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INTRODUCTION

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CHAPTER 100
INTRODUCTION

101 Overview of the Policy Section

The information in this policy section of the Administrative and Policy Manual is provided by the California Department of Health Services (CDHS), Tobacco Control Section (TCS) to guide the operation and functioning of local tobacco control programs. This includes Local Lead Agencies and competitive grantees. Most of the policies in this section of the manual apply to all local programs funded by CDHS/TCS. However, a few are specific to Local Lead Agencies or competitive grantees.

In addition to programmatic and administrative requirements, this section contains background information on California's tobacco education campaign, the mission and philosophy statements of CDHS/TCS, and principles of planning. This section should be reviewed prior to the development and implementation of interventions, evaluation activities, project staffing, and administration of tobacco control programs. As staff turnover occurs within your agency, please provide new staff with a copy of the entire Administrative and Policy Manual to ensure they are familiar with CDHS/TCS program and administrative expectations.

102 Proposition 99 and Legislative Mandates

In November 1988, California voters approved the Tobacco Tax and Health Promotion Act of 1988 (Proposition 99) which added a 25-cent tax to each pack of cigarettes sold in the state. Revenues from this additional tobacco tax are directed toward tobacco-related research, health education, and health care. Twenty percent of the taxes generated were earmarked for health education efforts aimed at the prevention and reduction of tobacco use with a legislatively mandated goal of reducing tobacco consumption by 75 percent in the State of California by the year 1999. The Tobacco Education Research Oversight Committee (TEROC) has since established a goal of reducing adult smoking prevalence to 10% and high-school age youth smoking to 8% by the end of 2008.

The scope of the health education campaign launched by CDHS/TCS is addressed in Health and Safety Code, Chapter 1.2 commencing with Section 104350. These statutes require CDHS to fund a variety of innovative approaches to reduce tobacco use which include funding for a statewide media campaign, local health departments, competitively selected state and community-based projects, as well as an extensive evaluation of the entire tobacco education campaign.

Enabling legislation for Proposition 99 requires programs administered by CDHS/TCS to:

1. Conduct health education interventions and behavior change programs at the state level, in the community, and other non-school settings;

2. Apply the most current research findings; and

3. Give priority to programs that demonstrate an understanding of the role community norm change has in influencing behavioral change regarding tobacco use.

103 California's Tobacco Control Program Goals

To reduce smoking among adults and youth in California and to eliminate exposure to secondhand smoke, California's Tobacco Control Program (TCP) focuses on four broad goals. These are as follows:

1. Counter Pro-Tobacco Influences in the Community

Tobacco industry advertising and promotions are major social and economic forces aimed at promoting tobacco use. While the 1998 Master Settlement Agreement (MSA) with the tobacco companies mandated changes in the behavior of the industry, including specific prohibitions against advertising and promotional strategies that target youth, eliminating tobacco industry influence in local communities remains one of the highest priorities for California's TCP. The tobacco industry continues to maintain massive expenditures on advertising and promotional campaigns. As a result, Californians are exposed to saturation levels of media, which both stimulate adult consumption of cigarettes and increase the risk of youth initiation. Tobacco companies sponsor and strategically target specific community events, such as rodeos, festivals, concerts, and ethnic-specific cultural events to create the perception that the use of tobacco is condoned by those events and is glamorous, social, and normal. In addition, the motion picture industry has increasingly dramatized the use of tobacco in movies, thus aiding in recruiting thousands of new adolescent smokers.

2. Reduce Exposure to Secondhand Smoke (SHS) and Increase the Number of Smoke-Free Public Spaces, Worksites, Schools, and Communities

The risks of tobacco use extend beyond the actual user. Exposure to SHS increases risk for lung cancer and heart disease. Among children, SHS is also associated with serious respiratory problems, including asthma, pneumonia and bronchitis, sudden infant death syndrome, and low-birth weight. Protecting

California workers and the public from the effects of SHS and helping large numbers of smokers to get the environmental support they need to quit smoking remains a high priority for California's TCP.

3. Reduce Availability of Tobacco Products

Widespread availability of tobacco products reinforces a social norm that promotes tobacco use by youth and young adults. This priority seeks to reduce the sale and availability of tobacco to youth as well as decreasing the overall availability of tobacco products to adults. Efforts to reduce the sale and availability of tobacco products to youth have historically focused on improving compliance with state laws prohibiting the sale of tobacco to persons under age eighteen.

4. Promote Availability of Cessation Services (optional)

Smoking cessation is the desired outcome of all initiatives and activities of California's TCP that create new social norms around the use of tobacco. Since social norms have shifted from the acceptability of smoking, and cigarette prices have risen substantially, more smokers than ever are trying to quit. More than three out of every four California smokers say they would like to stop smoking.

Past experience demonstrates that the media campaign, coupled with the California's Smokers' Helpline and supported at the community level by cessation programs, successfully assists smokers in quitting. Smoking cessation is a complex and often-extended process with several repeated quit attempts until success is achieved. As social norms shift away from the acceptability of smoking, and more smokers become aware of health issues related to smoking, the level of motivation to quit across the entire population of smokers increases, and motivation by smokers to quit on their own increases. As such, cessation becomes the outcome rather than the intervention. However, there is a downside. Some smokers may switch to smokeless tobacco or "harm reduction products" to avoid exposing others to SHS. They may be misled into believing that such products may reduce risk of disease, when in reality, there are no safe tobacco products.

While recognizing that in California, the majority of former smokers report quitting without direct cessation services, the provision of direct cessation is primarily funded through the California Smokers' Helpline, which offers counseling in English, Spanish, Vietnamese, Korean, Mandarin and Cantonese, and has tailored services for chew tobacco users, hearing impaired, youth, and pregnant women. Many CDHS/TCS-funded projects also provide direct cessation services at no cost or for a nominal fee. Additionally, some CDHS/TCS-funded projects promote system changes that support population-based cessation services, such as introducing cessation in large managed health care plans, coordinating with clinics providing health care to indigent populations and university/college health

centers that serve priority populations, providing physicians, nurses, dentists, and dental hygienists with training to establish systematized patient education and treatment programs in private offices and clinics, cooperating with the American Cancer Society to sponsor the local Great American Smokeout, etc.

104 Local Lead Agency Responsibilities

Each of the 58 county and three city health departments are designated as "Local Lead Agencies" (LLAs). Health and Safety Code Sections 104375, 104380, 104405, 104410, 104415, and 104440 address the LLA requirements. LLAs are responsible for planning, implementing, and coordinating a comprehensive tobacco control plan. As the lead tobacco control agency at the community level, the primary legislated responsibilities of LLAs are to:

- Obtain the involvement and participation of local community organizations with special expertise in tobacco control and representatives of high-risk populations.
- Provide for or contract for tobacco control activities.
- Establish a coordinated information, referral, outreach, and intake system for preventive health education against tobacco.
- Coordinate services between county service providers, government agencies, and the county office of education.
- Provide technical assistance to tobacco control service providers.
- Review county office of education anti-tobacco education plans and provide written comment to the county office of education.
- Establish a uniform data collection system in compliance with State requirements and ensure systematic compatibility and the capacity to expand their computer software and hardware systems.
- Develop a local plan and budget.

Each LLA fosters and involves a community coalition to engage in grass roots community mobilization activities that promote social norm changes and educate the public about health issues related to tobacco use and tobacco industry strategies that promote tobacco use. In general, LLAs take the lead on local community policy development, facilitation of enforcement of tobacco control laws and local provision of tobacco cessation services.

105 Competitive Grants Program

The Competitive Grants Program is authorized by Health and Safety Code Section 104385. The Competitive Grants Program funds a variety of statewide, regional, local, and pilot projects. The agencies funded by the Competitive Grants Program are non-profit agencies and include community-based organizations, health clinics, and agencies addressing priority populations, alcohol and drug centers, labor organizations, youth organizations, and colleges/universities.

Statewide Grants

Several grants are funded that are designed to have a statewide impact, by providing technical assistance and training or direct services throughout California. As of January 2007 the following grants are funded to provide training and technical assistance or direct services statewide.

Training and Technical Assistance Providers

- Buck Tobacco Sponsorship Project: The Buck Tobacco Sponsorship Project supports local-level efforts to restrict tobacco sponsorship of California rodeos. This project provides resources which include: tip sheets on tobacco industry sponsorship, documentation of tobacco industry sponsored California rodeos held in 2006, sample media advocacy materials and ads, policy tools, training, and hosted technical assistance calls that provide access to experts and opportunities for networking.

- California's Clean Air Program (CCAP): CCAP provides technical assistance, training and educational materials related to secondhand smoke (SHS) issues. CCAP creates and implements educational programs, policy and advocacy initiatives, develops and distributes materials. They respond to requests for assistance from county and city health departments, competitive grantees, members of the hospitality and housing industry, policymakers, law enforcement agencies, and the general public throughout California.

- California Youth Advocacy Network (CYAN): CYAN is dedicated to supporting youth and young adult tobacco prevention advocates and tobacco control agencies throughout California. Major statewide projects include:

    - The **Campuses Organized and United for Good Health** (COUGH) **Coalition**, this is a college campaign that works with all public college and university students, faculty, staff, campus health centers and tobacco control professionals to advocate for tobacco-free campuses.

- The **Tobacco and Hollywood Campaign**, this campaign seeks to work with youth, parents, and community organizations to eliminate the negative impact of pro-tobacco messages in movies on California's youth.
- The **Tobacco Retail Licensing** (TRL) **Campaign**, this campaign is dedicated to expanding youth involvement in local licensing campaigns.
- **Project UNIFORM**, this project focuses on tobacco use by active military personnel in California. The mission of Project UNIFORM is to build collaborative relationships to promote tobacco cessation resources to active military personnel.

- Council for Responsible Public Investment (CRPI): CRPI assists organizations and individuals advocating for anti-tobacco investment policies in California. By challenging Big Tobacco directly in their pocketbook, CRPI attempts to weaken the grip tobacco companies have on communities at large. CRPI assists with investment or divestment related advocacy projects. These include pension funds, universities, cities, foundations, and other large investment pools.

- Technical Assistance Legal Center (TALC): TALC is a clearinghouse on tobacco policy issues in California, a place for "one-stop shopping" for solid legal advice and information. TALC provides model ordinances and policies on a variety of tobacco control topics; comments on draft ordinances, resolutions, or policies, consults directly with city attorneys and county counsels; and prepares and distributes a variety of informational materials and tools related to tobacco control and legal issues.

- The Center for Tobacco Policy and Organizing (The Center): The Center serves as a state and local tobacco policy resource. It provides technical assistance to CDHS/TCS funded projects in achieving policy objectives using community organizing strategies. The resources offered by The Center include: briefs on pending tobacco control legislation, tobacco industry campaign contributions, and emerging local issues; assistance to develop and maintain relationships with legislators at the Capitol and in their district offices; campaign consultation and planning assistance; training on the use of the Midwest Academy Strategy Chart; and training and technical assistance with assessing the local political environment and coalition member recruitment.

- Tobacco Control Evaluation Center (TCEC): The TC Evaluation Center is a resource for all aspects of project evaluation for tobacco control projects. They offer individual technical assistance to design evaluation plans, manage a database of data collection instruments; provide training on specific evaluation tasks such as sampling or writing a final evaluation report; and develop and disseminate a variety of tip sheets on evaluation-related topics including writing interview questions, using qualitative data collection methods, and selecting data collection methods.

Priority Population Partnership Projects

- African American Tobacco Education Partnership (AATEP): AATEP engages communities of color throughout California in campaigns that reduce the use of tobacco products by people of African descent. Services and activities include: providing technical assistance on Project Nia an anti-tobacco sponsorship campaign targeting African American organizations, providing assistance to smokers with quitting through the use of cessation materials and programs, collaborating with local coalitions, and providing training and technical assistance to CDHS/TCS-funded projects.

- American Indian Tobacco Education Partnership (AITEP): The mission of the American Indian Tobacco Education Partnership is to promote, support, and protect the health, traditions, and cultural values of American Indians as they relate to sacred tobacco use and to commercial tobacco abuse. They offer technical assistance to CDHS/TCS-funded projects working with the American Indian community, tribal governments, and casino managers. They also provide training and technical assistance to tribes and American Indian communities related to tobacco use education and tobacco control policies. AITEP is conducting advocacy campaigns to eliminate the misuse of American Indian imagery on commercial tobacco products and promoting smoke-free gaming environments in American Indian gaming facilities.

- Asian American & Pacific Islander Partnership (AAPI): The AAPI Tobacco Education Partnership project provides statewide technical assistance and training to CDHS/TCS funded projects focusing on tobacco control needs of AAPI communities. They offer training and technical assistance on: grant writing, seeking alternative funding to tobacco industry funding, organizational development, program development, cultural competency, and policy advocacy.

- Building Trades Unions Ignite Less Tobacco (BUILT): BUILT offers educational materials for union leaders, union members and employers about the hazards of tobacco, secondhand smoke, tobacco industry targeting of blue collar workers and cessation. BUILT's advocacy campaign has focused on ensuring compliance with the Labor Code and with voluntary restrictions at construction sites. BUILT helps others to devise effective strategies to reach out to unions to join your coalitions and policy efforts, and provide resources to facilitate work with unions and employers on implementing worksite tobacco restrictions.

- Hispanic/Latino Tobacco Education Partnership (H/LTEP)**:** H/LTEP conducts advocacy campaigns and provides technical assistance, and trainings on Hispanic/Latino population tobacco control. This project provides technical assistance and training related to: policy/advocacy, cultural competency, community mobilizing/organizing, and cessation, secondhand smoke campaigns including our successful Regale Salud campaign, work with apartment managers, owners, tenants and other members of the housing industry to achieve smoke-

free housing, data, fact sheets, how-to tool kits on secondhand smoke, cessation and countering industry sponsorship, working with policy/decision makers, translation reviews and educational materials, and links to Spanish speaking spokespersons.

- Lesbian, Gay, Bisexual, and Transgender Tobacco Education Partnership (LGBT): The California LGBT Tobacco Education Partnership provides LGBT-specific technical assistance and training services to CDHS/TCS-funded projects. This project works with California's Legislative LGBT caucus members to resist tobacco industry donations, advocates for smoke-free policies at LGBT Pride events in order to reduce secondhand smoke exposure and to challenge community norms regarding tobacco use. The LGBT Partnership helps CDHS/TCS-funded projects to identify their LGBT community, develop education materials for the LGBT community, and to better understand LGBT issues.

- Resources and Education Supporting People Everywhere Controlling Tobacco (RESPECT): RESPECT provides public health agencies and community-based organizations with reliable information to reduce the 30% smoking rate of California's Low Socio-Economics Status (Low SES) community and to protect all low income Californians from exposure to Secondhand Smoke (SHS). They promote the services of the California Smokers' Helpline using low literacy materials, provide training on low SES tobacco control issues, develop and disseminate educational materials for use with this population, and conduct educations efforts targeting the public about the burden of SHS and tobacco-related diseases among low-income Californians.

Direct Service Providers

- California Smokers' Helpline: The California Smokers' Helpline (1-800-NO-BUTTS) is a free, statewide, research based tobacco cessation program operated by UCSD. Callers are offered self-help materials, a local resource listing, and on-the-spot customized telephone counseling. By choosing counseling, smokers may have coverage for quitting aids such as the patch or Zyban through MediCal or their private insurance. Those who choose counseling will receive up to five follow-up calls after their initial call. Helpline services are available in five languages: English, Spanish, Korean, Vietnamese, and Chinese (Mandarin and Cantonese), as well as a TDD line for the deaf and hard-of-hearing. There are specialized services for teens, pregnant women, and tobacco chewers.

  For more information about the California Smokers' Helpline go to www.nobutts.edu or for cessation help call:

  English 1-800-NO-BUTTS (1-800-662-8887)
  Spanish 1-800-NO-FUME (1-800-456-6386)
  Mandarin & Cantonese 1-800-838-8917

Vietnamese 1-800-778-8440
Korean 1-800-556-5564
TDD/TTY 1-800-933-4TDD (1-800-933-4833)
Chewing Tobacco 1-800-844-CHEW (1-800-844-2439)

- Tobacco Education Clearinghouse of California (TECC): TECC offers the following services to CDHS/TCS-funded projects: complete sales catalog of low/no cost tobacco education materials; technical assistance to develop education, promotional and incentive items; a full-service library which features an online catalog of resources known as "Rover". Rover is easily searchable with a collection of over 25,000 tobacco education, program management, and material development resources which can be borrowed from the TECC Resource Library. Rover also features announcements, e-notices to keep users current with new tobacco control research, program, and educational resources. Users can also utilize Rover to manage their own research/bibliographies. Includes a direct connection to "Ask the Librarian" for research assistance. The Rover online catalog can be found at www.tcsrover.org beginning March 2007 (estimated start date).

