Request for Applications CG #20-10004

Rising Alliances for a Tobacco-Free California

CALIFORNIA DEPARTMENT OF PUBLIC HEALTH
CALIFORNIA TOBACCO CONTROL PROGRAM

October 3, 2019

Table of Contents

Part I. Funding Opportunity Overview		**1**
A.	Background and Authorizing Legislation	1
B.	Funding Purpose	2
C.	Program Goals and Expected Outcomes	3
D.	Funding Restrictions	5
E.	Public Health Significance of Tobacco Use	6
F.	California Tobacco Control Program Goals	9
Part II. Funding Opportunity Details		**9**
A.	Eligibility Criteria	9
B.	Grant Term and Funding	11
C.	Timeline and Award Schedule	12
D.	Informational Webinars and Technical Assistance	13
E.	Applicant Questions and Reporting of Errors in the RFA	14
Part III. Application Submission Process		**15**
A.	Application Submission	15
B.	Description of the Online Tobacco Information System (OTIS)	15
Part IV. Application Requirements		**16**
A.	Mandatory Non-Binding Letter of Intent	16
B.	Applicant Capability	17
C.	Scope of Work – Intervention Plan	21
D.	Scope of Work – Evaluation Plan	23
E.	Narrative Summary	25
F.	Budget and Budget Justification	27
G.	Additional Documents	33
Part V. Application Selection Process and Criteria		**35**
A.	About this Section	35
B.	Application Review Process	35
C.	Application Selection Criteria	36
Part VI. Award Administration Information		**48**
A.	RFA Defined	48
B.	RFA Cancellation and Addendums	48
C.	Immaterial Defect	48
D.	Grounds to Reject an Application	48
E.	Notice of Awards	49
F.	Appeal Process	49
G.	Disposition of Applications	50
H.	Inspecting or Obtaining Copies of Application Materials	50

Part VII. Important Administrative Details **50**

A. Cost of Developing the Application 50
B. Awardee Requirements 51
C. Awardee Required Documents 52
D. Standard Payroll and Fiscal Documents 52
E. Progress Reports 52
F. Invoices 53
G. Dispute Resolution, CDPH Rights, and Grant Termination 53

Part VIII. References **55**

Appendices

Appendix 1.	Leveraging Existing California Tobacco Control Program Infrastructure
Appendix 2.	Overview: Initiative to Prevent and Reduce Tobacco-Related Disparities
Appendix 3.	Examples of Using Grant Funds to Address Social Determinants of Health
Appendix 4.	Sample Non-Profit Status Letter
Appendix 5.	Certification of Non-Acceptance of Tobacco Funds
Appendix 6.	List of California Tobacco Control Program Local Lead Agencies
Appendix 7.	OTIS Application Instructions
Appendix 8.	Intervention Activities Sample Wizards
Appendix 9.	2016 Communities of Excellence in Tobacco Control, A Communities of Excellence Needs Assessment Guide
Appendix 10.	Tobacco Education Clearinghouse of California (TECC): Available Educational Materials
Appendix 11.	Tell Your Story: Guidelines for Preparing Useful Evaluation Reports
Appendix 12.	Theory at a Glance: A Guide for Health Promotion Practice
Appendix 13.	Budget Justification Instructions
Appendix 14.	Comparable State Civil Service Classifications
Appendix 15.	California Civil Rights Laws Attachment
Appendix 16.	Local Lead Agency and Competitive Grantee Administrative and Policy Manual, Policy Section
Appendix 17.	CTCP Program Letter 18-01 Incentive Materials
Appendix 18.	CTCP Program Letter 12-03 Allowed Policy Activities

Part I. Funding Opportunity Overview

A. Background and Authorizing Legislation

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

In November 2016, California voters overwhelmingly approved the *California Healthcare, Research, and Prevention Tobacco Tax Act of 2016,* Proposition 56 (Prop 56), by a 64 percent to 36 percent vote. Prop 56 added an additional $2.00 tax to each pack of cigarettes and an equivalent tax on other tobacco products, including electronic smoking devices (ESDs) and designated that a portion of the tobacco tax revenue be directed toward preventing and reducing tobacco use. Prop 56 requires that a minimum of 15 percent of the funds appropriated to CDPH/CTCP be used to accelerate and monitor the rate of decline in tobacco-related disparities with a goal of ultimately eliminating tobacco-related disparities. To address this mandate, CDPH/CTCP launched a statewide *Initiative to Prevent and Reduce Tobacco-Related Disparities*. This Initiative is comprised of seven (7) components focused on priority population groups and expanding the network of organizations involved in preventing and reducing 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.*

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

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

- 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.
- Indicate innovative or promising approaches that can be replicated by others.

The Tobacco Education and Research Oversight Committee (TEROC) is a legislatively mandated advisory committee charged with overseeing the use of Prop 99 and Prop 56 tobacco tax revenues for tobacco control interventions. The 13 member committee publishes and periodically updates a state master plan for tobacco control. The *2018–2020 Tobacco Education and Research Oversight (TEROC) Committee's Master Plan, New Challenges, New Promises for All* identifies more than a dozen priority populations groups who are disproportionately impacted by tobacco.[1] The *Master Plan* also highlights a vision for a tobacco-free future, health equity considerations, reflections on emerging issues, and policy recommendations.

B. Funding Purpose

For over 30 years, CDPH/CTCP has funded local health departments and community organizations to keep tobacco out of the hands of youth and ensure that all Californians can live, work, play, and learn in tobacco-free environments. During this time, the dedicated work of community projects resulted in a significant reduction of tobacco use, secondhand smoke (SHS) exposure, and illegal tobacco sales to underage persons throughout California communities. Despite these accomplishments, tobacco use continues to take a terrible toll on individuals and families throughout the state.

As California moves towards ending the tobacco epidemic in all communities across the state, this Request for Application (RFA), *Rising Alliances for a Tobacco-Free California* seeks to fund new partners, including non-traditional partners such as civil rights, economic development, employment opportunity, environmental, health technology, housing, rural development, and social justice organizations that will build on past efforts to reduce and eliminate tobacco use and exposure to secondhand smoke and aerosol produced by e-cigarettes and vaping devices, and engage new agencies whose work aligns with tobacco control in the effort to achieve a tobacco-free California. Through three decades of experience, CDPH/CTCP and its partners have identified and refined strategies that reduce the negative impact that tobacco has on our communities, but the work is not complete. The concepts presented in this RFA also incorporate recommendations from key informant interviews conducted with thought leaders in California's tobacco control movement who provided insights based on the context of the current tobacco landscape with an eye towards the future.

The purpose of this RFA is to fund agencies which have less than three (3) years of demonstrated agency experience in tobacco control, or who would like to become engaged in the tobacco control movement for the first time. This RFA seeks to fund

projects that can build new linkages between their current work and tobacco control, strengthen partnerships with priority populations, increase the reach and impact of tobacco control programs in underserved areas, and rigorously pursue tobacco-free communities with a broad range of proven approaches and partners.

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.

C. Program Goals and Expected Outcomes

This RFA will fund approximately fifteen (15) projects, which may be implemented at the local, regional, or statewide level. It seeks to fund new partners, including non-traditional partners such as civil rights, economic development, employment opportunity, environmental, health technology, housing, rural development, and social justice organizations that can build off of the work completed by current tobacco control partners and bring the perspective and expertise of new agencies to work on tobacco-free initiatives in areas of need in the current tobacco control landscape in California.

Applicants are expected to design and implement strategies which build upon established tobacco control practices, and ensure these projects reach areas of need in the state. Projects must be forward-thinking and reflect responsiveness to a rapidly changing tobacco control and public health environment. Projects will incorporate policy and system change-focused goals with intentional collaboration and community engagement strategies, and are expected to include meaningful evaluation efforts. Projects must demonstrate how their expertise will advance tobacco control (e.g., access to communities that are not currently engaged in tobacco control work, expertise in other public health, social, or environmental areas that align with tobacco control for collective impact).

Applicants are encouraged to link tobacco use prevention and reduction efforts to other community concerns and social determinants of health, which are associated with premature death and disease in at-risk communities. Social determinants of health are social conditions that shape the overall health of populations, including the availability of education; food; employment opportunities; and political, social, and economic forces that have an impact on the health of populations, communities, neighborhoods, and individuals. Tobacco control projects that are responsive to the social determinants of health may include approaches such as collaborating with organizations and groups addressing: nutrition, alcohol prevention, substance abuse prevention, healthy and affordable housing, school dropout prevention programs, living wage initiatives, the built environment, and crime prevention. However, Applicants should remain cognizant that the use of funds and proposed objectives and activities in response to this RFA must be consistent with the authority provided by H&S Code Sections 104350-104445 and the RFA. See Appendix 3: *Examples of Using Grant Funds to Address Social Determinants of Health* for additional examples.

Projects funded by this RFA are expected to accelerate the adoption, implementation, and impact of policy, systems, and environmental change campaigns through the use of established public health practices and progressive strategies to eliminate the use of tobacco in California. Applications must avoid duplication of currently funded efforts. It is the responsibility of prospective Applicants to ensure they do not propose duplicative work in jurisdictions; or duplicate services that are being implemented by the groups listed below. Information about currently funded efforts may be found by reviewing the electronic project directory. Currently funded agencies include:

- Local Lead Agencies (LLAs);
- Priority Population Statewide Coordinating Centers addressing African American/Black, American Indian, Asian Pacific Islander, Hispanic/Latino, Rural, and Lesbian/Gay/Bisexual/Transgender/Queer (LGBTQ) populations;
- Priority Population Regional Projects addressing African American/Black, American Indian, Asian Pacific Islander, Hispanic/Latino, Rural, and Lesbian/Gay/Bisexual/Transgender/Queer (LGBTQ) populations;
- Residential Behavioral Health Facilities;
- California Tribal Initiative projects;
- Statewide Coordinating Centers addressing Youth and Young Adults, Community Engagement and Organizing, and Policy Development and Implementation; and
- Statewide services provided by the California Smokers' Helpline, The LOOP, The Center for Tobacco Cessation, CA Quits, The Smoking Cessation Leadership Center's Behavioral Health and Wellness Initiative, Rover Library, Tobacco Education Clearinghouse of California; and Endgame Training and Technical Assistance.

Successful Applicants for this RFA will clearly demonstrate that the intervention proposed fills a gap in current coverage, creates a new linkage between tobacco control and other public health, social, or environmental efforts, or advances existing work in a bold way. Applicants are expected to coordinate with the LLAs and other CTCP-funded projects in their region to avoid duplication of effort, and ensure gaps are filled. The interventions proposed should reflect current priorities in tobacco control, expand the tobacco control community's current reach to engage new and diverse partners, and seek to accelerate declines in tobacco use especially among those groups disproportionately impacted. Please refer to California Tobacco Facts and Figures 2019 and the Story of Inequity websites for data and a description of the tobacco use problem within these groups.

