# Make Tobacco History

# Request for Applications #14-10013

# January 23, 2014

California Department of Public Health
California Tobacco Control Program
P.O. Box 997377, MS 7206
Sacramento, CA 95899-7377
http://www.cdph.ca.gov/programs/tobacco/pages/default.aspx

**I. Introduction ..... 1**

A. Background ..... 1

B. Purpose and Description of Services ..... 2

C. Make Tobacco History RFA Goals ..... 2

D. Eligibility ..... 3

E. Key Action Dates ..... 4

F. Available Funding ..... 4

G. Resolution of differences between RFA and Grant language ..... 4

H. CDPH/CTCP Rights ..... 5

I. Application Submission Requirements ..... 5

J. Questions ..... 6

**II. Application Requirements ..... 7**

**III. Instructions for Completing the Application and Using the Online Tobacco Information System (OTIS) ..... 7**

A. Contact Information (required but not scored) ..... 8

B. Applicant Capability Section ..... 8

C. Evaluation Information ..... 11

D. Scope of Work (SOW) ..... 11

E. Evaluation Plan ..... 12

F. Narrative Summary ..... 13

G. Budget and Budget Justification ..... 14

H. Additional Documents ..... 15

**IV. Application Selection Process and Criteria ..... 15**

A. About This Section ..... 15

B. Application Review Process ..... 16

C. Application Selection Criteria ..... 18

**V. Administration ..... 22**

A. RFA Defined ..... 22

B. Important Administrative Details ..... 23

C. RFA Cancellation and Addendums ..... 24

D. Immaterial Defect ..... 24

E. Grounds to Reject an Application ..... 24

F. Dispute Process ..... 25
G. Disposition of Applications ..... 26

## APPENDICES

APPENDIX 1(a). *SAMPLE INTERNAL REVENUE SERVICE LETTER*

APPENDIX 1(b). *SAMPLE SECRETARY OF STATE, STATEMENT OF INFORMATION*

APPENDIX 2. *MANDATORY LETTER OF INTENT*

APPENDIX 3. *TCFOR USER INSTRUCTIONS*

APPENDIX 4. *ACCESSING THE OTIS TRAINING COURSE*

APPENDIX 5. *COMPUTER SOFTWARE MINIMUM SPECIFICATIONS*

APPENDIX 6. MIDWEST ACADEMY STRATEGY CHART

APPENDIX 7. *TELL YOUR STORY: GUIDELINES FOR PREPARING A COMPLETE, HIGH QUALITY EVALUATION REPORT*

APPENDIX 8. *BUDGET JUSTIFICATION INSTRUCTIONS*

~~APPENDIX 9. *SUMMARY BUDGET BY SOW CATEGORIES*~~

APPENDIX 10. *CTCP PL 12-01 ACM AND BMM GUIDELINES*

APPENDIX 11. *COMPARABLE STATE CIVIL SERVICE CLASSIFICATIONS*

APPENDIX 12. *CTCP PL 12-03 ALLOWED POLICY ACTIVITIES*

~~APPENDIX 13. *TRAVEL REIMBURSEMENT INFORMATION*~~

**APPENDIX 13A. MEALS AND INCIDENTALS (IN-STATE/OUT-OF-STATE TRAVEL**

**APPENDIX 13B. LODGING REIMBURSEMENT – SHORT-TERM TRAVEL**

**APPENDIX 13C. TRAVEL/RELOCATION PROGRAMS – 2014 MILEAGE REIMBURSEMENT RATE FOR USE OF PERSONAL VEHICLE**

APPENDIX 14. *CERTIFICATION OF NON-ACCEPTANCE OF TOBACCO COMPANY FUNDING*

APPENDIX 15. *SAMPLE SCOPE OF WORK AND EVALUATION PLAN*

# I. INTRODUCTION

## A. BACKGROUND

The Mission of the California Tobacco Control Program (CTCP) is to improve the health of all Californians by reducing illness and premature death attributable to the use of tobacco products. Through leadership, experience and research, CTCP empowers statewide and local health agencies to promote health and quality of life by advocating social norms that create a tobacco-free environment.

In November 1988, California voters approved passage of the Tobacco Tax and Health Protection Act of 1988, also known as Proposition 99 (Prop 99). This initiative increased the state cigarette tax by 25 cents per pack and added an equivalent amount on other tobacco products. Revenue from Prop 99 was designated for tobacco-related research, health education and promotion, and health care services.

The enabling legislation for the California Tobacco Control Program includes: Assembly Bills (AB) 75 (Chapter 1331, Statutes of 1989), AB 99 (Chapter 278, Statutes of 1991), AB 816 (Chapter 195, Statutes of 1994), AB 3487 (Chapter 199, Statutes of 1996), Senate Bill (SB) 960 (Chapter 1328, Statutes of 1989), SB 99 (Chapter 1170, Statutes of 1991), SB 493 (Chapter 194, Statutes of 1995; the annual State Budget; Health and Safety (H&S) Code Section 104350-104480, 104500-104545; and the Revenue and Taxation Code Section 30121-30130. The enabling legislation, various codes and the annual State Budget provide legislative authority and for programs administered by the California Department of Public Health (CDPH), CTCP.

Pursuant to H&S Code Section 104385, CDPH/CTCP is authorized to award grants for projects directed at the prevention of tobacco-related diseases. Specifically, H&S Code Section 104385 directs CDPH/CTCP to fund projects that perform the following:

- Demonstrate community support for the project.
- Design the project to coordinate with other local health programs, school-based programs, or voluntary health organizations.
- Use and enhance existing services.
- Serve a target population at high risk of starting tobacco use or developing tobacco-related illnesses.
- Demonstrate an understanding of the role community norms have in influencing behavior change regarding tobacco use.
- Indicate innovative or promising approaches that can be replicated by others.

## B. Purpose and Description of Services

The purpose of this Request for Applications (RFA) is to fund one to four projects that will research, plan, develop, and disseminate innovative policy, regulation, and promising community norm change strategies, which can be replicated by others to create healthy sustainable communities which dissuade tobacco use. These innovative strategies are to take a population-based approach and will facilitate: reducing the number of persons beginning to use tobacco, continuing to use tobacco, or developing tobacco-related diseases.

