The Department of Mental Health and Addiction Services (DMHAS), Prevention Services Unit announces the availability of funds to develop, implement and assess comprehensive and coordinated educational programs and school policies designed to raise awareness of tobacco risks and prevent use among students in grades 1 through 8 in Connecticut schools.

**Funding**

One-time funds totaling $300,000 will be available to support one to two awards beginning August 1, 2008. Awardee(s) will have up to two years from the start date of the project to complete the project.

**Eligibility**

Proposals will be accepted from public or private not for profit organizations including public or parochial schools and community based agencies. Any combination of these public or private entities with the exception of State agencies may apply. Applications may be submitted to implement projects in a single school, several schools within a district or an entire school district.

**Closing Date**

Candidates seeking grant funds are required to submit an original and five copies of the completed proposal. **Proposals must be received at DMHAS by 4:00 p.m. on Friday, May 23, 2008.**

**Place Due**

Completed proposals must be sent to:

Department of Mental Health & Addiction Services  
410 Capitol Avenue, MS 14PIT  
Hartford, Connecticut 06134  
Attention: Carol Meredith, Assistant Director of Prevention Services

**Further Information**

The Connecticut Tobacco Education and Prevention Program (CT TEPP) for Children/Youth Grades 1-8 request for proposals (RFP) application may be downloaded from the DMHAS website at the following address: [www.ct.gov/dmhas/rfp](http://www.ct.gov/dmhas/rfp). All questions regarding this RFP must be submitted in writing through the DMHAS website by April 11, 2008. All questions and responses will be provided through the DMHAS website by April 18, 2008.
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SECTION I. PROGRAMMATIC GUIDANCE

A. BACKGROUND

The 2000 Governor’s Prevention Initiative for Youth (GPIY) Student Survey reported a six year decline in the rate of cigarette use among individuals age 12 and older. At that time, 12% of 7th-8th graders and 22% of 9th-10th were current users. These rates were significantly lower than those found by a previous student survey conducted in 1997. The 2000 GPIY survey reflected the first time in a decade that cigarette smoking among 7th-10th graders in Connecticut matched the national average. As further proof that tobacco prevention efforts have worked in Connecticut, the percentage of merchants willing to sell tobacco products to minors has decreased from 69% in 1996 to 10.7% in 2005. Despite these encouraging signs, approximately 54,000 of Connecticut’s middle and high school students use tobacco (CT School Health Survey (CSHS), 2005). Approximately 20% of Connecticut high school students who have ever smoked a whole cigarette began smoking at age 11. Further, nearly 15% of both middle and high school students who have never smoked indicated that they would consider smoking a cigarette during the next year. According to the U.S. Centers for Disease Control and Prevention (CDC), if this trend of smoking initiation before the age of 18 continues, an estimated 5 million children who are living today will die prematurely as adults because they began smoking cigarettes during adolescence.

Data also suggest that parental or adult involvement can have a positive impact on youth behavior. Middle school students who are current smokers report spending less time under adult supervision than their non-smoking peers. Additionally, current smokers reported that smoking made them “look cool” and “fit in” while the non-smokers maintained negative perceptions of smoking.

As a result of the compelling need to address underage tobacco use presented by the data, the Connecticut General Assembly during the 2007 legislative session awarded $300,000 of the funds appropriated to the Tobacco and Health Trust Fund for the Department of Mental Health and Addiction Services (DMHAS). To prevent tobacco use and address the negative impact and hazards of tobacco use by Connecticut’s youth, the Department decided to use this funding to invest in school-based prevention programs derived from best practices, current research and evaluation findings through the Connecticut Tobacco Education and Prevention Program (CT TEPP).

B. STATEMENT OF PURPOSE

Consistent with the goals of the Connecticut Department of Public Health (DPH) and DMHAS Tobacco Use Prevention and Control Plan, the overall purpose of the Connecticut Tobacco Education and Prevention Program (CT TEPP) is to increase
awareness of the harmful effects of smoking and decrease tobacco use among Connecticut youth in grades 1-8. Because they offer an opportunity for on-going education and skills training to prevent initiation of problem behaviors, schools are ideal settings for tobacco use prevention programs. Applicants for the CT TEPP, through this RFP process, are being asked to develop, implement and assess comprehensive and coordinated educational programs and school policies designed to prevent tobacco use. Such programs must address the following recommendations for school-based tobacco prevention programs defined by the CDC (Guidelines for School Health Programs to Prevent Tobacco Use and Addiction, February 1994):

- The development and/or enforcement of a school policy on tobacco use for students, faculty and school personnel;
- The development of a tobacco use prevention curriculum that addresses the physiological and social consequences of short and long-term use, perceptions and norms and refusal skills;
- The training of teachers and staff to deliver the curriculum;
- The development of a referral process for youth smokers to cessation programs;
- Parental and family education and involvement including a campaign to prevent smoking at home;
- Assessing the overall education program for effectiveness in reducing youth smoking; and,
- The development and dissemination of a replication manual to other schools across the state.