106 Statewide Media Campaign

The statewide Tobacco Control Media Campaign (TCMC) consists of a Tobacco Control Media Campaign (TCMC) and a Tobacco Control Public Relations Campaign (TCPRC). Both include linguistically and culturally relevant ethnic-specific campaigns. The media campaign utilizes thought-provoking messages to effectively communicate the dangers of tobacco use, the impact of secondhand smoke (SHS), and the tobacco industry's marketing ploys. Public relations efforts include communications planning and implementation, media relations and advocacy, technical assistance to local programs, grassroots coalition building, promotional event development, news conference coordination, media alerts and press releases, and media monitoring. The advertising and public relations components work synergistically to delivering clear, powerful messages, with the greatest reach and frequency possible.

107 Evaluation

Adult and youth tobacco knowledge, attitudes, and behavior are tracked through telephone, web-based, and in-school surveys. These surveys also provide information about public opinion and knowledge related to tobacco use, which enables the other tobacco control components to appropriately target their education and media outreach. Additionally, both in-house and independent evaluations of all tobacco control components are conducted to monitor progress towards reaching program goals and objectives, and to determine which strategies are most effective in reducing tobacco use.

CHAPTER 200
PROGRAM OPERATING PRINCIPLES

CDHS/TCS has developed the following program operating principles for tobacco education activities in the state.

CDHS/TCS is committed to providing leadership and resources to achieve a 75 percent reduction in tobacco use in California (currently at 60 percent). CDHS/TCS advocates a social norm that creates a tobacco-free lifestyle and environment for all Californians. Toward these ends, CDHS/TCS encourages programs to:

1. Empower local decision-making through broad-based community participation.

2. Recognize cultural diversity and maintain respect for cultural traditions.

3. Encourage innovative and multi-dimensional models for health education.

4. Create a partnership among communities, schools, worksites, health care organizations, and government.

5. Recognize individual and community rights to self-determination.

6. Recognize the likely need and prepare for major shifts in program emphases as conditions change.

7. Recognize the critical importance of using interventions that focus on involving the family and community rather than only individuals. Programs must tap into the social context of individual behavior. Individuals, whether young people or adults, interact within a vast complex of relationships, organizations, peer and reference groups, as well as work, personal growth, religious, and recreational activities.

8. Recognize the paramount importance of program cost-effectiveness. In order for programs to be replicable throughout California, they must be financially feasible. There are a number of ways cost-effectiveness can be enhanced:

    a. Institutionalize interventions into worksites, schools, community networks and the health care system.

    b. Emphasize interventions that create generational change. This is particularly important in regard to young people. We know, for example, that youth are more likely to use tobacco if their parents use tobacco. Therefore, reaching parents and other intermediaries such as coaches can help break the chain and reduce program costs over time.

c. Emphasize interventions that last. Policy development is of key importance to changing community norms about tobacco. Social norm change through organizational, community, and business policies, whether creating a smoke-free workplace or school, a community ordinance to restrict the tobacco industry, or a commitment from a community or educational institution NOT to accept tobacco industry money to support sports or cultural events, all have lasting impact on thousands of people.

d. High risk priority populations must be major targets of programs since they are major targets of the tobacco industry. The tobacco industry is a heavy sponsor of organizations that target these populations and is responsible for the proliferation of advertising directed to priority population communities.

CHAPTER 300
PROGRAM REQUIREMENTS

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#01 TOBACCO CONTROL COALITION/ADVISORY COMMITTEE REQUIREMENTS

Adopted 02/94
Chapter 300 Revised 12/06

1. Local Lead Agencies shall establish a tobacco control coalition or integrate issues of tobacco control into an existing coalition. Additionally, some competitive grant procurements may require projects to recruit and maintain an advisory committee. Projects that are required to form and maintain a coalition or advisory committee are to organize these bodies in such a way that they:

   - Obtain the participation and involvement of local community organizations with special experience and expertise in community health education against tobacco use and representatives of high-risk populations.

   - Assist in the development and implementation of community tobacco control efforts.

   - Develop and demonstrate widespread public support for issues, actions, and unmet needs.

   - Maximize the power of individuals and single groups and agencies through joint action for the purpose of creating a "critical mass."

   - Mobilize the talents and resources of multiple individuals, groups, and agencies to promote tobacco education and control strategies.

   - Provide a united voice to respond to the tobacco industry.

2. The organizational structure of the coalition or advisory committee is flexible and may include:

   - Forming a centralized coalition or advisory committee that serves the entire health jurisdiction, region or state.

   - Forming a decentralized coalition or advisory committee based in communities or based on issues.

   - Integrating tobacco control issues into an existing coalition or advisory committee.

   - Creating a separate campaign committee to focus on passage of policies or enforcement of existing polices.

3. Membership: Coalitions and advisory committees are to recruit a diverse membership and strive to include representatives beyond traditional health, education, and social service organizations. Local Lead Agency coalition membership should be geographically balanced and include ethnic and other priority population representation comparable to the make-up of the area. Outreach should be made to include CDHS/TCS funded grantees in the Local Lead Agency coalition.

4. Coalition and advisory committee members shall serve without compensation, but members may be reimbursed for necessary travel expenses incurred in the performance of their duties as a coalition member.

5. Tobacco control coalitions and advisory committees are to have formalized operating rules and procedures (e.g., by-laws) that include:

   - A description of the coalition's or advisory committee organizational structure;
   - A mission statement;
   - A definition of the roles and responsibilities of members, appointment to the coalition/advisory committee, length of membership, and meeting frequency;
   - A process for new member orientation;
   - An assessment of members, no less frequently than every 18 months, to monitor coalition/advisory committee functioning and member satisfaction using assessment instruments identified by CDHS/TCS or others acceptable to the coalition/advisory committee.
   - The creation of a standing committee charged with recruiting new members.

6. The chair of the coalition/advisory committee may not be from the administrative agency that functions as the facilitator of the coalition/advisory committee.

7. Agencies responsible for facilitating the coalition/advisory committee are to develop a process for recruiting and orienting new coalition/advisory committee members.

8. Agencies responsible for facilitating the coalition/advisory committee are to periodically provide training on coalitions/advisory committees to members and review operational procedures with coalition/advisory committee members.

9. Agencies responsible for facilitating the coalition/advisory committee are to develop communication systems to keep coalition/advisory committee members fully informed for both urgent (rapid response) and routine communication needs.

10. Agencies responsible for facilitating the coalition/advisory committee shall provide staff, logistical assistance, training, budget support, and other assistance as needed by the coalition/advisory committee.

#02 HEALTH EDUCATION PROGRAM REQUIREMENTS

Adopted 02/94
Chapter 300 Revised 12/06

The following are health education program requirements which are to be used by CDHS/TCS funded agencies and their subcontractors to design and implement health education strategies. Programs are to:

1. Focus on community norm strategies which are likely to be institutionalized and to apply current research findings regarding the effectiveness of policy, media, and program strategies.

2. Focus greatest effort and resources toward the priorities of: 1) countering pro-tobacco influences; 2) reducing exposure to environmental tobacco smoke; and, 3) reducing the demand and availability of tobacco products through commercial sources.

3. Be comprehensive in nature and use community education, paid media, media advocacy, policy, training, surveys, and other activities to work in a coordinated and focused fashioned to achieve outcome-oriented objectives.

4. Reflect coordination and collaboration with the efforts of Local Lead Agencies, competitive grants, statewide projects, priority population partnerships, pilot projects, and statewide initiatives.

5. Reach out to and include groups having access to, knowledge of, and experience with target groups, but who are not currently involved or receive tobacco tax funding. Such groups include, but are not limited to churches, housing projects, law enforcement agencies, professional organizations, youth groups, schools, chambers of commerce, business groups, and unions.

6. Be designed with the assistance of representatives of target populations and intervention groups. They shall be conducted with the participation or support of organizations or individuals from the target populations or from organizations serving those populations.

7. Mobilize the community to demonstrate support for educational, policy, and enforcement activities. This may include: conducting letter writing campaigns, press conferences, community forums, obtaining resolutions from community groups, obtaining organizational endorsements, generating opinion editorials, meetings with key community leaders or agencies, creating new alliances with groups such as civil rights organizations, chambers of commerce, women's groups, community beautification groups, law enforcement agencies, alcohol and drug professionals, mental health organizations, etc.

8. Build the capacity of communities to address tobacco issues through training, surveying, coalition, leadership, and media opportunities, e.g., spokesperson training, conducting surveys, providing leadership opportunities to youth, etc.

9. Identify, document and publicize the presence of tobacco-related problems and demonstrate public support for tobacco control interventions through the media. Documentation of the problem may include youth tobacco purchase surveys, surveys of tobacco advertising, key informant interviews, intercept surveys, telephone surveys, etc.

10. Use paid media, public service announcements and media advocacy opportunities in a coordinated fashion to support national, state, regional, and local policy and educational activities.

11. Pursuant to National Cancer Institute recommendations, tobacco use prevention curricula for youth are to include the following components:

    a. Concentrate primarily on tobacco use and keep separate from other drug, alcohol, or general health issues;

    b. Contain information on the social consequences and immediate physiological effects of tobacco use, particularly as related to peers, parents, marketing, and media influences;

    c. Provide learning experiences related to decision-making, problem solving, and refusal skills;

    d. Include at least two or more sessions; and

    e. Include an evaluation.

12. Tobacco control programs are to be culturally and linguistically appropriate for the target populations and intervention groups.

13. Program evaluation shall be built into tobacco control activities with the minimum percentage, defined in the procurement, to which you responded, of the budget directed toward evaluation activities. Evaluation activities are to be focused on outcomes, but also may include process evaluation and formative research.

#03 EDUCATIONAL AND MEDIA MATERIALS, INCENTIVE AND PROMOTIONAL ITEMS

Adopted 02/94
Chapter 300 Revised 12/06

The following requirements apply to the use and development of: 1) educational materials, 2) media materials, 3) promotional items, and 4) incentive items developed with funds from CDHS/TCS. When all four types of materials are referenced, they will be referenced as "materials," otherwise the type of materials will be specified as described below.

1. Examples of Materials

a. Educational materials are items such as brochures, books, booklets, curricula, tip sheets, fact sheets, posters, videos, and games.

b. Media materials are items such as television, radio, print, web, outdoor or in-store advertising. For this reference, media materials do not include such items as press releases or newspaper articles.

c. Promotional and incentive materials are items such as T-shirts, pencils, stickers, balloons and water bottles.

2. Technical Assistance

a. Educational, Promotional and Incentive Materials

The Tobacco Education Clearinghouse of California (TECC) is responsible for the coordination, review and statewide distribution of selected materials. **PRIOR** to developing educational, promotional or incentive materials, agencies **MUST** first contact the Tobacco Education Clearinghouse of California (TECC) Technical Assistance staff at 1-800-258-9090 to conduct a materials search to determine if similar, topic-related or audience appropriate materials were previously developed. This is a **MANDATORY** requirement in order for CDHS/TCS to ensure non-duplication and statewide coordination.

Projects that receive funding for materials development are to work with TECC on development of new material, ensuring that facts are correctly cited, pre-testing of the material for accuracy, effectiveness, literacy level and cultural appropriateness, and to ensure professional production values.

Note: *For more extensive policy information on the adaptation of materials developed with CDHS/TCS funds, see Policy #17, Process to Request Use and/or Adaptation of Educational or Media Materials Produced with CDHS/TCS Funds.*

3. Development of Materials

Projects that are a part of the Online Tobacco Information System (OTIS) and that are developing substantive original materials must complete the Materials Development Form in OTIS. These materials include educational, advertising, promotional items, and incentive items having the potential for use and distribution statewide and that reflect a high quality development process.

The Materials Development Form is not completed for materials such as a flyer, press release, or packet of materials containing brochures and policies already available through the TECC catalog. It is not completed for one-of-a-kind materials not meant for mass distribution such as posters created by youth for a poster contest. Each material for which the Materials Development Form is completed must also be described in the body of the Intervention Activity Plan. Projects developing materials are required to ensure that:

- Information included in the material is factually correct, with appropriate citation of source material using a standard method for citing sources such as the *Chicago Manual of Style.*
- The material is free of grammatical, punctuation, and spelling errors.
- The material is appropriate for the target audience, as confirmed through field/pilot testing.
- The reading level of the material is appropriate for the target audience.
- Permission to use copyrighted material and artistic, photograph, and model releases are obtained and retained.

4. Acknowledgement

a. Educational Materials

Educational materials developed with CDHS/TCS funds must include the following wording, “This material was made possible by funds received from the California Department of Health Services, under contract # XX-XXXX.”

b. Media Materials

Media materials (e.g., billboards, TV ads, radio ads, etc.) may have an abbreviated version of this acknowledgement, i.e., “Funded by California Department of Health Services.” Media materials must acknowledge the agency that is placing the advertising.

c. Incentives/Promotions

Incentive and promotional materials may omit the acknowledgement if there is a space limitation or the attribution interferes with the image of the piece.

5. Materials Development Submission Requirements

a. Progress Reports

Submit originals of educational and media materials and promotional/incentive items developed during the report period with both copies of the progress report submitted to CDHS/TCS. For promotional/incentive items, you may include one (1) original with the original progress report and include a clear photo or photocopy of the items with the second copy of the progress report. One copy of the material is retained in the agency's permanent contract file and the second copy is filed in the CDHS/TCS Resource Room.

b. TECC Materials Intake

When a new material is created it must be submitted to TECC for review and consideration for statewide distribution through the TECC catalog.

Submission Requirements:

- Two (2) originals;
- Completed Material Development Report accessed through OTIS or for those agencies not part of OTIS; the form is also available on the TECC web site at www.tecc.org;
- Results of pre-testing for literacy level and cultural appropriateness; and
- Copyright/distribution agreements and photo releases, if appropriate.
- Field test, pilot test, or expert review evaluation findings.
- Translations of materials submitted in languages other than English.

Note: *Pre-testing or pilot testing of the messages and images of a material being developed or adapted for effectiveness, literacy level, and cultural appropriateness with the intended audience is required by CDHS/TCS. The use of focus groups is recommended; however, one-to-one interviews or intercept surveys with the intended audience can also be used.*

The materials submitted to TECC are in addition to the materials sent in with your progress report. **Materials should be submitted to TECC as they are completed.** The materials are assessed by an internal TECC

review process and external Materials Review Committee for inclusion in the TECC sales catalog. Materials submitted to TECC without appropriate copyright/distribution agreements and photo releases may not be considered for statewide distribution.

c. Master Copies

TECC or CDHS/TCS may request camera-ready artwork and/or master copies for future reproduction purposes. Each agency that employs subcontracts is responsible for submission of any subcontractor's camera-ready artwork and/or master copies if requested by TECC or CDHS/TCS.

Master copies are digital files including fonts, images and other links on zip or compact disks. The following graphic design and image software programs are preferred for the material to be considered for inclusion in the TECC sales catalog: PageMaker 5.0-6.5; QuarkXpress 4.0; Illustrator 7.0-8.0; Photoshop 3.0-5.0; and MS Photo Editor. For video masters submit BetaCam tapes.

It is highly recommended that agencies have at least two master copies created at the time a material is developed; one that your agency retains and the second for TECC.

6. Contract/Administrative Issues

a. When using the consulting services of an artist, writer, or designer for the development of materials, all agencies must indicate "Work for Hire" on contracts and invoices. Please see the CDHS/TCS copyright language provided below that is to be included in all subcontracts and consultant agreements. This will ensure that the copyright belongs to CDHS/TCS and that CDHS/TCS has the authority to make derivative works and that no residual costs will be incurred by CDHS/TCS for additional printing or use.

> ***The following provision must be included in all subcontract agreements: "The subcontractor grants the State of California copyright interest in any Works created, provided, developed or produced under the agreement and ownership of any Works not fixed in any tangible medium of expression and agrees to assign those rights to the State. For any Works for which the copyright is not granted to the State, the State shall retain a royalty-free, non-exclusive and irrevocable license throughout the world to reproduce, to prepare derivative Works, to distribute copies, to perform, to display, or otherwise use, duplicate or dispose of such Works in any manner for government purposes, and to have or permit others to do so."***

b. All agencies must print the following on any invoices for duplication services of materials: "All _____ (e.g.: artwork, type, electronic files, or photographic film or video/audio tape) created or submitted for reproduction is the property of the California Department of Health Services. Acceptance of this order indicates agreement of these terms."

c. If any material to be developed involves any copyright limitations (e.g., talent fees, limits on distribution, stock photography royalties), agencies must get CDHS/TCS approval prior to the development of the material.

d. When using the image or likeness of an individual in an educational or media material and promotional/incentive item, agencies must ensure that the individual has signed a consent form or photo release. Agencies shall obtain an additional consent form from the parent or legal guardian of individuals under 18 years of age.

