Request for Applications (RFA) #19-10090

Finishing the Fight:
Statewide Coordinating Center for Community Engagement and Organizing

CALIFORNIA DEPARTMENT OF PUBLIC HEALTH
CALIFORNIA TOBACCO CONTROL PROGRAM

April 17, 2019

Table of Contents

Part I. Funding Opportunity Overview

A. Background and Authorizing Legislation 1
B. Funding Purpose 2
C. Funding Restrictions 2
D. Public Health Significance of Tobacco Use 3
E. California Tobacco Control Program Goals 5

Part II. Finishing the Fight

A. Initiative Overview 6
B. Coordinating Center Category, Goals, and Expected Outcomes 7
C. General Scope of Work Requirements 8

Part III. Funding Opportunity Details

A. Eligibility Criteria 11
B. Agreement Term and Funding Availability 13
C. Timeline and Award Schedule 14

Part IV. Application Submission Requirements

A. Mandatory Non-Binding Letter of Intent 15
B. Informational and Grant-writing Webinars 16
C. Applicant Questions and Reporting of Errors in the RFA 16
D. Application Submission 18

Part V. Application Submission Process

A. Description of the Online Tobacco Information System (OTIS) 18
B. OTIS Application Instructions: Contact Information 19
C. OTIS Application Instructions: Applicant Capability 19
D. OTIS Application Instructions: Evaluator Information 22
E. OTIS Application Instructions: Scope of Work – Intervention Plan 23
F. OTIS Application Instructions: Scope of Work – Evaluation Plan 25
G. OTIS Application Instructions: Scope of Work – Narrative Summary 26
H. OTIS Application Instructions: Scope of Work – Budget and Budget Justification 27
I. OTIS Application Instructions: Supplemental Tobacco Control Funding 31
J. OTIS Application Instructions: Additional Documents 31

Part VI. Application Selection Process and Criteria

A. About this Section 32
B. Application Review Process 32
C. Application Selection Criteria 34

Part VII. Award Administration Information
A. RFA Defined 43
B. RFA Cancellation and Addendums 43
C. Immaterial Defect 43
D. Grounds to Reject an Application 43
E. Notice of Awards 44
F. Appeal Process 44
G. Disposition of Applications 45
H. Inspecting or Obtaining Copies of Application Materials 45

Part VIII. Important Administrative Details
A. Cost of Developing the Application 45
B. Awardee Requirements 45
C. Awardee Required Documents 46
D. Standard Payroll and Fiscal Documents 47
E. Progress Reports 47
F. Invoices 47
G. Audit Requirements 47
H. Dispute Resolution, CDPH Rights, and Grant Termination 48

Part IX. References
References 49

Appendices

Appendix 1.	CTCP Local Lead Agencies and Competitive Grantees
Appendix 2.	Sample Scope of Work for Statewide Applicants
Appendix 3.	2016 Communities of Excellence Indicators and Assets
Appendix 4.	Tell Your Story: Guidelines for Preparing Useful Evaluation Reports
Appendix 5.	Sample Non-Profit Status Letter
Appendix 6.	Certification of Non-Acceptance of Tobacco Funds
Appendix 7.	Tobacco Control Funding Opportunities and Resources (TCFOR) User Instructions
Appendix 8.	Sample Mandatory Letter of Intent
Appendix 9.	OTIS Applicant Training Course
Appendix 10.	Instructions for Accessing the OTIS Activity Wizard
Appendix 11.	OTIS Activity Wizards List
Appendix 12.	Theory At A Glance: A Guide for Health Promotion Practice
Appendix 13.	Budget Justification Instructions for Funding Opportunities
Appendix 14.	Tobacco Education Clearinghouse of California (TECC): Available Educational Materials
Appendix 15.	Travel Reimbursement Information
Appendix 16.	Comparable State Civil Service Classifications
Appendix 17.	Local Lead Agency and Competitive Grantee Administrative and Policy Manual

Part I. Funding Opportunity Overview

A. Background and Authorizing Legislation

In November 1988, California voters approved passage of the *Tobacco Tax and Health Protection Act of 1988*, also known as Proposition 99 (Prop 99). This initiative increased the state cigarette tax by 25 cents per pack and added an equivalent amount on other tobacco products. The revenue from Prop 99 was designated for tobacco-related research, health education and promotion, and health care services, and as a result, the California Tobacco Control Program (CTCP) was established in 1989.

In November 2016, California voters overwhelmingly approved the *California Healthcare, Research, and Prevention Tobacco Act of 2016,* Proposition 56 (Prop 56), by a 64 percent to 36 percent vote. Prop 56 added an additional $2.00 tax to each pack of cigarettes and an equivalent tax on other tobacco products, including electronic smoking devices (ESDs) and designated that a portion of the tobacco tax revenue be directed toward preventing and reducing tobacco use. Of the funds directed to the California Department of Public Health (CDPH) for a comprehensive tobacco control program, Prop 56 requires that a minimum of 15 percent of funds be used to accelerate and monitor the rate of decline in tobacco-related disparities with a goal of eliminating tobacco-related disparities.

The enabling legislation for California's comprehensive tobacco control program is provided by the following: Assembly Bill (AB) 75 (Chapter 1331, Statutes of 1989), AB 99 (Chapter 278, Statutes of 1991), AB 816 (Chapter 195, Statutes of 1994), AB 3487 (Chapter 199, Statutes of 1996), Senate Bill (SB) 99 (Chapter 1170, Statutes of 1991), SB 960 (Chapter 1328, Statutes of 1989), SB 493 (Chapter 194, Statutes of 1995); the annual State Budget; Health and Safety (H&S) Code Sections 104350-104480, 104500-104545; and Revenue and Taxation Code Sections 30121-30130.

H&S Code Section 104385 authorizes CDPH/CTCP to fund grants that prevent and reduce tobacco use and that do the following:

1. Demonstrate community support for the grant.
2. Coordinate with other local health programs, school-based programs, or voluntary health organizations.
3. Use and enhance existing services and resources.
4. Serve priority populations at high risk of starting tobacco use or developing tobacco-related illnesses.
5. Demonstrate an understanding of the role community norms have in influencing behavior change regarding tobacco use.
6. Develop and/or utilize promising or innovative approaches to diminishing tobacco use among priority populations and facilitate replication by others.

B. Funding Purpose

The purpose of this Request for Applications (RFA) is to fund one (1) grant that will plan, develop, implement, and disseminate resources to facilitate community engagement and organizing among tobacco control stakeholders, gatekeepers, and decision makers that may facilitate and influence the development and adoption of tobacco control-related policy and system changes. Community engagement and organizing activities are expected to support implementation of evidence-based and promising policies and practices that promote community-norm change strategies to create healthy sustainable communities that dissuade or eliminate tobacco use. The funded project is expected to apply the most current research findings to prevent and reduce tobacco use and promote innovative population-based approaches to reduce the number of persons beginning to use tobacco, continuing to use tobacco, or developing tobacco-related diseases.

The beneficiaries of activities funded by this RFA are persons and groups at high-risk of tobacco use and secondhand smoke (SHS) exposure, and the local public health community of California, which includes, but is not limited to: local health departments, cities, counties, planning agencies, local government officials, local policymakers, schools, voluntary health organizations, hospitals, professional organizations, and community-based organizations working with persons and groups at high-risk of tobacco use and SHS exposure.

The solicitation process is to identify an agency or agencies whose background, qualifications, and proposed project(s) best address the goals detailed in the RFA.

C. Funding Restrictions

This RFA will not fund the following:

1. Activities that supplant or duplicate existing applicant programs or services funded by CDPH/CTCP or another source;
2. Objectives that solely focus on increased knowledge or awareness as outcomes;
3. Cessation-only objectives;
4. Purchase or improvement of land, or building alterations, renovations or construction;
5. Fundraising activities;
6. Lobbying;
7. Reimbursement in support of planning activities or preparation and submission of a grant application in response to the RFA;
8. Reimbursement of costs incurred prior to the effective date of the grant;
9. Reimbursement of costs currently covered by another CDPH contract or agreement;
10. Reimbursement of costs that are not consistent or allowable according to local and state guidelines or regulations;

11. Supplanting existing state or local funds use for tobacco use prevention and reduction efforts;
12. Provision of direct medical care, including provision of cessation pharmacotherapy;
13. Reimbursement of professional licensure;
14. Reimbursement of malpractice insurance;
15. Reimbursement to health care providers for the delivery of health care services;
16. Support of religious activities, including, but not limited to, religious instruction, worship, prayer, or proselytizing; and
17. Growing or cultivating traditional tobacco.

D. Public Health Significance of Tobacco Use

Tobacco Use and Disease

Tobacco use remains the number one cause of preventable death, disease, and disability in the United States.[1,2] Forty percent of all cancer diagnoses in the nation are attributed to tobacco use while smoking accounts for 85 percent of lung cancers, 80 percent of chronic obstructive pulmonary disease, 30 percent of cardiovascular disease, and 30 percent of cancer deaths.[1] Each year, tobacco-related diseases account for approximately 40,000 adult deaths in California.[3]

Direct health care costs attributed to tobacco use in California are $13.29 billion annually and of this, California taxpayers spend $3.58 billion dollars each year to treat smoking-related diseases through Medicaid.[4] To put this in perspective, the fiscal year (FY) 2018-2019 budget for CDPH to address public health issues was only $3.2 billion.[5]

California has the second lowest adult smoking rate among the 50 states plus the District of Columbia, second only to Utah.[6] However, California also has the largest number of adults who smoke—3.2 million, which is equivalent to the entire population of Utah.[7] Eliminating tobacco use would profoundly improve the health of Californians and considerably reduce health care costs.

Finishing the Fight to End All Tobacco Use

Since 1989, because of concentrated efforts to reduce the initiation and use of tobacco and to protect non-smokers from SHS, CDPH/CTCP and its partners have reduced the smoking prevalence among adult Californians from 23.7 percent in 1988 to 11.4 percent in 2016, representing a 51.9 percent decline in smoking.[6]

Despite this success, large differences in smoking prevalence and acceptance of smoking persist for adults and youth among many specific population groups, defined by race/ethnicity, socioeconomic status, educational attainment, occupation, mental health status, sexual orientation, gender identity, and geography. Certain high-risk groups suffer disproportionately from tobacco-related illnesses and death despite the progress made in reducing overall tobacco use in California. For example, the American Indian population has the highest smoking rate in California at 24.2 percent, but makes up a small portion of the adults who smoke in California;

conversely, the Hispanic/Latino population has a lower smoking rate at 11.5 percent, but accounts for more than 1.1 million adults who smoke in California.[6]

In addition to these trends, the tobacco industry has embraced modernization to circumvent laws meant to protect the public's health from tobacco and smoking. The booming market around electronic smoking devices (e.g. e-cigarettes, vape pens, tanks, mods) and the affordability of other flavored tobacco products (e.g. cigars, little cigars/cigarillos, pipe, hookah) shows that the tobacco industry continues to target the same populations they always have—racial/ethnic, sexual, and gender minorities, those of low-socioeconomic status, and youth and young adults.[8] To combat the tobacco industry's ploys, CDPH/CTCP and its partners must act as watchdogs to the industry's efforts and be flexible enough to respond to these emerging threats that aim to undo public health efforts in California.

Tobacco's toll extends beyond those who use tobacco. The *2014 Surgeon General's Report, The Health Consequences of Smoking – 50 Years of Progress* confirmed that there is no risk-free level of exposure to SHS.[1] While California has one of the stronger smoke-free workplace laws in the United States, there are still workplaces, including tribal casinos, outdoor worksites, and some hotel/motel rooms, that are not 100 percent smoke-free.[9] The work to protect all Californians from SHS is not done until everyone has a smoke-free workplace. Exposure to SHS has been linked to adverse health effects that harm fetuses, infants, children, and adults. According to numerous Surgeon General Reports, SHS is proven to cause lung cancer, heart disease, serious respiratory illnesses such as bronchitis and asthma, low birth weight, and sudden infant death syndrome.[1]

When it comes to smoking and tobacco use in homes, 31 percent of California households reside in multifamily (multi-unit) housing,[10] where smoking in one unit can negatively impact the health of all residents who live in attached units.[11] In 2017, the second most-common area Californian adults encountered SHS or secondhand aerosol exposure was in the home.[6] There is also growing evidence of the toxicity and health impact of thirdhand smoke, the residual nicotine and other chemicals left on indoor surfaces by tobacco smoke.[12]

In 2017, more than half of adult Californians reported recently being exposed to SHS, and of those, most people report the most recent exposure on the sidewalk, followed by in the home, shopping malls or stores, and outdoor recreation areas.[6] This is why, in addition to smoke-free multi-unit housing, CTCP and its partners continue to work on making outdoor spaces smoke-free and free from the environmental impact of tobacco litter and waste. From parks and beaches, to dining areas and service lines, ensuring that all who live, work, and play in California have access to healthy, smoke-free spaces is a priority for California's local communities.

