California Tobacco Control Program
Request for Application/Proposal

Application/Proposal Requirements and Instructions

NOTE: The term Primary Agency refers to the agency responding to the Request for Applications (RFA) or the Request for Proposals (RFP). The Primary Agency is the agency that has overall administrative, program, evaluation, and fiscal accountability for the submission of the application or proposal, negotiation of the final scope of work (SOW) and budget, and submission of all contract-related documents and reports.

A. GENERAL REQUIREMENTS

1. **CAREFULLY READ AND FOLLOW ALL INSTRUCTIONS** for this RFA/RFP in the:
   - Administrative and Program Requirements,
   - *Online Tobacco Information System (OTIS) User Guide,*
   - *OTIS Evaluation Guide,*
   - Policy Section of the California Tobacco Control Program (CTCP) *Competitive Grantee Administrative and Policy Manual,* and
   - *Communities of Excellence (CX) in Tobacco Control, Module 4: Developing a Tobacco Control Intervention and Evaluation Plan*.

   If inconsistencies exist between these documents and this RFA/RFP, the RFA/RFP instructions shall take precedence.

2. **DOWNLOAD AND PRINT THE COMPLETED APPLICATION/PROPOSAL FOR YOUR FILES**. Click on the "Report" link in OTIS to download and print copies of completed forms including Agency Contact Information, Agency Capability, SOW, Narrative, and Budget Justification.

   NOTE: Some reports, such as the SOW and Budget Justification, should be printed in landscape orientation in order to capture the full content.

3. **DO NOT ASSUME** that the reviewers have any knowledge of your agency's history or previous tobacco control programs administered by your agency. It is the responsibility of the Primary Agency to demonstrate an understanding of the services to be delivered as described in the Work Statement, and to ensure that any subcontractors and/or consultants have the capacity to implement all SOW activities in an efficient manner and for a reasonable budget.

B. APPLICATION/PROPOSAL SUBMISSION AND INSTRUCTIONS

This section contains the basic instructions for application/proposal submission. All of the instructions should be reviewed thoroughly. Supplementary documents are outlined below and should be utilized when preparing your application/proposal.

Supplementary Documents

OTIS User Guide, available at the help section of the OTIS Web site.
http://www.tcsotis.org

OTIS Evaluation Guide, available at:
http://www.cdph.ca.gov/programs/Tobacco/Documents/CTCPOtisEvalGuide07.pdf

The Policy Section of the CTCP *Administrative and Policy Manual*, available at:
http://www.cdph.ca.gov/programs/Tobacco/Documents/CTCPPolicyManual2006.pdf

Tell Your Story: Guidelines for Preparing a Complete High Quality Evaluation Report, available at:
http://www.cdph.ca.gov/programs/tobacco/Documents/CTCPTellYourStory.pdf

CX in Tobacco Control, Module 4, available at:
http://www.cdph.ca.gov/programs/Tobacco/Documents/CTCPCX2006-Module4.pdf

1. Contact Information

a. My Agency

Component Description: The "My Agency" area of OTIS provides basic information about the Primary Agency: the agency's name, contact information, Federal Employer Identification Number (FEIN), and the health jurisdiction within which the agency is located. The 58 counties and three cities of Berkeley, Long Beach, and Pasadena are designated as health jurisdictions. From "My Agency," you can also request additional OTIS user accounts.

Instructions: Click on procurement tools which will take you to the links needed to complete the application/proposal. The "My Agency" form is located at the bottom of the screen, in the footer section. For instructions on completing the "My Agency" form, see the *OTIS User Guide*, Section B: Contact Information. For out-of-state applicants, identify the health jurisdiction in which the California office for this project will be located.

b. **Contact Information**

Component Description: Provide general contact information for: Agency and Contract Information, Project Director, Fiscal Contact, and Agency Signatory.

Instructions: See *OTIS User Guide*, Section B: Contact Information for data entry instructions.

2. **Background Information**

a. **Demographic Profile**

Component Description: The Demographic Profile provides information regarding the general demographics of the area to be served by the proposed project. Once the My Agency form is completed, OTIS will populate the form with U.S. Census data for the geographic area identified in the My Agency form.

Instructions: Complete the two required fields on the Demographic Profile form.

- "Is there an American Indian casino within the geographic service area of this project?" Choose the Yes or No radio button (refer to the optional Appendix: American Indian Casinos by County which may be included on the TCFOR Web page for this RFA/RFP).

  NOTE: Applicants/proposers required to serve the entire state, are to choose "Yes."

- Health Jurisdiction Characteristic: identify the geographic characteristic of the health jurisdiction that best describes the geographic area to be served by the project (i.e., rural, suburban, urban or statewide).

b. **Primary Agency Capability Section**

Component Description: This section describes the qualifications of the Primary Agency (and its subcontractors and/or consultants, if applicable) to meet the requirements outlined in the Work Statement and defines overall agency competencies with administering government funds, fiscal systems to ensure appropriate use of funds, accountability with delivering projects on time and within budget, and overall agency capacity related to start-up, and equipment. Responses to scenario questions related to the RFA/RFP focus may be included in the Applicant Capability Section as well. Narrative descriptions, letters of reference, and Local Program Evaluator (LPE) information are all considered and rated as part of the Agency's Capability.

NOTE: The Primary Agency is not required to utilize subcontractors and/or consultants if the agency possesses the capability to accomplish the entire SOW in-house.

NOTE: Pursuant to Health and Safety Code Section 104445, preference shall be given to current contractors that have demonstrated effectiveness and capacity in providing tobacco education services.

Instructions:

1) Program Experience

   a) Primary Agency's General Mission

      Describe the agency's general mission. Describe previous and present work which relates to the components identified in the Work Statement and which has direct bearing on the agency's ability to perform the activities required in this RFA/RFP. In the description, provide information about the length of time the Primary Agency has been in existence and a list of agencies (federal, state, county, local, or private) for whom similar services have been provided.

   b) Education, Experience, and Qualifications of Programmatic Personnel (including subcontractors or consultants, if applicable).

      Describe the experience and qualifications of personnel assigned to work on this project. Include subcontractor or consultant qualifications, if applicable, detailing work to be performed.

2) Organizational Start-Up

   Describe the Primary Agency's capability and available resources to ensure timely start-up and implementation of the project. Typically, the Primary Agency will be required to begin implementing activities within six (6) weeks of the contract start and deliver services during specified hours.

3) Administrative/Fiscal Experience

   a) Fiscal and Contract Compliance

      Describe the Primary Agency's (and subcontractors' and/or consultants', if applicable) performance within the last three (3) years with the management of government funds and activities, including administrative, fiscal, program, and evaluation functions such as: timely and accurate completion of deliverables; submission of fiscal, program, and evaluation documentation; subcontract/consultant

monitoring; compliance with government requirements; and fiscal ability to manage payments in arrears.

b) Audit History

Describe the Primary Agency's fiscal and (if any) programmatic audit history within the last three (3) years. Information to include: frequency of the audits, dates of the audits, and a summary of the major audit findings. Negative audit findings should be thoroughly explained.

