V. PROPOSAL REQUIREMENTS AND INSTRUCTIONS

A. General Requirements

1. **CAREFULLY READ AND FOLLOW ALL INSTRUCTIONS** in the subsequent pages of this RFP, in the *OTIS User Guide, the OTIS Evaluation Guide, and CX in Tobacco Control, Module 4: Developing a Tobacco Control Intervention and Evaluation Plan*. These documents were created to assist agencies applying for funding to deliver community-based tobacco control interventions; however, definitions and the basic concepts are appropriate to agencies responding to procurements that focus on the delivery of statewide training and TA services to CTCP-funded agencies. If inconsistencies exist between the manuals and this RFP, the RFP instructions shall take precedence.

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

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

3. **DO NOT ASSUME** that the reviewers have any knowledge of your agency's prior history or previous tobacco control programs administered by your agency. It is the responsibility of the proposer to demonstrate an understanding of the services to be delivered according to the intended contract, and for the proposing agency and its subcontractors and/or consultants to have the capacity to design a reasonable budget, and carry out all SOW activities in an efficient manner.

4. **REVIEW SECTION II OF THIS RFP** for additional information on Proposal Submission Requirements and Request to Apply: Instructions for Accessing Online Submission.

B. Proposal Submission and Instructions

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

Supplementary Documents

Appendix I, California Tobacco Control Program Statewide Training and TA Projects

Appendix J, Sample Scope of Work and Evaluation Plan

OTIS User Guide, available at:
http://www.tcsotis.org/index.cfm?fuseaction=help.documentsIndexmain#22

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

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

Tell Your Story: Guidelines for Preparing a Complete High Quality Evaluation Report, available at:
http://www.cdph.ca.gov/programs/Tobacco/Documents/CTCPCX2006-Module4.pdf

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

1. Contact Information

a. My Agency

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

Maximum Point Value: 0

Minimum Requirements: Completes agency name, agency short name, and FEID; identifies the health jurisdiction in which the agency is physically

located; provides agency phone number, fax number, mailing address, and physical address.

Instructions: The "My Agency" area of OTIS is accessed by clicking on the "My Agency" link at the bottom of the OTIS screen. To get to the screen with the "My Agency" link, you first must click on procurement tools. See the *OTIS User Guide*, Section B: Contact Information for data entry instructions. For out-of-state applicants, identify the health jurisdiction in which the California office for this project will be located.

b. **Contact Information**

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

Maximum Point Value: 0

Minimum Requirements: Contact information is complete and accurate.

Instructions: See *OTIS User Guide*, Section B: Contact Information for data entry instructions. For the required fields of Health Jurisdiction and Region(s) this project works in, please select Statewide and Statewide (All Regions).

2. **Background Information**

a. **Demographic Profile**

Component Description: This section provides information that will assist the reviewer in understanding the demographics of the area you will serve. Once the My Agency section and the Demographic Profile section are filled out, pre-populated data will appear.

Maximum Point Value: 0

Minimum Requirements: Completes the two fields in this section.

Instructions: Provide answers to two fields in this section. For the question "Is there an American Indian casino within the geographic service area of this project?" choose the Yes radio button. For the Health Jurisdiction Characteristic assignment, please select Statewide.

b. **Applicant Capability Section** **45 Points**

The minimum requirements for each component of this section are stated on subsequent pages. This section of the proposal is to describe the qualifications of the proposer, its subcontractors, and/or consultants.

Qualifications will be evaluated in relationship to the extent to which the minimum requirements are met or exceeded.

NOTE: The term Proposer refers to the agency applying for this RFP.

Component Description: This section describes the ability of the Proposer (and its subcontractors and/or consultants, if applicable) to: 1) develop culturally linguistically appropriate health education materials for a variety of consumer and professional audiences; 2) abilities related to the provision of training and TA services to community-based agencies to develop and produce culturally and linguistically appropriate health education materials; 3) utilize information technology and learning on demand technologies to provide training and TA services and to manage the intake/review/and disposition of educational materials submitted for consideration for statewide/national distribution through the TECC catalog; 4) experiences with reviewing and rating educational materials as to their value for statewide/national dissemination; and 5) overall agency competencies with administering government funds, fiscal systems to ensure appropriate use of funds, accountability with delivering projects on time and within budget, and overall agency capacity related to start-up, and equipment. Narrative descriptions, letters of reference, and Local Program Evaluator (LPE) information are all considered and rated as part of the Agency's Capability.

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

Maximum Point Value: 45

Instructions:

1) Program Experience

   a) Proposer Agency's General Mission

      Describe the Proposer agency's general mission. Describe previous and present work which relates to the five (5) components identified in the Statement of Work 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 Proposer has been in existence and a list of agencies (federal, state, county, local, or private) for whom similar services have been provided.