Ending the Tobacco Use Epidemic

In recent years, there has been an increased understanding and acknowledgement that the tobacco industry and their products has produced the tobacco epidemic. This recognition is facilitating a public health paradigm shift moving the focus from

"tobacco control" strategies to "endgame" strategies.[2] Endgame strategies are those initiatives designed to change or permanently eliminate the structural, political, and social dynamics that sustain the tobacco epidemic, in order to end it within a specific time.[13]

In October 2016, the *New England Journal of Medicine* published an article by Dr. Michael Fiore that analyzed the rates of decline in adult smoking during the presidential administrations of Bill Clinton, George W. Bush, and Barack Obama.[14] Dr. Fiore noted that the fastest rate of decline in adult smoking was under the Obama presidency and attributed this to several policy changes, regulatory actions, and public health initiatives.

These efforts included:

1. A $0.62 federal cigarette tax increase;
2. The enactment of the 2009 Family Smoking Prevention and Tobacco Control Act;
3. The launch of the Centers for Disease Control and Prevention's (CDC) *Tips* cessation mass media campaign;
4. The Affordable Care Act (ACA), which required insurers to cover treatment of nicotine addiction with evidence-based interventions; and other measures which helped accelerate smoking cessation.[14]

Dr. Fiore projected that if the adult smoking rate continues to decline at the pace set during the Obama presidency, then smoking rates in the United States will reach zero by 2035, noting that this is not an aspirational, but an achievable goal.[14] To this end, Dr. Fiore laid out public health policy and education initiatives that will accelerate progress to eliminate tobacco use. These include tobacco excise tax increases, SHS protections, mass media campaigns, interventions targeted towards priority populations, full implementation of the ACA's tobacco use cessation benefits, and raising the legal age of tobacco sales to 21.[14]

In 2016, California took many steps toward Dr. Fiore's vision, including passing a $2.00 tobacco tax (Prop 56) and raising the age of tobacco product purchasing to 21. With the infusion of Prop 56 funding for tobacco use prevention and cessation, California is well positioned to end the tobacco epidemic by 2035, if not sooner.

E. California Tobacco Control Program Goals

In consideration of: 1) the resources provided by Prop 99 and Prop 56; 2) the paradigm shift from "tobacco control" to "endgame" strategies; and 3) a projection that it is possible to eliminate smoking by 2035 nationally; the goal of California's tobacco use prevention and reduction efforts is to end the tobacco epidemic for all population groups. The framework for achieving this overarching goal of ending the tobacco epidemic continues to focus on changing the social norms surrounding tobacco use by "indirectly influencing current and potential future tobacco users by creating a social milieu and legal climate in which tobacco becomes less desirable,

less acceptable, and less accessible."[15] Sub-goals, referred to as priority areas, supporting the social norm change strategy are to:

1. **Limit Tobacco Promoting Influences**. Efforts supporting this goal seek to curb advertising and marketing tactics used to promote tobacco products and their use, counter the glamorization of tobacco use through entertainment and social media venues, expose tobacco industry practices, and hold tobacco companies accountable for the impact of their products on people and the environment.

2. **Reduce Exposure to Secondhand Smoke, Tobacco Smoke Residue, Tobacco Waste, and Other Tobacco Products**. Efforts supporting this goal address the impact of tobacco use on people, other living organisms, and the physical environment resulting from exposure to: SHS, tobacco smoke residue, tobacco waste, and other non-combustible tobacco products.

3. **Reduce the Availability of Tobacco**. Efforts supporting this goal address the sale, distribution, sampling, or furnishing of tobacco products and other nicotine containing products that are not specifically approved by the Food and Drug Administration (FDA) as a treatment for nicotine or tobacco dependence.

4. **Promote Tobacco Cessation**. Efforts supporting this goal improve awareness, availability, and access to cessation assistance via the California Smokers' Helpline, the health and behavioral care systems, and community.

Part II. Finishing the Fight

A. Initiative Overview

The Community Engagement and Organizing Statewide Coordinating Center grantee will address the ongoing and increasing needs for health education, policy, system and environmental change interventions in support of CDPH/CTCP program goals for the 61 local health departments and dozens of local, regional, and statewide grantees working toward ending the tobacco epidemic in California by 2035. (See Appendix 1: *CTCP Local Lead Agencies and Competitive Grantees* for a list of currently-funded projects). Additionally, this project is expected to facilitate engagement of stakeholders, gatekeepers, and decision makers who may influence tobacco control policy and system changes. These include, but are not limited to: housing, environmental and business sectors, the League of Cities, city and county planners, community development agencies, social justice and human rights organizations, and more. The funded agency is expected to develop, implement, and support tailored technical assistance designed to meet the needs of specific geographical and priority populations throughout California, and to collaborate with other CTCP-funded statewide projects as appropriate.

The Tobacco Education and Research Oversight Committee (TEROC), a legislatively mandated body that oversees all Prop 99 and Prop 56 programs, defines priority populations in their 2018-2020 Master Plan to include:

- African Americans, American Indian and Alaska Natives, Native Hawaiians and Pacific Islanders, Asian Americans, and Hispanic/Latinos;
- People of low socioeconomic status;
- People with limited education, including high school non-completers;
- Sexual and gender minorities, including people who identify as lesbian, gay, bisexual, transgender, queer (LGBTQ);
- Rural residents;
- Current members of the military and veterans;
- Individuals employed in jobs or occupations not covered by smoke-free workplace laws;
- People with substance use disorders or behavioral health conditions;
- People with disabilities; and
- School-age youth.

B. Coordinating Center Goals, and Expected Outcomes

Coordinating Center Goal

The Statewide Community Engagement and Organizing Coordinating Center funded project must demonstrate a vision consistent with the CDPH/CTCP endgame strategy. The project must be forward thinking and reflect responsiveness to a rapidly changing tobacco control and public health environment. The funded project must demonstrate the ability to work in demographically and geographically diverse communities, including the ability to provide services and resources in non-English languages.

The goal of the Statewide Community Engagement and Organizing Coordinating Center is to create a cohesive tobacco control movement that engages and energizes local, regional, priority population, and tribal coalitions and advisory boards, and increasingly engages non-public health sectors, such as housing, environmental, and business sectors, League of Cities, county and city planners, and social justice and human rights organizations, to support tobacco use prevention and reduction.

Coordinating Center Expected Outcomes

Because of the grants funded under the *Finishing the Fight 18-10414 and Finishing the Fight 19-10090* RFA, California's local public health projects and their communities will:

1. Have easy access to community organizing and community engagement training, technical assistance, tools, and resources to address tobacco use-related problems in the community.

2. Have easy access to specific and customized education, knowledge, skills, and tools needed to facilitate health promoting policy, regulation, and community norm change strategies.

3. Effectively organize and empower local residents to promote the interest of their community, using strategies that include meeting with corporate or government policymakers to hold them accountable for their actions, designing programs for others (not the group) to implement that meet the needs of the community, and aggressive group action to block negative developments or behaviors (e.g., relaxing smoking restrictive laws to permit other like-behaviors in public spaces).

4. Implement innovative strategies to address the specific priority population and community needs. The strategies will be customizable so local communities can target high-risk persons and groups, such as youth and young adults, people of low socioeconomic status, people with limited education, including high school non-completers, people who identify as LGBTQ, African American/Black, Hispanic/Latino, American Indian, and Asian/Pacific Islander, current smokers, military/veterans, and those with behavioral health issues.

5. Effectively organize and empower high-risk persons and groups to effect change within their own communities and the state of California.

6. Identify the most effective strategies needed to achieve a variety of goals and improve upon the strategies through evaluation of the impact and reach of all activities.

C. General Scope of Work Requirements

The grant application must meet the following requirements:

1. Provide a comprehensive and detailed “road map” for the grant project that describes what will be done, how much will be done, where activities will occur, methods used, when activities will occur, responsible parties, and tracking measures that verify completion of activities.

2. Demonstrate coordination/collaboration with other CTCP-funded statewide, regional, and local tobacco control projects to avoid duplication and leverage the knowledge and capacity of these projects.

3. Provide tangible work products as a result of activities completed in the Applicant’s scope of work (SOW), including, but not limited to educational materials, training resources, and reports. See Appendix 2: *Sample Scope of Work for Statewide Applicants* for examples of activities and their tracking measures.

4. Do not supplant existing activities of the applicant agency or duplicate the activities of other statewide CDPH/CTCP-funded projects.

5. Allocate a minimum of five (5) percent of the total deliverables/budget towards process evaluation activities.

6. Designate a minimum of one position (Project Director or Project Coordinator) at a minimum of 100 percent full-time equivalency (FTE). One of these positions must be listed as the Primary Tobacco Contact in OTIS, act as the primary day-to-day point of contact for CTCP communication to the project, and regularly access OTIS and Partners. This position is responsible for overall and day-to-day management related to implementing and evaluating the SOW; preparing or overseeing the preparation of the plan, budget, progress reports, cost reports; and maintenance of required documents for auditing purposes.

7. Designate a qualified External Plan Evaluator who is responsible for conducting technical aspects of the evaluation including the design, sampling, and training of data collectors, data analysis, and summarizing evaluation results. The Plan Evaluator must be the minimum of a 10 percent full-time position (e.g., minimum of 208 working hours per year). See Table 7. *Required Staffing* for a description of the minimum qualifications for the Plan Evaluator.

8. Include objectives to address: a) Organizing and scheduling Information and Education Events for CDPH/CTCP funded projects and coalition members to outreach to policymakers; b) Provision of a dynamic system to provide, coordinate, and broker tailored expert and peer-to-peer technical assistance services that promote grassroots social change initiatives; c) Outreach and engagement of new and non-traditional partners and creating linkages between these groups and CTCP-funded projects; and d) Development of culturally and linguistically appropriate educational materials and resources to support community engagement, organizing, and relationship building with new and non-traditional partners.

9. Objectives are to be specific, measurable, and describe the expected outcome of activities. See Table 1. Asset List and Sample Objectives and Appendix 3: *2016 Communities of Excellence Indicators and Assets*, Assets 2.1 (Training and Skill Building), 3.4 (Tailored Educational, Outreach and Media Materials) and 2.3 (Key Opinion Leader Support). Selecting additional assets or indicators for the 56 month period from Appendix 3: *2016 Communities of Excellence Indicators and Assets* beyond these required objectives is optional, but strongly encouraged.

Table 1. Asset List and Sample Objectives

Asset	***Sample Objective***
2.1: Training and Skill Building (REQUIRED)	By DATE, engage and empower CDPH/CTCP-funded projects, local tobacco control coalition and community members, and priority population groups to educate policymakers about the social, health, and economic impact of tobacco and tobacco-related disease in California by annually organizing an Information and Education Day with a minimum of (insert #) of state policymakers, and (insert #) local policymaker outreach events to reach a minimum of (insert #) of policy makers and (insert #) of local community-centric trainings (e.g., a Coalition Leaders' Conference).
2.1: Training and Skill Building (REQUIRED)	By DATE, implement a dynamic system to provide, coordinate, and broker tailored expert and peer-to-peer technical assistance services that promote grassroots social change initiatives. A biennial user survey will demonstrate that 80% of system users report moderately high-to-high confidence in preparing and implementing a Midwest Academy Strategy Chart and employing community organizing strategies to facilitate tobacco control policy and system changes.
2.3 Key Opinion Leader Support (REQUIRED)	By DATE, conduct outreach to and engage a minimum of (insert #) of new partners from housing, environmental, and business sectors, city/county planners, League of Cities, community development agencies, social justice and human rights organizations resulting in an increase in the proportion of organizations from these sectors reporting they were occasionally to frequently engaged in tobacco use prevention and reduction efforts in the past year.
3.4: Tailored Educational, Outreach and Media Materials (REQUIRED)	By DATE, create and/or modify a minimum of (insert #) of tailored and linguistically-appropriate educational materials and resources that address community organizing, community engagement, and stakeholder outreach. User evaluation of educational and resource materials will demonstrate that a minimum of 80% of the target audience refers to the materials sometimes and rates the materials as moderately relevant and useful to their tobacco control efforts.

