Local Lead Agency 2013-2017 Phase II Comprehensive Tobacco Control Plan Review

Online Reviewer Training

December 18, 2013
1:30 PM – 3:30 PM PST

Presenters

- **Gabriela Pasat**

Program Consultant, Local Programs Advocacy Campaigns Unit

- **Robert (Bob) Thurman**

Procurement Manager, Federal Projects Unit

- **Humberto (Beto) Jurado**

Technology Projects Analyst, Knowledge Management Unit

Agenda

- Welcome & General Announcements
- Peer Review Training
  - Local Lead Agency (LLA) Comprehensive Tobacco Control Plans (Phase II)
  - Review Process Timeline, Structure & Resources
  - Reviewer Roles & Expectations
  - Individual Review Tool
- Online Tobacco Information System (OTIS) Reviewer Tool Training
- Q & A Session

General Information

- **Audio**: All participants will be on mute during the webinar.

- **Questions:** Use the Chat Box to type questions during the webinar. Responses will be provided at the end.

- **Materials:** The recording of the webinar will be made available on the California Tobacco Control Program Funding Opportunities and Resources (TCFOR) website: **https://tcfor.catcp.org/**

LLA Comprehensive Tobacco Control Plans

- Local health departments are designated as Local Lead Agencies (LLAs) for each health jurisdiction in CA (as a result of Prop 99 funding)
- LLAs are required to periodically prepare and submit a comprehensive tobacco control plan to CTCP
- The four-year term for 2013-17 has two Phases:

  - Phase I: July 1, 2013 through June 30, 2014 (one year)

  - **Phase II: July 1, 2014 through June 30, 2017 (three years)**

- The CTCP 2013-2017 Phase II LLA Comprehensive Tobacco Control Plan Guidelines document (Guidelines) directs each of the 61 designated LLAs in the development of the Plan as required by HSC.

Review Process
Timeline & Structure

LLA Plan Submit Deadline

- LLA Phase II Plans submitted to CTCP on December 17, 2013 at 5 PM

Individual Reviews

- Online individual reviews of the Plans: December 20, 2013 - January 10, 2014 at 11:59 PM

Review Meeting

- In-person, consensus group review meeting: January 15-16, 2014 – 8:00 AM - 5:00 PM at the Hyatt Regency Sacramento

Review Process- Resources

- **LLA Comprehensive Tobacco Control Plan Guidelines**

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.

- **Review Tool**

OTIS California Tobacco Control Program Online Tobacco Information System

California Tobacco Control Program

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- 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.

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Funding Opportunities

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- Archive

Funding Opportunities

The *Funding Opportunities* site includes information on open and upcoming calls for proposals/applications; instructions on how to apply; archives of past funding opportunities; FAQs; and a sign-up for Email alert services.

Title	Opening Date	Closing Date
2013-17 PHASE II LOCAL LEAD AGENCIES COMPREHENSIVE TOBACCO CONTROL PLAN GUIDELINES	Oct 8 2013	Dec 17 2013 5:00 PM PST
CTCP 14-10010 Reducing Tobacco-Related Inequities Interventions	November 19, 2013	January 9, 2014 5:00 p.m. PST
RFP 14-10003 California Tobacco Control Program Advertising Campaign	12/02/2013	12/20/2013 5:00PM PST

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Application Information

- 2013-2017 PHASE II LOCAL LEAD AGENCY COMPREHENSIVE TOBACCO CONTROL PLAN GUIDELINES (PDF - 428.99 Kb)
- APPENDIX 1. 2013-2017 LLA FUNDING ALLOCATION TABLE (PDF - 53.42 Kb)
- APPENDIX 2. ADMINISTRATIVE AND POLICY MANUAL FOR LOCAL LEAD AGENCIES AND COMPETITIVE GRANTEES (PDF - 403.01 Kb)
- APPENDIX 3. CORE AND RECOMMENDED INDICATORS AND ASSETS (PDF - 18.81 Kb)
- APPENDIX 4. 2012 COMMUNITIES OF EXCELLENCE INDICATORS AND ASSETS LIST (PDF - 199.82 Kb)
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- APPENDIX 7. 2014-2017 HEALTHY STORES FOR A HEALTHY COMMUNITY CAMPAIGN INDICATORS (PDF - 22.30 Kb)
- APPENDIX 8. REQUIRED HEALTHY STORES FOR A HEALTHY COMMUNITY ACTIVITIES (PDF - 373.55 Kb)
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- APPENDIX 16. COMPUTER SOFTWARE MINIMUM SPECIFICATIONS (PDF - 77.72 Kb)
- APPENDIX 17. COMPARABLE STATE CIVIL SERVICE CLASSIFICATIONS (PDF - 12.73 Kb)

- Online Tobacco Information System (OTIS)
  - A secure, password-protected knowledge management system.
  - Used for applications submission, **applications review and scoring**, scope of work and budget revisions and progress reports submission and approval.
  - Accessible 24 hours per day, 7 days per week.