Scoring Criteria: Proposer Agency's General Mission

- Demonstrates the ability to collaborate with diverse organizations on projects relating to the development, compilation, and organization of educational resources; and to coordinate the provision of these services with local, state, or national clearinghouses or information centers.
- Demonstrates at least three (3) years experience and a high level of competency providing training and TA on educational materials development.
- Demonstrates at least three (3) years experience and a high level of competency with developing educational materials for a variety of target audiences and in multiple languages, including: design concept, resource information acquisition, adaptation, fact checking, focus group testing, ensuring cultural and literacy level appropriateness, and providing or acquiring translation services.
- Demonstrates the ability to efficiently conduct and manage a materials review process (including the recruitment and training of reviewers), and demonstrates experience using information technology to increase efficiencies in the review process such as decreasing travel, increasing reviewer accountability, tracking review outcomes, and decreasing the time spent conducting the review process.
- Demonstrates the ability to develop, manage, and maintain a website and to conceptualize, design, program, implement and maintain learning on demand technologies such as training courses, pod casts, videos, presentations, references, and peer-to-peer exchanges.
- Demonstrates the ability to market training and TA services in a proactive manner which results in increased utilization of services.
- Demonstrates a high level of competency using information technology to create efficiencies in business practices such as tracking the provision of training and TA to CTCP-funded projects; receipt and outcome of materials development intake and peer review processes; modifications, copyright and licensing clearances, etc.; and to develop summary reports.

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

Describe the experience and qualifications of personnel assigned for direct work on this project. Include subcontractor or consultant qualifications, if applicable, detailing work to be performed. Attach resumes of programmatic staff proposed to work on this project (including subcontractors and/or consultants). If the proposed staff are not currently employed by the Proposer, then provide a copy of the

proposed duty statement/job description which describes the education, experience, and critical skills necessary for the position.

Scoring Criteria: Education, Experience, and Qualifications of Programmatic Personnel

- Key staff proposed for this project demonstrate the education and experience related to project management; excellent verbal and oral communication skills; provision of training and TA; information technology expertise as it relates to long-distance learning, websites, and project management; educational materials development; educational materials design and production; and cultural and linguistic competency.

2) Organizational Start-Up

Describe the Proposer's capability and resources necessary to ensure timely start-up and implementation of the proposed project. Describe the ability to implement materials development services to CTCP-funded projects and CTCP staff during a normal work week, Monday through Friday, between the hours of 8 a.m. to 5 p.m., PST.

Scoring Criteria: Organizational Start-Up

- Demonstrates the ability to start up and begin implementation of TA by phone and e-mail by the January 1, 2009, contract start date and within two (2) months of the start date, implement all materials development services.
- Demonstrates the availability of staff to implement materials development services, Monday through Friday, 8 a.m. to 5 p.m., PST.

3) Administrative/Fiscal Experience

a) Fiscal and Contract Compliance

Describe the Proposer's (and subcontractors' and/or consultants', if applicable) performance within the last three (3) years with the management of government agreement funds and activities, including administrative, fiscal, program, and evaluation functions such as: timely and accurate completion of deliverables; submission of fiscal, program, and evaluation documentation; subcontract/consultant monitoring; compliance with government agreement requirements; internal or external audit findings within the agency or a project administered by the agency within the past three (3) years; and fiscal stability to manage payments in arrears.

Scoring Criteria: Fiscal and Contract Compliance

- Demonstrates at least three (3) years satisfactory performance with administrative, fiscal, and programmatic management of government funds; includes information regarding the timely and accurate submission of fiscal and program documentation, oversight and management of subcontracts and/or consultants; timely and satisfactory completion of agreement deliverables; and compliance with all government agreement requirements, including audit requirements.

b) Audit History

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

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

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

Scoring Criteria: Audit History

- Demonstrates a history of satisfactory fiscal and programmatic audits with no major negative findings.

c) Administrative Staffing

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

Scoring Criteria: Administrative Staffing

- The proposed fiscal and administrative staffing pattern demonstrates the training, skills, and experiences necessary to ensure that payroll, bookkeeping, invoicing, subcontractor/consultant monitoring, and general tracking of

administrative, contractual, and fiscal controls are consistent with the CTCP Administrative and Program Requirements described in Section III of this RFP.

4) Equipment

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

Include in the description:

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

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

Scoring Criteria: Equipment

- Demonstrates the capacity to provide the project with appropriate office furniture, computers, printers, copy machines, software, communication equipment, etc., to support staff and project needs.
- Computer hardware and software for use by this project meets the minimum *standards described in Appendix K.*

5) Letters of Reference

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

The letters are to be from three (3) separate agencies or businesses. 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 Proposer;
- A description of the Proposer's ability to provide materials development services as outlined in the five (5) required components of this RFP and any additional enhancements as proposed in the SOW;
- The Proposer's fiscal and administrative ability to manage government grant funds, including satisfactory performance with administering and managing government funds through timely and accurate submission of fiscal, program, and evaluation documents.

Scoring Criteria: Letters of Reference

The letters show that the Proposer:
- Demonstrates the ability to provide materials development services.
- Demonstrates the ability to manage government grant funds.

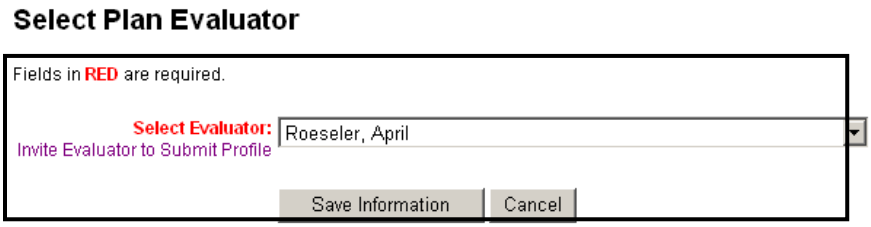
CTCP reserves the right, at its sole discretion, to contact references for further information prior to the RFP review process.

