



STATE OF ALABAMA DEPARTMENT OF  
**PUBLIC HEALTH**

Donald E. Williamson, MD  
State Health Officer

October 6, 2015

Dear Applicant:

The Alabama Department of Public Health (ADPH) is pleased to send you a Request for Application (RFA) for its Alabama Youth Tobacco Prevention Program.

ADPH is seeking competitive applications to affect social norm change around tobacco use, address the marketing of emerging products to youth, promote policies that protect youth from nicotine initiation and exposure to secondhand smoke, and promote tobacco cessation.

The enclosed RFA provides specific information and instructions for developing and submitting applications. Please review the RFA carefully to obtain a clear understanding of its objectives, applicant criteria, and submission requirements. A pre-application meeting will be held in the RSA Tower in Montgomery, Alabama, on October 20, 2015, at 1 p.m. on the 9th floor, in training room 982. The applications are due by 12 noon CST on Friday, November 13, 2015.

Sincerely,

A handwritten signature in black ink that reads 'Bret Stanfield'.

Bret Stanfield  
Alabama Youth Prevention Coordinator  
Alabama Department of Public Health  
Tobacco Prevention and Control Branch  
334-206-5030  
[bret.stanfield@adph.state.al.us](mailto:bret.stanfield@adph.state.al.us)

BS/WW

**Alabama Department of Public Health (ADPH)  
Bureau of Health Promotion and Chronic Disease  
Youth Tobacco Prevention and Control Program  
Request for Application (RFA) 2015**

## **Background**

Tobacco use is the single most preventable cause of death and disease in the United States today. Exposure to secondhand smoke (SHS) is also a preventable cause of significant morbidity and mortality. In Alabama, approximately 8,600 adults die each year from smoking and an additional 800 adults die from SHS exposure. Approximately 5,200 children in Alabama become new daily smokers each year while 108,000 children in Alabama will ultimately die prematurely from smoking.

According to the 2014 Alabama Youth Tobacco Survey (ALYTS), 17.8 percent of Alabama high school students are current smokers. Currently, 9.7 percent of high school students are smokeless tobacco users. While both these figures are currently trending downward, the use of electronic nicotine delivery systems (ENDS) is trending upward both nationally and locally. According to a report by the Centers for Disease Control and Prevention, current ENDS use among high school students nationwide tripled from 2013 to 2014. In Alabama, nearly 10 percent of high school students report having used ENDS in the past 30 days.

Alabama's youth are being targeted by the tobacco industry as "replacement smokers." As current tobacco users quit or fall victim to disease and death brought on by tobacco use, the tobacco industry looks to young people as the new generation of customers. Decreasing the unit price of tobacco; offering flavored tobacco products that resemble candy or mint; and deceptive, yet effective, marketing are just some ways the tobacco industry is targeting youth in Alabama and nationwide.

## **Purpose**

The purpose of the RFA is to enter into a grant agreement between the ADPH Tobacco Prevention and Control Program (TPC) and ten qualified community-based organizations in the cities of Auburn, Birmingham, Decatur, Dothan, Florence, Hoover, Huntsville, Madison, Mobile, Montgomery, and Tuscaloosa to affect social norm change around tobacco use; address the marketing of emerging products to youth; promote policies that protect youth from nicotine initiation and exposure to SHS; and promote tobacco cessation. ADPH intends to contract with organizations with demonstrated capacity in youth policy advocacy and community education and mobilization. Successful applicants will mobilize the community to create local environments that foster the adoption of policies that restrict youth access to tobacco products, decrease tobacco marketing to youth, and promote SHS policies in target cities.

Applications will be evaluated and awarded on a competitive basis. To be eligible to receive funds, any county health department, school, local civic club, youth serving organization, charity, or not-for-profit

organization shall submit a grant application pursuant to the guidelines issued by ADPH, with provisions for annual renewal of the grants.

## **Funding Available**

Funding for this program comes through Alabama's Master Settlement Agreement dollars re-appropriated through the Children First Trust Fund. The total funding amount for this grant program is set at \$1,000,000 with an average award of approximately \$80,000. Payment is on a monthly reimbursement basis contingent upon the satisfactory completion of services for the period in which services were rendered.