Review Process
Individual Reviews

- LLA Phase II Plans OTIS submission deadline: December 17, 2013 at 5 PM
- Four to six LLA Phase II Plans will be assigned in OTIS to **each of the eleven groups** by December 20, 2013
- Each member of the reviewing group will be given either a **Scoring Reviewer** or a **Non-scoring Reviewer** role for each of the plans assigned to the group
- Each reviewer is expected to **score ALL sections** of **ALL** the plans that they have been assigned to as a **Scoring Reviewer**

LLA 2014-2017 Funding Tiers

Tier 1				Tier 2	Tier 3
Alameda	Inyo	Mono	Shasta	Orange	Los Angeles
Alpine	Kern	Monterey	Sierra	San Diego	
Amador	Kings	Napa	Siskiyou	San Francisco	
Berkeley	Lake	Nevada	Solano	Santa Clara	
Butte	Lassen	Placer	Sonoma		
Calaveras	Long Beach	Plumas	Stanislaus		
Colusa	Pasadena	Riverside	Sutter		
Contra Costa	Madera	Sacramento	Tehama		
Del Norte	Marin	San Benito	Trinity		
El Dorado	Mariposa	San Bernardino	Tulare		
Fresno	Mendocino	San Joaquin	Tuolumne		
Glenn	Merced	San Luis Obispo	Ventura		
Humboldt	Modoc (California	San Mateo	Yolo		
Imperial	Health	Santa Barbara	Yuba		
	Collaborative)	Santa Cruz			

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Individual Reviews

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- Each member of the reviewing group will be given either a **Scoring Reviewer** or a **Non-scoring Reviewer** role for each of the plans assigned to the group
- Each reviewer is expected to **score ALL sections** of **ALL** the plans that they have been assigned to as a **Scoring Reviewer**
- Scores and comments need to be submitted by all the reviewers in OTIS on or before January 10, 2014 at 11:59 PM

REVIEWER GROUPS

Facilitator Name
Group #

Reviewer Name and Role	LLA #1	LLA #2	LLA #3	LLA #4	LLA #5
Plan Expert #1	Reviewer	Reviewer	Reviewer	Non-Scoring Reviewer	Reviewer
Plan Expert #2	Reviewer	Non-Scoring Reviewer	Reviewer	Reviewer	Reviewer
Plan Expert #3	Reviewer	Reviewer	Reviewer	Reviewer	Non-Scoring Reviewer
Evaluation Specialist	Reviewer	Reviewer	Non-Scoring Reviewer	Reviewer	Reviewer
Budget Specialist	Non-Scoring Reviewer	Reviewer	Reviewer	Reviewer	Reviewer

Review Process
Individual Reviews

- Reviewers are provided with an OTIS user account
- The Review Tool in OTIS can be accessed using the assigned username and password
- Comments are important!!
- Scores and comments need to be submitted by all the reviewers in OTIS on or before January 10, 2014 at 11:59 PM

Review Process
In-person Group Review Meeting

- **Date:** January 15-16, 2014 (8:00 AM-5:00 PM)
- **Location:** Hyatt Regency Sacramento
- **Purpose:** To come to a group consensus on the overall quality of each plan, document modifications needed to comply with requirements, and provide guidance on how it can be improved.

Review Process
Consensus Group Review Meeting

Process:

- 11 Groups
- Group composition:
  - 1 Facilitator
  - 1 Budget Expert
  - 1 Evaluation Expert
  - 2-4 Plan Experts
- Group member roles:
  - Scoring Reviewer vs. Non-scoring Reviewer role
  - Facilitator
  - Note taker

Review Process
In-person Group Review Meeting

- Each plan is discussed using the Review Tool as a guide with the goal of achieving group consensus on the overall quality of each plan, modifications needed to comply with requirements, and how the plan can be improved.
- The consensus score and comments are determined based on the in-person discussion.
- The discussion will focus on sections rather than individual questions
- Discussion will cover – overall strengths and weaknesses; the five plan components; and ways to improve the plan.