The beneficiaries of activities funded by this RFA are persons and groups at high risk for tobacco use and secondhand smoke exposure, and the local public health community of California which includes but is not limited to local health departments, cities, planning agencies, local government officials, local decision-makers, schools, voluntary health organizations, hospitals, professional organizations, and community based organizations working with persons and groups at high risk for tobacco use and secondhand smoke exposure. In performing activities to benefit the local public health community, the purpose of those activities must be to assist the local public health community in the performance of their services to others. It may not be for the provision of services to the state itself nor may it be for the provision of services to organizations whose mission is not in alignment with the applicant's.

The solicitation process is to identify an agency or agencies whose background, qualifications, and proposed project(s) best address(es) the goals detailed in the RFA.

## C. Make Tobacco History RFA Goals

As a result of the projects funded under the Make Tobacco History RFA, California's local public health communities and groups working with persons at high risk for tobacco use and secondhand smoke exposure will:

1) Have easy access to health promoting, innovative, and evidence based tobacco policy, regulation, and community norm change strategies to reduce the number of person beginning tobacco use, continuing to use tobacco, or developing tobacco related diseases.
2) Have easy access to specific and customized education, knowledge, skills, and tools needed to facilitate the health promoting policy, regulation, and community norm change strategies.
3) Implement innovative strategies to address the specific needs and populations of their communities. The strategies will be customizable so local communities can target high risk persons and groups, such as youth and young adults, low-income individuals, Lesbian, Gay, Bisexual, and Transgender (LGBT), Black, Hispanic, Native American, and Asian-Pacific Islander, current smokers, military, and those with behavioral health issues.
4) Effectively organize and empower the high risk persons and groups in their communities to effect change.

5) Identify the most effective strategies and how to improve upon the strategies, by an evaluation of the impact and reach of all activities.

## D. ELIGIBILITY

1) Any public or private non-profit agency is eligible to apply. Applicants may include, but are not limited to: hospitals, community clinics, local health departments, voluntary health organizations, Indian tribes, colleges and universities, county offices of education, school districts, health maintenance organizations, professional health associations, and professional health education associations. Pursuant to H&S Code Section 104440, Local Lead Agencies (LLA) are ineligible for awards under the competitive grants program unless the LLA is a participant within a consortium of community-based organizations or non-profit agencies.
2) Applicants claiming private non-profit status must submit proof of their non-profit status with their application. Either certification from the State of California, Office of Secretary of State, or a letter from the Department of Treasury, Internal Revenue Service (IRS) classifying the agency as a non-profit agency is acceptable proof. For examples, see Appendix 1a: *Sample Internal Revenue Service Letter,* and Appendix 1b*: Sample Secretary of State, Statement of Information*.
3) Only one application per agency may be submitted. The Federal Identification Number will be used to verify that no more than one application per agency is submitted in response to this RFA. If multiple applications are submitted by the same agency all the applications from that agency will be rejected during Stage One of the Application Review Process.
4) State of California agencies other than state universities, colleges, and community colleges are ineligible.
5) The following entities are ineligible for these funds: any agency that accepts funding from a tobacco company or one of its subsidiaries or has an affiliation or contractual relationship with a tobacco company or one of its subsidiaries during the term of this agreement. For colleges and universities this requirement applies specifically to the Principal Investigator and any investigators associated with the funded project; it applies during the term of the project and for a five-year period preceding the start date of the project. Agency certification to this effect is required. The above does not apply where an organization receives funds from a tobacco entity pursuant to a court order, a statutory directive, or a negotiated settlement between the California Attorney General's Office and a tobacco company entity.

## E. KEY ACTION DATES

Key activities and times for this RFA are presented below. This is a tentative schedule. Any updates to this schedule will be posted as an addendum to this RFA.

| ACTIVITY | ACTION DATE (all times are Pacific) |
|---|---|
| RFA Release Date | **January 23, 2014** |
| First Day to Request to Apply | **January 24, 2014** |
| Last Day to Submit Questions | **January 29, 2014** |
| RFA Informational Webinar | **January 30, 2014** |
| OTIS Open for Application Input | **February 3, 2014** |
| Last Date to Request to Apply | **February 10, 2014** |
| Mandatory Letter of Intent Due Date | **February 11, 2014** |
| Application Due Date | **March 14, 2014** |
| Notice of Intent to Award | **April 7, 2014** |
| Protests Due | **April 14, 2014** |
| Appeal Hearings | **April 21, 2014** |
| Appeal Decision(s) Announced | **April 25, 2014** |
| Proposed Award Date | **April 28, 2014** |
| Grant Start Date | **July 1, 2014** |
| Grant End Date | **June 30, 2019** |

## F. AVAILABLE FUNDING

Approximately $6 million is expected to be available for this RFA.

Awards are for a sixty month period, beginning July 1, 2014 and ending June 30, 2019. Awards are estimated to range from $400,000 to $700,000 per year. Applications must be for the entire sixty month period and requests for funding may not exceed $700,000 per year.

Funding is contingent upon available revenues, appropriation by the Legislature and the Governor, and multi-year spending authority. Should additional funding become available, CTCP reserves the right to award funding to more than four applicants or require successful applicants to modify their Scopes of Work and conduct additional work consistent with the goals identified in Section I, Introduction.

## G. RESOLUTION OF DIFFERENCES BETWEEN RFA AND GRANT LANGUAGE

If an inconsistency or conflict arises between the terms and conditions appearing in the final grant agreement and the proposed terms and conditions appearing in this RFA, any inconsistency or conflict will be resolved by giving precedence to the grant.

## H. CDPH/CTCP RIGHTS

In addition to the rights discussed elsewhere in this RFA, CDPH/CTCP reserves the right to do any of the following:

1) Modify any date or deadline appearing in this RFA.

2) Issue clarification notices, addenda, alternate RFA instructions, forms, etc. If this RFA is clarified, corrected, or modified, CDPH/CTCP intends to post all clarification notices and/or RFA addenda on the CTCP Tobacco Funding Opportunities and Resources web site at https://tcfor.catcp.org/

3) CDPH/CTCP reserves the right to fund any or none of the applications submitted in response to this RFA. CDPH/CTCP may also waive any immaterial deviation in any application. CDPH/CTCP waiver of any immaterial deviation shall not excuse an application from full compliance with the grant terms if a grant is awarded.