Indicate if the Primary Agency has been audited by a governmental agency within the last three (3) years. If yes, include: the name of the agency, the agency's contact person and phone number; the year the audit was conducted; and the outcome of the audit.

NOTE: CTCP reserves the right to follow-up with the contact person and confirm the audit history of the Primary Agency.

c) Administrative Staffing

Describe the Primary Agency's current administrative staffing pattern for activities such as contract management and oversight, payroll, bookkeeping, invoicing, and tracking of contractual, administrative, and fiscal controls. Describe the qualifications of key administrative staff; including their experience with monitoring government funds, and overseeing and managing the administrative and contractual functions of subcontractors and/or consultants.

4) <u>Equipment</u>

Describe the office equipment, computer equipment, software, and other communication equipment that the Primary Agency and subcontractors and/or consultants (if applicable) have available for use by the proposed project.

Include in the description:

- The number and type of equipment available (e.g., desks, chairs, facsimile machines, personal computers, printers, reproduction/duplication/copiers, scanners, etc.).
- Whether or not the computers have access to the Internet, web-conferencing software, and listserv management capability; the software packages the Primary Agency uses for accessing and creating Web sites, word processing, spreadsheets, databases, etc.

- The security software packages Primary Agency uses to protect against viruses, loss of data, etc.
- Approximately when the computer equipment was purchased.
- The availability (e.g., 100 percent, 50 percent, 25 percent, etc.) for use by staff proposed for this project, if funded.

NOTE: CTCP and most local health departments do not have Internet video streaming capabilities due to server bandwidth limitations; therefore, CTCP does not require the use of this technology by the applicant at this time. See the Appendix: Computer Hardware/Software Minimum Specifications for further information.

5) Letters of Reference

Solicit, scan, and upload three (3) letters of reference into OTIS. Letters of reference must be written to the Primary Agency within the last two (2) years. No more than three (3) letters will be accepted. If the Primary Agency is currently receiving or within the last two (2) years has received funding from a local, state, or federal agency, other than CTCP, one of the references **must be** from one of these agencies.

The letters are to be from three (3) separate agencies. Each letter must be on the reference provider's letterhead and include:

- The address, telephone number, e-mail, name, and title of the letter's author.
- A description of the capacity in which the reference provider worked with the Primary Agency.
- The Primary Agency's fiscal and administrative ability to manage government grant funds, including satisfactory performance with administering and managing government grant funds through timely and accurate submission of fiscal, program, and evaluation documents.

NOTE: CTCP reserves the right, at its sole discretion, to contact references for further information prior to the RFA/RFP review process.

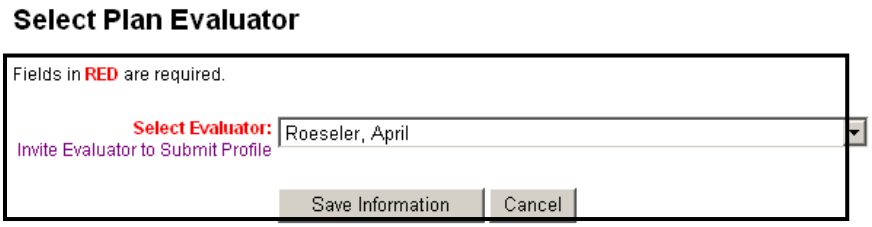
6) Evaluator Information

Most RFA/RFPs require the Primary Agency to work with a qualified LPE to design, plan, and conduct evaluation efforts. Through OTIS, the Primary Agency will invite a specific LPE to link his/her LPE profile to this project and certify the extent to which he/she was involved with the design and planning of the evaluation. The profile describes the

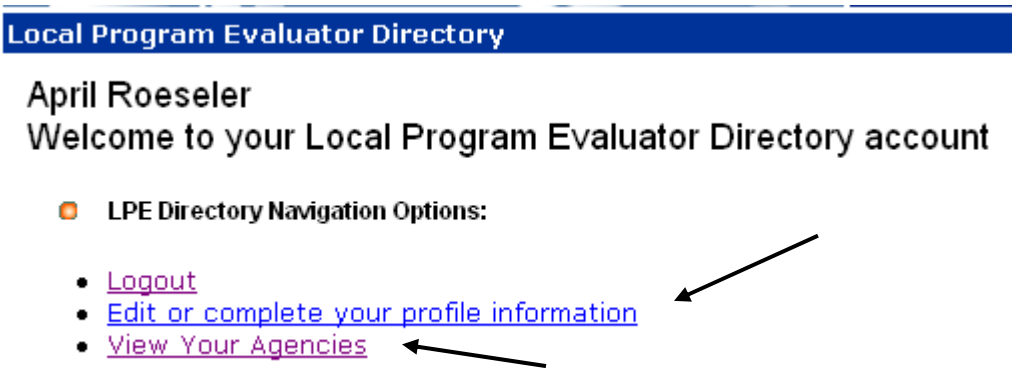
LPE's education, training, and qualifications. The Profile and Certification Form are completed by the LPE through the LPE Directory (a database external to the OTIS application database). The following Instructions describe how to invite the LPE to complete their profile and certify the assistance provided for the application/proposal.

a) Evaluator Profile Instructions

From the drop down menu, select the LPE who assisted with the development of the Primary Agency evaluation plan. If your LPE is not listed in the menu, then click on "Invite Evaluators to Submit Profile."



When an evaluator is invited to submit their profile, an e-mail is sent to the evaluator directing them to the LPE Directory and identifies you as the requestor. The LPE must complete the profile in the electronic LPE Directory, which can be accessed at: http://tcsotis.org/public/evaluator/index.cfm. The profile describes the LPE's experience, qualifications, skills and availability, and tobacco-related publications. Once the LPE completes his/her profile the applicant/proposer will be able to find the evaluator's name in the drop down menu and select this individual.