Review Process
Consensus Group Review Meeting

Additional Information:

- Order of plans to be discussed
- Breaks
- Other logistics

Review Process
General Reviewer Expectations

- Extensive, clear, constructive and meaningful comments
- Timely submission of forms, plan scores and comments
- Confidentiality

Plan Index	Plan Subsections	Review Tool - Scoring Sections
Contact Information	• Agency and Contract Information • Project Director • Fiscal Contacts • Health Officer • Agency Signatory	
Background Information	• Media Profile • Coalition Functioning • Coalition Membership • Demographic and Tobacco-Related Disease Profile • Indicator Assessment • Asset Assessment • Social Disparities Capacity Assessment	➢ Coalition Information (10 points) ➢ CX Needs Assessment (15 points)
Evaluator Information	• Evaluator Selection	
Scope of Work	• Interventions Activity Plan • Evaluation Design • Narrative Summary	➢ Objectives and Intervention Plan (23 points) ➢ Evaluation Plan (17 points) ➢ Narrative Summary and Theory of Change (10 points)
Budget Information	• Budget Justification	➢ Budget Justification (25 points)

PLAN SCORING SECTIONS

Component	Points
Coalition Information	10
Communities of Excellence (CX) Needs Assessment	15
Scope of Work	40
Narrative Summary	10
Budget Justification	25
	100 pts

Passing Score = 75+ points

Peer Review Scoresheet

Edit Overall Comments

Applicant:

Project Name:

Funding Allocated:

Scoring :

Section	Possible Points	Awarded Points
Coalition Information	0 to 10	0
Communities of Excellence (CX) Needs Assessment	0 to 15	0
Scope of Work (Phase II): Objectives, Intervention, and Evaluation	0 to 40	0
Narrative Summary and Theory of Change	0 to 10	0
Budget Justification	0 to 25	0
TOTAL:	**0 to 100**	**0**

Pass/Fail:

Overall Application Strengths:

Overall Application Weaknesses:

Coalition Information

- **10 points** within 2 questions
- **Coalition Functioning** - the LLA demonstrates a fully functioning adult coalition with by-laws or operational procedures that fulfill a set of criteria
- **Coalition Membership** - the LLA demonstrates diverse community representation, with participation of local community organizations with special experience in community health education against tobacco use and representation of high risk populations

Coalition Information

Edit Coalition Information Review

Reference: 2013-2017 Phase II Comprehensive Tobacco Control Plan Guidelines, pp. 21-22

1. Coalition Functioning
   Does the Local Lead Agency (LLA) demonstrate the existence of a fully functioning adult coalition with by laws or operational procedures including: a) an organizational structure b) a mission statement, c) roles and responsibilities of coalition members and the designated coalition chair who is not an LLA or a department employee, d) evidence of regular meetings (either in person or via teleconference or web conference), e) coalition appointment, membership length, and meeting frequency, f) a formal process for recruiting and orientating new coalition members, g) the provision of periodic training to coalition members, h) a system for routine and rapid communication, i) an assessment of coalition's satisfaction with operations and activities, completed within the last 18 months j) LLA staff capability to provide logistical and budget support to facilitate the work of the coalition, and k) the LLA staff provide logistical and budget support to facilitate the work of the coalition?

2. Coalition membership
   Does the coalition membership demonstrate:
   - Diverse community representation, which extends beyond traditional health, education, and social service organizations?
   - Cultural, racial/ethnic diversity in proportion to the overall population in the geographic area served?
   - Participation and involvement of local community organizations with special experience or expertise in community health education against tobacco use and representation of high risk populations?

Coalition Information

Reference: 2013-2017 Phase II Comprehensive Tobacco Control Plan Guidelines, pp. 21-22

1. Coalition Functioning

   Does the Local Lead Agency (LLA) demonstrate the existence of a fully functioning adult coalition with by laws or operational procedures including: a) an organizational structure b) a mission statement, c) roles and responsibilities of coalition members and the designated coalition chair who is not an LLA or a department employee, d) evidence of regular meetings (either in person or via teleconference or web conference), e) coalition appointment, membership length, and meeting frequency, f) a formal process for recruiting and orientating new coalition members, g) the provision of periodic training to coalition members, h) a system for routine and rapid communication, i) an assessment of coalition's satisfaction with operations and activities, completed within the last 18 months j) LLA staff capability to provide logistical and budget support to facilitate the work of the coalition, and k) the LLA staff provide logistical and budget support to facilitate the work of the coalition?

