Local Lead Agency Tobacco Control Budget Justification

LLA 2013-17
Guidelines
November 7, 2012

Presented by CTCP Procurement Manager:
Robert Thurman

Budget information, and technical assistance.

Plans are due in OTIS by 5pm PT, January 15, 2013.

Plans are reviewed and scored according to ***criteria.***

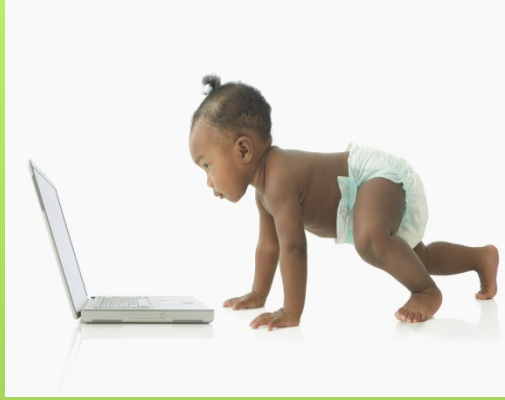
Bridge year + 3 Additional Years

“2 Phase 4 Year Plan”

PHASE I – THE BRIDGE YEAR

- √ Allow LLA’s time to assess local need and plan options based on findings.
- √ “Roll-out” the retail environment campaign.
- √ Plan for years 2-4.

The right budget planning can support your activities as well as your head!



READ budget requirements and instructions at:

TCFOR - Tobacco Control Funding Opportunities & Resources

TCFOR HOMEPAGE

https://tcfor.catcp.org/

https://tcfor.catcp.org/

California Tobacco Control Program

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Funding Opportunities and Resources

Funding Opportunities | Project Directory | Evaluator Directory | CTCP Websites

The California Tobacco Control Program (CTCP), California Department of Public Health (CDPH) provides information on available funding opportunities to conduct:

- local tobacco control projects by community-based organizations and local health departments,
- statewide training and technical assistance projects,
- statewide evaluation/surveillance projects, and
- statewide paid media and public relations projects.

Resource documents, links to directories and websites, and information about trainings that help applicants with the preparation and submission of an application are also provided.

Funding Opportunities
Provides information about current funding opportunities, eligibility requirements, submission requirements, contract documents, and resources to help agencies prepare and submit an application to the California Tobacco Control Program.

Project Directory
Provides contact information and project descriptions for agencies currently funded by CTCP.

Local Program Evaluator Directory
Find contact information, qualifications and geographic availability of local program evaluators interested in working with local tobacco control projects in California.

CTCP Featured Websites
Find links to websites maintained by the CTCP, statewide CTCP-funded projects, and key national tobacco control organizations.

TCFOR Home | Funding Opportunities | Project Directory | LPE Directory | CTCP Websites
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TCFOR = Guidelines Information

- **- Work Statement** ***(Basic requirements and review criteria)***
- **- Application/Proposal Plan Requirements and Instructions** ***(Specific guideline details)***
- **-Administrative and Program Requirements** ***(Agency requirements to operate the plan)***

TCFOR = Guidelines Information

- ~ CTCP Program Priorities Overview

  (CTCP priority areas)

- Appendices & Related Materials – (***Extra stuff about the Guidelines and your Plan)***

TCFOR = Guidelines Information

LLA Allocation Agreement:

- **2013-2014 LLA Allocation Agreement Terms** (Cover page)
- **Exhibit A - Scope of Work**
- **Exhibit B – Budget Detail and Payment Provisions**
- **Exhibit C – Additional Provisions**
- **Exhibit D(S) – Special Terms and Conditions**

LLA Administrative & Policy Manual and Program Letters

REMINDERS

Staffing Policy – No minimum FTE requirement for a Project Director/Coordinator,

Equipment Policy – Laptop computers are allowed if they are encrypted.

Handheld Survey Device – 1 device for each 15 to 20 survey sites.

What is an OTIS Budget Justification?

√ Explains expenses.

√ Connects expenses to each activity in the SOW.

√ Directly supports activities.