Examples of public health, social, and environmental-serving agencies who may be interested in proposing projects that link their expertise to tobacco-control, and address tobacco issues that most strongly impact the people they serve include:

- Behavioral Health
- Chambers of Commerce
- Civil Rights
- Cultural/Ethnic
- Economic Development
- Employment Opportunity
- Environmental
- Faith-based
- Healthcare (including ancillary health care providers such as pharmacists)
- Health Technology
- Housing
- Museums or Art Organizations
- Rural Development
- Social Justice

Applicants should propose comprehensive and bold projects, keeping in mind that each community is different and objectives and interventions must be tailored for the community. CTCP recognizes that each community has different needs and priorities, which results in each being at different stages in their tobacco control efforts. It is the Applicant's responsibility to assess the readiness of the target jurisdiction(s) and include these findings in the application to demonstrate why the community and intervention was selected.

D. Funding Restrictions

This RFA will not fund the following:

- Activities that supplant or duplicate existing programs or services funded by CDPH/CTCP or another source;
- Objectives that solely focus on increased knowledge or awareness as outcomes;
- Objectives that address sponsorship inoculation policies, (e.g., adoption of non-acceptance of tobacco industry monies by organizations or events that have never or do not currently accept tobacco industry monies);
- Objectives that use voluntary policy approaches in the retail environment;
- Purchase or improvement of land, or building alterations, renovations or construction;
- Fundraising activities;
- Lobbying;
- Reimbursement in support of planning activities or preparation and submission of a grant application in response to the RFA;
- Reimbursement of costs incurred prior to the effective date of the Grant Agreement;
- Reimbursement of costs currently covered by another CDPH contract or Grant;

- Reimbursement of costs that are not consistent or allowable according to local and state guidelines or regulations;
- Reimbursement of professional licensure;
- Reimbursement of malpractice insurance;
- Reimbursement to health care providers for the delivery of health care services;
- Provision of direct medical care, including provision of cessation pharmacotherapy;
- Support of religious activities, including, but not limited to, religious instruction, worship, prayer, or proselytizing;
- Growing or cultivating traditional tobacco;
- Information Technology Projects (leveraging current information systems is permitted (e.g., electronic health records, text messaging); and
- Media and marketing strategies exceeding a cost of $99,999 for the entire grant term.

E. Public Health Significance of Tobacco Use

Tobacco Use and Disease

Tobacco use remains the leading cause of preventable death, disease, and disability in the United States (U.S.).[2] Between 2005 and 2009, smoking was responsible for more than 480,000 premature deaths annually among Americans 35 years and older.[2]

More than 87 percent of lung cancer deaths, 61 percent of all pulmonary disease deaths, and 32 percent of all deaths from coronary heart disease were attributable to smoking and exposure to SHS.[2] Each year, tobacco-related disease contributes to approximately 40,000 adult deaths in California.[3]

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

In California, fewer adults are smoking cigarettes than ever before, however, California also has the largest number of adults who smoke – 3.2 million, which is more than the population of 23 other states.[6] Eliminating tobacco use would profoundly improve the health of Californians and considerably reduce health care costs.

The Evolving Tobacco Landscape

Since 1989, as a result of concentrated efforts to reduce initiation and use of tobacco and protect non-smokers from SHS, CDPH/CTCP and its partners have reduced the smoking prevalence among Californians by 57.4 percent between 1988 and 2017 with the current rate of 10.1 percent or about 2.8 million adults.[6] Despite this success, there are communities in California that continue to suffer a disproportionately high burden of tobacco use, and tobacco-related disease.[6]

For example, disparities remain for cigarette use among groups defined by gender and sexual orientation, race and ethnicity, age, educational attainment, income, health insurance type, housing type, and community density.[6] Geographic tobacco-related disparities also persist in California, with patterns of higher rates of tobacco use in certain areas of the state, such as rural areas.[6] Another persistent concern is that the rate of cigarette smokers who thought about quitting or made a quit attempt decreased or remained stagnant over the past five years.[6] While there is a robust tobacco control infrastructure in California, there are jurisdictions throughout the state that are not currently being reached by tobacco policy initiatives, where there is potential to build momentum to expand current initiatives, and where there is opportunity to infuse a broader reach of tobacco control activities to address persistent and emerging challenges.

Dramatic shifts in tobacco product availability, marketing, and promotion have also occurred. A proliferation of ESD products are easily accessible in retail stores and for purchase online, and new products such as “heat not burn” devices are entering the market.[7,8] Wide disparities persist in the price and availability of tobacco products by neighborhood, with more tobacco products being sold at a lower price in neighborhoods with a higher proportion of youth and racial/ethnic groups with higher smoking rates.[9] Strategies to promote these products such as direct mail coupons, in-store price promotions, retailer incentives, and other in-store advertising continues to be a dominant and effective tobacco company marketing effort.[10] The tobacco industry also continues to target youth through innovative marketing strategies such as the leveraging of social media and the development of new tobacco products that are focused on engaging a new generation of tobacco users. The latest tobacco marketing strategies leverage social media and exploit social influencers, including teens, to peddle tobacco products through YouTube product reviews, Instagram posts, and tweets.[11,12]

With the 2016 passage of Proposition 64, the Control, Regulate and Tax Adult Use of Marijuana Act (Prop 64), issues such as erosion of SHS protections, and renormalization of smoking behavior became a concern for public health and tobacco control advocates. Currently, the intersection of tobacco, ESDs, and marijuana products, and the dual- or poly-use of these products contributes to a complicated and changing environment.[13] In consideration of current gaps in indoor and outdoor smoke-free protections, interventions to preserve and advance SHS protections through effective policy approaches are vital.[14,15]

The impact of tobacco production, use, and disposal on the environment has raised concerns globally, and in California. Thirdhand smoke (THS) is the residue of SHS, and it leaves a legacy of toxic substances that others are unknowingly exposed to. The health impacts of THS have not been fully quantified.[16] Beyond health considerations, the indirect social, economic, and environmental damage caused by the cultivation, production, distribution, consumption, and waste generated by tobacco products is becoming an increasing concern for communities.[17] The environmental impact of tobacco is far-reaching and intersects with other public health and environmental issues such as agrochemical use, deforestation, carbon dioxide emissions, water consumption, poverty, and post-consumer waste.[17]

The proliferation of tobacco product categories, persistent disparities in product availability and promotion, new challenges in the intersection of ESDs and marijuana, an emerging realization of the environmental impact of tobacco, and stagnant cessation rates are persistent and dynamic challenges in California tobacco control. A rapid public health response which considers these factors is needed to disrupt tobacco use rates in certain groups, to reach communities and jurisdictions which are still currently underserved in tobacco control, and to prevent the next generation of youth from a lifelong addition to nicotine.

The Tobacco Control Endgame

In recent years, there has been increased understanding and acknowledgement that the tobacco industry and their products has produced the tobacco epidemic. This recognition is facilitating a public health paradigm shift moving the focus from the "tobacco control" strategies to "endgame" strategies.[18] Endgame strategies are those initiatives designed to change or permanently eliminate the structural, political, and social dynamics that sustain the tobacco epidemic, in order to end it within a specific time.[19]

In October 2016, the *New England Journal of Medicine* published an article by Dr. Michael Fiore that analyzed the rates of decline in adult smoking during the presidential administrations of Bill Clinton, George W. Bush, and Barack Obama.[20] Dr. Fiore noted that the fasted rate of decline in adult smoking was under the Obama presidency and attributed this to several policy changes, regulatory actions, and public health initiatives.

These national efforts included:

1. A $0.62 federal cigarette tax increase;
2. The enactment of the 2009 Family Smoking Prevention and Tobacco Control Act;
3. The launch of the Centers for Disease and Control and Prevention's *Tips* cessation mass media campaign;
4. The Affordable Care Act, which required insurers to cover treatment of nicotine addiction with evidence-based interventions; and other measures that helped accelerate smoking cessation.[20]

Dr. Fiore projected that if the adult smoking rate continues to decline at the pace set during the Obama presidency, then smoking rates in the U.S. will reach zero by 2035, noting that this is not aspirational, but an achievable goal.[20] To this end, Dr. Fiore laid out public health policy and education initiatives that will accelerate progress to eliminate tobacco use. These include tobacco excise tax increases, SHS protections, mass media campaigns, interventions targeted towards priority populations, full implementation of the ACA's tobacco use cessation benefits, and raising the legal age of tobacco sales to 21.[20] In 2016, California took many steps towards Dr. Fiore's vision, including passing a $2.00 tobacco tax (Prop 56) and raising the age of tobacco product purchasing to 21. With the infusion of the Prop 56 funding for tobacco use prevention and cessation, California is well positioned to end the tobacco epidemic by 2035, if not sooner.

F. California Tobacco Control Program Goals

In consideration of: 1) the resources provided by Prop 56; 2) the paradigm shift from "tobacco control" to "endgame" strategies; and 3) a projection that it is possible to eliminate smoking by 2035 nationally, the goal of California's tobacco use prevention and reduction efforts is to end the tobacco epidemic for all population groups. 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, and to deliberately extend tobacco control efforts into jurisdictions which are not currently served by existing tobacco control projects. The framework for achieving this overarching goal of ending the tobacco epidemic continues to focus on changing the social norms surrounding tobacco use by "indirectly influencing current and potential future tobacco users by creating a social milieu and legal climate in which tobacco becomes less desirable, less acceptable, and less accessible."[21] Sub-goals, referred to as priority areas, which support the social norm change strategy are to:

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

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

3. **Reduce the Availability of Tobacco**. Efforts supporting this goal address the sale, distribution, sampling, or furnishing of tobacco products and other nicotine containing products that are not specifically approved by the Food and Drug Administration 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 the community.

Part II. Funding Opportunity Details

A. Eligibility Criteria

1. **Organizational Type**
   a) The Applicant must have less than three (3) years of demonstrated agency experience in tobacco control work. For the purposes of this RFA, the Applicant is defined as the prime agency applying for funding.

b) Public or private non-profit entities with an office physically located in California are eligible to apply for these funds.
c) Other eligible entities include, but are not limited to: hospitals, community clinics, voluntary health organizations, colleges and universities, county offices of education, school districts, health maintenance organizations, professional health care associations, professional health education associations, chambers of commerce, housing organizations, behavioral health or social service organizations, cultural/ethnic-serving organizations, faith-based organizations, healthcare organizations, and museums or art organizations.
d) Applicants claiming private non-profit status must submit proof of their non-profit status with their application. Either certification from the State of California, Office of Secretary of State, or a letter from the Department of Treasury, Internal Revenue Service classifying the agency as a non-profit agency is acceptable proof. For examples, see Appendix 4: *Sample Non-Profit Status Letter*.
e) State of California agencies other than state universities, colleges, and community colleges are not eligible.
f) Local Health Departments, including Local Lead Agency (LLA) tobacco control programs defined pursuant to H&S Code Section 104440, **are ineligible for awards under this RFA.**

2. **Submission of Multiple Applications**
   a) Each entity may submit only one application. However, more than one application from a fiscal agent organization that acts on the behalf of another party to solely perform fiscal and administrative functions/parent organization will be accepted as long as: (1) the scope of work, objectives, and activities in the applications are unique and non-duplicative in terms of populations, geographical areas, and types of intervention strategies; (2) the Project Director, key program and evaluation staff are not shared across applications; and (3) the prime applicant is solely providing fiscal and administrative services.
   b) Any entity applying in response to RFA #20-10005, *Advancing Momentum for a Tobacco-Free CA* is **ineligible to apply** for funding under RFA #20-10004 *Rising Alliances for a Tobacco-Free CA*.