Note: *Subcontract and consultant agreements and/or photo releases must be completed and include the required CDHS/TCS copyright language even if no monetary payment is part of the transaction.*

e. Agencies are not allowed to profit from the sale of materials created through the use of CDHS/TCS funds. In some cases, agencies are allowed to recoup material duplication/distribution costs on a cost-recovery basis only. The agency must contact CDHS/TCS to obtain PRIOR APPROVAL to generate revenue or if they are considering private distribution of materials.

f. No video or portion of one can be edited and incorporated into another educational video without the express written permission from the CDHS/TCS.

7. Content Issues

a. Educational materials are to be developed as part of an educational intervention which includes other activities, and are never to be the sole source or method of education except those designed for self-help.

b. Materials must be scientifically and technically accurate and original source information must be cited. When listing references, CDHS/TCS recommends that the guidelines of the *Chicago Manual of Style* be followed.

c. Materials must be pre-tested with the intended target group prior to their use for accuracy, appropriateness, and effectiveness. The use of focus groups for this process is highly recommended.

d. Materials must be tested for literacy levels and developed at the levels appropriate for the intended target group(s).

e. Messages must address themes based on research shown to be effective in discouraging tobacco use among the target group(s).

f. Materials may not contain offensive or misleading messages, and may not personally attack, put down, or blame tobacco users, e.g., messages may not focus on smokers as "losers."

g. Educational materials shall not be used to promote religious ideology. Tobacco education materials designed for use in a faith-based setting must have tobacco education as their primary purpose and they can neither advance nor inhibit religion.

h. No materials shall feature the image, voice, or identifiable views of any elected public official or candidate for public office.

8. Educational Incentives

a. How Incentives May Be Used: Tobacco education projects may use incentives to reinforce or motivate a change in behavior. Incentives are only to be given to participants attaining a pre-specified goal. Incentives may be awarded to individuals, businesses or groups for making a positive behavior or policy change, e.g., quitting smoking, adopting a voluntary smoke-free outdoor dining policy, or endorsing the Smokefree Movies campaign. They may also be awarded to adult and youth volunteers in your program to reward and reinforce participation in the Communities of Excellence Needs Assessment process, participating in beach cigarette litter clean-ups, participating in youth tobacco purchase surveys, being an exemplary spokesperson for policy initiatives, etc.

b. Types of Educational Incentives: Incentives can be both tangible and intangible in nature. To be most effective, both forms of incentives should be used, for example, giving a reward along with public recognition for meeting specified goals.

An example of a tangible incentive in a youth tobacco control advocacy project is to give youth participating in surveying and media activities T-shirts, following the completion of surveying activities. Other examples of a tangible incentive in a prevention intervention are: (a) the awarding of merit badges to youth participating in a series of tobacco education and empowerment activities, or (b) awarding of gift certificates to youth participating in a prevention activity and who sign pledges to be tobacco-free for one year. In both of these examples, incentives are used

to change or reinforce behaviors. An intangible incentive would include writing letters of recommendation for students applying to college or the opportunity to be featured in the media or a video about youth advocacy.

c. Limitations:

1) **Cash awards are not permitted as an incentive.**

2) **The value of an incentive is limited to $50 worth of merchandise per person per year. The award amount cannot be pooled to exceed the $50 per person per year limit; however, awards over the $50 limit may be provided by soliciting donations from the community.**

3) The value of the incentive must be commensurate with the degree of behavior change sought. As such, a significant behavior change, such as quitting tobacco use and remaining tobacco-free for a 6-month period, may merit a large award with a value of $40 to $50. A less significant behavior, such as attending each cessation class may be rewarded with an incentive of more modest value (e.g., $5).

d. Tips on Using Educational Incentives:

1) It is best to provide a series of small incentives for the initiation of intermediate changes, which could be for the reduction of smoking and given on the selected quit date. Larger incentives should be awarded after the intervention is concluded, and in the case of cessation, when the behavior change can be documented, e.g., smoke-free one month after the conclusion of the cessation program.

2) Incentives can be used to motivate participants to try again after a slip or relapse.

3) Incentives may be used to motivate or reinforce institutional change, e.g., plaques may be given to businesses or worksites that support non-smoking policies or businesses that reduce the amount of tobacco advertising in their stores.

4) It is important to reinforce the behavior change or maintenance of positive behavior by clearly stating how the person earned the incentive when it is given.

5) If possible, incentives should reinforce other healthy behaviors, e.g., a pass to a recreational or cultural event, or reinforce other tobacco education efforts in the community, e.g., a gift certificate to a store that has removed its tobacco advertising.

6) The value that the target population places on the incentive item should be considered. Youth may value sports equipment, amusement or movie tickets.

9. Food Incentives

a. Food/refreshments are an allowable incentive item which may be purchased and made available at coalition/advisory committee meetings or to volunteers who have participated in tobacco control related events and activities such as youth tobacco purchase surveys or beach litter clean-ups. Food is recognized as an appropriate incentive that acknowledges appreciation of the participation of people in meetings, events, and activities. Moreover, it is recognized that the provision of food or refreshments is a cultural expectation in many of the communities that tobacco control projects work with and that the provision of refreshments at planning meetings with these communities will facilitate the development of positive relationships.

b. The value of food incentives should be reasonable and budgeted overall at no more than approximately $50 per person per year. For example: yogurt, muffins, coffee and juice for a morning event; sandwiches, fruit, sodas and bottled water for lunch events; or pizza, soda and juice/bottled water for evening events. This is in addition to the other tangible incentives that may be awarded for reinforcing a positive behavior change or for recognizing and reinforcing community participation in tobacco control activities, (e.g., participating in beach cigarette litter clean-ups, serving as an exemplary spokesperson for policy efforts, or making major contributions to the coalition or advisory committee).

c. The food incentive policy does not permit the purchase of meals for staff on CDHS/TCS-funded projects (both Local Lead Agency and competitive grants), nor local health department employees. These individuals are subject to the rules and policies for meal and per diem reimbursement required by the CDHS/TCS contract language or their agency's personnel policies.

10. Promotional Items

a. Promotional items are used to generate visibility and interest in the program. Promotional items may consist of buttons, key chains, hats, T-shirts, etc.

Example: Giving visors to participants in a tobacco awareness walk-a-thon. The intent of the visor is not to facilitate behavior change, but to generate interest and enthusiasm for the program, and to perpetuate a tobacco-free lifestyle or community message when worn.

b. The value of promotional items is to be moderate or nominal in cost.

c. Agencies using promotional items should use those items in a planned manner and require some action on the part of the potential recipient, e.g, complete a tobacco industry knowledge quiz, sign a birthday card celebrating the anniversary of the city's clean indoor air ordinance, smokers sign a tobacco-free honor roll with the number of years they have been tobacco-free.

Materials Development and TECC Intake

Materials Development Report

Print a copy of this report and submit it with the following:

- Two originals of the material
- Results of pre-testing on effectiveness, readability and cultural appropriateness
- Copyright/distribution agreement(s) and/or photo release(s) if applicable.
- Field test results, evaluation data and translation of material if submitted in a language other than English.

Send these items to: TECC Resource Center, 4 Carbonero Way, Scotts Valley, CA 95066

Signature of person completing this form: _____

Agency Name: Test Agency Number 1
Project Name: Project 2.1
Contract Number:

Date Report Generated: 01/10/2007 03:56 PM

Material ID: 1-6-1-M1
Working Title of Material: Example Material
Brief Description of the Content: This is a test of the OTISv2 Materials submission form
Target Audience to be Reached by the Material:

AUDIENCE GROUP(S)

Adults 18 years and older

GENERAL POPULATION GROUP(S)

African
African American/Black

SPECIFIC ETHNIC POPULATION GROUP(S)

Material Format: Audio Tape
Language: American Sign Language
Projected Completion Date: 01/05-06/05
Primary Content: Alternative Tobacco Products
Material Purpose: Influence attitudes about issue

PROGRESS

Contact Name:
Contact Phone Number:
Contact Email: mailto:
Date Completed:

DESIGN STEPS

	Step	Completion Date	Date Sent to TECC
1	**Outlined material goals and objectives**	08/01/2004	8/15/2004
2	**Completed search for similar existing material**	09/05/2004	N/A
3	**Sought consultation on design (i.e., graphic artist)**		
4	**Pilot tested concepts with target audience**		
5	**Conducted readability/literacy test**		
6	**Tested material for cultural appropriateness**		
7	**Completed an external back translation of non-English material (submit English translation)**		
8	**Field tested final material with target audience**		
9	**Conducted evaluation of material with target audience for effectiveness**		
10	**Sent a copy of the field test results and/or focus group analyses to TECC**		
11	**Obtained copyright releases from graphic artist/contractors**		
12	**Obtained model releases for any people in photos**		
13	**Obtained any image releases/contracts used for any purchased stock photography**		
14	**Submitted two hardcopies of the original material developed to TECC**		
15	**Sent all digital source files for materials created (e.g., Photshop, Work, Illustrator, PageMaker, Quark, etc.) and video/audio masters to TCS with the final progress report**		
16	**Sent a completed Materials Development and TECC Intake Form Report to TECC**		

COPYRIGHT AND DISTRIBUTION LOGISTICS

Is the material part of a comprehensive campaign or program?	Yes
Are there any copyright or talent limitations associated with this material?	Yes
Format of Production Quality Master:	
Material Development Cost:	$0.00
Material Duplication Cost:	$0.00
Number of Copies Duplicated:	
Number of Copies Distributed:	

ABSTRACT OF FINAL PRODUCT

#04 USE OF CDHS/TCS FUNDS FOR TOBACCO CESSATION

Adopted 01/96
Chapter 300 Revised 12/06

1. Tobacco control programs MAY:

   a. Administer tobacco cessation programs using self-help, group, community, web-based, and media strategies;

   b. Train health care professionals or others to provide tobacco cessation services or to integrate tobacco use assessment and cessation services into the protocols of an agency with the provision that cessation services will be institutionalized by a specified date.

   c. Work with and provide technical assistance to voluntary health organizations to ensure that priority populations, such as ethnic/racial populations, lesbian/gay/bisexual/transgender, low socioeconomic status, and labor populations, and smokeless tobacco users are served by the cessation efforts of those voluntary health organizations.

   d. Conduct efforts to motivate tobacco users to quit using tobacco products.

   e. Conduct efforts to educate and inform tobacco users about the cessation benefit available to them through either publicly-funded (e.g. Medi-Cal or Medicare) or privately-funded (e.g., employment based or individual insurance programs.

2. Local Lead Agency tobacco control projects may use no more than 10% of their cumulative budget for the provision of direct cessation services. Competitive grant funded tobacco control projects may be limited to the portion of their budget that may be applied to the delivery of direct cessation services through the procurement under which the project was funded.

3. Funds MAY NOT be used to fund health care professionals or lay professionals to provide **individual** tobacco cessation counseling, tobacco use prevention counseling or counseling to decrease exposure to environmental tobacco smoke in health care clinic settings, the home or at the worksite.

4. Funds MAY NOT be used to develop or administer intensive telephone tobacco cessation counseling without explicit written authorization from CDHS/TCS in order to avoid duplication of services with the California Smokers' Helpline.

5. Tobacco cessation methodologies are to incorporate the following:

   a. Elements focusing on the health and social consequences of tobacco use;
   b. Strategies and exercises aimed at quitting;
   c. Relapse prevention; and
   d. Evaluation of quit status at three, six months, and one year and annually determine the cost effectiveness of cessation activities.

6. Tobacco cessation methodologies MAY also incorporate the following (when used as an adjunct to an educational intervention meeting the tobacco cessation criteria described above):

   a. Pharmacological interventions; however, CDHS/TCS funds may not be used to purchase nor reimburse the cost of medications.

   b. Hypnosis techniques.

   c. Acupuncture; however, CDHS/TCS funds may not be used to reimburse staff for performing acupuncture nor for materials associated with performing acupuncture.

7. Tobacco cessation methodologies may not incorporate aversion therapy.

#05 SPONSORSHIP REQUIREMENTS

Adopted 01/96
Chapter 300 Revised 04/04

Definition of Sponsorship

- Sponsorship is a cash and/or in-kind fee paid to a property, event, or organization (typically in sports, arts, entertainment or causes) in return for access to the exploitable commercial potential associated with that property, event, or organization. It is undertaken for the purpose of achieving commercial objectives, and is not philanthropy. It promotes a company (your project) in association with the sponsor (property, event, or organization). Sponsorship is one of the four arms of marketing (advertising, sales promotion, public relations, and sponsorship). A sponsorship can also provide you with access to a live audience, on-site sampling (e.g. of anti-tobacco use materials), and opportunities to survey audiences about tobacco control issues.

- Sponsorship with respect to tobacco control is the promotion of an anti-tobacco use message to an audience attending specific events or venues in the community. The purpose of a sponsorship is to counter the tobacco industry's pro-tobacco use messages or presence in the community and to develop community goodwill for anti-tobacco use educational, media and policy activities. The tobacco control program's sponsorship dollars are to be used as an incentive for community events and/or venues to pass policies rejecting tobacco industry sponsorship and to create smoke-free events or areas. It is likely that a lot of groundwork and relationship building between tobacco control advocates in the community and an event or venue will need to be accomplished in the process of working toward such an objective.

The following are criteria for CDHS/TCS supported sponsorships. Documentation that these criteria were met must be included with progress reports. Documentation may include copies of advertising, photos of signage, copies of tobacco-free policies, and anything that shows what was received in exchange for the sponsorship. Sponsorships are subject to the review and approval of CDHS/TCS and may be denied if deemed to be an inappropriate use of state taxpayer monies. *Please use the checklist attached to this policy as a guideline for approving sponsorships at the local level.*

1. The tobacco industry has a history of sponsoring events and/or venues, such as racing events or racetracks, rodeos, cultural events, community festivals, special

   exhibits, county fairs, stadiums, or professional or minor league ballparks. Your project should sponsor these types of events in your community to prevent and/or end the sponsorships provided by the tobacco industry.

2. Youth events and activities generally are inappropriate Proposition 99 sponsorships because the Master Settlement Agreement (MSA) has already disallowed the tobacco industry from providing youth-focused sponsorships. Some exceptions may be made for rural counties where other sponsorship opportunities may not exist, or where it is evident that the sponsorship is building a relationship with the community to pursue stronger policy work in the future. These types of exceptions must be approved on a case by case basis by the Program Consultant (PC) and Contract Manager (CM) assigned to your project.

3. Health fairs are NOT sponsorships and will be denied by CDHS/TCS.

4. The project is to receive something tangible in exchange for being the sponsor. The larger the financial commitment, 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, radio or television publicity, public announcements at the event and/or cross promotions with other sponsors.

5. As the sponsor, the project should negotiate that the events sponsored with tobacco control funds be tobacco-free, or at a minimum, have designated smoking or non-smoking areas, e.g., no smoking in the carnival areas of fairs, designated non-smoking areas in the stadium at a rodeo or racetrack. Another aspect of negotiation of a sponsorship agreement might include a written non-acceptance of tobacco industry funds policy to be adopted by the event organizing body (board) or by the venue where events are held (such as a rodeo arena, racetrack grounds, or fairgrounds). Information and model policies for fairgrounds, rodeos, and other event venues are available from the CDHS/TCS-funded legal and policy projects or on the PARTNERS Project SMART Money web page.

6. Tobacco control funds are not to be viewed as a long-term replacement of tobacco company sponsorships or financial support to any one individual, team, group, event, or organization. Therefore, a sponsorship is limited to two (2) years unless it is otherwise justified and receives prior approval by your PC and CM.

7. Sponsorships are typically for $1,000 - $2,000. An exemption may be sought from CDHS/TCS if there are special circumstances – these will be decided on a case by case basis.

8. Any individual performer, team, group, event, organization, or venue sponsored with tobacco control funds must prominently display a large sign or banner that

   promotes an anti-tobacco message AND the name of the sponsor (i.e., the project or organization's name). The project may not sponsor an event or venue that is currently receiving tobacco company sponsorship. It is possible to obtain

a venue policy prohibiting tobacco sponsorship even for events that are sponsored at the national level by a tobacco company. For example, Pro Rodeo Cowboys Association (PRCA) rodeos are sponsored nationally by Copenhagen, but if the rodeo arena in a particular city has a venue policy prohibiting such sponsorship, the Copenhagen scoreboard, flag, and banners would not be allowed into that particular arena.

9. Publicity promoting the individual performer, team, group, event, organization, or venue is to include an anti-tobacco use message AND the name of the sponsor (i.e., the project or organization's name).

10. Sponsorships must be outlined in the Scope of Work and budgeted in a separate line item labeled "Sponsorships."

Checklist for Evaluating the Likelihood of a Sponsorship Match

(Adapted from International Events Group, IEG Inc.)

Use this checklist as a guide to evaluate events or venues that you should approach in your community with sponsorship monies, or when being approached by events or organizations seeking sponsorships. This is merely a guide to help you think about what should be included in your sponsorship agreement – not every box needs to be checked, but you should think about each of the issues listed. The more boxes checked, the more likely it is that the sponsorship match will be approved by CDHS/TCS.