4) CDPH/CTCP reserves the right to withdraw any award if an acceptable final Scope of Work (SOW), Budget, Budget Justification, and other required forms are not received by CDPH/CTCP within 45 calendar days of requesting modifications that bring the application into conformance with the RFA and grant requirements

5) CDPH/CTCP reserves the right to withdraw any award or request modifications to the SOW and/or budget of any proposed projects or proposed project components as a condition of the grant award.

## I. APPLICATION SUBMISSION REQUIREMENTS

1) **Mandatory Letter of Intent**
For the purpose of planning the RFA review process, all prospective applicants **are required to** submit a letter notifying CDPH/CTCP of its intent to submit an application. Applicants that do not submit a letter of intent will not be considered for funding. This letter is not binding and those submitting a letter may elect not to submit an application. One (1) signed letter of intent must be uploaded to the Tobacco Control Funding Opportunities and Resources (TCFOR) website (https://tcfor.catcp.org/) by **5 p.m. PT, on February 11, 2014.**

The letter of intent is part of the "Request to Apply" section on the TCFOR website (see *Section III: Instructions for Completing the Application and Using the Online Tobacco Information System (OTIS)* for more information). The letter of intent must be submitted on the applicant's letterhead, signed by an officer of the board or their agent, and state the following: the name and number of the RFA under which the application will be submitted, the estimated budget request, and a short description of the proposed project. The letter of intent instructions are provided in Appendix 2: *Mandatory Letter of Intent*.

2) **RFA Informational Webinar**
CDPH/CTCP has scheduled an optional Online GoToMeeting Informational Webinar. Prospective applicants intending to submit an application are strongly encouraged to participate. The purpose of the Informational Webinar is to provide potential applicants with an opportunity to ask questions about the preparation and submission of the application.

Participants may view the Informational Webinar access codes at https://tcfor.catcp.org/.

**The information meeting is scheduled for:**
**January 30, 2014**
**~~10:00 a.m. – 12:00 p.m.~~ 1:30 p.m. – 3:30 p.m.**

## J. QUESTIONS

All questions regarding this RFA including clarification on materials, instructions or requirements must be submitted by **January 29, 2014** to the following email address: **CTCPInbox@cdph.ca.gov.** Please include "CTCP RFA 14-10013" in the subject line. All relevant questions and responses will be posted at https://tcfor.catcp.org by **February 10, 2014**. Any verbal communication with CDPH/CTCP staff concerning this RFA is not binding on the State and shall in no way alter a specification, term, or condition of the RFA.

For technical assistance regarding the RFA content contact:
Gabriela Pasat
(916) 324-4150

For technical assistance regarding the use of the TCFOR or OTIS websites contact:
Humberto ~~Juardo~~ **Jurado**
(916) 449-5474

## II. APPLICATION REQUIREMENTS

A complete application must be submitted through the Online Tobacco Information System and must include the following sections:

A. Contact Information (required but not scored)

B. Applicant Capability

   1. Program Experience
   2. Letters of Reference
   3. Organizational Start-up
   4. Administrative and Fiscal Experience
   5. Equipment

C. Scope of Work

D. Narrative Summary

E. Budget and Budget Justification

~~F. Summary Budget by Scope of Work Categories~~

## III. INSTRUCTIONS FOR COMPLETING THE APPLICATION AND USING THE ONLINE TOBACCO INFORMATION SYSTEM (OTIS)

Responses to this solicitation shall be submitted through OTIS. OTIS is a secure, passcode-protected knowledge management system that is used to submit applications, review and score applications, finalize the SOW and budget, and submit and approve progress reports. The system is accessible 24 hours per day, 7 days per week and provides access to several reports and a communication system.

To submit an "Applicant Registration" form and letter of intent, and create an OTIS "User Account" see the *Application Registration Instructions* found on Tobacco Control Funding Opportunities (TCFOR) web site, accessible at https://tcfor.catcp.org/index.cfm?fuseaction=opportunities.overview. The Informational Webinar scheduled to review the requirements of this RFA will also provide information on requesting a "User Account" and how to use OTIS. Additionally, written instructions for requesting an OTIS "User Account" are also found in Appendix 3: *TCFOR User Instructions*.

OTIS includes an Applicant Training Course unit: *Creating Your Application/Plan*. This training explains how to use the system and instructions for completing each of the application components listed below. See Appendix 4: *Accessing the OTIS Applicant Training Course*.

## A. CONTACT INFORMATION (REQUIRED BUT NOT SCORED)

The purpose of this section is to collect information about the Applicant, the proposed Project Director, Agency fiscal contacts, and Agency Signatory.

1) My Agency: Provide the Agency's name, phone and fax numbers, physical and mailing addresses, Federal Employer Identification Number, and the health jurisdiction within which the Agency is located. The 58 counties and 3 cities of Berkeley, Long Beach, and Pasadena are designated as health jurisdictions.
2) Contact Information: Provide specific contact information for: Project Director, Primary Tobacco Contact, Agency Fiscal Officer, Day-to-Day Fiscal Contact, and Official Agency Signatory.

## B. APPLICANT CAPABILITY SECTION

This section provides information regarding the applicant's ability to successfully implement the tobacco control project being proposed in their application. The Applicant's qualifications will be evaluated against the Scoring Criteria. Please respond to each item. Some responses relate only to the Applicant agency and other responses are to include information about significant subcontractors and consultants, if any are proposed.

<u>Program Experience</u>

1) Agency Mission and Tobacco Control Work History: Briefly describe the Applicant agency's mission, the types of programs and services the agency conducts, and the audiences, groups and organizations that the agency works with in carrying out its mission. Describe how the agency's mission is consistent with the goals identified in this RFA, with CTCP's mission, and how many years the Applicant agency and its principle staff have worked on tobacco control issues in California performing work on a statewide basis related to health promotion policies, regulation, and community norm change strategies.

2) Program Staffing: Briefly describe the educational background, professional experience – including length of time working on projects to create healthy communities – and qualifications of the Applicant's staff and subcontractors, if any, as it relates to the submitted project. Show that the staff and subcontractors, if applicable, have the necessary qualifications and experience to successfully complete the project as submitted.