10. The most competitive applications for the funding category will be those that contain the following recommended SOW elements. These elements may be broken down into quantifiable activities to better support the objectives:

a. Plan and conduct annual informational and educational outreach to policymakers;
b. Plan and implement a dynamic system to provide, coordinate, and broker tailored expert and peer-to-peer technical assistance services that promote grassroots social change initiatives. At a minimum the system is to include: brief and complex technical assistance, in-person training, and webinars to target audiences that reflects tailored approaches and emphasize meeting the needs of underserved populations and communities;
c. Incorporation of a Direct Action Organizing model,(e.g., Midwest Academy strategy) for organizing for social change;[16]
d. Create educational materials, tools, and resources that support a dynamic system to provide, coordinate, and broker tailored expert and peer-to-peer services that promote grassroots social change initiatives and proposed project goals and objectives and support community engagement, organizing, and stakeholder engagement from outside the public health and health care system sector;
e. Build relationships with housing, environmental and business sectors, California League of Cities, city and county planners, social justice and human rights groups, other non-traditional partners, and create linkages between these groups to CDPH/CTCP-funded projects.
f. Maintain and evaluate a webpage to promote and market services to target audiences;
g. Develop and promote case studies and success stories related to the proposed objectives; Conduct evaluation and surveys in support of project goals and objectives such as annual target audience needs assessments, polling, public intercept surveys, key informant interviews, and/or the tracking of tobacco industry activity.

11. Submit a Brief Evaluation Report to CTCP in the final progress reporting period of the grant, completed for each objective proposed in the SOW. For more information about completing these reports, please see Appendix 4: *Tell Your Story: Guidelines for Preparing Useful Evaluation Reports*.

Part III. Funding Opportunity Details

A. Eligibility Criteria

1. **Organizational Type**
   A. California public or private non-profit entities are eligible to apply for these funds; an Applicant may include partners as subcontractors.
   B. Eligible entities include, but are not limited to: local health departments, hospitals, community clinics, voluntary health organizations, American Indian tribes, colleges and universities, county offices of education, school districts, health maintenance organizations, professional health associations, and professional health education associations.

C. Applicants claiming private non-profit status must submit proof of their non-profit status with their proposal. Either certification from the State of California, Office of Secretary of State, or a letter from the Department of Treasury, Internal Revenue Service classifying the agency as a non-profit agency is acceptable proof. For examples, see Appendix 5: *Sample Non-Profit Status Letter*.
D. LLA Applicants: Pursuant to H&S Code Section 104440, **Local Lead Agencies (LLAs) are ineligible for awards under the competitive grants program unless the Applicant is a participant within a consortium of community-based organizations or non-profit agencies**.
   i. In any application that includes a LLA, the LLA must be the Applicant agency and serve as the administrative hub for the consortium partners.
   ii. A LLA consortium Applicant should include no more than two (2) additional partners (not including an external local program evaluator).
   iii. The LLA may not be the recipient of more than one-third of the annual budget request.
   iv. Consortium partners do not need to be funded equally.
E. State of California agencies, other than state universities, colleges, and community colleges, are not eligible.

2. **Agency Qualifications**
   Applicant agencies must have, at a minimum:

   A. An office that has been physically located, for at least three (3) years, in the state of California;
   B. The agency's capability to serve all CDPH/CTCP-funded projects statewide;
   C. Demonstrate a strong record of accomplishment in providing training and education related to community organizing, community engagement, and relationship building;
   D. Three (3) years of experience in program monitoring, including data collection and reporting of performance measures; and,
   E. Staff (and subcontractors if proposed) whose experience and training are well suited to the purpose and activities of the grant.

3. **Certify No Tobacco Industry Conflict**
   To avoid any real or apparent conflict of interest on the part of the proposed Awardee or any of its proposed subcontractors, employees, officers and directors of the Applicant or its proposed subcontractors, Applicant certification to this effect is required at the time the application is submitted. See Appendix 6: *Certification of Non-Acceptance of Tobacco Fund*.

With regard to universities or colleges, the Principal Investigator (PI) of the university or college must certify that he/she or any of the investigators associated with the contract (either paid, voluntary, or in-kind) have not received funding from, nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries, or parent company within the last five (5) years prior to the start date of the contract period. In addition, the PI of the university or college must certify that he/she or any of the investigators associated with this grant will not accept funding from, nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries, or parent company during the term of the grant with CDPH/CTCP. The PI's certification to this effect is required at the time the application is submitted.

B. Agreement Term and Funding Availability

1. **Funding Term**
   A. The term of the Agreement is expected to be 56 months and is anticipated to be November 1, 2019 – June 30, 2024. The Agreement term may change if CDPH/CTCP makes the awards earlier than expected or if CDPH/CTCP cannot execute Agreements in a timely manner due to unforeseen delays.
   B. The resulting Agreement will be of no force or effect until it is signed by both parties and approved by CDPH/CTCP. The Awardee is cautioned not to commence performance until all approvals are obtained. Should performance commence before all approvals are obtained, said services may be considered to have been volunteered without State reimbursement.
   C. CDPH/CTCP reserves the right to modify the term of the resulting Agreement via a formal amendment process to modify the SOW or budget based on changes in a rapidly evolving tobacco control environment.

2. **Funding Amount**
   The maximum amount to be distributed among the Awardee is anticipated to be $5,600,000 for 56 months. Table 2. *Maximum Fiscal Year Award* displays the maximum budget per awardee for each fiscal year. CDPH/CTCP reserves the right to initiate amendments as necessary to redistribute funds between fiscal years to meet the needs of the State. Awardee should not anticipate that unspent funds will be rolled forward from one fiscal year to the next.

Table 2. Maximum Fiscal Year (FY) Award

Fiscal Year	Maximum Funding for Awardee per Grant Term
FY 19/20	$800,000
FY 20/21	$1,200,000
FY 21/22	$1,200,000
FY 22/23	$1,200,000
FY 23/24	$1,200,000
TOTAL = Max Amount for 56 Months	**$5,600,000**

3. **Funding Augment**
   A. At its sole discretion, CDPH/CTCP shall have the option to provide additional funding to the project, beginning in FY 19/20, not to exceed 10 percent of the grant amount, per FY year.
   B. Additional funding is contingent upon available revenues, and appropriations by the Legislature and the Governor. CDPH/CTCP reserves the right to negotiate additional work with the successful Applicant that is consistent with the goals of this grant should additional funding become available.
   C. If the decline in Prop 99 and/or Prop 56 revenue is greater than projected by CDPH/CTCP, necessitating a reduction in the grant award, the grant will be equally reduced by a proportional amount (e.g., 10 percent), except in the case where an Awardee has two (2) or more disapproved progress reports. In that case, the grant may be terminated in lieu of a percentage reduction.

4. **Funding Availability**
   Funding and payment for performance under the resulting grant are dependent upon availability of future appropriations by the State Legislature and the Governor. No legal liability on the part of the State for any payment may arise under the resulting grant until funds are made available through an annual appropriation in the Budget Act.

5. **Funding Source(s)**
   The source of funding is The California Healthcare, Research and Prevention Tobacco Tax Act of 2016 (Prop 56), and Health Education Account (Prop 99).

C. Timeline and Award Schedule

Key dates are presented in Table 3. *Tentative RFA Timeline and Award Schedule*. CDPH/CTCP reserves the right to adjust any date and/or time as necessary. Date and time adjustments will be posted to the CTCP Tobacco Control Funding Opportunities and Resources (TCFOR) website.

Table 3. Tentative RFA Timeline and Award Schedule

Key Action	Date (all times in Pacific Time)
RFA Release Date	Wednesday, April 17, 2019
OTIS Open for Application Input	Thursday, April 25, 2019
Informational Webinar	**Thursday, April 25, 2019, 10:00 AM**
Round 1: Submit Written Questions to CTCP	Tuesday, April 30, 2019
Round 1: Responses to Questions Posted	Friday, May 3, 2019
Mandatory Letter of Intent Due Date	**Wednesday, May 8, 2019, 5:00 PM**
Grant-Writing Webinar	**Tuesday, May 14, 2019, 10:00 AM**
Round 2: Submit Written Questions to CTCP	Thursday, May 16, 2019

Key Action	Date (all times in Pacific Time)
Round 2 : Responses to Questions Posted	Wednesday, May 22, 2019
Applications Due	**Wednesday, June 12, 2019, 5:00 PM**
Public Notice of Intent to Awards/Awards Posted	Thursday, July 11, 2019
Dispute Filing	Thursday, July 18, 2019, 5:00 PM
Final Announcement of Awards	Monday, July 22, 2019
All Documents Finalized for Submission to Contract Management	Monday, August 26, 2019
Grant Start Date	Friday, November 1, 2019
Grant End Date	Sunday, June 30, 2024

Part IV. Application Submission Requirements

A. Mandatory Non-Binding Letter of Intent

Submission of a non-binding Letter of Intent (LOI) to notify CDPH/CTCP of the Applicant's intent to submit an application is required to proceed with an application, prior to the application due date. One (1) signed LOI must be submitted for each application that the Applicant intends to submit. The LOI provides information that is helpful to CTCP in planning the review and scoring process. Applicants that do not submit a LOI by the deadline will not be considered for funding.

1. The LOI is non-binding and Applicants submitting a letter may elect not to submit an application.

2. The LOI is to be submitted by the Applicant on their agency letterhead, and must include the following:
   A. Title and number of the Request for Applications under which the application will be submitted (Finishing the Fight: Statewide Coordinating Center for Community Engagement and Organizing, RFA CTCP 19-10090);
   B. The Applicant's capability to work statewide in California;
   C. A short description of the proposed project; and
   D. Signature of the authorized agency signatory or their official agent.

3. LOI's are only accepted via the TCFOR website. Please do not send letters via the United States Postal Service, express mail, email or fax; they will be considered non-compliant.

4. Prepare the letter using word processing software and save the document to your computer as a word document or PDF. To upload the LOI, refer to Appendix 7: *Tobacco Control Funding Opportunities and Resources (TCFOR) User*

Instructions. Once the Applicant creates a "User Account" and "Request to Apply" for the funding opportunity, a LOI can be uploaded.

5. One (1) signed LOI per application must be uploaded to the TCFOR website by 5:00 pm Pacific Time (PT), on the date identified in Table 3. *Tentative RFA Timeline and Award Schedule*. Letters submitted past the deadline will not be considered. It is strongly advised that Applicants submit their LOI prior to the due date in case technical difficulties are encountered. The electronic time stamp will be used to verify on-time submission. Technical difficulties will not relieve the Applicant of meeting the submission deadline. LOI's will NOT be accepted via email, fax, or mail.

6. The electronic time stamp will be used to verify on-time submission. Technical difficulties will not relieve the Applicant of meeting the submission deadline. It is strongly advised that Applicants submit their LOI prior to the due date in case technical difficulties are encountered.

Please see Appendix 8: *Sample Mandatory Letter of Intent* to assist with this process. For technical assistance with uploading the LOI, call Humberto Jurado at (916) 449-5474 or Daniel Barraca at (916) 324-2468. Please do not wait until 4:00 pm of the submission due date to ask for assistance, as Mr. Jurado or Mr. Barraca may be assisting others.

B. Informational and Grant–writing Webinars

CDPH/CTCP has scheduled optional online GoToTraining© webinar for Applicants. Those intending to submit an application are strongly encouraged to participate. The RFA 19-10090 Informational Webinar is on Thursday, April 25, 2019, at 10:00 am. The purpose of the Informational Webinar is to provide interested parties with an opportunity to ask questions about the preparation and submission of the application. The Informational Webinar access codes will be posted at the TCFOR website.

An additional Grant-writing Webinar will take place on Tuesday, May 14, 2019, at 10:00 am Pacific Time (PT). The purpose of the Grant-writing Webinar is to provide potential Applicants information needed to effectively write and format their applications for submission. The Grant-writing Webinar access codes will be posted at the TCFOR website.