## **Length of Grant Agreement**

The length of the grant agreement will be from the date of the award, January 4, 2016, through September 30, 2016. Continuation of the program will depend on availability of funds.

## **Eligible Applicants**

ADPH is seeking applicants that can demonstrate capacity in policy development, advocacy, community education, and mobilization. Eligible applicants must also:

- Have not-for-profit 501c3 status or be a government agency
- Be able to enter into a grant agreement with ADPH
- Have pre-existing youth-oriented programs
- Provide a current list of 10-20 engaged youth participants
- Provide a letter of support from school system
- Provide a letter of support from the Coalition for a Tobacco Free Alabama (TFA)
- Provide a letter of support from a designated local tobacco control coalition (see Attachment B for a list of designated coalitions)
- Provide a letter of support from a local tobacco control coordinator, if applicable (see Attachment D for a list of coordinators)
- Have the capacity to provide community-wide programming
- Have a computer, email, and reliable Internet access

## **Target Audience**

The primary audience for this grant program is community leaders, stakeholders, and decision-makers. Secondary audiences include youth and adults protected through SHS protections.

## Desired Outcomes

This RFA seeks the following outcomes:

- Create social norm change around tobacco product and ENDS use among Alabama's middle and high school students.
- Obtain baseline information on tobacco and ENDS retail environment.
- Increase number of policies that restrict youth access and exposure to tobacco products and counter tobacco industry marketing practices.
- Increase support for policies at the local level (city-wide, campus, workplaces, etc.) that protect people from SHS exposure, including ENDS.
- Educate tobacco retailers regarding law prohibiting sales of tobacco products and ENDS to minors.

## Required Activities

Upon receiving their award, grantees will be required to complete the following activities:

1. Announce grant award with press conference.
2. Assess attitudes around tobacco products and ENDS and their use among Alabama middle and high school age students through pre and post testing. Pre and post tests will be administered as city-level samples of the ALYTS and will be conducted at the beginning and end of the grant period. Grantees will need to plan for at least 2 adults to carry out the data collection.
3. Using a tobacco retail survey tool provided by TPC, assess target city's tobacco retail environment by conducting surveys in retail locations and use findings to:
  - Determine a policy approach that resolves issues identified. See [Tobacco Control Legal Consortium's Point-of-Sale Strategies: A Tobacco Control Guide](#) for more information on possible policies.
  - Obtain number and location of retailers, including vape shops, that sell ENDS. See Attachment B for the required number of retail assessments in each city. Store assessments should take an average of 30 minutes per assessment including travel time.
4. Conduct a minimum of 5 presentations to youth groups of at least 50 middle and high school students to educate on tobacco products and ENDS, the dangers and consequences of their use, and the tobacco industry's deceptive marketing tactics to promote tobacco products to youth.
5. Conduct 5 presentations to community leaders and decision-makers promoting a youth policy initiative that:
  - Reduces or restricts the number, location, density, and types of tobacco retail outlets
  - Increases the cost of tobacco products through non-tax approaches
  - Implements prevention and cessation messaging
  - Restricts point-of-sale advertising
  - Restricts product placement

Grantees will collect letters of support, petition signatures, and personal stories from community leaders, decision-makers, and the public in their target city to document support for

the policy initiative. See [Strategies: A Tobacco Control Guide](#) for more information on possible policies.

6. Conduct a minimum of 5 presentations to community leaders and decision-makers addressing the inclusion of ENDS in smoke-free policies. Grantees will collect letters of support and petition signatures to document support. Use the [ADPH Policy Tracking System](#) to identify current policies in target cities that do not include ENDS.
7. Participate in a minimum of 5 community events that engage the public to gather support for SHS policy efforts through collecting letters of support, petition signatures, and personal stories.
8. Conduct a minimum of 6 earned media campaigns to educate the public on:
  - Tobacco products and ENDS and the dangers and consequences of their use.
  - The tobacco industry's deceptive marketing tactics to promote tobacco products to youth (using results from retail survey tool).
  - The negative health effects of SHS exposure and its impact on youth in target city.
  - Retailer compliance on sales of tobacco products and ENDS to youth.
9. Participate in Kick Butts Day rally at state capitol in Montgomery with a minimum of 10 youth advocates.
10. Participate in youth advocacy training provided by ADPH and national partners.
11. Participate in local and state coalition meetings, grantee technical assistance meetings (at least three in Montgomery), seminars, and site visits.