b) Evaluator Minimum Requirements

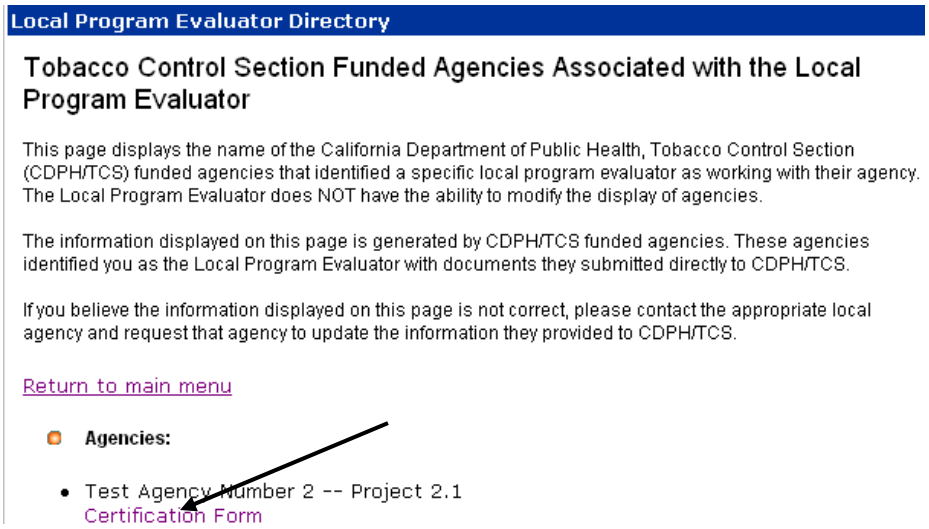
LPE must demonstrate:

- One course in study design or one year of experience determining the study design for an evaluation.
- One course in evaluation or one year of experience planning and implementing an evaluation.
- Two courses in statistics or one year of experience analyzing data for an evaluation.

c) Evaluator Certification Instructions

After the Primary Agency selects a LPE, the LPE must complete the electronic Evaluator Certification form available in the LPE Directory. This form describes and certifies the amount of time and assistance the LPE provided in the preparation of the application/proposal. There may be a minimum number of hours of consultation required - refer to the Work Statement for the RFA/RFP to which you are applying for details. To access the electronic certification form, the LPE logs into the LPE Directory available at: http://tcsotis.org/public/evaluator/index.cfm.

The LPE clicks on the link, "View Your Agencies." From the list of agencies identified, the LPE clicks on the link "Certification Form" appearing immediately below the agency's name. The LPE completes the form and submits the certification. Every Primary Agency must include this certification, even if the LPE is a member of the agency staff.



Add Evaluator Certification Form

Test Agency Number 2 - Smoke-free Beaches 12/17/2008

- The Local Program Evaluator is to complete the Evaluator Certification form for each agency that submits a Local Lead Agency Tobacco Control Plan (Plan) or Competitive Grantee Application (Application). The form must be completed in its entirety before the Local Lead Agency or Competitive Grantee will be able to complete their submission using the Online Tobacco Information System. Completion and submission of this form is independent of the other forms required for the Plan or Application. The information submitted on this form will be electronically linked to the appropriate Plan or Application.

LOCAL PROGRAM EVALUATOR ROLE IN THE PREPARATION OF THE EVALUATION DESIGN

I hereby affirm that I provided [ ] hours of evaluation consultation to the **Test Agency Number 2**, **Smoke-free Beaches** in the development of the evaluation components of the Scope of Work submitted with this application package. I agree that the California Tobacco Control Program may contact me to verify my consultation on the evaluation and to negotiate changes prior to the approval of the Scope of Work.

Role as it Relates to the Objectives (required -- check as many as apply)

- [ ] Reviewed only the **PRIMARY** objectives in the proposed scope of work to ensure that they identify: 1) who or what is expected to change or benefit, 2) what/how much change or benefit is expected, 3) where the change will occur, and 4) when the change will occur by.
- [ ] Reviewed **ALL** the primary and non-primary objectives in the proposed scope of work to ensure that they identify: 1) who or what is expected to change or benefit, 2) what/how much change or benefit is expected, 3) where the change will occur, and 4) when the change will occur by.
- [ ] Reviewed **MOST or SOME** of the primary and non-primary objectives in the proposed scope of work to ensure that they identify: 1) who or what is expected to change or benefit, 2) what/how much change or benefit is expected, 3) where the change will occur, and 4) when the change will occur by.
- [ ] Did not review the objectives in the proposed scope of work

Role as it Relates to the Evaluation Plan (e.g., sampling, process measures--key informant interviews, focus groups, etc.) (required -- check as many as apply)

- [ ] Prepared the evaluation design for **ALL** the primary objectives
- [ ] Prepared the evaluation design for **ALL or MOST** of the non-primary objectives
- [ ] Provided advice only to the agency

Role as it Relates to Survey Methods and Instrument Design/Selection (e.g., population survey, observation survey focus group, key opinion leader interview, etc.) (required -- check as many as apply)

- [ ] Recommended the survey methods for **ALL** primary objectives
- [ ] Recommended the survey methods for **ALL or MOST** non-primary objectives
- [ ] Did not provide recommendations about survey methods

Role as it Relates to Analysis (required -- check as many as apply)

- [ ] Planned the analysis for **ALL** primary objectives
- [ ] Planned the analysis for **ALL or MOST** of the non-primary objectives
- [ ] Provided advice only to the agency about the analysis
- [ ] Did not provide recommendations about analysis

Other Services Provided in the Preparation of the Evaluation Plan or Scope of Work

[ ]

Submit Certification | Cancel

The LPE completes the form and submits the certification. After the certification is submitted a link will appear in the OTIS application.

Evaluator Directory

View Selected Evaluator(s)

PLAN EVALUATOR	ACTION(S)
Roeseler, April	View Profile | View Certification | Change Plan Evaluator

3. **Scope of Work (SOW), Evaluation, and Narrative Summary**

Each application/proposal will be reviewed and evaluated in relationship to the extent to which the required components in the Work Statement for the RFA/RFP are met or exceeded.

a. **SOW and Evaluation**

Component Description: The SOW provides a detailed "road map" that describes what is to be accomplished, how it will be accomplished, and how the effort will be evaluated. Specifically, the SOW identifies objectives, activities to achieve the objectives, an Evaluation Design and Evaluation Plan for each objective, target audiences, timelines, responsible parties, products that are subject to copyright, a percent deliverable tied to tangible products or services to be produced or conducted, and tracking measures that will be used to verify completed activities.

The SOW describes all program activities to be performed by the Primary Agency and its budgeted partners (e.g., staff, subcontractors, and/or consultants) and non-budgeted partners (e.g., board of trustees or advisory committee members) that will lead to the accomplishment of measurable objectives, and all evaluation activities that assess the extent to which each objective was achieved. While administrative activities such as preparing progress reports/invoices and hiring and supervising staff are important tasks; these are not included in the SOW.

Instructions:

These instructions provide a broad overview of the information to be included in the SOW. More detailed instructions on completing the OTIS data entry fields, definitions of terms, the level of detail required, and evaluation requirements are found in the following documents. Refer to these documents for assistance with completing this section of the online application/proposal:

- "Work Statement" section on the TCFOR Web page for the RFA/RFP to which you are applying.