C. Applicant Questions and Reporting of Errors in the RFA

CDPH/CTCP will accept questions and reporting of errors related to this RFA. Questions may include, but are not limited to, clarification of eligibility, or about the instructions, requirements, or RFA materials. **All Applicants must follow the process below to submit a question. CDPH/CTCP will not respond to questions directed to individual CDPH/CTCP employees.**

Applicants that fail to report a known or suspected problem with this RFA and/or its accompanying materials or fail to seek clarification or correction of the RFA and/or its accompanying materials shall submit an application at their own risk. In addition, if an award is made, the successful Applicant shall not be entitled to additional compensation for any additional work caused by such a problem, including any ambiguity, conflict, discrepancy, omission, misinterpretation, or error.

1. **How to Submit Questions or Report an Error in this RFA**
   A. Submit questions or errors by email to CTCPCompetitiveGrants@cdph.ca.gov, with the subject line "CTCP RFA #19-10090." Verbal questions will not be accepted.
   B. CDPH/CTCP will send an email to confirm receipt of written questions. If confirmation is not received, Applicants may resubmit or call (916) 449-5500 prior to the stated deadline to confirm receipt of the questions by CDPH/CTCP.
   C. There will be two (2) rounds of question submissions, one (1) prior to the LOI due date, and a second prior to the application due date. See Table 3. *Tentative RFA Timeline and Award Schedule* for dates.
   D. Errors in the RFA or its instructions may be reported up to the application submission due date.

2. **What to Include in an Inquiry**
   A. Name of inquirer, name of the organization represented, mailing address, area code and telephone number, and email address.
   B. A description of the subject, concern, or issue in question or RFA discrepancy found.
   C. RFA section, page number and other information useful in identifying the specific problem, concern, or issue in question.
   D. Proposed remedy sought or suggested, if any.

3. **Response by CDPH/CTCP**
   A. CDPH/CTCP reserves the right to seek clarification of any inquiry received and to answer only questions considered relevant to this RFA. At its discretion, CDPH/CTCP may consolidate and/or paraphrase similar or related inquiries.
   B. Questions and answers received through the process outlined will be published on the TCFOR website. See Table 3. *Tentative RFA Timeline and Award* Schedule for dates.
   C. Verbal questions will not be accepted. All questions must be transmitted in written form according to the instructions in this RFA.
   D. CDPH/CTCP may issue an addendum to address errors in the RFA until the application submission deadline. These will be posted on the TCFOR website.

D. Application Submission

Applications are to be submitted through the Online Tobacco Information System (OTIS). Applications received after the due date/time will not be reviewed. Submission before the deadline date is advised, in case you experience technical difficulties with submitting your application through OTIS. The OTIS electronic time stamp will be used to verify on-time submission. Technical difficulties will not relieve the Applicant of meeting the submission deadline. Please be aware that OTIS includes an electronic submission check system that will prevent submission of application that does not meet minimum submission requirements (e.g., required form not completed). CDPH/CTCP may not be able to respond to your requests for help on the deadline date.

For technical assistance regarding the use of the TCFOR or OTIS websites, contact: Humberto Jurado at (916) 449-5474 or Daniel Barraca at (916) 324-2468.

Part V. Application Submission Process

A. Description of the Online Tobacco Information System (OTIS)

1. **What is OTIS?**
   Responses to this RFA shall be submitted through OTIS. OTIS is a secure, passcode-protected knowledge management system that is used to submit, review and score applications, negotiate the SOW and budget, and submit and approve progress reports. The system is accessible 24 hours a day, seven days a week, and provides access to several reports and a communication system. Applicants and Awardees are required to use OTIS for the submission of their applications, progress reports, and maintaining grant-related communications.

2. **What help is available for using OTIS?**
   A. User Account Instructions: For guidance on how to submit an "Applicant Registration" form, LOI, and create an OTIS "User Account," see the *Application Registration Instructions* found on the TCFOR Overview webpage.
   B. Webinar Training: The Informational Webinar will review the requirements of this RFA; provide information on requesting a "User Account," and how to use OTIS. Webinar information is on TCFOR.
   C. Web-based Tutorial: OTIS includes a web-based training tutorial entitled, *Creating Your Application/Plan*. This training explains how to use the system and instructions for completing each of the application components. See Appendix 9: *OTIS Applicant Training Course.*
   D. OTIS Page Guides: OTIS includes Page Guides, which provide information clarifying how to complete requested information. Page Guides are accessible from the page you are completing and allow you to access help without leaving the page you are working on.

E. OTIS Wizards: OTIS wizards are available for objectives, intervention, evaluation, and budget activities. These are pre-written activities that are common to many applications they can be inserted into the SOW and tailored to the Applicant's project. See Appendix 10: *Instructions for Accessing the OTIS Activity Wizard*.
F. Telephone Assistance: Call Humberto Jurado at (916) 449-5474 or Daniel Barraca at (916) 449- 324-2468.

B. OTIS Application Instructions: Contact Information

COMPLETE THE CONTACT INFORMATION (REQUIRED BUT NOT SCORED)

The purpose of this section is to collect information about the Applicant, the geographic service area of the proposed project, proposed project director, agency fiscal contacts, and Official Agency Signatory. Input the requested information into the Contact Information section in OTIS.

1. My Agency: Provide the Applicant's name, phone and fax numbers, physical and mailing addresses, Federal Employer Identification Number, and the health jurisdiction in which the Applicant is located. The 58 counties and three (3) cities of Berkeley, Long Beach, and Pasadena are designated as health jurisdictions.
2. Contact Information: Provide specific contact information for the Project Director, Primary Tobacco Contact, Agency Fiscal Officer, Day-to-Day Fiscal Contact, and Official Agency Signatory.

C. OTIS Application Instructions: Applicant Capability

APPLICANT CAPABILITY (REQUIRED AND SCORED)

This section provides information regarding the Applicant's ability to successfully implement the proposed tobacco control project. The Applicant needs to demonstrate its organizational capacity based on current and past successes, and lessons learned. Please respond to each item below. In some responses, the Applicant should also address the capacity of significant subcontractors and consultants.

1. **Program Experience:**
   A. Statewide Capacity: Provide details about the Applicant's history working in California and its capacity to operate statewide including in demographical diverse and rural communities.
   B. Organizational Mission: Briefly describe: 1) the Applicant's mission and the types of programs and services the Applicant conducts and where they are conducted; 2) the audiences, groups and organizations that the Applicant works with in carrying out its mission; and, 3) how the Applicant's mission is consistent with CTCP's mission and the RFA goals and services to be funded by this RFA.

C. Capacity to Meet RFA Goals: Briefly describe the Applicant's record of accomplishment and experience related to: 1) organizing and engaging communities towards social change; 2) community capacity building; 3) tobacco control-related issues; and, 4) program monitoring, data collection, and reporting performance measures and key findings.
D. Prior Work Experience: Briefly describe the Applicant's experience with: 1) developing and maintaining communication systems to engage partners and rapidly disseminate information; 2) developing culturally competent and non-English language educational materials; 3) outreach to policymakers and key community leaders, and 4) relationship building with non-traditional stakeholders and gatekeepers.
E. Cultural Responsiveness: Briefly describe the ability and specific experiences of the Applicant and any subcontractors with: 1) working in diverse populations including American Indian tribes/communities, African American/Black, Asian/Pacific Islander, Hispanic/Latino, LGBTQ, Rural and low-income populations; 2) diversity of the proposed project staff and their language competencies other than English; and 3) diversity of the applicant agency's staff as a whole and that of the Applicant agency board members.
F. Program Staffing: Describe the formal educational background, professional experience, and describe the qualifications of the program staff and subcontractors (if applicable) proposed for this project. Include the length of time staff worked on projects to create policy, system, or environmental changes successfully, implement and evaluate a project that will, plan, develop, and support implementation of evidence-based and promising practices that promote community organizing and engagement and relationship building with non-traditional partners .This description should demonstrate that the proposed project staff and subcontractors (if applicable) are qualified to successfully complete the proposed project. If project staff/subcontractors are to be hired post-award, then describe the education and professional experience sought, and the Applicant's recruitment and hiring plan. In the description of project staff and any subcontractors, describe the proposed structure of supervision, oversight, and support to be provided to ensure internal communication and timely completion of project activities.

2. **Organizational Start Up and Equipment**
   A. Organizational Start Up: Describe the Applicant's primary physical office space and location for the proposed project, capability and resources to start, begin implementation of activities within six (6) weeks of the grant start date and primarily deliver services Monday through Friday between the hours of 8:00 am and 5:00 pm, Pacific Time (PT).
   B. Equipment: Successful Applicants are required to provide 50 percent of the office, computer, software, and communication equipment for staff, subcontractors, and consultants. Describe the existing office equipment, computer equipment, software, and communication equipment to be provided available for use under the term of the grant. Provide information about:

i. The number and type of equipment available to staff on the project to use (e.g., desks, chairs, personal computers, printers, reproduction/duplication/copiers, scanners, mobile devices, etc.).
ii. The type of computer software and applications the Applicant has for office tasks, such as email, word processing, spreadsheets, PowerPoints, record management, web-conferencing, website development, and reliable access to the Internet.
iii. Approximately when the computer equipment was purchased.

3. **Administrative/Fiscal Experience and Audit History**
   A. Administrative Staffing: Describe the Applicant's current administrative staffing pattern for activities such as contract and grant management including oversight, payroll, bookkeeping, invoicing, and tracking of contractual, administrative, and fiscal controls. Describe the educational background and qualifications of key administrative staff including subcontractors and/or consultants.
   B. Fiscal and Contract/Grant Compliance: Describe the Applicant's performance within the last three (3) years with the management of government and/or non-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.
   C. Audit History: Describe the Applicant's fiscal and (if any) programmatic audit history within the last three (3) years. Information is to include frequency of the audits, dates of the audits, and a summary of the audit findings. Thoroughly explain any negative audit findings and their resolution. If the Applicant was audited by a governmental agency within the last three (3) years, provide the name of the government agency, the agency's contact person and phone number, the year the audit was conducted, and the audit findings and resolution.
   D. Tax Debtor List Requirements: All Applicants must address the requirements of the Tax Debtor List to meet the requirements of Public Contract Code Section 10295.4. Vendors are ineligible to enter into, or renew any contract with the state for goods or services if a vendor is delinquent on paying state income tax in excess of $100,000 to the California Franchise Tax Board. Prior to submitting a bid or proposal and prior to executing any state contract or renewal of goods or services, a vendor must certify that it is not on the list of ineligible vendors prohibited from doing business with the State of California. During the bid evaluation, it is the buyer's responsibility to check the list of ineligible vendors to confirm that the bidder is not on that list. **Follow the instructions in the Additional Documents section of this RFA for required documentation.**

4. **Letters of Reference**
   A. Solicit, scan, and upload into OTIS three (3) letters of reference from three (3) separate entities. Letters of reference must be written to the Applicant and

speak to the competencies of the prime Applicant and significant subcontractors, if appropriate. No more than three (3) letters will be accepted. If the Applicant is currently or has received funding from a governmental agency, other than CTCP, within the last two (2) years, one (1) of the references **must** be from one (1) of the government agencies. The letter from the government funder must address the Applicant's programmatic and fiscal accountability in administering the government funds and completing project activities. Do not include letters of reference from the Applicant's subcontracting partners. Each letter must be on the reference provider's letterhead and include:

i. The address, telephone number, e-mail, name, and title of the letter's author.
ii. A description of the capacity in which the reference provider worked with the Applicant.
iii. A description of the Applicant's ability to provide training and technical assistance related to community organizing and engagement and materials development;
iv. A description of the Applicant's ability to establish and maintain positive collaborative relationships with demographically and geographically diverse communities and create new partnerships;
v. A description of the Applicant's ability to fulfill the fiduciary and grants management functions. (Mandatory for Letters of Reference from current or prior Government Funder.)

D. OTIS Application Instructions: Evaluator Information

EVALUATOR INFORMATION (REQUIRED AND SCORED)

1. Select the Plan Evaluator. See the OTIS web-based training unit: *Creating Your Application/Plan;* module: *Evaluator Information* for instructions on how to invite, identify, and select the Plan Evaluator (see Appendix 9: *OTIS Applicant Training Course* for access instructions).
2. After the Plan Evaluator is selected, this individual must complete and independently submit through OTIS the "Certification of the Evaluator's Role in Preparing the SOW." See the OTIS web-based training unit: *Creating Your Application/Plan* module: *Evaluator Information* for instructions on how to manage the certification.
3. Make sure the evaluator is aware of this requirement and do not wait until the due date for the evaluator to submit the certification. Technical difficulties will not relieve the Applicant of meeting the submission deadline and an application cannot be submitted without this task complete.