☐ Image Compatibility

- ❒ Does the event offer the imagery and/or lifestyle that my program is trying to establish and with which we want to be associated? *(Is it a smoke free event? Does it have smoke free areas? Does it have a high profile in the community?)*
- ❒ Are the other co-sponsoring companies those with whom my program wants to be associated? *(Does the event have any continuing tobacco sponsorship? If so, the sponsorship is NOT appropriate.)*

☐ Audience Composition/Reach

- ❒ Does the event or venue attract the audience that my program wants to reach?
- ❒ Is this sponsorship opportunity in the geographic market that my program wants to impact?
- ❒ Does the audience feel a strong sense of ownership or identification with the venue or event?
- ❒ What is the extended reach of the event or venue? Are there on-site spectators? Television viewers?

☐ Ability to Leverage/Additional Promotional Opportunities

- ❒ Can my program conduct cross-promotions with appropriate cosponsors?
- ❒ Does the opportunity occur during a time that we would like extra visibility in the community? *(What other tobacco control activities are going on in the community?)*
- ❒ Is the promotional time frame of the sponsorship defined clearly, and will it meet program needs? *(Year round? One season? One event?)*
- ❒ Are there opportunities for display? *(May we have an educational booth at the event?)*

☐ Media Coverage and Recognition

- ❒ Is the event appealing – in a positive way - to the media?
- ❒ Can the event draw broadcast and print coverage?
- ❒ Will my program be recognized in that coverage?
- ❒ Can the event attract a TV or radio broadcast?
- ❒ Will my program's signage show up on the TV broadcast or be mentioned on-air?

☐ Communicate Product Attributes

- ❒ Can my program's message be worn while participants compete or perform?
- ❒ Can my program's message be showcased as a key element of the event?

☐ Efficiency

- ❒ Does the event or venue deliver to a wide audience?
- ❒ Is the relationship between the cost of sponsorship and the value received appropriate?
- ❒ Does the sponsorship's cost compare with that of similar properties?
- ❒ Is this the most cost effective means to get the results I am looking for?

☐ Measurability

- ❒ Does the event or venue conduct regular surveys or tracking studies that could be shared with my program and/or that might include questions developed around tobacco sponsorship? *(Can I include public opinion questions around the issue of tobacco sponsorship and smoke free areas within the event?)*
- ❒ Does the event or venue lend itself to measuring the reach and impact of the sponsorship you are offering? *(Do they track audience demographics? Do they collect attendance data?)*

☐ Ability to Extend

- ❒ Does the sponsorship contain spin-off opportunities? *(If I sponsor a racing team, will I have the opportunity to approach racetrack owners/operators regarding implementing smoke free areas?)*
- ❒ Is the sponsorship something my program can build upon? *(If I sponsor a Pro-Rodeo Cowboy's Association rodeo that agrees to eliminate the Copenhagen scoreboard and not announce livestock names that contain tobacco brands, can I do the same for a Professional Bull Riders event at the same venue and build toward getting a venue policy passed?)*

☐ Ease of Administration

- ❒ Is the event well organized?
- ❒ Are event staff specific about what the sponsorship includes?
- ❒ Can the event/venue deliver what they have promised in exchange for the sponsorship? *(Do I have a signed board policy or venue policy in hand?)*
- ❒ Do I have staff to properly administer the sponsorship? *(Will someone attend the event to make sure we get what was agreed to and document this for the progress report? Will there be staff to conduct surveys at the event if needed? Do we need staff for an information booth?)*
- ❒ Does the event have a credible track record? *(Is it a well-established community event with a consistently large audience?)*
- ❒ Will the event/venue work with us to capitalize on the sponsorship by initiating cross-promotions via sponsorship workshops or producing post-event reports?

- ❒ Is the lead time sufficient for staff to develop materials/deliverables collateral to the sponsorship in order to maximize the effect?

☐ Risk Factors

- ❒ If the sponsorship fails to meet our objectives, can we withdraw without suffering adverse consequences, such as public dissatisfaction?
- ❒ Is the event/venue financially stable?
- ❒ Will the event/venue audience feel that our message is making a positive difference in the event?
- ❒ Have we made sure that there are no venue restrictions that might cause conflict with our program or message?

#06 SUBCONTRACT AGREEMENT REQUIREMENTS

Adopted 12/06

Chapter 300

The subcontract agreement requirements stated here apply to competitive grantees only. CDHS/TCS does not review Local Lead Agencies subcontract agreements.

The term "subcontractor" includes any individual or entity, which enters into a subcontract agreement with the grantee for performance of any part of the grant with CDHS/TCS.

1. CDHS/TCS will review and approve subcontract agreements that are greater than $50,000 (except as noted in item 2.). Please refer to Section I, Administrative Section of the Competitive Grantees Administrative and Policy Manual, Chapter 600, Subcontract Requirements for instructions.

   Subcontract agreements that are $50,000 or less will not be reviewed by CDHS/TCS (except as noted in item 2.); however, the grantee will certify that the subcontract agreement adheres to the CDHS/TCS subcontract requirements (refer to Section I, Administrative Section of the Competitive Grantees Administrative and Policy Manual, Chapter 600, Subcontract Requirements). A subcontract agreement certification must be submitted to CDHS/TCS. The complete subcontract agreement and a copy of the certification form will be retained by the agency.

2. Evaluator subcontract agreements regardless of the amount will not be reviewed by CDHS/TCS **if** the Evaluator is identified in the grantee's initial scope of work (SOW) and in the budget, and their qualifications, activities, and costs are approved in the final SOW and budget justification process. A subcontract agreement certification must be submitted to CDHS/TCS.

   If the grantee has not identified the Evaluator and the grant is fully executed, the grantee will need to submit the Evaluator subcontract agreement for CDHS/TCS review and approval. Please refer to Section I, Administrative Section of the Competitive Grantees Administrative and Policy Manual, Chapter 600, Subcontract Requirements for instructions.

#07 YOUTH TOBACCO PURCHASE SURVEY REQUIREMENTS

Adopted 01/96
Chapter 300 Revised 04/04

The following requirements shall be followed by agencies when conducting youth tobacco purchase surveys:

1. Agencies may use either consummated buys or attempted buys for conducting youth tobacco purchase surveys. A list of the pros and cons of each of these formats can be found immediately following this policy.

2. Agencies who conduct consummated purchase surveys must first obtain immunity from prosecution under Penal Code 308 for youth volunteers to conduct the survey from your county's District Attorney, Chief of Police or County Sheriff. For those who conduct attempted purchases, you **do not** need to obtain immunity from prosecution for youth volunteers. As a courtesy and for safety purposes you still need to get support from and coordinate with local law enforcement.

3. Agencies should notify one another and coordinate youth tobacco purchase surveys conducted in the region with Local Lead Agencies and other competitive grantees as appropriate to avoid confusing the local law enforcement agencies and the media.

4. CDHS/TCS is to be notified of the date and locations prior to tobacco purchase surveys being conducted in an area.

5. Youth participating in the purchase surveys should preferably be between 15 and 17 years of age and include an approximate equal gender representation. Efforts must be made to ensure appropriate ethnic representation to match the communities being surveyed.

6. Teens must receive a minimum of one hour of training on the survey protocol.

7. Safety of the youth participants must always be placed first and appropriate safety measures followed at all times.

8. Informed consent and a liability waiver must be obtained from all adult and youth survey participants prior to their participation in any survey activities. Documentation of valid California driver license is required of all adult drivers.

9. Agencies are required to use CDHS/TCS protocols and procedures for conducting youth tobacco purchase surveys including the youth purchase survey instrument, forms, and data collection procedures (for consummated or attempted purchase surveys).

10. The agency shall develop a random sample of retailers (to include grocery stores, gas/convenience stores, liquor stores, convenience stores, drug stores/pharmacies, gas stations only, restaurants, and others) for self-selected geographic area to be surveyed. CDHS/TCS may be contacted for assistance in generating random lists, and for sample size. A replacement list will also be generated. Stores may be contacted prior to the survey to confirm their correct address, and that the store sells tobacco, however, precautions must be taken not to alert the store of an upcoming purchase survey.

11. Results of the purchase survey should be disseminated to policy-makers, including local elected officials and community leaders, through media channels (press conferences, news releases, press kits), and other appropriate mechanisms to generate support for action to decrease youth access to tobacco. Results should be posted on PARTNERS.

12. A report of the results is to be sent to CDHS/TCS, and is to include, at a minimum: purchase protocol, survey instrument, survey methodology, buy rate for each area surveyed, and barriers/facilitating factors in conducting the survey.

13. Agencies shall submit a copy of survey data on disk to CDHS/TCS within one month following completion of the survey. The preferred format for submitting data is on Epi-Info or in ASCI format.

14. Stores surveyed may be contacted following purchase survey to provide feedback (letters of congratulations or disappointment). Educational activities directed to merchants who illegally sold tobacco to youth following a purchase survey include: distribution of merchant education materials, in-store visits, and merchant education training.

SIDE BY SIDE COMPARISON
OF
CONSUMMATED -VS- ATTEMPTED YOUTH TOBACCO PURCHASE SURVEY

	Consummated		Attempted
Pros	Have evidence of a sale and more accuracy. Cigarette pkgs. can be used in press conferences. More closely duplicates the real situation. Youth don't have to be embarrassed by coming up short on money. Helps build commitment among youth volunteers when they see the actual purchases. Disposal of tobacco products can be turned into an advocacy activity by mailing them back to the tobacco companies as gifts of death. Can collect Marlboro Adventure miles and Camel bucks to obtain promotional items for other educational activities.	**Pros**	Easier to obtain law enf. permission. Well received by media because youth stopped the buy. Don't have to spend money on tobacco products. Don't have to track money during the "buys." Philosophically more acceptable to some adults because you aren't encouraging youth to "break the law."
Cons	Have greater difficulty obtaining local law enf. permission for surveys. Some people perceive it as encouraging young people to break the law. Have to budget for buying tobacco although the cost goes down as sell rates are reduced. Have to handle money during "buys" and track it. Budget has to include cost of purchasing tobacco	**Cons**	May tip retailers off that this is a survey. Youth may be embarrassed. Don't have hard evidence of the buy. The picture for the media is less dramatic without the cigarette pkgs.

#08 USE OF PROPOSITION 99 FUNDS FOR ENFORCEMENT ACTIVITIES

Adopted 01/96
Chapter 300 Revised 12/06

1. Proposition 99 funds may not be used to conduct law enforcement activities. They can only be used for purposes specified in the statute. Law enforcement is not within the scope of any of the specified purposes as detailed below.

2. California Revenue and Taxation Code Section 30122 authorizes use of Proposition 99 funds as follows:

   "(a) The Cigarette and Tobacco Products Surtax Fund is hereby created in the State Treasury. The fund shall consist of all revenues deposited therein pursuant to this article. Moneys in the fund may only be appropriated for the following purposes:

   (1) Tobacco-related school and community health education programs.

   (2) Tobacco-related disease research.

   (3) Medical and hospital care and treatment of patients who cannot afford to pay for those services, and for whom payment will not be made through any private coverage or by any program funded in whole or in part by the federal government.

   (4) Programs for fire prevention, environmental conservation; protection, restoration, enhancement, and maintenance of fish, waterfowl, and wildlife habitat areas; and enhancement of state and local park and recreational purposes.

   (b) The funds consist of six separate accounts as follows: .....

   (6) The Unallocated Account, which shall be available for appropriation for any purpose specified in subdivision (a)."

3. Law enforcement activities which MAY NOT be funded include, but are not limited to:

   - Inspections or stings conducted for the purpose of determining compliance with local, state or federal law <u>and</u> issuing a penalty or fine (This should not be construed to mean that Proposition 99-funded programs cannot conduct surveys or evaluation activities to determine compliance with tobacco-related laws);

- Legal fees; and
- Fees associated with due process, court hearings or administrative hearings.

4. Proposition 99 funds MAY be used to:

- Motivate appropriate agencies to conduct enforcement activities;
- Train enforcement agency staff;
- Educate violators of tobacco-related laws;
- Provide educational warning letters, educational materials and signs describing tobacco-related laws;
- Train business owners and employees; and
- Generate or demonstrate public support for enforcement of tobacco-related laws.

#09 COMMUNICATIONS SYSTEM REQUIREMENTS

Adopted 01/96
Chapter 300 Revised 12/06

CDHS/TCS-funded agencies are responsible for coordinating information, referral, and outreach efforts.

1. Agencies are required to subscribe to CDHS/TCS' computer network system known as PARTNERS (See Policy #16) and log on to the web site at least once per week. Agencies are also encouraged to use PARTNERS as a means to disseminate information about their activities and solicit assistance from other PARTNERS users via the Strategy Exchange. To this end, agencies must have access to the Internet and e-mail.

2. Agencies are to use the CDHS/TCS calendar available through both PARTNERS and the Online Tobacco Information System (OTIS) to post major trainings, conferences or events that are of interest to California's tobacco control community or that may facilitate efforts to coordinate events statewide.

3. Agencies are to use the electronic project directory available through OTIS (See Policy #20) for purposes of coordination, collaboration, and to avoid duplication of effort when planning, implementing, and evaluating tobacco control projects.

4. Agencies are to widely publicize and promote the California Smokers' Helpline to the public, health care providers, worksites, schools, and others.

5. Agencies are to tag educational and media materials with the California Smokers' Helpline telephone numbers, as appropriate. Contact the Helpline prior to any mass media promotion of the Helpline telephone numbers so that the Helpline can plan ahead and handle the increase in calls resulting from your promotion.

   English (adults & teens) 1-800-NOBUTTS
   Spanish 1-800-45-NOFUME
   Korean 1-800-556-5564
   Cantonese/Mandarin 1-800-838-8917
   Vietnamese 1-800-778-8440
   Smokeless Tobacco 1-800-844-CHEW
   Hearing Impaired 1-800-933-4TDD

6. Local Lead Agencies should develop a resource directory of tobacco education and control services within the local health jurisdiction and provide this information to the California Smokers' Helpline annually.

7. Agencies are encouraged to incorporate the “undo” campaign into their programs. This includes using the sample “undo” public relations (PR) materials developed by the media campaign and/or working with the CDHS/TCS Media Unit to develop “undo” media messages appropriate for your local program. (Sample “undo” PR materials can be found on the PARTNERS home page, listed under the “undo Campaign Page.”)

   Agency employees are encouraged to include the following “undo” campaign tag line in their e-mail signature line (or work with the CDHS/TCS Media Unit to create their own tag line):

   > Imagine a world without cigarettes. undo tobacco everywhere.
   > www.TobaccoFreeCA.com

   The official format for “undo” is Trebuchet MS, in lower case. This is a standard font on the Microsoft Windows operating systems. The “un” should be in red, the “do” should be black. The words/statements that follow “undo” should also be in lowercase, black Trebuchet MS font.

   Agencies may also incorporate the “undo” campaign into their programs by doing the following:

   - Add CDHS/TCS-approved “undo” campaign slogans and www.TobaccoFreeCA.com to your local ads, flyers, banners and other printed materials.

   - Add a hyperlink to TobaccoFreeCA.com on your program or agency’s Web site.

#10 TRAINING AND TECHNICAL ASSISTANCE REQUIREMENTS

Adopted 02/94
Chapter 300 Revised 04/04

1. CDHS/TCS-funded agencies may provide training and technical assistance on a variety of issues including: policies to control exposure to environmental tobacco smoke, youth access to tobacco, exposure of youth to tobacco advertising and promotions; spokesperson and leadership development; grant writing; how to find alternative funding sources for community events other than the tobacco industry; program planning, evaluation; development of the capacity to manage programs; data collection; legal and policy issues; and other areas of concern.

2. A key goal of training and technical assistance should be to build the capacity of the agency, organization, individual or institution to plan, implement, and evaluate tobacco use prevention and reduction activities.

3. LLAs are responsible for providing training and technical assistance to agencies, organizations, businesses, worksites, cities, law enforcement agencies, retail groups and others involved in tobacco use prevention and reduction activities. LLAs may also be called upon to assist CDHS/TCS-funded grantees with both programmatic and administrative issues.

#11 USE OF CDHS/TCS MEDIA MATERIALS

Adopted 02/94
Chapter 300 Revised 12/06

PRIOR to developing media materials, contact the Tobacco Education Clearinghouse of California (TECC) at 1-800-258-9090, the CDHS/TCS Media Unit at (916) 449-5500, and the federal Centers for Disease Control and Prevention, Office on Smoking and Health (CDC/OSH) to determine if there are already materials available which are appropriate for the targeted audience and advertising strategy. This is a **MANDATORY** requirement and must be documented in progress reports submitted to CDHS/TCS.

Statewide Media Material

CDHS/TCS' Media Unit makes materials available to all CDHS/TCS-funded projects. These media materials include radio and television public service announcements (PSAs), billboards, print materials, and paid radio and television commercials, including ethnic and language-specific materials.