To ensure completion of these activities, awarded applicants are also required to:

- Be or become a member of TFA.
- Be or become a member of a designated local coalition.
- Designate a full-time project coordinator who can carry out their responsibilities within a flexible, youth-oriented and community event-driven schedule (daytime hours, some evenings and weekends with possible overnight travel).
- Station staff on-site at a recognized and identifiable location (home offices will not be approved).
- Specify a location for staff, youth, and volunteers to meet, work, and have computer access with e-mail and Internet access.
- Provide monthly reports and other documentation as required.
- Participate in site visits.

## **Budget Requirements**

### **Use of Funds**

Funds will be used to conduct activities that support the goals and requirements outlined in the previous section.

Funds can be used for:

- Salary
- Fringe benefits
- Limited local mileage
- In-state mileage, for approximately eight required meetings, trainings, and events in Montgomery
- Postage and printing
- Office and activity supplies

Budget revisions shall be pre-approved by ADPH. Expenditures made without appropriate approval will not be reimbursed.

Funds CANNOT be used for:

- Purchase of equipment including, but not limited to, computers, fax machines, cameras, video equipment, overhead or slide projectors, television, microcomputers, copiers or printers, or communication devices
- Rentals/leases for office or meeting rooms
- Food and refreshments of any kind, including per diem, gum, and candy
- Purchase of gift cards
- Purchase of land
- Construction or renovation projects
- Utilities
- To match other funds
- Out-of-state travel expenses, unless pre-approved by ADPH
- Indirect costs
- Capital improvements

Funds cannot be used to supplant funding for programs which are already in existence or for current salaries of existing personnel. These funds are to be used to start new projects or expand existing programs with personnel costs attributed to dedicated project work.

### **Match Recommendation**

A match is not required. However, greater consideration will be given to proposals that include in-kind and matching funds contributions. In-kind contributions are resources that are expended or used for accomplishing activities of the grant that are not charged to the grant budget. In-kind contributions may come from the grantee's agency, partners or other agencies, and individuals. These contributions may include, but are not limited to, personnel and volunteer services, the value of contributed space, computer equipment, furniture, utilities, communication devices, materials, supplies, and food items. Overstating or fraudulent match statements will lead to disqualification of the application or loss of the grant. If matching funds are included, applicants are required to provide the source of funds.

## Evaluation and Reporting

Grantees will submit monthly progress and budget reports by the fifth day of the following month. Programs will be monitored and evaluated through:

- Submission of pre and post test data according to data collection protocols.
- Number of Standard Tobacco Assessment for Retail Settings assessments completed.
- Number of letters of support and petition signatures obtained from community leaders, decision-makers, and the public in support of SHS and youth policies.
- Number of presentations given to middle and high school students and the number of students reached.
- Number of presentations to community leaders, stakeholders, and decision-makers.
- Number of community events attended to support SHS policy efforts.
- Number of policies adopted.
- Number of earned media campaigns implemented and number of articles and stories generated, interviews conducted, press releases published, etc., as a direct result from earned media efforts.
- Number of TFA and local coalition meetings attended and description of participation in work groups.

Progress reports will include monthly employee time sheets, a monthly finance report with proper financial documentation, a description of activities and outcomes, and a media report form. News clippings, press releases, and products developed should be included in the monthly progress report to better demonstrate accomplishments and to facilitate the sharing of best practices. Training on the use of these forms will be provided during the grantee orientation training tentatively scheduled for January 6, 2016.

The grant will be paid in monthly installments. Payment is made on a reimbursement basis, reflective of the amount spent by the grantee during the preceding month. Grantees will submit a monthly invoice.