Score: -- Select One --

Comments:

PLAN SCORING SECTIONS

Component	Points
Coalition Information	10
Communities of Excellence (CX) Needs Assessment	15
Scope of Work	40
Narrative Summary	10
Budget Justification	25
	100 pts

Passing Score = 75+ points

CX Needs Assessment

- **15 points** within 3 questions
- Summary of the CX Needs Assessment findings for each indicator and asset that was assessed as part of the process
  - Meaningful use of quantitative and qualitative data to support the assessment findings
  - Coalition member involvement in the process
- Assessment of the LLA's capacity to address social disparities

CX Needs Assessment

Edit Communities of Excellence (CX) Needs Assessment Review

Reference: 2013-2017 Phase II Comprehensive Tobacco Control Plan Guidelines, p. 22

1. Does the LLA demonstrate the use of quantitative and qualitative data to support assessment findings and provides sufficient comments to justify and support the ratings?

2. Does the Social Disparities Capacity Assessment and narrative describe the LLA's strengths and weaknesses that can be leveraged or improved through the addition of scope of work activities that reach out to engage priority population groups in an effective and culturally relevant manner?

3. Does the LLA demonstrate that coalition members were involved in the CX process?

Communities of Excellence (CX) Needs Assessment Total Score: 0 (Possible Points: 0 to 15)

Minimum Plan Requirements by Tier

Requirement	Tier 1	Tier 2	Tier 3
CX Needs Assessment - Core Indicators/Assets: Required number of **core** indicators and assets to be assessed (See Appendix 3, for the *Core and Recommended Indicators and Assets* list).	9	9	9
CX Needs Assessment – Non-Core Indicators/Assets: Required number of **LLA selected** indicators and assets to be assessed. A list of *Core and Recommended Indicators and Assets* is provided (see Appendix 3, *Core and Recommended Indicators and Assets)*; however, the LLA can select indicators or assets that are not included in the list provided by CTCP. See Appendix 4, *2012 Communities of Excellence Indicators and Assets* and Appendix 5, *Communities of Excellence in Tobacco Control, A Communities of Excellence Needs Assessment Guide.* **Note:** Plans with a CX Needs Assessment that scores below 8 points will be required to conduct a re-assessment before their Plan may be approved.	2	4	7

Application Information

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Scope of Work	40
Narrative Summary	10
Budget Justification	25
	100 pts

Passing Score = 75+ points

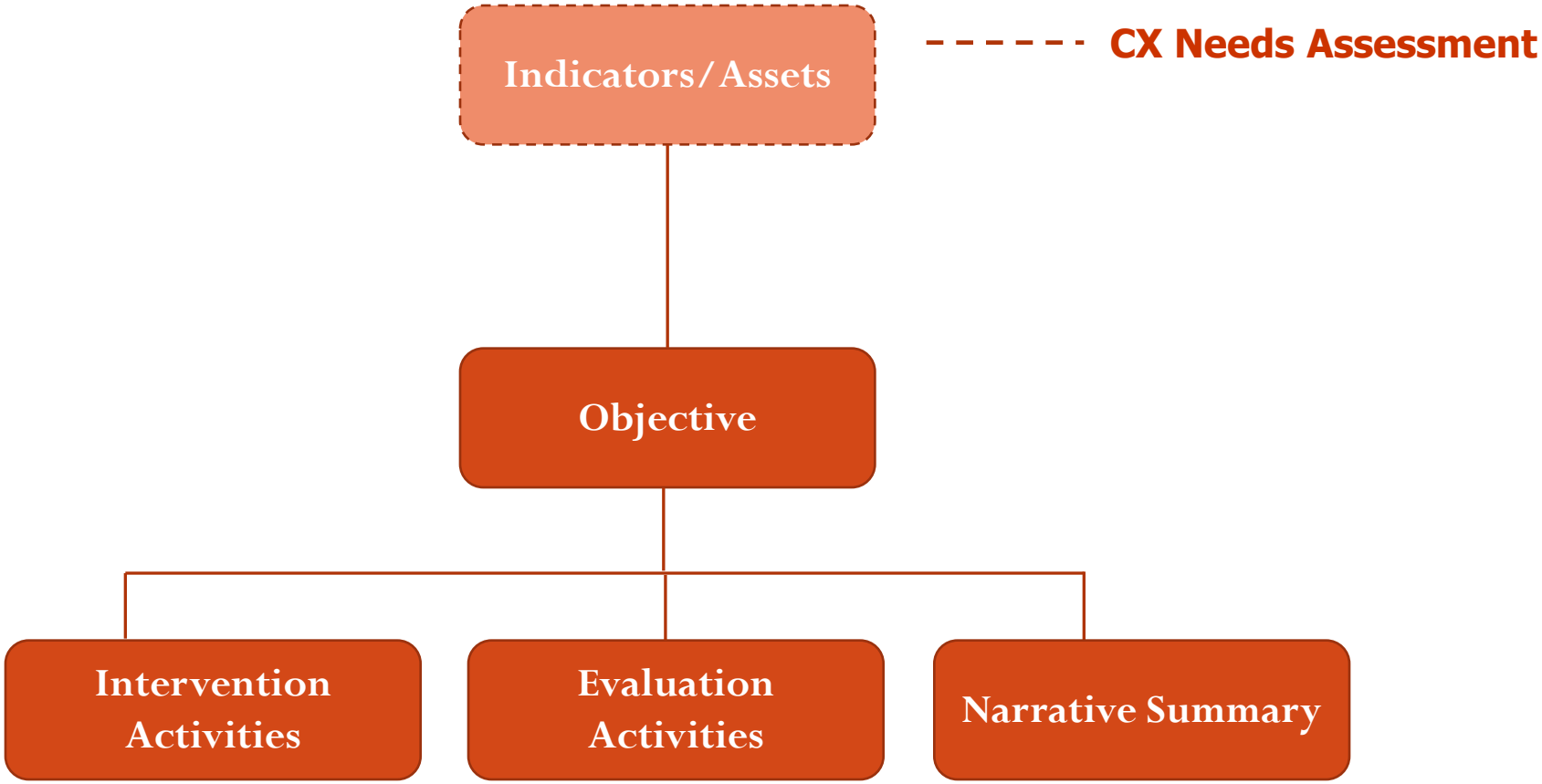
Scope of work (SOW)