Eligibility for the CT TEPP RFP will be restricted to the entities identified on page 1, working with projects in a single school, several schools within a district or an entire school district targeting youth in grades 1-8. It is anticipated that a one-time award of $300,000 will be provided to support one or two comprehensive school-based programs. The successful applicant(s) will have two years from the project’s start date to compete the project and must report program data as required by DMHAS.
A. APPLICATION SUBMISSION AND PROCEDURES

1. The applicant must provide one original proposal and five copies no later than 4:00 p.m. on Friday, May 23, 2008 to:

   Department of Mental Health & Addiction Services
   410 Capitol Avenue, MS 14PIT
   Hartford, Connecticut 06134
   Attention: Carol Meredith, Assistant Director of Prevention Services

2. All applicants must use the attached application forms to respond to this RFP.

3. The project title and name of the applicant must appear on the upper right hand corner of each page of the application.

4. The application must be completed in 12-point font, single-spaced with all pages numbered.

5. Excessive, oversized, or odd-sized attachments must not be included.

6. Notification of the proposal review outcome will be mailed to all applicants by June 26, 2008. The expected contract execution date is August 1, 2008.

7. Applications received will be screened for completeness and compliance with instructions for submission. An application will not be accepted for review and will be returned to the applicant if:
   a. The applicant organization is ineligible,
   b. It is received after the specified receipt date,
   c. It is incomplete,
   d. It is illegible,
   e. It does not conform to the application submission procedures, or
   f. It is not responsive to the description of services to be provided.

B. CONTRACTOR INFORMATION

On the face sheet of the application form each applicant must provide the legal name, corporation status, and contact information for their agency. Contact information for the person(s) handling programmatic concerns and fiscal issues must also be provided. Please also indicate whether or not the applicant agency is registered as a Connecticut Minority Business Enterprise and/or Women Business Enterprise.

C. DESCRIPTION OF SERVICES TO BE PROVIDED

The description of services to be provided should be completed in a concise narrative, not to exceed five (5) pages, and must describe the applicant’s plan to achieve the following CDC recommended strategies:
1. **Develop School Policy**

Develop and enforce a school policy on tobacco use. The policy, developed in collaboration with students, parents, school staff, health professionals, and school boards, should:

- Prohibit students, staff, parents, and visitors from using tobacco on school premises, in school vehicles, and at school functions.
- Prohibit tobacco advertising (e.g., on signs, T-shirts, or caps or through sponsorship of school events) in school buildings, at school functions, and in school publications.
- Require that all students receive instruction on avoiding tobacco use.
- Provide access and referral to cessation programs for students and staff.
- Refer students who violate tobacco-free policies to cessation programs as an alternative to other disciplinary action.

**Outcome Measures:**

- Development and regular enforcement of tobacco-free policies on school grounds
- Reduction in/elimination of tobacco use on school grounds
- Decrease in/elimination of tobacco advertising in school buildings and on school grounds
- Reduction in/elimination of suspensions and expulsions due to tobacco policy violations

2. **Develop Curriculum and Provide Instruction**

Provide instruction about the short- and long-term negative physiologic and social consequences of tobacco use, social influences on tobacco use, peer norms regarding tobacco use, and refusal skills. This instruction should:

- Decrease the social acceptability of tobacco use and show that most young people do not smoke.
- Help students understand why young people start to use tobacco and identify more positive activities to meet their goals.
- Develop students’ skills in assertiveness, goal setting, problem solving, and resisting pressure from the media and peers to use tobacco.

Applicants are encouraged to review existing programs that have some evidence of effectiveness in reducing youth risk behaviors for students in grades 1–8. Programs that only discuss tobacco’s harmful effects or attempt to instill fear do not prevent tobacco use. Please refer to *Appendix B – Additional Resources for Applicants* for more information on evidence-based programs.
This instruction should be introduced in elementary school and intensified in higher grades as students get exposed to older students who typically use tobacco at higher rates.

