California Department of Public Health,
California Tobacco Control Program
Request for Applications/Proposals/Plans

Administrative and Program Requirements

It is the experience of California Tobacco Control Program (CTCP) that some potential agencies are unfamiliar with State contracting procedures, requirements, and expectations. Funded agencies must have the organizational and administrative capacity to manage CTCP funds, as well as the program and evaluation skills needed to successfully complete all deliverables identified in the Scope of Work (SOW) satisfactorily and on time. The following information is provided for proposers to assess their capability to enter into a fully executed agreement with CTCP:

1. The CTCP *Administrative and Policy Manual* will be made available to the funded agency on https://tcfor.catcp.org/. The manual is incorporated by reference into the fully executed agreement terms and conditions. The funded agency is expected to comply with manual procedures, requirements, and any updates.

2. The funded agency shall expend funds in accordance with the executed agreement line item budget justification. Approved SOW activities are eligible for reimbursement, in accordance with the approved budget justification, when completed. The funded agency must request and receive final CTCP approval for a formal amendment **prior** to incurring expenses associated with a request to revise the executed agreement, SOW, or budget documents.

3. Funded agencies must be able to fund up to 60 days worth of payroll, indirect expenses, and operating costs, as well as expenditures incurred by a subcontractor or consultant prior to reimbursement by the State. The funded agency incurs expenses for the previous work period and is then reimbursed by invoice(s) submitted to CTCP no more than once per month. (Not applicable to local lead agencies.)

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

5. The funded agency shall maintain accounting records that reflect actual expenditures including, but not limited to: accounting books, ledgers, documents, and payroll records, including signed timesheets, etc., and will follow standard accounting procedures and practices that properly reflect all direct and indirect

expenses related to the agreement. These records shall be kept and made available to CTCP for three years after the date of final payment.

6. The funded agency shall have a policy and/or procedure in place designating an authorized person within their organization to sign official documents, such as time sheets, payroll, requisitions, travel expenses, purchase orders, invoices, etc.

7. Unless exempted by CTCP policy, the funded agency shall adhere to travel and per diem rates approved in the executed agreement. Out-of-state travel requires prior written approval by CTCP unless approval was received at the time the agreement was negotiated and is reflected in the final approved budget.

8. Unless exempt by CTCP policy, the funded agency shall obtain an annual, single organization-wide financial and compliance audit. All CTCP agreement fund reimbursement(s) will be open to audit. CTCP will approve a funded agency's reimbursement for its proportionate fund share of the audit expense.

9. Unless exempt by CTCP policy, the funded agency shall obtain prior approval from CTCP before entering into any subcontract or consultant agreement greater than $50,000. Three competitive bids may be required, as well as supporting documentation of the bid process. The bid process and the proposed subcontract or consultant agreement must be submitted to CTCP for approval prior to any request for reimbursement.

10. The funded agency shall hire program staff with the appropriate formal education and professional experience required to complete all executed agreement SOW activities satisfactorily.

11. The funded agency will be required to submit timely, accurate, and complete progress reports every six months using the procedure, format, and schedule provided by CTCP.

12. The funded agency shall maintain accurate records on all approved program activities and deliverables. It is expected that these records will detail the deliverables, activity progress and completion (and document the number of people served), materials developed, activities conducted, etc. The document record(s) may include, but will not be limited to, logs, sign-in sheets, meeting minutes, survey and evaluation data, etc. Funded agencies should set up SOW document files by objective or major activities and update documentation on a continuous basis in advance of progress reporting. Planning documents, meeting minutes, draft materials (until approved), completed materials, and sign-in sheets, etc., should be filed in the objective-specific file as activities are completed. These records shall be kept by the funded agency and made available to the State for three years from the date of final payment.

13. Funded agencies are cautioned that CTCP may withhold payment(s) for lack of documented progress on the approved SOW, as well as any apparent non-compliance with executed agreement requirements.

14. The funded agency, subcontractors, and consultants must comply with the Intellectual Property Rights language found in Exhibit D(S), Special Terms and Conditions, at the “Contract Documents” section of the Tobacco Control Funding Opportunities and Resources Web page for this Request for Proposals/Plan Requirements. Review this section carefully. Changes to this language will **not** be negotiated.

15. The funded agency must notify CTCP immediately if served with a subpoena or a California Public Records Request.

16. All data sets submitted to CTCP for approval must be in accord with the executed agreement SOW and submission deadlines. Funded agency software must be compatible with CTCP. The data sets must be of professional quality, using a technique and format approved by CTCP.