E. OTIS Application Instructions: Scope of Work – Intervention Plan

SCOPE OF WORK (SOW) – INTERVENTION PLAN (REQUIRED AND SCORED)

1. SOW: Develop a 56 month SOW that includes objectives and activities that will accelerate the adoption, implementation, and impact of policy, systems, and environmental change campaigns conducted through assistance provided to CDPH/CTCP-funded projects and local communities. The SOW is to be commensurate with the costs included in the budget and budget justification. Complete the following items pursuant to the OTIS web-based training unit *Creating Your Application/Plan* (see Appendix 9: *OTIS Applicant Training Course* for access instructions):
   A. Project Objectives: Include objectives that are specific, measurable, attainable, relevant, and time-limited (SMART).
   B. Indicator/Asset: Identify the Indicator or Asset associated with the objective (see Appendix 3: *2016 Communities of Excellence Indicators and Assets List*).
   C. Target Audiences: Identify the Target Audiences to be actively engaged in activities. The Target Audiences must appear in the description of activities and relate to the populations of focus for the application.
   D. Evaluation Design: Identify the Evaluation Design for the objective.
   E. Intervention Topics: Identify Summary Intervention Topics appearing in the SOW.
   F. Intervention Activities: In a brief narrative format, describe the series of activities to be implemented to achieve the objective. Each activity is to briefly describe and quantify what will be done, how much will be done, where activities will be done, and who will be involved. It is strongly recommended that activities and approaches reflect a tailored approach to underserved populations and geographical areas, including addressing non-English language learners. It is recommended that the Applicant use the OTIS wizards to get started. See Appendix 10: *Instructions for Accessing the OTIS Activity Wizard* and Appendix 11: *OTIS Activity Wizards List* for more information.

2. Coordination and Collaboration Requirements:
   A. The SOW must reflect coordination/collaboration with other CDPH/CTCP-funded tobacco control projects such as statewide, regional, local, and Tribal funded projects. These include, but are not limited to: California Smokers' Helpline, The Center for Tobacco Cessation, Tobacco Control Evaluation Center (TCEC), Rover Library, The LOOP, the Tobacco Education Clearinghouse of California (TECC), and Priority Population Statewide Coordinating Centers.
   B. Conduct outreach to and establish relationships with non-traditional stakeholders, gatekeepers, and decision makers that may include, but are not limited to housing, environmental, and business sectors, League of California Cities, county and city planners, social justice, and human rights groups to

leverage the resources and capacities of these organizations towards tobacco use prevention and reduction.

3. Communication Requirements: Applicants are required to engage in the collaborative efforts that contribute to and sustain California's broader tobacco control movement. At minimum, Applicants are required to include activities in their SOW that reflect the following:
   A. At least one (1) staff member will log into the Partners website, the statewide password protected electronic communication system, developed to link CTCP with its funded projects, a minimum of once per week;
   B. At least annually, submit a Partners' *Spotlight On* article highlighting a major success of their program;
   C. At least four (4) times a month, post and/or respond to questions or comments on the Partners' *InfoHub* forum to share their resources and services;
   D. On a regular basis, market training and technical assistance opportunities, and resource materials developed;
   E. On a regular basis, submit educational materials developed under the funded project along with testing results (e.g., reading level, consumer focus group results) to be cataloged through the TECC website.
   F. Facilitate community organizing, community engagement, and development of new partners with such groups as housing, environmental and business sectors, League of California Cities, city and county planners, community development agencies, and social justice and human rights organizations.

4. For each activity, complete the following information:
   A. Copyright: Designate if the activities describes a work product that may be copyrighted, (e.g., brochure, fact sheet).
   B. Percent Deliverables: Identify the combination of staff and budget resources necessary to complete the activity. Percent deliverables for the entire SOW must equal 100 percent.
   C. Start/End Dates: Designate the progress report period in which an activity will begin and the date in which the activity will be completed.
   D. Responsible Parties: Identify budgeted personnel (e.g., staff positions, consultants and subcontractors, and non-budgeted entities such as volunteers, advisory council members) responsible for completing activities. Budgeted titles must be consistent with the titles used in the Budget Justification.
   E. Tracking Measures: Identify tracking measures to be submitted to CTCP that substantiate completion of each activity.
      i. List no more than two (2) tracking measures per activity.
      ii. Each tracking measure should be unique and specific to the activity.
      iii. Do not list the same tracking measure for multiple activities.
      iv. Tracking measures in which the percent deliverable is greater than zero percent must be designated as being submitted with the progress report.

v. Zero percent activities should be limited to certain incentive and collaboration/coordination activities.

F. OTIS Application Instructions: Scope of Work – Evaluation Plan

EVALUATION PLAN (REQUIRED AND SCORED)

1. Evaluation Plan Overview: Prepare the evaluation plan by completing the evaluation section using appropriate process (formative activities that inform the project's intervention activities) and outcome (activities that measure the success of the project's work toward their objective) data collection strategies to improve the intervention and measure the outcome and/or impact of the intervention. OTIS offers the following types of evaluation activities: Annual Needs Assesments, Focus Groups, Key Informant Interviews, Public Opinion Polls/Intercept Surveys, Education/Participant Surveys, Policy Records, Media Activity Records, Young Adult Tobacco Purchase Survey, and Other Evaluation Activities.

2. Evaluation Activity Narrative: Describe the evaluation activity including: the instrument to be used, topic or focus of the data collection, data collection method, who or what is being sampled, sample size, sampling method, and where the data will be collected

3. Evaluation Activity Fill-in Boxes: For each evaluation activity complete the following information:
   A. Identify if the evaluation activity reflects a process, outcome, or both process and outcome data collection.
   B. Identify how many waves of data collection will occur, (e.g., use one (1) wave for continuous data collection such as website analytics or media activity records; use two (2) waves for a pre-post design; use five (5) waves for an annual design).
   C. Identify if data collectors will be trained to collect data. **If "Yes", a Training Activity must be included in the Intervention Plan** that describes who will be trained, how many will be trained, the length of the training, and the content of the training.
   D. Copyright*
   E. Assignment of a Percent Deliverable*
   F. Assignment of Start/End Dates
   G. Assignment of Responsible Parties
   H. Assignment of Tracking Measures to document completion of activities

4. Evaluation Reporting Section. Describe how the evaluation data will be analyzed and disseminated, designate the progress report period in which the Brief Evaluation Report will be submitted to CTCP, assign a percent deliverable for report

* Refers to items that are required to be completed and submitted, but are not used to score the Plan.

documents, and describe any limitations or challenges anticipated with completing the evaluation. Similar to the other activities, complete Tracking Measures and Responsible Parties. See Appendix 4: *Tell Your Story: Guidelines for Preparing Useful Evaluation Reports* for guidance.

G. OTIS Application Instructions: Scope of Work – Narrative Summary

NARRATIVE SUMMARY (REQUIRED AND SCORED)

1. Community Assessment Analysis (600-word limit): The Community Assessment Analysis is to justify and support the selection of, the proposed objectives, target audiences, and strategies. Applicants may demonstrate the need and evidence-base for the intervention using community needs assessment findings; local, state or national data that describe the problem; or a summary of evidence-based literature and/or community-defined evidence. To cite data or literature, please state the author, publication title, and year, (e.g., Mamudu, et.al, Public Health Management & Practice, 2016).

2. Major Intervention Activities (400-word limit): In a narrative format, provide a concise summary of the activities to be implemented, and how these activities will meet the goals and required work components of this RFA. Explain how activities will be tailored to the targeted audience.

3. Theory of Change (300 word limit): Describe the underlying rationale for the proposed intervention, either using a formal theory of change or in your own words, explain how and why you think the proposed activities will lead to the desired change described in the objective. Public health frequently relies on formal theories of change; however, it is also acceptable to describe the underlying rationale for the intervention in your own words.
   A. What is a theory of change? The underpinning of most effective public health interventions is a theory of change. The theory of change provides an explanation of how and why the proposed intervention will result in the desired change. It communicates that the activities and messages are more than an assortment of messages and activities selected because they are fun or popular with the coalition. The theory of change communicates that a rationale links the activities and supports that collectively these will result in the desired change.
   B. What are examples of a theory of change? The following are a few examples of theories of change used in tobacco control. The *Stages of Change Theory* focuses on individual behavior change and is frequently used as the rationale for interventions that motivate and help people quit smoking based on where they are along a continuum of personal readiness to change. Theories of change that help to explain why community education, media, and partnership development lead to the adoption of policies in communities or organizations include *Social Norm Change*, *Community Organizing*, and *Community Readiness* theories. Additional theories of change are in Appendix 12: *Theory At A Glance: A Guide for Health Promotion Practice*. It is

a free resource developed by the National Cancer Institute for public health practitioners. This document concisely summarizes the most commonly used theories, such as the *Diffusions of Innovation Theory, the Health Belief Model*, and *Social Cognitive Theory* and it explains how to incorporate theory into program planning, implementation, and evaluation.

4. Evaluation Summary Narrative (500-word limit): The Evaluation Summary is a summary of the evaluation design, outcome and process evaluation activities to be conducted, a description of how process evaluation activities will be used to improve or tailor the intervention, and a description of the plan to disseminate evaluation findings to others. In a narrative format, briefly provide the following information:
   A. What will be accomplished? Describe what will be accomplished as a result of the intervention: How will the community or people in the community be different (e.g., smoke-free multi-unit housing policy adopted, health care providers will use electronic health records to make referrals to the California Smokers' Helpline)?
   B. Evaluation Plan Type: State the evaluation plan type (e.g., "policy adoption").
   C. Outcome Data Collection: If the SOW includes the collection of outcome data, describe:
   D. Design type (experimental, quasi-experimental, or non-experimental);
   E. The intervention and control group(s) (if any) (e.g., communities, stores, health care providers) and the number and location (e.g. city or neighborhood) of each group;
   F. When measurements will be performed (e.g., post-test only, pre- and post- test);
   G. How data will be collected (e.g., document review, observation); and
   H. The sampling plan (e.g., simple random sampling, convenience sampling).
   I. How do evaluation activities support interventions? Where applicable, explain how specific evaluation activities support particular intervention activities or will be used to help improve or tailor the intervention.
   J. How will evaluation findings be disseminated? Describe how and to whom evaluation findings will be disseminated.

H. OTIS Application Instructions: Budget and Budget Justification

BUDGET AND BUDGET JUSTIFICATION (REQUIRED AND SCORED)

1. Budget:
   A. Adhere to the requirements and criteria provided in this section and the budget instructions provided in Appendix 13: *Budget Justification Instructions for Funding Opportunities* and Appendix 9: *OTIS Applicant Training Course*.
   B. Ensure the total dollar amount does not exceed the amount identified in the RFA.
   C. Utilize the eight (8) budget line items provided in the OTIS budget justification index. *See* Appendix 13: *Budget Justification Instructions for Funding Opportunities* for guidance.

D. Verify that each activity in the SOW (that results in an expenditure of funds) is reflected in the budget.
E. Verify that a minimum of one (1) budgeted responsible party is associated with each activity in the SOW, and that all budgeted responsible parties listed in the SOW match a position listed in the budget.
F. TECC provides free print-ready, downloadable materials. For any print materials needed for the project, budget accordingly to meet the demands of printing either in-house or through an external print vendor. See Appendix 14: *Tobacco Education Clearinghouse of California (TECC): Available Educational Materials* for more information.