- *OTIS User Guide* available at the "help" section of the OTIS Web site: http://www.tcsotis.org.
- *CX in Tobacco Control, Module 4*, available at: http://www.cdph.ca.gov/programs/Tobacco/Documents/CTCPCX2006-Module4.pdf.

Instructions for Completing the Objective Overview:

Complete the following fields in OTIS for the Objective Overview section:

- Completion Date: Select the date by which the objective will be fully completed.
- Objective: Enter an objective for each of the required components identified in the Work Statement.
- Priority Type: For every objective in the SOW, select either Indicator or Asset, as appropriate (see the Work Statement for any RFA/RFP specific instructions).
- Primary Objective Designation: Identify at least one objective in the SOW as the Primary Objective. For all other objectives, designate them as Non-Primary.
- Target Audiences: For each objective, identify the target audiences who will be directly engaged in or served by the proposed activities rather than groups who will benefit from the activities. There are three (3) categories of groups: Audience Groups, General Population Groups, and Specific Ethnic Population Groups.

Instructions for Completing the Intervention Topics:

The intervention topics listed are common interventions found in many CTCP-funded projects' SOW. Review the list and determine if any of the topics relate to the types of activities that will be conducted by this proposed project. Check those that are appropriate. If none of the topics are appropriate, check "Other."

Instructions for Completing the Intervention Activity Plan:

In this section of the SOW you will describe a series of activities that will lead towards achievement of the objective. A more detailed explanation follows on the next page. For each activity you will:

- Select an intervention category.
- Provide a narrative description of the activity.
- Identify if the activity reflects a work product subject to copyright.
- Assign a percent deliverable.
- Assign start and completion dates for the activity.
- Identify responsible parties for completing the activity.
- Identify tracking measures that verify completion of the deliverable.

Please review *CX in Tobacco Control, Module 4*, available at: http://www.cdph.ca.gov/programs/Tobacco/Documents/CTCPCX2006-Module4.pdf for a complete description of these terms and for examples.

Intervention Category: These categories facilitate organization of similar types of activities within the SOW. For each activity, select the Intervention Category that best describes the task to be completed in the narrative description:

- Coordination/Collaboration Activities
- Community Education Activities
- Education Materials Development*
- Behavior Modification Materials (formerly referred to as Incentive Items - *keep separate from Advocacy Campaign Materials)*
- Media Activities
- Policy Activities
- Advocacy Campaign Materials (formerly referred to as Promotional Items - *keep separate from Behavior Modification Materials)*
- School-based Education
- Sponsorship Activities
- Training/Technical Assistance Activities

***NOTE: A Materials Development Form will be required as a supplement to the materials development activity description provided in the Intervention Activity Plan.**

Activity: In a narrative format briefly describe and quantify what will be done, how much will be done, and who will be involved.

Copyright: Respond "Yes" or "No" to indicate whether the deliverable represents a work product subject to copyright.

Program Percent Deliverable: A deliverable reflects a tangible product or service developed or conducted under the contract, such as a training, an educational material, an evaluation instrument, or an evaluation report. Planning steps, attending meetings, staff hiring processes, etc., are not deliverables. For each deliverable, indicate the programmatic value with a percentage that reflects staff and budget resources used to produce the deliverable (inclusive of staff time and proportional support costs, and subcontracts as appropriate).

The total of the percentages assigned in the SOW must equal 100 percent and must be in increments of 0.5 percent, and no project deliverable may be assigned a percentage of less than 0.5 percent unless specified differently in the Work Statement for the individual RFA/RFP to which you are applying.

Deliverables specified in the SOW must be fully and satisfactorily completed in order for the contractor to receive the maximum award negotiated with CTCP. At the end of the contract term, CTCP will determine whether any deliverable was not fulfilled in its entirety, whether the quality of it was unsatisfactory, or if the deliverable was completed so late as to deprive CTCP or its funded-projects of the full benefit of the deliverable. If the product was not completed in full, or was unsatisfactory or untimely, CTCP may reduce the maximum amount payable to the contractor. The percentage assigned to each deliverable will be used to make this determination.

Start/End Date: Select the time period in which work will start on the activity and the time period in which the activity will be completed 100 percent.

Responsible Parties: Identify staff position titles, subcontractors, and consultant(s) responsible for each activity. More than one may be indicated for each activity. The terms used in the SOW to identify staff positions, subcontractors, and consultants must match (i.e., be identical to) those used in the Budget Justification.

Tracking Measures: List up to two (2) items that will be used to document and verify the activity was completed. The Tracking Measures may include, but are not limited to: meeting agendas, completed educational materials, evaluation instruments, and final evaluation reports. For each tracking measure indicate whether the item will be retained within your project files for audit purposes or submitted to CTCP with the progress report. If the activity has a percent deliverable assigned to it, at least one Tracking Measure must be submitted to CTCP with the progress report to verify completion of the deliverable.

Instructions for Completing the Evaluation Design:

In this section of the SOW, you will describe the overall evaluation design. Complete the questions as they relate to your objectives. The evaluation plan type for each objective will be categorized as:

- Policy-single
- Policy-multiple
- Individual Behavior Change
- Other with Measurable Outcome
- Other without Measurable Outcome

The Evaluation Design selected affects the outcome and/or process data to be collected. Please refer to the Evaluation Decision Tree in the Appendix: Evaluation Design: Determining the Plan Type for Each Objective to help you determine the Evaluation Design and the type of data collection you will need to provide as a result.

Instructions for Completing the Evaluation Activity Plan:

After you select the Evaluation Design, complete the Evaluation Activity Plan. This section describes outcome and process data collection. To describe outcome data collection activities, click on "Collection of Outcome Data Activity" and click "Edit Activity" to fill out the required fields. Click on the "Add" to complete the Tracking Measures and Responsible Parties.

To describe process evaluation activities, click on "Add Collection of Process Data Activity." The process evaluation activity forms include:

- Focus Group
- Key Informant Interview
- Public Opinion Poll (including Public Intercept Survey)
- Education/Participant Survey
- Policy Record
- Media Activity Record
- Data Collection Training
- Observation Data
- Youth Tobacco Purchase Survey (licensing related objective only)
- Other

Select the appropriate process evaluation forms and complete the required fields associated with each form. You may need to complete multiple versions of the same form if different types of participant surveys, focus groups, or observable types of data are being collected. After completing the Evaluation Plan, complete the Evaluation Reporting section of the application/proposal.

Instructions for Completing the Evaluation Reporting:

Select "view" in the Evaluation Reporting section to: describe how the evaluation data will be analyzed and disseminated, designate the progress report periods in which Interim and Final/Brief Evaluation Reports will be submitted to CTCP, assign a percent deliverable for report documents, and describe any limitations or challenges anticipated with completing the evaluation. Similar to the other sections, click on the "Add" to complete Tracking Measures and Responsible Parties.

