# Request for Application #20-10013

# Reducing Tobacco-Related Disparities in American Indian and Alaskan Native Communities

## CALIFORNIA DEPARTMENT OF PUBLIC HEALTH
## CALIFORNIA TOBACCO CONTROL PROGRAM

**August 29, 2019**
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# Part I. Funding Opportunity Overview

## A. Funding Purpose and Goals

The purpose of the Reducing Tobacco-Related Disparities in American Indian Communities Request for Application (RFA) is to prevent and reduce the use of commercial tobacco products among California's American Indian/Alaskan Native population. The term "tobacco" used in this RFA refers to commercial tobacco products. This RFA does not seek to impinge upon the sacred use of traditional or ceremonial tobacco in American Indian communities.

This RFA seeks to fund non-profit organizations serving California's American Indian/Alaskan Native populations. Examples of eligible non-profit organizations are American Indian Education Centers, community based American Indian organizations (such as regional Centers), museums dedicated to the American Indian population, consortiums, local health clinics, tribal colleges, housing assistance organizations, and other non-profit organizations that directly serve California's American Indian/Alaskan Native populations. Projects funded under this RFA are expected to implement and evaluate evidence-based health promotion and health communication activities designed to: (1) reduce tobacco and nicotine use, tobacco-related disease rates, and tobacco-related health disparities, and (2) develop a stronger evidence base of effective tobacco use prevention and reduction programs with the goal of reducing tobacco-related disparities among California's American Indian/Alaskan Native populations.

The funds made available through this RFA are the result of Proposition (Prop) 56, the *California Healthcare, Research and Prevention Tobacco Tax Act of 2016*. Prop 56 requires that a minimum of 15 percent of the funds appropriated to the California Department of Public Health, California Tobacco Control Program (CDPH/CTCP) be used to accelerate and monitor the rate of decline in tobacco-related disparities with a goal of eliminating tobacco-related disparities. To address this mandate, CDPH/CTCP launched a statewide *Initiative to Prevent and Reduce Tobacco-Related Disparities. The American Indian Initiative to Reduce Tobacco-Related Disparities (American Indian Initiative)* is one component of this overall effort to accelerate declines in tobacco use among those groups most impacted by tobacco use. Appendix 1*: Leveraging Existing California Tobacco Control Program Infrastructure and* Appendix 2*: Overview: Initiative to Prevent and Reduce Tobacco-Related Disparities* describe how CDPH/CTCP is leveraging its existing infrastructure and the new funding opportunities being released that comprise the *Initiative to Prevent and Reduce Tobacco Related Disparities.*

<u>Tribal Consultations</u>
Prior to releasing funding opportunities addressing American Indian/Alaskan Native populations, CDPH/CTCP conducted five Tribal consultation meetings in 2017. These were held in Humboldt, Mendocino, Shasta, San Diego, and Riverside counties. These Tribal consultation meetings were held pursuant to Governor

Brown's September 2011 Executive Order B-10-11 and the California Health and Human Services Agency Tribal Consultation Policy. The Governor's Executive Order directed state agencies and departments to engage in effective government-to-government cooperation, collaboration, communication, and consultation with Tribal entities concerning the development of legislation, regulations, rules, and policies on matters that may affect Tribes in California. Tribal consultation meetings informed development of funding opportunities that comprise the *American Indian Initiative*.

American Indian Initiative Components

The *American Indian Initiative* is comprised of the following components:

- Statewide American Indian Coordinating Center: Awarded to Education Training and Research Associates. The Statewide American Indian Coordinating Center seeks to foster collaboration, community engagement, and leadership development among CDPH/CTCP grantees funded to prevent and reduce tobacco use among American Indian/Alaskan Native populations and to develop educational and media materials to support funded projects' efforts.
- California American Indian Tribal Projects: Awarded to California Tribal governments to conduct community and clinic-based projects.
- American Indian/Alaskan Native Non-profit Agency Projects: Awarded to California-based organizations serving American Indian/Alaskan Native populations in California.
- American Indian Initiative Statewide Evaluation: Awarded to the University of California, San Diego. The aim of this evaluation is to evaluate the impact and outcomes resulting from the American Indian Initiative using standard assessment methods, including collecting qualitative data from focus groups, Key Informant Interviews, surveys, and the use of secondary data sources. The results will guide future recommendations to support initiatives to prevent and reduce commercial tobacco use among American Indian populations in California.

CDPH/CTCP Enabling Statutes

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.

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

- Demonstrate community support for the grant.
- Design the grant to coordinate with other local health programs, school-based programs, or voluntary health organizations.
- Use and enhance existing services.
- Serve a priority population at high risk of starting tobacco use or developing tobacco-related illnesses.
- Demonstrate an understanding of the role community norms have in influencing behavior change regarding tobacco use.
- Utilize innovative or promising approaches that can be replicated by others.

CDPH/CTCP Program Goals

CDPH/CTCP is guided by the principle of health equity, which is defined as "efforts to ensure that all people have full and equal access to opportunities that enable them to lead healthy lives" (H&S Code Section 131019.5). To achieve health equity, additional focus must be placed on engaging with priority population communities to address tobacco-related disparities. The framework for achieving this overarching goal focuses on changing the social norms surrounding tobacco use, creating a climate in which tobacco becomes less desirable, less acceptable, and less accessible. Sub-goals, referred to as priority areas that support social norm change and address tobacco-related disparities are:

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 (SHS), 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.

## B. Funding Restrictions

This RFA will not fund the following:

1. Activities that supplant or duplicate existing programs or services funded by CDPH/CTCP or another source;
2. Objectives that solely focus on increased knowledge or awareness as outcomes;
3. Purchase or improvement of land, or building alterations, renovations or construction;
4. Fundraising activities;
5. Lobbying;
6. Reimbursement in support of planning activities or preparation and submission of a grant application in response to the RFA;
7. Reimbursement of costs incurred prior to the effective date of the agreement;
8. Reimbursement of costs currently covered by another CDPH contract or agreement;
9. Reimbursement of costs that are not consistent or allowable according to local and state guidelines or regulations;
10. Supplanting existing state or local funds used for tobacco use prevention and reduction efforts;
11. Provision of direct medical care, including provision of cessation pharmacotherapy;
12. Reimbursement of professional licensure;
13. Reimbursement of malpractice insurance;
14. Reimbursement to health care providers for the delivery of health care services;
15. Support of religious activities, including, but not limited to, religious instruction, worship, prayer, or proselytizing; and
16. Growing or cultivating traditional tobacco.

## C. 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 (U.S.).[1] Forty percent of all cancer diagnoses in the nation are attributed to tobacco use[2, 3] while smoking accounts for 85 percent of lung cancers,[4] 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 16 percent or 40,000 deaths in California.[5, 6]

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 cancer and other smoking-related diseases through Medi-Cal. To put this in perspective, the fiscal year (FY) 2018/2019 budget for the CDPH was $3.2 billion. California's adult tobacco use population is approximately 4 million people, with the

number of tobacco users in the state exceeding the total population of 23 states.[7, 8] Eliminating tobacco use would profoundly improve the health of Californians and considerably reduce health care costs.[4]

Tobacco Use and Priority Populations

Since 1989, because of concentrated efforts to reduce initiation and use of tobacco and to protect non-smokers from SHS, CDPH/CTCP and its partners have reduced the smoking rate in California by 57.4 percent between 1988 and 2017, from 23.7 percent to 10.1 percent.[9] Despite this success, large differences in smoking prevalence persist for adults and youth by race/ethnicity and among population groups by socioeconomic status, educational attainment, occupation, mental health status, sexual orientation and gender identity, and geography. These high-risk groups suffer disproportionately from tobacco-related illnesses and death. [10]

Tobacco Use and American Indian[1] Communities

Tobacco-related disparities are a significant problem in American Indian communities. The tobacco industry is known for its aggressive marketing to certain communities, particularly youth and racial and ethnic minorities.[11, 12] The tobacco industry promotes discounted products and rewards programs, and advertises specific products, such as menthol cigarettes, towards vulnerable populations, such as American Indian communities. The tobacco industry targets American Indian communities by appropriating American Indian cultural icons, names, and symbols to market their deadly products.[13, 14] The objectives of these targeted marketing strategies are likely to include encouraging smoking initiation, establishing and maintaining brand loyalty, increasing tobacco consumption, and averting cessation efforts.[15]

According to the 2010 U.S. Census, California has the largest American Indian population in the U.S., with over 360,000 residents.[15] In California, the prevalence of current tobacco product use among adult American Indians/Alaskan Natives is higher (20.9%) than that of the overall non-American Indian/Alaskan Native adult California population (17.4%). Adult American Indian/Alaskan Natives have the highest rate of smoking prevalence in California (19.1%). In addition, the overall tobacco use rate among California high school students is at 13.6%, compared to 24.2% for American Indian youth.[16] Overall, the current tobacco use prevalence in California is higher among American Indian populations (20.9%) than among Black/African American (12.6%), Asian/Pacific Islander (13.3%), Hispanic/Latino (13.6%), or White-non Hispanic populations (15.7%).[7] This disproportionate prevalence of tobacco use is directly related to adverse health outcomes, which include cardiovascular disease and cancer.[11]

[1] For this document, American Indians refers to both American Indians and Alaska Natives who maintain tribal affiliation or community attachment.