3) Demonstrated Results: Describe at least two specific examples of projects the Applicant has worked on that are similar in nature to the proposed SOW. Include a description on how the agency utilized and enhanced existing services.

4) Flexibility and Responsiveness to Emerging Issues: Describe the Applicant's ability to anticipate and adapt to emerging issues that relate to the objectives in the applicant's SOW.

5) Strategic Relationships: Describe how the Applicant collaborates in strategic alliance and diverse partnerships that significantly support local communities and advance community goals.

Organizational Start Up

1) Describe the Applicant's capability and resources to start up and begin implementation of activities within six weeks of the grant start date and to primarily deliver services Monday through Friday between the hours of 8 a.m. and 5 p.m., Pacific Standard Time (PST).

Administrative and Fiscal Experience

1) Fiscal and Contract Compliance

   Describe the Applicant's (and any applicable subcontractors' and/or consultants') performance within the last three (3) years with the management of government and/or non-government funds and activities, including administrative, fiscal, program, and evaluation functions such as: timely and accurate completion of deliverables; submission of fiscal, program, and evaluation documentation; subcontract/consultant monitoring; compliance with government requirements; and fiscal ability to manage payments in arrears.

   All bidders must address the requirements of the Tax Debtor List for the reason described in Public Contract Code Section 10295.4. Vendors are ineligible to enter into, or renew any agreement with the state for goods or services if a vendor is delinquent with paying state income tax in excess of $100,000.00 to the California Franchise Tax Board. Prior to submitting a bid or proposal and prior to executing any state agreement or renewal of goods or services, a vendor must certify that is it not on the list of ineligible vendors prohibited from doing business with the State of California. During the bid evaluation, it is the buyer's responsibility to check the list of ineligible vendors to confirm that the bidder is not on that list.

2) Audit History

   Describe the Applicant's fiscal and (if any) programmatic audit history within the last three (3) years. Information is to include frequency of the audits, dates of the audits, and a summary of the major audit findings. Negative audit findings should be thoroughly explained.

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

3) Administrative Staffing

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

Equipment

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

Include in the description:

a. The number and type of equipment available (e.g., desks, chairs, facsimile machines, personal computers, printers, reproduction/duplication/copiers, scanners, etc.).

b. Whether or not the computers have access to the Internet, web-conferencing software, and listserv management capability; the software packages the Applicant uses for accessing and creating Web sites, word processing, spreadsheets, databases, etc. See Appendix 5: *Computer Software Minimum Specifications*.

c. The security software packages Applicant uses to protect against viruses, loss of data, etc.

d. Approximately when the computer equipment was purchased.

e. The availability (e.g., 100 percent, 50 percent, 25 percent, etc.) for use by staff proposed for this project, if funded.

Letters of Reference

1) Solicit, scan, and upload three (3) letters of reference into OTIS. Letters of reference must be written to the Applicant within the last two (2) years. No more than three (3) letters will be accepted. If the Applicant is currently receiving or, within the last two (2) years, has received funding from a local, state, or federal agency, other than CTCP, one of the references **must be** from one of these agencies.
2) The letters are to be from three (3) separate agencies. Each letter must be on the reference provider's letterhead and include:

a. The address, telephone number, e-mail, name, and title of the letter's author.

b. A description of the capacity in which the reference provider worked with the Applicant.
c. A description of the applicant's ability to complete projects and grants as submitted to the provider.
d. The Applicant's fiscal and administrative ability to manage government funds, including satisfactory performance with administering and managing government and/or non-government funds through timely and accurate submission of fiscal, program, and evaluation documents.

## C. Evaluation Information

1) Select the Plan Evaluator. See the OTIS Applicant Training Course unit: *Creating Your Application/Plan, Evaluator Information* module, for instructions on how to invite, identify and select your Plan Evaluator. Refer to Appendix 4: *OTIS Applicant Training Course* access instructions.

2) After the Plan Evaluator is selected, this individual must complete and submit the "Certification of the Evaluator's Role in Preparing the SOW." See the OTIS Applicant Training Course unit: *Creating Your Application/Plan, Evaluator Information* module, for instructions on how manage the certification.

## D. Scope of Work (SOW)

The Applicant is required to submit a SOW detailing the organization's objectives, the activities designed to achieve those objectives, and an appropriate evaluation of each objective. Please see Appendix 15: *Sample SOW and Evaluation Plan*.

<u>Objectives:</u>

1) The project description should be composed of one or more objectives with corresponding activities. The objectives should state the change that you expect to see from your work. Objectives should be specific and measureable. All objectives must be based off of a CTCP indicator or asset. See the OTIS Applicant Training Course unit: *Creating Your Application/Plan, Objective Information* module, for instructions on how to complete and enter objectives into OTIS. Refer to Appendix 4: *OTIS Applicant Training Course* access instructions.

2) Required Objective Components:
   a. Project Objective
   b. Identification of the Priority Area and Indicator(s) associated with the objective
   c. Identification of Target Audiences
   d. Identification of the Evaluation Design for the objective.
   e. Identification of the Summary Intervention Topics appearing in the SOW

Activities:

1) The activities should describe the steps that will be taken to complete the proposed objective. For each activity describe what will be done, how much will be done, audience groups, and where the activities will occur. Audience groups must align with those identified in the Agency Capability Section. See the OTIS Applicant Training Course unit: *Creating Your Application/Plan*, *Intervention Topics* module for instructions on how to complete and enter activities into OTIS.

2) For each Activity, provide the following Information:

   **a.** Copyright: ~~Designate "No" for purposes of this Grant Application.~~ **Respond "Yes" or "No" to indicate whether the deliverable represents a work product subject to copyright.**

   b. Percent Deliverable: Identify the combination staff and budget resources necessary to complete the activity. Percent deliverables for the entire SOW must equal 100%.

   c. Start and End Dates: Designate the progress report period in which the activity will begin and the date by which the activity will be completed.

   d. Responsible Parties: Identify budgeted personnel, consultants and subcontractors, and non-budgeted entities (e.g., volunteers, advisory council) responsible for completing activities. Budgeted personnel titles must be consistent with the titles used in the Budget and SOW.

   e. Tracking Measures: Identify tracking measures to be submitted to CTCP that demonstrate completion of the activity. Identify no more than two tracking measures per activity.