- 40 points within 8 questions
- Objectives and Intervention Plan: 4 questions, **23 points**

  and

- Evaluation Plan: 4 questions, **17 points**

Scope of Work



Scope of Work Requirements

Tier 1	Tier 2	Tier 3
▪ Total number of objectives: **3** ▪ Number of primary objectives: **1** ▪ Policy/System Change objectives: **1** ▪ Number of objectives in different priority areas: **2** ▪ Number of objectives based on an asset of choice: **1** ▪ Number of objectives required to focus on the retail environment: **1**	▪ Total number of objectives: **3** ▪ Number of primary objectives: **1** ▪ Policy/System Change objectives: **1** ▪ Number of objectives in different priority areas: **2** ▪ Number of objectives based on an asset of choice: **1** ▪ Number of objectives required to focus on the retail environment: **1**	▪ Total number of objectives: **4** ▪ Number of primary objectives: **2** ▪ Policy/System Change objectives: **2** ▪ Number of objectives in different priority areas: **3** ▪ Number of objectives based on an asset of choice: **1** ▪ Number of objectives required to focus on the retail environment: **1**

Policy/System Change Objective

- Legislated or voluntary policies
- *Policy adoption* or *policy adoption and implementation*
- Completion of the Midwest Academy Strategy Chart

Scope of Work Scoring Questions

A. Objectives and Intervention Plan (23 points)

Reference: 2013-2017 Phase II Comprehensive Tobacco Control Plan Guidelines, pp. 6-11 and pp. 22-23

1. Is the SOW consistent with the Minimum Requirements identified in the Guidelines document in Table 3, Minimum Requirements by Tier, (pp. 7-11)? Does the plan include:
   - the minimum number of objectives required for the correct funding tier
   - the appropriate number of primary objectives
   - at least one policy/system change objective
   - the minimum number of objectives required to address different Priority Areas
   - at least one asset-based objective
   - at least one Healthy Stores for a Healthy Community Campaign objective?

   Do objectives in the SOW clearly define:
   - Who or what is expected to change?
   - How much change is expected to occur (without including ranges)?
   - Where the change is expected to occur?
   - When the change is expected to occur?

Evaluation Activities

- The last 4 questions in the SOW section dedicated to evaluation activities.
- 17 Points maximum possible for the Evaluation Plan scoring section.

Evaluation Scoring Questions

5. B. Evaluation Plan

   Reference: 2013-2017 Phase II Comprehensive Tobacco Control Plan Guidelines, pp. 23-24

   Is an appropriate evaluation plan included for each objective in the SOW and is each plan appropriate in terms of the evaluation design, sampling strategy, sample size, type of evaluation activities proposed start and end dates, data collection methods, data analysis, and dissemination of findings?

   Does the evaluation plan include appropriate tracking measures to verify completion of activities and does it assign appropriate timelines, copyrights, program deliverable percentages and responsible parties?