Tribal Sovereignty and the Urban Indian Population

California is home to 109 federally recognized tribes, and these tribes are sovereign nations that maintain a government-to-government relationship with the U.S.[17] Tribal lands are exempt from civil tobacco control laws enacted by state and local governments. However, tribes have the sovereign right and authority to adopt laws that regulate smoking and other tobacco control-related measures on tribal lands.[18] California is home to the largest number of American Indians/Alaskan Natives of any state in the U.S.; although many of these communities are a part of federally recognized tribes, much of the population resides in urban areas.

Tobacco's Impact on Non-Users and the Environment

Tobacco's toll extends beyond the direct user: 1) SHS is a known health risk for non-smokers; 2) there is a growing evidence of the toxicity of thirdhand smoke (THS); and 3) research indicates that the production of tobacco products and discarded tobacco waste harms the environment. The *2006 Surgeon General's Report on the Health Consequences of Involuntary Exposure to Secondhand Smoke* concluded that there is no risk-free level of exposure to SHS.[19] Exposure to SHS has been linked to adverse health effects that harm fetuses, infants, children, and adults.[1] According to the *2006 Surgeon General's Report,* 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.[19] In 2018, more than half of adult Californians reported recently being exposed to SHS, and of those, 23 percent noted their most recent exposure was in the home or at work.[20] As with smoking, stark differences in exposure to SHS by demographics exist.[7]

A growing body of research suggests that THS, the tobacco smoke residue that remains in indoor environments after active smoking ceases, is a public health hazard distinct from SHS. Toxic chemicals from SHS become embedded in wallboard, carpeting, drapes, furniture, pets, and clothing. These materials serve as a reservoir for toxic chemicals that change over time from environmental conditions, making new and additional pollutants that are re-emitted from surfaces and inhaled or directly absorbed into the body through skin and ingestion routes.[21]

The public health impact of tobacco extends beyond its direct impact on humans, through its negative impact on the environment. The World Health Organization's 2017 report, *Tobacco and its Environmental Impact: An Overview*, notes that healthy soil, an adequate supply of clean and fresh water, and clean air are among the basic necessities that enable humans to live. However, these are all adversely impacted by the tobacco industry through the cultivation, manufacturing, transport, and use of the product, and as a result of discarded tobacco product waste.[22] The global impact of tobacco use includes agrochemical use, deforestation, carbon dioxide and methane emissions, SHS and THS, and the pollution of the soil and waterways, all which harm the planet's biodiversity.[22]

## Part II. Grant Application Information

### A. Who May Apply

Non-profit organizations serving American Indian/Alaskan Native communities, including Tribal Consortiums located and working within California are eligible to apply for these funds. Applicants must be non-profit entities located within California. No grants will be awarded to individuals or informal groups of individuals.

1. **Organizational Type**

   a) California public or private non-profit entities are eligible to apply for these funds. Non-profit organizations must have 501(c)(3) status and be located and working within California.
      1) Tribal Consortiums, defined as a non-profit partnership between two or more tribes authorized by governing bodies of those tribes to apply for and receive assistance, are eligible to apply.
      2) Tribally owned colleges and universities located in California are eligible to apply.
      3) 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, please see Appendix 3: Sample Non-Profit Status Letter.
   b) Federally Recognized California Tribal Governments per the Office of the Tribal Advisor listing, Tribal Government Agencies, and Tribal Joint Power Authorities are not eligible to apply for these funds.
   c) Local Lead Agencies, local health departments, public and private colleges and universities, county offices of education, school districts (K – 12 schools), and State of California and federal government agencies are not eligible to apply.

2. **Agency Qualifications**

   Applicant agencies must demonstrate:

   a) They are a California public or private non-profit entity with valid 501(c)(3) status or a Tribal Consortium.
   b) Appropriate physical office space to operate out of and the capability and resources to start up and begin implementation of activities within six weeks of the grant start and to primarily deliver services Monday through Friday between the hours of 8 a.m. and 5 p.m. Pacific Time (PT).
   c) Staff, consultants, or subcontractors whose experience and training are well suited to the funding purpose and scope of work activities.

3. **Certify No Tobacco Industry Conflict**

To avoid any real or apparent tobacco industry-related 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 (see *Appendix 4: Certification of Non-acceptance of Tobacco Funds*).

## B. Funding Availability and Grant Term

1. **Funding Term**

a) The term of the Agreement is expected to be 60 months from the date of award and execution. The Agreement term may change if CDPH/CTCP makes the award earlier than expected or if CDPH/CTCP cannot execute the Agreement 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. 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 scope of work or budget based on changes in a rapidly evolving tobacco control environment.

2. **Funding Amounts**

The maximum availability of funds to be distributed to projects under this RFA is anticipated to be $24,000,000 for the 60-month grant period.

Table 1. *Funding Details: Maximum Fiscal (FY) Year Award* displays the budget range and maximum funding available per fiscal year, per awardee (see *Part IV, B. Scope of Work –Intervention Plan* for details). Successful applicants will only be awarded up to the budget request stated in their application. CDPH/CTCP reserves the right to initiate amendments as necessary to redistribute funds between fiscal years to meet the needs of the State. The Awardee should not anticipate that unspent funds will be rolled forward from one fiscal year to the next.

**Table 1. Funding Details: Annual Fiscal (FY) Award Range and Maximum FY Grant Award**

| Fiscal Year | Maximum Funding for Awardee per Grant Term |
|---|---|
| **FY 20/21** | **$200,000 to $400,000** |
| **FY 21/22** | **$200,000 to $400,000** |
| **FY 22/23** | **$200,000 to $400,000** |
| **FY 23/24** | **$200,000 to $400,000** |
| **FY 24/25** | **$200,000 to $400,000** |
| **TOTAL = Max Amount for 60 Months** | **$1,000,000 to $2,000,000** |

3. **Funding Augment**

   a) At its sole discretion, CDPH/CTCP shall have the option to provide additional funding to the project not to exceed $200,000 total. This funding may only be used to augment the scope of the Project set forth in Exhibit A, Attachment 1, of the grant award, and in no case shall materially alter the scope of work. No amendment or variation of the terms of this Grant shall be valid unless made in writing, signed by the parties, and approved as required.
   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 work components identified in Part IV. Program Requirements, should additional funding become available.
   c) If the decline in Prop 56 revenue is greater than projected by CDPH/CTCP, necessitating a reduction in grant awards, all grants will be equally reduced by a proportional amount (e.g., ten (10) percent across all grants), except in the case where an Awardee has two or more disapproved progress reports. In that case, a 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 Prop 56, the *California Healthcare, Research, and Prevention Tobacco Tax Act of 2016*.

## C. Tentative Timeline and Award Schedule

Key dates are presented in Table 2. *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 CDPH/CTCP *Tobacco Control Funding Opportunities and Resources* (TCFOR) website.

**Table 2. Tentative RFA Timeline and Award Schedule**

| Key Action | Date (all times in Pacific Time) |
|---|---|
| RFA Release Date | August 29, 2019 |
| OTIS Open for Application Input | September 3, 2019 |
| Informational Webinar | September 4, 2019 |
| Last Day to Submit Written Questions | September 12, 2019 at 5:00 PM |
| Responses to Written Questions Posted | September 19, 2019 |
| Mandatory Letter of Intent Due Date | September 26, 2019 at 5:00 PM |
| **Applications Due** | **October 10, 2019 at 5:00 PM** |
| Awards Posted | December 3, 2019 |
| Notice of Intent to Appeal Due | January 6, 2020 |
| Final Announcement of Awards | January 21, 2020[2] |
| Grant Modification Period | December 16, 2019 – January 24, 2020 |
| Grant Document Finalization Due Date | January 27, 2020 |
| Grant Start Date | July 1, 2020 |
| Grant End Date | June 30, 2025 |

## D. Mandatory Non-Binding Letter of Intent

1. **Letter of Intent Requirement**
   **Any entity intending to submit an application is required to submit a Letter of Intent (LOI) notifying CDPH/CTCP of its intent to submit an application. Those who do not submit a LOI will not be allowed to submit an application. The LOI is not binding and those submitting a LOI are not obligated to submit an application.**

2. **Submitting a Letter of Intent**
   **One signed LOI must be uploaded to the TCFOR website by the date and time identified in Table 1. Tentative RFA Timeline and Award Schedule. A letter 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**

[2] Final Award cannot be made until any appeals have been resolved.

