Position Schedule #2a**

- a. Complete the schedule for all positions to be funded even if currently vacant.
- b. Complete one Position Schedule #2a for each Program/Fund to be included in the Budget.

**2. Personnel (lines #1 - #2)**

- a. Line #1 **Salary and Wages:** Enter the total salary charged, as listed on Position Schedule 2a.
- b. Line #2 **Fringe Benefits Line:** Enter the total fringe benefits charged, as listed on Position Schedule 2a.

**3. Line #8 Contractual (Subcontracts):** Provide the total of all subcontracts and complete Subcontractor Schedule.**4. Lines #3 - #7, #9, and #10:** Complete categories as appropriate,**5. Line #11:** Other Expenses are any other types of expense that do not fit into the categories listed.

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

**6. 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.**

**7. Administrative and General Costs, Line Item #12**

- a. Are defined as those costs that have been incurred for the overall executive and administrative offices of the organization or other expenses of a general nature that do not relate solely to any major cost objective of the overall organization. Examples of A&G costs include salaries of executive directors, administrative & financial personnel, accounting, auditing, management information systems, proportional office costs such as building occupancy, telephone, equipment, and office supplies. Please review the OPM website on Cost Standards for more information at:  
[http://www.opm.state.ct.us/finance/pos\\_standards/coststandards.htm](http://www.opm.state.ct.us/finance/pos_standards/coststandards.htm).

- b. **Administrative and General Costs** must be itemized on the Budget Justification Schedule. Costs that have a separate line item in the Budget Summary may not be duplicated as an Administrative and General Cost. For example, if the Budget Summary includes an amount for telephone costs, this cannot also be included as an Administrative and General Cost.

**8. Other Program Income** list any other program income, if appropriate, such as in-kind contributions, fees collected, or other funding sources and include brief explanation on Budget Justification.**9. Multiple Funding Period Contracts:** Please complete a full budget for each Funding Period of the contract, clearly indicating the Period on each form. Absent other instructions, assume level funding for the second year.**B. Budget Justification Schedule B**

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

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

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

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

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

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

2. Detail of Each Subcontractor:

- a. Choose a category below for each subcontract using the basis by which it is paid:  
 A. Budget Basis       B. Fee for Service       C. Hourly Rate.
- b. Choose whether the subcontractor is a minority or woman owned a business:
- c.  MBE       WBE       Neither
- d. Provide the detail for each subcontract just as for the primary contract budget referencing the corresponding program of the contract. Detail must be provided for each subcontractor listed in the Summary.  
 Note: If space allowed is not sufficient for large or complex subcontract budgets, the primary Budget Summary format may be copied and used instead.



**Applicant Name****FUNDING PERIOD: September 30, 2019 to September 29, 2020**

Contract Period: September 30, 2019 to September 29, 2021  
**Budget Summary**

<b>Program:</b>	<b>CT HCP</b>	<b>Total</b>
<b>Fund:</b>	<b>SID: 22923</b>	
<b>1. Salaries &amp; Wages</b>		
<b>2. Fringe Benefits</b>		
<b>3. Travel</b>		
<b>4. Training</b>		
<b>5. Educational Materials</b>		
<b>6. Office Supplies</b>		
<b>7. Medical Materials</b>		
<b>8. Contractual (Sub-Contracts)**</b>		
<b>9. Telephone</b>		
<b>10. Advertising</b>		
<b>11. Other Expenses (list)</b>		
<b>a.</b>		
<b>b.</b>		
<b>c.</b>		
<b>d.</b>		
<b>e.</b>		
<b>f.</b>		
<b>g.</b>		
<b>h.</b>		
<b>i.</b>		
<b>12. Administrative and General Costs</b>		
<b>Total DPH Grant</b>		
<b>Other Program Income</b>		

\*\*Complete Sub-contractor Schedule A

**Applicant Name**

**FUNDING PERIOD: September 30, 2019 to September 29, 2020**

Contract Period: September 30, 2019 to September 29, 2021

**Budget Justification Schedule B**

**Program/Site:**

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

**Applicant Name****FUNDING PERIOD: September 30, 2019 to September 29, 2020**

Contract Period: September 30, 2019 to September 29, 2021

Position Schedule #2a

Program/Fund

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

\*Attach resumes for all professional staff and job descriptions for all staff

**Subcontractor Schedule A-Detail**

**Applicant Name**

**FUNDING PERIOD: September 30, 2019 to September 29, 2020**

Contract Period: September 30, 2019 to September 29, 2021

**#1**

Subcontractor Name:

Address:

Telephone: ( ) ( - )

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

Indicate One:     MBE     WBE     Neither

Program:	Name		Name		Total
	Fund:	SID 1	SID 2	SID 1	
Line Item(s)					
<b>Total Subcontract Amount:</b>					

**#2**

Subcontractor Name:

Address:

Telephone: ( ) ( - )

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

Indicate One:     MBE     WBE     Neither

Program:	Name		Name		Total
	Fund:	SID 1	SID 2	SID 1	
Line Item(s)					
<b>Total Subcontract Amount:</b>					

**#3**

Subcontractor Name:

Address:

Telephone: ( ) ( - )

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

Indicate One:     MBE     WBE     Neither

Program:	Name		Name		Total
	Fund:	SID 1	SID 2	SID 1	
Line Item(s)					
<b>Total Subcontract Amount:</b>					

**Work Plan Form**

**Year 1 Work Plan, September 30, 2019 - September 29, 2020**  
**(NOTE: Use one work plan page per strategy)**

**Applicant Name**  
**Strategy Number:**  
**Strategy:**

Setting (e.g., type of site)	Activities	Milestone (Y/N)	Responsible Position(s)/Party(ies)	Activity start and end date

**Year 2 Narrative**



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

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

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

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

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

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

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

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

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

Printed Name of Bidder or Vendor	<b>Signature of Chief Official or Individual</b>	<b>Date</b>
	Printed Name (of above)	Dept. of Public Health Awarding State Agency

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

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



# STATE OF CONNECTICUT

## DEPARTMENT OF PUBLIC HEALTH

OFFICE OF COMMISSIONER

### AFFIRMATIVE ACTION CONTRACT COMPLIANCE POLICY STATEMENT

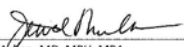
The Department of Public Health (DPH) is an Affirmative Action/Equal Employment Opportunity employer, in compliance with all state and federal laws and shall comply with the Contract Compliance Regulations *and* CGS 4a-60 Nondiscrimination and affirmative action provisions in contracts of the state and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

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

DPH considers bidders success in these factors in reviewing the bidder's qualifications under the Contract Compliance requirements. Accordingly, any individual or organization that desires to do business with DPH shall:

- Not discriminate or permit discrimination against any protected class person or protected group in the performance of contracts
- Not engage in discriminatory practices *or* permit discriminatory practices in their workplace
- Cooperate with the Connecticut Commission on Human Rights and Opportunities in all activities
- In all contract solicitations or advertisements, state that they are an "affirmative action-equal opportunity employer"
- Sign a Notification to Bidders Form, and complete a workforce analysis questionnaire necessary for the contract award process

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

  
Jewel M. Chen, MD, MPH, MPA  
Commissioner, DPH

7/15/11  
Date

**NOTIFICATION TO BIDDERS**

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

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

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

- a) the bidder’s success in implementing an affirmative action plan;
- b) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-18 of the Connecticut General Statutes, inclusive;
- c) the bidder’s promise to develop and implement a successful affirmative action plan;
- d) the bidder’s submission of EEO-1 data indicating the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and,
- e) the bidder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30 (10) (E) of the Contract Compliance Regulations.

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

---

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

\_\_\_\_\_  
Signature Date \_\_\_\_\_

On behalf of:

---



**WORKFORCE ANALYSIS**

Contractor Name:  
Address:

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

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

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

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

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

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

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

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

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

\_\_\_\_\_  
Date

■ **B. INFORMATIONAL ATTACHMENTS:** *The information and forms in this section are for your reference only. The information contained herein will be required of applicants awarded funding and will be requested during the contract development process. Some of the indicated information may be submitted electronically. **Do not include any of the forms included here with your proposal.***

1. Nondiscrimination Certification Instructions . . . . .	43
2. Nondiscrimination Certification . . . . .	44
3. False Claims Act Notification . . . . .	45
4. False Claims Act Policy . . . . .	46
5. False Claims Act Procedure . . . . .	49
6. SEEC Form 11 . . . . .	52