NOTE: There may be a minimum percentage of the overall deliverables required to be assigned to evaluation - refer to the Work Statement for the RFA/RFP to which you are applying for details.

Please refer to the *OTIS Evaluation Guide*, available at: http://www.cdph.ca.gov/programs/Tobacco/Documents/CTCPOtisEvalGuide07.pdf for additional guidance in completing the Evaluation Design, Evaluation Activity Plan and Evaluation Reporting sections.

NOTE: The awarded Primary Agency will not be penalized for failure to achieve their objectives; evaluation results will not affect current or future funding. However, funds may be withheld if deliverables within the SOW are not completed, including elements of the evaluation plan.

NOTE: The *OTIS Evaluation Guide* includes suggested objectives, evaluation activity plans, evaluation designs, and data collection procedures for CX indicators that address new and innovative areas (e.g., multi-unit housing).

b. **Narrative Summary**

Component Description: The Narrative Summary includes the following four narrative fields:

1) Community Assessment Analysis
2) Major Intervention Activities
3) Theory of Change
4) Evaluation Summary Narrative

Narrative Summary Instructions:

1) Community Assessment Analysis: Describe data, needs assessment findings, and conclusions that justify and support the proposed objectives and activities.

2) Major Intervention Activities: In narrative form, describe the intervention activities to be implemented and that are outlined in the SOW.

3) Theory of Change: Describe the basic assumptions (or theory of change) that explain why the proposed activities are the best approach to achieve the objectives.

4) Evaluation Summary: In narrative form, describe how the project will be evaluated including a brief summary of the evaluation design, evaluation activities, and the rationale for the evaluation plan.

4. **Budget Justification**

Component Description:

The Budget Justification must:

- Provide a complete budget plan for the entire contract term.
- Accurately detail and realistically describe the expenses connected to the SOW activities.
- Reflect all numbers rounded to the nearest dollar.
- Not exceed the maximum award specified for the RFA/RFP.
- Reflect tailored expenditures that take into consideration varying intensity of SOW activities and/or administrative needs during the entire contract term.
- Adhere to the State fiscal year (FY) cycle as required by the State of California, Department of Finance. The State FY is 12 months, July 1 through June 30.
- Consist of the following eight (8) categories:
  - Personnel Costs
  - Fringe Benefits
  - Operating Expenses
  - Equipment
  - Travel/Per Diem and Training
  - Subcontracts and Consultants
  - Other Costs
  - Indirect Costs

NOTE: OTIS will automatically calculate the "Total Budget" for each FY as well as the total amount requested for the contract term by using the amounts the Primary Agency enters for each line item in the budget justification.

a. **Budget Category and Line Item Instructions**

The following Budget categorical line items are listed in the order they appear in OTIS. In your narrative budget description include formulas, skill level, and examples to support the proposed categorical line item.

1) Personnel Costs

Primary Agencies that budget personnel positions at less than ten percent of a full time equivalent (FTE) in the Personnel Costs categorical line item must justify the position and describe activities in the SOW that the position is responsible for completing. Placement of personnel positions that are less than ten (10) percent of a FTE in the Personnel Costs category rather than under Indirect Costs is subject to CTCP review and approval.

Primary Agencies may be required to designate a lead staff position to provide a minimum effort at a specified FTE percentage towards total project evaluation. Refer to the RFA/RFP in which you are applying for details. The effort of the lead staff person can be in his/her performing evaluation activities and/or the supervision of staff or evaluation consultants who perform evaluation activities.

a) Position Title

Information:

Budget justification position titles must always be consistent and connected to activities in the SOW (Responsible Parties section).

Instructions:

List the title for each position to be utilized during the contract term.

b) Salary Range and Pay Period Frequency

Information:

Pursuant to Section 3.17.1, of the State Contracting Manual, any salary paid to project staff shall not exceed those paid to state personnel for similar positions/classifications. See the Appendix: Comparable State Civil Service Classifications.

If any proposed salary exceeds the comparable state personnel salary, the Primary Agency must fully justify the reason and necessity for the higher rate. Salaries that exceed comparable state personnel salaries will be closely reviewed and additional information may be requested during contract negotiations. The Primary Agency must receive “high salary” approval from CTCP prior to reimbursement.

All leave (vacation, sick leave, military leave, etc.) must be budgeted with salary cost.

Instructions:

Identify the actual salary range and the pay period frequency for each position listed in personnel. Pay period examples are: monthly, semi-monthly, bi-weekly, weekly, hourly. The salary range must also reflect the frequency that the employee is actually paid. Enter the low and high end of the salary range for each position.

Example: $2,000 - $2,500 semi-monthly.

c) Percent of Time

Information:

- 100 percent FTE is 2080 hours annually, including paid leave.
- Employees working 80 hours in a 2-week period are 100 percent FTE.
- Employees working 20 hours in a 40-hour work week are 50 percent FTE.

Instructions:

For each position, indicate the percent of FTE that will be devoted to the proposed project. If the amount of FTE for some staff will vary from month to month, then enter a range.

Example: 30 percent to 40 percent FTE.

d) Pay Periods

Information:

Examples of pay periods are:
- Monthly = 12 pay periods per year.
- Semi-monthly = 24 pay periods per year.
- Bi-weekly = 26 pay periods per year.
- Weekly = 52 pay periods per year.
- Hourly = "X" number of hours per pay period (do not use percents of time if a position is paid hourly).

Instructions:

Indicate the number of pay periods for each position for which payment will be claimed.

e) Description of Duties

Information:

If required by the RFA/RFP in which you are applying, indicate the minimum percent of time the lead staff person is required to oversee and coordinate project evaluation activities.

Instructions:

Provide a brief description of the duties, responsibilities, and activities to be performed by each position. Positions and their duties must be

identified in the Responsible Parties section of the SOW. Personnel less than ten percent FTE which are listed in the personnel category must have a complete position description that ties the position to activities in the SOW.

f) Amount Requested

Information:

The total amount requested cannot be:

- Less than the lowest dollar amount calculated by multiplying the low-end of the salary range, by the low end of the FTE percentage, by the lowest number of pay periods; or,
- Greater than the highest dollar amount calculated by multiplying the high-end of the salary range, by the high-end of the FTE range, by the highest number of pay periods.

Instructions:

Calculate and list the whole dollar amount requested for each staff position for each FY.

Example:
$2,000 x 50 percent FTE x 24 pay periods = $24,000 Total for the FY.