**applicant of meeting the submission deadline. The LOI will NOT be accepted via email, fax, or mail.**

**Prepare the letter using word processing software and save the document to your computer as a Microsoft Word formatted document or PDF.**

**The LOI must:**

- **Be on the Applicant agency's letterhead and signed by an authorized agency signatory or their official agent;**
- **State the name and number of the RFA under which the application will be submitted (i.e., Request for Application #20-10013);**
- **State the Applicants' history of working (and/or relationship) with California Tribes, American Indian populations, and Alaskan Native populations;**
- **State the estimated budget request; and**
- **Include a short description of the proposed project.**

**To upload the LOI, refer to the training courses on the TCFOR website:**

- **For new Applicants without an OTIS account, view the training video "TCFOR Process for New Applicants" and the "TCFOR Process for New Applicants Checklist" for more information.**
- **For existing OTIS account users, view the training video "TCFOR Process for OTIS Account Users" and the "TCFOR Process for OTIS Account Users Checklist" for additional information.**

**Once the Applicant creates a "User Account" and "Request to Apply" for the funding opportunity, a LOI can be uploaded. 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 p.m. or later on the submission due date to seek assistance as the support team may not be available.**

## ~~D.~~ E. 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 (CTCPCompetitiveGrants@cdph.ca.gov) with the subject line "CTCP RFA #20-10013." 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) Submit written questions to CDPH/CTCP by the dates specified in Table 2.
   d) Errors in the RFA or its instructions may be reported up to the application submission due date.
   e) CDPH/CTCP will host an Informational Webinar to provide interested parties an opportunity to ask questions about the preparation and submission of an application. See Table 2 for webinar 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 on the dates identified in Table 2. Verbal questions will not be accepted. All questions must be transmitted in written form according to the instructions here.
   c) 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.

## ~~E.~~ F. Informational Webinar and Technical Assistance Resources

1. An optional Online GoToTraining© Informational Webinar is scheduled on the date and time identified in Table 2 to review the RFA requirements. Those intending to submit an application are strongly encouraged to participate in the Informational Webinar. The Informational Webinar will provide interested parties an opportunity to ask questions about the preparation and submission of an

application. The Informational Webinar access codes are posted at the TCFOR website.

2. CDPH/CTCP funds several statewide projects that provide training and technical assistance. These projects are available to provide Applicants assistance with their grant application. Please reference *Appendix 5: California Tobacco Control Program Funded Statewide Training and Technical Assistance Providers and Statewide Coordinating Centers* for more information.

## Part III. Application Submission Process

Applications are to be submitted through the California Online Tobacco Information System (OTIS) no later than the date and time listed in Table 2. Applications received after the due date/time will not be reviewed. Submission before the deadline date is advised in case technical difficulties are experienced when submitting the 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).

For technical assistance regarding the use of the TCFOR or OTIS websites contact: Humberto Jurado at (916) 449-5474 between the hours of 7:30 AM – 4:00 PM. (Pacific Time) or CTCP's main line at (916) 449-5500 between the hours of 8:00 AM – 5:00 PM (Pacific Time). Please do not wait until 4:00 PM or later on the submission due date to ask for assistance, as Mr. Jurado may be helping others.

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

1. **What is OTIS?**
   Responses to this RFA shall be submitted through the Online Tobacco Information System (OTIS). OTIS is a secure, passcode protected knowledge management system that is used to submit applications, review and score applications, negotiate the Scope of Work (SOW) and budget, and submit and approve progress reports. The system is accessible 24 hours per day, seven days per 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 for 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 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.
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, under the Training Link section located on the blue bar tool bar on OTIS.
d) OTIS Page Guides: While working in a plan or application; located on the top right corner is the Page Guide button in red. The OTIS Page Guides provides User Manuals, Training Videos and Budget downloadable PDFs clarifying how to complete requested information. Page Guides are quick access information aiding in completing task 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 items that are common to many applications; they can be inserted into the SOW and tailored to the Applicant's project. When creating activities, click on the "Use OTIS Wizard" text to bring up these options.
f) Telephone Assistance: Call Humberto Jurado at (916) 449-5474 between the hours of 7:30 AM – 4:00 PM (Pacific Time).

## B. OTIS Application Instructions: Contact Information

### COMPLETE THE CONTACT INFORMATION

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, and Federal Employer Identification Number.
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

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. Applicant Capability

   a) Organizational Mission: The Applicant demonstrates that the types of programs and services it provides to serve the American Indian/Alaskan Native population are consistent with the goals of this RFA.

   b) Demonstrated Access and Work with California Tribes and American Indian/Alaskan Native Populations: The Applicant demonstrates: 1) at least three (3) years working on major issues impacting the American Indian/Alaskan population (e.g., health, employment, education, housing, social justice, etc.); 2) at least three (3) years of experience developing community linkages, participating in, and maintaining stakeholder groups; 3) strong relationships with non-traditional partners (e.g., arts and culture, housing environment, community development, transportation, law enforcement, business, substance abuse and mental health treatment, employment, living wage, faith-based, youth development, and early childhood development); 4) and provides two (2) examples of work on health-related projects with American Indian/Alaskan Native populations on a community issue and the outcome.

   c) Record of Experience in Program Evaluation: The Applicant demonstrates at least two (2) years of experience monitoring and reporting program performance; collecting qualitative and quantitative data collection through means such as focus groups, key informant interviews, surveys; and preparing reports describing program results.

   d) Prior Work Experience: The Applicant demonstrates prior experience with the following: 1) development and maintenance of communication systems (e.g., listserv, website, webinars, newsletters); 2) developing culturally relevant presentations, workshops, training, and outreach materials; 3) collaborative relationships with Tribal and community agencies or others related to health, behavioral health, social services, education, environmental or social justice issues; 4) and outreach to Tribal leaders and key community leaders.

   e) Program Staffing: Describe the formal educational background and professional experience of proposed project staff, including the length of time worked on projects to create policy, system, or environmental changes, and describe the qualifications of subcontractors (or a recruitment and hiring plan). This description should show that the proposed project staff and subcontractors (if applicable) have the necessary qualifications and experience to successfully implement and evaluate a project designed to work with American Indian Tribes and the American Indian community.

f) Start Up: Office Space and Equipment: Describe the Applicant's primary physical office space and the capability and resources to start up and begin implementation of activities within six weeks of the grant start date and the ability to primarily deliver services Monday through Friday between the hours of 8:00 AM and 5:00 PM, Pacific Time. Describe the Applicant's ability to provide at least 50 percent of the office and computer equipment needed to administer the proposed project. Describe the office furniture and computer equipment the Applicant and its subcontractors/consultants will provide to the proposed project. This description is to summarize the availability of existing office equipment, computer equipment, software, and other communication equipment that the Applicant and subcontractors and/or consultants (if applicable) have available for use under the term of the grant and which will be made available to the staff on this project to use. In the description provide information about:

- The number and type of equipment available to staff on the project to use (e.g., desks, chairs, facsimile machines, personal computers/laptops, printers, reproduction/duplication/copiers, scanners, etc.).
- The type of hard drive encryption and antiviral software, computer software and applications the Applicant has for tasks such as email, word processing, spreadsheets, PowerPoint, databases, web-conferencing, website development, and reliable access to the Internet.
- Approximately when the computer equipment was purchased.

g) Administrative/Fiscal Experience: Describe the Applicant's current administrative staffing pattern for activities such as contract and grant management and oversight, payroll, bookkeeping, invoicing, and tracking of contractual, administrative, and fiscal controls. Describe the educational background and qualifications of key administrative staff; including their experience with monitoring government funds and overseeing and managing the administrative and contractual functions of subcontractors and/or consultants.

- 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.

- 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.

- 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 Applicant is not on that list. Follow the instructions in the Additional Documents section of this RFA for required documentation.

2. Letters of Reference

   Applicants must solicit, scan, and upload two (2) letters of reference from two (2) separate entities into OTIS. Letters of reference must be addressed to the Applicant. No more than two (2) letters will be accepted. If the Applicant is currently receiving or has received funding from a governmental agency, other than CTCP, within the last two years, one of the references should be from one of these agencies but is not required. Do not include letters of reference from the Applicant's subcontracting partners. Each letter must be on the reference provider's letterhead and include:

   - The address, telephone number, e-mail, name, and title of the letter's author.
   - A description of the capacity in which the reference provider worked with the Applicant.
   - The Applicant's ability to fulfill the fiduciary and grants management functions.

## D. OTIS Application Instructions: Evaluator Information

### EVALUATOR INFORMATION

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.

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. **Note:** Please be sure that the Plan Evaluator is aware of this certification submission requirement. Applications may not be submitted until the evaluator completes their certification in OTIS. Technical difficulties will not relieve the Applicant of meeting the submission deadline.

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

### SCOPE OF WORK (SOW) – INTERVENTION PLAN

1. Complete the below required items pursuant to the OTIS web-based training unit *Creating Your Application/Plan.* It is recommended that the Applicant use the *OTIS Activity Wizards* to get started.

   a) Project Objectives
   b) Designate one objective as the "Primary Objective"
   c) Identify the Priority Area(s) and Indicator(s) associated with the objectives
   d) Identify Target Audiences
   e) Identify the Evaluation Design for each objective
   f) Identify Summary Intervention Topics that appear in the SOW for each objective
   g) 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, and who will be involved.

2. For each activity, complete the following information:
   a) Copyright: Designate if the activity describes a work product that may be copyrighted, (e.g., brochure).
   b) Percent Deliverables: Identify the combination of staff and budget resources necessary to complete the activity. Percent deliverables should be in increments of 0.50 and 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 staff 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.
      - List no more than two tracking measures per activity.
      - Each tracking measure should be unique and specific to the activity.
      - Do not list the same tracking measure for multiple activities.
      - Tracking measures in which the percent deliverable is greater than zero percent must be designated as being "submitted" with the progress report, rather than "on file."