The State has entered into agreements with the Screen Actors Guild, American Federation of Television and Radio Artists, and CDC/OSH. These agreements govern the availability and use of broadcast media. The State's paid radio and television commercials and PSAs cannot be used for broadcast, internet or educational videos unless payments to and contract renewals with the actors and musicians (talent) are current. Use of CDHS/TCS commercials and PSAs must be authorized by the State within strict timeframes to avoid penalty payments, for which the agency could be held liable. Therefore, the State must monitor the distribution and usage of its radio and television advertisements. As funding levels and advertising plans are subject to change, Local Lead Agencies must check continually with CDHS/TCS to confirm availability of broadcast media.

Prior CDHS/TCS media campaigns' advertisements have been transferred to CDC/OSH. Through their advertising contractor, CDC/OSH now maintains the talent payments and contract renewals for these advertisements in order to make these advertisements available to states and health agencies worldwide. Advertisements from the current California Statewide Media Campaign, as well as selected advertisements from prior campaigns, may be available directly from the State. Agencies should allow extra time in their media schedules when advertisements maintained by CDC/OSH are requested.

Following are the general requirements for using *all* materials:

1. Before requesting any media materials from CDHS/TCS, agencies shall develop a media plan and submit it to CDHS/TCS, Media Unit, with a copy furnished to

your CDHS/TCS Program Consultant. The media plan shall include:

- the media to be utilized (e.g., television, magazines, direct mail)
- placement schedules (time periods during which each advertisement will run, and where it will run)
- other agencies' plans for tobacco control ads within the same market area
- plan for coordinating media placement with other local agencies and the State

2. Use of materials must be coordinated with the other tobacco education agencies (e.g., LLAs, competitive grantees and statewide projects operating within the same media market, as well as CDHS/TCS' Media Unit. Changes in the level and targeting of advertising often have a strong impact on the number of requests from the public for information and materials, complaints, as well as utilization of the State's toll-free numbers for tobacco use cessation and other programs. The State must be allowed sufficient notice in order to ensure staff and resources are available in response to shifting demands. In addition, thorough and consistent coordination will avoid ineffective duplication of efforts and ensure that advertising in all geographic regions will be mutually supportive of program goals, cost-effective, and as widely distributed as possible.

3. The "tag" identifying the agency and/or sponsor and Helpline number, if applicable, should be used consistently throughout each media market. See Policy #03, Item 4, for information regarding "tagging" of media materials.

4. Media materials should be chosen to reach the targeted audience cost-effectively. Consult the CDHS/TCS and TECC advertisement summaries, the CDC/OSH, and local media research data in order to determine the best placement and type of media.

5. LLAs are encouraged to promote media materials for use within news or feature stories. There are no restrictions or talent payments associated with incorporation of an advertisement into a news or feature report.

6. The media materials shall not be used for the promotion of any for-profit product, service, or business. No admission fee may be charged for admittance to a presentation of any advertisement. Advertisements shall not be incorporated into a curriculum, powerpoint presentation or media production, such as an educational video. Requests for these types of use must be referred to CDHS/TCS. Small group presentations of an informative nature are allowed.

7. Agencies shall maintain detailed records of distribution of PSAs and paid commercials.

Public Service Announcements (PSAs)

Specific requirements for using the State's PSAs are as follows:

1. PSAs may only be used for broadcast on a public service basis, that is, on donated media time.

2. PSAs shall not be altered or edited in any way.

3. A "tag" (printed titles and/or voiceover) can be added to the PSA, within the space and time allowed.

4. Agencies may copy the PSAs only for broadcast use on a public service basis. Agencies shall not distribute the PSAs to other agencies or organizations. Requests from other agencies and organizations must be referred to CDHS/TCS.

Paid Radio and Television Commercials

The following requirements govern the use of the State's paid radio and television commercials:

1. Commercials shall be aired in their entirety and shall not be altered or edited in any way.

2. A "tag" (printed titles and/or voiceover) can be added to the paid commercial within the space and time allowed. The tag should include information stating who is paying for the commercial broadcast time. The State recommends, "Paid for by [organization's name], funded by the California Department of Health Services."

3. The commercial must be aired on a paid basis only, that is, on purchased media time.

4. Payment for any media time purchased by the agency or its designee shall be the responsibility of the local lead agency.

5. It is essential that agencies coordinate talent payment of the State media campaign. Agencies planning broadcast ads are responsible for paying all talent fees. However, in some cases, talent payment may not be needed. For example, the State's media campaign is using the advertisement and paying talent.

6. Agencies may copy paid commercials only for paid broadcast. Agencies shall not distribute paid commercials to other agencies or organizations. Requests from other agencies and organizations must be referred to CDHS/TCS.

Billboards and Print Materials

1. Payment for billboard and print advertising space purchased by the agency or its designee shall be the responsibility of the agency.

2. The State's billboards and other print materials are produced in limited quantities. Costs associated with sniping (adding Helpline/sponsor information to a billboard or print advertisement), shipping, and additional print runs may be the responsibility of the agency.

Internet Use

Internet and other electronic technology is rapidly evolving, and the Screen Actors Guild commercials contract changes frequently as a result. For any type of media use beyond traditional broadcast and print, contact CDHS/TCS' Media Unit. As Internet use reaches a worldwide audience, the cost is typically prohibitive.

To Request CDHS/TCS Media Materials:

To request media materials, send a fax on your agency letterhead to Sandra Soria at (916) 449-5506. Include your media plan and as much of the following information as possible:

- title and/or description of the advertisement
- where the ad will air or appear
    - number and locations of billboards or newspapers, or
    - number, locations, and call letters of stations
- if outdoor or print, the size(s) needed
- period of time when the ad will run
- local tag copy, if applicable

For Assistance

1. To coordinate media efforts, call Sandra Soria of the CDHS/TCS' Media Unit at (916) 449-5506 or e-mail Sandra at ssoria@dhs.ca.gov.

2. For more information on how to integrate media advocacy into your tobacco control program, refer to the guidelines on the following pages.

GUIDELINES FOR INTEGRATING MEDIA ADVOCACY INTO TOBACCO EDUCATION PROJECTS

The following are guidelines for using media advocacy strategies and should be incorporated into the development of tobacco control projects. These guidelines were developed with support from the Stanford Center for Research in Disease Prevention.

Many media stories result from creative opportunism - seizing opportunities created by unplanned events and the evolving news environment. These opportunities can be prepared for by developing and following a strategic plan that integrates media into the broader scope of the project.

A strategic approach means weaving media throughout all interventions. It does not mean simply good public relations or publicity for your agency or media exposure for tobacco-related stories measured by column inches or broadcast minutes. This can result in a costly and common error of compartmentalizing media activities or segregating them from the foundation of the overall program.

The key steps to integrating media advocacy into your project are:

A. Determine Your Policy Objectives

- Are you working on reduction of youth access to tobacco?
- Are you trying to increase enforcement of youth access to tobacco laws?
- Are you trying to limit tobacco advertising/signs in your community?
- Are you trying to eliminate tobacco sponsorship of local events?
- Are you attempting to build support for enforcement of smoke-free bars?
- Are you trying to reshape public opinion away from the smoker to protecting the public?
- Are you trying to build support for smoke-free multi-unit housing?

B. Determine Your Audience, Channel, Communication Objective, and Resources

1. Audience

    - Are you attempting to educate community decision-makers or the public?
    - If the public, what are their demographics?
        - Where do they get their information from?
        - Who do they think is credible to deliver the message?

2. Channel

- Have you developed an inventory of media organizations in your community?
- Which ones have a history of covering local issues of health and policy?
- What is their circulation/reach of a signal?
- What are the available formats?
- What are the names of key people?

3. Communication Objective

- Are you simply trying to make people aware of a specific tobacco policy issue?
- Are you trying to impart information on environmental issues that support policy?
- Or do you actually want people to take a specific action?

4. Resources

- What is your budget?
- Who on your staff has media experience, contacts or mailing lists?
- What equipment do you have available to you (desktop publishing system; video player, camera, etc.)?

After the audience, channel, communication objective, resources and policy objectives have been decided, and then consider the tactics to implement these strategies.

C. Designate a Media Specialist

This does not necessarily need to be someone with extensive media experience, but it should be one person, with the help of a subcommittee, who is committed to getting acquainted with, tracking and working with local media. Having assigned people to handle contacts and details lends professionalism and continuity. It is important, however, that the media specialist does not become isolated, but works as part of the main planning team.

D. Develop and Maintain Key Media Contacts

Media organizations are primarily businesses, and doing business depends a great deal on relationships with key people. Treat these relationships with the utmost level of professionalism and kindness. Send thank you letters when

appropriate, to both the reporter and their immediate supervisor. If it's television or radio, send complimentary letters to the Federal Communications Commission. They will remember you positively for this.

E. Formulate a Rough Media Plan Based on Your Policy Objectives

Think through how the available outlets and resources can help to meet the identified needs. Most importantly, leave time and energy to take advantage of breaking news, to be opportunistic in making sure your message gets heard in the way you want it to get heard.

F. Divide the Media Activities into Thematic Time Frames

The thematic time frames should be long enough to plan ahead, and short enough to manage. For example, a certain number of months emphasizing tobacco-free casinos, a certain number focusing on smoke-free multi-unit housing, a certain number on youth access issues, etc.

G. Coordinate Media Activities with Interventions

Coordinate media activities with interventions in your own plan as well as those of neighboring counties, the State or the nation. By integrating your media plans with other community events, whether they are your own or others, you will be re-enforcing the tobacco control message on different levels simultaneously.

H. Integrate News Stories and Messages

Plan media events to generate news that relates to your policy objectives.

For example:

- If your issue is youth, have youth collect tobacco industry promotional giveaways and then hold a press conference to announce their intention to return them to the tobacco industry. Or, sponsor a high school graduating class in exchange for class involvement in a public service billboard campaign on tobacco control. Hold a Kick-Off event when a new billboard goes up.

- Do something unusually newsworthy on the anniversary of a policy. Invite the press.

- If your issue is alternative sponsorship, sponsor a race car, rodeo or sports team. This offers a good chance to consistently and publicly display your message to the public, and also makes for a good news story about the influence of the tobacco industry.

- If your goal is simply awareness of tobacco as an environmental issue, sponsor a tobacco-free event in your community; this is a good news story for the press.

I. Develop Opportunistic Media Readiness Skills

This means having everything in place so that you can quickly and intelligently respond to an unplanned media opportunity. For example:

- Train key coalition members to speak to the media on your policy objectives. Be sure they have their "media bites" ready.

- Consider the media available in your community and have spokespersons ready to address the media in-language.

- Place opinion-editorial pieces and letters to the editor supporting your message at key times.

- Develop Media Products: Work with the policy and media subcommittees of your coalition to develop radio, billboard, bus board materials or even brochures that support your policy objectives, e.g., single family multi-unit housing, youth access to tobacco, tobacco advertising targeting youth.

These products should relate to your policy objectives and the messages and approach should be acceptable to the group you are trying to reach. There should be a dissemination plan and an appropriate production company should be hired that understands tobacco control and who is willing to work with the coalition.

J. Develop an Evaluation Plan

Maintain distribution and placement logs. Maintain a file or scrapbook of media coverage. Consider adding a telephone number and incentive for calling in to track response to the media placement. Analyze the quantity and type of media support and letters to the editor.

#12 LOBBYING POLICY

Adopted 02/94
Chapter 300 Revised 04/04

CDHS/TCS engages in and funds policy and advocacy activities which are legitimate tools of health education, health promotion, and public health. CDHS/TCS funds **may not** be used to support lobbying activities.

Lobbying is communicating with:

- a member or staff of a legislative body, a government official or employee who may participate in the formulation of the legislation; or
- the general public with the specific intention of promoting a yes or no vote on a particular piece of legislation.

Such communication is considered lobbying only if its principal purpose is to influence legislation.

Educating legislators, their staff, government employees, or the general public about your program or about tobacco-related issues is **NOT** considered lobbying.

#13 COORDINATING WITH SCHOOLS

Adopted 02/94
Chapter 300 Revised 04/04

Although schools and health departments receive separate funds for tobacco education, there should be a coordinated effort in the delivery of programs targeting youth in schools and the community in order to create a comprehensive approach. It is suggested that as appropriate to your agency's scope of work that your agency:

1. Develop a communication system and partnership with the county offices of education, and to the degree possible, with local school districts.

2. Designate a member of its staff as a liaison with the schools.

3. Help facilitate the enforcement of tobacco-free school policies.

4. Collaborate with schools on the following types of activities:

   - Tobacco-related community service opportunities for students.
   - Train facilitators to provide tobacco cessation services for students, faculty and non-credentialed staff. Promote use of the California Smokers' Helpline with schools.
   - Promote adoption of science-based tobacco use prevention curricula.
   - Conduct out-of-classroom educational programs and after-school programs.
   - Advocacy campaigns to improve teacher training and support for tobacco use prevention curricula.
   - Conduct parent participation programs.
   - Co-sponsor special events, e.g., Great American Smoke-out.
   - Co-sponsor speech contests, youth press conferences.
   - Coordinate a special edition of school newspapers covering tobacco issues and provide recognition (a.k.a. "Pulitzer prize") for the best story and photojournalism story.
   - Purchase advertising space in high school yearbooks or newspapers.
   - Coordinate surveillance activities on youth tobacco use, youth access to tobacco and tobacco advertising and promotional cues in the community which target youth.
   - Provide joint training for youth, teachers, parents, and youth serving community based organizations.
   - Develop a speakers bureau.
   - Collaborate on youth empowerment activities, e.g, a letter writing campaign or interviews conducted by youth and linked with community activities and leaders.

- Jointly conduct a county youth conference.
- Coordinate community service events, e.g., reforestation activities in areas resulting from cigarette caused fires, collecting and tabulating tobacco product-related litter, etc.
- Recruit students for participation in tobacco-related survey and compliance check activities.
- Co-sponsor trainings when community and school programs are using the same evidence-based curricula.
- Participate on each other's advisory coalitions.
- Work together to assess an LLA's Communities of Excellence indicators relative to schools and an LEA's Needs Assessment indicators relative to the community.
- Focus on LEA parent education session on secondhand smoke in the home.
- Link school community service or service-learning requirements and activities with community youth tobacco control interventions.
- Encourage youth development and empowerment by allowing students to attend state and local advocacy networking opportunities (e.g., California Youth Advocacy Network).
- Work with local health providers to facilitate evidence-based curricula lessons at schools.
- Work together to bring youth cessation services to school campuses and the communities.

#14 USE OF CDHS/TCS FUNDS IN SCHOOL SETTINGS

Adopted 02/94
Chapter 300 Revised 04/04

The following requirements apply to the use of CDHS/TCS funds in schools.

1. CDHS/TCS funds cannot be used for the development or implementation of **in-classroom** curriculum in public schools.

2. CDHS/TCS funded projects may supplement ongoing California Department of Education (CDE) funded curriculum programs in the classroom in order to support policy-related objectives, e.g., objectives to achieve “R” rating of movies with tobacco use, or provide extra-curricular activities for which CDE funding is not available. Examples of supplementing curriculum may include adding advocacy activities or providing supporting materials.

3. CDHS/TCS funded programs proposing curricular activities in public classrooms must obtain a letter from the individual school, school district, or county office of education in which the program will be presented. This letter must:

   a. Describe the current CDE tobacco education curricula; and

   b. State how the CDHS/TCS funded project will supplement the CDE funded activities and curricula.

4. In private schools, funds cannot be used to directly benefit the school or assume the schools' responsibility to provide tobacco control education.

#15 USE OF PROPOSITION 99 FUNDS IN THE ENFORCEMENT OF MINORS' POSSESSION OF TOBACCO {Penal Code Section 308(b)}

Adopted 6/97
Chapter 300 Revised 04/04

Effective January 1, 1997, an amendment to Penal Code Section 308(b) added "possession" of tobacco as an illegal act for minors, along with purchasing or receiving tobacco products. Upon conviction, youth under 18 years of age can be fined $75.00 or given 30 hours of community service work. This legislative change seems to have stimulated interest by local law enforcement and schools to enforce youth tobacco possession. However, many leading tobacco control experts agree that penalizing youth for possessing tobacco is not a desirable policy option (Wasserman and Jacobson, 1997). It is important that efforts to reduce the access and use of tobacco by youth are part of a **comprehensive approach** that targets tobacco retailers, tobacco marketing tactics, social source venues, and include policy options.

The following guidelines clarify the appropriate use of Proposition 99 funds regarding enforcement of the youth tobacco possession law.

The California Department of Health Services/Tobacco Control Section (CDHS/TCS) does not fund school-based or community-based diversion programs (e.g., alternative education programs to suspension for tobacco use on campus). This includes community service activities for youth cited for smoking or possessing tobacco products. The reasons for this are:

A. Diversion and required community service programs are not consistent with CDHS/TCS' overall program strategy of focusing on community norm change rather than individual behavior change.