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, Applicant certification to this effect is required (see Appendix 5: *Certification of Non-Acceptance of Tobacco Funds*).

   With regard to universities or colleges, the Principal Investigator (PI) of the university or college must certify that he/she or any of the investigators associated with the contract (either paid, voluntary, or in kind) have not received funding from nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries, or parent company within the last five (5) years prior to the start date of the contract period. In addition, the PI of the university or

college must certify that he/she or any of the investigators associated with this grant will not accept funding from, nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries, or parent company during the term of the grant with CDPH/CTCP.

B. Grant Term and Funding

1. **Funding Source(s)**
   The source of funding is Prop 56, the *California Healthcare, Research, and Prevention Tobacco Act of 2016* and/or Prop 99, the *Tobacco Tax and Health Protection Act of 1988*.

2. **Grant Agreement Term**
   a) The term of the Grant is expected to be 60 months and is anticipated to be July 1, 2020, through June 30, 2025. The Grant term may change if CDPH/CTCP makes the award earlier than expected or if CDPH/CTCP cannot execute the Grant Agreement in a timely manner due to unforeseen delays.
   b) The resulting Grant Agreement will be of no force or effect until it is signed by both parties and approved by CDPH. The Awardee may not commence performance of any work 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 Grant Agreement via a formal amendment process to modify the Scope of Work (SOW) and/or budget based on changes in a rapidly evolving tobacco control environment.

3. **Funding Amount**
   The total funds to be distributed among the Awardees is anticipated to be $30,000,000 for approximately 15 projects for 60 months. The maximum funding awarded for each application is $2,000,000 total for the 60-month grant term, not to exceed $400,000 for each twelve-month period.

   Applicants are not required to request the maximum funding allowed, and the funding amount requested should be commensurate with the workload proposed. The funding amount budgeted for each year of the term is typically evenly distributed across the 60 month term. Successful Applicants will only be awarded up to the budget request stated in their application; however Applicants may be funded at an amount less than requested based on total funds available and final application scores. CDPH/CTCP reserves the right to initiate amendments as necessary to redistribute funds between FYs 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.

   Applicants are to request funding that are commensurate with the complexity, geographical scale and number of jurisdictions or organizations to be reached, and the number of objectives in the proposed SOW. Applications may focus

locally, in multiple counties, or statewide. CDPH/CTCP reserves the right to reduce awards and modify the SOW to be commensurate with the award.

4. **Funding Augment**
   a) At its sole discretion, CDPH shall have the option to provide additional funding to a project, beginning in FY 20/21, not to exceed ten (10) percent of the grant amount, per FY. 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 SOW. 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 modify additional work with the successful applicant that is consistent with the work components identified in Part IV. Application Requirements, should additional funding become available.
   c) If the decline in Prop 56 and/or Prop 99 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.

5. **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.

C. Timeline and Award Schedule

Key dates are presented in Table 1. *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 1. Tentative RFA Timeline and Award Schedule

Key Action	Date and Times All times in Pacific Time (PT)
RFA Release Date & OTIS Open for Application Input	October 3, 2019
Informational Webinar	October 10, 2019, 10:00 a.m.
1st Question Period Closes	October 14, 2019, 5:00 p.m.
Answers from 1st Question Period Posted	October 21, 2019
Mandatory Letter of Intent Due Date	**October 24, 2019, 5:00 p.m.**
Grant Writing Webinar *(Invitations will only be sent to agencies who submit a LOI)*	November 7, 2019, 10:00 a.m.
2nd Question Period Closes	November 13, 2019, 5:00 p.m.
Answers from 2nd Question Period Posted	November 20, 2019
Applications Due	**December 4, 2019, 5:00 p.m.**
Awards Posted on TCFOR	February 19, 2020
Notice of Intent to Appeal Due	February 26, 2020, 5:00 p.m.
Final Announcement of Awards	February 28, 2020
Grant Modification Period Ends	April 17, 2020
Grant Start Date	July 1, 2020
Grant End Date	June 30, 2025

D. Informational Webinars and Technical Assistance

An optional online GoToTraining© RFA informational and technical assistance webinar is scheduled for prospective Applicants. Those intending to submit an application are strongly encouraged to participate. Please see Table 1. *Tentative RFA Timeline and Award Schedule* for the specific date and time of these webinars. The purpose of the Informational Webinar is to provide interested parties with an overview of the RFA and an opportunity to ask questions about the preparation and submission of the application. The Informational Webinar access codes will be posted on the TCFOR website.

An additional Grant Writing Webinar will be held to provide potential Applicants information needed to effectively write and format their applications for submission. The Grant Writing Webinar access code will be provided to applicants that successfully submit an LOI before the deadline.

Please see Appendix 6: *List of California Tobacco Control Program Local Lead Agencies* for additional information. Local Lead Agencies may provide information and consultation to prospective Applicants on current tobacco control initiatives in their jurisdiction, and/or community needs for additional tobacco control projects. Please note, to avoid any actual or perceived conflict of interest, Statewide Training and Technical Assistance Providers and Statewide Coordinating Centers may not provide direct technical assistance via email, telephone, or training to prospective Applicants of RFA #20-10004, *Rising Alliances for a Tobacco-Free CA*.

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) by the dates specified in Table 1. *Tentative RFA Timeline and Award Schedule* with the subject line "CTCP RFA #20-10004." Verbal questions will not be accepted.
   b) CDPH/CTCP will send an email to confirm receipt of 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) Errors in the RFA or its instructions may be reported up to the application submission due date.

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

3. **Response by CDPH/CTCP**
   a) CDPH/CTCP reserves the right to seek clarification of any inquiry received and to answer only questions considered relevant to this RFA. At its discretion, CDPH/CTCP may consolidate and/or paraphrase similar or related inquiries.
   b) Questions and answers received through the process outlined will be published on the TCFOR website on the date identified in Table 1. *Tentative RFA Timeline and Award Schedule*.
   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. It is suggested that all applicants subscribe to the RFA on TCFOR to ensure notification of any RFA addenda.

Part III. Application Submission Process

A. Application Submission

Applications are to be submitted through the Online Tobacco Information System (OTIS) no later than the date/time listed in Table 1. *Tentative RFA Timeline and Award Schedule*. Submission before the deadline date is advised in case Applicants experience technical difficulties with submitting an 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 an application that does not meet minimum submission requirements. CTCP may not be able to respond to requests for help on the deadline date.

For technical assistance regarding the use of the TCFOR or OTIS websites contact the support team, 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.

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

1. **What is OTIS?**
   Responses to this RFA are required to be submitted through OTIS. OTIS is a secure, passcode protected grant management system that is used to submit applications, review and score applications, modify the 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 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 Letter of Intent (LOI), and create an OTIS “User

Account," see the *Application Registration Instructions* found on the TCFOR Overview webpage.

b) Webinar Training: CDPH/CTCP Informational Webinars will review the requirements of this RFA, provide information on requesting a "User Account," and explain 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. See Appendix 7: *OTIS Application Instructions.*

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 provide User Manuals, Training Videos, and downloadable PDFs clarifying how to complete requested information. Page Guides offer quick-access information to aid in completing a task within OTIS.

e) OTIS Wizards: OTIS wizards are available for objectives, intervention and evaluation activities, and budget justification line items. 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. Refer to Appendix 8: *Intervention Activities Sample Wizards* for example OTIS Wizards, and Appendix 7: *OTIS Application Instructions* for guidance on finding and using wizards directly in OTIS.

f) Telephone Assistance: For technical assistance with OTIS, contact the support team: Humberto Jurado at (916) 449-5474 or Daniel Barraca at (916) 324-2468.

Part IV. Application Requirements

A. Mandatory Non-Binding Letter of Intent

1. **Letter of Intent Requirement**
   Any entity intending to submit an application is **required** to submit a 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 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 #20-10004);
- State the Applicants' interest in working within tobacco control;
- 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.

B. Applicant Capability

This section provides information regarding the Applicant's ability to successfully implement the proposed tobacco control project. The Applicant should demonstrate their organizational capacity based on current and past successes, and lessons learned. The most competitive applications will provide clear and thorough responses that address:

1. **Program Experience:**
   a) Agency Mission: Describe: 1) the Applicant's mission and the types of programs and services the Applicant conducts and where they are conducted; 2) the audiences, groups, and organizations that the Applicant works with in carrying out its mission; and 3) how the Applicant's work aligns with and could be leveraged to prevent and reduce tobacco use.

   b) Demonstrated Organizational and Key Staff Experience in Policy, Systems, and Environmental Change Work: Briefly describe the experience of the Applicant and proposed staff to promote the adoption and/or implementation of a meaningful policy change or innovative organizational or systems change.

   c) Demonstrated Partnerships: Briefly describe and demonstrate that the Applicant has developed meaningful and successful partnerships with stakeholder groups to facilitate the adoption or implementation of a meaningful policy change or innovative organizational or system change.

d) Prior Work Experience: Briefly describe the Applicant's experience with: 1) developing and maintaining communication systems to engage partners and rapidly disseminate information; 2) developing culturally competent and non-English language educational materials; and 3) relationship building with non-traditional stakeholders and gatekeepers.

e) Cultural Responsiveness: Briefly describe the ability and specific experiences of the Applicant and any subcontractors with: 1) working with diverse populations including American Indian tribes/communities, African American/Black, Asian/Pacific Islander, Hispanic/Latino, LGBTQ, Rural and low-income populations; 2) diversity of the proposed project staff and their language competencies other than English; and 3) diversity of the Applicant agency's staff as a whole and that of the Applicant agency board members.

f) Formative Research to Address Tobacco-Control Gaps: Describe and demonstrate that the Applicant conducted a comprehensive formative research process to identify tobacco control gaps and avoid duplication of effort with existing funded tobacco control projects. The description is to address: 1) the agencies and organizations (such as LLAs) and other sources of information that the Applicant consulted to identify the need for the proposed project and verify there is no duplication of existing tobacco control efforts with the proposed SOW; 2) the formative research conducted to identify how the intervention and geographic service area (e.g., community, region, state, organizational level) were selected; and 3) the anticipated impact of the intervention.

g) Program Staffing: Describe the qualifications of proposed project staff and key subcontractors (if applicable). The description should include: 1) the formal educational background, professional experience, and language capabilities (if relevant) of the staff and subcontractors; and, 2) the proposed staffing structure including reporting relationships and supervision of staff and any subcontractors to ensure internal communication and timely completion of project activities. If staff/subcontractors are to be hired post-award, then describe the education and professional experience sought, and the Applicant's recruitment and hiring plan. The recruitment plan should include how the positions will be advertised and recruited for, the skill set sought from potential Applicants as it aligns with the goals of this application, and a timeline for filling vacancies.