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

### EVALUATION PLAN

1. Evaluation Plan Overview: Prepare the evaluation plan by completing the evaluation section using appropriate process and outcome 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: 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.

   a) 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.
   b) Evaluation Activity Fill-in Boxes: For each evaluation activity complete the following information:
      - Identify if the evaluation activity reflects a process, outcome or both process and outcome data collection.
      - Identify how many waves of data collection will occur, (e.g., use (1) wave for continuous data collection such as website analytics or media activity records; use (2) for a pre-post design).
      - Identify if data collectors will be trained to collect data. **If "Yes," a corresponding 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.
      - Copyright[3*]
      - Assignment of a Percent Deliverable[3]
      - Assignment of Start/End Dates
      - Assignment of Responsible Parties
      - Assignment of Tracking Measures to document completion of activities

2. Evaluation Reporting Section: Describe how the evaluation data will be analyzed and disseminated, designate the progress report period in which the Final or Brief Evaluation Report will be submitted to CTCP, assign a percent deliverable for report documents, and describe any limitations or challenges anticipated with completing the evaluation. Similar to the other activities, complete Tracking Measures and Responsible Parties. See Appendix 6: *Tell Your Story: Guidelines for Preparing Useful Evaluation Reports* for guidance.

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

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

### NARRATIVE SUMMARY

1. Community Assessment Analysis (600-word limit): The Community Assessment Analysis is to justify and support the selection of the priority population of focus, the proposed objectives, and activities. Applicants may demonstrate the need 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).

   **The first two sentences of the Community Assessment Analysis narrative must begin with the following statements:**
   - "This project will primarily address the following groups…"
   - "This project will primarily work in the following geographical communities: (identify the communities and describe the demographics of the community)."

2. Major Intervention Activities (400-word limit): In a narrative format, concisely summarize the activities to be implemented, and how these activities will accelerate the adoption, implementation, and impact of policy/system change campaigns, as well as full accomplishment of the objectives. Additionally, explain how activities will be tailored to the American Indian population.

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.

   - 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.
   - *Theory at a Glance, A Guide for Health Promotion Practice* is a free resource developed by the National Cancer Institute for public health practitioners. This document concisely summarizes the most commonly used theories, and 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:

   - 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)?
   - Evaluation Plan Type: State the evaluation plan type (e.g., "policy adoption").
   - Outcome Data Collection: If the SOW includes the collection of outcome data, describe:
     - Design type (experimental, quasi-experimental, or non-experimental);
     - 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;
     - When measurements will be performed (e.g., post-test only, pre- and post-test);
     - How data will be collected (e.g., document review, observation); and
     - The sampling plan (e.g., simple random sampling, convenience sampling).
   - 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.
   - 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

**Minimum requirements for the budget and budget justification are provided below.**

1. Budget Instructions: Adhere to the budget requirements provided in Part IV, Section B, Program Requirements of the RFA and utilize the eight (8) budget line items provided in the OTIS budget justification index (*See* Appendix 7: *Sample Budget Justification; and Appendix 8 Budget Justification Instructions for Funding Opportunities* for guidance). Applicants are required to do the following:

   - Sixty-Month Budget with SOW Alignment: Develop a 60-month budget based on the implementation of the SOW (single-topic focus or multi-focused) that is accurate, reasonable, and justifiable when compared

to the activities detailed in the SOW for each fiscal year. Verify that each activity in the SOW (that results in an expenditure of funds) is reflected in the budget.

- Maximum Fiscal Year Budget Request: Ensure the total dollar amount for each FY does not exceed the stated maximum amount allowed in the grant (Table 1. Funding Details: Maximum Fiscal (FY) Year Award). Do not plan on rolling unspent funds from one fiscal year to the next.

- Budget Formulas: Provide easy to follow formulas to substantiate how costs were calculated. (The format for formulas are described in Appendix 8: *Budget Justification Instructions for Funding Opportunities* as well as in the OTIS Wizards).

- Explain Budget Items with Zero Fund Request: 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.

2. Personnel: Designate personnel with full time equivalent (FTE) percentages that are reasonable and based on the deliverable amounts connected to the responsible parties in the SOW. Provide personnel costs that reflect salaries comparable to State Civil Service classification rates (associated duties must also be comparable). Salaries that are above comparable State Civil Service classification rates must be completely justified. (See Appendix 9: *Comparable State Civil Service Classifications*).

3. Fringe Benefits: Provide a description of Fringe Benefits for eligible personnel, and identify personnel that will not receive benefits.

4. Operating Expenses: The costs for the operating expenses associated with completing the activities in the SOW must be justified. Additional subcategories may be proposed in this category.

5. Equipment: Allowable equipment expenses include computer hardware/software, desks, chairs, and cell phones. Provide the costs and a detailed description of any equipment, and who on the project will be using it.

6. Travel: Travel and training expenses are to be consistent with the needs of the project and directly support SOW activities. Use the following travel line items in your budget justification:

- Project Travel/Training: Includes airfare, meals, lodging, mileage, incidental expenses, and non-CTCP conference/training registration fees, which are essential to complete the SOW.
- CTCP Travel/Training: CTCP and our statewide contractors may offer a range of optional trainings/conferences each year.
- Required CTCP Travel/Training: Refer to the solicitation for specific information on required travel training.
- Out-of-State Travel (OST): OST must be approved by CTCP during the grant modification process. The OST must include details such as a description of the trip, location, reason for travel, role of the attendee, benefit to the State and/or Agency, and a description of costs.

7. Subcontractors and Consultant Costs: Designate personnel, including Subcontractors and Consultants, full time equivalent (FTE) percentages that are reasonable and based on deliverable amounts connected to the responsible parties in the SOW.

    - Detail and justify any Subcontractor/Consultant costs necessary to implement the SOW activities. Clearly distinguish the responsibilities for each Subcontractor/Consultant from budgeted personnel and link the services to the activities in the SOW. Describe and justify travel costs necessary to implement the SOW and tie expenditures to applicable SOW activities.
    - Separately list the name of each subcontractor and/or consultant who will provide the specialized effort directly related to activities in the SOW.
    - Verify that each subcontractor and/or consultant listed in this section of the Budget justification is also referenced with the same title in the SOW's "Responsible Parties."

    Provide the following details:

    - Name of each subcontractor and/or consultant. Identify subcontractors and/or consultants, who have not been selected at the time of submission, as "To Be Determined."
    - Explanation on how Applicant obtained each subcontractor and what scoring method or bidding process they used.
    - Description of the activities/services to be performed.
    - Amount of service time in increments of hours, days, weeks, months.
    - Salary or hourly rate.
    - Formula that substantiates how the costs were determined and the total cost.

8. Other Costs: Other Costs include costs associated with completing the activities in the SOW not listed in Operating Expenses. Four standard cost line items that must appear in the budget justification are: Educational

Materials, Incentives, Paid Media, and Booth Rental/Facility Fees. Additional Other Cost subcategories may be proposed with appropriate justification.

9. Indirect Expenses: Indirect Expenses must not exceed a maximum of 25 percent of Total Personnel Services (Personnel Costs plus Fringe Benefits) or 15 percent of Total Allowable Direct Costs. Please see Appendix 8: *Budget Justification Instructions for Funding Opportunities* for a more detailed description of Indirect Expenses.

## I. OTIS Application Instructions: Additional Documents

**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.

1. Additional Tobacco Control Funding: Funds awarded under this RFA may not be used to duplicate or supplant existing services. If the Applicant agency 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. (Online form, documentation uploaded by applicant).

2. Certification of Non-Acceptance of Tobacco Company Funding: Complete and upload this form; see Appendix 4: *Certification of Non-Acceptance of Tobacco Funds.*

3. Cessation Identification and Treatment Protocol: Complete and upload this form **only** if you have selected (4.1.4) Cessation Assessment and Referral Systems as a component of your workplan. If an Applicant has selected 4.1.4 as part of their workplan, then it is mandatory that the Cessation Identification and Treatment Protocol is completed and uploaded into OTIS. See Appendix 10: *Cessation Identification and Treatment Protocol.*

## Part IV. Program Requirements

### A. General Scope of Work Requirements

Applicants must select indicators from the list in Table 3. Policy and System Change Indicators. It is highly recommended that Applicants choose two or more indicators and craft objectives and targeted interventions that are supported by the Applicant's existing experience and services.