6. Does the evaluation plan for each objective measure the extent to which the objective was achieved, provide information that will inform and improve the intervention, and disseminate findings to the community, key opinion leaders, or public health professionals working in tobacco control, as appropriate?

PLAN SCORING SECTIONS

Component	Points
Coalition Information	10
Communities of Excellence (CX) Needs Assessment	15
Scope of Work	40
Narrative Summary	10
Budget Justification	25
	100 pts

Passing Score = 75+ points

Narrative Summary and Theory of Change

- 10 points within 4 questions
- Community Assessment Analysis – synthesize 2013 CX Needs Assessment findings
- Major Intervention Activities Narrative
- Theory of Change Narrative
- Evaluation Summary Narrative

Narrative Summary and Theory of Change

Edit Narrative Summary and Theory of Change Review

Reference: 2013-2017 Phase II Comprehensive Tobacco Control Plan Guidelines, p. 24

1. **Does the Community Assessment Analysis provide a community needs assessment which justifies the indicators and/or assets selected and objectives included in the Intervention Plan? Did the needs assessment incorporate and synthesize findings from the 2013 CX Needs Assessment? For the Healthy Stores for a Healthy Community Campaign objective, does the CX Needs Assessment incorporate findings from the activities performed under the Healthy Stores for a Healthy Community Objective included in the 2013-17 Phase II work plan?**

2. **Does the Major Intervention Categories analysis demonstrate that objectives and activities are appropriate to the specific community(ies) that are the focus of the intervention activities and that high-priority sub-community or population needs are addressed?**

3. **Does the Theory of Change narrative provide a reasonable rationale explaining why the proposed activities are the best approach to achieving the objectives?**

4. **Does the Evaluation Summary Narrative describe a reasonable, realistic, and appropriate evaluation plan for each objective?**

Final Recommendations

- Reviewers are expected to provide a fair and balanced review of the plans. The comments should be clear and there should be enough detail provided for the facilitator to understand how the Reviewer came to a particular conclusion.

- *More* doesn't equate with *better* – a long plan, with multiple activities per objectives is not necessarily better than a plan with less activities.

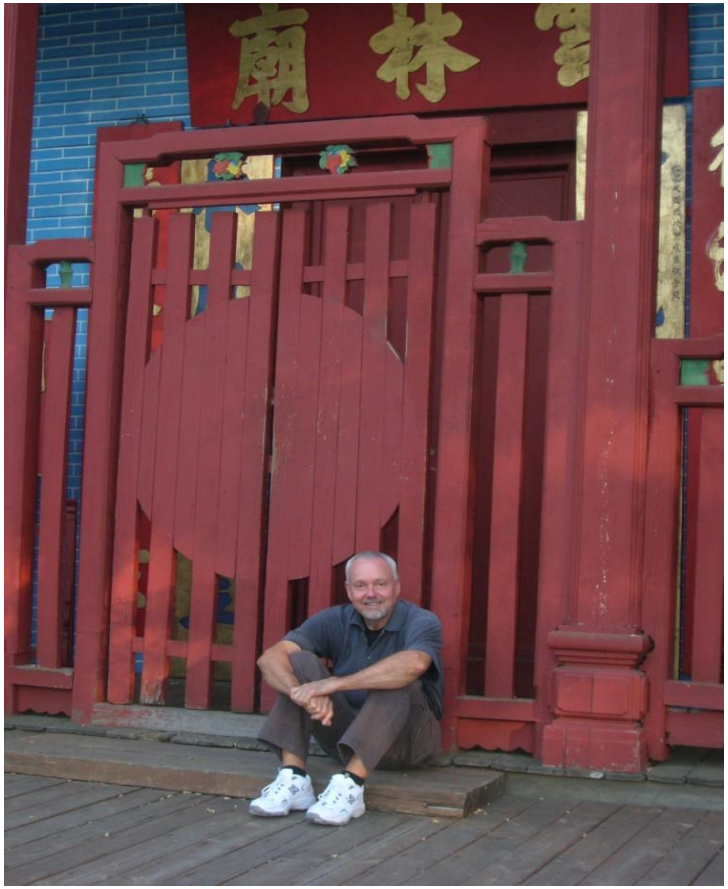
- A good way to start the review is by reading a few of the plans that were assigned to you

- Follow the timeline; submit your reviews (scores and comments) by the due date: January 10, 2014 at 11:59 PM

Thank you!