## Administration

### Deadline for Submission

Please notify Bret Stanfield at [bret.stanfield@adph.state.al.us](mailto:bret.stanfield@adph.state.al.us) by October 23, 2015, of your organization's intent to apply for this application. Include organization name, contact name, address, phone number, and target city to be addressed. Applications must be received by 5:00 p.m., Friday, November 13, 2015. To ensure timely delivery, it is suggested that an express courier be used. All applications received after this date will not be accepted.

Submit applications to:

Bret Stanfield  
Youth Tobacco Prevention Coordinator  
Alabama Department of Public Health  
RSA Tower, Suite 960H  
201 Monroe Street  
Montgomery, Alabama 36104

### **Technical Assistance**

A pre-application meeting will be held in the RSA Tower in Montgomery, Alabama, on October 20, 2015. The meeting will be held in Training Room 982. Please send the number of attendees anticipated for the pre-application meeting to Wenter Williams at [wenter.williams@adph.state.al.us](mailto:wenter.williams@adph.state.al.us). Applicants requiring further technical assistance may e-mail inquiries to [bret.stanfield@adph.state.al.us](mailto:bret.stanfield@adph.state.al.us). E-mail correspondence is preferred. However, if Internet access is unavailable, call (334) 206-5030. ADPH staff is not available to assist in the actual writing of the application.

### **RFA Terms and Conditions**

ADPH reserves the right to:

- Alter, amend, or modify provisions of this RFA.
- Adjust or correct cost figures, with the concurrence of applicant, if an error exists and can be documented to the satisfaction of ADPH.
- Negotiate with applicants responding to this RFA to serve the best interests of ADPH and the state of Alabama.
- Modify the detail specifications should none of the applications received meet all of the stated requirements.
- Begin grant agreement negotiations with the next qualified applicant(s) in order to serve and realize the best interest of the state if ADPH is unsuccessful in negotiating a grant agreement with the selected applicant within an acceptable time frame.

### **Project Duration and Start Date**

Applicants will be notified in writing of their application status by November 20, 2015. The selected applicants will enter into a grant agreement with ADPH for the project period January 3, 2016, through September 30, 2016.

### **Grantee Training**

A mandatory grantee training for successful applicants is tentatively scheduled for January 6, 2016. The training will review grant requirements and youth policy advocacy and community mobilization strategies. There will also be a question and answer session for budgets, progress reports, and evaluation. All grant managers are required to participate in the training. Additional mandatory meetings and trainings will be scheduled, as needed, to coincide with required attendance at quarterly TFA meetings.



## **Application Content and Format**

Please provide the following information in the order listed:

### **1. Application Cover Page (Attachment A)**

This form must be completed and attached as the cover sheet for your application (electronic copies available upon request).

### **2. Problem and Needs Assessment**

Describe the youth tobacco problem in your city. Include city census data, demographic information, poverty levels, free or reduced lunch enrollment, and any local youth tobacco prevalence data that may be available to you, particularly cigarette, smokeless, and all tobacco use of the last 30 days for Grades 6 through 12. Include a description of any tobacco or ENDS-related policies in your target city. Some of this data can be accessed online at the following locations:

- [www.city-data.com](http://www.city-data.com)
- [www.countyhealthrankings.org](http://www.countyhealthrankings.org)
- [www.adph.org/tpts](http://www.adph.org/tpts)

### **3. Organizational Structure and Capabilities**

Describe your agency in terms of mission, youth services, target population, administration, and operational structure within which the project will function. Identify the project coordinator. Attach resumes and job description(s) (labeled as Appendix A) which indicate the qualifications and experience of any key staff person. Also describe:

- The hours of work and schedule planned for accomplishing the tasks in the grant.
- Technical expertise of the project coordinator, including experience with educating youth and decision makers on policy and related tobacco use and exposure issues, public speaking, and media activities.
- The impact of your organization's current youth-oriented programs.
- A description of past policy successes.
- A list of youth participants in your organization.

### **4. Project Implementation/Timeline**

Describe in detail how your organization will go about completing the required activities for this RFA. Include how much time will be spent on each activity and the methods and resources used to complete each. Complete the Grantee Activity Timeline (Attachment C).