2) Fringe Benefits

Information:

- Refer to Section 20 of Exhibit D(S): Special Terms and Conditions in the Contract Documents section of the TCFOR Web page for this RFA/RFP which provides guidance for allowable expenses in Fringe Benefits.
- Fringe benefits do not include employee leave. Employee leave is: annual leave, vacation, sick leave, holidays, jury duty, military leave, training leave, and administrative leave.
- CTCP will not pay for employee vacation or sick leave accruals that are earned outside the contract term.
- Budget for workers compensation premiums only. CTCP **will not** reimburse for workers compensation claims.
- Fringe benefits shall be budgeted at no more than the actual cost for each employee.

Instructions:

- List each fringe benefit that your agency will provide to eligible personnel.

- Identify any personnel that will not receive benefits with an asterisk (*).
- List the fringe benefit percentage amount and the whole dollar amount requested for employee fringe benefits for each FY.
- If the fringe benefits percentage rate will vary at different times throughout the FY, then provide a range. Example: 15 percent to 25 percent.

3) Operating Expenses

NOTE: Items a) and b) below must appear in every Budget Justification. If there are no expenses related to these line items, no entry is necessary, leave the amount at $0.

a) CTCP Communications Network, OTIS, and Partners

Information:

There is no charge to CTCP-funded projects for OTIS access or the Partners subscription; however, your agency should budget for this contract's proportionate share of monthly Internet access fees during the entire contract period.

Accessing OTIS and Partners requires access to the Internet.

All CTCP-funded projects are **required** to:

- Utilize OTIS for contract management.
- Obtain and maintain an active Partners account. (Partners is a web-based communication system. All CTCP-funded projects are required to log onto Partners at least once a week to review the weekly updates.)
- Maintain an active Internet account.

Instructions:

- Budget expenses for each FY associated with Internet access fees needed for project staff responsible for accessing Partners on a weekly basis and also for project and administrative staff responsible for monitoring and administering the contract via OTIS.

- If you choose not to budget for this line item you must provide an explanation in the Partners line item as to how you will access Partners and OTIS.

Example:
Agency has local area network with automatic access to the Internet that will not be charged to the CTCP contract.

b) Space Rent/Lease

Information:

Project space costs shall not exceed 150 square feet per FTE plus "reasonable" square footage for shared space, such as: conference rooms, library/resources, storage space, restrooms, etc. If the project space exceeds the 150 square feet per FTE then you must justify the need for the additional space.

Instructions:

- Determine the total FTE listed in your budget.
- Determine the total number of square feet to be charged and the cost per square foot.
- Justify the amount of square footage charged for reasonable shared space.
- Allow for any anticipated space cost increases during the contract term. Multiply these figures by the number of months in the budget period to obtain the subtotal.

Example:
3.0 FTE × 150 sq. ft. + 100 sq. ft. × $1.00/sq. ft. × 12 months = $ 6,600
3.8 FTE × 150 sq. ft. + 125 sq. ft. × $1.25/sq. ft. × 12 months = $10,425
4.0 FTE × 150 sq. ft. + 175 sq. ft. × $1.50/sq. ft. × 12 months = $13,950
Total for 36 months = $30,975

c) Other agency defined subcategories

Instructions:

- After budgeting for items a) and b) above, you may add other agency-defined line items.
- Add each additional line item and provide a justification for each. The justification must provide a complete description of the line item as well as a **formula** of how you arrived at the budget amount requested (e.g., $50 per month x 12 months x 3 years = $1800). Some typical additional line items are listed below:

(1) Office Supplies

Information:

This expense is for consumable general office supplies such as paper, copier toner, pens, pencils, folders, binders, staplers, etc.

Instructions:

Provide a sample listing of supplies needed for the project and the estimated budget amount for each FY.

(2) Postage

Information:

This expense is for postage to mail project correspondence and other materials; it may also include overnight express mail costs.

Instructions:

Provide a brief description of the postage expenses and the estimated budget amount for each FY.

(3) Duplicating

Information:

- This expense is for “in-house” duplicating and reproduction.
- The duplicating is internal and routine, usually for small office jobs.
- This can include the CTCP-funded program’s share of the contractor’s copy machine total usage.
- It can also include shared copier maintenance agreements, copier supplies such as paper, toner etc. (Duplicating supplies such as paper and toner may be included in either the Office Supplies or in Duplicating, but should not be included in both.)

Instructions:

- Provide a description of the costs associated with in-house duplicating and the estimated budget amount.
- Indicate whether the budget includes supplies, and maintenance agreements. Costs associated with renting copiers are to be placed in the Equipment Rental/Lease line item.
- Provide the estimated budget needed for each FY.

(4) Communications

Information:

- This expense is for the installation costs of telephones and any recurring monthly charges related to the telephone system; including fax line and cell phone costs. It also includes any

costs related to teleconference calling that may be necessary to complete the SOW.

- Mobile phones, cellular phones, and other multi-function portable phones are allowed up to $500 per person (including the service) for a maximum of $2,500 per grant annually. Refer to the Administrative and Policy Manual, Chapter 400, Administrative Requirements, Policy #02, Equipment Purchases. Cell phone service fees are not to exceed $2,500 annually.

Instructions:

Describe the expenses associated with this line item and provide the estimated budget amount needed for each FY.

(5) Printing

Information:

This line item is for printing and reproduction of larger jobs completed by outside vendors such as brochures, leaflets, posters, forms, flyers, announcements, banners, etc.

Instructions:

List and describe the types of items that require printing by outside vendors and the estimated budget amount for each FY.

(6) Equipment Lease/Rental

Information:

- Rental Equipment will be authorized by CTCP on a case-by-case basis.
- Leasing/renting to own, purchase/leaseback, and lease/purchase of equipment is not permitted.
- Lease/rental agreements entered into prior to receiving funding from CTCP must adhere to this CTCP policy.

Instructions:

- List and justify in detail all lease/rental equipment that will be charged to the contract.
- Provide the monthly lease/rental rate for each item and the number of the lease/rental months.
- Provide budget totals for each piece of equipment leased/rented. Examples of leased/rental items are desk-top

work stations that include computers, printers, facsimile machines, scanners, and copiers.
- Provide the estimated budget amount needed for each FY.

(7) Audit Expenses

Information:

- All Primary Agencies are required to conduct an audit in accordance with the Federal Office of Management and Budget Circular A-133, entitled *Audits of States, Local Governments, and Non-Profit Organizations*. The estimate for the audit costs to be included in the budget shall represent no more than the proportionate amount of the anticipated award in relationship to the Primary Agency's total revenue eligible for the audit.
- Audit expenses may be budgeted in the Operating Expenses category or in the Indirect Costs category, but not both. When combined, this Audit Expense line item plus the Indirect Expenses line item must not exceed the maximum percentage of indirect expenses allowed for the RFA/RFP in which you are applying.
- Primary Agencies choosing to not budget funds for audit purposes must provide a statement in the Budget Justification in the Indirect Expenses line item indicating how they intend to comply with the audit requirement.