6) **Evaluator Information**

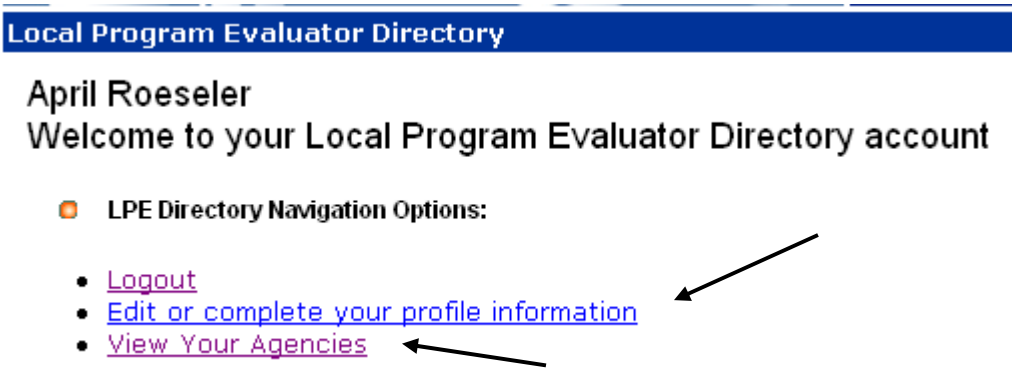
The LPE provides information related to his/her evaluation training, expertise, and contact information. The LPE certifies that he/she participated in the development of the evaluation plan. The applicant agency links a LPE identified in the LPE Directory with their application.

a) Evaluator Profile Instructions:

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



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



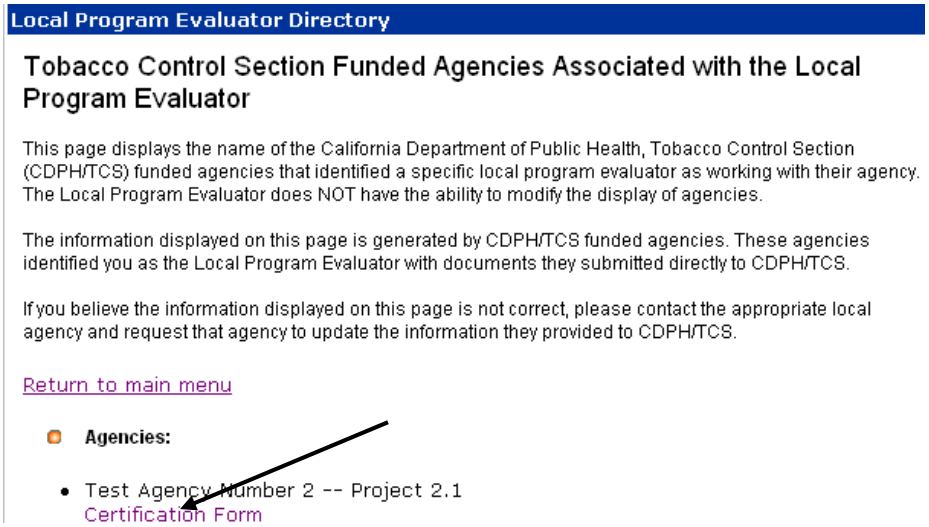
Scoring Criteria: LPE Qualifications

- The LPE demonstrates:
  - One (1) course in study design or one (1) year of experience determining the study design for an evaluation.
  - One (1) course in evaluation or one (1) year of experience planning and implementing an evaluation.
  - Two (2) courses in statistics or one (1) year of experience analyzing data for an evaluation.

b) Evaluator Certification Instructions:

After the proposer identifies and selects a LPE, the LPE must complete an electronic form available in the LPE Directory. This form describes and certifies the amount of time and assistance the LPE provided in the preparation of the proposal. To access the electronic certification form, the LPE logs into the LPE Director available at: http://tcsotis.org/public/evaluator/index.cfm.

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



The LPE completes the form and submits the certification.

ocal Program Evaluator Directory

Edit Evaluator Certification Form
Test Agency Number 2 - Project 2.1 08/07/2008

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

LOCAL PROGRAM EVALUATOR ROLE IN THE PREPARATION OF THE EVALUATION DESIGN

I hereby affirm that I provided 8 hours of evaluation consultation to the **Test Agency Number 2**, **Project 2.1** in the development of the evaluation components of the Scope of Work submitted with this application package. I agree that the Tobacco Control Section may contact me to verify my consultation on the evaluation and to negotiate changes prior to the approval of the Scope of Work.

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

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

Submit Certification | Cancel

After the certification is submitted a link will appear in the OTIS application.

Evaluator Directory

View Selected Evaluator(s)

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

Scoring Criteria: LPE Certification

- LPE certifies that he/she provided a minimum of four (4) hours of consultation in the development of the SOW Evaluation Plans.

