California Department of Public Health (CDPH)
California Tobacco Control Program (CTCP)
California Tobacco Control I-Clearinghouse (CTCIC)
Request for Proposals (RFP) 10-10046

Section II: Work Statement

NOTE: This section contains only instructions specific to the requirements of this RFP as well as the scoring criteria. This section MUST be read in conjunction with <u>Section III: Application/Proposal Requirements and Instructions</u> section of this RFP which contains the general instructions for responding to all CTCP Request for Applications (RFA) and RFPs.

Background

There are four core work components required for this proposal that represent the minimum work required of the CTCIC Primary Agency. The proposer will include at least one objective to address each of the required core work components. Additional work (e.g., objectives and activities) may be proposed and is strongly encouraged. Additional work must be consistent with the procurement goals and must be performed within the funding available for this procurement. Proposed enhancements to the minimum work required will make the proposal more competitive.

Descriptions for each of the four required core work components are listed below. Following the name of each required component is an estimated percent deliverable. Percent deliverables will also be assigned to evaluation activities. These estimates provide a guide to the Primary Agency towards understanding where the emphasis should be placed among the required components.

Current service statistics are also provided for each core component where available. These are provided as a reference only rather than a minimum or maximum standard. The Primary Agency may seek to emphasize or de-emphasize a currently offered service based upon their understanding of the needs, budget resources, etc.

Each objective is to be evaluated by the Primary Agency's qualified evaluator. At least one objective is to be designated as a primary objective which will be the subject of an in-depth evaluation. The in-depth evaluation includes submission of a Final Evaluation Report as outlined in *Tell Your Story: Guidelines for Preparing a Complete High Quality Evaluation Report*, available at: http://www.cdph.ca.gov/programs/tobacco/Documents/CTCPTellYourStory.pdf. In general, the objective designated as the primary objective should be one that will produce valuable knowledge that would be of interest to others performing similar work, (e.g., a new system for knowledge management).

The other objectives may be designated as non-primary objectives. These require a limited evaluation and submission of a Brief Evaluation Report, which is essentially a one to three page summary of the intervention, evaluation, and accomplishments. A checklist for the Brief Evaluation Report is also found in the *Tell Your Story: Guidelines for Preparing a Complete High Quality Evaluation Report*, available at: http://www.cdph.ca.gov/programs/tobacco/Documents/CTCPTellYourStory.pdf.

I. Core Work Components

A. Library Services

Percent Deliverable Estimate: 25-30 percent

Description: Library services have historically played an important role in furthering knowledge throughout the CTCP-funded agencies. The Primary Agency shall provide traditional and cutting edge library services, in the form of technical assistance and trainings, to all CTCP-funded agencies, as well as other partners, using face-to-face, Webinar, e-mail, telephone, and other virtual methods. All services will be marketed and evaluated. At a minimum, the services shall include:

1. Circulation/Lending Library Services
   Circulation/lending library services, reference and referral services, cataloging, collection development, and collection management standards, which includes material identification and acquisition. Information dissemination resources will include, but are not limited to, the production of topical "pathfinders" that will assist agencies in easily identifying topical information on current and emerging issues. The Primary Agency will house and maintain a physical library collection of resource materials which are available for loan or by virtual access. The physical collection currently includes materials related to tobacco education, including, but not limited to: DVDs/videos, reference materials, curricula, monographs, audiovisual materials, journals, articles, brochures, pamphlets, kits, media resources, etc.

   Current Library Statistics
   - Ready Reference responses (answered in less than 30-60 minutes): approximately 300 per year.
   - In-Depth Reference responses: approximately 100 per year.
   - Dissemination Services (e.g., e-mailing materials/findings and e-downloads): approximately 200 materials per year.
   - Circulation/mailing of physical materials (e.g., monographs, educational materials): approximately 250 per year.
   - Over a four-year period, 95 percent of funded projects utilized library services. As of July 1, 2010, CTCP anticipates funding 106 community and statewide tobacco control projects.

2. **"**Rover: California's Tobacco Control Library"
   Rover is a customized password-protected library database system developed for CTCP by Florida State University, Center for Information Management and Education Services. For purposes of this RFP, temporary access will be granted to view Rover for informational purposes only. Do not request materials, use the "Ask the Librarian" feature or download articles during this view-only period. A temporary user name and password for both Rover and the Online Tobacco Information System (OTIS) will be provided to interested proposers when applying for OTIS access. For additional information on OTIS access, see Section IV: General Application/Proposal Information.

   The Primary Agency will be responsible for utilizing this Web-based information management system, to catalog resources, manage circulation services, and post up-to-date information on tobacco control research. CTCP contractors and staff utilize Rover features which include announcements, quick links, and e-notices to keep current with new tobacco control research, programmatic aspects, and educational resources.

   In addition to searching the catalog and requesting to borrow resources, patrons can also use Rover to manage their own research interests and bibliographies by utilizing the "Alerts" feature and by maintaining personal research "Folders." Featured on the home page is a direct connection to "Ask the Librarian" for assistance with reference requests and research assistance. The Primary Agency will participate in monthly collaborative planning meetings for Rover maintenance and enhancements, and then will follow through on action items. The Primary Agency shall develop a minimum of six yearly in-person or Web-based trainings for CTCP-funded agencies, as well as for CTCP staff. Marketing efforts to increase awareness of Rover will be planned and provided. Statistics will be kept and usage data will be analyzed.

   <u>Current Rover Usage Statistics</u>
   - Approximately 1,800 visits per year
   - Approximately 460 unique visitors per year
   - 80 percent of visitors come directly to the site; 20 percent are directed through other sites
   - Search and circulation pages are the most visited
   - "In Focus" news items are posted three to five times per week

3. Collaboration, Copyright, and Support Services
   The Primary Agency will work closely with the CTCP, Knowledge Management Unit (KMU) to assist with the provision of library services to CTCP staff, and to collaborate and support other CTCP Statewide

agencies, such as the Center for Policy and Organizing and the Technical Assistance Legal Center (TALC), in defining best practices for information management and dissemination. The Primary Agency will collaborate with KMU to develop clear and efficient policies and procedures on copyright issues that include responding to requests by California organizations that are non-CTCP contractors, out-of-state agencies, and Federal agencies who want to use or adapt materials produced by CTCP-funded agencies.

4. Marketing
   The Primary Agency will develop comprehensive, timely marketing plans to promote all library services (e.g., booths at conferences, e-cards, announcements, etc.).

B. <u>Subject Matter Expert and Training Linkage Network</u>
Percent Deliverable Estimate: 15-20 percent

Description: Using Web-based systems, the Primary Agency shall develop, aggregate, manage, and maintain a timely Subject Matter Expert and Training Linkage Network relating to tobacco control and broader public health topics such as health inequities, social media, and coalition building. The goal of the Subject Matter Expert and Training Linkage Network is to provide a virtual community accessible to CTCP contractors, as well was statewide and nationwide agencies to locate tobacco control and public health experts and trainings. This Network should include vetting mechanisms that require experts to demonstrate expertise (e.g., applications, screening criteria, review by external panel, external letters of reference, publications, etc.) and permit Network users to rate and comment upon services. The Expert Training and Linkage Network at a minimum shall include:

1. Trainings and Conferences
   Identify and solicit information on events and trainings relating to tobacco control and broader public health topics which are offered by CTCP, CTCP media contractors, statewide, and nationwide agencies, etc.