3) Include an activity to conduct a strategic planning session utilizing the Midwest Academy Chart for each policy objective within the first three (3) months. See Appendix #6: *Sample Midwest Academy Chart*.

## E. EVALUATION PLAN

All objectives must have an evaluation plan. Evaluation activities may include formative development efforts, such as key informant interviews and focus groups, and activities that provide statistical information on the impact (e.g., quality and reach) of the project. . See the OTIS Applicant Training Course unit: *Creating Your Application/Plan, Evaluation Plan* module, for instructions on how to complete and enter the evaluation plan into OTIS.

1) At least one (1) objective must be designated as a primary objective, which requires an in-depth evaluation plan developed in consultation with a qualified evaluator resulting in a Final Evaluation Report to be prepared as outlined in Appendix 7: *Tell Your Story: Guidelines for Preparing a Complete, High Quality Final Evaluation Report*.

2) If the SOW includes more than one objective, the other objectives shall be designated as non-primary. A non-primary objective requires a less in-depth

evaluation plan that is developed in consultation with a qualified evaluator. At the conclusion of the grant period, a Brief Evaluation Report (BER), which is a one to three page summary of the intervention, evaluation, and impacts, is to be submitted to CTCP. A checklist for the BER is also found in Appendix 7: *Tell Your Story: Guidelines for Preparing a Complete, High Quality Final Evaluation Report*.

3) Prepare the evaluation plan by completing the evaluation data collection forms as appropriate to each objective. Refer to the Tobacco Control Evaluation Center website for tools and resources to help you design your evaluation: (http://tobaccoeval.ucdavis.edu/index.php). The evaluation plan may include the following types of evaluation activities: Focus Groups, Key Informant Interviews, Public Opinion Polls/Intercept Surveys, Education Participant Surveys, Policy Records, Media Activity Records, Evaluation-Related Training, Youth Tobacco Purchase Survey, Outcome Data Collection, and Other Evaluation Activities.

4) Complete the Evaluation Reporting section as described in the OTIS Applicant Training Course unit: *Creating Your Application/Plan*. Describe how the evaluation data will be analyzed and disseminated, describe any limitations or challenges anticipated with completing the evaluation, and list either the Final Evaluation Report or the Brief Evaluation Report as a tracking measure.

## F. NARRATIVE SUMMARY

1) Complete the Narrative Summary as described in the OTIS Applicant Training Course unit: *Creating your Application/Plan, Narrative Summary* module.

2) Community Assessment Analysis: Describe any available data, needs assessment findings, and conclusions that justify and support the proposed objectives and activities.

3) Major Intervention Activities: In narrative form, describe the intervention activities to be implemented as outlined in the SOW.

4) Theory of Change: Describe the basic assumptions (or theory of change) that explain why the proposed activities are the best approach to achieve the objective.

5) Evaluation Summary: In narrative from, describe how the SOW will be evaluated, including a brief summary of the evaluation design, evaluation activities, and the rationale for the evaluation plan.

## G. BUDGET AND BUDGET JUSTIFICATION

1) Develop a five-year budget that identifies the cost associated with the implementation of the SOW.
   a. Adhere to the instructions and criteria provided in this section and the budget instructions and guidelines provided in: Appendix 8: *Budget Justification Instructions,* the OTIS Wizards, and the OTIS Applicant Training Course unit: *Creating Your Application/Plan, Budget* module.
   b. Utilize the eight budget categories provided in the OTIS budget justification index.
   c. Verify that each activity in the SOW resulting in an expenditure of funds is reflected in the budget.
2) Develop a budget justification that clearly describes how the costs identified for each FY were determined.
   a. Provide easy to follow formulas to substantiate how costs were calculated.
   b. Provide an explanation when zero funds or insufficient funds are budgeted for a standard cost (i.e., in-kind personnel or rent).
   c. Provide an explanation when costs vary per FY.
3) Budget recommendations for this solicitation:
   a. Designate 10 percent of 1 full-time equivalent (FTE) lead staff person's time to provide oversight for the project evaluation. Provide a statement in the personnel duty description that 10 percent of 1 full-time equivalent lead staff person's time will be dedicated to providing oversight of the project evaluation (must equal 4 hours per week minimum).
   b. Recommended CTCP Trainings – below are the recommended trainings that should be included in your budget. The fiscal year the trainings will be held are noted along with an estimated amount to budget. Assume all CTCP required trainings will take place in Sacramento, and budget according to applicant's geographical proximity.

      i. Capitol Information & Education Days (I&E Days) in the Spring of each year. Depending on travel distance, budget approximately $750 per person for each I&E Days.

      ii. Project Director's Meeting (PDM) - currently scheduled for FY 2015-16 (Fall) and FY 2016-17 (Spring), and tentatively scheduled for FY 2018-19. Depending on travel distance, budget approximately $1,250 to $1,350 per person for each PDM.

4) ~~In OTIS, under Additional Documents, download Appendix 9: *Summary Budget by SOW Categories*. For each objective, for each year, estimate the total costs per category of activities and enter the amount. Enter the total estimated costs for each objective in the "Total" line. The total amount for each objective should~~

~~correspond to the percent deliverable assigned to each objective in the scope of work. The amount for each category includes all costs associated with that category including all line items in the eight line item budget created in OTIS (i.e., personnel costs, fringe benefits, operating expenses, equipment expenses, travel/per diem and training, subcontracts and consults, other costs, and indirect expenses). This document will be uploaded to OTIS as part of the "Additional Documents" section of the application.~~

Additional Budget Justification information may be obtained in the following Appendices:

Appendix 5: *Computer Software Minimum Specifications*
Appendix 10: *CTCP PL 12-01 ACM and BMM Guidelines*
Appendix 11: *Comparable State Civil Service Classifications*
Appendix 12: *CTCP PL 12-03 Allowed Policy Activities*
~~Appendix 13: *Travel Reimbursement Information*~~
**Appendix 13a: Meals and Incidentals (In-State and Out-of-State Travel)**
**Appendix 13b: Lodging Reimbursement - Short-Term Travel**
**Appendix 13c: Travel and Relocation Programs - 2014 Mileage Reimbursement Rate For Use of Personal Vehicle**

## H. Additional Documents

Provide the following additional documents as described below and in the OTIS Applicant Training Course unit: *Creating Your Application/Plan, Additional Documents* module.