This curriculum should be at least 5 sessions per year over a 2-year period. The design and/or selection of the curriculum should be actively informed by students.

This curriculum should refer to school policies and social marketing and acknowledge the diluted and confusing strategies and messages promoted by tobacco companies.

This curriculum must encompass standards from the *Healthy and Balanced Living Curriculum Framework* (Appendix B), that support and guide students personal and academic achievements that lead to healthy and balanced lives.

**Outcome Measures:**

- An increase in the age of initiation for tobacco use
- A decrease in tobacco use by students in all grades
- A decrease in the number of youth who initiate tobacco use

3. **Provide Training**

Provide program-specific training on tobacco-use prevention for teachers or other school personnel. The training should include reviewing the curriculum, modeling instructional activities, and providing opportunities to practice implementing the lessons. Well-trained peer leaders or community service providers can be an important adjunct to teacher-led instruction.

**Outcome Measure:**

- Increased number of teachers and staff trained and able to teach selected tobacco use prevention curriculum

4. **Refer to Tobacco-Use Cessation Programs**

Develop a process for referring students and school staff who use tobacco to appropriate cessation programs rather than punishing them for violating tobacco-use policies. Community cessation programs should be identified and follow-up to referrals should be made.

**Outcome Measures:**

- A formal process for referring students, faculty and staff to tobacco cessation services
- Increased number of student smokers who quit smoking or are trying to quit
- Increased number of referrals to tobacco cessation services

5. **Involve Family Members**

Involve parents and families in supporting school-based programs to prevent tobacco use by:

- Promoting discussions at home about tobacco use by assigning homework and projects that involve families.
6. **Evaluate Efforts**

Assess the tobacco-use prevention program at regular intervals to determine the extent to which program components are effective and to what degree training and technical assistance are necessary to provide the desired outcomes. To assess effectiveness, the following questions should be addressed:

- Is a comprehensive policy in place that addresses the total school environment?
- Does the curriculum foster the necessary knowledge, behaviors, attitudes and skills to prevent tobacco use?
- Is the grade emphasis for the tobacco curriculum consistent with research and survey data?
- Is adequate training provided for individuals teaching the curriculum?
- Are parents, other family members and school personnel involved in all phases of the program?

7. **Replicate and Disseminate**

Develop and distribute a manual with guidelines for program implementation and lessons learned to other schools wishing to implement the program.

**Outcome Measure:**

- Increased number of school districts in the state with comprehensive tobacco use prevention programs

D. **BUDGET**

The proposal must contain an itemized budget with justification for each line item on the budget form included in the application (Appendix D). All costs (travel, printing, supplies, etc.) must be included in the contract price. Note that indirect costs must not exceed 18%. While cash match and in-kind support are not required, competitiveness of the budget will be considered as part of the proposal review process. The proposed budget should be consistent with the Connecticut Office of Policy and Management (OPM) Cost Standards, which can be found at the following website:

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. The maximum amount of the bid cannot be increased after the proposal is submitted.

The applicant must identify and provide names, addresses, and phone numbers of all potential subcontractors (if applicable) used to meet the services required for this RFP.

E. MANAGEMENT AND IMPLEMENTATION PLAN

The Management and Implementation Plan serves as a blueprint for coordinating and directing all program tasks. For each of the seven recommended strategies in the Description of Services to Be Provided (Section IIC), the plan must describe objectives, activities, staff person responsible, and a timetable. Taken together, they represent the primary tasks to be undertaken by the applicant in planning, developing, implementing and evaluating the proposed programs and policies.

F. TABLE OF ORGANIZATION

The Table of Organization must reflect all staff, collaborators and supporters of the program, their relationship to each other and the percentage of time dedicated to the program.

A description of staff positions and résumés must accompany the Table of Organization.

G. ASSURANCES

Any prospective applicants must be willing to adhere to the following requirements by providing a duly authorized signature in the corresponding sections of the application (Appendix D):

- Conditions
- Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contributions and Solicitation Ban
- Consulting Agreement Affidavit

SECTION III. REVIEW CRITERIA

The Department of Mental Health and Addiction Services will establish a committee to review and evaluate proposals. Applications will undergo three levels of review in accordance with the procedures described below.