   The trainings are available for CTCP-funded projects and staff to register for and attend; the events and trainings may be open to a broader public than just CTCP contractors, therefore different levels of Web site access may be applicable. Create a consolidated calendar of events and trainings. Provide links to registration, training materials if available, submission forms, evaluation forms, etc. Work in conjunction with the CTCP Partners Web site, if applicable. Establish mechanisms for ensuring that information is consistently timely and up-to-date. Establish mechanisms to vet trainings prior to posting.

2. Public Health and Tobacco Control Expert Registry
   The Primary Agency will identify expert trainers/speakers on tobacco control and other cross cutting topics such as health inequities, social media, and coalition building; develop a marketing tool for advancing the expertise of trainers by outlining professional qualifications; includes promotion of CTCP's Capacity Building Network (CBN) trainers/contractors. CBN is a centralized technical assistance (TA) and training center with the goal of providing services to enhance the capacity CTCP-funded projects to perform tobacco control work that positively impacts priority populations in California and realize maximum tobacco-related policy change in all spectrums of society. Establish mechanisms for ensuring that information is consistently timely and up-to-date. Establish mechanisms to vet trainers prior to posting.

3. Resource and Outreach Services
   The Primary Agency shall create a system to aggregate and promote quality, current, effective, professional development resources from and for CTCP contractors/staff as well as other public health practitioners (e.g., some level of the Web site is open access, other levels may be password-protected/fee-based). Provide links to tutorials and databases; identify learning management systems; self-assessment tools; self-paced learning on public health aspects; identify previously vetted toolkits and information campaigns. The Primary Agency shall identify and establish expert contacts, linkages with organizations and individuals; inter-related communities of practice outside of the usual tobacco control organizations. Define quality control measures to vet all agencies, resources, materials and campaigns. Coordinate a systematic flow of information from the local, State and national agencies and between locally funded agencies–connect stakeholders via list servs, social media opportunities, etc.

4. Develop comprehensive, timely marketing plans to promote all Expert and Training Linkages Network services (e.g., social media outlets, e-announcements, etc.).

C. <u>Educational Materials Printing and Production</u>
Percent Deliverable Estimate: 15-20 percent

Description: Working in conjunction with the CTCP Materials Development Contractor, the CTCIC Primary Agency shall participate in planning meetings for the development of educational materials relating to tobacco control initiatives. The Primary Agency will be responsible for the production of materials vetted by the Materials Development Contractor and CTCP.

1. The Primary Agency will act as the intermediary to evaluate the specifications of new materials and products, provide pricing specifications,

and broker the printing/production of each educational material that has been approved for inclusion in a print and online sales catalog. The Primary Agency will ensure competitive pricing of materials (with a California price and a non-California price), high quality production, accuracy of quantity, and on-time product delivery. The Primary Agency shall host and utilize Mattrack, a proprietary online materials tracking system, to track materials from development to printing; all pertinent information about each material, including documentation of development cost, will be input into the system. The Primary Agency shall make improvements to the system as needed, utilize an online inventory system for purchasing and receiving materials from vendors, and maintain vendor history, distribution, and inventory management.

2. The Primary Agency shall provide the ability to manage copyright issues and create fee schedules for charging for customization and printing of specified quantities of materials for funded and non-funded projects.

3. The Primary Agency shall provide printing and production services for specialized CTCP materials. In addition to the items distributed through the catalog, the Primary Agency shall be responsible for the printing and distribution of approximately 10-20 specialty pieces throughout the contract term. These items may include brochures describing new State laws, collateral materials to support statewide campaigns, reports, manuals, media materials (such as posters, DVDs, etc.), cessation materials, educational materials, and other items as requested by CTCP.

4. The Primary Agency shall provide warehouse facilities to house bulk purchasing of physical items meant for distribution via the sales catalog.

D. <u>Sales Catalog Creation, Fulfillment and Distribution</u>
Percent Deliverable Estimate: 25-30 percent

Description: The Primary Agency is to maintain an educational materials ordering and distribution system made accessible to CTCP contractors, their subcontractors, schools, California State agencies, health care providers, as well as nationwide.

<u>Current Sales Catalog Creation, Fulfillment, and Distribution Statistics</u>

- Approximately 3,000-4,000 requests for materials annually
- 2-3 million pieces shipped annually
- Average 525 orders per month
- Turn around time for fulfillment is approximately two days
- Approximately 10,000 catalogs printed annually; 2,000-3,000 supplements printed
- Approximately 35 percent of sales are generated from out-of-state

- Over a three-year period, the average annual sales was $580,000
- Orders originate via e-mail, phone, fax, Web, and mail

1. The Primary Agency shall conceptualize, produce and distribute an annual sales catalog of educational materials as well as maintain a Web-based online sales catalog. Based on timelines provided by the Materials Development contractor for new educational materials to be created and approved, produce timelines to update pricing, review existing inventory, and provide reports on actual sales. Make assessments on culling older catalog materials based on sales data. Provide "Amazon"-type review model for integrated feedback and rating systems for educational materials.

2. Provide customer service via phone/Web for order intake. Ship orders within three to five days of order receipt. The public Web site shall include a searchable sales catalog with on-line ordering services that will permit individual and bulk ordering of educational materials. Payment options must provide for a secure site that permits payment using an online payment system such as PayPal, credit card, and purchase orders and allow for the collection of appropriate shipping and handling fees and state sales taxes. Provide Web-based inventory management system for order processing and fulfillment; management of mailing lists; retain customer information as appropriate; facilitate online ordering; provide fiscal management.

3. Catalog Inventory and Distribution of Materials: maintain sufficient inventory of catalog materials. The Primary Agency shall provide appropriate warehouse space to house high volumes of materials which will be ordered by statewide and nationwide customers.

4. The Primary Agency shall work in conjunction with the California Smokers' Helpline (the Helpline) to produce, print and fulfill orders, via the United States Postal Service, for "Quit Kit" distribution to individuals. The Primary Agency is to serve as the materials distribution point of contact for the tobacco cessation Quit Kits referred by the Helpline. The Helpline is funded by CTCP to provide free and effective tobacco cessation services to all California residents. Callers to the Helpline may receive counseling services, be referred to a local tobacco cessation provider in the caller's geographic area, or request self-help Quit Kits. The Primary Agency will also fulfill orders for free hardcopy or downloadable cessation materials that individuals and agencies may request.

   The Primary Agency shall: 1) maintain sufficient inventories of materials required for compiling the Quit Kits and for offering free materials on an individual or agency basis; 2) interact with printing houses to ensure an adequate supply of materials is on hand at all times; 3) accurately

assemble, address, and mail (first class postage) within 24-hour turn-around time, customized Quit Kits that address the specific issues of the recipient; 4) communicate with the computerized database of the Helpline at least once per day to download requests and to fulfill orders; 5) maintain the confidentiality of the database and ensure that the data is purged on a weekly basis; and 6) provide a computerized daily feedback loop with the Helpline on materials disseminated and documentation of mailing dates and the average turn-around times for the mailings.