3. **SOW, Evaluation, and Narrative Summary** **30 points**

Each application will be reviewed and evaluated in relationship to the extent to which the Required Components in Section IV of this RFP are met or exceeded.

Additional information about completing the SOW and Evaluation is provided in *CX in Tobacco Control, Module 4*. Data entry instructions for completing each component are provided in the *OTIS User Guide* at: http://www.tcsotis.org/index.cfm?fuseaction=accessControl.login.

An Avaya™ teleconference will be conducted by CTCP staff to assist agencies in using the OTIS system. TA for OTIS is available by contacting Partners.webmaster@cdph.ca.gov.

a. **SOW and Evaluation**

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

The SOW will contain all program activities to be performed by the applicant and its budgeted (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 the objective was achieved. Administrative activities such as preparing progress reports/invoices and hiring and supervising staff are important tasks; however, these are not included in the SOW.

Maximum Point Value: 22

Instructions:
The instructions provided here give a broad overview of the information to be provided in the SOW. More detailed information on how to complete the

OTIS data entry fields, definitions of terms, the amount of detail required, and an explanation of how to complete the evaluation may be found in the following documents. You will need to refer to these documents in order to complete this section of the online proposal.

- *OTIS User Guide*, available at: http://www.tcsotis.org/index.cfm?fuseaction=help.documentsIndexmain#22.
- *CX in Tobacco Control, Module 4*, available at: http://www.cdph.ca.gov/programs/Tobacco/Documents/CTCPCX2006-Module4.pdf.

Instructions for Completing the Objective Overview:

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

- Completion Date: Select the date by which the objective will be fully completed.
- Objective: Enter an objective for each of the required components 1-5, identified in the Statement of Work.
- Priority Type: For every objective in the SOW, select Asset.
- Primary Priority Area or Asset: For objectives relating to components 1-5, select Asset 3.4.
- Primary Objective Designation: For the objective addressing Required Component number 3, Materials Review Process, identify this objective as the Primary Objective. For all other objectives, designate them as Non-Primary.
- Target Audiences: For each objective, identify the target audiences who will be directly engaged in or served by the proposed activities. There are three (3) categories of groups: Audience Groups, General Population Groups, and Specific Ethnic Population Groups.

Instructions for Completing the Intervention Topics:

The intervention topics listed are common interventions found in many CTCP-funded projects' SOW. Review the list and determine if any of the topics related to the types of activities that will be conducted by this proposed project. Check those that are appropriate. If none of the topics is 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, and
- Identify tracking measures that verify completion of the deliverable.

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

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

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

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

Program Percent Deliverable: A deliverable reflects a tangible product or service developed or conducted under the contract, such as a training, an educational material, a written procedure for conducting the MRC, 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. Deliverables specified in the SOW must be completed in full and satisfactorily 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: Indicate the staff position, subcontractor, or consultant(s) responsible for each activity. More than one may be indicated. The positions must correspond to the position titles used in the Budget Justification.

Tracking Measures: List up to two (2) items that will be used to document and verify the activity was completed. The Tracking Measures may include, but are not limited to: TA logs, meetings, 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, the Tracking Measure must be submitted to CTCP with the progress report.

Scoring Criteria: Intervention Activity Plan

- The SOW includes an objective for each of the required five (5) components described in the Statement of Work section of this RFP. Objectives do not include ranges but provide specific numbers or use of terms such as, “at least” or “no more than” if a concrete number cannot be specified.

- For each objective, there are a series of briefly written sequential and realistic activities that will lead to achievement of the objectives in the time period. Overall, the SOW provides a well-organized and detailed “road map” of the project that describes:
  - What will be done,
  - How much will be done (e.g., quantification of the number of services to be completed),
  - Designation of CTCP copyright on products,
  - The percentage of effort appropriated to complete deliverables,
  - Start and end dates for completion of activities,
  - Staff, subcontractors, or consultants responsible for the activities, and
  - Appropriate tracking measures to verify completion of activities.

- Activities provide a comprehensive array of training and TA services that vary in their intensity, but overall are designed to enhance and improve the capacity and skill of CTCP-funded projects and their subcontractors and/or consultants to develop educational and/or informational materials in a culturally appropriate and competent manner.

- Activities incorporate varied training and TA modalities such as face-to-face, peer-to-peer, long distance (e.g., topic specific teleconferences, webinars, listservs, and interactive web-based trainings), tools, how-to materials, and tip sheets, etc.

- Activities provide evidence of collaboration and coordination with CTCP (i.e., workgroups, CBN, Media Campaign, LISU), other CTCP-funded statewide training and TA providers such as the Helpline, TECC, Center for Tobacco Policy and Organization (The Center), Technical Assistance Legal Center (TALC), California's Clear Air Project (C-CAP), California Youth Advocacy Network (CYAN), Tobacco Control Evaluation Center (TCEC), and state and national organizations that specialize in tobacco control issues and health information dissemination in order to maximize resources and avoid duplication.

- Activities reflect a proactive service delivery model that incorporates input from those to be served through such methods as conducting a needs assessment, key informant interviews, MRC, etc., and that provides services in a manner recognizing that the need to provide services to address some populations is greater than the need to provide services to others, (e.g., a larger number of CTCP-funded projects may be addressing SHS topics or conducting outreach to Hispanic/Latino populations versus tobacco sponsorship issues or outreach to Pacific Islander populations).