The remainder of this page is intentionally blank

## Nondiscrimination Certification Instructions

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

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

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

### IMPORTANT

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

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

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

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

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

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

cert.instr. 7/10/09



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

**Form C**  
**7/8/09**

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

**INSTRUCTIONS:**

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

**AFFIDAVIT:**

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

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

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

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

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

has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

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

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

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

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

\_\_\_\_\_  
 Commission Expiration Date

**FALSE CLAIMS ACT**  
**COMPLIANCE NOTIFICATION**

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

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

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

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

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

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

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

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

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

### 2.0 Scope

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

### 3.0 Definitions and Acronyms

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

#### 3.1 Acronyms

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

#### 3.2 Definitions


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

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

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

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

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

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

##### 4.1 False Claim Act

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

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

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

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


##### 4.2 State False Claim Related Acts

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

##### 4.3 Compliance Reporting

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




 <p>Keeping Connecticut Healthy <b>DPH</b> Connecticut Department of Public Health</p>	<p><b>False Claims Act (Procedure)</b></p>	<p><b>PR-CGMS C-001</b> Revision: 1.0 Effective Date: <b>05/21/2010</b></p>
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APPROVAL SIGNATURES		DATE
J. Robert Galvin, M.D., M.P.H. (original signature on file)	Commissioner of Public Health	05/21/2010

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

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

	<h2>False Claims Act (Procedure)</h2>	<p><b>PR-CGMS C-001</b>  <b>Revision: 1.0</b>  <b>Effective Date:</b>  <b>05/21/2010</b></p>
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### 1.0 Purpose

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

### 2.0 Scope

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

### 3.0 Definitions and Acronyms

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

#### 3.1 Acronyms

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

#### 3.2 Definitions

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

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


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

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

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

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

Subcontractor – See "Contractor or Agent" above.

	<h2>False Claims Act (Procedure)</h2>	<p><b>PR-CGMS C-001</b>  <b>Revision: 1.0</b>  <b>Effective Date:</b>  <b>05/21/2010</b></p>
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#### 4.0 Process

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

**4.1.1** The Department's Human Resources staff shall present and provide all newly hired Department employees with a copy of the False Claims Act Policy and Procedure during the new employee orientation.

**4.1.2** Each new Department employee must acknowledge receipt of the False Claims Act Policy and Procedure by signing an acknowledgement that they received it. The acknowledgement shall be maintained in their personnel file.

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

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

##### 4.3 Dissemination to Contractors and Qualified Providers

**4.3.1** CGMS shall include the Department's False Claims Act Policy and Procedure in all POS contracts between the Department and its contractors and agents.

**4.3.2** Contractors and agents shall inform all employees providing services funded by the contract of the policy and procedure and obtain acknowledgement of receipt.

**4.3.3** Execution of the contract by a contractor or agent, via authorized signature, shall indicate acceptance of and compliance with the Department's False Claims Policy and Procedure in accordance with Part II, Section C.4, (Terms and Conditions, Contractor Obligations, Federal Funds) of the POS Contract.

**4.3.4** Contractors and agents under contract with the Department shall inform all subcontractors, providing services funded by the contract, of the policy and procedure and obtain acknowledgement of receipt either via inclusion of a contract term/condition in the sub-contractual agreement as in 4.3.3 above, and execution of such subcontract, or via separate acknowledgement.

#### 5.0 Records

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

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

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

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

### CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

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

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

On and after January 1, 2011, no state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall **knowingly solicit** contributions from the state contractor's or prospective state contractor's employees or from a *subcontractor* or *principals of the subcontractor* on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