Current Quit Kit Statistics

- Approximately 100 to 150 Quit Kits disseminated per day
- Approximately 200,000 pieces distributed per year
- The request rate for the kits is fairly level throughout the year
- Each completed Quit Kit weighs an average of 6.9 ounces
- 2-3 day turn-around

Free Helpline Material Distribution Statistics

- Approximately 600,000 units per year
- 2-3 day turn-around

II. Proposal Requirements and Instructions:

A. Primary Applicant Capability Section: 40 Points

This section provides information regarding the ability of the Primary Agency to successfully implement the proposed tobacco control project. The Primary Agency's qualifications will be evaluated against the scoring criteria.

1. Program Experience

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

   b. Program staffing: Describe the formal education and professional experience of the Primary Agency's staff and subcontractors (if applicable) with designing and operating customized clearinghouse services; information and referral services including library reference, research, and dissemination services; information systems development and management, including Web hosting services, information

communications systems, planning and maintaining collaboration tools, Web site or Web portal creation/management and database management; production, materials distribution, and warehousing of physical resources; providing technical assistance via traditional and non-traditional avenues; organization of training resources and the establishment of linkages with organizations and individuals.

c. Demonstrated results: Briefly describe the success of the Primary Agency related to its accomplishments in providing information clearinghouse services on a statewide and/or nationwide basis and address each of the four components within the Work Statement. Describe the planning, implementation, evaluation results, and lessons learned.

d. Demonstrated access to print, production, and fulfillment center facilities: Describe your experience and/or working relationship with print and production vendors; describe how competitive pricing will be obtained. Describe the catchment area and facilities that will house the processing and shipping of bulk materials.

e. Flexibility and responsiveness to emerging issues: Describe the Primary Agency's (and subcontractors' and/or consultants', if applicable) ability to utilize social media and emerging technologies to further the delivery of information, marketing and proactive outreach of services.

f. Collaboration with diverse partners: Describe the ability to effectively collaborate and coordinate with professionally and culturally diverse partners and other local, State, and national agencies.

g. Scenario 1: Describe how your agency would develop a business model to implement a "collaborative support model" (usage fee) that provides access to CTCIC information and services among non-CTCP-funded projects. A collaborative support model may include access to Rover, as well as access to services described in the Expert and Training Linkage Network and be scaled based upon the number of services to which access is provided or the amount of service used.

Scoring Criteria:

- The Primary Agency demonstrates how the agency's mission is consistent with the goals identified in this RFP.
- The Primary Agency demonstrates that staff have the necessary education, training, experience, and demonstrated accomplishments with designing and operating customized clearinghouse services; information and referral services including: library reference, research, and

dissemination services; information systems development and management, including Web hosting services, information communications systems, planning and maintaining collaboration tools, Web site or Web portal creation/management and database management; production, materials distribution, and warehousing of physical resources; providing technical assistance via traditional and non-traditional avenues; organization of training resources and the establishment of linkages with organizations and individuals.

- The Primary Agency demonstrates a strong track record in planning, implementing, and evaluating a high quality work plan that has demonstrated positive results relating to clearinghouse services relating to information management, organization, and dissemination.
- The Primary Agency demonstrates a strong track record to establish product prices, negotiate printing services, and that it has access to print, production, and fulfillment facilities.
- The Primary Agency demonstrates the ability to utilize social media and emerging technologies to deliver information, and enhance marketing and proactive outreach services.
- The Primary Agency demonstrates the ability to effectively collaborate and coordinate with diverse partners.
- The Primary Agency demonstrates an understanding of a collaborative support model, and has effectively proposed the viability and timeline to support such a model for access to information and services beyond the CTCP-funded projects.
- The Primary Agency demonstrates expertise to prepare a collaborative support business model that would extend CTCIC services to non-CTCP-funded agencies for a usage fee.

2. Organizational Start Up
   Describe the Primary Agency's capability and available resources to start up and begin implementation of activities within six weeks of the contract start date and to primarily deliver services Monday through Friday between the hours of 8 a.m.-5 p.m., Pacific Time (PT).

   Scoring Criteria:

   Demonstrates that the Primary Agency has the capability and resources to start up and begin implementation of activities within six weeks of the contract start date and to primarily deliver services Monday through Friday between the hours of 8 a.m.-5 p.m., PT.

3. Administrative/Fiscal Experience

   a. Fiscal and Contract Compliance: Describe the Primary Agency's (and-subcontractors' and/or consultants', if applicable) performance

within the last three years with the management of government funds and activities, including administrative, fiscal, program, and evaluation functions. Address the timely and satisfactory completion of deliverables; submission of fiscal, program, and evaluation documentation; subcontractor/consultant monitoring; compliance with government agreement requirements; and fiscal stability to manage payments in arrears.

b. Audit History: Describe the Primary Agency's fiscal and program audit history within the last three years. Provide information on internal and external audits, the frequency of audits, date of most recent audits, and a summary of audit findings in the past three years. If the Primary Agency was audited by a government agency within the last three years, provide the name of the auditing agency, the agency's contact person and phone number, the year the audit was conducted, and the outcome of the audit. Negative audit findings should be thoroughly explained.

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

c. Administrative Staffing: Describe the current administrative staffing pattern for activities connected to contract management and oversight including payroll, bookkeeping, invoicing, and tracking contractual, administrative, and fiscal controls. Describe the qualifications of key administrative staff including their educational background and experience managing government grants and oversight to subcontractors and consultants.

d. Scenario 1: If there were an unforeseen 15 percent decrease in funding available for this project, identify and describe the steps that would be taken by the Primary Agency to address the decline in funding and meet the RFP goals and requirements.

   Scoring Criteria:

   - Demonstrates three years of satisfactory performance with administrative, fiscal and program management of government and/or non-government grant funds, including timely and satisfactory submission of fiscal, program, evaluation, and subcontractor/consultant documents; and fiscal stability to manage reimbursement of expenses in arrears.
   - The Primary Agency's audit history demonstrates a history of satisfactory fiscal and programmatic audits with no major negative findings.

- Demonstrates that administrative/fiscal staff has the appropriate educational background, skills, and experience to satisfactorily manage all aspects of payroll, bookkeeping, invoicing, subcontract/consultant monitoring, and other administrative controls associated with acceptance of government funds.
- Demonstrates the capacity to make budgetary and programmatic changes in order to meet RFP goals and requirements if given an unforeseen funding reduction.

4. Equipment
   The Primary Agency demonstrates the capacity to provide the project with appropriate office furniture, communication equipment, copy machines, computers, printers, software, etc., to meet the project's needs including computer hardware, and software that meet the standards described in the Appendix: Computer Hardware/Software Minimum Specifications.

   The Primary Agency must also demonstrate knowledge of security measures for Web-based payment systems that include industry standard Secure Socket Layer encryption to protect customer data between the Web server and the customer's browser. The Primary Agency must demonstrate it has hard drive encryption and antiviral software.

   Include in the description:

   - The number and type of equipment available (e.g., desks, chairs, facsimile machines, personal computers, printers, reproduction/duplication/copiers, scanners, etc.).
   - Whether or not the computers have access to the Internet, Web conferencing software, and listserv management capability; the software packages the Primary Agency uses for accessing and creating Web sites, word processing, spreadsheets, databases, etc.
   - The security software packages the Primary Agency uses to protect against viruses, loss of data, etc.
   - Approximately when the computer equipment was purchased.
   - The availability (e.g., 100 percent, 50 percent, 25 percent, etc.) for use by staff proposed for this project, if funded.