B. Community-based diversion and required community service programs are punishment resulting from a law enforcement action. As stated in Policy #08 of this section, Proposition 99 funds may not be used for law enforcement activities.

C. There is no evidence that diversion or mandatory community service programs are an effective strategy to reducing youth smoking rates or decreasing illegal tobacco sales to minors. Leading scientific health organizations do not endorse these strategies. (See attached bibliography)

D. CDHS/TCS found that peer reviewed literature to date does not demonstrate that mandated participation in tobacco diversion programs or required community service either significantly impacts youth cessation rates among those participating, or reduces youth uptake of tobacco.

E. The Department of Education specifically funds school-based youth cessation programs.

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#16 PARTNERS COMPUTER NETWORK SYSTEM

Adopted 09/98
Chapter 300 Revised 12/06

The **PARTNERS** (**P**olicy **A**dvocacy **R**esource **T**obacco **N**etwork **E**ducation **R**esponse **S**ystem) **web site network** is a statewide electronic communication system, developed to link the California Department of Health Services, Tobacco Control Section (CDHS/TCS) with its contractors.

The **goal of PARTNERS** is to provide an efficient and timely communication system for CDHS/TCS to communicate with its contractors and for projects to share resources and expertise in program and policy development and implementation. In addition, PARTNERS provides a forum for planning and strategizing across the state, maximizing resources, avoiding duplication of effort, and enhancing agency capability. The system allows CDHS/TCS-funded projects throughout California to share information, educational materials, program and training resources, and planning strategies. **All CDHS/TCS funded projects in California are required to participate in the network and log onto the web site at least once per week.** Technical assistance is provided to assist users with accessing and using PARTNERS and can be obtained via e-mail at webmaster@CDHS/TCSpartners.org.

The two main components of the PARTNERS web site are **CDHS/TCS Update** and the **Strategy Exchange**. Projects are expected to access these two specific features on a weekly basis. There are many other features on the web site including news, online forms, lists, links to other sites and various resources.

CDHS/TCS Update contains announcements concerning trainings, conferences, forms, current events, trends in tobacco control, etc. CDHS/TCS Update is posted every Monday. Users can access the current CDHS/TCS Update from the Main Menu. Previous weeks' issues are available by clicking on Back Issues of CDHS/TCS Updates.

The **Strategy Exchange** is the user-driven portion of PARTNERS. Users can read and post messages on this electronic bulletin board system. Projects are strongly encouraged by CDHS/TCS to post messages on this system, in order to share their knowledge and experience with other projects. Common types of messages include: requests for information, upcoming events, job postings, executive summaries of reports, recent successes and failures, helpful resources, etc. Messages can be posted in the current month or under special topic areas.

Subscription (Membership) Requirements:

PARTNERS is a password-protected web site for CDHS/TCS-funded projects. Users must submit an online application and agree to abide by the Membership Agreement. Once the application is approved by CDHS/TCS, new members are assigned a unique Username and Password and notified by e-mail**. Usernames and Passwords are specific to the individual specific and must not be transferred, reassigned or shared.** There is **no cost** to the project for enrollment in the PARTNERS network, and **any number of users** may be enrolled. New project directors can access the online application at the following URL:
http://www.CDHS/TCSpartners.org/registration.htm.

Agencies are required to maintain a PARTNERS account and log onto the web site at least once per week. Agencies are also encouraged to use PARTNERS as a means to disseminate information about their activities and solicit assistance from other PARTNERS users via the Strategy Exchange.

Each project's PARTNERS use and their Strategy Exchange postings are reported to CDHS/TCS on a biannual basis. Each project receives a quarterly PARTNERS Use Grade (via e-mail), based on the number of weeks which at least one person from their project accessed PARTNERS.

System Requirements for new purchases:

Minimum Hardware Specifications:

Desktop computers should have a Pentium IV processor, adequate hard disk space, 1 gigabyte of memory, 1.44 megabyte diskette drive, CD Rom drive, and network card (for connecting to a LAN or broadband internet access).

Recommended Software Specifications*:*

Software Specifications:

Type	Minimum
Operating System	Microsoft (MS) Windows 2000 Professional or XP Professional Service Pack 2 ①
Presentation	PowerPoint 2003 (as part of MS Office 2003 Professional Service Pack 2 Application Suite ②
Word Processing	Word 2003 (as part of Office 2003 Professional Service Pack 2 Application Suite) ②

Spreadsheet	Excel 2003 (as part of Office 2003 Professional Service Pack 2 Application Suite) ②
Database	MS Access 2003 (as part of Office 2003 Professional Service Pack 2 Application Suite) ②
Hard Disk Encryption	Existing Agency software standard; or other hard disk encryption product.
Browsers	Internet Explorer v. 6.0
Adobe Acrobat Reader	Adobe Acrobat Reader 7.x
Statistical	Epi Info version 3.3 ③
Antivirus Software	Required (most current version of any brand)
JAVA Software	JAVA Runtime Environment v 5

① – Support for MS Windows 2000 Professional by Microsoft ends June 2009.

② – Please note that Microsoft support for Microsoft Office XP Professional (2002 version of applications) ends June 2008. Support for Microsoft Office 2000 Professional ends June 2007.

③ - May be downloaded for free at http://www.cdc.gov/epiinfo/.

Other Requirements

E-mail Address
Internet Access

In addition to the above requirements, if the computer purchased will be connected to your agency's existing local area network, you will need to contact your network administrator for appropriate network software and connectivity issues/problems.

Note: *Any recommendations above are based solely on achieving a higher level of compatibility with the equipment and software used by the Tobacco Control Section. They do not constitute product endorsements.*

#17 PROCESS TO REQUEST USE AND/OR ADAPTATION OF EDUCATIONAL OR MEDIA MATERIALS PRODUCED WITH CDHS/TCS FUNDS

Adopted 09/99
Chapter 300 Revised 12/06

The State of California owns the copyright on educational and media materials developed with funds from CDHS/TCS. (In the case of materials developed by Local Lead Agencies {LLAs}, the copyright is jointly owned). Following is the procedure to request the use of and/or adaptation of materials by an agency other than the agency that produced the material.

1. Requests Concerning Statewide Media Campaign Materials:

Visit the Centers for Disease Control and Prevention's (CDC) Media Campaign Resource Center for Tobacco Control at http://www.cdc.gov/tobacco/mcrc/ for requests to use advertising materials developed by the CDHS/TCS Statewide Media Campaign prior to 2006. Ads from California are periodically transferred to the CDC Media Campaign Resource Center. Your agency will be responsible for paying fees associated with changing the tagline and paying the talent fees associated with the use of the ads selected. Requests to use the public relations materials developed by the CDHS/TCS Statewide Media Campaign or questions regarding ads developed by CDHS/TCS should be directed to Sandra Soria, Media Analyst, CDHS/TCS at (916) 449-5506.

2. Requests Concerning Educational and Media Materials Produced in Whole or in Part with Competitive Grantee Funding:

This includes Competitive Grantees, Priority Population Partnerships, the Helpline, the Clearinghouse and any other statewide projects funded with Competitive Grant Funds.

a. Requests from a Government Agency, American Cancer Society, American Heart Association or American Lung Association Affiliate

1. **Make a Written Request:** Direct the written request to the CDHS/TCS Program Consultant assigned to work with the contractor that developed the material and provide a copy of the request to the assigned CDHS/TCS Contract Manager. The letter is to describe: a) the product, b) how it will be used, and c) any modification the requestor would like to make.

a) Tagline: If the request is simply to change the tagline on a brochure, poster, or ad to identify the requestor's agency name, CDHS/TCS will generally grant permission for this. If the request concerns a material that might involve the use of "talent fees" or other special conditions, CDHS/TCS will generally grant permission provided the requestor includes a letter from the agency that originally produced the material which indicates there is no issue with the "talent fees" or other conditions, e.g., a special work of art or photograph.

b) **Modifications to a Brochure:** Permission will generally be granted to adapt or modify brochures. The standard funding acknowledgement is not required of agencies that are using the material outside of California.

c) **Modifications to a Video**: Permission will not generally be granted to modify videos or to incorporate footage of an existing video into a new "work." Any request to do so will be forwarded to the Chief of Local Programs and Evaluation, CDHS/TCS for a secondary review and decision.

d) **Modifications to a Training Curriculum:** Permission will not generally be granted to modify or incorporate a curriculum into a new "work." Any request to do so will be forward to the Chief of Local Programs and Evaluation, CDHS/TCS for a secondary review and decision.

e) **Modifications to a Poster:** Permission will not generally be granted to modify or incorporate a poster into a new "work." Any request to do so will be forward to the Chief of Local Programs and Evaluation, CDHS/TCS for a secondary review and decision.

b. Requests from Other Non-Profit Agencies or from For-Profit Agencies

1. Make a Written Request: Direct the written request to the Chief of Local Programs and Evaluation, CDHS/TCS. The letter is to describe: a) the product, b) how it will be used and distributed, c) price if applicable, and d) any modification the requestor would like to make.

2. Restrictions: Restrictions generally will be similar to those cited above. A gift of public funds "for the profit of an agency will be considered and avoided" in any request.

3. Educational or Media Material Produced in Whole or in Part with Local Lead Agency Funding

Seek permission directly from the LLA that produced the educational or media material to use or modify the material. This includes materials developed by LLA subcontractors.

4. Cost of Providing or Modifying Materials

Any agency granted permission to use or modify educational or media materials developed with funds from CDHS/TCS is to bear the cost associated with the use or modification of the material. CDHS/TCS-funded projects, including the Tobacco Education Clearinghouse of California may bill agencies for providing a duplicate set of camera-ready materials and should not become involved in working or negotiating with a printer, graphic artist or talent agency on behalf of the requesting agency.

#18 PC 308(a) OPERATIONS GUIDELINES

Adopted 01/02
Chapter 300 Revised 04/04

The following minimum standards shall apply to all decoys working with members of designated agencies engaged in undercover activities pertaining to PC 308(a) enforcement. For further information on conducting PC 308(a) operations, consult the STORE Campaign web page on PARTNERS.

1) All decoys shall be less than 18 years old at the time of any undercover decoy operation. The decoy shall display an appearance consistent with their age (less than 18 years old) and environment.

2) A photograph or video recording will be taken immediately prior to or at the time of the operation for the purpose of recalling the decoys appearance at this time. The photograph and/or video recording will be retained by the agency supervising the decoy operation.

3) A decoy shall carry his or her own identification showing their correct date of birth or not carry any identification. A decoy who carries identification shall present it upon request to any seller of tobacco products.

4) Enforcement agencies may require decoys to respond truthfully to the seller if verbally asked their age or they may allow the decoy to verbally respond that they are 18 years of age.

5) A decoy shall be supervised by a regularly employed adult peace officer or other authorized statutory adult authority at all times during the operation.

6) The designated agency may use recording equipment, including video, audio, photographic and other audio/visual recording equipment, to record and document an operation.

7) Upon completion of the decoy operation, the designated agency may notify the owner or owner's agent of the operations results.

#19 NON-ACCEPTANCE OF TOBACCO COMPANY FUNDS

Adopted 07/02
Chapter 300 Revised 12/06

In order to receive funds from the CDHS/TCS, contractors must comply with the following:

Universities/Colleges Only

The Principal Investigator, or any investigator associated with the contract cannot receive funding from or have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company within the last five (5) years prior to the start date of the contract period. In addition, the Principal Investigator or any investigator associated with the contract will not accept funding from or have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the contract with CDHS/TCS. See attached partial list of tobacco company subsidiaries.

All Other CDHS/TCS Contractors

The contractor will not accept funding from or have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the contract with CDHS/TCS. See attached partial list of tobacco company subsidiaries. Since subcontractors are held to the same standards as the prime contractor, they are also subject to these requirements.

Contractors are required to sign and submit the “Certification of Non-Acceptance of Tobacco Funds” form as part of the Request for Application process. The certifications are on file at CDHS/TCS. See attached sample of the certification form. Violation of this CDHS/TCS policy during the term of the contract may result in termination of the contract.

TOBACCO SUBSIDIARY PRODUCTS
Philip Morris / Altria

BEVERAGES

Coffee
General Foods International Coffees
Gevalia
Maxim
http://www.kraft.com/brands/namerica/us.html - Anchor-Beverages-49575#Anchor-Beverages-49575Maxwell House
Sanka
Starbucks*
Yuban

Frozen Treats
Mr. Freeze
Kool-Aid Slushies

Powdered Soft Drinks
Country Time
Crystal Light
Kool-Aid
Tang

Ready-to-Drink
Capri Sun*
Country Time
Crystal Light
Kool-Aid Bursts
Tang
Total Balance

CONVENIENT MEALS

Bacon
Oscar Mayer
Louis Rich

Cold Cuts
Oscar Mayer
Louis Rich

Dinner Kits
Stove Top Oven Classics
Taco Bell*

Frozen Pizza
California Pizza Kitchen*
DiGiorno
Jack's
Tombstone

Hot Dogs
Oscar Mayer

Lunch Combinations
Lunchables

Macaroni & Cheese Dinner
Kraft
Kraft Easy Mac
Velveeta

Meat Alternatives

Boca

Meat Snacks

Tombstone

Pastas and Sauces

DiGiorno

CHEESE

Cold Pack Cheese

Woody's

Cottage Cheese

Breakstone's
Knudsen
Light n' Lively

Cream Cheese

Philadelphia
Temp-tee

Grated Cheese

Kraft

Natural Cheese

Athenos
Churny
Cracker Barrel
DiGiorno
Handi-Snacks
Harvest Moon
Hoffman's
Kraft
Polly-O

Process Cheese Loaves

Kraft Deluxe
Old English
Velveeta

TOBACCO SUBSIDIARY PRODUCTS
Philip Morris / Altria

Process Cheese Sauce

Cheez Whiz

Process Cheese Slices

Kraft Deli Deluxe
Kraft Free Singles
Kraft Singles
Kraft 2% Milk Singles
Velveeta

Process Cheese Spread
Easy Cheese

GROCERY

Baking Chocolate/Coconut
Baker's

Baking Powder
Calumet

Barbecue Sauce
Bull's-Eye
Kraft

Breakfast Beverage
Postum

Coating Mix
Shake 'n Bake
Oven Fry

Condiments
Grey Poupon
Kraft
Sauceworks

Cooked Cereal
Cream of Wheat

Cereal Bars
Nabisco

Dips
Kraft

Dog Biscuits
Milk-Bone

Dry Packaged Desserts
Dream Whip
D-Zerta
Jell-O
Minute

Energy Bars
Balance
Oasis Bars

Fruit Preservatives
Ever Fresh

Frozen Whipped Topping
Cool Whip

Ice Cream Topping
Kraft

Margarine
Parkay (Puerto Rico only)

Pasta Salads
Kraft

Pectins
Certo
Sure-Jell

Pickles/Sauerkraut
Claussen

Pie Crusts
Honey Maid
Nilla
Oreo

Ready-to-Eat Cereals
Post
Alpha-Bits
Banana Nut Crunch
Blueberry Morning
Cinna-Cluster Raisin Bran
Cranberry Almond Crunch
Frosted Shredded Wheat
Fruit & Fibre
Golden Crisp
Grape-Nuts
Great Grains
Honey Bunches of Oats
Honeycomb
Nabisco (Puerto Rico only)
Natural Bran Flakes
Oreo O's
Pebbles*
Raisin Bran
Shredded Wheat
Shredded Wheat 'n Bran
Spoon Size Shredded Wheat
Toasties
Waffle Crisp
100% Bran

Rice
Minute Rice

Salad Dressings
Good Seasons

TOBACCO SUBSIDIARY PRODUCTS
Philip Morris / Altria

Kraft
Seven Seas

Sour Cream
Breakstone's
Knudsen

Spoonable Dressing
Kraft Mayo
Miracle Whip

Steak Sauce, Marinade, Worcestershire
A. 1.