2. **Organizational Preparedness and Equity:**

a) Approach to Equity in Hiring and Training Staff: Describe the practices within the Applicant's organization that ensure: 1) there is an equitable approach to hiring staff; 2) advertising job announcements to diverse networks; and 3) equity and inclusion language in job postings and interview questions.

b) Submission of Organizational Chart: A detailed organizational chart for the agency applying must be submitted in the Additional Documents section in

OTIS, and include the following information: 1) all proposed staff working on the grant, their titles, job duties, percent full-time equivalent (FTE) on the grant, and reporting relationships; 2) project staff working in-kind or less than ten (10) percent FTE (not directly supporting the SOW) should also be included; and, 3) all proposed subcontracts and consultants, and the reporting relationship between the Applicant and the proposed subcontractors and consultants. CDPH/CTCP reserves the right to require modifications in the proposed staffing patterns and reporting relationships to ensure that the staff described in the budget are allocated to fully support tobacco use prevention and reduction efforts described in the application. Please refer to Appendix 7: *OTIS Application Instructions* for instructions to upload Additional Documents.

3. **Organizational Start Up and Equipment:**
   a) Organizational Location and Start Up: Describe the Applicant's primary physical office space and location for the proposed project, length of time the Applicant's primary physical office space has been located in California, the Applicant's capability to travel throughout the jurisdictions proposed, capability and resources to start up and begin implementation of activities within six (6) weeks of the grant start date, and ability to primarily operate Monday through Friday between the hours of 8:00 a.m. and 5:00 p.m., Pacific Time (PT).

   b) Equipment: Applicants are to provide at least 50 percent of the project's office equipment, computer equipment, and software in-kind. Describe the existing office equipment, computer equipment, software, and other communication equipment that the Applicant and subcontractors and/or consultants (if applicable) will provide for use under the term of the grant to the project staff on this grant. In the description provide information about:
      i. The number and type of equipment available to staff on the project to use (e.g., desks, chairs, facsimile machines, personal computers, printers, reproduction/duplication/copiers, scanners, etc.).
      ii. The type of 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. (e.g., hard drive encryption and antiviral software, computer software, etc.).
      iii. Approximately when the computer equipment was purchased.

4. **Administrative/Fiscal Experience and Audit History:**
   a) Administrative Staffing: Describe the Applicant's current staffing pattern for administrative 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.

b) Fiscal and Contract/Grant Compliance: Describe the Applicant's performance within the last three (3) years with the management of government and/or non-government funds and activities, including administrative, fiscal, program, and evaluation functions such as: timely and accurate completion of deliverables; submission of fiscal, program, and evaluation documentation; subcontract/consultant monitoring; compliance with government requirements; and fiscal ability to manage payments in arrears.

c) Audit History: Describe the Applicant's fiscal and (if any) programmatic audit history within the last three (3) years. Information is to include frequency of the audits, dates of the audits, and a summary of the audit findings. Thoroughly explain any negative audit findings and their resolution. If the Applicant was audited by a governmental agency within the last three (3) years, provide the name of the government agency, the agency's contact person and phone number, the year the audit was conducted, and the audit findings and resolution.

5. **Letters of Reference:**
Applicants must solicit, scan, and upload three (3) letters of reference from three (3) separate entities into OTIS. Do not submit letters of support. Letters of reference should speak to the writer's experience working with the Applicant in some capacity (e.g., a community partner or a funder) and must be addressed to the Applicant. No more than three (3) letters will be accepted.

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.

Collectively, the letters of reference should speak to the Applicant's ability to: 1) build and maintain collaborative partnerships with traditional, and non-traditional community partners; 2) provide interventions and activities that are culturally and linguistically appropriate and responsive to the unique social conditions and identify barriers that characterize the proposed community(ies) of focus; and/or 3) fulfill the fiduciary and grants management functions of governmental and/or non-governmental contracts/grants.

6. **Evaluator Information:**
A qualified External Plan Evaluator[1] must provide at least four (4) hours of consultation on the development of the SOW. Applicants are required to select a qualified Plan Evaluator and submit the "Certification of the Evaluator's Role in Preparing the SOW" through OTIS.

[1] In Otis you will see the terms "Plan Evaluator" and "Project Evaluator." The Plan Evaluator is the individual who provides assistance during the development of the initial scope of work. The Project Evaluator is the individual who provides ongoing assistance to the funded project. The Plan and Project Evaluator may be the same person; however, sometimes agencies will identify a different individual to be the ongoing Project Evaluator.

- Completed at least one (1) course in study design or at least one (1) year of experience determining the study design for an evaluation, one (1) course in program evaluation or one (1) year of planning and implementing a program evaluation, and at least two (2) intermediate courses in statistics;
- Demonstrates intermediate or higher proficiency in calculating sample size, developing a sampling scheme, determining appropriate data collection methods;
- Demonstrates intermediate or higher proficiency in evaluating behavior change, policy, or media interventions; and,
- Demonstrates intermediate or higher expertise in using statistical software packages to analyze and interpret quantitative data.

Please refer to Appendix 7: *OTIS Application Instructions* for additional information and instructions. **Note: Please ensure that the External Plan Evaluator is aware of this certification submission requirement. Technical difficulties will not relieve the Applicant of meeting the submission deadline.**

C. Scope of Work – Intervention Plan

The most competitive applications will propose objectives which build on or expand current or past initiatives, bring new partners to tobacco control, reach jurisdictions and topics that are not currently being served by tobacco control initiatives, tailor interventions to those most impacted by tobacco, and address persistent and emerging challenges in tobacco control. Applicants must also adhere to the following requirements:

1. Responsive and Progressive SOW Requirement: Develop a SOW that is responsive to the ever-changing tobacco landscape, and builds upon the achievements of current or past initiatives, and/or reaches into previously underserved jurisdictions. Objectives and activities must: 1) bring new partners to tobacco control; 2) be tailored to meet the needs of the community(ies) where work is proposed; 3) include strategies that leverage internal and external resources to broaden reach; and 4) address the social determinants of health. Proposed objectives and activities may not duplicate or supplant existing California tobacco control efforts or the Applicant organization's existing programs and services.

2. Objectives Requirement: The Applicant proposes a five-year SOW that is consistent with the purpose of the RFA and includes a minimum of one (1) but no more than four (4) total objectives. Objectives and activities in the proposed SOW: a) accelerate the adoption, implementation and impact of policy, systems, and environmental change and outcomes; b) are specific, measureable, attainable, reasonable, and timely (SMART) and describe the expected outcome of the activities; and b) include strategies to build on the current tobacco control landscape and addresses existing gaps in service. Please refer to Appendix 9: *2016 Communities of Excellence in Tobacco Control, A Communities of Excellence Needs Assessment Guide* for additional information.

3. Comprehensive Road Map Requirement: Provide a comprehensive, well-organized and detailed "road map" (i.e., SOW) 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 will verify completion of activities. Include a variety of activities that are sufficient in magnitude to move policy, systems, and environmental change interventions forward and to justify the proposed level of staffing. Please refer to Appendix 7: *OTIS Applications Instructions* for additional information on what components should be included.

4. Coordination and Collaboration Activities Requirement:
   a) Coordination and Collaboration with CTCP-funded Projects Requirement: CDPH/CTCP currently funds more than 100 local, regional, and statewide tobacco control projects. Therefore, Applicants must demonstrate that their proposed work will be done in coordination and collaboration with existing projects such as:

      - LLAs;
      - Priority Population Statewide Coordinating Centers addressing African American/Black, American Indian, Asian Pacific Islander, Hispanic/Latino, Rural, and Lesbian/Gay/Bisexual/Transgender/Queer (LGBTQ) populations;
      - Priority Population Regional Projects addressing African American/Black, American Indian, Asian Pacific Islander, Hispanic/Latino, Rural, and LGBTQ populations;
      - Residential Behavioral Health Facilities;
      - California Tribal Initiative projects;
      - Statewide Coordinating Centers for addressing Youth and Young Adults, Community Engagement and Organizing, and Policy Development and Implementation; and
      - Statewide services provided by the California Smokers' Helpline, the Loop, the Center for Tobacco Cessation, CA Quits; CA Behavioral Health and Wellness Initiative, Rover Library, Tobacco Education Clearinghouse of California, and Endgame Training and Technical Assistance.

      Please refer to the electronic project directory for statewide, regional, and local projects with which the Applicant may propose to collaborate.

   b) LLA Participation Requirement: If the proposed project will be local or regional, indicate that at least one (1) project staff member will regularly participate in at least one LLA coalition, preferably within the local health jurisdiction where the Applicant's primary office is located. If the proposed project is statewide, indicate how the proposed project will connect with LLAs when relevant to their SOW. The Applicant will communicate regularly with LLAs to avoid duplication of efforts and participate in additional LLA tobacco control coalitions as time and logistics permit.

c) Partners, Spotlight On, and InfoHub Requirement: The SOW includes one (1) activity related to the regularly utilizing Partners, Spotlight On, and InfoHub to foster continued collaboration between the Applicant and other CTCP-funded projects. Please see Appendix 8: *Intervention Activities Sample Wizards* for the required activity language.

5. Media Requirements: Applicants may choose to incorporate both earned and/or paid media activities to support the proposed strategies. The following are guidelines to adhere to when including media in the SOW:

   a) Communication Plan: Applicants are required to include an activity to create a Communication Plan for each objective that includes any **paid** media activities using a template provided by CTCP. An activity for a Communication Plan is recommended, but not required for earned media. Please see Appendix 8: *Intervention Activities Sample Wizards* for the required activity language.

   b) The Communication Plan must be submitted within the first six (6) months of the project through the OTIS progress report system and must be updated annually.

   c) No more than $99,999 may be budgeted for paid media and marketing activities during the entire term of the grant.