Instructions:

Describe when the audits will be conducted, the total estimated cost of the Agency's audit, and the estimated proportionate share to be charged to CTCP for each applicable FY.

Continue to add additional line items if needed. Provide sufficient information that will justify the need for the costs.

4) Equipment Expenses

Information:

- At least one computer system, designated for use by this project for the purposes of producing state-mandated progress reports, completing evaluation instruments and reports, participating in Partners and OTIS, etc., must meet the minimum specifications outlined in Appendix: Computer Hardware/Software Minimum Specifications.

- If the computer equipment available to this project does not meet the specifications, CTCP may authorize the purchase of computer hardware/software to bring one computer system up to the minimum specifications.
- Include all computer software/hardware purchases regardless of the cost.
- Specifications for other equipment and software necessary to carryout the activities outlined in the SOW will be discussed during contract negotiations.
- Include non-computer equipment items such as desks, chairs, typewriters, telephones, calculators, etc.
- File cabinet purchases are not allowed.

Instructions:

If the RFA/RFP to which you are applying allows for the purchase of equipment beyond the minimum specifications, provide an itemized list of all equipment, including any software to be purchased; quantify each item of equipment and/or software; provide the estimated purchase price, and the estimated budget amount needed for each FY. Justify the need for the proposed equipment purchases and which staff will utilize it.

5) Travel/Per Diem and Training

General Information:

- Travel and training expenses are to be consistent with the needs of the project and support SOW activities.
- Travel expenses will be reimbursed at the current California Department of Personnel Administration rates.
- Current Travel Reimbursement information and rates can be found in Exhibit G: Travel Reimbursement Information in the "Contract Documents" section of the TCFOR Web page for the RFA/RFP in which you are applying.

a) Project Travel/Training

Information:

- Project Travel: Includes airfare, meals, lodging, and mileage expenses which are necessary to implement your SOW.
- Project Training: Includes registration fees for staff development or any other additional training events for professional, clerical, administrative personnel, etc., necessary for the completion of activities in the SOW. Training may include courses on computer software, meeting facilitation, planning, leadership, etc.

Instructions:

- Provide a description of the types of project-related travel costs associated with the SOW.
- Provide an estimate of the number of meetings, the number of project staff attending, and the associated budget.
- Provide a description of the proposed trainings that are necessary for the completion of the SOW and the estimated budget.
- Provide the estimated budgeted amount needed for each FY.

b) CTCP Travel/Training

Information:

- CTCP and its statewide contractors may conduct two to four (2-4) trainings/conferences each year.
- Each training/conference is usually one to three (1-3) days in length.
- Each training/conference is generally offered only one (1) time.
- These trainings/conferences are specifically directed toward CTCP-funded projects, provide opportunities for project staff to learn from national, state, and local experts regarding evaluation, media, and advocacy, and are a means to be connected to California's larger tobacco control movement. These trainings will provide the applicant/proposer with an opportunity to keep abreast of tobacco control efforts in the State.
- Primary Agencies should budget approximately $500-$750 per person ($350-$550 for travel/per diem and $150-$200 for registration) for one to three (1-3) staff to attend two to four (2-4) trainings/conferences per year.

Instructions:

Identify which project staff will attend the statewide trainings/conferences, and provide the estimated budget needed for each FY.

c) Required CTCP Travel/Training

NOTE: If attendance at required trainings, conferences, or meetings does not occur, the Primary Agency will not be allowed to reallocate these expenses to other travel or line items in the Budget.

Information:

- Project Directors' Meeting (PDM): This three (3) day meeting is typically held every 18 months and two to three (2-3) staff from each CTCP-funded agency attends.

  Projects are recommended to budget $1,200-$1,350 per person ($1,000-$1,100 for travel/per diem and $200-$250 for registration) for two to three (2-3) staff to attend this conference.

- Refer to the RFA/RFP Work Statement to which you are applying for information on which FYs to budget Required CTCP Travel/Training.

Instructions:

Identify which project staff will attend the PDM and provide the estimated budget needed for this meeting.

d) Out-of-State Travel **(Optional)**

Information:

- Out-of-State travel requires prior written approval by CTCP unless it is approved during the negotiation process and is included in the final approved budget.
- Final approval of out-of-state travel is generally contingent upon the attendee(s) participating in the conference as a presenter, panel member, speaker, etc.

Instructions:

Identify possible out-of-state trips. Include the purpose of the travel, who will attend, the benefits of attending, and the expenses associated with the travel for each FY.

6) Subcontractors and Consultants

Subcontractors Information:

- Subcontracts are usually for projects needing salaried positions, operating expenses, indirect costs, etc. The subcontractor should provide a specialized task that is directly related to the project's activities. The subcontractor's salaries should not exceed those paid to state personnel for similar positions/classifications. See the Appendix: Comparable State Civil Service Classifications for a list of current salaries. Subcontractors which require high salary costs must

contain a detailed explanation which justifies the request for the high salary costs. CTCP must approve the salary requests prior to reimbursement.

- CTCP must review and approve subcontract agreements costing $50,000 or more prior to reimbursement unless exempt by CTCP Policy.
- Subcontractor Indirect Costs shall not exceed 25 percent of their Personnel Expenses (the combined total of Personnel Costs and Fringe Benefits).

Subcontractors Instructions:

- List each subcontractor(s) separately in the Budget Justification that will provide specialized effort which is directly related to activities in the SOW. Make sure the subcontractors listed in the Budget Justification are also referenced in the SOW in the Responsible Parties section.
- For each subcontractor provide the name of the agency, a description of the activities to be performed, period of time, and total cost for services. Be as specific as possible.
- If a specific subcontractor is not identified at the time of application/proposal submission, indicate “To Be Determined” and provide a narrative that describes the activities to be performed and a budget amount formula that indicates the estimated amount needed for each FY.

Consultants Information:

- Consultants are individuals whose level or area of expertise extends beyond that possessed by Primary Agency staff.
- The effort of a consultant should support and supplement the skills of the Primary Agency staff and not duplicate Primary Agency skills or effort.
- Typical services provided by a consultant are for technical advice or effort on programmatic activities and issues.
- The rate paid to consultants shall be commensurate with the consultant’s education and experience.
- Every effort shall be made to negotiate the lowest possible cost.
- Consultants listed in the Budget Justification must also be referenced in the SOW.

Consultants Instructions:

- List each consultant(s) separately in the Budget Justification that will provide specialized effort which is directly related to activities in the SOW.

- Make sure the consultant(s) listed in the Budget Justification are also referenced in the SOW in the Responsible Parties section.
- For each consultant provide their name, a description of the activities to be performed, period of time, hourly rate, number of hours to be worked (such as per week, per month, per year, etc.), and total cost for services. Be as specific as possible.
- If a specific consultant is not identified at the time of application/proposal submission, indicate "To Be Determined" and provide a narrative that describes the activities to be performed and a budget amount formula that indicates the estimates for time and pay rate, and the amount needed for each FY.