A. LEVEL ONE

Applications will be screened for completeness and compliance with application submission procedures and instructions. Applications that fail to include all required
components will be deemed incomplete and removed from further review considerations. Level one criterion is:

- Timeliness
- Eligibility of Applicant
- Completeness of application
- Compliance with submission procedures

B. LEVEL TWO

The Review Committee will review proposals that meet all submission requirements for technical merit. Reviewers will look for evidence that all required service components are included and assess how well each is addressed. Points will be awarded on a scale of 0 to 5 by each reviewer for each criterion, with 0 being the lowest score and indicating that a criterion has not been met, and 5 being the highest score and indicating that a criterion has been met and/or surpassed. A predetermined weight has been assigned to each criterion as a measure of its importance. These weights have been predetermined. An application will be deemed competitive if it obtains at least 75% of the maximum allowable score under the technical review criteria. Level two criteria are:

- A comprehensive Description of Services to Be Provided
- A realistic Management and Implementation Plan
- A clear and detailed Budget

C. LEVEL THREE

Applications recommended for approval based on level two technical merit review will be further evaluated on the following additional criteria:

- Past prevention experience with projects similar to this RFP
- Collaborative support for the project

The Review Committee will make recommendations concerning the selection of one to two proposals for funding. Following the final selection, a Personal Service Agreement will be developed between the applicant and the Department that details services to be provided, budget, and reporting requirements. No financial obligation by the State can be incurred until a contract is fully executed.

SECTION IV. CONTACT FOR ADDITIONAL INFORMATION

DMHAS Website www.ct.gov/dmhas/rfp

Department of Mental Health & Addiction Services
410 Capitol Avenue, MS14PIT Hartford, Connecticut 06134
Attention: Carol Meredith, Assistant Director of Prevention Services
All questions regarding this RFP must be submitted in writing through the DMHAS website by April 11, 2008. All questions and responses will be provided through the DMHAS website by April 18, 2008.
SECTION V. REFERENCES


## APPENDIX A. REVIEW INSTRUMENT

<table>
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<tr>
<th>Applicant Name:</th>
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<td>Requested Amount:</td>
<td>Reviewer:</td>
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### LEVEL 1 REVIEW – MINIMUM REQUIREMENTS

#### A. TIMELINESS

**Date and Time Received**

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#### B. COMPLETENESS OF APPLICATION – *The following are completed and included in proposal:*

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<td>3. Program Narrative (<em>Exceeds 5 pages?</em>)</td>
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<td>6. Management and Implementation Plan</td>
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<td>7. Table of Organization and Staff Résumés</td>
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C. COMPLIANCE WITH SUBMISSION AND PROCEDURES – *The following requirements have been met:*

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D. ELIGIBILITY – *Applicant is:*

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Applications indicating “no” on any of the above items will be deemed incomplete or ineligible and removed from further review.

Has above applicant met minimum requirements?    ☐ Yes          ☐ No
STATE OF CONNECTICUT
DEPARTMENT OF MENTAL HEALTH AND ADDICTION SERVICES
CONNECTICUT TOBACCO EDUCATION AND PREVENTION PROGRAM (CT TEPP)
REQUEST FOR PROPOSALS

LEVEL 2 REVIEW – TECHNICAL MERIT

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A. DESCRIPTION OF SERVICES TO BE PROVIDED – Applicant soundly, clearly and concisely proposes
(Note that the bulleted statements represent important considerations for reviewers in assigning a score for each required component):

1. The development and/or enforcement of a school policy on tobacco use for students, faculty and school personnel
   • Policy will be developed in collaboration with students, parents and school personnel
   • Policy will prohibit tobacco use and advertising on school premises and at school functions
   • Policy will provide for instruction to students on tobacco use prevention
   • Policy will provide for referral to other programs for students and staff that use tobacco
   $$\text{Score} \times \text{3} = \text{total}$$

2. The development of a tobacco use prevention curriculum
   • Curriculum will address the psychological and social consequences of tobacco use, peer norms and refusal skills
   • Curriculum will refer to school policy
   • Curriculum will be designed for introduction in elementary school and intensified in
higher grades
- Curriculum will address social marketing and the strategies and messages from the tobacco industry
- Curriculum integrates standards from the Healthy and Balanced Living Curriculum Framework

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3. Teacher and staff training
- A detailed plan to train school staff, student peer leaders and/or community service providers on the curriculum is included
- Training will include curriculum review, modeling activities and practice guidelines

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4. The development of a referral process
- Community cessation programs will be identified
- A formal referral process will be in place for school students, faculty and staff

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5. Parental and family education and involvement
- Homework addressing tobacco use will be assigned that will involve family members
- A campaign to prevent smoking at home will be developed
- A plan for parental participation in community events to prevent tobacco use and addiction will be developed