### **5. Coalition Participation and Collaboration**

Describe your organization's participation in local or state tobacco use prevention, youth mentoring, health council, or similar coalitions. Indicate collaboration and coordination among organizations and

agencies with your organization in proposing this grant project. Describe advocacy training or work your local coalition has completed in the area of youth tobacco prevention and preventing exposure to SHS.

#### **6. Budget**

Provide a budget narrative that provides a detailed justification of how each line item supports the project as outlined in the budget summary.

#### **7. Evaluation**

Describe your understanding of the reporting requirements found in the “Evaluation and Reporting” section and state who is responsible for gathering and submitting the data.

#### **8. Letters of Support**

Provide copies of agreements from youth-serving organizations, schools, collaborative agencies, civic organizations, and local drug/tobacco prevention coalitions. Be sure letters of support outline the commonality of missions of your organizations, your previous projects together and the resources each agency will contribute toward accomplishing your objectives outlined in your application. A letter of support from the school system in the target city stating cooperation on pre and post testing is required.

#### **9. Required forms**

Complete the attached State of Alabama Disclosure Statement, ADPH Federal Funding Accountability and Transparency Act statement, and Certificate of Compliance required to enter into a contract with ADPH.

### **Completing the Application**

The total application shall not exceed 30 pages (excluding attachments, appendices, and letters of support). Pages must be typed and easy to read. All pages must be numbered, of standard size (8.5 x 11 inches), double-spaced, and printed on one side in 12 point font with 1-inch margins.

#### **Copies Required**

Applicants are required to submit one complete, original, ink-signed application plus 3 copies. The original must be unstapled and unbound. The copies should be stapled or bound. No applications will be accepted via fax or e-mail.

#### **Grant Award Criteria**

Each application submitted will be reviewed using a three-tiered process. Upon receipt of the application, ADPH staff will check applications for required components. Grant applications that do not meet the application goals and requirements will not receive further consideration. Grant applications that meet the requirements will go to the second tier of the review process. A panel comprised of state-level professionals who have experience with and work in the field of tobacco prevention or community grants will score proposals on the following criteria:

Problem and Needs Assessment	5 points
Organizational Structure and Capabilities	10 points

Project Implementation/Timeline	30 points
Coalition Participation and Collaboration	10 points
Budget	5 points
Evaluation	5 points
Letters of Support	15 points
Matching Fund Contribution	10 points
Overall Proposal	10 points

A review team, the third tier, will make final recommendations for funding based on scores and ranking from the second tier review, past performance of grant applicants, greatest demonstrated need for tobacco policies and protections, and greatest potential impact as identified by the TPC.

**Timeline for Grant Process**

RFA announcement	October 14, 2015
Pre-application meeting	October 20, 2015
Notice of Intent to Apply	October 23, 2015
Grant Proposals Due	November 13, 2015
Selected Grantees Notified	November 20, 2015
Grant Agreements Signed/Completed	December 30, 2015
Grant Projects Begin	January 4, 2016
Grantee Orientation and Training	January 6, 2015
Pre Test Data Due	April 29, 2016
Post Test Data Due	September 30, 2016

**Progress Report Due Dates**

- February 5, 2016
- March 7, 2016
- April 7, 2016
- May 6, 2016
- June 7, 2016
- July 7, 2016
- August 5, 2016
- September 7, 2016

Youth Tobacco Prevention and Control Program  
Request for Application Cover Sheet  
2015

**Applicant Information**

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Name of Project Amount of Funding Requested

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Name of Applicant/Organization Federal Employer Identification Number (FEIN)

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Name and Signature of Authorizing Official

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Organization Street Address

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Telephone Number E-mail Address Fax Number

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Name and Signature of Contact Person if Different From Authorizing Official

---

Telephone Number E-mail Address Fax Number

---

Name and Signature of Financial Official

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Telephone Number E-mail Address Fax Number

## Designated Smoke-Free Coalitions

If a target city does not feature a designated smoke-free coalition, grantees must propose a local prevention coalition (preferably one whose main focal point is tobacco). Applicants must provide a letter of support from the proposed coalition as well as a description of the coalition (e.g. member organizations represented, current and past involvement in tobacco education and policy in that city, past work with youth, and any other pertinent information).