2. Budget Justification:
   A. Provide easy to follow formulas to substantiate how costs were calculated. The format for formulas are described in Appendix 13: *Budget Justification Instructions for Funding Opportunities* as well as in the OTIS Budget Wizards.
   B. Provide an explanation and include the funding source when zero funds or insufficient funds are budgeted for a standard cost (e.g., in-kind contributions for space, personnel, indirect costs, subcontracts). CTCP reserves the right to completely exclude activities from the SOW and budget implemented with in-kind funds (e.g., federal funds) if the use of those funds obscures the quality, reach, and evaluation of the impact of the tobacco control program efforts.
   C. Equipment: Describe the office equipment, computer equipment, software, and other communication equipment that the Applicant and subcontractors and/or consultants (if applicable) have available for use by the proposed project. The Applicant must provide in-kind 50 percent of the office, computer, software, and communication equipment to staff, subcontractors, and consultants. Include in the description:
      i. The number and type of equipment available (e.g., desks, chairs, facsimile machines, personal computers, printers, reproduction/duplication/copiers, scanners, etc.).
      ii. Approximately when the computer equipment was purchased.
      iii. The availability (e.g., 100 percent, 50 percent, 25 percent, etc.) for use by staff proposed for this project, if funded.
   D. Travel/Per Diem and Training:
      i. Below are instructions for budgeting required and optional (recommended) travel/per diem and training. Budgeting for and participating in training should be commensurate with the number of FTE. Also see Appendix 15: *Travel Reimbursement Information* for more details.
         a. **Required:** CTCP Travel and Training: A minimum of two (2) participants for Required CTCP Travel and Training are required to attend the Tobacco-Free California Projects' Meeting (approximately every 18 months). In addition, projects are required to budget for at least one (1) participant at a minimum of three statewide or regional trainings/conferences each year. The projects

may decide which trainings/conferences they attend, however they may not count any trainings/conferences toward this total where the Applicant is also responsible for the coordination and facilitation of the event. See Table 4. *Required Travel/Trainings.*

Table 4. Required Travel/Trainings

Required Travel/ Training	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24
Tobacco-Free California Projects Meeting	**X**		**X**	**X**	
Three (3) Events (annually) from the Optional Travel/Trainings List (Applicant's choice)	**3**	**3**	**3**	**3**	**3**

b. **Optional:** CTCP Travel/Per Diem and Training: The trainings, conferences, and events listed in Table 5. *Optional Travel/Trainings* provide a broad overview of the types of events CTCP has tentatively scheduled and is provided to help Applicants budget sufficient funds for travel and training. The dates, locations, and/or details regarding these events are not currently available. For budget building purposes, Applicants should budget between $500-$1,400 per training. This travel requirement does not include trainings or events that may be offered by CDPH/CTCP-funded agencies or events that exist in the Applicant's own proposed SOW.

Table 5. Optional Travel/Trainings

Optional Travel/Training Event	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24
Priority Population Focused					
Health Equity Conference	**X**				**X**
American Indian/Alaskan Native Tobacco Use Reduction Conference		**X**	**X**		
Rural Strategies Conference		**X**			**X**
Media Focused					
Communications Training	**X**	**X**		**X**	**X**
Retail Environment Focused					
Menthol Summit		**X**			
Regional Flavored Tobacco Products Trainings		**X**		**X**	
Retail Environment Conference		**X**		**X**	
Secondhand Smoke Focused					
Regional Housing Roundtables		**X**		**X**	
Smoke-free Homes Conference			**X**		**X**
Strategic Thinking Focused					

Optional Travel/Training Event	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24
Enforcement Conference		X			
Strategy and Endgame Conference	X			X	
Endgame Community Readiness Workshops	X				
Community Engagement Focused					
Midwest Academy Strategy Trainings	X	X	X	X	
Tobacco Control University Training	X	X	X	X	X

c. **Out-of-State Travel (OST):** The OST events listed below identifies potential OST that Applicants may include in the budget. Prior written approval by CTCP is required. CTCP will not fund OST for attendance at conferences for part-time equivalents. Please see Appendix 13: *Budget Justification Instructions for Funding Opportunities* for a description of the required information and Table 6. *Potential Out-of-State Travel Opportunities* for events appropriate (but not limited to) this RFA's goals and expected outcomes.

Table 6. Potential Out-of-State Travel Opportunities

Event/Conference (Examples)	Website
American Public Health Association	www.apha.org
National Conference on Tobacco or Health	www.nctoh.org
Clearing the Air Institute	www.clearingtheairinstitute.com
National Summit on Smokeless Tobacco Prevention	https://smokelesssummit.org

3. Subcontracts and Consultants:
   A. The agency may enter into a variety of subcontracting relationships to fulfill the requirements of the SOW.

See Table 7. *Required Staffing* for positions that must be included in the application and their minimum duties. In addition, see Appendix 16: *Comparable State Civil Service Classifications* for comparable monthly salaries for project staff.

Table 7. Required Staffing

Staffing	Position	Responsibilities
Required: One (1) 100 percent FTE positions	Project Director/Project Coordinator	This position must be listed as the Primary Tobacco Contact in OTIS, acts as the primary day-to-day point of contact for CTCP communication to the agency, and regularly access OTIS and Partners. This position is responsible for overall and day-to-day management to implement and evaluate the project; provides oversight of the SOW, Budget, progress reports, invoices;

Staffing	Position	Responsibilities
		maintenance of required documents for auditing purposes; and devotes a minimum of ten percent of a full-time position (equivalent to four hours per week) to overseeing evaluation activities.
Required: Minimum 10 percent FTE	Plan Evaluator	This position implements activities such as development of data collection instruments and protocols; provides data collection training; oversees sampling methodology; data analysis; and report writing. Duties may also include assisting with data translation and dissemination of evaluation results. The individual designated as the Plan Evaluator must meet the following minimum requirements: 1) at least one course in study design or at least one year of experience determining the study design for an evaluation; 2) have intermediate or higher proficiency in calculating sample size, developing a sampling scheme, and determining appropriate data collection methods; 3) completed one course in program evaluation or one year of planning and implementing a program evaluation; 4) have intermediate or higher proficiency in evaluating behavior change, policy, or media interventions; 5) at least two intermediate courses in statistics; and 6) have intermediate or higher expertise in using statistical software packages to analyze and interpret quantitative data.

4. **<u>Indirect Expenses</u>:**
   A. The Indirect Rate used by Applicants, that are not a local health department, must not exceed a maximum of 25 percent of the Total Personnel Services (Personnel Costs plus Fringe Benefits Cost) or 15 percent of Total Allowable Direct Costs.

I. OTIS Application Instructions: Supplemental Tobacco Control Funding

Funds awarded under this RFA may not be used to supplant or duplicate an agency's existing services or that of others. If the Applicant agency or any of its consortium partners is receiving funds for any tobacco control efforts whether they are from local, state, federal or private sources, the Applicant is required to describe the funding source, amount of funds, the term of the award, and a description of the activities funded.

J. OTIS Application Instructions: Additional Documents

The purpose of the Additional Documents is to provide CTCP with supplemental information regarding the Applicant. Information concerning Applicant

administrative/collaborative activities, additional tobacco control funds, non-acceptance of Tobacco Company funding, and indirect cost recovery will substantiate CTCP agreement requirements. Provide the following additional documents as described below. See Appendix 9: *OTIS Applicant Training Course*, module "Additional Documents" for more information.

1. Additional Tobacco Control Funding (online form)*
2. Certification of Non-Acceptance of Tobacco Company Funding (uploaded form; see Appendix 6: *Certification of Non-Acceptance of Tobacco Funds*)*
3. Proof of Non-Profit Status (uploaded documentation by Applicant, only applicable to non-government non-profit agencies).
4. Tax Debtor List – *Franchise Tax Board Entity Status Letter* can be generated at the Franchise Tax Board website: (Uploaded documentation by Applicant only applicable to non-government non-profit agencies)*
5. California Civil Rights Law Attachment (Uploaded documentation by Applicant, only applicable to non-government non-profit agencies) *

Part VI. Application Selection Process and Criteria

A. About this Section

This section explains how the applications will be reviewed, evaluated, and scored. Each application will be evaluated and scored based on the responses to the information requested in this RFA. By submitting an application, the Applicant agrees that CDPH/CTCP is authorized to verify any information and any references named in the application. Applications received by CDPH/CTCP are subject to the provisions of the "California Public Records Act" (Government Code, Section 6250 et seq.) and are not considered confidential upon completion of the selection process.

B. Application Review Process

STAGE ONE: ADMINISTRATIVE AND COMPLETENESS SCREENING

1. CDPH/CTCP will review applications for on-time submission **and** compliance with administrative requirements and completeness. The OTIS electronic time stamp will be used to verify on-time submission.
2. A late or incomplete application will be considered non-responsive and will be disqualified and eliminated from further evaluation.
3. Applications submitted from non-eligible entities will not be reviewed.
4. LLA consortium applications that do not meet the minimum requirements for a consortium application will not be reviewed.
5. Omission of any required document or form, failure to use required formats for response, or failure to respond to any requirement may lead to rejection of the application prior to review.

* Refers to items that are required to be completed and submitted, but are not used to score the Plan.

6. CDPH/CTCP may waive any immaterial deviation in an application; however, this waiver shall not excuse an application from full compliance with the grant terms if a grant is awarded.

STAGE TWO: APPLICATION SCORING (100 POINTS)

Each application passing Stage One will be evaluated and scored according to the selection criteria by a review committee on a scale of zero to 100 points. The review committee may include representatives of CDPH, other state agencies, and non-scoring subject matter experts. To be eligible for funding, an application must receive a score of 75 points or more. However, scoring 75 or more does not guarantee funding or funding at the level requested. CDPH/CTCP reserves the right to not fund any of the applications received for this RFA. Funding decisions may also be made to ensure:

1. No duplication or overlap of efforts with existing CDPH/CTCP-funded projects.
2. Adequate representation of the indicators addressed.
3. Balanced representation of the types of organizations funded.

Table 8. *Maximum Point Value for RFA Sections,* describes the maximum point value for each RFA section.

Table 8. Maximum Point Value for RFA Sections

Application Component	Total Point Value
Applicant Capability	32
Scope of Work – Intervention Plan	28
Scope of Work – Evaluation Plan	12
Scope of Work – Narrative Summary	13
Budget and Budget Justification	15
TOTAL	**100**

STAGE THREE: NOTIFICATION OF DECISION

Each Applicant, whether selected for funding or denied, will be notified in writing of the funding decision. Applicants may receive, upon written request to CDPH/CTCP, a copy of the scoring summary page that provides the score and overall strengths and weaknesses for their application.

STAGE FOUR: GRANT MODIFICATIONS

CDPH/CTCP reserves the right to reject any proposed project or project component(s). Following the award notification, CDPH/CTCP may require modifications to the application as a condition of the award. The awardee is required to submit a detailed SOW and Budget with justifications in accordance with CDPH/CTCP requirements, which will become part of the final grant. Upon completion and approval of these documents, the grant documents will be submitted to CDPH for execution. Work may not commence until the grant is fully executed.

C. Application Selection Criteria

Table 9. *Scoring Criteria and Rating Points* provides the selection criteria and the associated point value that will be used to evaluate and score applications.

Table 9. Scoring Criteria and Rating Points

APPLICANT CAPABILITY		
Application Component	**Scoring Criterion**	**Point Value**
Statewide Capacity	The Applicant demonstrates that it has an office that has been physically located in California for at least three (3) years and that it has the capacity to operate statewide in demographically diverse and rural communities.	3
Organizational Mission	The Applicant demonstrates that its mission, types of programs and services, targeted audiences, groups, and organizations that it typically works with and services it provides are consistent with those of CTCP and the RFA goals and services sought by this RFA.	3
Record of Accomplishments that Demonstrate Capacity to Meet RFA Goals	The Applicant demonstrates a strong and ongoing record of accomplishment related to: • Organizing and engaging communities towards social change; • Community capacity building; • Tobacco control-related issues; and • Program monitoring, including data collection, and reporting performance measures and key findings.	4
Prior Work Experience	The Applicant demonstrates prior experience with the following: • Development and maintenance of communication systems to engage partners and rapidly disseminate information; • Development of culturally competent educational materials including non-English language materials; • Outreach to policymakers and key community leaders; and • Relationship building with non-traditional stakeholders and gatekeepers.	4
Cultural Responsiveness	The Applicant and any subcontractor(s) demonstrate: • Experience working in diverse populations including American Indian tribes/communities,	3

APPLICANT CAPABILITY		
Application Component	**Scoring Criterion**	**Point Value**
	African American/Black, Asian/Pacific Islander, Hispanic/Latino, LGBTQ, Rural and low-income populations; • A diverse proposed project staff and language competencies other than English; • Diversity within the applicant agency's staff as a whole and that of the Applicant agency board members.	
Program Staffing	The Applicant demonstrates that: • The formal educational background, training and professional experience of program staff and subcontractors proposed for this project (or a recruitment and hiring plan) demonstrates the skills needed to successfully implement and evaluate a project that will, plan, develop, and support implementation of evidence-based and promising practices that promote community organizing and engagement and relationship building with non-traditional partners; and • An organizational structure that provides optimal oversight and support to project staff and proposed subcontractors/consultants to ensure timely completion of activities and administrative efficiencies.	3
Organizational Start-up and Equipment	The Applicant/subcontractor(s) demonstrates: • Appropriate physical office space to operate out of and the capability and resources to start up and begin implementation of activities within six (6) weeks of the grant start and to primarily deliver services Monday through Friday between the hours of 8:00 am and 5:00 pm, Pacific Time (PT); • The ability to provide at least 50 percent of the office, computer, software, and communication equipment to staff, subcontractors, and consultants; and • Appropriate hard drive encryption and antiviral software, computer software and applications to support email, word processing, spreadsheets, PowerPoint, databases, web conferencing, website development and reliable Internet access.	3