Instructions for Completing the Evaluation Design:

In this section of the SOW, you will describe the overall evaluation design. Complete the questions as they relate to TA evaluation. The evaluation plan type for each objective will be categorized as "Other with Measurable Outcome" (non-policy intervention) or "Other without Measurable Outcome." If categorized as "Other with Measurable Outcome," then you will need to complete the "Collection of Outcome Data Design" by clicking on edit and answering the required fields. Move on to complete the Evaluation Activity Plan section.

Instructions for Completing the Evaluation Activity Plan:

Under Evaluation Activity Plan, you will describe the collection of outcome evaluation activities and process evaluation activities to be undertaken for this evaluation plan. If conducting outcome evaluation, you will click on "Collection of Outcome Data Activity" and click Edit Activity to fill out the required fields. You will also click on the word "Add" to complete the Tracking Measures and Responsible Parties.

If conducting process evaluation activities, you will click on "Add Collection of Process Data Activity." The process evaluation activity categories include:

- Focus Group
- Key Informant Interview
- Public Opinion Poll (including Public Intercept Survey)
- Education/Participant Survey
- Policy Record

- Media Activity Record
- Data Collection Training
- Observation Data
- Youth Tobacco Purchase Survey (licensing related objective only)
- Other

Under this section, select the applicable process evaluation activities that you plan to include and complete the required fields associated with these activities. Move on to complete the Evaluation Reporting section.

Instructions for Completing the Evaluation Reporting:

Select "view" in the Evaluation Reporting section to include information on how the evaluation data will be analyzed and disseminated. You will also select the progress report period in which interim and Final/Brief evaluation reports will be submitted to CTCP. Similar to the other sections, you will also click on the word "Add" to complete Tracking Measures and Responsible Parties. Lastly, OTIS asks you to assign a percent deliverable for reporting documents and include text on any limitations or challenges you foresee with the 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.

Scoring Criteria: Evaluation Plan

- An appropriate evaluation plan is included for each objective in the SOW. The evaluation plan is appropriate in terms of the evaluation design, sampling strategy, sample size, type of evaluation activities proposed, data collection methods, data 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.

- The objective addressing Required Component number 3, Materials Review Process, will be designated as a "Primary Objective." This evaluation will utilize a case study evaluation technique that results in the provision of a high quality final evaluation written report, as well as interim evaluation reports (submitted with the biannual progress reports). The final evaluation report resulting from this evaluation will be completed in a manner consistent with the requirements provided in the CTCP guidelines for writing evaluation reports included in *Tell Your Story: Guidelines for Preparing a High Quality Final Evaluation Report*, available at: http://www.cdph.ca.gov/programs/Tobacco/Documents/CTCPCX2006-Module4.pdf

- 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 a qualified program evaluator provided consultation to the applicant.

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

NOTE: The *OTIS Evaluation Guide* includes suggested objectives, evaluation activity plans, evaluation designs, and data collection procedures for CX indicators that address new and innovative areas (e.g., multi-unit housing). Please note: 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. Refer to Appendix J for a sample SOW and Evaluation Plan for the Materials Development Contractor. It is recommended that two to five percent of the percent deliverables/budget be allocated to evaluation.

b. **Narrative Summary**

Component Description: The Narrative Summary provides a summary of the Community Assessment Analysis (needs assessment activities) conducted that support the proposed objectives and activities; describes the Major Intervention Activities that will be delivered to address the five (5) required components described in the Statement of Work; describes the Theory of Change (rationale) for why the activities are appropriate; and includes the Evaluation Summary Narrative to describe the evaluation design.

Maximum Point Value: 8

Narrative Summary Instructions:

1) Describe the major findings and conclusions of needs assessment activities conducted to plan the intervention.

   Scoring Criteria: Community Assessment Analysis

- Demonstrates an understanding of key partners to coordinate and collaborate with related to the services required of this project; materials development training and TA needs of CTCP-funded projects; gaps in educational materials development training and TA; and areas of enhancement related to educational materials development processes. Provides appropriate justification for conclusions.

2) Briefly summarize the major intervention activities to be implemented.

   Scoring Criteria: Major Intervention Activities

   - Provides reasonable, realistic, and appropriate activities for each objective.

3) Describe the basic assumptions (or theory of change) that explain why the proposed activities should work.

   Scoring Criteria: Theory of Change

   - Provides a reasonable rationale that explains why the proposed activities should lead to accomplishment of each objective.

4) Briefly summarize the evaluation design, evaluation activities, and the rationale for the evaluation plan.

   Scoring Criteria: Evaluation Summary Narrative

   - Provides reasonable, realistic, and appropriate evaluation plans for each objective.

4. **Budget and Budget Justification** **25 points**

Supplementary Documents

CTCP Competitive Grantee Administrative and Policy Manual available at: http://www.cdph.ca.gov/programs/Tobacco/Documents/CTCPPolicyManual2006.pdf.