   Scoring Criteria:

   - The Primary Agency is able to provide the project with appropriate equipment, including meeting the standards described in the Appendix: Computer Hardware/Software Minimum Specifications.

- The Primary Agency demonstrates knowledge of security measures for Web-based payment systems and has appropriate hard drive encryption and antiviral software.

5. Information Privacy and Security Requirements

   The Appendix: Information Privacy and Security Requirements describes the policy requirements for compliance to the Information Practices Act and addresses the prevention of security breaches of personal, sensitive, or confidential information.

   Individuals of non-government entities that are contracted by the State are required to comply with these mandates (per Civil Code section 1798.19). While the State Administrative Manual (SAM) and other guidelines have focused on the security of electronic information assets, the State's policy pertains to all information assets, including, but not limited to, electronic and paper media.

   Below is a brief list of requirements from this Appendix. The Primary Agency must demonstrate their knowledge and capacity to address these requirements:

   - Understand the permitted and required uses and disclosures of Personal and Confidential Information (PCI).
   - Prevent using or further disclosing PCI other than as permitted or required by a departmental agreement, or as required by law.
   - Implement administrative, physical, and technical safeguards to protect the confidentiality, integrity, and availability of PCI, whether in electronic or paper media.
   - Investigate and report to the Department any PCI security breaches.
   - Pass all confidentiality and data security requirements on to its agents and/or subcontractors.
   - Notify individuals of breach or unauthorized use or disclosure of PCI when notification is required by law.
   - Collect signed confidentiality statements from all persons that will work with PCI.
   - Conduct a thorough background check of each worker that will access PCI and evaluate the results to assure that there is no indication that the worker may present a risk for theft of confidential data. The background check must be conducted before access is permitted.
   - Implement numerous information technology safe guards including use of encryption and antivirus software, email security, data destruction, system controls, audit controls, disaster recovery controls, etc., to protect the integrity and confidentiality of PCI.

- Provide annual training on its data privacy and security policies at its own expense, to all employees who use or disclose PCI.

Scoring Criteria:

- The Primary Agency demonstrates their understanding of the Information Privacy and Security Requirements and experience in the prevention and reporting of security breaches of personal, sensitive, or confidential information.
- The Primary Agency demonstrates its experience in implementing safeguards to protect the confidentiality, integrity, and availability of PCI, including notification of individuals when required.
- The Primary Agency demonstrates its experience in implementing other safeguard processes (such as using background checks, training, encryption and antivirus software, email security, data destruction, system controls, audit controls, disaster recovery controls, etc.) to protect the integrity and confidentiality of PCI.

6. Letters of Reference
   In addition to the instructions of the "Section III: Application/Proposal Requirements and Instructions" section of this RFP, letters of reference must contain:

   A description of the Primary Agency's and subcontractors (if applicable) ability to provide training and technical assistance related to the duties of an information clearinghouse.

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

   The letters are to be from three separate agencies. Each letter must be on the reference provider's letterhead and include:
   - The address, telephone number, e-mail, name, and title of the letter's author.
   - A description of the capacity in which the reference provider worked with the Primary Agency.
   - The Primary Agency's fiscal and administrative ability to manage government grant funds, including satisfactory performance with administering and managing government and/or non-government grant funds through timely and accurate submission of fiscal, program, and evaluation documents.

Scoring Criteria

Letters of reference are mandatory, but will not be scored.

7. Evaluator Selection
   A qualified program evaluator must certify they provided at least four hours of consultation to the Primary Agency. Refer to Section III: Application/Proposal Requirements and Instructions for details on how to input this information.

B. Scope of Work (SOW), Evaluation and Narrative Summary: 35 Points

Objectives, SOW, and Evaluation Activities

Information:

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

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

For the three-year period, the Primary Agency is required to develop a SOW, including objectives that address the assets provided in this RFP, which will meet the specific services required within the Core Work Components Section included in this document.

Funding consideration will take into account the extent to which the SOW Objectives: 1) address assets provided; 2) are ambitious and realistic in the level and amount of work to be accomplished during the funding period; and 3) reflect CTCP policy priorities, and will achieve CTCP program goals. Include at least one objective for each of the four required Core Work Components.

1. Communities of Excellence (CX) Asset Priorities for Funding
   CX in Tobacco Control is the framework used by CTCP to shape a broad statewide agenda while providing local communities the ability to determine their priorities, objectives, and the best path to achieve objectives. CX is built around a number of community-focused indicators and assets that were created by California's tobacco control community. Community indicators represent environmental or community-level measures. They reflect intermediate programmatic goal areas around which to focus community-level tobacco control activities. Community assets represent factors that support and sustain tobacco control efforts in the community such as the availability of funding for tobacco control efforts, strength of collaborative relationships, and access to cultural appropriate information.

   For the purposes of this RFP, the Primary Agency should select assets from the list provided in this document that they believe are the most relevant and that they have the capacity and interest in addressing. From this selection, the Primary Agency is to create objectives and activities that address the focus of the asset(s) selected. In the narrative portion of the application, the Primary Agency will need to provide data and other information that justifies the assets selected. Responders to this RFP are not expected to conduct a formal community based rating of the assets selected.

   For each objective, select an appropriate primary asset, and if appropriate, a secondary asset. The CX assets most relevant to this procurement are:

   Asset 2.1: Number, type, and availability of technical assistance and resources including, but not limited to: advocacy, coalition building, participatory community planning, community assessment, community organizing, cessation, countering pro-tobacco influences, enforcement, evaluation, legal, secondhand smoke, social determinants of health, and tobacco availability

   Asset 2.7: Number and quality of collaborative partnerships with health, education, social, environmental, business, political, and other organizations and agencies to address tobacco control and social determinants of health

   Asset 3.4: Extent that educational and media materials used by the agency reflect the culture, ethnicity, sexual orientation, and languages of the communities served, relative to the demographics of the community

2. Objectives

Instructions for Completing the Objective Overview:

Complete the following fields in OTIS for the Objective Overview section. Include at least one objective for each of the four required Core Work Components:

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

NOTE: Further instructions on completing the SOW, Evaluation, and Narrative portions can be found in the Section III: Application/Proposal Requirements and Instructions document.

Scoring Criteria

- Includes at least one objective for each of the four required Core Work Components which are ambitious, realistic in the amount of work to be performed, and reflect the CTCP's policy priorities and program goals.
- The objectives clearly define who or what is expected to change; how much change is expected to occur (without including ranges); where the change is expected to occur; and when the change is expected to occur. Do not include ranges in objectives. Rather, use specific numbers or use terms such as "at least" or "no more than" if a concrete number cannot be specified.

3. Intervention Activities

Instructions for Completing the Intervention Topics:

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

Instructions for Completing the Intervention Activity Plan:

In this section of the SOW you will describe a series of activities that will lead towards achievement of the objective. For each activity you will:

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

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

The SOW must reflect coordination/collaboration with other local or Statewide tobacco control partners such as local lead agencies, the Helpline, the Center for Tobacco Cessation, Tobacco Educational and Materials Lab at the University of Southern California, the Center for Tobacco Policy and Organizing, the Technical Assistance Legal Center, the youth and young adult technical assistance contractor, the Tobacco Control Evaluation Center, and CBN.