APPLICANT CAPABILITY		
Application Component	**Scoring Criterion**	**Point Value**
Administrative/Fiscal Experience	The Applicant demonstrates: • Administrative/fiscal staff that have the appropriate educational background, skills, and experience to satisfactorily manage all aspects of payroll, bookkeeping, invoicing, subcontract/consultant monitoring, and other administrative and fiscal controls associated with possible acceptance and management of government funds; • Three (3) years of satisfactory performance with administrative, fiscal, and program management of government and/or non-government funds; including timely and satisfactory submission of fiscal, program, evaluation, and subcontractor/consultant documents and deliverables, fiscal stability to manage payments in arrears; • Fiscal and (if any) programmatic audit findings from the past three (3) years that include a thorough explanation of any negative audit findings and their resolution (if the Applicant was audited by a governmental agency within the last three (3) years, the name of the government agency, agency's contact person and phone number, the year the audit was conducted, and the audit findings and resolution are provided); and • Documentation of compliance with Tax Debtor List Requirements.	3
Letters of Reference	The three (3) Letters of Reference are on Agency letterhead, include contact information, and describe: • A description of the capacity in which the reference provider worked with the Applicant; • The Applicant's ability to provide training and technical assistance related to community organizing and engagement and materials development; • The Applicant's ability to establish and maintain positive collaborative relationships with demographically and geographically diverse communities and create new partnerships; and	3

APPLICANT CAPABILITY		
Application Component	**Scoring Criterion**	**Point Value**
	• Applicant's ability to fulfill the fiduciary and grants management functions (Mandatory for letter from current or prior government funder). Note: If the Applicant is currently receiving or has received funding from a governmental agency, other than CTCP, within the last two (2) years, one (1) of the references is from one (1) of these agencies. Letters of Reference cannot be from the Applicant's subcontracting partners.	
Evaluator Information Evaluator Qualifications and Certification	The Applicant demonstrates the engagement of a qualified Plan Evaluator who has: • Completed at least one (1) course in study design or at least one (1) year of experience determining the study design for an evaluation; • One (1) course in program evaluation or one year of planning and implementing a program evaluation; • Completed at least two (2) intermediate courses in statistics; • Intermediate or higher proficiency in calculating sample size, developing a sampling scheme, and determining appropriate data collection methods; • Intermediate or higher proficiency in evaluating behavior change, policy, or media interventions; and • Intermediate or higher expertise in using statistical software packages to analyze and interpret quantitative data.	3
	SUBTOTAL	**32**

SCOPE OF WORK - INTERVENTION PLAN		
Application Component and Page Number	**Scoring Criterion**	**Point Value**
SOW Intervention Plan - Objectives	Objectives are: • SMART and describe the expected outcome of activities; and • Address each of the following areas: 1) Organizing and Scheduling Information and	5

	Education Events for CDPH/CTCP funded projects and coalition members to outreach to policy makers; 2) Creation of a dynamic system to provide, coordinate, and broker tailored expert and peer-to-peer services that promote grassroots social change initiatives; 3) Outreach and engagement of new and non-traditional partners; and 4) Development of culturally and linguistically appropriate educational materials and resources to support community organizing, engagement, and relationship building with new and non-traditional partners.	
SOW General Requirements Sequential Activities that Build to Accomplish the Objectives	General requirements for the SOW are present, including: • Provides a comprehensive and detailed roadmap that describes what will be done, how much will be done, where it will be done, and when activities will be performed. • A wide variety of activities that are support the objective, show progress in a sequential, chronologically appropriate order; • Sufficient activities (in quantity and magnitude) for the objective to be achieved (i.e., how much work will be done); • Sufficient activities (in quantity and magnitude) to justify the proposed level of staffing and proposed outcomes; and • Responsible parties for completion of each activity (e.g., staff positions, subcontractors, consultants, volunteers) that are appropriately designated as budgeted (and appear in the budget with matching titles) or non-budgeted roles.	5

SOW Intervention Plan –Tailored Approaches	The Applicant demonstrates: • Specific outreach and engagement of demographically and geographically diverse communities through focused training and technical assistance, services, initiatives, educational materials, and tools; • Culturally tailored approaches appropriate for demographically and geographically diverse communities; • Linguistically tailored approaches including services and materials in non-English languages; and • Tailored community organizing, message framing and engagement outreach approaches.	7
SOW Intervention Plan – Coordination Collaboration Activities	Activities demonstrate: • Coordination/collaboration with CDPH/CTCP-funded statewide, regional, local, and Tribal tobacco control projects for the purpose of engaging and serving communities and avoiding duplication of effort; and • Outreach and relationship building with non-traditional partners including but not limited to; housing, environmental, and business sectors, California League of Cities, county and city planners, social justice and human rights organizations, and linkages of these groups to CDPH/CTCP-funded projects.	4
SOW - Communication	Activities demonstrate: • Weekly log-in into Partners website; • Annual submission of a Partners' Spotlight On article highlighting a major success of the project; • Posting and/or responding to InfoHub forum at least four times per month; • Maintenance of a webpage to promote and market services; and • Development and promotion of case studies and success stories to model principles and successes with community organizing and engagement.	7
	SUBTOTAL	**28**

SCOPE OF WORK - EVALUATION PLAN		
Application Component	**Scoring Criterion**	**Point Value**
Scope of Work – Evaluation Plan	An evaluation plan is included for each objective that demonstrates a qualified Plan Evaluator provided at least four (4) hours of consultation on the development of the SOW, and includes appropriate: • Process data collection strategies to improve the activities and measure their outcome and/or impact; and • Engagement of the Plan Evaluator, Project Director, and target audiences in evaluation activities.	5
Scope of Work – Evaluation Plan	For each evaluation activity there is an appropriate: • Description of the instrument to be used; • Topic or focus of the data collection; • Data collection method; • Who or what is being sampled; • Sample size; • Sampling method; and • Where the data will be collected.	4
Scope of Work – Evaluation Plan	The evaluation reporting activity for each objective demonstrates: • How the evaluation data will be analyzed; • How the findings and Evaluation Report will be disseminated to the Applicant's target audiences and/or to the public as appropriate; • Brief Evaluation Reports will be submitted to CTCP in the final progress reporting period; and • Any limitations or challenges anticipated with completing the evaluation.	3
	SUBTOTAL	**12**

SCOPE OF WORK - NARRATIVE SUMMARY		
Application Component	**Scoring Criterion**	**Point Value**
Community Assessment Analysis	The Community Assessment Analysis: • Strongly justifies with data that the objectives address an important problem of significance to the Applicant's intended target audiences; and • Incorporates substantiated evidence or practice-based approaches to addressing the problem.	4

SCOPE OF WORK - NARRATIVE SUMMARY		
Application Component	**Scoring Criterion**	**Point Value**
Major Intervention Categories Analysis	The Major Intervention Categories Analysis provides: • A concise summary of the activities to be implemented, and how these activities will lead to the accomplishment of the objective; and • An appropriate and reasonable approach for the target audiences of focus.	3
Theory of Change	The Theory of Change provides the underlying rationale explaining why the proposed activities will lead to the desired change and achieve the objective(s).	2
Evaluation Summary	The Evaluation Summary is appropriate for the objective and activities and describes the following: • Evaluation design type (e.g., experimental, quasi-experimental, or non-experimental); • Intervention and control groups if either a quasi or experimental design is used; • When outcome measurements will be performed (e.g., pre/post, post-test only); • The sampling plan; • The specific outcome to be accomplished as a result of the intervention; • Outcome and process evaluation activities to be conducted; • How process evaluation activities will be used to improve or tailor the intervention; and • How findings will be disseminated.	4
	SUBTOTAL	**13**

PLAN COMPONENT: BUDGET AND BUDGET JUSTIFICATION		
Application Component	**Scoring Criterion**	**Point Value**
Budget and Budget Justification	• The proposed budget adheres to the instructions provided in Appendix 13: *Budget Justification Instructions for Funding Opportunities* and the OTIS web-based training. Each activity in the SOW that results in an expenditure of funds is reflected in the budget. The proposed Budget Justification clearly describes how the costs associated with the implementation of the proposed SOW were determined.	5

	• The proposed budget includes a minimum of one (1) positions (project director/coordinator) at a minimum of 100 percent FTE and 10 percent FTE Plan Evaluator. • The proposed budget justification narrative includes easy-to-follow formulas and accurate calculations to substantiate how the costs were calculated (e.g., monthly/unit rates are provided).	
	• The proposed budget justification narrative includes detailed descriptions/explanations for each of the eight (8) line items and the corresponding sub-line items are identified in the OTIS Budget Justification. • If non-CTCP funds are contributing to the implementation of the SOW, budget activities are clearly identified as "In-Kind" and specify the source of the in-kind funding, (e.g., federal funds, Centers for Disease Control grant, other funding from Prop 99/56-funded state agencies, etc.).	3
	• The proposed subcontract personnel and consultant costs are reasonable, directly support the proposed SOW, and are consistent with the needs of the project and level of responsibility. • For non-governmental nonprofit agencies only: Salaries that appear high in relationship to state salaries in Appendix 16: *Comparable State Civil Service Classifications* are substantiated with a detailed justification.	4
	• Travel and Per Diem costs are reasonable and necessary based on the proposed SOW and the number of FTEs. All required trainings are budgeted as instructed and clearly justified based on the Applicant's proximity to the event. • For non-governmental non-profit agencies only: Travel and Per Diem costs adhere to rates set by the California Department of Human Resources (CalHR) in Appendix 15: *Travel Reimbursement Information*.	3
	SUBTOTAL	**15**

Part VII. Award Administration Information

A. RFA Defined

The competitive method used for this procurement of services is a RFA. Applications submitted in response to this RFA will be scored and ranked based on the Selection Criteria. Every application must establish in writing the Applicant's ability to perform the RFA tasks.

B. RFA Cancellation and Addendums

If it is in the State's best interest, CDPH/CTCP reserves the right to do any of the following:

1. Cancel this RFA;
2. Modify this RFA as needed; or,
3. Reject any or all applications received in response to this RFA.

If the RFA is modified, CDPH/CTCP will post an Addendum to the TCFOR website. Applicants are responsible for periodically checking the website for updates and may sign-up for email alerts.

C. Immaterial Defect

At its sole discretion, CDPH/CTCP may waive any immaterial defect or deviation contained in an Applicant's application. CDPH/CTCP's waiver shall in no way modify the application or excuse the successful Applicant from full compliance.

D. Grounds to Reject an Application

An Application shall be rejected if:

1. It is received after the exact date and time set for receipt of applications. The OTIS date stamp will be used to verify on-time submission.
2. It contains false or intentionally misleading statements or references which do not support an attribute or condition contended by the Applicant.
3. The application is intended to erroneously and fallaciously mislead the State in its evaluation of the application and the attribute, condition, or capability is a requirement of this RFA.
4. There is a conflict of interest.
5. It contains confidential information.
6. It is not submitted through OTIS and prepared in the mandatory format described.
7. It does not literally comply or it contains caveats that conflict with the RFA and the variation or deviation is not material, or it is otherwise non-responsive.
8. Applicant has been prohibited from contracting with the following Agencies:
   A. Franchise Tax Board
   B. California Department of Tax and Fee Administration
   C. Department of Fair Employment and Housing

9. Applicant has been suspended or barred from RFA or contracting with the state at the following websites:
   A. Secretary of State
   B. Air & Water Polluters Pursuant to GC Section 4475-4482
   C. Plastic Trash Bag Content Noncompliance
   D. Federal Excluded Parties List
10. The Applicant has received a substantive negative contract performance from the State.

E. Notice of Awards

1. Upon successful completion of the review process, CDPH/CTCP will post a notice of intent to award funds on the TCFOR website.
2. Upon written request to CDPH/CTCP, Applicants will receive a summary copy of their review-rating sheet by email.