OTIS User Guide, for specific instructions and help information to complete the required online submission. Instructions can be found at: http://www.tcsotis.org/index.cfm?fuseaction=help.documentsIndexmain#22.

Component Description:

The Budget and Budget Justification:

- Provide an accurate and detailed description of the expenses associated with the activities in the SOW.

- Helps CTCP determine the most cost effective way to fund the materials development and TA services.
- Must be a realistic depiction of the expenses requested for the entire 36-month contract term.
- Must be prepared and spent on a FY cycle as required by the State Department of Finance. The State FY is a 12 month period which runs from July 1 through June 30.
- Consists of the following categorical line items:
  - Personnel Costs
  - Fringe Benefits
  - Operating Expenses
  - Equipment
  - Travel/Per Diem and Training
  - Subcontracts and Consultants
  - Other Costs
  - Indirect Costs
- Funds not spent in a FY cannot be carried forward to the next or a subsequent FY without prior approval by CTCP.

Maximum Point Value: 25

Scoring Criteria: Budget and Budget Justification

- Contains all eight (8) budget line item categories in a manner consistent with the definitions and parameters described in the RFP.
- Provides accurate formulas or calculations for salary, space rent/lease, equipment, and other line items when formulas are required or when the Proposer provides a formula to indicate how the estimated costs were arrived at.
- The narrative description of the budget line items in the Budget Justification provides detail which clearly explains and justifies the proposed expenditures and is supported by the quantity of activities in the proposed SOW.
- Provides narrative justification which describes and justifies the personnel and subcontractor/consultant costs which are comparable to the qualifications needed to complete activities of the project.
- Proposes salaries for personnel and subcontractors/consultants that are not higher than comparable State civil service classifications. See Appendix L for a listing of Comparable State Civil Service Classifications.
- Titles used for responsible parties (both personnel and subcontract/consultant staff) in the Budget Justification are the same titles used in the SOW (e.g., Materials Development Specialist is utilized in both components versus Materials Development Specialist in the Budget Justification and Materials Advisor in the SOW).
- Agency provides a listing and brief explanation of the Fringe Benefits provided to staff.

- Proposed Operating Expenses are cost effective and consistent with and support the activities in the SOW.
- Proposes Other Costs (e.g., other agency-defined subcategories) which are consistent with and support the activities of the SOW.
- Agency provides a listing and brief explanation of the Indirect Costs of the agency which do not exceed 25 percent of the combined total of Personnel Salaries and Fringe Benefits.
- Designates one (1) staff employee as the lead on the project evaluation.
  - The designated employee must provide a minimum of five percent full time equivalent (FTE) (equivalent to two [2] hours per week) to project evaluation;
  - The designated evaluation lead coordinates the efforts of all evaluation staff, evaluation consultant, or subcontractor hired to perform evaluation activities.

General Instructions for the Budget Section:

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 Proposer enters for each line item.

Totals for each budget category will be carried forward to the "Budget Page" thereby eliminating inconsistencies between the two documents.

- Develop a Budget Justification with enough narrative detail to support the SOW.
- Prepare one Budget Justification for the entire 36-month contract period.
- Use only whole numbers and round to the nearest dollar.
- Proposed Budgets may not exceed $1,100,000 for the entire 36-month term.
- Take into consideration changes that may occur due to programmatic or administrative needs. For example, the number of staff may increase/decrease as program activities develop or end.

Budget Category and Line Item Instructions:

The following Budget categorical line items are in the order they will appear in OTIS. Include lists, formulas, skill level, and additional justifications where required.

1) Personnel Costs

   a) Position Title:

      Information:
      - Personnel such as: Executive Director, Deputy Director, Attorney, Bookkeeper, etc., budgeted at less than ten percent should not be included in the Personnel Costs category.

- Applicants having an established policy that allows personnel less than ten percent FTE in the Personnel Costs must provide a justification for each applicable position. Placement of such positions in the Personnel Costs category is subject to CTCP approval.
- Applicants must designate a lead staff position to provide a five percent minimum effort (equivalent to two [2] hours per week) toward total project evaluation. 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.

Instructions: List the title for each position utilized during the 36-month term. These positions must also be identified in the Responsible Parties section of the SOW. The position title used in the Budget Justification must be the same as the title used in the SOW Responsible Parties section.

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 Appendix L for a listing of Comparable State Civil Service Classifications.

If any proposed salary exceeds the comparable state personnel salary, the Proposer must justify the reason and necessity for the higher rate in the justification for each applicable position. High salary justifications will be reviewed by CTCP and a determination will be made for each position. CTCP may request additional information during contract negotiations. The Proposer must receive approval from CTCP prior to reimbursement for “high salary” personnel costs.

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

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

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

c) Percent of Time:

Information: Personnel less than ten percent FTE that are listed in the personnel category must have a complete position description that ties the position to activities in the SOW.

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

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

Example: 30 percent to 40 percent FTE.

d) Pay Periods

Information:

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

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

e) Description of Duties:

Information:

Remember to:
- Provide the required Agency policy justifying employee placement in Personnel Costs who are less than ten percent FTE.
- Indicate the ten percent minimum evaluation oversight staff person designated to oversee and coordinate project evaluation activities.