**Table 3: Policy and System Change Indicators**

| Policy and System Change Focus Area | Indicator and Indicator Description |
|---|---|
| Commercial Tobacco Taxes | (1.2.9) American Indian Commercial Tobacco Excise Tax: The number of American Indian Tribal governments with a tribal excise tax on commercial tobacco products (including electronic smoking devices [ESD]) designating a portion of the revenue for a comprehensive tobacco control program to prevent and reduce commercial tobacco use. Note: This indicator is Tribal government specific as Tribal governments are sovereign nations and have authority to enact tobacco taxes or enter into agreements with the State to collect tobacco taxes. |
| Voluntary Household Smoke-Free Policies | (2.2.1) Household Smoking: The proportion of households with a voluntary policy that does not permit smoking in the home (e.g., single dwelling house, mobile home, apartment, condominium, boat). |
| Smoke-Free Outdoor Worksites | (2.2.7) The number of jurisdictions with a policy designating outdoor worksite premises as smoke-free (e.g., agricultural worksites, construction sites, logging operations, fishing operations).<br><br>Note: Do not use this indicator for the following types of worksites: non-recreational outdoor public areas (2.2.9), health care campuses (2.2.10), outdoor recreational areas (2.2.16), and faith community campuses (2.2.20). |
| Smoke-Free Entryways | (2.2.8) The number of jurisdictions with a policy prohibiting smoking within 20 feet or more of all entryways, windows, vents, and openings of public and private worksites. |
| Smoke-Free Health Care Campuses | (2.2.10) The number of jurisdictions with a policy prohibiting smoking indoors and outdoors, at all times, on the premises of licensed health care and/or assisted living facilities at all times, (e.g., hospitals, other acute health care facilities, drug and rehab facilities, mental health facilities, adult day care or residential facilities, |

| Policy and System Change Focus Area | Indicator and Indicator Description |
|---|---|
| | social rehabilitation facilities, adult group homes, assisted living facilities, skilled nursing facilities, doctors' offices). |
| Tribal Housing Smoke-Free Policies | (2.2.13) Tribal Multi-Unit Housing: The number of jurisdictions covered by a public policy that prohibits smoking in the individual units of multi-unit housing including balconies and patios. |
| Outdoor Recreational Area Smoke-Free Policies | (2.2.16) Smoke-Free Outdoor Recreational Areas: Number of outdoor recreational facilities, areas, and venues with a voluntary policy that regulates smoking in places such as amusement parks, beaches, fairgrounds, parks, parades, piers, sport stadiums, zoos, and service lines (e.g., movie theaters, food service, restrooms) - or Number of communities with a policy that regulates smoking at outdoor recreational facilities, areas, and venues in places such as amusement parks, beaches, fairgrounds, parks, parades, piers, playgrounds, sport stadiums, tot lots, zoos, and service lines (e.g., movie theaters, food service, restrooms). |
| Smoke-Free Faith Community Campuses | (2.2.20) Smoke-Free Faith Campuses: The number of faith community organizations (e.g., churches, synagogues, mosques, temples) with a voluntary policy designating outdoor areas as smoke-free except when tobacco is used for ceremonial or religious purposes. |
| Smoke-Free Casino Policies | (2.2.25) American Indian Smoke Free Gaming: The number of American Indian/tribal owned casino/leisure complexes with a policy that designates all indoor areas of casino/leisure complexes as smoke-free, excluding when tobacco is used for ceremonial, religious or sacred purposes. |
| Smokeless Tobacco Use | (2.2.28) Smokeless Tobacco: The number of jurisdictions with a policy prohibiting use of smokeless tobacco products that are ingested through oral or nasal mucosa (e.g., chew, snuff, snus and products, dissolvable tobacco products in places where smoking is otherwise prohibited). |
| Tobacco Waste Disposal Policies | (2.2.29) Tobacco Litter: The number of jurisdictions with a policy to reduce tobacco litter in public places (e.g., parks, playgrounds, beaches) and water systems. |
| Smoke-Free Workplace Policies (Non-Gaming Workplaces) | (2.2.3) American Indian Smoke-Free Worksites (Non-Gaming Worksites): The number of American Indian Tribal governments with a policy prohibiting smoking of commercial tobacco products (including ESD) within indoor worksites on tribal lands, not |

| Policy and System Change Focus Area | Indicator and Indicator Description |
|---|---|
| | including casino/leisure complexes. Note: This indicator is not intended to apply to ceremonial, religious or sacred use of tobacco products. |
| Outdoor Non-Recreational Area Smoke-Free Policies | (2.2.9) Smoke-free Outdoor Non-Recreational Public Areas: The number of jurisdictions with a policy prohibiting smoking on the premise of outdoor non-recreational public areas (e.g., walkways, streets, plazas, college/trade school campuses, shopping centers, transit stops, farmers' markets, swap meets). Note: Do not use this indicator, if the outdoor non-recreational public area is one of the following areas: health care campus, K-12 school, faith community campus, and commercial or non-profit childcare facility premise. Other indicators apply to these spaces. |
| Update Smoking Definitions | (2.2.33) The number of jurisdictions with a policy defining "smoking" to include the burning or heating of tobacco products, other plant products, and other natural or synthetic products. |
| Update Tobacco Product Definitions | (3.2.12) The number of jurisdictions with a policy defining "tobacco product" to include cigarettes, smokeless tobacco, cigars, pipe tobacco, hookah tobacco, any product containing nicotine or any product used to introduce nicotine into the body, including but not limited to such things as dissolvable tobacco products and any ESD, whether or not it delivers nicotine (e.g., cigarettes, electronic pipes, electronic cigars, electronic hookah, vaping pens, mods, tanks), but excluding products specifically approved by the FDA for use in treating nicotine or tobacco dependence. ESDs do not include any battery or battery charger when sold separately. |
| Minimum Age of Commercial Tobacco Sales (21) | (3.2.16) American Indian Tobacco 21: The number of American Indian Tribal governments with a policy designating the legal minimum age of commercial tobacco sales on tribal lands to be 21 years of age. Note: This indicator is Tribal government specific as Tribal governments are sovereign nations and have authority to enact age of tobacco sale laws or enter into agreements with the State to comply with the State's tobacco age-of-sale law. |
| Tobacco Cessation Protocol Policies General Health and Dental Clinics | (4.1.4) Cessation Assessment and Referral Systems: The extent to which health care, social service, and education agencies systematically refer patients and |

| Policy and System Change Focus Area | Indicator and Indicator Description |
|---|---|
| | clients to accessible, evidence-based tobacco cessation programs such as the California Smokers' Helpline. |
| Tobacco Cessation Protocol Policies for Pregnant Women | (4.1.4) Cessation Assessment and Referral Systems: The extent to which health care, social service, and education agencies systematically refer patients and clients to accessible, evidence-based tobacco cessation programs such as the California Smokers' Helpline. |

Applicants must implement a comprehensive SOW that address each of the following components:

1) Roadmap: 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) Community Engagement: CDPH/CTCP values community engagement for successful tobacco prevention and control. Applicants should engage and work in partnership with community members and stakeholders in order to increase capacity, meet the community's needs, and leverage resources for sustainable change. Community members and stakeholders should be included in leadership, decision making, and the dissemination of information. This can be achieved in a variety of ways, for example through an advisory group.

3) Coordination and Collaboration: Demonstrate coordination/collaboration with other local and statewide tobacco control partners such as the Statewide American Indian Coordinating Center, Tribal Projects, Local Lead Agencies (LLAs), CTCP Competitive Awardees, and the other Tribal tobacco control projects to be funded under this RFA. Please reference *Appendix 5: California Tobacco Control Funded Statewide Training and Technical Assistance Providers and Statewide Coordinating Centers, Appendix 11: Scope of Work Intervention Activities – Sample Wizards, Appendix 12: List of California Tobacco Control Program Local Lead Agencies* and *Table 6: Required CTCP Travel/Trainings* for more information on fulfilling the coordination/collaboration requirement.

4) Sustainability: Engage in collaborative efforts that contribute to and sustain California's broader tobacco control movement. At a minimum, applicants are required to do the following:

    - On a regular basis submit educational materials developed by the project staff along with testing results (e.g., reading level, consumer focus group results) to the Tobacco Education Clearinghouse of California (TECC) through the TECC website at: https://www.tecc.org/material-submission;

- If direct cessation services are offered by the project, on a regular basis, provide information to the California Smokers' Helpline on the availability, schedule and enrollment information so that they can share it with callers;
- Use OTIS as the primary source for communicating about Plan, Budget, Progress Report and Cost Report issues to ensure transparency and coordination of communications.

5) Building Partnerships: Partner with other agencies (e.g., public health, social service, employment, housing, etc.) to facilitate an integrated approach to tobacco control efforts which may include joint trainings (e.g., trainings hosted by the Statewide American Indian Coordinating Center), participation in evaluation and surveillance (e.g., Key Informant Interviews, Public Intercept Surveys), and cross-participation in community coalitions.

6) Tangible Deliverables: Provide tangible work products as a result of activities completed in the Applicant's SOW, including, but not limited to educational materials, training resources, and reports. Please see *Appendix 11: Scope of Work Intervention Activities – Sample Wizards* for examples of activities and their tracking measures.

7) SMART Objectives: All objectives are to be Specific, Measurable, Achievable, Realistic, and Time-Bound (SMART) and describe the expected outcome of activities. In addition, all objectives must be consistent with the list of indicators found in Table 3. Policy and System Change Indicators. Selecting two or more indicators is highly recommended. Please read closely and utilize *Appendix 11: Scope of Work Intervention Activities – Sample Wizards* to assist in putting together a SOW.