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6. Assessing the overall education program for effectiveness and method(s) of assessment
   • Evaluation will assess the comprehensiveness of the smoking policy
   • Evaluation will assess changes in student knowledge, behavior and attitudes regarding tobacco use prevention
   • Evaluation will assess the degree to which curriculum is consistent with research and survey data
   • Evaluation will assess the adequacy of the training for individuals teaching the curriculum
   • Evaluation will assess involvement of family members, school personnel and students in all phases of the program

\[ \text{Score} \times 4 = \text{Total} \]

6. The development and dissemination of a replication manual
   • A manual with guidelines for program development, implementation and lessons learned will be developed
   • A plan to distribute the manual will be developed

\[ \text{Score} \times 2 = \text{Total} \]
### B. MANAGEMENT AND IMPLEMENTATION PLAN

1. Objectives are consistent with those in the RFP  
2. Clear description of how project will be managed  
3. Roles and responsibilities of project staff clear  
4. Résumés demonstrate the staff have appropriate qualifications and experience to accomplish assigned objectives  
5. Timelines for the implementation of project activities are reasonable

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### C. CLEAR AND DETAILED BUDGET

1. Competitiveness of budget  
2. Realistic well-justified budget  

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**TOTAL SCORE – LEVEL 2 TECHNICAL MERIT: ______________________**  
*(Total possible score = 120)*

Applicant must obtain at least 75% of the maximum allowable score under level 2 (90) to be reviewed under level 3.
### LEVEL 3 REVIEW – ADDITIONAL CRITERIA

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**A. PAST PREVENTION EXPERIENCE WITH SIMILAR PROJECTS**

1. Applicant has previous experience in managing proposed programs
2. Applicant has experience working in a school setting and with school-based professionals, students and teachers
3. Applicant has experience in curriculum development and delivery
4. Applicant has experience in policy development

---

**B. SUPPORT FOR PROJECT**

1. Application reflects collaboration with stakeholders
2. Letter(s) from collaborators, including all participating schools, having a role in the project are included

---

**TOTAL SCORE – LEVEL 3 – ADDITIONAL CRITERIA: ________________**

(Total possible score =10)

**TOTAL OVERALL SCORE: ________________**
APPENDIX B. ADDITIONAL RESOURCES FOR APPLICANTS

1. To view the Healthy and Balanced Living Curriculum Framework, which includes the state standards for health and physical education, go to:


2. For more information about Federal and State tobacco laws go to:

   www.prevention.samhsa.gov/tobacco

   www.ct.gov/dmhas/cwp/view.asp?a=2912&q=386592

3. For more information about the DMHAS, Tobacco Prevention and Enforcement Program go to:

   www.ct.gov/dmhas/tpep

4. To view Operating Standards for DMHAS funded Prevention & Health Promotion Programs go to:


5. To view information on effective model programs and learn more about the National Registry of Evidence-based Programs and Practices (NREPP) go to:

   www.modelprograms.samhsa.gov
APPENDIX C. APPLICATION INSTRUCTIONS

The CT Tobacco Education and Prevention Program (CT TEPP) for Children/Youth Grades 1-8 RFP application may be downloaded from the DMHAS website at the following address: www.ct.gov/dmhas/rfp.

INSTRUCTIONS FOR CONTRACTOR INFORMATION – FACE SHEET

Section 1: Name and address of organization designated to receive funds (fiduciary agent) as filed with the Secretary of State’s Office. Provide Federal Employer Identification Number (FEIN) and total funding requested.

Section 2: Indicate whether or not the agency is incorporated and the type of agency applying for funding.

Section 3: Indicate if the applicant agency is registered as a Connecticut Minority Business Enterprise and/or Women Business Enterprise.

Section 4: Name, title, telephone number, Internet mail address (if available), and fax number of programmatic contact person.

Section 5: Name, title, telephone number, Internet mail address (if available), and fax number of fiscal contact person.

Section 6: A person who is authorized by the Applicant’s Governing Body to apply for funds must sign the application. This should be the same person who will sign the contract.

INSTRUCTIONS FOR TABLE OF CONTENTS

Provide a Table of Contents outlining the sections of the Application and required attachments.

INSTRUCTIONS FOR PROGRAM NARRATIVE

Provide a complete and concise description of the proposed project. The narrative pages must be numbered consecutively; contain the names of the project and applicant in the upper right hand corner of each page; and must not exceed 5 pages. The narrative description must be consistent with the Description of Services to Be Provided (Section II C), Budget Justification (Section II D) and, Management and Implementation Plan (Section II E) of the RFP.