Scoring the Budget Justification

Presented by –



Bob Thurman , Procurement Manager

Scoring the Budget Justification

- **REVIEW** Appendix 9, BJ Instructions located at the TCFOR website; the OTIS BJ Training Tutorial and the budget section of the Guidelines.
- **REVIEW** the Indirect Cost Questionnaire and Indirect Cost Allocation Plan submitted by each LLA.

Scoring the Budget Justification

- **REVIEW** the complete BJ for each assigned LLA Plan.
- **REVIEW** the scoring tool and determine a strategy for completing each Plan.
- **Review** **CTCP** Program Letter 12-01, which provides information and instructions for BMM's.

Scoring the Budget Justification

- Utilize a consistent scoring method and strategy for each Plan BJ.
- Review of scoring materials (instructions, tutorials, criteria, tool, etc.) may take between 2 to 4 hours.
- Allow 1 to 3 hours to score each Plan BJ.

Scoring Criteria

Criterion	Point Value
The proposed budget is balanced between personnel and program expenses to support the implementation of the proposed SOW and adheres to the instructions provided in: Appendix 9, *Budget Justification Instructions,* OTIS web based training	5
The proposed budget justification clearly describes how the costs associated with the implementation of the proposed SOW were determined. The narrative reflects: • Easy to follow formulas to substantiate how the costs were calculated (monthly/unit rates are provided). • Accurate calculations and detailed descriptions/explanations for each of the eight line items and the corresponding sub-line items identified in the OTIS Budget Justification.	6
The proposed salary/wages/rates for in-house personnel, subcontracted personnel, and consultants are budgeted according to formal education, professional experience, level of responsibility, and/or percentage of time in relationship to the overall budget. Salaries that appear "high" are substantiated with a detailed justification.	3
The proposed subcontract personnel and consultant costs are reasonable, directly support the proposed SOW, and are consistent with the needs of the project and level of responsibility.	3
Travel and Per Diem costs are reasonable and necessary based on the proposed SOW. All required trainings are budgeted as instructed and clearly justified based on local health jurisdiction's proximity to the event.	4
Operating Expenses, Equipment Expenses, Other Costs, Fringe Benefits, and Indirect Expenses are reasonable, necessary, and support the quantity and quality of activities to be performed in the proposed SOW. The narrative includes: detailed description of the expense, justification for the need, and easy to follow formulas to substantiate how the costs were calculated.	4
Total	25

Review Tool Sample

V. BUDGET JUSTIFICATION (25 POINTS)

REFERENCE: Appendix 9, Budget Justification Instructions; 2013-2017 Phase II Comprehensive Tobacco Control Plan Guidelines pp. 16-17 and pp. 24-25; and OTIS web-based budget training.

1. Is the proposed budget balanced between personnel and program expenses to support the implementation of the proposed SOW and does it adhere to the instructions provided in: Appendix 9, *Budget Justification Instructions,* OTIS web based training?

Not Demonstrated	Somewhat Demonstrated			Adequately Demonstrated	
0☐	1☐	2☐	3☐	4☐	5☐

Comments:

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2. Does the proposed budget justification clearly describe how the costs associated with the implementation of the proposed SOW were determined? Does the narrative reflect:

- **Easy to follow formulas to substantiate how the costs were calculated (monthly/unit rates are provided); and**
- **Accurate calculations and detailed descriptions/explanations for each of the eight line items and the corresponding sub-line items identified in the OTIS Budget Justification?**

Not Demonstrated	Somewhat Demonstrated				Adequately Demonstrated	
0☐	1☐	2☐	3☐	4☐	5☐	6☐

Comments:

Scoring the Budget Justification

- **REVIEW TOOL** questions are designed to determine the level to which the Plan BJ has demonstrated adhering to Guideline instructions and criteria.
  - **NOT DEMONSTRATED**
  - **SOMEWHAT DEMONSTRATED**
  - **ADEQUATELY DEMONSTRATED**

Scoring the Budget Justification

- Prior to the review meeting January 15-16, 2014 consult with the budget expert assigned to your group if you have BJ scoring questions.

- Score BJ Plans as if **you** are the funding source.

Scoring the Budget Justification

- Score Plan BJ's in OTIS.
  - A hint is to copy each Plan BJ and make notes prior to completing the scoring tool in OTIS.

REMEMBER

- The BJ **must** follow the Guidelines instructions.
- **Must** provide a comprehensive budget for each FY of the entire Phase II Plan period.
- **Must** accurately detail Plan expenses and connect them to specific SOW activities.