8) One Primary Objective: Designates at least one objective as the "primary objective." A primary objective is one that requires an in-depth evaluation plan in consultation with a qualified evaluator. Evaluation of the primary objective provides valuable knowledge and identifies replicable interventions and strategies to improve future interventions aimed at reducing tobacco-related disparities. A Final Evaluation Report that thoroughly describes the intervention, evaluation design, and outcomes is required for each primary objective. Non-primary objectives must include submission of a Brief Evaluation Report. *See Appendix 6: Tell Your Story: Guidelines for Preparing Useful Evaluation Reports* for information regarding the preparation of Final and Brief Evaluation Reports.

9) Community Assessment and Midwest Academy Strategy Chart: Applicants must conduct a community assessment (such as a needs assessment found in Table 4) and Midwest Academy Strategy Chart for each objective within the first six (6) months of the grant, in order to collect information that helps guide and inform activities, policy, and project direction. The community assessment will

evaluate community needs and perspectives related to tobacco, social norms around tobacco, and the social, cultural, and environmental factors influencing tobacco use. Community asset mapping may also include understanding community priorities and how to integrate tobacco prevention and cessation and identifying gaps in existing tobacco policies within the community. Information can be collected in several ways through key informant interviews, listening sessions, or public opinion polls. If an applicant has existing assessment data, they should also demonstrate how it will be used to support proposed activities and strategies.

10) Evaluation Plan Deliverables: Allocates a minimum of ten (10) percent of the total plan deliverables towards evaluation activities.

11) Required Evaluation Activities: Create a SOW Evaluation Plan that measures the outcome of the objectives; includes process evaluation activities that will be used to improve or tailor intervention activities; and a dissemination plan for evaluation findings. The Evaluation Plan must also include the required evaluation activities identified in in Table 4. Required Evaluation Activities. Each objective must have all of the required activities found in Table 4. Please note pre/post test participant surveys prior to and following community presentations are not desired.

**Table 4. Required Evaluation Activities**

| Required Intervention Category and Description | Recommended Language | Recommended Tracking Measure |
|---|---|---|
| Designate one objective as Primary, which requires an in-depth evaluation plan resulting in a Final Evaluation Report (a primary evaluation objective must be based on an indicator, not an asset). A primary evaluation objective produces valuable knowledge and replicable interventions and strategies that identify and reduce tobacco-related inequities. | Final Evaluation Report: Descriptive statistics such as percentages, frequencies, and means will be used to analyze findings from the following evaluation activities (insert evaluation activity names, e.g., Participant Surveys, Public Intercept Surveys, and Observation Surveys). Advanced data analysis will be performed using data collected from the following evaluation activities: (insert evaluation activity names, e.g., Outcome Data, Public Intercept Surveys). Comparisons will include | Final Evaluation Report (for Primary Objectives)<br>Brief Evaluation Report (for Non-Primary Objectives) |

| Required Intervention Category and Description | Recommended Language | Recommended Tracking Measure |
|---|---|---|
| A non-primary evaluation objective requires a less in-depth evaluation plan and submission of a Brief Evaluation Report. Each objective must have a final or brief evaluation report.<br><br>The Final or Brief Evaluation Report is to be submitted at the end of the grant. | (Insert a description of comparisons, e.g., store type, area demographics, smoking status, etc.). The Public Intercept Surveys will be analyzed by calculating frequencies and percentages to document support/opposition to policy strategies, knowledge, and demographic information provided by survey participants.<br>Common themes such as (insert descriptions such as support/opposition, challenges/barriers, health/business) will be identified and summarized from the following evaluation activities (insert names of evaluation activities, e.g., Key Informant Interviews, Focus Groups, Media Activity Records, Policy Record).<br><br>Overall, the data collected will be used to identify the importance/public attention placed on the issue; inform intervention strategies, and media messaging; guide and target educational efforts, and understand the impact of the intervention on (insert description of the policy, system or environmental change sought, e.g., decreased tobacco sales to minors, decreased SHS exposure, decreased number of cigarettes smoked per day, | |

| Required Intervention Category and Description | Recommended Language | Recommended Tracking Measure |
|---|---|---|
| | decreased tobacco butt litter, etc.). Conclusions and recommendations in the evaluation report will be based on evaluation results and findings. | |
| Key Informant Interview – General Key Informant Interview<br><br>Key Informant interviews are to be conducted annually, as needed to adopt and implement a policy. | Develop key informant interview questions including (insert topics). The key informant interview questions will be developed in consultation with the Tobacco Control Evaluation Center (TCEC) (or explain how it will be developed, e.g., adapt from previous work or obtain samples from other project directors). Conduct (insert # range) telephone and/or in-person interviews with (insert types of people or organizations) to determine facilitators and barriers to implementing a (insert type of policy) policy in (list targeted jurisdiction(s)). Each interview will be approximately (insert # range) minutes in length. | Key Informant Interview Questionnaire<br><br>Key Informant Interview Summary Report |
| Education/Participant Survey – **Needs Assessment**<br><br>The first needs assessment is to be conducted within the first six months of the grant period, and annually thereafter. | Annually conduct a web-based or in-person needs assessment survey of (insert number) partners including (insert type of groups, e.g., local campaign partners; youth, college personnel, advisory committee members, youth, and young adults). The needs assessment will solicit feedback and suggestions for | Survey Instrument<br>Needs Assessment Summary Report |

| Required Intervention Category and Description | Recommended Language | Recommended Tracking Measure |
|---|---|---|
| | (insert description, e.g., project activities, campaigns, websites content and navigation; youth and young adult involvement in tobacco control programs; educational materials; regional networking needs; and training needs). The survey results will be analyzed using descriptive statistics such as percentages, frequencies and means will be used to analyze findings. Analysis of survey results will guide project activities. | |

12) Statewide Evaluation: Participates in CDPH/CTCP's statewide evaluation of the American Indian Initiative. This evaluation is being conducted by the University of California San Diego. The aim of the evaluation is to evaluate the impact and outcomes resulting from the American Indian Initiative. Grantees are required to participate and may be asked to participate in focus groups, Key Informant Interview or complete surveys. The results of the evaluation will guide future recommendations to support commercial tobacco use prevention and reduction initiatives among American Indian/Alaskan Native populations in California.

## B. Budget and Budget Justification Requirements

**Minimum requirements for the budget and budget justification are provided below.**

1. Sixty-Month Budget with SOW Alignment: Develop a 60-month budget based on the implementation of the SOW that is accurate (e.g. formulas calculate correctly), reasonable, and justifiable when compared to the activities detailed in the SOW for each fiscal year. Verify that each activity in the SOW (that results in an expenditure of funds) is reflected in the budget. See *Appendix 7: Sample Budget Justification* for an example.

2. Appendix 8 Budget Justification Instructions: Utilize the eight (8) budget line items provided in the OTIS budget justification index (*See Appendix 8: Budget Justification Instructions for Funding Opportunities* for guidance).

3. Maximum Fiscal Year Budget Request: Ensure the total dollar amount for each fiscal year does not exceed the stated maximum amount allowed in the grant (Table 1. Funding Details: Maximum Fiscal Year (FY) Award). Do not plan on rolling unspent funds from one fiscal year to the next.

4. Comparable State Civil Service Salary Requirement or Justification for Higher Salary Rates: Provide personnel costs that reflect salaries comparable to State Civil Service classification rates (associated duties must also be comparable). Salaries that are above comparable State Civil Service classification rates must be completely justified. (See *Appendix 9: Comparable State Civil Service Classifications*).

5. Applicants may not subcontract more than 20 percent of the grant award annually to subcontractors or consultants.

6. Applicants are required to include the positions listed in *Table 5. Required Staffing* in the proposed budget. Please note an individual staff person funded by CTCP, on one project or on multiple projects, may not work more than 1.0 FTE in combined total, without prior written CTCP approval from the Program Consultant and Procurement Manager. For example, consideration of an individual staff person being budgeted at greater than 1.0 FTE may be granted in cases where work is not being accomplished due to a large number of vacancies or an extended absence of a key staff member due to sick leave or maternity leave.

7. Designate a minimum of one position (Project Director/Project Coordinator) at a minimum of 100 percent 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.

**Table 5. Required Staffing**

| Requirement | % FTE |
|---|---|
| The following are minimum staff requirements for the plan. Each of the following positions must be included in the Budget, with existing staff noted and a hiring plan for vacant or yet to be established positions in the Budget Justification. It is expected that new | |

| Requirement | % FTE |
|---|---|
| positions will be filled within the first six (6) months of the project.<br><br>**Required Staff:**<br>• Project Director or Project Coordinator<br>• Community Engagement/Outreach Coordinator<br>• Internal or External Evaluator<br><br>*An internal evaluator is recommended for capacity building.*<br><br>*A narrative description of the typical duties for the required staff above may be found in Appendix 7, Sample Budget Justification.*<br><br>**Recommended Staff:**<br>• Health Education Specialist<br>• Fiscal and Administrative Staff<br>• Development Positions (e.g., student workers, Interns) | <br><br><br>100% FTE<br>50% FTE<br>10% FTE |

8. Applicants are required to budget for the trainings listed below.

   a) CTCP Travel and Training Requirement: A minimum of one participant for the required Travel/Training noted in Table 6. *Required CTCP Travel/Trainings*.

   b) Minimum Coordination/Collaboration Travel Requirement: Table 6 below identifies the Minimum Required Travel Training. Please note that applicants must budget for 4-5 Statewide Coordinating Center coordinating/collaboration meetings, organized and sponsored by the American Indian Coordinating Center and 1 Midwest Academy Strategy Chart Training.