Intervention Category:

These categories facilitate organization of similar types of activities within the SOW. For each activity, select the Intervention Category that best describes the task to be completed in the narrative description (refer to *CX in Tobacco Control, Module 4,* pages 27-36 for definitions):

- Coordination/Collaboration Activities
- Community Education Activities
- Education Materials Development

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

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

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

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

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

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

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

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

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

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

Scoring Criteria

For each objective, the SOW intervention and evaluation activities reflect a well-organized and detailed "road map" of the project that describes:

- Activities which provide the details of what, how much, how often, and where and assign appropriate timelines, responsible parties, and tracking measures to verify completion of activities.
- Activities which incorporate learning-on-demand solutions that address the need for training and information to be available quickly and easily. Activities incorporate processes and procedures to ensure that content is current, accurate, and relevant to users.
- Activities which reflect sharing information in ways that users can both get knowledge and share their knowledge and expertise with others.
- Activities which reflect collaboration, networking, and participation with CTCP workgroups, CTCP-statewide contractors, Proposition (Prop) 99 Calls, Partners InfoHub, and CTCPeers.
- Activities that demonstrate the comprehensive steps required to develop and maintain a state-of-the-art public Web site or Web portal to serve as a central hub for information, networking, and resource dissemination.

4. Evaluation Activities

NOTE: The OTIS Evaluation Guide includes suggested objectives, evaluation activity plans, evaluation designs, and data collection procedures for CX indicators. This guide is tailored to local tobacco

control intervention projects rather than statewide training and TA applications. However, the basic information is relevant and applicable to this RFP. Applicants are expected to be able to tailor the basic instructions in the OTIS Evaluation Guide to this RFP. It is required that a minimum of five percent (but no more than ten percent) of the percent deliverables/budget be allocated to evaluation

Information on the Evaluation Activity Plan:

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

- Legislated Policy – Adoption Only
- Legislated Policy – Adoption and Implementation
- Legislated Policy – Implementation Only
- Legislated Resolution – Adoption Only
- Voluntary Policy – Adoption Only
- Voluntary Policy – Adoption and Implementation
- Voluntary Policy – Implementation Only
- Individual Behavior Change
- Other with Measurable Outcome
- Other without Measurable Outcome

For this RFP, the most likely evaluation plan types are Other with Measurable Outcome and Other without Measurable Outcome.

The Evaluation Activity Plan describes and allows for the selection of outcome and/or process data to be collected. Please refer to the Appendix: Evaluation Design: Data Collection Activities to determine the appropriate types of data collection and the process and/or outcome evaluation activities that correspond to the selected objective type. Click on “Add” to select the desired evaluation activities.

Both the process and outcome data activities can be found under “Select type of evaluation activity that will be conducted.” Scrolling over each particular activity will provide a description of what that activity entails. The Collection of Process Data Activities include:

- Data Collection Training
- Education/Participant Survey
- Focus Group
- Key Informant Interview

- Media Activity Record
- Observation Data
- Policy Record
- Public Opinion Poll (including Public Intercept Survey)
- Youth Tobacco Purchase Survey (licensing related objective only)
- Other

The most likely process evaluation activities for assessing effective customer satisfaction for provided technical assistance and services include Key Informant Interviews, Education/Participant Surveys, and Observation Data.

Instructions on Completing the Evaluation Activity Plan:

Select the appropriate evaluation activity(ies) and follow the instructions to complete the required fields. If different types of the same evaluation activity are being performed (i.e., different Key Informant Interviews) click "Save Information" add tracking measures, indicate the responsible parties, and click "Return to Objective View" to add additional activities. After completing the Evaluation Activity Plan, complete the Evaluation Reporting section of the application/proposal.

Instructions for Completing the Evaluation Reporting:

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

NOTE: At least five percent of the overall deliverables are required to be assigned to evaluation.

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

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

Scoring Criteria

- An appropriate evaluation plan is included for each objective in the SOW. The evaluation plan is appropriate in terms of the evaluation design and evaluation plan activities that include selection of participants, survey instrument development, analysis and dissemination of findings. The evaluation measures the extent to which each objective was achieved, provides information that will inform and improve the intervention, and disseminates the findings to appropriate agencies.
- Includes an in-depth evaluation plan for at least one primary objective that provides a Final Evaluation Report. Non-primary objectives include submission of a Brief Evaluation Report.
- The evaluation plan assigns appropriate timelines, copyright, program deliverable percentages, responsible parties, and tracking measures to verify completion of activities.
- The quality of the objectives and evaluation plans demonstrates that a qualified program evaluator provided at least four hours of consultation to the Primary Agency.

5. Narrative Summary
   Information:

   The Narrative Summary includes the following four narrative fields:

   - Community Assessment Analysis
   - Major Intervention Activities
   - Theory of Change
   - Evaluation Summary Narrative

   Instructions:

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

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

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

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

Scoring Criteria

- Data needs assessment findings and/or conclusions are synthesized, provide justification for the need for the objectives and activities and are appropriate for the identified community(s) or target population(s).
- The Major Intervention Activities narrative provides reasonable, realistic, and appropriate activities to achieve each objective.
- The Theory of Change narrative provides a reasonable rationale that explains why the proposed activities should lead to accomplishment of each objective.
- The Evaluation Summary narrative provides reasonable, realistic, and appropriate evaluation design and activities that will assess the quality and quantity of services provided.

C. Budget Justification: 25 Points

1. Budget Justification Total Amount
   The proposed total budget justification may not exceed $4 million for the entire 36-month contract period.

2. Fiscal Years
   The 36-month contract term will cover four State Fiscal Year (FY) budget periods as follows:

   - Year One: FY 2010-11 (November 1, 2010-June 30, 2011)
   - Year Two: FY 2011-12 (July 1, 2011-June 30, 2012)
   - Year Three: FY 2012-13 (July 1, 2012-June 30, 2013)
   - Year Four: FY 2013-14 (July 1, 2013-October 31, 2013)

3. Component Description
   For the 36-month period, proposals are required to use these eight line item budget categories:

   - Personnel Costs
   - Fringe Benefits
   - Operating Expenses
   - Equipment
   - Travel/Per Diem and Training
   - Subcontracts and Consultants
   - Other Costs
   - Indirect Expenses

NOTE: Minimum requirements and scoring criteria for the budget and budget justification are also provided on pages 46-47.

The Budget Justification must:

- Provide a complete budget plan for the entire contract term.
- Accurately detail and realistically describe the expenses connected to the SOW activities.
- Reflect all numbers rounded to the nearest dollar.
- Not exceed the maximum award specified for the RFP.
- Reflect tailored expenditures that take into consideration varying intensity of SOW activities and/or administrative needs during the entire contract term.
- Adhere to the State FY cycle as required by the State of California, Department of Finance. The State FY is 12 months, July 1 through June 30.

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

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

(1) <u>Personnel Costs</u>

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

Within the duties, identify the lead staff person responsible for overseeing and coordinating evaluation activities. The effort of the lead staff person can be in his/her performing evaluation activities and/or the supervision of staff or evaluation consultants who perform evaluation activities.