1) Additional Tobacco Control Funding (OTIS online form)*
2) Proof of Non-Profit Status (uploaded documentation by applicant, if applicable)* (See Appendix 1a and Appendix 1b for examples)
3) Certification of Non-Acceptance of Tobacco Company Funding (uploaded form; see Appendix 14)*
4) ~~Summary budget by SOW categories (uploaded form, see Appendix 9).~~
5) ~~Agency Documentation Requirements (uploaded form by applicant – post award)*~~

* Refers to items that are required to be completed and submitted, but are not used to score the Plan.

# IV. Application Selection Process and Criteria

## A. About This Section

This section explains how the applications will be screened, reviewed, evaluated, and scored. Each application will be evaluated and scored based on its response to the information requested in this RFA. By submitting an application, the Applicant agrees

that the CDPH/CTCP is authorized to verify any and all information and any references named in the application. Applications received by CDPH/CTCP are subject to the provisions of the "California Public Records Act" (Government Code, Section 6250 et seq.) and are not considered confidential after completion of the selection process.

## B. Application Review Process

### Stage One: Administrative and Completeness Screening

CDPH/CTCP will screen applications for on-time submission and compliance with administrative requirements and completeness. The OTIS electronic time stamp will be used to verify on-time submission. A late or incomplete application will be considered non-responsive and will be disqualified and eliminated from further evaluation. Applications submitted from non-eligible agencies will not be reviewed. If an agency submits more than one application, none of the applications will be reviewed. Omission of any required document or form, failure to use required formats for response, or failure to respond to any requirement may lead to rejection of the application prior to review. CDPH/CTCP may waive any immaterial deviation in an application; however, this waiver shall not excuse an application from full compliance with the grant terms if a grant is awarded.

### Stage Two: Application Scoring (100 points)

Each application passing Stage One will be evaluated and scored according to the selection criteria by a review committee on a scale of 0 to 100 points. The review committee may include representatives of CDPH/CTCP, voluntary health organizations, government organizations, public and private non-profit organizations, and state colleges and universities. To be eligible for funding an application must receive a score of 75 points or more. However, scoring 75 or more does not guarantee funding or funding at the level requested.

CDPH/CTCP reserves the right to not fund any of the applications received for this RFA. The maximum point value of each section is as follows:

| Application Component | Total Point Value |
|---|---|
| 1. Applicant Capability<br>• Program and Evaluation Experience<br>• Organizational Start-Up<br>• Administrative and Fiscal Experience<br>• Equipment<br>• Letters of Reference<br>• Evaluator Information<br>  ○ Evaluator Qualifications<br>  ○ Evaluator Certification | 39 |
| 2. SOW: Intervention Activity Plan | 21 |

| | |
|---|---|
| • Objective(s)<br>• Identification of Priority Area and Indicators<br>• Target Audiences<br>• Identification of Summary Intervention Topics<br>• Activities | |
| 3. SOW: Evaluation Plan<br>• Evaluation design<br>• Evaluation activities which describe the sampling strategy, sample size, data collection methods, target audiences, data analysis, and dissemination of findings.<br>• Evaluation reporting<br>• Dissemination of findings | 10 |
| 4. Narrative Summary<br>• Community Assessment Analysis<br>• Major Intervention Activities<br>• Theory of Change<br>• Evaluation Summary Narrative | 10 |
| 5. Budget and Budget Justification<br>• Budget amounts associated with the implementation of the SOW were determined for each FY and are supportable and reasonable when compared to the description of the SOW activities. | 20 |
| Total | 100 |

**Stage 3: Notification of Decision**

Each applicant, whether selected for funding or denied, will be notified in writing of the funding decision. Applicants may receive, upon written request to CDPH/CTCP, their scoring summary page which provides the score and overall strengths and weaknesses of their application.

**Stage 4: Grant Modifications**

CDPH/CTCP reserves the right to reject any proposed project(s) or project component(s). Following the award notification, CDPH/CTCP may require modifications to the application as a condition of the award. The awardee is required to submit a detailed SOW, Budget and Budget Justification in accordance with CDPH/CTCP requirements, which will become part of the final agreement. Upon completion and approval of these documents, the agreement documents will be submitted to CDPH for execution. Work may not commence until the agreement is fully executed.

## C. APPLICATION SELECTION CRITERIA

**This section explains the selection criteria that will be used to evaluate and score applications.**

1. Applicant Capability (Total Points: 39)

   - Program and Evaluation Experience

| Criterion | Point Value |
|---|---|
| The Applicant and principal staff has three years of experience working on tobacco control issues in California performing work on a statewide basis related to health promotion policies, regulation and community norm change strategies. | 4 |
| The Applicant demonstrates that its mission, types of programs and services are consistent with the goals of this RFA and CTCP's mission; the targeted audiences, groups and organizations that the agency typically works with to fulfill its mission demonstrates the ability to coordinate and collaborate with diverse partners such as: local health departments, cities, local planning agencies, local governmental officials, local decision makers, schools, colleges/universities, voluntary health organizations, hospitals, professional organizations, and community based organizations. | 5 |
| The Applicant demonstrates the ability to educate the local California public health community and groups working with persons at high risk for tobacco use and secondhand smoke exposure about the promising and innovative policy, regulatory, or community norm change strategies, allowing those communities to replace the approaches to dissuade tobacco use. | 5 |
| The Applicant demonstrates that staff have the necessary education, training and experience needed to plan, implement and evaluate the described project. | 4 |
| The Applicant demonstrates past effectiveness and capacity in providing tobacco education and the ability to serve populations and areas with substantial unmet service needs. | 4 |

- Organizational Start-Up

| Criterion | Point Value |
|---|---|
| The Applicant demonstrates it has the capability and resources to start up and begin implementation of activities within six weeks of the agreement start date and to primarily deliver services Monday through Friday between the hours of 8 a.m. and 5 p.m., Pacific Standard Time (PST). | 3 |