6. Education Materials Requirement: As materials are developed, the Applicant is required to submit educational materials developed with grant funds along with consumer testing results to the Tobacco Education Clearinghouse of California (TECC) through the TECC website. Describe educational materials development and submission to TECC in the Intervention section of the SOW. Consumer testing methods are to be described in the Evaluation section of the SOW. Consumer testing methods should be appropriate to the intended audience of the material. Materials are also to be submitted to the Rover Library for inclusion in the online library catalog. The TECC website also includes the ability for users to download a print-ready version of the material (at no cost) and can print educational materials for users either through in-house or an external print vendor. CTCP recommends that the Applicant budget accordingly to meet the demands of printing either in-house or through an external print vendor. See Appendix 10: *Tobacco Education Clearinghouse of California (TECC): Available Educational Materials*.

D. Scope of Work – Evaluation Plan

The Applicant must propose an Evaluation Plan that measures the impact of each objective on the area of focus. A strong evaluation plan will include formative evaluation activities to identify the readiness of a community for the proposed intervention, and process and/or outcome evaluation to inform the intervention throughout project period, and to assess the impact of the intervention. Pre/post

participant surveys following webinars and presentations are not desired. At minimum, the Evaluation Plan is required to include:

1. Deliverable Allocation Requirement: Allocate a minimum of ten (10) percent of the total deliverables towards evaluation activities.

2. Process and Outcome Data Collection Requirement: Appropriate process and outcome data collection strategies must be included to improve the Applicant's activities and measure their outcome and/or impact.

3. Evaluation Activities Requirement: The application must include a sufficient amount of activities, in quantity and magnitude, to measure the impact of the intervention. Evaluation activities will include key details such as: a description of the instrument to be used, topic of focus of the data collection, data collection method, who or what is being sampled, sample size, sampling method, where the data will be collected, and budgeted and non-budgeted responsible parties. OTIS offers the following types of evaluation activity categories: 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.

4. Primary and Non-Primary Objective Requirement: Designate at least one (1) 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 (FER) is required for each primary objective that thoroughly describes the intervention, evaluation design, and outcomes. Non-primary objectives must include submission of a Brief Evaluation Report (BER). Interim Reports are required if the project is working within more than one jurisdiction on a policy-based indicator. See Appendix 11: *Tell Your Story: Guidelines for Preparing Useful Evaluation Reports* for information regarding the preparation of Final, Brief, and Interim Evaluation Reports.

5. Media Tracking Requirement: Applicants may choose to incorporate both earned and paid media activities to support the proposed strategies. Applicants budgeting for paid media are required to include a Media Record Activity in their evaluation plan, which can be found in the OTIS Wizards. Please see Appendix 8: *Intervention Activities Sample Wizards* for the required activity language. A Paid Media Tracking Form is a required tracking measure for that activity, and will be available to funded projects as a template.

6. Consumer Testing Requirements: Media or educational materials that are newly-created or significant adaptions of existing materials for new audiences must be consumer tested using a methodology appropriate to the intended audience. Applicants proposing new or updated media or educational materials must include a consumer testing activity in the evaluation plan to ensure the new

material is appropriate and effective for the intended audience. A sample consumer testing activity is available in the OTIS Wizards. Please see Appendix 8: Intervention Activities Sample Wizards for the required activity language.

E. Narrative Summary

The Narrative Summary is required for each objective and should provide the overarching story of how and why the intervention was selected, the major intervention activities proposed, the underlying theory of change or rationale for the proposed intervention, and how it will be evaluated. The most competitive applications will clearly and thoroughly address the following sections:

1. Community Assessment Analysis (600-word limit): The Community Assessment Analysis shall identify the specific geographic communities and priority population to be addressed, justify with cited data that the objective addresses a tobacco-related problem of significance to the population of focus, and incorporate substantiated evidence or practice-based approaches to addressing the problem. Applicants should 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 (2) sentences of the Community Assessment Analysis narrative must begin with the following statements:
   - "This project will primarily address the following priority population of focus: (identify the priority populations of focus)"

   - "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, provide a concise summary of the activities to be implemented, and how these activities will lead to the accomplishment of the objective. Describe the sequence of major activities, such as community outreach, organizing, engagement, education/training, policy/system change activities, and paid and/or earned media activities that will be implemented to achieve the objective. Explain how members of the community will be engaged and how activities will be tailored to the population of focus. Include a description of how the Applicant is best suited to complete these activities in the communities selected.

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. While public health frequently relies on formal theories of change; it is also acceptable to describe the underlying rationale for the intervention in your own words.

a. Why use 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 demonstrates that the proposed intervention is more than an assortment of messages and activities selected because they are fun or popular with the coalition or community. The theory of change communicates that a thoughtful rationale is in place that links the activities will likely result in the desired change.

b. What are examples of a theory of change? The following are a few examples of theories of change used in tobacco control. The *Stages of Change Theory* focuses on individual behavior change and is frequently used as the rationale for interventions that motivate people to quit smoking based on where they are along a continuum of readiness to change. Theories of change that help to explain why community education, media, and partnership development lead to the adoption of policies in communities or organizations include *Social Norm Change*, *Community Organizing*, and *Community Readiness* theories. Additional theories of change are in Appendix 12: *Theory at a Glance: A Guide for Health Promotion Practice*. This resource was developed by the National Cancer Institute for public health practitioners. It concisely summarizes the most commonly used theories, and it explains how to incorporate theory into program planning, implementation, and evaluation.

4. Evaluation Summary Narrative (500-word limit): The Evaluation Summary describes the evaluation design, process and outcome evaluation activities to be conducted, a description of how process evaluation activities will be used to improve or tailor the intervention, and a description of the plan to disseminate evaluation findings to others. In a narrative format, briefly provide the following information:
   a. What will be accomplished? Describe what will be accomplished as a result of the intervention: How will the community or people in the community be different (e.g., smoke-free multi-unit housing policy adopted, health care providers will use electronic health records to make referrals to the California Smokers' Helpline)?
   b. Evaluation Plan Type: State the evaluation plan type (e.g., "policy adoption and implementation").
   c. Process and Outcome Data Collection:
      i. Design type (experimental, quasi-experimental, or non-experimental);
      ii. 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;
      iii. When measurements will be performed (e.g., post-test only, pre- and post- test);
      iv. How data will be collected (e.g., document review, observation); and
      v. The sampling plan (e.g., simple random sampling, convenience sampling).

d. 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.
e. How will evaluation findings be disseminated? Describe how and to whom evaluation findings will be disseminated.

F. Budget and Budget Justification

Applicants are expected to develop a 60-month budget based on the proposed SOW that is accurate and reasonable for each fiscal year. The proposed budget must reflect principles of health equity, where it is clear that resources are allocated to help address tobacco control coverage gaps in underserved communities. Examples of this include subcontracting with smaller community based contractors, the development of educational materials with community-specific language and terms, budgeting for trainings for the agency or staff on health equity related topics, or the use of incentives or stipends for community members to increase and reinforce their engagement. Please refer to Appendix 3. *Examples of Using Grant Funds to Address Social Determinants of Health*

The most competitive applications include easy to follow formulas for each line item and sub-line item to substantiate how costs were calculated, and narratives which provide a clear and comprehensive justification for the cost. Applicants are encouraged to refer to Appendix 13. *Budget Justification Instructions* and the OTIS Wizards to help formulate budgets. These budget instructions include ideas of how to use funds to support community engagement. Applicants must address the following required components in the Budget Justification:

1. Overall Budget: Applicants must ensure that the total dollar amount for each fiscal year does not exceed the stated maximum amount allowed in the RFA (see *Part II, Funding Opportunity Details, B. Grant Term and Funding, 2. Funding Amount*, on page 16). The descriptions for each of the eight (8) line- and corresponding sub-line items must include descriptions and easy to follow formulas to substantiate how costs are calculated and narratives which provide a comprehensive justification for the cost. Applicants are expected to include explanations for when zero-funds are requested and/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. Be sure that each activity in the SOW (that results in an expenditure of funds) is reflected in the budget.

2. Personnel/ Staffing: Applicants are required to include the following positions in Table 2. *Required Staffing and Minimum Duties* in the budget and budget justification. 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. Applicants must 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 14: *Comparable State Civil Service Classifications*).

a) Required Full Time Project Director/Coordinator Requirement: Designate a 100 percent (1.0 FTE) **Project Director or Project Coordinator** for the project. This position 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, overseeing the Budget, progress reports, and maintenance of required documents for auditing purposes.

   - Project Director/Coordinator Oversight of Project Evaluator Requirement: Designate the Project Director or Project Coordinator to devote a minimum of **10 percent of their full-time position** (equivalent to four hours per week) to **working with a qualified Project Evaluator**[2] to ensure that the evaluation design, sampling, activities, timelines, data analyses, and reporting are completed in a timely and satisfactory manner.

b) Required External Project Evaluator Requirement: Designate a qualified **External Project Evaluator** who is responsible for conducting technical aspects of the evaluation including the design, sampling, training of data collectors, data analysis, and summarizing evaluation results. The External Project Evaluator must be budgeted for a minimum of a 10 percent full-time position (See *Part IV. Application Requirements, B. Applicant Capability, 6. Evaluator Information*, for a description of the minimum qualifications for an External Plan Evaluator.

[2] In OTIS you will see the terms "Plan Evaluator" and "Project Evaluator." The Plan Evaluator is the individual who provides assistance during the development of the initial scope of the work. The Project Evaluator is the individual who provides ongoing assistance to the funded project. The Plan and Project Evaluator may be the same person; however, sometimes agencies will identify a different individual to be the ongoing Project Evaluator.

Table 2. Required Staffing and Minimum Duties

Staffing	Position	Minimum Duties
Required: 100 percent FTE	Project Director/Project Coordinator	This position must be listed as the Primary Tobacco Contact in OTIS, acts as the primary day-to-day point of contact for CTCP communication to the agency, and regularly accesses OTIS and Partners. This position is responsible for overall and day-to-day management to implement and evaluate the project; provides oversight of the SOW, Budget, progress reports, and invoices; oversees maintenance of required documents for auditing purposes; and devotes a minimum of 10 percent of a full-time position (equivalent to four hours per week) to overseeing evaluation activities.
Required: 10 percent FTE	External Plan Evaluator	This position implements activities such as development of data collection instruments and protocols; provides data collection training; oversees sampling methodology; data analysis; and report writing. Duties may also include assisting with data translation and dissemination of evaluation results.

3. Fringe Benefits: Provide a description of Fringe Benefits. In the description, list each fringe benefit that will be provided to 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 for the sub-line items below (see Appendix 13: *Budget Justification Instructions,* for detailed descriptions). Additional operating expense subcategories may be proposed in this category.

   - CTCP Communications Network (Partners)
   - Space Rent/Lease
   - Office Supplies/Expenses
   - Communications
   - Postage
   - Printing
   - Duplicating
   - Equipment Lease/Rental
   - Audit

Note: Audit expenses may be budgeted in the Operating Expenses category or in the Indirect Costs category, but not for both.