Instructions: Provide a brief description of the duties, responsibilities, and activities to be performed by each position. Programmatic 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 position.

2) Fringe Benefits

Information:

- Refer to Appendix M for Contract Uniformity information, which provides guidance for allowable expenses in Fringe Benefits.
- Fringe benefits do not include employee leave. Employee leave is: annual leave, vacation, sick leave, holidays, jury duty, military leave, training leave, and administrative leave.
- CTCP will not pay for employee vacation or sick leave accruals that are earned outside the contract term.
- Budget for workers compensation premiums only. CTCP will not reimburse for workers compensation claims.
- Fringe benefits shall be budgeted at no more than the actual cost for each employee.

Instructions:

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

3) Operating Expenses

NOTE: Items a) and b) below must appear in every Budget Justification. If there are no expenses related to these line items, enter $0.

a) Space Rent/Lease:

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

Instructions:

- Determine the total FTE listed in your budget.
- Determine the total number of square feet to be charged and the cost per square foot.
- Allow for any anticipated space cost increases during the 36-month term. Multiply these figures by the number of months in the budget period to obtain the subtotal.

Example:
3.0 FTE × 150 sq. ft. × $1.00/sq. ft. × 12 months = $ 5,400
3.8 FTE × 150 sq. ft. × $1.25/sq. ft. × 12 months = $ 8,550
3.8 FTE × 150 sq. ft. × $1.50/sq. ft. × 12 months = $10,260
Total for 36 months = $24,210

b) CTCP Communications Network, OTIS, and Partners

Information:

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

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.

c) Other agency defined subcategories.

Instructions:

- After budgeting for items a) and b) above, you may add other agency-defined line items.
- Sequentially number 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. Some typical additional line items are listed below:

(1) Office Supplies:

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

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

(2) Postage:

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

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

(3) Duplicating:

Information:

- This expense is for “in-house” duplicating and reproduction.

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

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

(4) Communications:

Information:
- This expense is for the installation costs of telephones and any recurring monthly charges related to the telephone system; including fax line and cell phone costs. It also includes any costs related to teleconference calling that may be necessary to complete the SOW.
- Cell phone service fees are not to exceed $2,500 annually.

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

(5) Printing:

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

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

(6) Equipment Lease/Rental:

Information:
- Rental Equipment will be authorized by CTCP on a case-by-case basis.
- Leasing/renting to own, purchase/leaseback, and lease/purchase of equipment is not permitted.

- Lease/rental agreements entered into prior to receiving funding from CTCP must adhere to this CTCP policy.

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

(7) Audit Expenses:

Information:
- All CTCP-funded contractors 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 this agreement in relationship to the agency's total revenue eligible for the audit.
- Audit expenses may be budgeted in the Operating Expenses category or in the Indirect Costs category, but not both. When combined, this Audit Expense line item plus the Indirect Expenses line item must not exceed 25 percent of your total Personnel Expenses (Personnel Costs plus Fringe Benefits line item amounts).
- Applicants 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 the proposed agreement for each applicable FY.

Continue to add line items if needed and number in sequential order. List additional line items individually and provide sufficient information that will justify the need for the costs.

4) Equipment Expenses

Information: See Appendix N for definitions of Expendable and Sensitive Equipment.

- Expendable Equipment: Includes non-computer equipment items such as desks, chairs, typewriters, telephones, calculators, etc. File cabinet purchases are not allowed.
- Sensitive Equipment: Includes all computer software/hardware purchases regardless of the cost.
- 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, must meet the minimum specifications outlined in Appendix K.
- 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.
- Specifications for other equipment and software necessary to carryout the activities outlined in the SOW will be discussed during contract negotiations.

Instructions: Provide an itemized list of all expendable and sensitive 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.

5) Travel/Per Diem and Training

General Information:

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

a) Project Travel/Training:

Information:

- Project Travel: Includes airfare, meals, lodging, and mileage expenses which are necessary to implement your SOW such as: travel needed to provide training to CTCP-funded projects; travel and lodging expenses for members of the MRC to attend face-to-face MRC meetings, one to two (1-2) face-to-face meetings with CTCP, etc.

- Project Training: Includes registration fees for staff development or any other additional training events for professional, clerical, administrative personnel, etc., necessary for the completion of activities in the SOW. Training may include courses on computer software, meeting facilitation, planning, leadership, etc.

Instructions:

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

b) CTCP Travel/Training:

Information:

- CTCP and its statewide contractors such as: public relations contractor, TALC, The Center, TCEC, CBN, and others may conduct two to four (2-4) trainings/conferences each year.
- Each training/conference is usually one to three (1-3) days in length.
- Each training/conference is generally offered only one (1) time. Occasionally, trainings are offered twice: Once in Northern California (generally the Bay Area counties or Sacramento area), and once in Southern California (generally Los Angeles, Orange, or San Diego counties).
- 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 Contractor with an opportunity to keep abreast of tobacco control efforts in the State. These trainings will also provide the Contractor the opportunity to provide materials development training to CTCP-funded projects.
- Projects are recommended to budget approximately $500-$700 per person ($350 for travel/per diem and $150 for registration) for two to three (2-3) staff to attend two to four (2-4) trainings/conferences per year.