INSTRUCTIONS FOR BUDGET REQUEST

Applicants must use the attached Budget Request form in completing the budget proposal. The budget should be divided into five major categories of cost: personnel, fringe benefits, consultants, operating costs, and occupancy. Revenues should be listed and sources identified. In developing your budget plan, consider all expenditures anticipated to successfully execute your proposal. Note that cash match and in-
kind contributions must be reflected but are not required. The proposed budget should be consistent with the Connecticut Office of Policy and Management (OPM) Cost Standards, which can be found at the following website: www.ct.gov/opm/cwp/view.asp?a=2981&Q=382994&opmNav_GID=1806

INSTRUCTIONS FOR BUDGET JUSTIFICATION

The Budget Justification narrative should explain specific costs listed in the Budget Request as well as any funding sources that will provide a cash match or in-kind contribution. Specifically describe what services are received by the project in return for each fee.

Indirect Costs: Explain the basis for any overhead fee charged by a fiscal agent (regardless whether that agent is the applicant or an outside entity hired by the applicant). Note that this fee must not exceed 18% of the total budget.

INSTRUCTIONS FOR MANAGEMENT AND IMPLEMENTATION PLAN

Consistent with the Description of Services to Be Provided (Section II C), describe the following for each strategy:

1. Objectives – Specify the objectives that correspond to the service component

2. Activities – List all major activities needed to fulfill each objective. It may be necessary to use more than one page. Activities are specific tasks required to accomplish objectives.

3. Staff Responsible – Indicate the staff responsible for the completion of each activities and/or objectives.

4. Time Frame – Indicate specific time frames for completion of each activity and objective.

INSTRUCTIONS FOR TABLE OF ORGANIZATION AND STAFF RÉSUMÉS

Chart how the project will be organized including all staff, subcontractors, collaborators and supporters of the program, their relationship to each other, and the percentage of time dedicated to the program. A description of staff positions must accompany the Table of Organization and résumés must be attached.

INSTRUCTIONS FOR ASSURANCES

The completed application must include a signed copy of the Conditions; Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contributions and Solicitation Ban; and Consulting Agreement Affidavit indicating adherence to these requirements.
INCLUSION OF APPENDICES

Applicants may include appendices to support their proposal. Appendices must be attached to the back of the RFP application and numbered consecutively. Although appendices are not limited in page number, they cannot be used to extend the narrative. Appendices must include letters of support and may include, but are not limited to samples of products and literature citations.
APPENDIX D. APPLICATION

<table>
<thead>
<tr>
<th>PROJECT TITLE:</th>
<th>APPLICANT NAME:</th>
</tr>
</thead>
</table>

## TABLE OF CONTENTS

- CONTRACTOR INFORMATION - FACE SHEET
- PROGRAM NARRATIVE
- ANNUAL BUDGET REQUEST
- BUDGET JUSTIFICATION
- MANAGEMENT AND IMPLEMENTATION PLAN
- TABLE OF ORGANIZATION AND STAFF RÉSUMÉS
- ASSURANCES
- APPENDICES
## CONTRACTOR INFORMATION – FACE SHEET

<table>
<thead>
<tr>
<th>1.</th>
<th>APPLICANT AGENCY <em>(Legal name &amp; address of organization as filed with the Secretary of the State)</em></th>
</tr>
</thead>
<tbody>
<tr>
<td>2.</td>
<td>INCORPORATED</td>
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<tr>
<td>3.</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
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<td></td>
<td>Yes</td>
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<tr>
<td>4.</td>
<td>CONTACT PERSON PROGRAMMATIC <em>(Name)</em></td>
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<td>TITLE</td>
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<tr>
<td>5.</td>
<td>CONTACT PERSON FINANCIAL <em>(Name)</em></td>
</tr>
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<td></td>
<td>TITLE</td>
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</tbody>
</table>

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

<p>| 6. | NAME AND TITLE | SIGNATURE | DATE |</p>
<table>
<thead>
<tr>
<th>PROJECT TITLE:</th>
<th>APPLICANT NAME:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Narrative not to exceed 5 pages:</td>
<td>page 1 of 5</td>
</tr>
</tbody>
</table>

**PROGRAM NARRATIVE**
Narrative not to exceed 5 pages:

PROGRAM NARRATIVE
Narrative not to exceed 5 pages:
Narrative not to exceed 5 pages:
## BUDGET REQUEST