- Administrative and Fiscal Experience

| Criterion | Point Value |
|---|---|
| The Applicant demonstrates three years of satisfactory performance with administrative, fiscal and program management of government and/or non-government funds, including timely and satisfactory submission of fiscal, program, evaluation, and subcontractor/consultant documents, fiscal stability to manage reimbursement in arrears; and no major negative audit findings. | 3 |
| The Applicant demonstrates that administrative/fiscal staff have the appropriate educational background, skills, and experience to satisfactorily manage all aspects of payroll, bookkeeping, invoicing, subcontract/consultant monitoring, and other administrative controls associated with acceptance of government funds. | 3 |

- Equipment Available to the Project

| Criterion | Point Value |
|---|---|
| The Applicant demonstrates it has the capacity to provide the project with appropriate office furniture, communication equipment, copy machines, computers, printers, software, etc. to the project's needs, including that computer software meet the standards described in Appendix 5: *Computer Software Minimum Specifications*. The Applicant must demonstrate it has hard drive encryption and antiviral software. | 2 |

- Letters of Reference

| Criterion | Point Value |
|---|---|
| The letters demonstrate that the Applicant agency has successfully and satisfactorily: 1) managed grant or contract funds; 2) has the capacity to successfully fulfill the activities and functions identified in the Project Description; 3) has established positive collaborative relationships with targeted audiences, groups, organizations, institutions, .and communities identified in the scope of work. | 4 |

- Evaluator Information: Evaluator Qualifications/ Evaluator Certification

| Criterion | Point Value |
|---|---|
| Demonstrates that a qualified program provided at least four hours of consultation on the development of objectives and the evaluation plan and that a qualified evaluator will facilitate implementation of the evaluation activities. | 2 |

2. SOW: Intervention Activity Plan (Total Points: 21)

| Criterion | Point Value |
|---|---|
| The objective(s) clearly defines who or what is expected to change; how much change is expected to occur (without including ranges); where the change is expected to occur; and when the change is expected to occur. | 2 |
| The Application provides a well-organized, detailed and comprehensive Intervention Activity Plan that accurately describing target audiences and intervention topics, how much work will be done, and where activities will occur. The target audience and beneficiaries of described activities include: persons and groups at high risk for tobacco use and secondhand smoke exposure and the local public health community of California (e.g. local health departments, cities, planning agencies, local government officials, local decision-makers, schools, voluntary health organizations, and community based organizations working with persons and groups at high risk for tobacco use and secondhand smoke | 4 |

| | |
|---|---|
| exposure). | |
| Proposed activities demonstrate an understanding of the role community norms have in influencing behavioral change regarding tobacco use. | 5 |
| Proposed activities will facilitate:<br><br>a) Easy access to health promoting, innovative, and evidence based tobacco policy, regulation, and community norm change strategies aimed at reducing the number of person beginning tobacco use, continuing to use tobacco, or developing tobacco related diseases.<br><br>b) Easy access to knowledge, skills, and needed to facilitate the implementation of health promoting policy, regulation, and community norm change strategies among target audiences.<br><br>c) Implementation of innovative strategies to address the specific needs and populations of their communities.<br><br>d) Effective organizing and empowering of high risk persons and groups to affect community change. | 6 |
| The project is designed to utilize and enhance existing services and resources without duplicating or supplanting state or federal funding. | 4 |

3. SOW: Evaluation Plan (Total Points: 10)

| Criterion | Point Value |
|---|---|
| The evaluation measures the extent to which the objective(s) was/were achieved and disseminates the findings to the community, key opinion leaders, or public health professions working in tobacco control as appropriate. | 5 |
| The evaluation includes activities to measure impact, reach, and quality improvement. | 5 |

4. Narrative Summary (Total Points: 10)

| Criterion | Point Value |
|---|---|
| In the Community Assessment Analysis data, | 4 |

| | |
|---|---|
| community needs assessment findings, and other information are synthesized, provide justification for the indicators selected and the objective identified, and the analysis is appropriate for the identified community(ies) of focus and addressed tobacco-related inequities. | |
| The Major Interventions Activities narrative provides reasonable, realistic, and appropriate intervention activities that build on each other to achieve the objective(s). | 2 |
| The Theory of Change narrative provides a reasonable rationale that explains why the proposed activities should lead to the accomplishment of the objective(s). | 2 |
| The Evaluation Summary narrative provides reasonable, realistic, and appropriate evaluation design and activities for each objective including sampling strategy, sample size, type of evaluation activities proposed, data collection methods, data analysis, and dissemination of findings that will assess the quality and quantity of services provided. | 2 |

5. Budget and Budget Justification (Total Points: 20)

| Criterion | Point Value |
|---|---|
| Budget amounts associated with the implementation of the SOW were determined for each FY. | 5 |
| Budget amounts associated with the implementation of the SOW are supportable and reasonable when compared to the description of the SOW activities. | 15 |

# V. ADMINISTRATION

## A. RFA DEFINED

The competitive method used for this procurement of services is a RFA. Applications submitted in response to this RFA will be scored and ranked based on the Evaluation Criteria. Every Application must establish in writing the Applicant's ability to perform the RFA tasks.

## B. Important Administrative Details

Cost of Developing Application

The Applicant is responsible for the cost of developing an application~~,~~ and this cost cannot be charged to the State.

Confidential Information

CDPH/CTCP will not accept or retain any Applications that are marked confidential in part or in their entirety and Applicants are strongly discouraged from requesting confidential treatment for any of the information contained in a submittal.

Grantee-Requirements

The following are required to enter into a fully executed agreement with CTCP:

1. All CTCP-funded projects are required to:
   a. Utilize OTIS for grant management
   b. Obtain and maintain an active Partners account. Partners is a web-based communication system. CTCP-funded projects are required to access Partners at least once a week to review weekly updates.
   c. Maintain an active Internet account.

2. Grantees must be able to fund up to 60 days of payroll, indirect expenses, and operating costs, as well as expenditures incurred by a subcontractor or consultant prior to reimbursement by the State. The Grantee incurs expenses for the previous work period and is then reimbursed by invoice(s) submitted to CTCP no more than once per month. The State has up to 30 days to pay invoices for Grantees that are approved for "prompt payment" and up to 45 days to pay invoices for others.