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

c) Required CTCP Travel/Training:

Information:

- Project Directors Meeting (PDM): This three (3) day meeting is typically held every 18 months and two to three (2-3) staff from each CTCP-funded agency attends.
- Projects are recommended to budget $1,200 per person ($1,000 for travel/per diem and $200 for registration) for two to three (2-3) staff to attend this conference in FY 2008-09 and again in FY 2010-11.

Instructions: Identify which project staff will attend the PDM and provide the estimated budget needed for this meeting in FY 2008-09 and FY 2010-11.

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

Information:

- All out-of-state travel must have prior written approval by CTCP.
- Final approval of out-of-state travel will be contingent upon the attendee(s) participating in the conference as a presenter, panel member, speaker, etc.

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

6) Subcontractors and Consultants

Subcontractors Information:

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

Subcontractors Instructions:

- List the subcontractor(s) 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.
- List each subcontract separately in the Budget Justification.
- 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 proposal 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 project staff.
- The effort of a consultant should support and supplement the skills of agency staff and not duplicate 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 the consultant(s) that will provide specialized effort which is directly related to activities in the SOW.
- List each consultant separately in the Budget Justification.
- 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 proposal indicate "To Be Determined" and provide a narrative that describes the activities to be performed and a budget amount formula that indicates the estimates for time and pay rate, and the amount needed for each FY.

7) Other Costs

Information: Refer to the CTCP Competitive Grantee Administrative and Policy Manuel, Section II, Chapter 300, for more information on educational materials, and advocacy campaign and behavior modification materials.

Instructions: The following three (3) items below must appear in every Budget Justification in the order presented here. If there are no expenses related to these line items, enter $0.

a) Educational Materials:

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

Instructions: Do not itemize; use broad descriptions and provide an estimate of the budget needed for these items for each FY.

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: buttons, key chains, stickers, posters, visors, caps, T-shirts, and miscellaneous tobacco control logo or advertisement items of a nominal cost.
- The intent is not to facilitate behavior change, but to generate interest and enthusiasm for the program.

NOTE: Please refer to Appendix O that explains the interim guidelines on promotional materials. Appendix O also applies to Advocacy Campaign Materials.

Instructions:

- Make sure the items listed in the Budget Justification are also referenced in the SOW.
- Provide a sample listing of items to be provided and the total budgeted amount.
- Do not itemize or give detail of quantity, unit cost, or subtotal for each item. Only provide a list of items and the budget amount needed for each FY.

c) Behavior Modification Materials:

NOTE: Please refer to Appendix O that explains the interim guidelines on promotional materials. Appendix O also applies to 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, plaques, T-shirts, caps, etc.
- Cash is not permitted.
- Materials are not to exceed $50 worth/value per person per year.
- Make sure the items listed in the Budget Justification are also referenced in the SOW.

Recognition Awards Instructions: List items to be provided, a general statement on how and who they 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: Provide a brief description on who the food/refreshments will be provided to and the amount needed each FY.

d) Media:

This line item is not applicable to this RFP. Please enter 0 in the amount needed each FY.

e) Sponsorships:

This line item is not applicable to this RFP. Please enter 0 in the amount needed each FY.

f) Other agency-defined subcategories:

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

Instructions:

- Sequentially number each additional line item and provide a justification for each.
- The justification should provide a complete description of the line item as well as a formula of how you arrived at the budget amount requested.
- Please keep the following points in mind:
  - List them individually and be specific. For example, facility fees for renting a meeting room to conduct a training or renting a booth at a health fair, etc.
  - Provide enough information to justify each additional line item.
  - Make sure the additional line items listed in the Budget Justification are also referenced in the SOW.

8) Indirect Expenses

Information:

- Indirect Expenses are costs that are not directly associated with the project's SOW deliverables. These are individuals or activities that indirectly support the project, but do not directly complete activities connected to the SOW. Examples are: management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, and Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs, and any expenses related to the mandatory annual Financial and Compliance Audit.
- Cannot exceed 25 percent of the total Personnel Expenses.
- Audit expenses may be budgeted in the Operating Expenses category or in the Indirect Costs category. Applicants may not budget audit expenses in both budget categories. If applicants choose to budget expenses within the Operating Expenses category, then the combined audit and indirect costs must not exceed 25 percent of personnel plus fringe benefits totals.
- Applicants 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 your agency.
- List the indirect expense percent amount of the combined total of Personnel Costs and Fringe Benefits.
- 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. For example: 20 percent to 25 percent.

5. **Additional Documents**

Information: There are two documents that you must upload into the Additional Documents Section of your OTIS proposal. These are 1) Proof of Non-Profit Status and 2) Certification of Non-Acceptance of Tobacco Industry Funds. A description of document requirements is provided in Section II, General Proposal Information beginning on page 7 of this RFP.

Instructions:

Proof of Non-Profit Status

- Scan and upload a copy of the document that verifies the agency's non-profit status.

Certification of Non-Acceptance of Tobacco Funds

- Download and print Attachment 1 from the TCFOR Website. This website is available at: http://tcfor.catcp.org.
- **Complete Attachment 1 and have it signed by an individual who is authorized to legally bind your agency to the certification.**
- Scan and upload Attachment 1.

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