<table>
<thead>
<tr>
<th>CATEGORIES</th>
<th>IN-KIND</th>
<th>CASH MATCH</th>
<th>AMOUNT</th>
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<tr>
<td>Personnel:</td>
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<td>Fringe Benefits:</td>
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<td>Subcontracts:</td>
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<td>Operating Costs:</td>
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<td>Postage</td>
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<td>Telephone</td>
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<td>Printing</td>
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<td>Equipment</td>
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<td>Materials</td>
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<td>Utilities</td>
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<td>Professional Liability</td>
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<td>Insurance</td>
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<tr>
<td>Repair and Maintenance</td>
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<tr>
<td><strong>Total Direct Costs</strong></td>
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<td><strong>Indirect Cost (Rate ____%)</strong></td>
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<tr>
<td><strong>TOTAL BUDGET REQUESTED</strong></td>
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</table>
PROJECT TITLE:  
APPLICANT NAME:

Provide a budget justification narrative corresponding to each budget request year.

| BUDGET JUSTIFICATION |
Consistent with the *Description of Services to Be Provided (Section II C)* each service component has been identified. For each service component outline your program's objectives, activities, the staff person responsible for carrying out these activities, and a timetable for completion.

<table>
<thead>
<tr>
<th>Service Component:</th>
<th>Develop and/or enforce a school policy on tobacco use for students, faculty and school personnel</th>
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</thead>
<tbody>
<tr>
<td><strong>Objective</strong></td>
<td><strong>Activities</strong></td>
</tr>
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</tbody>
</table>
Consistent with the *Description of Services to Be Provided (Section II C)* each service component has been identified. For each service component outline your program's objectives, activities, the staff person responsible for carrying out these activities, and a timetable for completion.

<table>
<thead>
<tr>
<th>Service Component: Develop a tobacco use prevention curriculum</th>
<th>Objective</th>
<th>Activities</th>
<th>Staff Responsible</th>
<th>Timetable</th>
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</thead>
<tbody>
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</table>
Consistent with the *Description of Services to Be Provided (Section II C)* each service component has been identified. For each service component outline your program's objectives, activities, the staff person responsible for carrying out these activities, and a timetable for completion.

**Service Component:**  Train teachers and staff to deliver the tobacco use prevention curriculum

<table>
<thead>
<tr>
<th>Objective</th>
<th>Activities</th>
<th>Staff Responsible</th>
<th>Timetable</th>
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</table>
Consistent with the *Description of Services to Be Provided (Section II C)* each service component has been identified. For each service component outline your program's objectives, activities, the staff person responsible for carrying out these activities, and a timetable for completion.

<table>
<thead>
<tr>
<th>Service Component:</th>
<th>Develop a referral process for students, faculty and staff who smoke</th>
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</thead>
<tbody>
<tr>
<td><strong>Objective</strong></td>
<td><strong>Activities</strong></td>
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</tbody>
</table>
Consistent with the *Description of Services to Be Provided (Section II C)* each service component has been identified. For each service component outline your program's objectives, activities, the staff person responsible for carrying out these activities, and a timetable for completion.

**Service Component:** Involve parents and other family members in tobacco use prevention efforts and develop a campaign to prevent smoking at home

<table>
<thead>
<tr>
<th>Objective</th>
<th>Activities</th>
<th>Staff Responsible</th>
<th>Timetable</th>
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</table>

D-14
PROJECT TITLE:  

APPLICANT NAME:  

MANAGEMENT AND IMPLEMENTATION PLAN

Consistent with the Description of Services to Be Provided (Section II C) each service component has been identified. For each service component outline your program's objectives, activities, the staff person responsible for carrying out these activities, and a timetable for completion.

Service Component:  Assess tobacco use prevention programs and strategies for effectiveness in reducing youth smoking

<table>
<thead>
<tr>
<th>Objective</th>
<th>Activities</th>
<th>Staff Responsible</th>
<th>Timetable</th>
</tr>
</thead>
</table>

D-15
Consistent with the *Description of Services to Be Provided (Section II C)* each service component has been identified. For each service component outline your program's objectives, activities, the staff person responsible for carrying out these activities, and a timetable for completion.