Stuffing Mix
Stove Top

Toaster Pastries
Kool Stuf

Yogurt
Breyers*
Jell-O
Light n' Lively

Snacks
Cookies
Barnum's Animals
Biscos
Café Creme
Cameo
Chips Ahoy!
Crispin (Puerto Rico only)
Dad's
Danish (Puerto Rico only)
Famous Chocolate Wafers
Family Favorites
Old Fashioned
Ginger Snaps
Hony Bran (Puerto Rico only)
Konitos (Puerto Rico only)
Lorna Doone
Mallomars
Marshmallow Twirls
Nabisco (Puerto Rico only)
National Arrowroot
Newtons
Nilla
Nutter Butter
Oreo
Peak Freans
Pecan Passion
Pecanz
Pinwheels
SnackWell's
Social Tea
Stella D'oro
Sweetie Pie (Puerto Rico only)
Teddy Grahams
Wild Thornberry's*

Crackers
Air Crisps
Better Cheddars
Cheese Nips
Club Social (Puerto Rico only)
Crown Pilot
Doo Dad
Flavor Crisps
Harvest Crisps
Honey Maid
Nabisco Grahams
Nabs
Premium
Ritz
Royal Lunch
SnackWell's
Stoned Wheat Thins
Sportz (Puerto Rico only)
Sultana (Puerto Rico only)
Triscuit
Uneeda
Wheatsworth
Wheat Thins
Zwieback

Ice Cream Cones
Comet Cups

Packaged Food Combinations
Handi-Snacks
Lunchables

Refrigerated Ready-to-Eat Desserts
Jell-O
Handi-Snacks

Snack Nuts
Corn Nuts
PB Crisps
Planters

Sugar Confectionery
Altoids
Callard & Bowser
CremeSavers
Jet-Puffed
Kraft Caramels
Life Savers
Milka L'il Scoops
Nabisco Fun Fruits
Terry's
Tobler
Toblerone
Trolli

Miller Brands**
Miller Beer
Miller Genuine Draft
Miller High Life
Sharp's non-alcohol brew
Milwaukee's Best

Meister Brau
Magnum Malt Liquor
Henry Weinhard's
Hamm's
Olde English 800 Malt Liquor
Mickey's Malt Liquor
Red Dog
ICEHOUSE
Southpaw
Leinenkugel
Celis
Pale Rider
Shipyard Export Ale
Goat Island Ale
Fuggles Pale Ale
Old Thumper Extra Special Ale
Blue Fin Stout
Longfellow Ale
Mystic Seaport Pale Ale
Chamberlain Pale Ale
Sirius
Prelude Ale
Molson
Foster's Lager
Sheaf Stout
Presidente
Shanghai

*Kraft is the distributer for these brands:

-Breyers is a registered trademark owned and licensed by Unilever, N.V.
-Capri Sun is a registered trademark of Rudolf Wild GmbH & Co. KG, used under license.
-California Pizza Kitchen is a trademark owned and licensed by California Pizza Kitchen, Inc.
-Jenny Craig is a registered trademark of Jenny Craig, Inc., used under license.

-Pebbles is a registered trademark of Hanna-Barbera Productions, Inc. Licensed by Hanna-Barbera Productions, Inc.
-Starbucks is a registered trademark of Starbucks U.S. Brands Corporation.
-Nickelodeon and all related titles, characters and logos are trademarks owned and licensed by Viacom International Inc. All rights reserved.
-Taco Bell is a registered trademark owned and licensed by Taco Bell Corp.

**Altria Group, Inc. holds a 36% economic interest in SABMiller plc as a result of the 2002 Miller Brewing Company merger into South African Breweries plc, which formed SABMiller plc, the world's second-largest brewer.

TOBACCO SUBSIDIARY PRODUCTS
United States Smokeless Tobacco Company

Wines

Chateau Ste. Michelle
Columbia Crest
Domaine Ste. Michelle
Villa Mt. Eden
Conn Creek
Northstar
Snoqualmie

CERTIFICATION OF NON-ACCEPTANCE OF TOBACCO FUNDS

_____

Company/Organization Name

_____

Please check one of the following:

- ❑ The applicant named above hereby certifies that it will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the contract with the California Department of Health Services, Tobacco Control Section.

- ❑ University/Colleges Only
  The Principal Investigator, or any investigator associated with the contract, of the university or college named above hereby certifies that he/she has not received funding from nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company within the last five (5) years prior to the start date of the grant period. In addition, the Principal Investigator, or any investigator associated with the contract, of the university or college named above hereby certifies that he/she will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the contract with the California Department of Health Services, Tobacco Control Section.

_____

CERTIFICATION

_____

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

Director of Agency or Principal Investigator:

_____

Signature Date Print Name and Title

#20 Online Tobacco Information System

Adopted 12/06

Chapter 300

Background

The Online Tobacco Information System (OTIS) is a Web-based business management portal that incorporates CDHS/TCS business management systems with information-communication systems. It provides a single uniform interface for hundreds of users to access contract and grant-related documents and networking-collaboration tools from any computer, 24 hours a day, 7 days a week. As a database, OTIS is searchable, provides access to real-time data, and the ability to aggregate data for reports.

Overall, OTIS provides an efficient means for CDHS/TCS and applicants to manage its contracting processes. These include the :1) submission and approval of Comprehensive Tobacco Control Plans and competitive grant applications; 2) submission and approval of progress reports; 3) submission and approval of fiscal documents, and 4) submission and approval of other contract related documents such as subcontracts.

Communication systems within OTIS include a personal and shared calendar that provides access to national, state, regional and local event information; a task management system for personal and project use; a contact directory with a master list of agency contacts; a searchable project directory that provides access to the scopes of work of all projects within OTIS; and a Local Program Evaluator Registry that provides contact information and the qualifications of registered local program evaluators.

Major benefits to using this Web-based business management portal include:

- Data entry and terminology are standardized and consistent across procurements.
- The budget and other areas requiring calculations are totaled for the applicant by OTIS.
- Common terminology facilitates the linkage of activities described in the scope of work to budgeted expenses (providing incentives, placing media, educational materials development, printing, etc.).
- Agency contact information only has to be submitted once regardless of the number of applications the agency has funded by CDHS/TCS.
- Other projects' scopes of work can be searched in order to identify agencies working with similar target audiences, interventions, and evaluation activities.

This can facilitate networking, marketing trainings, identification of programming gaps, or collaborating on advertising and educational materials development.

- Generates usable reports that track who, what, where, and how much funding is going toward particular programs; what projects are working on specific interventions or with specific target populations.
- Integrates any communication and business applications into a single Web site for improved access to timely information. System applications include: statewide calendar, project directory, local program evaluator directory, plan/application submission, plan/application approval, progress report submission, progress report approval, and cost report/invoice submission and approval.
- Promotes management of local project materials development by the Tobacco Education Clearinghouse of California.
- The review and approval of documents submitted by contractors is streamlined (e.g., no more losing paper, and the ability to track where documents are in the approval process).
- Logs all communications for increased accountability.

Membership Requirements

OTIS is a password-protected Web-system for CDHS/TCS-funded projects. Users will be issued an individual user identification and password. These may not be transferred, reassigned or shared with anyone else.

Project Directors are required to notify CDHS/TCS immediately about staff changes in order to deactivate an account.

OTIS Usage Requirements

- CDHS/TCS-funded projects, which are a part of OTIS, are required to submit all contract/grant application documents, progress and fiscal reports via OTIS.
- Project Directors are responsible for ensuring that their staff participates in trainings, access user guides, and online training resources.
- Project Directors are responsible for reporting OTIS errors or access issues to CDHS/TCS in a timely manner.

System Requirements

The system requirements for OTIS are the same as the system requirements for PARTNERS; see Policy #16 PARTNERS COMPUTER NETWORK SYSTEM.

#21 Nicotine Maintenance Policy

Adopted 12/06

Chapter 300

Nicotine maintenance is the strategy to provide tobacco users concerned about their health with a new option to substitute, in place of conventional combustible cigarettes, the long-term use of another, potentially less dangerous nicotine-delivery product that can still satisfy the user's addiction. CDHS/TCS believes that the nicotine maintenance strategy poses a serious threat to public health efforts aimed at reducing the toll of death and disease caused by tobacco use. The goal of the nicotine maintenance strategy is to:

- Convince consumers that they can receive the same enjoyment and satisfaction without the risk
- Convince tobacco users they do not have to quit
- Convince non-users that the pleasure outweighs the risk – so try it.

Nicotine maintenance products are known as potentially reduced exposure products (PREPs). At the present time, PREPs fall into three categories:

- Modified cigarettes and cigarette-like products
- Smokeless tobacco, snus, and tobacco lozenges
- Medicinal nicotine currently under development by pharmaceutical companies that is intended for long-term use rather than as an aid to cessation.

Various sources have recommended or suggested that these products are the next safest alternative to quitting because they reduce exposure to one or more tobacco toxicants. The three types of PREPs clearly present a continuum of health risk to the user, with combustible products posing a greater risk to an individual's health than medicinal nicotine products. CDHS/TCS is concerned that the promotion of nicotine maintenance products has the potential to foster the norm that addiction to nicotine is acceptable, and is of little health consequence to the user or population as a whole. Legitimizing the nicotine maintenance strategy would undermine and damage the ability of state and local governments to implement and sustain proven effective tobacco use prevention and cessation strategies such as tobacco taxes, secondhand smoke restrictions, counter-advertising campaigns, and cessation quit-lines.

CDHS/TCS believes that tobacco cessation and nicotine maintenance are contradictory strategies. Promoting the co-existence of tobacco cessation and nicotine maintenance strategies ignores the complexity of how product marketing is received and acted upon by tobacco users and potential users, as well as policy makers who are in a position to

allocate resources and enact policies that regulate smoking and the sale and promotion of tobacco products.

Whether nicotine maintenance messages are conveyed by the public health community, tobacco companies or the pharmaceutical industry, they will likely legitimize nicotine addiction. In doing so, these messages will decrease motivation for quitting among California's four million adult and youth smokers, decrease quit attempts, slow tobacco cessation, increase the rate of youth initiation, and undermine the effectiveness of comprehensive tobacco control programs that seek to denormalize tobacco use and promote cessation.

The efficacy of the nicotine maintenance strategy is unproven in terms of providing a health benefit at the individual and population levels. Tobacco products contain a complex array of toxicants and cancer causing agents. It is unknown what the impact will be of decreasing exposure to individual toxicants and how genetics and prior history of the individual would influence individual benefits. Additionally, the response of consumers in a real world setting is unknown:

- Will cigarettes and PREPs be used concurrently?
- Will PREPs only be used in those situations where smoking is not allowed?
- Will motivation to quit decrease; will tobacco uptake increase?
- Will support for secondhand smoke policies diminish?

Of particular concern to CDHS/TCS is that some members of the public health community are recommending the promotion of smokeless tobacco, snus, and long-term use of nicotine replacement therapy in lieu of smoking. (Bates C, Fagerström K, Jarvis MJ, Kunze, McNeill A, Ramström, 2003: Sweanor D, 2003; Kozolowski LT, O'Conner RJ, Quinio Edwards B, 2003).

The tobacco industry is aware of smokers' increasing concern about the health effects of smoking, as well as the public's increasing intolerance of secondhand smoke. Lawsuits and the accompanying financial instability have shaken the tobacco industry. Settlements have led to price hikes and reduced consumption. Faced with the prospect of a steady decrease in cigarette sales, the tobacco industry is looking for a "turn around" strategy. To protect itself from future lawsuits and further hostile legislation, it must establish a respectable public image, demonstrate repentance by acknowledging the health effects of tobacco use, and seek legitimacy for new products positioned as reducing health risks while creating a safe harbor through Federal Drug Administration oversight of these products. These products are not aimed at the highly addicted, hard core smoker—but rather the smoker who is contemplating quitting and youth and young adults who are not yet established tobacco users.

CDHS/TCS is concerned that as nicotine maintenance products are produced and marketed, they may not be used in the way intended, and those messages about these

products may be perceived and acted upon in ways not anticipated. In summary, CDHS/TCS believes the nicotine maintenance strategy:

- Legitimizes nicotine addiction
- Decreases motivation for quitting
- Slows smoking cessation progress
- Weakens support for California Tobacco Control Program education, policy, media and taxation efforts
- Confuses the public and harms the credibility of public health
- Provides a turn around opportunity for the tobacco industry

As such, CDHS/TCS prohibits its contractors from using its funds to promote or sanction the nicotine maintenance strategy and particularly smokeless tobacco as a safer alternative to combustible cigarettes.

CHAPTER 400
ADMINISTRATIVE REQUIREMENTS

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#01 DATA COLLECTION AND REPORTING REQUIREMENTS

Adopted 02/94
Chapter 400 Revised 12/06

1. Agencies shall conduct surveillance activities, collect and maintain data, submit reports, and conduct evaluations in accordance with CDHS/TCS requirements.

2. Agencies shall allocate a minimum percentage of their total CDHS/TCS budget towards an evaluation component. This component should support staff designated to oversee evaluation, required data collection, surveillance, evaluation, and reporting requirements. This is a mandatory requirement and must be evident in the budget. For the minimum percentage required, refer to the procurement to which your agency responded.

3. Agencies shall designate one staff person as the lead on evaluation activities. Agencies shall allocate the minimum percentage of a staff person's time, as required in the procurement to which the agency responded, to be dedicated toward overseeing evaluation activities, coordinating evaluation activities with CDHS/TCS, and any evaluation consultant or subcontractor who may be hired. This is a mandatory requirement and must be evident in the budget.

4. The document, Tell Your Story: Guidelines for Preparing a Complete High Quality Final Evaluation Report is to be used as the standard for preparing final evaluation reports. This document can be found at http://www.dhs.ca.gov/tobacco/html/Tellyourstory.pdf or on the C-STATS web site at www.cstats.info .

5. The C-STATS web site, www.cstats.info, is to be used as a resource for online access to California's county, regional, and statewide tobacco statistics. C-STATS provides access to a wide variety of information, including evaluation resources for local projects, publications, and local information on a broad range of tobacco-related indicators, from behavioral measures to local policies.

6. Progress Reports shall be submitted bi-annually to CDHS/TCS, with one original and one copy, each complete with attachments.

7. The content of the Progress Reports shall be in accordance with CDHS/TCS instructions and the required forms shall be used. Agencies should maintain back-up documentation, such as logs, sign-in sheets, press releases, etc. to verify all information provided in the progress reports and will be required to submit documentation with progress reports as identified in the progress report instructions.

8. If timely and accurate progress reports and evaluation reports are not received by CDHS/TCS, payments will be withheld until delinquent or deficient reports are up-to-date or evaluation requirements are satisfied. Contractors shall be given a time-certain date by which to re-submit unsatisfactory reports. If reports are not submitted timely or remain unsatisfactory, the contract award may be reduced.

9. Each agency shall cooperate with and participate in evaluation activities conducted by agencies that are under contract with CDHS/TCS for the purpose of evaluation or surveillance activities.

Vehicles:

CDHS/TCS does not allow the purchase of vehicles; this includes not allowing the leasing of, lease with the option to purchase, or rental plans with purchase options of vehicles. Agencies must budget for the use of their agency-owned vehicle or personally-owned staff conveyance by allocating funds for reimbursement of mileage at a rate approved by CDHS/TCS. The agency can bill it's CDHS/TCS contract each month for the amount of project-associated mileage traveled by approved staff on travel status Refer to Section I, Chapter 400 of your Competitive Grantees Administrative and Policy Manual for Travel Information

Mobile Phones:

Mobile phones, cellular phones, and other multi-function portable phones are allowed up to $500 per person (including the service) for a maximum of $2,500 per Local Lead Agency or Competitive Grantee annually. Purchase must be based on sufficient justification with prior CDHS/TCS approval. Refer to Chapter 400, Policy #05 Information Security Requirements for additional information regarding equipment and data security requirements.

Desktop and Laptop Computers:

With sufficient justification and prior CDHS/TCS approval, Competitive Grantees may be authorized to purchase computer equipment, including appropriate hardware and software that meets CDHS/TCS minimum requirements. Agencies authorized by CDHS/TCS to purchase computer hardware and software should contact their Contract Manager to obtain a current list of desktop and laptop computer standards. Refer to Chapter 400, Policy #05 Information Security Requirements for additional information regarding equipment and data security requirements.

Computer Hardware

1. The agency shall have equipment for the purposes of producing CDHS/TCS mandated progress reports, completing statewide independent evaluation instruments and reports, and participating in PARTNERS and OTIS (Online Tobacco Information System). Agencies should have access to high speed broadband internet access, or local area network (LAN) access.

Desktop computers should have a Pentium IV processor, adequate hard disk space, 1 gigabyte of memory, 1.44 megabyte diskette drive, CD Rom drive, and network card (for connecting to a LAN or broadband internet access).

2. Agency purchasing approval will follow the appropriate CDHS/TCS plan approval process in OTIS. Computer equipment requests are to be justified by demonstrated programmatic or administrative need. After approval, the contractor shall follow the CDHS/TCS procedures for purchase and inventory of the equipment. Refer to Section I, Chapter 800 of the Competitive Grantees Administrative and Policy Manual for procedures and format to follow. Equipment purchases not in the approved budget will be disallowed.

3. The agency shall modify its computer system as requested by CDHS/TCS.

4. Agencies shall conform to the CDHS/TCS Information Security Requirements, Policy #05, for computer security and storing of confidential data.

Computer Software

1. Contract language prohibits the use of state funds for the acquisition, operation, or maintenance of computer software in violation of licensing and copyright laws. By signing the contract award, the contractor has certified that it has appropriate systems and controls in place to ensure that violations do not occur.