5. Equipment Expenses: Agencies are required to have at least one (1) computer system for use by the project to create progress and evaluation reports and access online communication systems such as OTIS and Partners. Allowable equipment purchases include: Computer software/hardware, and items such as desks, chairs, and cell phones. Provide detailed equipment descriptions including the estimated purchase price and which staff will utilize it. Please note, the Applicant must provide in-kind at least 50 percent of the required office, computer, and software for the proposed project.

6. Travel and Training: Applicants are required to budget for travel, training, and conference expenses that are consistent with the needs of the project and directly support the SOW activities. Travel and Per Diem costs must adhere to the rates set by the California Department of Human Resources (CalHR). Travel is to be budgeted in the four categories described below. Budget workshop and conference training fees under Travel and Training.

   - **Project Travel/Training:** Budget in this line item for local travel essential to your SOW and coordination/collaboration with partners such as attendance at coalition meetings. You may also include registration fees for staff development/training, necessary for the completion of SOW activities in this line item as well. Budgeted costs typically include mileage, meals, lodging and incidental expenses.
   - **CTCP Travel/Training:** Budget in this line if you plan to attend any of the optional trainings, conferences, summits, or roundtables hosted by CTCP or our Statewide Coordinating Centers or Statewide and Technical Assistance Providers. See Table 3, *Optional CTCP Travel/Trainings,* for a list of training opportunities occurring during this project's term. You may budget for travel to these events if they are relevant to your SOW and as your budget permits.
   - **Required CTCP Travel/Training:** You must budget in this line item for the trainings/conferences CTCP requires as a condition of this RFA. See Table 4, *Required CTCP Travel/Trainings*. Budgeted costs typically include registration fees, airfare, mileage, meals, lodging and incidental expenses.
   - **Out-of-State Travel:** Budget in this line item for: out-of-state conferences that are relevant to your SOW and that further the project. See Table 5: *Potential Out-of-State Travel Opportunities.*

     a) Optional CTCP Travel/Training: The trainings, conferences, and events listed in Table 3. *Optional CTCP Travel/Trainings* provide a broad overview of the types of events CTCP has tentatively scheduled and is provided to help Applicants budget sufficient funds for travel and training. The dates, locations, and/or details regarding these events are not all currently available. For budget building purposes, Applicants

should budget as if statewide events are conducted in Sacramento and regional events are within 300 miles of the agency. This list does not include trainings or events that may be offered by CTCP-funded Statewide Coordinating Centers or Statewide and Technical Assistance Providers.

Table 3: Optional CTCP Travel/Trainings

Optional Travel/Training Event	**FY 20-21**	**FY 21-22**	**FY 22-23**	**FY 23-24**	**FY 24-25**
Priority Population-Focused					
Health Equity Conference				**X**	
American Indian/Alaskan Native Tobacco Use Reduction Conferences	**X**	**X**			
Rural Strategies Conference	**X**			**X**	
Media-Focused					
Communications Training	**X**		**X**		**X**
Retail Environment-Focused					
Menthol Summit	**X**				
Regional Flavored Tobacco Products Trainings	**X**		**X**		
Retail Environment Conference	**X**		**X**		
Secondhand Smoke-Focused					
Regional Housing Roundtables	**X**		**X**		
Smoke-free Housing Conference	**X**			**X**	
Strategic Thinking-Focused					
Enforcement Conference	**X**				
Strategy and Endgame Conference		**X**			
Tobacco Waste Summit			**X**		
Endgame Community Readiness Workshops		**X**			
Community Engagement-Focused					
Direct Action Organizing Trainings	**X**	**X**	**X**	**X**	**X**
Coalition Training	**X**	**X**	**X**	**X**	**X**
Young Adult Training			**X**		**X**
Tobacco Control University Training	**X**	**X**	**X**	**X**	**X**

b) Required CTCP Travel/Training: A minimum of one (1) project staff member is required to attend the required Travel/Training noted in Table 4. *Required CTCP Travel/Trainings*.

Table 4. Required CTCP Travel/Trainings

CTCP Travel/Training	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25
Tobacco-Free California Projects Meeting		1		1	1
Capitol Information & Education Day (Sacramento, CA)	1	1	1	1	1

c) Optional Out-of-State Travel (OST): The OST events listed in Table 5. *Potential Out-of-State Travel Opportunities* identify potential OST that Applicants may include in the budget. Prior written approval by CTCP is required unless it is approved during the modification process and is included in the final approved budget.

Per Assembly Bill (AB) 1887 (Government Code Section 11139.8), state-funded and state-sponsored travel is prohibited to states with discriminatory laws. As of the date of this posting (August 2019), the ten states subject to the travel ban are: Alabama, Kanas, Kentucky, Mississippi, North Carolina, Oklahoma, South Carolina, South Dakota, Tennessee, and Texas. As required per AB 1887 (Government Code Section 11139.8), the Attorney General (AG) maintains and posts on the AG's Internet website the list of states that are subject to the travel ban. In addition, the AG's website (https://oag.ca.gov/ab1887) also includes a copy of AB 1887 and Frequently Asked Questions.

d) Please see Appendix 13: *Budget Justification Instructions* for a description of the required information.

Table 5: Potential Out-of-State Travel Opportunities

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

7. 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 appear in the budget justification are: Educational Materials, Incentives, Paid Media, and Booth Rental/Facility Fees. You are not required to use each of these Operating Expense line items. Additional Other Cost subcategories may be proposed with appropriate justification. Merchandise cards that can be used to purchase tobacco, nicotine products, alcohol, and/or cannabis are prohibited. At the conclusion of the agreement, surplus incentives must be returned to CTCP.

8. Subcontractors and Consultants: Applicants that propose Subcontractors and Consultant costs must provide a detailed description of the costs necessary to implement the SOW activities. Clearly distinguish the responsibilities for each Subcontractor/Consultant and link the services to the activities in the SOW. Detail and justify travel costs necessary to implement the SOW and tie to applicable SOW activities. Include the following details:

   - Separately list the Title of each subcontractor and/or consultant who will provide the specialized effort directly related to activities in the SOW.
   - Verify 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:
   - Title 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 the 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.

9. Indirect Expenses: Applicants 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 13: *Budget Justification Instructions* for a more detailed description of Indirect Expenses.

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

    - Appendix 17*: CTCP Program Letter 18-01 Incentive Materials*
    - Appendix 18*: CTCP Program Letter 12-03 Allowed Policy Activities*

G. Additional Documents

Applicants are required to submit Additional Documents 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 Grant Agreement requirements. Provide the following additional documents as described below. See Appendix 7: *OTIS Application Instructions*, module "Additional Documents" for more information.

1. Certification of Non-Acceptance of Tobacco Company Funding: Complete and upload this form; see Appendix 5: *Certification of Non-Acceptance of Tobacco Funds.*

2. Proof of Non-Profit Status: This document is only applicable to non-government non-profit agencies. The Applicant must upload their Proof of Non-Profit Status.

3. Tax Debtor List – *Franchise Tax Board Entity Status Letter:* 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 an application, 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.** Generate this letter at the Franchise Tax Board website and upload the letter.

4. California Civil Rights Laws Attachment (DGS/OLS 04): Complete and upload this form; see Appendix 15: *California Civil Rights Laws Attachment*.

5. 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, award term, and a description of the activities funded.

6. Organizational Chart: Please refer to *Part IV, Section B, 2. Organization Preparedness and Equity, b. Submission of Organizational Chart*, for what information to include on the organizational chart.

7. Cessation Identification and Treatment Protocol: Any Applicant proposing provision of direct cessation services for any health or behavioral health care clinic, hospital, long-term care facility, residential treatment facility, etc., is required to complete the Cessation Identification and Treatment Protocol form. A blank form can be downloaded from the "Additional Documents" section of OTIS. Once it is completed, it can be uploaded to the "Additional Documents" section of OTIS. The form is to provide detailed information describing the cessation delivery site and the current policy and system for the identification and treatment of nicotine addiction. This form asks for the following information for each health care system: 1) a description of the current tobacco use policy; 2) how tobacco users are currently identified and their tobacco use tracked; 3) what cessation pharmacotherapy benefit is provided; 4) what type of cessation counseling is provided; and 5) how cessation services are currently promoted to patients or clients.

Part V. Application Selection Process and Criteria

A. About this Section

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

B. Application Review Process

STAGE ONE: ADMINISTRATIVE AND COMPLETENESS SCREENING

1. CDPH/CTCP will review applications for on-time submission **and** compliance with administrative requirements and completeness. The OTIS electronic time stamp will be used to verify on-time submission. See Table 1. *Tentative RFA Timeline and Award Schedule*.
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
    - Proof of Non-Profit Status
    - Franchise Tax Board Entity Status Letter
    - California Civil Rights Laws Attachment

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 points 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 6. *Maximum Point Value for RFA Sections* describes the maximum point value for each RFA section.

Table 6: Maximum Point Value by RFA Sections

Application Component	Total Point Value
Applicant Capability	40
Scope of Work – Intervention Plan	17
Scope of Work – Evaluation Plan	10
Scope of Work – Narrative Summary	18
Detailed Budget and Budget Justification	15
TOTAL	**100**

STAGE THREE: NOTIFICATION OF DECISION

Each Applicant will be notified in writing of the funding decision. Applicants may receive, upon emailing the CTCP Inbox (CTCPcompetitivegrants@cdph.ca.gov), 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 completed and accepted by April 17, 2020, 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.

C. Application Selection Criteria

Table 7. *Scoring Criteria and Rating Points* provides the selection criteria and the associated point value that will be used to evaluate and score applications.