### Auburn

None

### Decatur

Decatur Youth Services

Bruce Jones

(256) 341-4690

### Dothan

None

### Florence

Partnership for a Tobacco-Free Shoals

April Rogers, Secretary

(256) 740-1041

### Hoover

None

### Huntsville

Partnership for a Drug Free Community

Debra Soule

(256) 539-7339

### Madison

None

### Mobile

None

### Montgomery

Montgomery Tobacco Free Task force

Ashley Lyerly

[Ashley.Lyerly@LungSE.org](mailto:Ashley.Lyerly@LungSE.org)

205-968-2266

### Tuscaloosa

Children's Policy Council

Judge Elizabeth C. Hamner

(205) 464-8223

## Store Assessments for Target Cities

Below is the minimum requirement of store assessments in each target city to achieve a statistically-significant sample. Grantees are encouraged to strategically plan which retail locations they will assess for efficiency. Store assessments should take an average of 30 minutes per assessment including travel time.

**Auburn:** 56

**Decatur:** 70

**Dothan:** 82

**Florence:** 65

**Hoover:** 58

**Huntsville:** 104

**Madison:** 49

**Mobile:** 112

**Montgomery:** 102

**Tuscaloosa:** 88



# Local Tobacco Control Coordinators



**Monica Moore**  
Northern Support Coordinator  
334-206-3824

**Knoxye Williams**  
Southern Support Coordinator  
334-206-5220

**Melanie Dickens**  
256-765-7557  
Melanie.Dickens@adph.state.al.us

**Sonya Tinsley**  
256-301-6706  
Sonya.Tinsley@adph.state.al.us

**Fayette Royal**  
205-554-4558  
Fayette.Royal@adph.state.al.us

**Janet Hill**  
256-927-1984  
Janet.Hill@adph.state.al.us

**Michele Gowens**  
205-930-1220  
Michele.Gowens@jcdh.org

**Vacant**

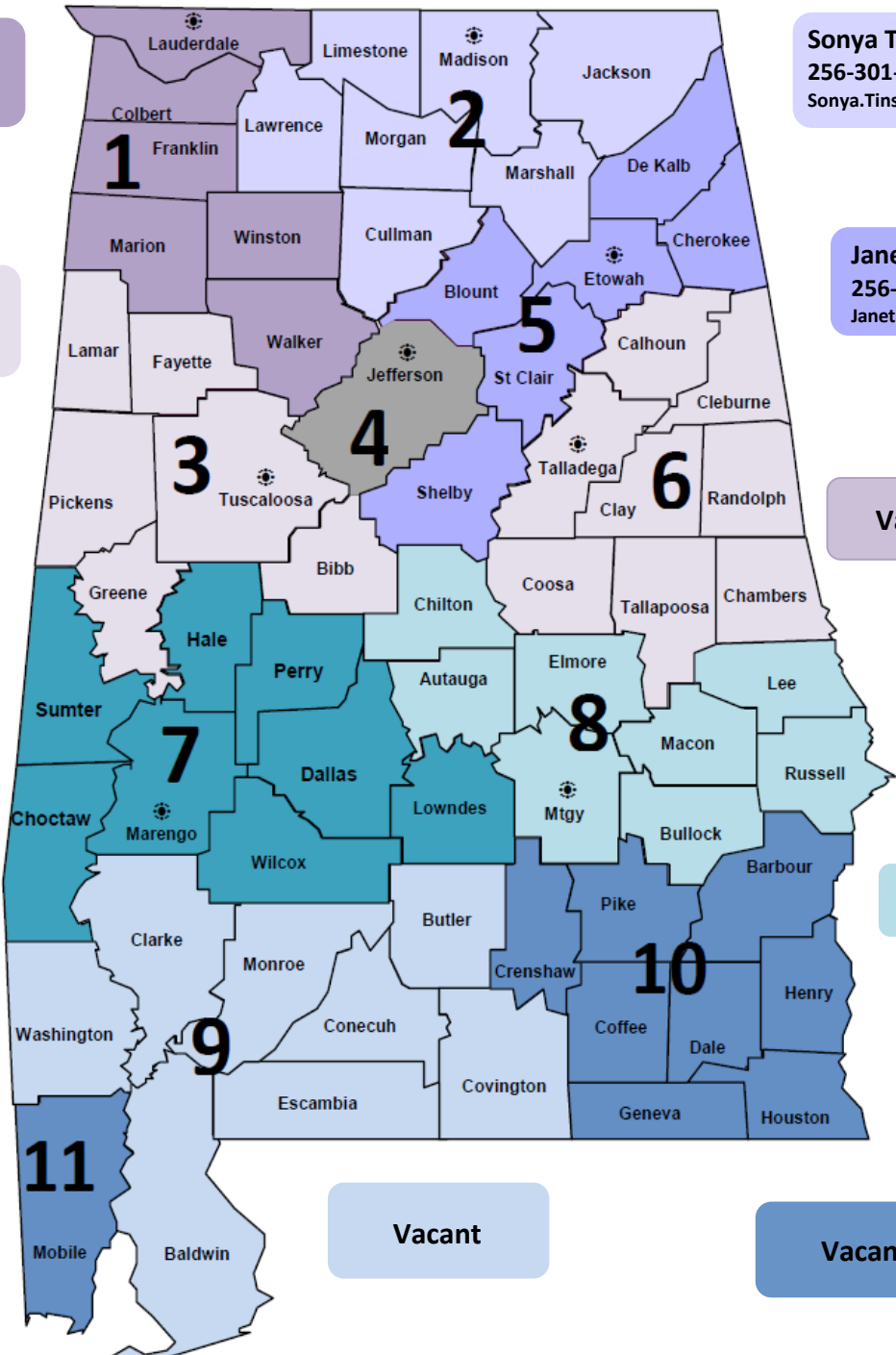
**Vacant**

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State of \_\_\_\_\_ )

County of \_\_\_\_\_ )

**CERTIFICATE OF COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535, as amended by Act 2012-491)**

**DATE:** \_\_\_\_\_

**RE Contract/Grant/Incentive (describe by number or subject):**

\_\_\_\_\_ by and between  
\_\_\_\_\_ (Contractor/Grantee) and  
\_\_\_\_\_ (State Agency, Department or Public Entity)

The undersigned hereby certifies to the State of Alabama as follows:

1. The undersigned holds the position of \_\_\_\_\_ with the Contractor/Grantee named above, and is authorized to provide representations set out in this Certificate as the official and binding act of that entity, and has knowledge of the provisions of THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535 of the Alabama Legislature, as amended by Act 2012-491) which is described herein as "the Act".