Indicate a minimum five percent full time equivalent for this lead staff person. A five percent minimum effort is equivalent to two hours per

week toward total project evaluation.

(a) Position Title

Information:

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

Instructions:

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

(b) Salary Range and Pay Period Frequency

Information:

Pursuant to Section 3.17.1 of the State Contracting Manual, any salary paid to project staff shall not exceed those paid to state personnel for similar positions/classifications. See the Appendix: Comparable State Civil Service Classifications. (Note: If State salaries decrease due to the current State budget shortfall, salaries may need to be adjusted in the Budget Justification.)

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

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

Instructions:

Identify the actual salary range and the pay period frequency for each position listed in personnel. Pay period examples are monthly, semi-monthly, bi-weekly, weekly, and hourly. The salary range must also reflect the frequency that the employee

is actually paid. Enter the low and high end of the salary range for each position.

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

(c) Percent of Time

Information:

- 100 percent FTE is 2080 hours annually, including paid leave.
- Employees working 80 hours in a 2-week period are 100 percent FTE.
- Employees working 20 hours in a 40-hour work week are 50 percent FTE.
- Hourly = "X" number of hours per pay period (do not use percents of time if a position is paid hourly).

Instructions:

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

Example: 30-40 percent FTE.

(d) Pay Periods

Information:

Examples of pay periods are:

- Monthly = 12 pay periods per year.
- Semi-monthly = 24 pay periods per year.
- Bi-weekly = 26 pay periods per year.
- Weekly = 52 pay periods per year.

Instructions:

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

(e) Description of Duties

Information:

Indicate the minimum percent of time the lead staff person is required to oversee and coordinate project evaluation activities.

Instructions:

Provide a brief description of the duties, responsibilities, and activities to be performed by each position. Positions and their duties must be identified in the Responsible Parties section of the SOW. Personnel less than ten percent FTE which are listed in the personnel category must have a complete position description that ties the position to activities in the SOW.

(f) Amount Requested

Information:

The total amount requested cannot be:

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

Instructions:

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

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

(2) Fringe Benefits

Information:

- Refer to the Appendix: Contract Uniformity, in the Applications

Documents section of the Tobacco Control Funding Opportunities Resource (TCFOR) Web page for this RFP which provides guidance for allowable expenses in Fringe Benefits.

- Fringe benefits do not include employee leave. Employee leave is: annual leave, vacation, sick leave, holidays, jury duty, military leave, training leave, and administrative leave.
- CTCP will not pay for employee vacation or sick leave accruals that are earned outside the contract term.
- Budget for workers compensation premiums only. CTCP will not reimburse for workers compensation claims.
- Fringe benefits shall be budgeted at no more than the actual cost for each employee.

Instructions:

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

(3) Operating Expenses

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

(a) CTCP Communications Network, OTIS, and Partners

Information:

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

Accessing OTIS and Partners requires access to the Internet.

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

- Utilize OTIS for contract management.

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

Instructions:

- Budget expenses for each FY associated with Internet access fees needed for project staff responsible for accessing Partners on a weekly basis and also for project and administrative staff responsible for monitoring and administering the contract via OTIS.
- If you choose not to budget for this line item you must provide an explanation in the Partners line item as to how you will access Partners and OTIS.

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

(b) Space Rent/Lease

Information:

Project space costs shall not exceed 150 square feet per FTE plus "reasonable" square footage for shared space, such as: conference rooms, library/resources, storage space, restrooms, etc. If the project space exceeds the 150 square feet per FTE then you must justify the need for the additional space. Project space in excess of 150 square feet per FTE is subject to review and approval by CTCP.

Instructions:

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

Example:

3.0 FTE×150 sq. ft.+100 sq. ft.×$1.00/sq. ft.×8 months = $ 4,400
3.8 FTE×150 sq. ft.+125 sq. ft.×$1.25/sq. ft.×12 months = $10,425
4.0 FTE×150 sq. ft.+175 sq. ft.×$1.50/sq. ft.×12 months = $13,950
4.0 FTE×150 sq. ft.+200 sq. ft.×$1.75/sq. ft.×4 months = $ 5,600
Total for 36 months = $34,375

(c) Warehouse Space

Information:

Budget the total number of square feet and the cost per square foot for warehouse space needed to house printing materials, reproduction materials, catalogs, supplies, etc.

Instructions:

To enter the budget for this, select the "Add Operating Expenses" link under the View Operating Expenses page.

- Justify the amount of square footage charged for reasonable shared space.
- Allow for any anticipated space cost increases during the contract term. Multiply these figures by the number of months in the budget period to obtain the subtotal.

Example:

5,000 sq. ft. x $0.50/sq. ft. x 8 months = $20,000
5,000 sq. ft. x $0.75/sq. ft. x 12 months = $45,000
5,000 sq. ft. x $0.90/sq. ft. x 12 months = $54,000
5,000 sq. ft. x $0.95/sq. ft. x 4 months = $19,000
Total for 36 months = $138,000

(d) Other agency defined subcategories

Instructions:

- After budgeting for items (a) and (b) above, you may add other agency-defined line items by selecting the "Add Operating Expenses" link.

- Add each additional line item and provide a justification for each. The justification must provide a complete description of the line item as well as a formula of how you arrived at the budget amount requested (e.g., $50 per month x 12 months x 3 years = $1,800).

Some typical additional line items are listed below:

(4) Office Supplies

Information:

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

Instructions:

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

(5) Postage

Information:

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

Instructions:

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

Duplicating

Information:

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

Instructions:

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

(6) Communications

Information:

- This expense is for the installation costs of telephones and any recurring monthly charges related to the telephone system; including fax line and cell phone costs. It also includes any costs related to teleconference calling that may be necessary to complete the SOW. For example, as described in the Work Statement's Core Work Components, Library Services section, the Primary Agency is responsible for the development of a minimum of six yearly in-person or Web-based Rover trainings. A minimum of three of these trainings must be budgeted as Web-based trainings and a minimum of three of these as in-person trainings (see the Work Statement's Travel/Per Diem and Training instructions).
- Mobile phones or cellular phones are allowed up to $500 per person (including the service) for a maximum of $2,500 per contract annually. Cell phone service fees are not to exceed $2,500 annually. Any unencrypted devices (such as Personal Digital Assistants, smartphones, iPhones, Blackberries, etc.) are not allowed to be purchased or utilized under this contract.

Instructions:

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

(7) Printing

Information:

This line item is for printing and reproduction of larger jobs completed by outside vendors such as brochures, booklets, fact sheets, manuals, postcards, leaflets, posters, forms, flyers,

announcements, banners, signs, coasters, bookmarks, videos/DVDs, tool kits, the Helpline Quit Kits and other cessation materials, and other tobacco control educational materials to be distributed through the required sales catalog fulfillment and distribution component of this RFP.

Instructions:

Budget $300,000-$332,000 per fiscal year for the printing and production of the educational materials listed above that require printing by outside vendors.