### DUTY TO INFORM

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

### PENALTIES FOR VIOLATIONS

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

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

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

### CONTRACT CONSEQUENCES

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

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

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

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

## DEFINITIONS

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

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

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

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

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

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

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

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

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

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

<b>Preliminary Review Team Technical Review Criteria Worksheet CT Healthy Communities Project - DPH RFP Log #2019-0910</b>	
<b>Applicant:</b>	
<u>Criteria</u>	<u>Max Pts.</u>
<b>Applicant Organizational Requirements and Profile:</b> The extent to which the applicant has provided and/or demonstrated:	
a brief overview of the history and structure of the organization how the proposal will fit into the applicant organization's overall mission and meet the intent of the RFP	<b>10</b>
a description of its entity type and years of operation	
a description of: • the current range of services provided by the applicant organization that are relevant to the RFP • the populations served by the applicant organization	
• their role in and experience with coordinating, conducting, implementing, or facilitating activities to improve nutrition and promote breastfeeding, including successes and challenges • recent (past 3 years) participation in coalition(s) with community stakeholders to collaborate on initiatives related to the RFP • experience developing and implementing communities initiatives to address health disparities, including successes and challenges • experience managing grants and describing the applicant's organizational capacity and support to successfully administer the project	
a description of the applicant's data and technology capabilities including email and internet capability; IT infrastructure; and ability to collect, store, and report data	
<b>Service Requirements - Scope of Services:</b> The extent to which the applicant has:	
• defined the community represented • demonstrated the community needs based on resident demographics, socioeconomic status, disease burden, etc. • described how the activities proposed will target at-risk populations • outlined how activities will be coordinated internally and externally to align initiatives, leverage resources, and reduce duplication • described how existing coalitions will support the activities included in the proposal • included Letters of Support as an Appendix	<b>30</b>
described how the applicant will implement the required food service guidelines strategy including: • the plan for: o recruiting worksites and community sites and obtaining a written commitment to implementing FSGs o facilitating and supporting implementation of venue-appropriate FSGs at each recruited site o monitoring implementation of FSGs using venue-appropriate tools • the number of sites targeted each year, number of individuals impacted, and number and types of venues addressed	
demonstrated that implementation of FSGs totaled 75% effort	
selected at least one breastfeeding strategy to implement, and: • if selected, for interventions supportive of breastfeeding that address maternity care practices in birthing facilities and environmental supports in community sites and health care practices: o described the plan to expand on the It's Worth It! breastfeeding campaign o described how the applicant will recruit health care practices in their community to participate in DPH-sponsored education and professional development and connect those practices to DPH and our partners. • if selected, for interventions supportive of breastfeeding that address continuity of care/community support: o described the plan to recruit FQHCs or community groups to participate in Secrets of Baby Behavior that have not yet been trained or to receive follow-up technical assistance o described the plan to create a breastfeeding support group that meets the needs of at-risk families including specifics about support group model selection, logistics, and implementation • if selected, for interventions supportive of breastfeeding that address workplace compliance with the state and federal lactation accommodation law: o described the plan for promoting the Breastfeeding Friendly Worksite recognition program to worksites and the Breastfeeding Friendly Child Care recognition program to child care programs and recruiting sites to work with DPH and our partners to achieve recognition	
demonstrated that implementation of breastfeeding strategies totaled 25% effort	
• described how the applicant will: o develop a communication plan, in collaboration with DPH, to promote CT HCP initiatives. o align selected breastfeeding strategy(ies) with the FSGs strategy o monitor and track progress for CT HCP initiatives. o collect and report data throughout the contract period to DPH	

<b>Staffing Requirements – Staffing Plan:</b> The extent to which the applicant has described, identified, or included:	
the staff assigned as the coordinator, for a minimum of 0.25 FTE	<b>15</b>
all staff assigned to the project, regardless of funding source	
for each staff person identified above, the following was provided: <ul style="list-style-type: none"> <li>• a description of the individual’s role in the project</li> <li>• the extent to which he or she has appropriate training, qualifications, credentials and experience to perform assigned duties</li> <li>• the number of hours dedicated to this program per staff person, per week</li> </ul>	
a Position Schedule 2a, full job descriptions for all staff, and resumes/CVs for all professional staff are included in Attachments or as an Appendix	
If subcontractors are proposed, the services to be provided by subcontractors, oversight plan for subcontractors, completed Subcontractor Schedule A-Detail Form for each proposed subcontractor if known at the time of application, are included	
<b>Work Plan:</b> The extent to which the applicant:	
completed one work plan per strategy for the first funding period (9/30/19-9/29/20)	<b>25</b>
created a work plan form for each strategy that: <ul style="list-style-type: none"> <li>• is comprehensive and realistic</li> <li>• is consistent with the proposal and project's goals</li> <li>• includes specific details, timeframes, and responsible parties for activities</li> <li>• identifies milestones</li> <li>• outlines tasks to be performed by subcontractors</li> </ul>	
included a high-level narrative for each strategy outlining the second year's proposed activities which is consistent with the first year work plan and the project's goals	
<b>Cost Proposal Component:</b> The extent to which the applicant:	
describes the staff responsible for tracking and reporting financial expenditures	<b>20</b>
includes the required budget narrative details which: <ul style="list-style-type: none"> <li>• explains all line item costs</li> <li>• includes a detailed breakdown of included administrative and general costs</li> <li>• does not include taxes</li> </ul>	
proposes a competitive budget for the project which does not exceed \$50,000 per year	
includes completed budget forms from the Attachments	
<b>TOTAL</b>	<b>100</b>