<p>| Service Component: Develop a replication manual and dissemination plan for other schools across the state |
|---------------------------------------------------------|---------------------------------|------------------|------------------|
| <strong>Objective</strong>                                           | <strong>Activities</strong>                  | <strong>Staff Responsible</strong> | <strong>Timetable</strong>    |
|                                                         |                                 |                   |                  |
|                                                         |                                 |                   |                  |
|                                                         |                                 |                   |                  |</p>
<table>
<thead>
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<th>PROJECT TITLE:</th>
<th>APPLICANT NAME:</th>
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**TABLE OF ORGANIZATION AND STAFF RÉSUMÉS**
a) CONDITIONS:

- **Conformance with Statutes.** Any contract awarded as a result of this RFP must be in full conformance with statutory requirements of State of Connecticut and the Federal Government.

- **Ownership of Subsequent Products.** Any product, whether acceptable or unacceptable, developed under a contract awarded, as a result of this RFP is to be sole property of the Department unless stated otherwise in the RFP or contract.

- **Timing and Sequence.** Timing and sequence of events resulting from this RFP will ultimately be determined by DMHAS.

- **Oral Agreement.** Any alleged oral agreement or arrangement made by an applicant with any agency or employee will be superseded by a written agreement.

- **Amending or Canceling Requests.** DMHAS reserves the right to amend or cancel this RFP, prior to the due date and time, if it is in the best interest of DMHAS and the State.

- **Rejection for Default or Misrepresentation.** DMHAS reserves the right to reject the proposal of any applicant that is in the default of any prior contract or for misrepresentation.

- **Department's Clerical Errors in Awards.** DMHAS reserves the right to correct inaccurate awards resulting from its clerical errors.

- **Rejection of Qualified Proposals.** Proposals are subject to rejection in whole or in part if they limit or modify any of the terms and conditions and/or specifications of the RFP.

- **Applicant Presentation of Supporting Evidence.** An applicant, if requested, must be prepared to present evidence of experience, ability, service facilities, data reporting capabilities, and financial standing necessary to satisfactorily meet the requirements set forth or implied in the proposal.

- **Changes to Proposal.** No additions or changes to the original proposal will be allowed after submittal. While changes are not permitted, clarification at the request of DMHAS may be required at the applicant's expense.

- **Collusion.** By responding, the applicant implicitly states that they are submitting a response to this RFP that in all respects is fair and without collusion or fraud. It is further implied that the applicant did not participate in the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no employee of DMHAS participated directly or indirectly in the applicant’s proposal preparation.

- **Participation in DMHAS’ Ongoing Contract Monitoring Process:** Awardees will be required to participate in ongoing contract monitoring including:
STATE OF CONNECTICUT

DEPARTMENT OF MENTAL HEALTH AND ADDICTION SERVICES

CONNECTICUT TOBACCO EDUCATION AND PREVENTION PROGRAM (CT TEPP)

REQUEST FOR PROPOSALS

- Participation in three quarterly telephone conference reviews of progress and one annual site visit.
- Provide monthly data on service activities using the web-based Minimum Data Set (MDS) prevention data collection program.

__________________________    ____________________
Signature of Authorized Official    Title

_______________________________    ____________________
Agency/Organization      Date

b) NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on page D-20-21):

**Campaign Contribution and Solicitation Ban**

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 pre-qualification certificate, shall make a contribution to, or *solicit* contributions 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;

In addition, no holder or principal of a holder of a valid pre-qualification certificate, shall make a contribution to, or solicit contributions on behalf of (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.

**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—$2000 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 $2000 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 $5000 in fines, or both.

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

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, 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 will 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.

Receipt acknowledged:_______________________________________     ______________
(Signature)                                             (Date)
Print name: _________________________________________________
Title: ______________________________
Company Name: _____________________________________________

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to “State Contractor Contribution Ban.”

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 pre-qualification 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 or a loan to an individual for other than commercial purposes.

"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.
c) CONSULTING AGREEMENT AFFIDAVIT

STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

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

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

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

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

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: ____]

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

<table>
<thead>
<tr>
<th>Consultant’s Name and Title</th>
<th>Name of Firm (if applicable)</th>
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<tbody>
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<tr>
<th>Description of Services Provided:</th>
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<tr>
<th>Is the consultant a former State employee or former public official?</th>
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<tbody>
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<td>□ YES                   □ NO</td>
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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.

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<tr>
<th>Printed Name of Bidder or Vendor</th>
<th>Signature of Chief Official or Individual</th>
<th>Date</th>
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Federal Employer ID No. (FEIN)  
or Social Security Number (SSN)  

Printed Name (of above)  

Awarding State Agency

Sworn and subscribed before me on this _______ day of ______________, 200__.  

___________________________
Commissioner of the Superior Court  
or Notary Public