(8) CTCP Special Printing Projects:

Information:

This line item is for printing and production services for specialized materials requested by CTCP. The Primary Agency will be responsible for the printing and the distribution of approximately 10-20 specialty pieces throughout the contract term. These items may include brochures describing new state laws, collateral materials to support statewide campaigns, reports, manuals, media materials (such as posters, DVDs, etc.), cessation materials, etc. The Primary Agency will be notified by CTCP of the specific requests or requirements throughout the term of the contract.

Instructions:

Budget $9,000-$12,000 per fiscal year for the printing and production of approximately three-to-seven CTCP special printing projects per FY.

(9) Equipment Lease/Rental

Information:

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

Instructions:

- List and justify in detail all lease/rental equipment that will be charged to the contract.
- Provide the monthly lease/rental rate for each item and the number of the lease/rental months.
- Provide budget totals for each piece of equipment leased/rented. Examples of leased/rental items are desk-top work stations that include computers, printers, facsimile machines, scanners, and copiers.
- Provide the estimated budget amount needed for each FY.

(10) Audit Expenses

Information:

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

Instructions:

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

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

(11) Equipment Expenses

Information:

- At least one computer system, designated for use by this project for the purposes of producing state-mandated progress reports, completing evaluation instruments and reports, participating in Partners and OTIS, etc., must meet the minimum specifications outlined in Appendix: Computer Hardware/Software Minimum Specifications.
- If the computer equipment available to this project does not meet the specifications, CTCP may authorize the purchase of computer hardware/software to bring one computer system up to the minimum specifications.
- Include all computer software/hardware purchases regardless of the cost.
- Specifications for other equipment and software necessary to carryout the activities outlined in the SOW will be discussed during contract negotiations.
- Include non-computer equipment items such as desks, chairs, typewriters, telephones, calculators, etc.
- File cabinet purchases are not allowed.

Instructions:

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

(12) Travel/Per Diem and Training

General Information:

- Travel and training expenses are to be consistent with the needs of the project and support SOW activities.
- Travel expenses will be reimbursed at the current California Department of Personnel Administration rates.
- Current Travel Reimbursement information and rates can be found in the Appendix: Travel Reimbursement Information.

(e) Project Travel/Training

Information:

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

Instructions:

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

CTCP Travel/Training

Information:

- CTCP and its statewide contractors may conduct two to four trainings/conferences each year.
- Each training/conference is usually one to three days in length.
- Each training/conference is generally offered only one time.
- These trainings/conferences are specifically directed toward CTCP-funded projects, provide opportunities for project staff to learn from national, state, and local experts regarding evaluation, media, and advocacy, and are a means to be connected to California's larger tobacco control movement. These trainings will provide the Primary Agency with an opportunity to keep abreast of tobacco control efforts in the State.
- Under Optional CTCP Travel/training, the budget may include funds for at least one staff member to attend the Information and Education Days (I&E Days) visits with elected officials scheduled for each FY, generally in May.

- Primary Agencies should budget approximately $500-750 per person ($350-550 for travel/per diem and $150-200 for registration) for one to three staff to attend two to four optional trainings/conferences per year.

Instructions:

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

(f) Required CTCP Travel/Training

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

Information:

Project Directors' Meeting (PDM): This three-day meeting is typically held approximately every 18 months and 1-3 staff member(s) from each CTCP-funded agency attends. PDMs are currently scheduled for September 2011 (FY 2011-12) and approximately February-March 2013 (FY 2012-13). Budget for at least one staff member to attend this meeting in each of these FYs. Projects are recommended to budget $1,200-1,350 per person ($1,000-1,100 for travel/per diem and $200-250 for registration) for one to three staff to attend this conference.

Rover Trainings: As described in the Work Statement's Core Work Components, Library Services section, the Primary Agency is responsible for the development of a minimum of six yearly in-person or Web-based trainings (see the Work Statement's Operating Expenses instructions). A minimum of three of these trainings must be budgeted as in-person trainings which should include travel/per diem costs for 1-2 days for two staff members.

Projects are recommended to budget $750 per person for travel/per diem for one to two staff members to attend the in-person trainings.

Instructions:

Identify which project staff will attend PDM and Rover Trainings and provide the estimated budget needed for these meetings/trainings.

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

Information:

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

Instructions:

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

(13) Subcontracts and Consultants

Subcontractors Information:

- Subcontracts are usually for projects needing salaried positions, operating expenses, indirect expenses, etc. The subcontractor should provide a specialized task that is directly related to the project's activities. The subcontractor's salaries should not exceed those paid to state personnel for similar positions/classifications. See the Appendix: Comparable State Civil Service Classifications for a list of current salaries. Subcontractors which require high salary costs must contain a detailed explanation which justifies the request for the high salary costs. CTCP must approve the salary requests prior to reimbursement.
- CTCP must review and approve subcontract agreements greater than $50,000 prior to reimbursement unless exempt by CTCP Policy.
- Subcontractor Indirect Expenses shall not exceed 25 percent of their Personnel Expenses (the combined total of Personnel Costs and Fringe Benefits).

Subcontractors Instructions:

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

Consultants Information:

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

Consultants Instructions:

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

- a budget amount formula that indicates the estimates for time and pay rate, and the amount needed for each FY.

(14) Other Costs

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

General Instructions:

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

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

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

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

(a) Educational Materials

Information:

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

Instructions:

Follow the general instructions listed above.

(b) Advocacy Campaign Materials

Information:

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

Instructions:

Follow the general instructions listed above.

(c) Behavior Modification Materials

Recognition Awards Information:

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

Recognition Awards Instructions:

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

Food/Refreshments Information:

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

Food/Refreshments Instructions:

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

(d) Media

Information:

- This line item may include the development, purchase, or placement of public service announcements (PSAs), paid ads on radio, television (TV), newspaper, magazines, billboards, bus shelter ads, organizational newsletters and neighborhood advertising papers. Development of PSAs, radio, TV, and print ads may be budgeted either in this line item or in the Subcontracts and Consultants category, but should not be in both.
- List the types of planned media that supports activities in the SOW and the total budgeted amount. Make sure the media, public relations, and advertising items listed in the Budget Justification are also referenced in the SOW.

Instructions:

Follow the general instructions listed above.

(e) Sponsorships

Information:

- Refer to the CTCP Administrative and Policy Manual, Policy Section, Chapter 300: Sponsorship Requirements for information on allowable CTCP sponsorships.
- Sponsorship is a type of advertising that prominently promotes an anti-tobacco use message. The purpose of a sponsorship is to directly counter the tobacco industry's pro-tobacco use messages in the community and to develop community goodwill for anti-tobacco use through educational, media, and policy activities. The sponsor (your program) should receive something tangible in exchange for being the sponsor. The larger the sponsorship, the larger the value the sponsor should receive which may include large signage at the event, advertising in the event program or materials, booth space, publicity on the radio or television, public announcements at the event, tobacco-free policy, etc.

Instructions:

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

(f) Other agency-defined subcategories

Information:

- After budgeting for Educational Materials, Advocacy Campaign Materials, Behavior Modification Materials, Media and Sponsorships above, Primary Agencies may add other agency-defined line items.
- Examples of additional line items are: facility fees for renting a meeting room to conduct training or renting a booth at a health fair, etc.

Instructions:

Follow the general instructions listed above.