**Table 6. Required CTCP Travel/Trainings**

| Required CTCP Travel/ Training | FY 20-21 | FY 21-22 | FY 22-23 | FY 23-24 | FY 24-25 |
|---|---|---|---|---|---|
| CTCP California Projects Meeting | | X | | X | |
| Statewide Coordinating Center Coordination/Collaboration Meetings (4-5) | X | X | X | X | X |
| AI/AN Tobacco Projects Meeting | X | | X | | |

| | | | | | |
|---|---|---|---|---|---|
| Midwest Academy Strategy Chart Training | **X** | | | | |

9. Additional Budget Justification information may be obtained in the following Appendices:

   - *Appendix 13: Travel Reimbursement Information*
   - *Appendix 14: CTCP Program Letter 18-01 Incentive Materials*
   - *Appendix 15: CTCP Program Letter 12-03 Allowed Policy Activities*

## Part V. Application Selection Process and Criteria

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 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.

### A. 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. 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. For the purpose of administrative screening, required documents include:
   - Certification of Non-Acceptance of Tobacco Company Funds
   - Franchise Tax Board Entity Status Letter
   - Proof of Non-Profit Status (if applicable)
   - Cessation Tracking Treatment Protocol (if applicable)

5. 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. CTCP reserves the right to not fund any of the applications received for this RFA. Funding decisions may also be made to ensure:

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

Table 7 describes the maximum point value for each RFA section.

**Table 7. Maximum Point Value for RFA Sections**

| Application Component | Total Point Value |
|---|---|
| Applicant Capability | 30 |
| Scope of Work – Intervention Plan | 25 |
| Scope of Work – Evaluation Plan | 10 |
| Scope of Work – Narrative Summary | 15 |
| Detailed Budget and Budget Justification | 20 |
| **TOTAL** | 100 |

## STAGE THREE: NOTIFICATION OF DECISION

Each Applicant 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 each 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, Budget and Budget Justification 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. All grant document modifications must be complete and accepted by the date identified in Table 2 or CDPH/CTCP may withdraw the grant award. Work may not commence until the grant is fully executed and any work done before the full execution of the grant will be deemed voluntary.

## B. Application Selection Criteria

Table 8. *Scoring Criteria and Rating Points* provides the selection criteria and the associated point value that will be used to evaluate and score applications.

**Table 8. Scoring Criteria and Rating Points**

| APPLICANT CAPABILITY | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Point Value** |
| Organizational Mission | The Applicant demonstrates that its types of programs and services serve the American Indian/Alaskan Native population and its programs are consistent with the goals of this RFA. | **3** |
| Demonstrated Access and Work with California Tribes and American Indian/Alaskan Native Populations in California | The Applicant demonstrates knowledge of California Tribes, American Indian populations, and Alaskan Native populations including: 1) at least a three (3) year work history and experience on major issues impacting the American Indian/Alaskan Native population (e.g., health, behavioral health, employment, education, housing, environment, social justice, etc.); 2) at least three (3) years of experience developing community linkages, participating in, and maintaining stakeholder groups within Tribal communities; 3) strong relationships with non-traditional partners (e.g., arts and culture, housing environment, community development, transportation, law enforcement, business, substance abuse and mental health treatment, employment, living wage, faith-based, youth development, and early childhood development); 4) and provides two (2) examples of work on health-related projects with Native Americans/Alaskan Natives on a community issue and the outcome. | **5** |
| Record of Experience in Program Management & Evaluation | The Applicant demonstrates at least two (2) years of experience monitoring and reporting program performance; collecting qualitative and quantitative data collection through means such as focus groups, key informant interviews, | **3** |

| APPLICANT CAPABILITY | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Point Value** |
| | surveys; and preparing reports describing program results. | |
| Prior Work Experience | The Applicant demonstrates prior experience with the following: 1) development and maintenance of communication systems (e.g., listserv, website, webinars); 2) developing culturally relevant presentations, workshops, training, and outreach materials; 3) collaborative relationships with Tribal and community agencies or others related to health, behavioral health, social services, education, environmental or social justice issues; 4) and outreach to Tribal leaders and key community leaders. | **4** |
| Program Staffing | Describe the formal educational background, professional experience, including the length of time worked on projects to create policy, system, or environmental changes, and describe the qualifications of the staff and subcontractors (or a recruitment and hiring plan). This description should show that the proposed project staff and subcontractors (if applicable) have the necessary qualifications and experience to successfully implement and evaluate a project designed to work with American Indian/Alaskan Native communities, American Indian tribes, and tribe serving organizations. | **3** |
| Start Up: Office Space and Equipment | The Applicant demonstrates: 1) it has appropriate physical office space to operate out of and the capability and resources to start up and begin implementation of activities within six weeks of the grant start and to primarily deliver services Monday through Friday between the hours of 8 a.m. and 5 p.m., Pacific Time (PT); 2) appropriate hard drive encryption and antiviral software, computer software and applications to | **2** |

| APPLICANT CAPABILITY | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Point Value** |
| | support email, word processing, spreadsheets, PowerPoint, databases, web conferencing, website development and reliable Internet access; and 3) it will provide the grant staff with use of agency communication equipment, copy machines, and shared office furniture for meetings; and at least provide 50 percent of desks, chairs, current computer equipment, printers, and software needed for the grant staff. | |
| Administrative/Fiscal Experience | The Applicant demonstrates that its administrative/fiscal staff have the appropriate educational background, skills, and experience to satisfactorily manage all aspects of payroll, bookkeeping, invoicing, subcontract/consultant monitoring, and other administrative controls associated with acceptance of government funds; demonstrates 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, fiscal stability to manage payments in arrears; no major negative audit findings; 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. | **5** |
| Letters of Reference | The two (2) Letters of Reference: 1) Are on Agency letter head and include contact information; 2) Describe the capacity in which the reference provider worked with the Applicant; 3) Describe the Applicant's ability to administer grant | **2** |

| APPLICANT CAPABILITY | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Point Value** |
| | funds satisfactorily and meet grant obligations (e.g., complete scope of work activities timely and satisfactorily, meet deadlines, submit timely and complete progress reports required reports, prepare and submit timely accurate invoices, satisfactorily complete and maintain timesheets, travel claims, and other program and administrative documentation for audit purposes). | |
| Evaluator Information Evaluator Qualifications and Certification | The Applicant demonstrates the engagement of a qualified Plan Evaluator who has: 1) completed at least one course in study design or at least one year of experience determining the study design for an evaluation; 2) completed one course in program evaluation or one year of planning and implementing a program evaluation; 3) completed at least two intermediate courses in statistics; 4) has intermediate or higher proficiency in calculating sample size, developing a sampling scheme, and determining appropriate data collection methods; 5) has intermediate or higher proficiency in evaluating behavior change, policy, or media interventions; 6) has intermediate or higher expertise in using statistical software packages to analyze and interpret quantitative data. | **3** |
| | **SUBTOTAL** | **30** |

| SCOPE OF WORK - INTERVENTION PLAN | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Point Value** |
| SOW Intervention Plan – Objectives | The SOW includes:<br>• Objectives that are specific, measurable and describe the expected outcome of activities (SMART);<br>• At least one objective is designated as a Primary Objective which will be | **5** |

| SCOPE OF WORK - INTERVENTION PLAN | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Point Value** |
| | the focus of an in-depth evaluation (the Primary Objective must be an Indicator-based objective); and<br>• Objectives that are consistent with the purpose of this RFA.<br>• Indicators found in Table 3. | |
| SOW Intervention Plan – Required Components and Recommended Activities | The SOW focuses on the American Indian/Alaskan Native population and addresses the following:<br>• Midwest Academy Strategy Chart (Note: Training on this topic will be provided.)<br>• Needs Assessment conducted in the first 6 months of the grant<br>• Coordination/Collaboration Activities – Partners Participation<br>• Community Education Activities – Policy-related educational meetings<br>• Coordination/Collaboration Activities – Communications Plan<br>• Educational Materials Development – Policy Packets<br>• Evaluation - Participation in the Statewide American Indian Initiative Evaluation<br>• Coordination/Collaboration with CTCP-Funded Projects Requirement:<br>• Establish and Maintain Cross-Collaborative Efforts Requirements:<br>• Integrated Approaches to Tobacco Control Requirement | **10** |
| SOW Intervention Plan –Comprehensive Road Map | The Applicant presents a well-organized, detailed, and comprehensive SOW that is well reasoned and appropriate to accomplish the objectives describes:<br>• A wide variety of activities that are and culturally-appropriate, support the objective, progress in a | **5** |