7) Other Costs

Information: Refer to the CTCP Competitive Grantee Administrative and Policy Manual, Section II, Chapter 300, for more information on Other Costs line item topics.

General Instructions:

Follow these general instructions for all additional Other Costs line items in addition to the instructions contained within each line item.

- Make sure the items listed in the Budget Justification are also referenced in the SOW.
- Provide a sample listing of items to be provided then add the total budgeted amount.
- Where applicable, state that the items are in accordance with current California Department Public Health guidelines.
- Detailed cost breakdown for each item is not required. Only provide a list of items and an estimate of the budget amount needed for each FY.

NOTE: Please refer to Appendix: "Moratorium Related to Promotional Items Distributed by California Department Public Health - Updated Interim Guidelines on Use of Promotional Items." This Appendix explains the interim guidelines on promotional materials, and also applies to Advocacy Campaign Materials and Behavior Modification Materials.

The following five (5) items below must appear in every Budget Justification in the order presented here. If there are no expenses related, **no entry is necessary, leave the amount at $0.**

a) Educational Materials

Information:

These are brochures, pamphlets, posters, curriculum, training guides, videos, slides, flip charts, CD-ROMs, signs, etc., necessary for SOW activities.

Instructions:

Follow the general instructions listed above.

b) Advocacy Campaign Materials

Information:

- These are items which are provided to individuals in order to generate visibility and interest, increase public awareness, and to promote attitudes which support tobacco control activities in the community.
- Examples are: stickers, posters, pamphlets, brochures, and miscellaneous tobacco control logo or advertisement (ad) items of a nominal cost.
- The intent is not to facilitate behavior change, but to generate interest and enthusiasm for the program.

Instructions:

Follow the general instructions listed above.

c) Behavior Modification Materials

Recognition Awards Information:

- These are awards provided to program participants to reinforce positive behavior and positive participation in agency tobacco control projects.
- Examples are gift cards, movie passes, compact discs, DVD's etc.
- Cash is not permitted.
- Materials are not to exceed $50 worth/value per person per year.

Recognition Awards Instructions:

- Follow the general instructions listed above.
- Provide a general statement on how and who the recognition award(s) will be distributed to, and the budget amount needed for each FY.

Food/Refreshments Information:

- Food/refreshments may be made available at coalition/advisory committee meetings or to volunteers that have participated in tobacco control related events and activities.
- Food may not be purchased for staff on CTCP-funded projects nor local health department employees.
- Food/refreshments must not exceed $50 worth/value per person per year.

Food/Refreshments Instructions:

- Follow the general instructions listed above.
- Provide a brief description on who will be provided with the food/refreshments and the amount needed each FY.

d) Media

Information:

- This line item may include the development, purchase, or placement of public service announcements (PSA's), paid ads on radio, television, newspaper, magazines, billboards, bus shelter ads, organizational newsletters and neighborhood advertising papers. Development of PSA's, radio, television, and print ads may be budgeted either in this line item or in the Subcontracts and Consultants category, but should not be in both.

- List the types of planned media that supports activities in the SOW and the total budgeted amount. Make sure the media, public relations, and advertising items listed in the Budget Justification are also referenced in the SOW.

Instructions:

Follow the general instructions listed above.

e) Sponsorships

Information:

- Refer to the CTCP Administrative and Policy Manual, Policy Section, Chapter 300: Sponsorship Requirements for information on allowable CTCP sponsorships.
- Sponsorship is a type of advertising that prominently promotes an anti-tobacco use message. The purpose of a sponsorship

is to directly counter the tobacco industry's pro-tobacco use messages in the community and to develop community goodwill for anti-tobacco use through educational, media, and policy activities. The sponsor (your program) should receive something tangible in exchange for being the sponsor. The larger the sponsorship, the larger the value the sponsor should receive which may include large signage at the event, advertising in the event program or materials, booth space, publicity on the radio or television, public announcements at the event, tobacco free policy, etc.

Instructions:

- Follow the general instructions listed above.
- Provide a brief description of the potential sponsorship.

f) Other agency-defined subcategories

Information:

- After budgeting for Educational Materials, Advocacy Campaign Materials, Behavior Modification Materials, Media and Sponsorships above, applicants may add other agency-defined line items.

- Examples of additional line items are: facility fees for renting a meeting room to conduct a training or renting a booth at a health fair, etc.

Instructions:

Follow the general instructions listed above.

8) Indirect Expenses

Information:

- Indirect Expenses are costs that are not directly associated with the project's SOW deliverables. These are individuals or activities that indirectly support the project, but do not directly complete activities connected to the SOW. Examples are: management and fiscal personnel (e.g., Executive Director, Deputy Director, and Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs, and any expenses related to the mandatory annual Financial and Compliance Audit.
- Cannot exceed the specified maximum percentage rate in the RFA/FRP to which you are applying.

- Audit expenses may be budgeted in the Operating Expenses category or in the Indirect Costs category. Primary Agencies may not budget audit expenses in both budget categories. If Primary Agencies choose to budget expenses within the Operating Expenses category, then the combined audit and indirect costs must not exceed the specified maximum percentage rate in the RFA/RFP to which you are applying.
- Primary Agencies choosing to not budget funds for audit purposes must provide a statement in the Budget Justification in the Indirect Expenses line item indicating how they intend to comply with the audit requirement.

Instructions:

- List each indirect expense incurred by the Primary Agency.
- List the indirect expense percent amount.
- List the budget amount requested for each FY.
- If the percentage rate for indirect expenses will vary at different times during the FY then provide a range.

5. **Additional Documents**

Information:

There are two documents that you must upload into the Additional Documents Section of your OTIS proposal. These are 1) Proof of Non-Profit Status and 2) Certification of Non-Acceptance of Tobacco Industry Funds.

Instructions:

Proof of Non-Profit Status

Scan and upload a copy of the document that verifies the Primary Agency's non-profit status. Refer to the Appendix: Sample Secretary of State, Statement of Information and Appendix: Sample Internal Revenue Service Letter.

Certification of Non-Acceptance of Tobacco Funds

- Download and print Attachment: Certification of Non-Acceptance of Tobacco Funds from the TCFOR Web page for the RFA/RFP to which you are applying or from OTIS when prompted during your online application.
- **Complete the Attachment and have it signed by an individual who is authorized to legally bind the Primary Agency to the certification.**
- Scan and upload the signed Attachment.

NOTE: Please allow sufficient time to obtain the required signature on the Certification of Non-Acceptance of Tobacco Funds. Applications/Proposals submitted without the required signature will not be included in the peer review.