Table 7. Scoring Criteria and Rating Points

APPLICANT CABABILITY		
Application Component	**Scoring Criterion**	**Points Possible**
Agency Mission p. 17	The Applicant describes: • Their mission and the types of programs and services they conduct and where they are conducted; • The audiences, groups, and organizations that the Applicant works with to carry out its mission; and • How the applicant's work aligns with and could be leveraged to prevent and reduce tobacco use.	**3**
Demonstrated Organizational and Key Staff Experience in Policy, Systems and Environmental Change Efforts p. 18	The Applicant clearly describes their experience in promoting the adoption and/or implementation of a meaningful policy change or innovative organizational or systems change.	**3**
Demonstrated Partnerships p.18	The Applicant demonstrates they have developed meaningful and successful partnerships with stakeholder groups that facilitated the adoption of a meaningful policy change or implementation of an innovative organizational or system change.	**3**
Prior Work Experience p.18	The Applicant demonstrates experience: • Developing and maintaining communication systems to engage partners and rapidly disseminate information; • Developing culturally competent and non-English language educational materials; and • Relationship building with non-traditional stakeholders and gatekeepers.	**3**
Cultural Responsiveness p.18	The applicant and/or subcontractors demonstrate:	**3**

APPLICANT CABABILITY		
Application Component	**Scoring Criterion**	**Points Possible**
	• Experience working with diverse populations including American Indian tribes/communities, African American/Black, Asian/Pacific Islander, Hispanic/Latino, LGBTQ, Rural and low-income populations; • Diversity of the proposed project staff and their language competencies other than English; and • Diversity of the applicant agency's staff as a whole and that of the Applicant agency board members.	
Formative Research to Address Tobacco-Control Gaps p. 18	The Applicant describes a comprehensive formative research process to identify tobacco control gaps and avoid duplication of effort with existing funded tobacco control projects, including a description of: • Which agencies and organizations (such as LLAs) and other resources of information the Applicant consulted to identify the need in the community and demonstrate there is no duplication of existing tobacco control efforts with the proposed SOW; • The formative research conducted to identify how the intervention and geographic service area (e.g., community, region, state, organizational level) were selected; and • The anticipated impact of the intervention.	**3**
Program Staffing and Organizational Chart p. 18-19	The Applicant describes the qualifications of their proposed project staff and key subcontractors (if applicable) including: • The formal educational background, professional experience, and language capabilities (if relevant) of the staff and subcontractors; and • The proposed staffing structure describes clear reporting relationships and supervision of staff and subcontractors to ensure internal communication and timely completion of activities.	**5**

APPLICANT CABABILITY		
Application Component	**Scoring Criterion**	**Points Possible**
	If new staff will be hired for this project post-award, the applicant describes: • The educational and professional experience sought; • A recruitment and hiring plan which includes how the positions will be advertised and recruited for, that the skill set sought aligns with the goals of the application, and a timeline for filling vacancies. The Applicant uploaded an organizational chart to the Additional Documents section in OTIS that includes the following information: • All proposed staff working on the grant, their titles, job duties, percent FTE on the grant and reporting relationships; • Staff working in-kind or less than ten (10) percent FTE; • Proposed subcontractors and consultants (if applicable) and the reporting relationship between the Applicant and the proposed subcontractors and consultants.	
Organizational Approach to Equity in Hiring and Training Staff p. 19	The Applicant demonstrates that it's organizational hiring practices include: • An equitable approach to hiring staff; • Advertising job announcements to diverse networks; • Equity and inclusion language in job postings and interview questions.	**3**
Organizational Location and Start Up p. 19	The Applicant describes their primary physical office space, noting their presence in California for a minimum of three (3) years, and citing the location(s) for the proposed project, and the Applicant's capability to travel throughout the jurisdictions proposed. The Applicant also describes their capability and resources to begin implementation of activities within six (6) weeks of the grant	**3**

APPLICANT CABABILITY		
Application Component	**Scoring Criterion**	**Points Possible**
	start date, and to primarily operate Monday through Friday between the hours of 8 a.m. and 5 p.m., PT	
Organizational Equipment p. 19	The Applicant demonstrates it will provide at least 50 percent of the project's office equipment, computer equipment and software, and other communication equipment in-kind. A description includes information about: • The number and type of equipment available to staff to use (e.g., desks, chairs, facsimile machines, personal computers, printers, reproduction/duplication/copiers, scanners etc.); • The type of 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. (e.g., hard drive encryption and antiviral software, computer software, etc.); and • Approximately when the computer equipment was purchased.	**2**
Administrative/Fiscal Experience and Audit History p. 20	The Applicant describes: • Their staffing pattern for administrative activities, such as contract and grant management and oversight, payroll, bookkeeping, invoicing, and tracking of contractual, administrative, and fiscal controls; • 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. • Three (3) years of satisfactory performance with the management of government and/or non-government funds and activities, including fiscal, program,	**3**

APPLICANT CABABILITY		
Application Component	**Scoring Criterion**	**Points Possible**
	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 payment in arrears. • Fiscal and (if any) programmatic audit findings from the past three (3) years that include a thorough explanation of any negative audit findings and their resolution (if the Applicant was audited by a governmental agency within the last three (3) years, the name of the government agency, agency's contact person and phone number, the year the audit was conducted, and the audit findings and resolution are provided); and • Documentation of compliance with Tax Debtor List Requirements.	
Letters of Reference p. 20-21	The Applicant submitted three (3) Letters of Reference on the reference provider's Agency letterhead, which include contact information, a description of the working relationship with the Applicant, and which <u>cumulatively</u> demonstrate the Applicant's ability to: • Build and maintain collaborative partnerships with traditional and non-traditional partners; • Provide interventions and activities that are culturally and linguistically appropriate and respond to the unique social conditions and identify barriers that characterize the proposed community(ies) of focus; and/or • Fulfill the fiduciary and grants management functions of governmental and or/non-governmental contracts/grants.	**3**
Evaluator Information,	The Applicant demonstrates that at least four (4) hours of consultation on the SOW were	**3**

APPLICANT CABABILITY		
Application Component	**Scoring Criterion**	**Points Possible**
Qualifications, and Certification p. 21	provided through the engagement of a qualified External Plan Evaluator who: • Completed at least one (1) course in study design or at least one (1) year of experience determining the study design for an evaluation, one (1) course in program evaluation or one (1) year of planning and implementing a program evaluation, and at least two (2) intermediate courses in statistics; • Demonstrates intermediate or higher proficiency in calculating sample size, developing a sampling scheme, determining appropriate data collection methods; • Demonstrates intermediate or higher proficiency in evaluating behavior change, policy, or media interventions; and • Demonstrates intermediate or higher expertise in using statistical software packages to analyze and interpret quantitative data.	
	SUBTOTAL	**40**

SCOPE OF WORK – INTERVENTION PLAN		
Application Component	**Scoring Criterion**	**Points Possible**
Responsive and Progressive SOW Requirement p. 21-22	The SOW demonstrates that it is responsive to the ever-changing tobacco landscape and builds upon the achievements of current or past initiatives and/or reaches into currently underserved jurisdictions. Objectives and activities must: • Bring new partners to tobacco control; • Be tailored to meet the needs of the community(ies) where work is proposed; • Include strategies that leverage internal and external resources to broaden reach; and • Address the social determinants of health.	**6**

Objectives Requirement p. 22	The Applicant proposes a five-year SOW that is consistent with the purpose of the RFA and includes a minimum of one (1) but no more than four (4) total objectives that: • Accelerate the adoption, implementation and impact of policy, systems, and environmental change and outcomes; • Are "SMART" objectives that describe the expected outcome of the activities; and • Propose strategies to build on the current tobacco control landscape and address existing gaps in service.	**3**
Comprehensive Road Map Requirement p. 22	The Applicant presents a comprehensive, well-organized, and detailed "road map" (i.e., SOW) that is appropriate to accomplish the objectives, and that demonstrates: • A variety of activities that describe how much work will be done, where activities will occur, methods used, when activities will occur, responsible parties and tracking measures to verify work; • Sufficient activities to justify the proposed level of staffing (e.g., how much work will be done); and • Sufficient activities to move policy, systems, and environmental change interventions forward.	**5**
Coordination and Collaboration Activities Requirement p. 22-23	The SOW includes the following components: • Planned coordination and collaboration with other CTCP-funded projects that are applicable to the proposed project; • Participation in LLA coalition(s) is appropriate for the local, regional or statewide project; • One (1) activity related to utilizing Partners, Spotlight On, and InfoHub to foster continued collaboration between the Applicant and other CTCP-funded partners.	**3**
	SUBTOTAL	**17**

SCOPE OF WORK – EVALUATION PLAN		
Application Component	**Scoring Criterion**	**Points Possible**
Deliverable Allocation and Data Collection Requirement p. 24	An evaluation plan is included for each objective, and the proposed activities cumulatively account for a minimum of ten (10) percent of the total plan deliverables. The Applicant proposed appropriate process and outcome data collection strategies to improve project activities and measure their outcome and/or impact.	**4**
Evaluation Activities Requirement p. 24	The Applicant proposes a sufficient amount of activities, in quantity and magnitude, to measure the impact of the intervention. Each activity includes 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; • Where the data will be collected, and • Budgeted and non-Budgeted responsible parties.	**3**
Primary and Non-Primary Objective Requirement p. 24-25	The Applicant includes at least one (1) objective is designated as the "Primary Objective" and incorporates an in-depth evaluation plan that was created in consultation with a qualified plan evaluator. The evaluation plan includes: • A FER for primary objectives that thoroughly describes the intervention, evaluation design, and outcomes; or a BER for non-primary objectives that describes the intervention, evaluation design, and outcomes; • Planned Interim evaluation reports for projects working within more than one jurisdiction on a policy-based indicator; and • A strong dissemination plan for the FER that includes sharing results with both	**3**

	traditional and non-traditional partners in innovative and strategic ways.	
	SUBTOTAL	**10**
SCOPE OF WORK – NARRATIVE SUMMARY		
Application Component	**Scoring Criterion**	**Points Possible**

Community Assessment Analysis
p. 25-26
	The Applicant includes a Community Assessment Analysis that:
	• Includes the required first two (2) sentences of the Community Assessment Analysis:
	  ○ "This project will primarily address the following priority population of focus: (identify the priority populations of focus)'
	  ○ "This project will primarily work in the following geographic communities: (identify the communities and describe the demographics of the community)"
	• Justifies with cited data that the objectives address a tobacco-related problem of significance to the population of focus;
	• Incorporates substantiated evidence or practice-based approaches to addressing the problem; and
	• Demonstrates the need for the intervention using community needs assessment findings; local, state, or national data; or a summary of evidence-based literature and/or community defined evidence.
		7

Major Intervention Activities Summary p. 26	The Applicant includes a Major Intervention Activities narrative which includes: • A concise summary of the activities to be implemented, and how these activities will lead to the accomplishment of the objective; • The sequence of major activities, such as community outreach, organizing, engagement, education/training, policy activities, and paid and/or earned media activities that will be implemented to achieve the objective; • How members of the community will be engaged and how activities will be tailored to the population of focus; and	**4**

	• How the Applicant is best suited to complete the activities in the communities proposed.	
Theory of Change p. 26	The Applicant demonstrates an underlying rationale for the proposed intervention (how and why the activities will lead to the desired change).	**2**
Evaluation Summary p. 26-27	The Evaluation Summary is appropriate for the objectives and activities and describes the following: • Evaluation design type (e.g., experimental, quasi-experimental, or non-experimental); • Intervention and control groups if either a quasi or experimental design is used; • When outcome measurements will be performed (e.g., pre/post, post-test only); • The sampling plan; • The specific outcome to be accomplished as a result of the intervention; • Outcome and process evaluation activities to be conducted; • How process evaluation activities will be used to improve or tailor the intervention(s); and • How findings will be disseminated.	**5**
	SUBTOTAL	**18**