(g) Specialized Services

Information:

CTCP anticipates additional funding may become available during the contract term from increases to tobacco taxes and/or other funding sources. In anticipation of the potential increase in available funding and resultant need for increased services to CTCP-funded projects, monies for future increased services are to be budgeted in proposals to this RFP. However, these monies will not be available for use unless and until the monies become available through future tobacco tax revenues (or other funding sources available to CTCP) and CTCP provides direction and approval on the services to be covered by these funds.

Instructions:

In addition to any agency-defined line items, include a line item titled Specialized Services and budget $400,000 in FY 2012-13 for potential increased services which will defined at a later date.

(15) Indirect Expenses

Information:

- Indirect Expenses are costs that are not directly associated with the project's SOW deliverables. These are individuals or activities that indirectly support the project, but do not directly complete activities connected to the SOW. Examples are: management and fiscal personnel (e.g., Executive Director, Deputy Director, and Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs, and any expenses related to the mandatory annual Financial and Compliance Audit. Indirect Expenses must not exceed a maximum of 25 percent of the Total Personnel Expenses (Salary Expenses plus Fringe Benefits) for this RFP.
- Audit expenses may be budgeted in the Operating Expenses category or in the Indirect Expenses category. Primary Agencies may not budget audit expenses in both budget categories. If Primary Agencies choose to budget expenses within the Operating Expenses category, then the combined audit and indirect expenses must not exceed the specified maximum

percentage rate of 25 of the Total Personnel Expenses.

- Primary Agencies choosing to not budget funds for audit purposes must provide a statement in the Budget Justification in the Indirect Expenses line item indicating how they intend to comply with the audit requirement.

Instructions:

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

4. Scoring criteria

The Primary Agency demonstrates the capability to develop a budget justification that reflects the RFP Instructions and Work Statement. Proposes cost effective staffing patterns, operating expenses, and financial planning sufficient to complete all proposed SOW services, activities, and functions by meeting the following minimum requirements:

- The budget justification supports expenses that are clearly connected to the SOW and follows the RFP instructions and the Work Statement.
- Mathematical formulas provided in the budget justification calculate correctly and only whole numbers are used.
- Narrative descriptions for each position support intervention and evaluation activities identified in the SOW and in the Work Statement. Names of positions used in the SOW should be consistent with that used in the narrative description.
- Personnel salaries, subcontract, and consultant costs are consistent with comparable State Civil Service classifications (see Appendix: Comparable State
- Civil Service Classifications) and any salaries that are higher are fully justified to merit the higher salary cost.
- Fringe benefits are listed for each eligible position and are consistent with approved State policies.
- All travel costs associated with completing the SOW and CTCP required participation in conferences, trainings, and meetings are briefly described and amounts estimated for each.
- All indirect expenses incurred in the Primary Agency's course of doing business on this project are listed and an estimated cost is provided for each item. Overall, the indirect expense rate calculates correctly and is

based on a maximum 25 percent of the direct salary plus fringe benefit costs.

D. Additional Documents

Information for the following forms are located here:

- Additional Tobacco Control Funding (Optional)
- Administrative and Collaborative Activities (Optional)
- Proof of Non-Profit Status (Required)
- Certification of Non-Acceptance of Tobacco Company Funds (Required)
- Conflict of Interest Compliance Certificate (Required)

Additional Tobacco Control Funding (Optional)

Information:

The purpose of the Additional Tobacco Control Funding form is to collect information about other tobacco control funds that you administer (Prop 99, Master Settlement Agreement, tobacco retailer licensing fees, Prop 10, Mangini Settlement, Private Foundation etc.). This means the money is coming directly into your program and you are responsible for implementing the activities, monitoring the funds, etc.

Instructions:

At the Additional Documents Index, in the action column for Additional Tobacco Control Funding, select "View" which takes you to the Additional Tobacco Control Funding Index. From this index you can add a new funding source or view or edit existing information. The following instructions are for adding a new funding source.

At the Additional Tobacco Control Funding Index, select "Add Funding Source" to view the data entry form.

- Project Title: Enter the name of the project.
- Funding Agency: Enter the name of the agency from whom you are receiving the funds (e.g. American Legacy Foundation, Centers for Disease Control, etc.).
- Support Amount: Enter the amount of funds you are receiving from the funding agency.
- Funding Period: Using the drop down dates provided, select the beginning month/year and ending month/year for the funded project.
- Activity Description: In the text box, provide a description of the project activities funded.

- Save Information/Cancel: Select "Save Information" to save the information you entered and return to the Additional Tobacco Control Funding Index. "Cancel" will return you to the Additional Tobacco Control Funding Index *without* saving the information you entered.

Repeat the steps above until all Additional Tobacco Control Funding information has been entered.

Administrative and Collaborative Activities (Optional)

Information:

The purpose of the Administrative and Collaborative Activities form is to provide the opportunity to describe those administrative and collaborative activities that are not captured as a result of the Scope of Work forms in this Plan or through the progress report forms: Collaboration Tracking forms.

Instructions:

- At the Additional Documents Index, in the Action column for the Administrative/Collaborative Activities select *"View"* which takes you to the Administrative/Collaborative Activities View. From this view, select *"Edit Administrative/Collaborative Activities,"* which takes you to the data entry form.

- At the Administrative/Collaborative Activities data entry form, describe those administrative and collaborative activities that involve staff resources but that are not captured through other forms in the Plan or Progress Report. These activities may relate to participating in a CTCP workgroup, hiring and supervising staff, conducting procurements, preparing progress reports, etc.

- Save Information/Cancel
  Select *"Save Information"* to save the information entered and return to the Administrative/Collaborative Activities View.
  "Cancel" will return you to the Administrative/Collaborative Activities View *without* saving the information entered.

There are three documents that you **must** upload into the Additional Documents Section of your OTIS proposal. These are: 1) Proof of Non-Profit Status, 2) Certification of Non-Acceptance of Tobacco Industry Funds, and 3) Conflict of Interest Compliance Certificate.

Proof of Non-Profit Status (Required)

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

Certification of Non-Acceptance of Tobacco Funds (Required)

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

Conflict of Interest Compliance Certificate (Required)

Any Primary Agency that intends to submit a proposal is required to submit the Attachment: Conflict of Interest Compliance Certificate certifying that the proposing Primary Agency does not have any real or apparent conflict of interest on the part of the proposed Primary Agency or any of its proposed subcontractors, or employees, officers and directors of the proposer or any of its proposed subcontractors. Agency certification to this effect is required at the time of the proposal. Refer to the Attachment: Conflict of Interest Compliance Certification for more details.

If a conflict of interest is determined to exist that cannot be resolved to the satisfaction of CDPH, before the award of the contract, the conflict will be grounds for deeming a proposal nonresponsive.

Primary Agencies must assess their own situation according to the Attachment: Conflict of Interest Compliance Certification information. Instructions to certify that a Primary Agency or any of its proposed subcontractors, or employees, officers and directors of the proposer or any of its proposed subcontractors does not have any conflicts of interest are listed below:

- Download and print Attachment: Conflict of Interest Compliance Certification from the TCFOR Web page for the RFP to which you are applying or from OTIS when prompted during your online application.
- Complete the Attachment and have it signed by an individual who is authorized to legally bind the Primary Agency to this certification.
- Scan and upload the signed Attachment in OTIS.

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