2. Using the following definitions from Section 3 of the Act, select and initial either (a) or (b), below, to describe the Contractor/Grantee's business structure.

**BUSINESS ENTITY.** Any person or group of persons employing one or more persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood, whether for profit or not for profit. "Business entity" shall include, but not be limited to the following:

- a. Self-employed individuals, business entities filing articles of incorporation, partnerships, limited partnerships, limited liability companies, foreign corporations, foreign limited partnerships, foreign limited liability companies authorized to transact business in this state, business trusts, and any business entity that registers with the Secretary of State.
- b. Any business entity that possesses a business license, permit, certificate, approval, registration, charter, or similar form of authorization issued by the state, any business entity that is exempt by law from obtaining such a business license, and any business entity that is operating unlawfully without a business license.

**EMPLOYER.** Any person, firm, corporation, partnership, joint stock association, agent, manager, representative, foreman, or other person having control or custody of any employment, place of employment, or of any employee, including any person or entity employing any person for hire within the State of Alabama, including a public employer. This term shall not include the occupant of a household contracting with another person to perform casual domestic labor within the household.

\_\_\_\_\_(a)The Contractor/Grantee is a business entity or employer as those terms are defined in Section 3 of the Act.

\_\_\_\_\_(b)The Contractor/Grantee is not a business entity or employer as those terms are defined in Section 3 of the Act.

3. As of the date of this Certificate, Contractor/Grantee does not knowingly employ an unauthorized alien within the State of Alabama and hereafter it will not knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama;
4. Contractor/Grantee is enrolled in E-Verify unless it is not eligible to enroll because of the rules of that program or other factors beyond its control.

Certified this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_.