2. Agency purchasing approval will follow the appropriate CDHS/TCS plan approval process in OTIS. After approval, the contractor shall follow the CDHS/TCS procedures for purchasing and inventory of the equipment. Refer to Section I, Chapter 800 of the Competitive Grantees Administrative and Policy Manual for procedures and format to follow. Equipment or software purchases not in the approved budget will be disallowed unless a prior written request is submitted to the CDHS/TCS Contract Manager for review and approval and written approval is granted.

3. Following are the recommended software packages an agency should have available for use:

continued on the next page

Software Specifications:

Type	Minimum
Operating System	Microsoft (MS) Windows 2000 Professional or XP Professional Service Pack 2 ①
Presentation	PowerPoint 2003 (as part of MS Office 2003 Professional Service Pack 2 Application Suite ②
Word Processing	Word 2003 (as part of Office 2003 Professional Service Pack 2 Application Suite) ②
Spreadsheet	Excel 2003 (as part of Office 2003 Professional Service Pack 2 Application Suite) ②
Database	MS Access 2003 (as part of Office 2003 Professional Service Pack 2 Application Suite) ②
Hard Disk Encryption	Existing Agency software standard; or other hard disk encryption product.
Browsers	Internet Explorer v. 6.0
Adobe Acrobat Reader	Adobe Acrobat Reader 7.x
Statistical	Epi Info version 3.3 ③
Antivirus Software	Required (most current version of any brand)
JAVA Software	JAVA Runtime Environment v 5

① – Support for MS Windows 2000 Professional by Microsoft ends June 2009.

② – Please note that Microsoft support for Microsoft Office XP Professional (2002 version of applications) ends June 2008. Support for Microsoft Office 2000 Professional ends June 2007.

③ - May be downloaded for free at http://www.cdc.gov/epiinfo/.

4. The agency shall modify or change its software according to CDHS/TCS specifications.

5. Any recommendations above are based solely on achieving a level of compatibility with the equipment and software used by CDHS/TCS. It does not constitute product endorsements.

Additional requirements may be found in Section I of the Local Lead Agency and/or Competitive Grantee Administrative and Policy Manuals.

Staff Requirements

1. Personnel classifications and/or professional disciplines shall be appropriate for the completion of the scope of work requirements.

2. The agency is responsible for notifying their CDHS/TCS Contract Manager in a timely manner of staff changes in the Project Director position. The agency shall use an approved form and format for notification as instructed by CDHS/TCS.

3. The agency shall designate one staff person as the lead on evaluation activities. Agencies shall allocate the minimum percentage of a staff person's time, as required in the procurement to which the agency responded, to be dedicated toward overseeing evaluation activities, coordinating evaluation activities with CDHS/TCS, and any evaluation consultant or subcontractor who may be hired. This is a mandatory requirement and must be evident in the budget.

4. The agency shall have professional staff qualified to:

   - Collaborate with community agencies, organizations, and targeted populations;
   - Implement principles and practices of community health education;
   - Coordinate community assessments, conduct educational, media, policy activities and evaluation;
   - Collect and tabulate required data;
   - Perform program planning and evaluation activities;
   - Fiscally and administratively manage the tobacco control program; and
   - Comply with reporting and record keeping requirements of the State.

5. The agency must have on file and provide to CDHS/TCS as requested, job descriptions and duty statements for all positions listed in the budget.

6. In **Local Lead Agencies**, the individual designated as the Project Director (PD)/Project Coordinator (PC) shall be assigned to the project 100% time. The PD/PC shall have day-to-day responsibility for the management and

implementation of the project. A reduced PD/PC staffing pattern requires prior CDHS/TCS approval and must not be reduced below 75%. The reduction must be justified (e.g., diminishing funds, the PD needs to oversee other internal programs, MSA or competitive grant funded programs also, personal issues, etc.) and the agency must meet the following criteria:

- Has a past track record of satisfactory progress towards completing its scope of work;
- Progress reports and cost reports are submitted timely, complete, and accurate;
- There is participation by appropriate staff in CDHS/TCS trainings and conferences;
- There is evidence of local collaboration; and
- All of the above functions are maintained at the reduced time level.

If the above criteria are not met, CDHS/TCS reserves the right to restore the PD/PC time base back to 100% time

Budget and Administrative Requirements

1. Agencies will prepare either cost reports (Local Lead Agencies) or monthly invoices (Competitive Grantees) in arrears which detail the actual program expenditures in accordance with the format prescribed by CDHS/TCS.

2. Payments to agencies are contingent upon receipt and approval of their scope of work and budget and upon receipt and approval of other contractual deliverables such as progress reports and cost reports.

3. Agencies must maintain a functioning e-mail account.

4. If a **Local Lead Agency** subcontracts out 60% or more of the tobacco control allocation to one agency to implement the comprehensive tobacco control plan, then the subcontractor will be required to develop a sub-budget, following the same guidelines applicable to the LLA.

5. Agencies shall comply with administrative and contractual requirements as provided to them in the form of contract manual updates and Program Letters throughout the contract term.

Travel Requirements

1. **Required** CDHS/TCS Travel and Training:

   Project Directors or their designee are **required** to budget for and attend the CDHS/TCS Project Directors Meeting which is typically held every eighteen (18) months. In addition to the CDHS/TCS Project Directors Meeting there may be other trainings, meetings, or conferences required by the guidelines, request for application, or renewal instructions under which the agency was funded. The

funds budgeted for CDHS/TCS **required** trainings, meetings, or conferences cannot be used for any other purpose. If a **required** training, meeting, or conference is not attended the funds budgeted for it will remain in the line item unspent and will be disencumbered at the close of the contract.

2. Out-of-State Travel

a. Local Lead Agencies

Local Lead Agencies may expend their funds for out-of-state travel when the travel is consistent with city/county guidelines and requested and approved through the CDHS/TCS plan approval process. However, final approval of any out-of-state travel will be contingent upon:

- participating in the conference as a presenter, panel member, speaker, etc.; and,
- being up-to-date on progress in the scope of work and current with submission of progress/cost reports.

b. All Other CDHS/TCS Contractors

All other CDHS/TCS contractors must request in writing, prior approval for out-of-state travel and justify the request unless it is pre-approved through the CDHS/TCS plan approval process. However, final approval of any out-of-state travel will be contingent upon:

- participating in the conference as a presenter, panel member, speaker, etc.; and,
- being up-to-date on progress in the scope of work and current with submission of progress/cost reports.

This includes “salary only” trips in which another agency is paying for travel and per diem and you are requesting CDHS/TCS to pay for your salary. The request is to be addressed to the Contract Manager (CM) assigned to your project.

#04 INTEREST EARNED AND GENERATED REVENUE REQUIREMENTS

Adopted 04/96
Chapter 400 Revised 12/06

Interest Earned

1. Local Lead Agencies (LLAs)

LLAs are required, per their allocation agreement, to deposit their prospective payments into an interest bearing, insured trust account. The allocation agreement requires that the interest accruing from these prospective payments must be used for state-approved tobacco control program-related activities and shall be used to defray costs incurred by the program, measurably expand the program, or improve the quality of services above the level of services already funded under the allocation agreement.

LLAs may use funds from interest earned to purchase items in the approved scope of work (i.e., incentives, media, promotional items, etc.) or temporary help (and the fringe benefit expenses associated with the temporary help position) without obtaining **additional** prior written approval (the written approval of the CTCP constitutes prior written approval). These funds cannot be used to supplement fringe benefit expenses for regular staff or for Indirect Cost expenses.

Prior written approval will be required to use these funds for equipment purchases or for purchases of any items not in the approved scope of work (i.e., consultants, media, etc.).

The LLA must comply with the following:

- Obtain prior written approval from CDHS/TCS to use interest earned money from the trust account to purchase items/services not in the approved scope of work. Refer to Section I of this manual for the procedures and format to follow in obtaining approval.

- Maintain adequate documentation of the receipt and use of such interest. Once approval is obtained to use interest earned money, the LLA must report the use of these monies during the cost report period in which they were spent. Refer to Section I for the procedures and format to follow in submitting cost reports.

- Return to the State any unexpended interest remaining in the trust account, if funding authority for this allocation agreement expires or the agreement is canceled. Refer to your allocation agreement for more information. CDHS/TCS will provide detailed instructions on how to return unexpended interest in the latter part of the agreement term.

2. Competitive Grantees

These projects may have earned interest by obtaining an advance payment on the first fiscal year amount of their contract award. Specific provisions of the contract do not allow for the use of interest earned to defray program costs, measurably expand the program, or improve the quality of services above the level of services already funded under their contract. If you obtained an advance payment, any interest accruing from this advance payment is to be returned to the state prior to the contract expiration or termination date. Refer to the advance payment provisions of your contract for more information.

Generated Revenue

Please read carefully the generated revenue clause in your contract. CDHS/TCS would prefer that the programs use the funds in their contract to conduct business rather than generate revenue to pay for program activities. If the program feels it is absolutely necessary that they generate revenue, then the program must comply with the following:

- Obtain prior written approval from CDHS/TCS to generate revenue. Refer to Section I of this manual for the procedures and format to follow in obtaining approval.

- Maintain adequate documentation of the receipt and use of these monies. LLAs must report the use of these monies during the cost report period in which they were spent (refer to Section I of this manual for the procedures and format to follow in submitting cost reports). All other contractors may be asked at any time to provide documentation of the receipt and use of these monies.

- Return to the State any unexpended funds, including any interest earned, remaining in the generated revenue account, if funding authority for this contract expires or the contract is canceled. Refer to your contract language for more information. CDHS/TCS will provide detailed instructions on how to return unexpended generated revenue in the latter part of the agreement/contract term.

#05 INFORMATION SECURITY REQUIREMENTS

Adopted 12/06

Chapter 400

Information Security Policy

Contractors and Local Lead Agencies must adhere to their own agency's information security policies. In addition, the contractor must follow the CDHS Health Administrative Manual (HAM), Information Security Policy, Section 6-1000 through 6-1060 where applicable, at http://www.dhs.ca.gov/mcs/psd/MIS_DSS/RFPLibrary/PDFs/HAM/Health_Administrative_Manual_HAM.pdf. This policy outlines CDHS requirements established to address information security and extends to all CDHS personnel, contractors, vendors, clients and customers.

Classification of Data

Automated files and databases should be given appropriate protection from loss, inappropriate disclosure, and unauthorized modification. Files and databases can contain the following types of information listed below. A complete description can be found in the HAM, Information Security Policy, Section 6-1010.2, http://www.dhs.ca.gov/mcs/psd/MIS_DSS/RFPLibrary/PDFs/HAM/Health_Administrative_Manual_HAM.pdf.

1. **Confidential.** Under the Information Practices Act (Civil Code, Sections 1798-1798.70), personal information may not be disclosed in a manner that identifies that individual unless authorized by law. Confidential data needs to be protected from unauthorized access or disclosure.

    a. **Confidential-Critical.** Privileged data that has the most limited access and requires the highest degree of integrity. This is data that will do the most damage to the organization should it be disclosed.

    b. **Confidential-Private.** Data essential to the ongoing operation of the organization and its subsidiaries. It allows the organization to conduct its internal business and maintain support of its applications and business processes.

    c. **Confidential-Restricted.** Data that is intended for internal use within an organization. This data must be protected from unauthorized access, modification, or deletion. Restricted data should only be provided to individuals with a "need to know" and they must be authorized to access the information.

2. **Sensitive Information.** May be either public or confidential and requires special precautions to protect it from unauthorized modifications or deletions.

Information Security Practices

Listed below are examples of security practices contractors should be following. A complete list can be found in the HAM, Information Security Policy, Section 6-1020, http://www.dhs.ca.gov/mcs/psd/MIS_DSS/RFPLibrary/PDFs/HAM/Health_Administrative_Manual_HAM.pdf.

1. Good security practices are expected of each contractor, including using due care to preserve data integrity and confidentiality.

2. Contractors are responsible for the security of their computer and their data. Steps should be taken to protect computer equipment from theft and unauthorized use.

3. Computer and equipment resources should be used for business purposes.

4. Desktop systems should be kept in a secure area. Confidential data should not be stored on a personal computer unless adequate precautions have been taken.

5. Network passwords and password protected screen savers should be used. Passwords should not be shared. Use an unusual combination of 8 characters or more for a secure password. Passwords should not be written down, posted where they may be accessed or included in a data file, log-on script, or macro. Passwords should be changed immediately if revealed or compromised.

6. Computer software should be acquired from reputable sources that will ensure the integrity of the software.

7. Software license agreements, terms and condition, and copyright laws shall be strictly followed.

8. All computers should have anti-virus and security patches up to date.

9. Back-up and recovery procedures should be in place with each agency.

Mobile Computing Policy

For the purposes of this Policy, mobile devices are defined as any portable device such as laptops, Personal Digital Assistants (PDA's), a handheld device that serves as a beefed-up organizer or toned-down laptop. In addition, some PDAs combine the computing functions with telephone/fax, Internet and networking features, tablet PCs, etc. As a reminder, all mobile devices remain the property of CDHS/TCS. CDHS/TCS

will require proper State identification labels and will provide procedures for tagging, reporting, and retrieving equipment.

1. Competitive Grantees must follow the CDHS mobile computing policy as listed in the HAM, Information Security Policy, Section 6-1020.9, http://www.dhs.ca.gov/mcs/psd/MIS_DSS/RFPLibrary/PDFs/HAM/Health_Administrative_Manual_HAM.pdf.

2. Local Lead Agencies must adhere to their own local agency mobile computing policy. However, if the local lead agency does not have a mobile computing policy, those agencies must adhere to the CHDS mobile computing policy as listed in the HAM, Information Security Policy, Section 6-1020.9, http://www.dhs.ca.gov/mcs/psd/MIS_DSS/RFPLibrary/PDFs/HAM/Health_Administrative_Manual_HAM.pdf.

Below are some of the agency's responsibilities for the security of their mobile devices and the information they contain. A complete description of this policy can be found in the HAM, Section 6-1020.9, http://www.dhs.ca.gov/mcs/psd/MIS_DSS/RFPLibrary/PDFs/HAM/Health_Administrative_Manual_HAM.pdf.

1. Confidential information containing names, social security numbers, medical or financial information should not be downloaded or stored on mobile devices unless absolutely necessary for program operations. Employees must use an encryption product when storing confidential information.

2. In cases where use of mobile devices for downloading or storage of confidential information has been determined to be absolutely necessary, contractors are required to delete information from their mobile device if it is clearly no longer needed or potentially useful. Use of an "erase" feature (e.g., putting a document in a virtual recycle bin) is not sufficient for confidential information because the information may still be recoverable. Confidential data must be deleted via an overwrite (zeroization) program or other such approved device.

3. Mobile devices must be protected by a power-on password and contractors must use an approved encryption product when storing confidential information.

4. Mobile devices must not be left unattended at any time and precautions should be taken to ensure other persons cannot view on-screen data in public places.

5. Contractors should make available laptops to their LAN Administrator monthly for regular maintenance and PDAs (includes Blackberries) should be tethered to the PC for synchronization and encryption updates on a weekly basis.

6. When an employee is allocated a mobile device, the mobile device remains the property of the agency and CDHS/TCS, and upon termination of employment the individual must return the mobile device to their LAN administrator or supervisor.

7. If a mobile device is lost or stolen, employees must notify their manager or supervisor and CDHS/TCS Contract Manager immediately.

Internet/Electronic Mail

Contractors who access the Internet and/or E-mail are to follow these guidelines to conduct official CDHS/TCS related business. A complete description of the CDHS policy can be found in the HAM, Information Security Policy, Section 6-1030, http://www.dhs.ca.gov/mcs/psd/MIS_DSS/RFPLibrary/PDFs/HAM/Health_Administrative_Manual_HAM.pdf.

Any confidential information sent through the Internet and/or E-mail could be intercepted, modified, misdirected, or destroyed by unauthorized persons if adequate access controls are not in place. Encryption, authentication, and/or any other security schemes should be used to ensure that data is secure and made available only to the appropriate and intended recipients.

The intentional use of CDHS/TCS resources for personal advantage, gain, or profit is inconsistent, incompatible, and in conflict with the duties of officers, contractors, and employees. Examples of inappropriate use include, but are not limited to, viewing, sending, creating, and/or downloading any information that:

1. Violates or infringes on the rights of any other person, including the right to privacy;

2. Contains defamatory, false, abusive, obscene, pornographic, profane, sexually oriented, threatening, racially offensive, or otherwise biased, discriminatory, or illegal material;

3. Violates agency or departmental regulations prohibiting sexual harassment, and/or discrimination;

4. Conducts, engages, or solicits the performance of any activities in violation of any state, federal or local laws, regulations, rules, executive orders or agency or departmental regulations, policies or directives;

5. Conducts any political activity;

6. Engages in any activity for personal gain or personal business transactions;

7. Makes any unauthorized purchases; or

8. Uses data for private gain, or divulges confidential departmental information or records unless officially authorized to do so.