BUDGET AND BUDGET JUSTIFICATION		
Application Component	**Scoring Criterion**	**Points Possible**
Overall Budget and Budget Justification p. 28	The Applicant proposes a 60-month budget in which: • The Applicant demonstrates principles of health equity where it is clear that resources are allocated to help address tobacco control coverage gaps in underserved communities; • The total dollar amount for each fiscal year does not exceed the stated maximum amount allowed in the RFA; • The Applicant adheres to the instructions provided in Appendix 13: *Budget Justification Instructions,* and the proposed budget justification identifies all of the costs (expenditure of funds)	**9**

BUDGET AND BUDGET JUSTIFICATION		
Application Component	**Scoring Criterion**	**Points Possible**
	associated with the implementation of the proposed SOW for each fiscal year; • Each of the eight (8) line items contain easy to follow, accurate formulas and sub-line items to substantiate how costs were calculated, and narratives which provide a clear and comprehensive justification for the cost; and • The Applicant includes explanations for when zero-funds are requested and or insufficient funds are budgeted for a standard cost (e.g., in-kind contributions).	
Personnel and Subcontractors p. 28-29	The budget includes the required positions from Table 2. *Required Staffing and Minimum Duties.* Personnel costs reflect salaries comparable to State Civil Service Classification rates, and salaries that appear high in relationship to state salaries in Appendix 14: *Comparable State Civil Service Classifications* are substantiated with a detailed justification. If subcontractors and/or consultants are proposed, the budget justification narrative demonstrates: • A clear description of the roles and responsibilities of the subcontractors/consultants as it relates to the SOW; • Clear description of the activities/services to be performed, the amount of service anticipated, the salary or hourly rate, and a formula that substantiates how the costs were determined and the total cost.	**3**
Travel and Training p. 30-33	The proposed travel/training budget justification narrative demonstrates: • Travel and Per Diem costs are consistent with the needs of the project and directly support the SOW; • Project, CTCP, Required, and Out-of-State Travel/Training are appropriately budgeted into the correct categories and detailed cost breakouts are provided (i.e., lodging, airfare, per diem, registration fees, etc.);	**3**

BUDGET AND BUDGET JUSTIFICATION		
Application Component	**Scoring Criterion**	**Points Possible**
	• Travel and Per Diem costs adhere to rates set by the California Department of Human Resources (CalHR); and • A minimum of one (1) project staff member is budgeted to attend all of the required Travel/Trainings noted in Table 4. *Required CTCP Travel/Trainings*.	
	SUBTOTAL	**15**

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.

D. Grounds to Reject an Application

An Application shall be rejected if:

1. It is received after the exact date and time set for receipt of applications. The OTIS date stamp will be used to verify on-time submission. See Table 1. *Tentative RFA Timeline and Award Schedule.*

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 request to CDPH/CTCP by email, Applicants will receive a summary copy of their review-rating sheet by email.

F. Appeal Process

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

2. An Applicant may appeal the award decision. The Applicant must submit a notice of intent to appeal to CTCPcompetitivegrants@cdph.ca.gov by 5:00 p.m. PDT on

the date listed in Table 1. *Tentative RFA Timeline and Award Schedule*. The Applicant shall then have five (5) calendar days to file a detailed written statement specifying the grounds for the appeal and send the Appeal Letter to:

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

3. At the sole discretion of the Assistant Deputy Director, or his/her designee, a hearing may be held. The decision of the Assistant Deputy Director or his/her designee shall be final. There is no further administrative appeal. Appellants will be notified of decisions regarding the appeal in writing within 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

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

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

H. Inspecting or Obtaining Copies of Application Materials

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

Part VII. Important Administrative Details

A. Cost of Developing the Application

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

B. Awardee Requirements

The following are required to enter into a fully executed 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 (3) years beyond the date of the final grant payment.

   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 utilize a competitive bid process before making an award. The prime agency is responsible for submitting to CTCP the following: (1) "Subcontract agreement Transmittal Form" through OTIS for each subcontract agreement; (2) subcontractor agreement (including agreement, SOW, budget, and terms/conditions); and (3) explanation of the award

process. The prime agency must retain a copy of the competitive bid process and subcontract agreement that includes a detailed SOW and Budget/Budget Justification for their files. Please note: CTCP reserves the right to have final approval of any subcontract, subcontractor, and/or consultant.

b) When the applicant subcontracts 60 percent or more of their award to another entity, CDPH/CTCP must approve a detailed line-item budget, in OTIS, for the subcontractor.

6. The Awardee is required to expend the grant funds to implement the agreed upon SOW and consistent with Appendix 13: *Budget Justification Instructions*, and Appendix 16: *Local Lead Agency and Competitive Grantee Administrative and Policy Manual, Policy Section.* The *Local Lead Agency and Competitive Grantee Policy Manual, Policy Section* is located in OTIS under the Training Tab and User Manual, where users are 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. Page one (1) of the Contractor Certification Clauses (CCC 04/2017), which is a Department of General Services form.
3. Evidence of commercial general liability insurance.
4. Establish the Headquarters for State Travel Reimbursement for budgeted staff and subcontractors/consultants.
5. Board Resolution – all local government agencies are required to submit a Board Resolution with each grant. Resolutions must be submitted after notice of award and prior to full execution of grant. Resolutions must indicate local government approval of the grant.

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 Office of Management and Budget (OMB) Circular Numbers (Nos). A-21, A-87, A-110, A-122, and A-133. It is the responsibility of the Awardee to adhere to these regulations.

E. Progress Reports

1. The Awardee is required to submit semi-annual progress reports on time, complete, through OTIS, and in conformance with CTCP instructions.

2. The final progress report is due on the last day of the grant term. The final report is to be a cumulative report that summarizes all activities and outcomes during the term of the grant and is to include all tracking measures including the Brief Evaluation 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: CDPH/CTCP agrees to reimburse the Grantee for activities performed and expenditures incurred in accordance with the approved budget justification. The Grantee is required to submit invoices no less than once per quarter, no more than once a month, for actual expenses incurred in arrears. The Grantee 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 Prompt Payment Act requires State agencies to pay properly submitted, undisputed invoices within 45 calendar days of initial receipt.

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, modified, 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

1. California Tobacco Education and Research Oversight Committee. *New Challenges -- New Promises for All: Master Plan 2018-2020.* Sacramento, CA: California Tobacco Education and Research Oversight Committee. 2018.
2. U.S. Department of Health and Human Services. Health Consequences of Smoking—50 Years of Progress: A Report of the Surgeon General Atlanta, GA: U.S. Department of Health and Human Services, Centers for Disease Control and Prevention, National Center for Chronic Disease Prevention and Health Promotion, Office on Smoking and Health;2014.
3. Centers for Disease Control and Prevention. Extinguishing the Tobacco Epidemic in California. 2018; https://www.cdc.gov/tobacco/about/osh/program-funding/pdfs/california-2018-508.pdf. Accessed June 28. 2019.
4. Campaign for Tobacco-Free Kids. The Toll of Tobacco in California. 2018; https://www.tobaccofreekids.org/problem/toll-us/california. Accessed June 28, 2019.
5. California Department of Finance. Welcome to California's 2018-2019 State Budget; 2018; http://www.ebudget.ca.gov/2018-19/pdf/Enacted/BudgetSummary/HealthandHumanServices.pdf. Accessed June 28, 2019.
6. Vuong TD, Zhang X, Roeseler A. California Tobacco Facts and Figures 2019. Sacramento, CA: California Department of Public Health; May 2019.
7. Walley SC, Wilson KM, Winickoff JP, et al. A Public Health Crisis: Electronic Cigarettes, Vape, and JUUL. Pediatrics. 2019;143(6):e20182741.
8. Bialous SA, Glantz SA. Heated Tobacco Products: Another Tobacco Industry Global Strategy to Slow Progress in Tobacco Control. Tob Control. 2018;**27**:s111–s117.
9. Lisa Henriksen, Elizabeth Andersen-Rodgers, Xueying Zhang, April Roeseler, Dennis L Sun, Trent O Johnson, Nina C Schleicher, Neighborhood Variation in the Price of Cheap Tobacco Products in California: Results From Healthy Stores for a Healthy Community, *Nicotine & Tobacco Research*, Volume 19, Issue 11, November 2017, Pages 1330–1337, https://doi.org/10.1093/ntr/ntx089.
10. Kelvin Choi, Shyanika W Rose, Yitong Zhou, Basmah Rahman, Elizabeth Hair, Exposure to Multimedia Tobacco Marketing and Product Use Among Youth: A Longitudinal Analysis, *Nicotine & Tobacco Research*, 2019, 1-5, https://doi.org/10.1093/ntr/ntz096
11. Chu K-H, Unger JB, Allem J-P, et al. Diffusion of messages from an electronic cigarette brand to potential users through Twitter. *PloS one.* 2015;10(12):e0145387.
12. Huang, J., Kornfield, R., & Emery, S. L. (2016). 100 Million Views of Electronic Cigarette YouTube Videos and Counting: Quantification, Content Evaluation, and Engagement Levels of Videos. *Journal of medical Internet research*, *18*(3), e67. doi:10.2196/jmir.4265
13. Tobacco Education and Research Oversight Committee. The Triangulum: Tobacco, Marijuana, and Electronic Smoking Devices (ESD). 2016. https://www.cdph.ca.gov/Programs/CCDPHP/DCDIC/CTCB/CDPH%20Document%20Library/TEROC/Position/TEROCPositionStatementTheTriangulum.pdf

14. California Department of Public Health. California's Clean Indoor Air Laws. 2016; https://www.cdph.ca.gov/Programs/CCDPHP/DCDIC/CTCB/CDPH%20Document%20Library/Policy/SecondhandSmoke/CaCleanIndoorAirLawsweb.pdf
15. Centers for Disease Control and Prevention. CDC Vital Signs: Secondhand Smoke, An Unequal Danger. Accessed June 28, 2019 from: https://www.cdc.gov/vitalsigns/tobacco/index.html.
16. Díez-Izquierdo A C-PP, Lidón-Moyano C, Matilla-Santander N, Balaguer A, Martínez-Sánchez JM. Update on thirdhand smoke: A comprehensive systematic review. *Environmental Research.* 2018(177).
17. World Health Organization. Tobacco and its environmental impact: an overview. In. Geneva 2017.
18. Warner. KE., An endgame for tobacco? *Tobacco Control* 2013;22:i3-i5.
19. Malone R, McDaniel P, Smith E. Tobacco control endgames: global initiatives and implications for the UK. *Cancer Research UK.* 2014.
20. Fiore MC. Tobacco control in the Obama era—substantial progress, remaining challenges. *New England Journal of Medicine.* 2016;375(15):1410-1412.
21. Roeseler A, Burns D. The quarter that changed the world. *Tobacco Control.* 2010;19(Suppl 1):i3-i15.