\_\_\_\_\_  
Name of Contractor/Grantee/Recipient

By: \_\_\_\_\_

Its \_\_\_\_\_

The above Certification was signed in my presence by the person whose name appears above, on

this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_.

WITNESS: \_\_\_\_\_

\_\_\_\_\_  
Printed Name of Witness



**Alabama Department of Public Health**  
**Federal Funding Accountability and Transparency Act ("Transparency Act" or "FFATA") Disclosure Statement**

Effective Date of Agreement: \_\_\_\_\_

Award Description/Title: \_\_\_\_\_

Entity Completing Form: \_\_\_\_\_

Entity's DUNS Number: \_\_\_\_\_ <http://fedgov.dnb.com/webform>

Address: \_\_\_\_\_

City, State, Zip+4: \_\_\_\_\_

In your business or organization's preceding completed fiscal year, did your business or organization (the legal entity to which this DUNS number belongs) receive (1) 80 percent or more of your annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements; and (2) \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?

YES  NO  **If yes, answer next question. If no, stop here and sign form and return to ADPH**

Does the public have access to information about the compensation of the executives in your business or organization (the legal entity to which this DUNS number belongs) through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue code of 1986?

YES  NO  **If no, complete the following. If yes, stop here and sign form and return to ADPH**

Provide the following information for the five (5) most highly compensated executives in your business or organization (the legal entity to which this DUNS number, belongs):

Name	Position Title	Total Compensation Amount for the Entity's last complete fiscal year

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Typed Name of Signature



# State of Alabama Disclosure Statement

(Required by Act 2001-955)

ENTITY COMPLETING FORM

ADDRESS

CITY, STATE, ZIP

TELEPHONE NUMBER

( )

STATE AGENCY/DEPARTMENT THAT WILL RECEIVE GOODS, SERVICES, OR IS RESPONSIBLE FOR GRANT AWARD

ADDRESS

CITY, STATE, ZIP

TELEPHONE NUMBER

( )

This form is provided with:

- Contract   
 Proposal   
 Request for Proposal   
 Invitation to Bid   
 Grant Proposal

Have you or any of your partners, divisions, or any related business units previously performed work or provided goods to any State Agency/Department in the current or last fiscal year?

- Yes   
 No

If yes, identify below the State Agency/Department that received the goods or services, the type(s) of goods or services previously provided, and the amount received for the provision of such goods or services.

STATE AGENCY/DEPARTMENT	TYPE OF GOODS/SERVICES	AMOUNT RECEIVED
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Have you or any of your partners, divisions, or any related business units previously applied and received any grants from any State Agency/Department in the current or last fiscal year?

- Yes   
 No

If yes, identify the State Agency/Department that awarded the grant, the date such grant was awarded, and the amount of the grant.

STATE AGENCY/DEPARTMENT	DATE GRANT AWARDED	AMOUNT OF GRANT
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1. List below the name(s) and address(es) of all public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF PUBLIC OFFICIAL/EMPLOYEE	ADDRESS	STATE DEPARTMENT/AGENCY
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2. List below the name(s) and address(es) of all family members of public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the public officials/public employees and State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF FAMILY MEMBER	ADDRESS	NAME OF PUBLIC OFFICIAL/ PUBLIC EMPLOYEE	STATE DEPARTMENT/ AGENCY WHERE EMPLOYED
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If you identified individuals in items one and/or two above, describe in detail below the direct financial benefit to be gained by the public officials, public employees, and/or their family members as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

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Describe in detail below any indirect financial benefits to be gained by any public official, public employee, and/or family members of the public official or public employee as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

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List below the name(s) and address(es) of all paid consultants and/or lobbyists utilized to obtain the contract, proposal, request for proposal, invitation to bid, or grant proposal:

NAME OF PAID CONSULTANT/LOBBYIST	ADDRESS
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***By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. I further understand that a civil penalty of ten percent (10%) of the amount of the transaction, not to exceed \$10,000.00, is applied for knowingly providing incorrect or misleading information.***

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

Notary's Signature \_\_\_\_\_ Date \_\_\_\_\_ Date Notary Expires \_\_\_\_\_

Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000.