Budget Justification Consists of Eight Cost Categories

- PERSONNEL COSTS
- FRINGE BENEFITS
- OPERATING EXPENSES
- EQUIPMENT PURCHASES
- TRAVEL/PER DIEM and TRAINING
- SUBCONTRACTS/CONSULTANTS
- OTHER COSTS
- INDIRECT EXPENSES

Scoring the Budget Justification

- Review the SOW activities, noting where expenses will be incurred, and determine the appropriate expense categories.
- Calculate the percentage of personnel compared to other category expenses to determine cost ratios.
  - Personnel/Total Budget Amount = Personnel %
  - $70,000/$150,000 = 46%

Scoring the Budget Justification

- The Plan **must** have a primary Director/Coordinator at a time base sufficient to provide complete programmatic oversight.
  - Hint review the SOW responsible party to determine Plan activity involvement from the primary Director/Coordinator.

Scoring the Budget Justification

- Staff listed in Personnel Costs **must** support the SOW directly.
  - Staff less than 10% FTE (approximately 4 hours weekly) should be listed in the indirect expense category.*
- A lead staff person **must** be designated at a minimum of 4 hours weekly to oversee plan evaluation & evaluator.
  - 10% of a 100% FTE = 2080 hours x10% = 208 hours/52 weeks = 4 hours

*Lassen, Napa and Trinity are discussed later.

Scoring the Budget Justification

- Position titles **must** be consistent throughout the Plan.
- Wage rate criteria for personnel/subcontractors/consultants **must** be justified according to education, experience, responsibility and FTE percentage.
- Salary calculations and other formulas **must** be self-explanatory, complete and accurate.
- Paid leave **must** be a function of salary (not a fringe benefit).
- Each activity in the SOW incurring cost **must** be reflected in a BJ category.

Scoring the Budget Justification

Here are a two examples

- Space formula

1.4 FTE x 150/sq. ft. x $1.20/sq. ft. + 15/sq. ft. storage x 12/mo. = $3,240

- Position narrative

Under the supervision of the Project Director, the Health Education Assistant is responsible for oversight of the youth activities component of the plan. Assists in providing training to youth volunteers, development of education packets to retailers on youth-targeted advertising, and coordinates youth educational visits to retailers in various communities and neighborhood park sites. Oversees distribution and mail outs of technical assistance fact sheets and brochures to community partnerships in activity 1.2.3. Schedules follow-up contact with county-wide sites to ensure mailed information was received and is being utilized. Distributes educational materials and program marketing items at community events in activity 3.2.1. Assists Project Director in implementing all evaluation activities. Maintains an active CTCP Partners account and utilizes Partners on a weekly basis. 10% of the FTE (4 hours weekly): Directed toward assisting with Plan evaluation activities. Other duties as required.

Scoring the Budget Justification

- Expenses in Operating and Equipment **must** support staff and/or activities directly serving the SOW.
- Traveler expenses **must** be sufficiently justified and detailed for each travel activity. Check the Guidelines for Phase II travel requirements.

Scoring the Budget Justification

- Most LLA's have an outside Evaluator paid as a Consultant. $80/hour is not considered high pay for outside effort; however, if the Evaluator is paid staff, salary must be comparable to an equivalent state classification.
- Subcontractors and Consultants must be supervised by agency staff, connected to activities in the SOW and listed in the "responsible party" field.

Scoring the Budget Justification

- Educational Materials, Behavior Modification Materials, Paid Media and Other Costs expenses **must** be fully justified and demonstrate connection to SOW activities.
- Review the Indirect Cost Questionnaire. Indirect Cost **must** comply with the Guidelines Instructions.

Merced Review Team

The following additional documents are required for Merced County LLA (California Health Collaborative non-profit).

- Drug Free Workplace Certification
- Proof of Non-Profit Status
- Certification of Non-Acceptance of Tobacco Company Funds
- Conflict of Interest Compliance Certificate
- Agency Documentation Requirements
- Additional Tobacco Control Funding
- Indirect Cost Questionnaire
- OMB A87 or Comparable Document

Lassen, Napa and Trinity Review Team

The following additional considerations are required for Lassen, Napa and Trinity County LLA.

- These counties pass funds to a non-profit agency.
- The sub-budget is over 60% and requires an 8 line subcontractor budget.
- The primary agency indirect cost is identified in the main budget.
- You may see administrative support positions less than 10% FTE budgeted in personnel.
- Do not grade these agencies down for this method of indirect cost budgeting, but do look for an adequate justification.

Scoring the Budget Justification

Complete the OTIS BJ scoring questionnaire for your review team facilitator by January 10, 2014.

Questions after BETO

Questions

- Please type your questions into the Chat Box

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