| SCOPE OF WORK - INTERVENTION PLAN | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Point Value** |
| | sequential, chronologically appropriate order;<br>• Quantifies how much work will be done (e.g., identifies the number or range of presentations, the number of people to attend events, educational materials, newsletter, etc. that will be conducted or developed).<br>• Enough activities (in quantity and magnitude) for the objective to be achieved (i.e., how much work will be done);<br>• Where activities will occur;<br>• Sufficient activities (in quantity and magnitude) to justify the proposed level of staffing and proposed outcomes; and<br>• Responsible parties for completion of each activity (e.g., staff positions, subcontractors, consultants, volunteers). | |
| SOW Intervention Plan | Activities demonstrate:<br>• Coordination and collaboration with the American Indian Statewide Coordinating Center and other CTCP training and technical assistance providers and Statewide Coordinating Centers and;<br>• Partnerships with other public health, social service, employment, housing, etc. programs to facilitate an integrated approach to tobacco control efforts which may include joint trainings, participation in evaluation and surveillance, and cross-participation in coalitions. | **5** |
| | **SUBTOTAL** | **25** |

| SCOPE OF WORK - EVALUATION PLAN | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Points Value** |
| Scope of Work – Evaluation Plan | An Evaluation Plan is included and specific for each objective and reflects that a qualified Plan Evaluator provided at least four hours of consultation on the development of the objectives and evaluation activities. The Evaluation Plan measures the outcome of each objective, provides process evaluation activities to improve interventions, includes a plan for disseminating evaluation findings, and includes the requirements described below:<br>• Engagement of the Project Evaluator, Project Director, and community members in evaluation activities.<br>• Allocates a minimum of 10 percent of the total plan deliverables towards evaluation activities;<br>• Education/Participant Survey – Needs Assessment, completed in the first six (6) months of the grant and annually thereafter;<br>• Key Informant Interview – General Key Informant Interviews, conducted annually;<br>• Final Evaluation Report –at least one Primary objective, describing an in-depth evaluation plan resulting in a Final Evaluation Report and Brief Evaluation Reports for non-Primary objectives.<br><br>• For each evaluation activity, there is an appropriate description of the instrument to be used, the 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. | **6** |
| Scope of Work – Evaluation Plan | The Final Evaluation Report form summarizes the evaluation reporting for | **4** |

| SCOPE OF WORK - EVALUATION PLAN | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Points Value** |
| | each objective. It satisfactorily addresses:<br>• How the evaluation data will be analyzed;<br>• How the findings and Evaluation Report will be disseminated to the community, policymakers, and to public health professionals working in tobacco control (e.g., through a conference presentation or a peer reviewed paper);<br>• The progress report period in which interim and Brief/Final Evaluation Reports will be submitted to CTCP;<br>• and any limitations or challenges anticipated with completing the evaluation. | |
| | **SUBTOTAL** | **10** |

| SCOPE OF WORK - NARRATIVE SUMMARY | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Point Value** |
| Community Assessment Analysis | The Community Assessment Analysis 1) identifies the specific geographic communities and populations to be addressed including the approximate population size; 2) strongly justifies with data that the objectives address an important problem of significance to the population of focus; 3) incorporates substantiated evidence or practice-based approaches to addressing the problem; and 4) includes the required first two sentences "This project will primarily address the following groups" and "This project will primarily work in the following geographical communities" | **7** |
| Major Intervention Activities | The Major Intervention Activities demonstrates an appropriate and | **3** |

| SCOPE OF WORK - NARRATIVE SUMMARY | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Point Value** |
| | reasonable approach for full accomplishment of the objectives. | |
| 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 objectives. | **2** |
| Evaluation Summary | The Evaluation Summary is appropriate for the objective and activities and describes the following: 1) the specific outcome to be accomplished as a result of the intervention 2) the evaluation plan type; 3) the outcome and process evaluation activities to be conducted; 4) how the process evaluation activities will be used to improve or tailor the intervention; and 5) how findings will be disseminated. | **3** |
| | **SUBTOTAL** | **15** |

| PLAN COMPONENT: BUDGET AND BUDGET JUSTIFICATION | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Points Possible** |
| Budget and Budget Justification | • The proposed budget adheres to the instructions provided in Appendix 8: *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.<br>• Includes all required staffing and minimum duties listed in Table 5.<br>• The narrative includes easy to follow formulas and accurate | **10** |

| PLAN COMPONENT: BUDGET AND BUDGET JUSTIFICATION | | |
|---|---|---|
| **Application Component** | **Scoring Criterion** | **Points Possible** |
| | 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 line items and the corresponding sub-line items are identified in the OTIS Budget Justification.<br>• If funds from another source 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 CDC grant, etc.). | **4** |
| | • 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.<br>• Salaries that appear high in relationship to state salaries in Appendix 9: *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. All required trainings in Table 6 are budgeted as instructed and clearly justified based on the Applicant's proximity to the event.<br>• Travel and Per Diem costs adhere to rates set by the California Department of Human Resources (CalHR) in Appendix 13: *Travel Reimbursement Information*. | **2** |
| | **SUBTOTAL** | **20** |

# Part VI. 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:

- Cancel this RFA;
- Modify this RFA as needed; or,
- 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 with the RFA.

## D. Grounds to Reject an Application

An Application shall be rejected if:

1. It is received after the exact date and time set as deadline 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 (formerly known as the Board of Equalization)
   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 intent to award shall be posted on the TCFOR website. If any Applicant, prior to the award date of the grants, 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 e-mail; however, certified or registered mail is acceptable as well. 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 Intent to Appeal Letter is due to CTCPCompetitiveGrants@cdph.ca.gov by 5:00 p.m. on the date listed in Table 2. *Tentative RFA Timeline and Award Schedule*. Upon receipt of the Intent to Appeal Letter, CTCP will allow the Applicant five (5) calendar days to submit a detailed statement to the email address listed above, specifying the grounds for

the appeal. Applicants that wish to send the detailed statement by mail should send the letters to:

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

Note: If the Applicant chooses to send either the intent to appeal, the detailed statement, or both through the mail, they must arrive within the timeframes specified above. No additional days will be allowed for the mail to arrive.

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, The Awardee will be required to complete and submit to CDPH/CTCP the required documents listed in section VII, C. Awardee Required Documents.

## G. Disposition of Applications

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.

## H. Inspecting or Obtaining Copies of Application Materials

Persons wishing to view or inspect any application or award related materials must follow the Public Records Act (PRA) request process.

## Part VII. 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 grant 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. 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, The Awardee is to maintain fiscal and program records documenting expenditures and program implementation for three years beyond the date of the final grant payment.

5. For each subcontract of $5,000 or more, Applicants are required to follow these instructions:

   a) When the amount of the subcontract agreement is $5,000 or more, the prime agency must submit their competitive bid process to CDPH/CTCP for approval before making an award.

   b) Once CDPH/CTCP receives documentation of the competitive bid process and the subcontractor selection for agreements $5,000 or more, the prime agency is responsible for submitting a "Subcontract Agreement Transmittal Form" into the OTIS for each subcontract agreement. The prime agency must also retain a copy of the competitive bid process and subcontract agreement that includes a detailed SOW and Budget/Budget Justification.

6. The Awardee is required to expend the grant funds to implement the agreed upon SOW and consistent with Appendix 8: *Budget Justification Instructions for Funding Opportunities*, Appendix 15*: CTCP Program Letter (PL) 12-03 Allowed Policy Activities,* and the *Local Lead Agency and Competitive Grantee Policy Manual*. The *Local Lead Agency and Competitive Grantee Policy Manual* is located in OTIS under the Training Tab and User Manual, where users are be able to view and download the latest version of the policy manual as a PDF file.

## 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. Contractor Certification Clauses (CCC 04/2017), which is a Department of General Services form.

3. Evidence of commercial general liability insurance.

4. Establish the Identifying Headquarters for State Travel Reimbursement for budgeted staff and subcontractors/consultants.

## D. Standard Payroll and Fiscal Documents

The Awardee shall maintain adequate employee time recording documents (e.g., timesheets, time cards, and payroll schedules) and fiscal documents based on Generally Accepted Accounting Principles (GAAP) 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 through OTIS on time, complete, 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 and Final 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: The Awardee is required to maintain backup documentation for all expenditures and provide the backup documentation for an invoice if requested by CTCP. The 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: The Awardee is required to submit invoices no less than once per quarter, no more than once a month. The 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. The Prompt Payment Act requires State agencies to pay properly submitted, undisputed invoices within 45 calendar days of initial receipt.

3. Advance Payments: The Awardee may request annually up to 25% of each annual budget by submitting an invoice for the amount of the advance. The Awardee must liquidate or offset the amount of the advance with invoices before the end of each budget year/period. Regular payments thereafter may be requested not more frequently than once per month in arrears. If an amendment increases the annual budget total, CDPH may advance up to 25% of any increase. If an amendment decreases the annual budget total, Grantor agrees to remit to CDPH the appropriate pro-rata share of any funds already advanced and shall do so within thirty (30) calendar days of receiving a re-payment request from CDPH. The Awardee agrees to remit any unexpended advance payment

balance to CDPH within forty-five (45) calendar days following the submission of the Awardee's final invoice.

## G. 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.
   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 VIII. References


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