F. Appeal Process

1. Notice of the proposed award shall be posted on the TCFOR website. If any Applicant, prior to the award of a grant, appeals the award on the grounds that the Applicant would have been awarded the grant had CDPH/CTCP correctly applied the evaluation standard in the RFA, or if CDPH/CTCP followed the evaluation and scoring methods in the RFA, the grant shall not be awarded until either the appeal has been withdrawn or CDPH has decided the matter. It is suggested that the Applicant submit any appeal by certified or registered mail. Only those submitting an application consistent with the requirements of this RFA and are not awarded a grant may appeal. There is no appeal process for applications that are submitted late, noncompliant, or incomplete. No awarded Applicant may appeal the grant award-funding amount.

2. An Applicant may appeal the award decision. The Applicant must submit a notice of intent to appeal to CTCPCompetitiveGrants@cdph.ca.gov by 5:00 p.m. (PST) on the date listed in Table 3. Tentative RFA Timeline and Award Schedule. The Applicant shall then have five (5) calendar days to file a detailed written statement specifying the grounds for the appeal and send the Appeal Letter to:

U.S. Mail	**Courier** (e.g., FedEx)
Caroline Peck, MD, MPH, FACOG Assistant Deputy Director Chronic Disease and Injury Prevention Center for Health Communities California Department of Public Health MS 7206 P.O. Box 997377 Sacramento, CA 95899-7377 Phone: (916) 449-5500	Caroline Peck, MD, MPH, FACOG Assistant Deputy Director Chronic Disease and Injury Prevention Center for Health Communities California Department of Public Health MS 7206 1616 Capitol Avenue, Suite 74.516 Sacramento, CA 95814 Phone: (916) 449-5500

3. At the sole discretion of the Assistant Deputy Director, or his/her designee, a hearing may be held. The decision of the Assistant Deputy Director or his/her designee shall be final. There is no further administrative appeal. Appellants will be notified of decisions regarding the appeal in writing within fifteen (15) working days of the hearing date or the consideration of the written material submitted, if no hearing is conducted.

4. Upon resolution of any appeal and subsequent award of the grant, Awardees will be required to complete and submit to CDPH/CTCP:
   A. The Payee Data Record (STD 204), to determine if the Awardee is subject to state income tax withholding pursuant to California Revenue and Taxation Code Sections 18662 and 26131. This form can be found here. No payment shall be made unless a completed STD 204 has been returned to CDPH/CTCP.
   B. Page one of the Contractor Certification Clauses found here.
   C. Evidence of $1,000,000 commercial general liability insurance or a certification of self-insurance signed by the authority to bind the agency.
   D. Agency Documentation Requirements

G. Disposition of Applications

1. Upon application opening, all documents submitted in response to this RFA will become the property of the State of California, and will be regarded as public records under the California Public Records Act (Government Code Section 6250 et seq.) and subject to review by the public.

2. Application packages may be returned only at the Agency's expense, unless such expense is waived by CDPH/CTCP.

H. Inspecting or Obtaining Copies of Application Materials

Persons wishing to view or inspect any application or award related materials must follow the PRA process.

Part VIII. Important Administrative Details

A. Cost of Developing the Application

The Applicant is responsible for the cost of developing and submitting an application. This cost cannot be charged to the State.

B. Awardee Requirements

The following are required to enter into a fully executed agreement with CTCP:

1. All CTCP-funded projects and grants are required to:

A. Utilize OTIS for grant management.
B. Obtain and maintain an active Partners account. Partners is a web-based communication system. CTCP-funded projects and grants are required to access Partners at least once a week to review weekly updates.
C. Maintain an active Internet account.

2. The Awardee incurs expenses for the previous work period and is then reimbursed by invoice(s) submitted to CTCP no more than once per month. The State has up to 45 days to pay invoices for Awardees that are approved for "prompt payment." To learn more about the prompt payment program please visit the Department of General Services website.

3. The Awardee shall employ fiscal/administrative staff with the appropriate training and experience to maintain fiscal accountability and track grant funds. Staff shall be knowledgeable of and practice: standard accounting and payroll practices (including state and federal tax withholding requirements), maintenance of fiscal/administrative records/documents, appropriate tracking and review/approval of expenditures, and other administrative policies and procedures which will maintain the fiscal integrity of the funds awarded to the Awardee.

4. The Awardee should maintain accounting records that reflect actual expenditures including, but not limited to accounting books, ledgers, documents, and payroll records, including signed timesheets, etc., and will follow standard accounting procedures and practices that properly reflect all direct and indirect expenses related to the grant. These records shall be kept and made available to CTCP for three (3) years from the date of the final grant payment.

C. Awardee Required Documents

Upon award of the grant, the Awardee will be required to complete and submit to the awarding agency:

1. The Payee Data Record (STD 204), to determine if the Awardee is subject to state income tax withholding pursuant to California Revenue and Taxation Code Sections 18662 and 26131.
2. Page one of the Contractor Certification Clauses, which is a Department of General Services form (not required by State of California offices or university systems).
3. Evidence of commercial general liability insurance (not required by State of California offices or university systems).
4. Establish the Headquarters for State Travel Reimbursement for budgeted staff and subcontractors/consultants (not required by State of California offices or university systems).
5. Board Resolution – all local government agencies are required to submit a Board Resolution with each grant. Resolutions must be submitted after notice of award

and prior to full execution of grant. Resolutions must indicate local government approval of the grant (not required by State of California offices or university systems).

D. Standard Payroll and Fiscal Documents

Awardees shall maintain adequate employee time recording documents (e.g., timesheets, time cards, and payroll schedules) and fiscal documents based on Generally Accepted Accounting Principles on practices, Code of Federal Regulations and OMB Circular Nos. A-21, A-87, A-110, A-122, and A-133. It is the responsibility of the Awardee to adhere to these regulations.

E. Progress Reports

1. The Awardee is required to submit semi-annual progress reports on time, complete, through the OTIS, and in conformance with CTCP instructions.
2. The final progress report is due on the last day of the grant term. The final report is to be a cumulative report that summarizes all activities and outcomes during the term of the grant and is to include all tracking measures including the Brief Evaluation reports.
3. If the Awardee fails to submit timely, complete progress reports documenting satisfactory progress, CDPH/CTCP will withhold payment of invoices and may terminate the grant.

F. Invoices

1. Documentation: Awardee shall maintain for review and audit purposes, adequate documentation of all expenses claimed. All invoice detail, fiscal records, or backup documentation shall be prepared in accordance with generally accepted accounting principles. CDPH/CTCP has the right to request documentation at any time to determine an agency's allowable expenses.
2. Submission of Invoices: Awardee must be able to fund up to 60 days of payroll, indirect expenses, and operating costs, as well as expenditures incurred by a subcontractor or consultant prior to reimbursement by the State. The Contractor incurs expenses for the previous work period and is then reimbursed by invoice(s) submitted to CDPH/CTCP a minimum of no less than once per quarter, no more than once per month, in arrears.
3. Prompt Payment: Under Government Code 927 et seq.,State agencies which acquire services pursuant to a contract must pay that Contractor within 45 days of receipt of an undisputed invoice. The clock starts to run when an invoice is received by the department, not when it is received by the accounting office.

G. Audit Requirements

Prop 56, subsection 30130.56 (a) states that the California State Auditor shall at least biennially conduct an independent financial audit of the state and local agencies who are recipients of Prop 56 funds. As such, Awardees are to maintain

fiscal and program records documenting expenditures and program implementation during and for three years beyond the term of the grant award.

All CTCP funds are subject to Audit. See Appendix 17: *Local Lead Agency and Competitive Grantee Administrative and Policy Manual*, Tobacco Control Policy Section, 400 "Administrative Requirements", 406 "Audit Overview."

H. Dispute Resolution, CDPH Rights, and Grant Termination

1. Resolution of Differences Between RFA and Contract Language:
   If an inconsistency or conflict arises between the terms and conditions appearing in the final grant and the proposed terms and conditions appearing in this RFA, any inconsistency or conflict will be resolved by giving precedence to the grant.

2. CDPH Rights:
   In addition to the rights discussed elsewhere in this RFA, CDPH/CTCP reserves the right to do any of the following:
   A. Modify any date or deadline appearing in this RFA.
   B. Issue clarification notices, addenda, alternate RFA instructions, forms, etc. If this RFA is clarified, corrected, or modified, CDPH/CTCP intends to post all clarification notices and/or RFA addenda on the CDPH/CTCP TCFOR website. Refer to Appendix 7: *Tobacco Control Funding Opportunities and Resources (TCFOR) User Instructions* for more information.
   C. CDPH/CTCP reserves the right to fund any or none of the applications submitted in response to this RFA. CDPH/CTCP may also waive any immaterial deviation in any application. CDPH/CTCP waiver of any immaterial deviation shall not excuse an application from full compliance with the grant terms if a grant is awarded.
   D. CDPH/CTCP reserves the right to withdraw any award or request modifications to the SOW and/or Budget of any application component(s) as a condition of the grant award.

3. Termination:
   CDPH/CTCP reserves the right to terminate the grant if the application submitted, awarded, negotiated, and approved by CDPH/CTCP as a result of this RFA is not implemented satisfactorily, or if work is not completed by the due dates prescribed in the grant's SOW.

Part IX. References

1. U.S. Department of Health and Human Services. *Health Consequences of Smoking—50 Years of Progress: A Report of the Surgeon General* Atlanta, GA: U.S. Department of Health and Human Services, Centers for Disease Control and Prevention, National Center for Chronic Disease Prevention and Health Promotion, Office on Smoking and Health;2014.
2. The end of tobacco? The tobacco endgame. *Tobacco Control.* 2013;22 (Suppl 1).
3. Centers for Disease Control and Prevention. Extinguising the Tobacco Epidemic in California. 2018; https://www.cdc.gov/tobacco/about/osh/program-funding/pdfs/california-2018-508.pdf. Accessed September 19. 2018.
4. Campaign for Tobacco-Free Kids. The Toll of Tobacco in California. 2018; https://www.tobaccofreekids.org/problem/toll-us/california. Accessed September 20. 2018.
5. California Department of Finance. Welcome to California's 2018-2019 State Budget,. 2018; http://www.ebudget.ca.gov/2018-19/pdf/Enacted/BudgetSummary/HealthandHumanServices.pdf. Accessed September 19. 2018.
6. California Department of Public Health. California Tobacco Facts and Figures 2018. In: California Tobacco Control Program, ed. Sacramento, CA, 2018.
7. United States Census Bureau. State Population Totals and Components of Change: 2010-2017. 2018. Accessed September 16, 2018.
8. California Department of Public Health CTCP. A Story of Inequity. *A Tobacco Free CA Project* 2018; http://tobaccofreeca.com/story-of-inequity/ Accessed September 20. 2018.
9. California Department of Public Health. California's Clean Indoor Air Laws. 2016; https://www.cdph.ca.gov/Programs/CCDPHP/DCDIC/CTCB/CDPH%20Document%20Library/Policy/SecondhandSmoke/CaCleanIndoorAirLawsweb.pdf.
10. California Department of Housing and Community Development. California's Housing Future: Challenges and Oppotunities (Public Draft). In. http://www.hcd.ca.gov/policy-research/plans-reports/docs/California%27s-Housing-Future-Main-Document-Draft.pdf.2017.
11. Centers for Disease Control and Prevention. CDC Vital Signs: Secondhand Smoke, An Unequal Danger. In. https://www.cdc.gov/vitalsigns/pdf/2015-02-vitalsigns.pdf.2015.
12. Díez-Izquierdo A C-PP, Lidón-Moyano C, Matilla-Santander N, Balaguer A, Martínez-Sánchez JM. Update on thirdhand smoke: A comprehensive systematic review. *Environmental Research.* 2018.(177).
13. Malone R, McDaniel P, Smith E. Tobacco control endgames: global initiatives and implications for the UK. *Cancer Research UK.* 2014.
14. Fiore MC. Tobacco Control in the Obama Era — Substantial Progress, Remaining Challenges. *New England Journal of Medicine.* 2016;375(15):1410-1412.
15. Roeseler A, Burns D. The quarter that changed the world. *Tobacco Control.* 2010;19(Suppl 1):i3-i15.
16. Bobo K, Kendal J, Max S. Fundamentals of Direct Action Organizing.In.*Organizing for Social Change: Midwest Academy Manual for Activists.* 4th ed.Sana Ana,CA: The Forum Press; 2010: 5-19