OTIS Budget Justification Index Showing the 8 Budget Categories

https://otis.catcp.org/index.cfm?fuseaction=budget.index

CTCP Tobacco Contro... | CDHS Is Reorganized | OTIS v2

OTIS California Department of Public Health, California Tobacco Control Program
Online Tobacco Information System

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CG 10-100 Local Tobacco Control Interventions Renewal: ALAC PM

Procurement Tools | View Application | Approve Application | Expense | Communications | Reports | Contract Management | Help

Application

- Application Index
- Contact Information
- Background Information
- Evaluator Information
- Scope of Work
- Budget Information
  - Budget Justification
- Additional Documents
- Application Submission

Administration

Budget Justification Index

BUDGET SECTION	FY 13/14	FY 14/15	TOTAL	ACTION(S)
A. Personnel Costs	$ 0	$ 0	$ 0	View
B. Fringe Benefits	$ 0	$ 0	$ 0	View
C. Operating Expenses	$ 0	$ 0	$ 0	View
D. Equipment Expenses	$ 0	$ 0	$ 0	View
E. Travel/Per Diem and Training	$ 0	$ 0	$ 0	View
F. Subcontracts and Consultants	$ 0	$ 0	$ 0	View
G. Other Costs	$ 0	$ 0	$ 0	View
H. Indirect Expenses	$ 0	$ 0	$ 0	View
Total Expenses	$ 0	$ 0	$ 0	

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A Good OTIS Budget

- √ Well planned, easy to follow expenses for each SOW activity.
- √ Provides a complete explanation with formulas, as necessary, for each budget line.
- √ Describes cost and how the expense supports SOW activities.
- √ Provides ranges to explain activity cycles during the Bridge Plan term.
- √ Check your formulas.
- √ Use the OTIS Wizard for help.

Information to help explain budget categories.

The OTIS WIZARD

OTIS WIZARD

https://otis.catcp.org/index.cfm

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Budget Justification

Budget Line Item Wizard

The Budget Line Item Wizard will help fill in the Add Personnel Costs form based on your selections below.

After making a selection, you will be returned to the Add Personnel Costs form where you will need to review the wizard provided text and make any needed revisions.

Important:

- If a sample entry from this Wizard is selected, any text already in the Title or Description fields of the current Add Personnel Costs Form may be overwritten by the Wizard.
- Some fields may not be filled in by the Wizard. You will need to review the entire form to make sure that all needed information has been provided and is correct.
- Some of the Wizard provided text may include "blanks" where you should fill in information. These "blanks" will be indicated in one of these ways:
  - _____ -- You should be able to double-click on each "blank" to highlight it for editing.
  - (date range) - This format indicates what should be filled into the "blank". In this case, the date range should be entered in place of "(date range)".

Fields in RED are required.

Budget Category: Personnel Costs
Description: Project Director

Sample Activities: Provides direct administration, supervision, and leadership to the tobacco education program. Supervises program staff, completes progress reports and coordinates the activities of the project. Acts as program contact person for administrative and fiscal matters. Approves budget, invoices/cost reports and staff changes. Conducts day-to-day planning, development and implementation of the plan. _____ [identify activities in the SOW to support duties]. ___% of time is spent overseeing the evaluation activities

Use This

Cancel

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OTIS BJ - Personnel Costs

- ✓ Position titles must be consistent throughout the plan.
- ✓ Be specific when describing duties.
- ✓ Connect responsible parties to activities in the SOW.

OTIS BJ - Personnel Costs

- ✓ Provide a formula:

  Salary x FTE % x number of pay periods = high/low total

- ✓ Designate a lead staff for evaluation oversight.

  Minimum of 4 hours weekly.

Personnel

- ✓ Project Director
- ✓ Health Education Specialist
- ✓ Program Evaluator
- ✓ Youth Program Coordinator
- ✓ Media Specialist
- ✓ Office Technician

OTIS WIZARD TIP

When using the OTIS Wizard

- ✓ Input the OTIS Wizard first - then add additional narrative.
- ✓ If you input first – then select the OTIS Wizard – the Wizard narrative will replace all input.
- ✓ Save your work.

Fringe Benefits

- ✓ List each fringe benefit.
- ✓ Identify staff that will not receive fringe benefits.
- ✓ Employee leave is a salary cost and not a fringe benefit.
- ✓ Enter a fringe benefit percentage for each FY.
- ✓ Use a range, if necessary.

Fringe Benefits

Review the Wizard narrative and check the information.

Revise the input according to your need.

Remember to correct the Wizard range & percentage as appropriate for your agency.

Operating Expenses

CTCP Communications Network (OTIS, & Partners)

Space Rent/Lease are required subcategories.

If your agency does not budget these two required items; then, provide a narrative to explain the $0 budget amount.

Other Operating Expenses – Explain the item in narrative, provide a formula or describe how the budget was determined – always connect the expense to the SOW activity.

Example formula: $50 per month X 12 months = $600.

Other Operating Expense Options

- ✓ Postage and Shipping
- ✓ Printing
- ✓ Duplicating
- ✓ Office and Project Supplies
- ✓ Subscriptions and Dues
- ✓ Equipment Rental
- ✓ Data Processing Services

Wizard Example

Includes monthly administrative charges (mainframe support) and estimated hours of usage of personal computer (network) support and Internet connection to Partners. Internet fees average $100 per month x 12 months = $1,200.