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

4. The Grantee should maintain accounting records that reflect actual expenditures including, but not limited to: accounting books, ledgers, documents, and payroll records, including signed timesheets, etc., and will follow standard accounting procedures and practices that properly reflect all direct and indirect expenses related to the grant. These records shall be kept and made available to CTCP for three (3) years from the date of the final grant payment.

## C. RFA Cancellation and Addendums

If it is in the State's best interest, CDPH/CTCP reserves the right to do any of the following:

- Cancel this RFA;
- Modify this RFA as needed; or,
- Reject any or all Applications received in response to this RFA.

If the RFA is modified, CDPH/CTCP will post an Addendum to the Tobacco Control Funding and Resources website at: https://tcfor.catcp.org/. Applicants are responsible for periodically checking the website for updates and may sign-up for email alerts.

**Errors**: If an Applicant discovers any ambiguity, conflict, discrepancy, omission, or other error in the RFA, the Applicant shall immediately notify CDPH/CTCP of such error in writing and request modification or clarification of the document. Modifications or clarifications will be given by written notice to all parties who requested the RFA, without divulging the source of the request for clarification. CDPH/CTCP shall not be responsible for failure to correct errors.

## D. Immaterial Defect

In its sole discretion, CDPH/CTCP may waive any immaterial defect or deviation contained in an Applicant's application. CDPH/CTCP's waiver shall in no way modify the application or excuse the successful Applicant from full compliance.

## E. Grounds to Reject an Application

**An Application shall be rejected if:**

1. It is received after the exact date and time set for receipt of Applications pursuant to Public Contract Code, Section 10344. The OTIS date stamp will be used to verify on-time submission.
2. It contains false or intentionally misleading statements or references which do not support an attribute or condition contended by the Applicant.
3. The Application is intended to erroneously and fallaciously mislead the State in its evaluation of the Application and the attribute, condition, or capability is a requirement of this RFA.
4. There is a conflict of interest as contained in Public Contract Code Sections 10410-10412 and/or 10365.5.
5. It contains confidential information.
6. It is not submitted through OTIS and prepared in the mandatory format described.
7. The applicant entity submits multiple applications.

8. It does not literally comply or it contains caveats that conflict with the RFA and the variation or deviation is not material, or it is otherwise non-responsive.

9. There is a conflict of interest as contained in Public Contract Code Sections 10410, 10411, 10365.5 or any other conflict of interest law or eligibility conflict interest rules in this RFA.

10. Applicant has been prohibited from contracting with the following Agencies:
    - Franchise Tax Board - www.ftb.ca.gov/aboutFTB/Delinquent_Taxpayers.shtm
    - Board of Equalization - www.bor.cs.gov/cgi-bin/frliw.cgi
    - Department of Fair Employment and Housing - www.oal.ca.govNotice_Register.htm

11. Applicant has been suspended or barred from solicitations or contracting with the State at the following websites:
    - Secretary of State www.sos.ca.gov
    - Air & Water Polluters pursuant to GC section 4475-4482 www.ciwqs.waterboards.ca.gov/ciwqs/enforcementorders.jsp
    - Plastic trash bag content noncompliance www.calrecycle.ca.gov/buyrecycled/trashbags/complylist/
    - Federal Excluded parties List www.sam.gov/portal/public/SAM/

12. The Applicant has received a substantive negative contract performance from the State.

## F. Dispute Process

1. Notice of the proposed award(s) shall be posted on the TCFOR website at: https://tcfor.catcp.org/ . If any Applicant, prior to the award of grant, disputes the award, on the grounds that the Applicant would have been awarded the grant had the agency correctly applied the evaluation standard in the RFA, or if the agency followed the evaluation and scoring methods in the RFA, the grant shall not be awarded until either the dispute has been withdrawn or CDPH has decided the matter. It is suggested that you submit any dispute by certified or registered mail. Only Applicants submitting an application consistent with the requirements of this solicitation and are not awarded a grant may dispute. There is no dispute process for applications that are submitted late, noncompliant, or incomplete. No awarded Applicant may dispute the grant award funding amount.

2. Within five (5) days after filing the initial dispute, the Applicant shall file with Chronic Disease and Injury Control (CDIC), **P.O. Box 997377, MS 7200 Sacramento, CA 95899-7377,** Attention: Drew Johnson, Acting Division Administrator, a detailed statement specifying the grounds for the dispute.

3. At the sole discretion of the Chief of the Division of CDIC, or his/her designee, a hearing may be held. The decision of the Chief of CDIC or his/her designee shall be final. There is no further administrative dispute. Appellants will be notified of decisions regarding the dispute in writing within fifteen working days of the hearing date or the consideration of the written material submitted, if no hearing is conducted.
4. Upon resolution of any dispute and subsequent award of the grant, Grantees will be required to complete and submit to the awarding agency:
   a. The Payee Data Record (STD 204), to determine if the Grantee is subject to state income tax withholding pursuant to California Revenue and Taxation Code Sections 18662 and 26131. This form can be found on the Internet at www.osp.dgs.ca.gov under the heading FORMS MANAGEMENT CENTER. No payment shall be made unless a completed STD 204 has been returned to CDPH/CTCP.

   b. Page one (1) of the Contractor Certification Clauses (CCC), at www.ols.dgs.ca.gov/Standard+Language.

   c. Evidence of commercial general liability insurance.

   d. Board Resolution - all government local agencies are required to submit a Board Resolution with each grant. Board Resolutions must indicate local government approval of the grant.

   e. **Agency Documentation Requirements (OTIS online form).**

~~6~~**5**. Grant(s) will be awarded to the responsible Applicant(s) earning the highest overall score(s). No more than one grant will be awarded to an agency.

## G. Disposition of Applications

1. Upon application opening, all documents submitted in response to this RFA will become the property of the State of California, and will be regarded as public records under the California Public Records Act (Government Code Section 6250 et seq.) and subject to review by the public.
2. Application packages may be returned only at the Applicant's expense, unless such expense is waived by CDPH/CTCP.