Wizard Example

In-house duplication of project correspondence, progress reports, evaluation reports, invoices, mass mailings, and other materials in support of SOW activities.

$10/per month x 10 months = $100.

EQUIPMENT

- √ Request computer equipment or software to complete SOW activities.
- √ Request mobile equipment to achieve better communication and activity completion.
- √ Remember to include any ***new*** information related to the retail campaign.
- √ PC/PM will review each agency request and respond to need.

EQUIPMENT EXAMPLE

The agency computer system was purchased 5 years ago and does not meet the current CTCP computer minimum specifications. Our agency is requesting to upgrade 1 workstation which is utilized by the Project Director. The work-station will allow:

- √ Access to OTIS, Partners, TCFOR and other CTCP statewide TA services;
- √ Complete SOW activities;
- √ Complete progress and costs reports;
- √ Provide online communications with project consultants & subcontractors;
- √ Access Project Directors Association information.

Estimated cost is $1,500 for the work-station upgrade.

TRAVEL & TRAINING

- √ Travel and training must be justified and connected to SOW activities.
- √ Meet LLA instructions for required travel and training.
- √ Use county rates to estimate travel reimbursements – ***<u>because</u>*** - Travel is paid at the county rates.

TRAVEL & TRAINING

OTIS TRAVEL SUBCATEGORIES

√ Project Travel/Training

√ CTCP Travel/Training

√ Required CTCP Travel/Training

√ Out-of-State Travel

TRAVEL EXAMPLE

Agency staff to attend the CTCP Project Director's Meeting in FY 2013/14. The meeting is budgeted at:

$750/per person

TRAVEL & TRAINING

- Note: Any required travel monies budgeted, but not attended, cannot be used for other purposes. Funds will revert to CTCP at the end of FY 13/14.

SUBCONTRACTS

- √ Subcontracts are helpful for completing SOW activities where completion and results are the end product.
- √ Subcontract staff are salaried, usually with fringe benefits, operating expenses and indirect costs.
- √ Subcontractor's may complete a specialized task that is directly connected to activity achievement.
- √ Subcontractors listed in the budget justification must also be referenced as a responsible party in the SOW.

CONSULTANTS

- √ Consultants possess expertise above the skill and experience level of LLA staff.
- √ Consultants provide technical advisement on program activities to problem solve issues and offer solutions to complete activities.
- √ Consultants listed in the budget justification must also be referenced as a responsible party in the SOW.

OTHER COSTS

- √ CTCP required items –
  - √ Educational Materials
  - √ Behavior Modification Items
  - √ Media
  - √ Sponsorships
- √ Assure Other Costs expenses in the budget justification are identified and connected to the SOW.
- √ Enter a simple to follow category narrative then add a formula, when appropriate, and budget total.
- √ When appropriate, indicate materials comply with current CDPH guidelines.

Note: Please refer to the TCFOR Appendix: Program Letter 12-01

OTHER COSTS
Examples

Lassen County LLA©/™

- √ Booth and Event Space
- √ Outside Facilities Cost
- √ Coalition Meeting Expenses
- √ Project Director's Association Dues

Indirect Costs/Expenses

- √ Indirect Costs are admin/fiscal support …..but do not connect directly to specific SOW activities.

- √ Indirect Costs cannot exceed 15% of the salary plus fringe benefit total.

INDIRECT COST Example:

Indirect costs at approximately 12% - 15% of Personnel (Salary + Fringe Benefits) may include cost share for administrative/fiscal overhead:

√ Executive Director, Finance Director, Health Officer

√ accounting, bookkeeping, payroll services,

√ audit, SCO statewide cost accounting requirements,

√ county legal,

√ utilities, building maintenance, equipment maintenance,

√ janitorial and cleaning services,

√ liability insurance costs.

13 TIPS to help your plan

1. Read the Guidelines carefully & follow the instructions.

2. Check spelling & check all formulas.

3. Narratives should be specific, easy to follow and clearly connect to the scope of work.

13 TIPS to help your plan

4. Position titles should be consistent in BJ & SOW.

5. Follow lead position requirements as indicated in the CTCP Policy Manual, Chapter 400.

6. Provide evaluation oversight at a minimum of 4 hours weekly.

13 TIPS that can help your plan

7. List each fringe benefit.

8. Justify all required budget categories correctly.

9. Equipment narratives should be specific and well justified. Provide benefits to staff and how the equipment will be utilized.

13 TIPS that can help your plan

10. Justify travel and connect to SOW.
11. ED. Materials = TECC and USC Team Lab
12. BMM's are earned for participating.
13. List indirect costs. Must be consistent w/State policy and meet your Countywide Cost Allocation Plan.

Budget Questions

QUESTIONS or COMMENTS?

Thanks for your time and attention.

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