California Department of Public Health
California Tobacco Control Program
Presents

An Information Meeting
for
Request for Proposals (RFP) CTCP 08-85393

"The In-School Survey and Evaluation
of the California
Tobacco Use Prevention Education (TUPE)
Program"

Meeting Presenters

Hye-Youn Park, MPH, Ph.D.
Research Scientist
Evaluation Unit

and

Robert Thurman
Procurement Manager
Administrative Support Unit

Reminders

- The RFP written instructions take precedence over anything said during the information meeting.
- Refer to the RFP for clarification of specific criteria and requirements.
- The California Tobacco Control Program (CTCP) will post any updates, corrections, or modifications to the RFP on the Tobacco Control Funding Opportunities and Resources (TCFOR) Web site.

Reminders

- CTCP strongly encourages interested agencies to frequently access the TCFOR Web site for updated TUPE RFP information.
- TCFOR can be found at: http://tcfor.catcp.org.
- Information Meeting materials will be posted on the TCFOR Web site after the presentation.

Reminders

- The RFP question and answer period will be conducted at the end of the Information Meeting presentation.
- Write down questions during the presentation.
  Fax questions to (916) 449-5505 or (916) 449-5517.
- A brief break will follow the RFP presentation to allow CTCP to review the questions.
- Questions will be read and answered by CTCP staff.

Avaya Information Meeting

Agenda:

1:30 p.m., Pacific Standard Time (PST)
Welcome and General Announcements

1:40-3:00 p.m., PST
RFP Presentation

- Section I – Introduction
  Hye-Youn Park
- Section II – Statement of Work
  Hye-Youn Park
- Section III – General Proposal Information
  Robert Thurman

Avaya Information Meeting

- Section IV – Administrative and Program Expectations

  Robert Thurman

- Section V – Proposal Instructions and Requirements

  Hye-Youn Park and Robert Thurman

- Attachments and Appendix

  Robert Thurman

Avaya Information Meeting

3:00 p.m., PST-3:15 p.m., PST

Break

3:15 p.m., PST-End

Question and Answer Period

- All Staff

Section I
Introduction

Presenter: Hye-Youn Park, Ph.D.
Research Scientist
Evaluation Unit

Section I. (pages 1-4):

Introduction

A. Purpose
B. Background
C. Survey

Section I
Introduction

- Purpose
  - To solicit proposals from qualified agencies and award a single service contract to conduct the in-school survey and evaluation of the TUPE program in California schools.
  - The project will be funded by the Tobacco Tax and Health Protection Act of 1988.

Section I
Introduction

- The evaluation will include surveys conducted during the 2009-10 school year on:
  - Youth in grades 6-12 regarding their tobacco use behaviors and attitudes, recall of TUPE instruction, and awareness of tobacco use policies.
  - Administrators/principals regarding tobacco control policies and support for TUPE.
  - Lead health education or TUPE coordinators/teachers regarding training and implementation of TUPE curricula and activities.
  - Teachers regarding training and implementation of TUPE curricula and activities.

Section I
Introduction

- Background
  - Tobacco is single most preventable cause of illness, disability and premature death.
  - In California, 40,000 people die each year from tobacco-related diseases.
  - Tobacco costs the state economy more than $15.8 billion a year.
  - November 1988, voters approved Proposition (Prop) 99, which added $0.25 tax.
  - These taxes were earmarked for tobacco-related research, health education, health care and environmental conservation.

    See Appendix A for additional tobacco control information.

Section I
Introduction

- The TUPE program is a school-based education component that is administered by the California Department of Education (CDE).

→ ***Starting in 2009, all TUPE funding will be a competitive grant for grades 6-12.***

- The TUPE program must include a classroom science-based program, pre-cessation classes for current users, and cessation classes for those ready to quit.

- TUPE program instructions are often coordinated with prevention programs with alcohol and other drug prevention programs.

Section I
Introduction

- Prop 99 mandated CTCP to evaluate the effectiveness of the TUPE. This is done in consultation with CDE.

- The California Health and Safety Code, Section 104375 (c): The department shall produce or contract for, and update biennially, a description of programs to be effective in reducing smoking and tobacco use, and the identification of portions of target populations that need information regarding the hazards of tobacco use.

Section I
Introduction

- Survey will provide:
  - Data regarding youth tobacco use prevalence, knowledge and attitudes about tobacco use and its harmful effects, and exposure to any anti-tobacco education programs.
  - Representative statewide data including racial/ethnic sub-group populations, and sub-samples representative of 12 regions (only high school students).
- Survey results will be used:
  - To track the state's progress towards achieving the smoking prevalence goal among CA high school students (8 percent by 2008).

Section II
Statement of Work

Presenter: Hye-Youn Park, Ph.D.
Research Scientist
Evaluation Unit

Section II. (pages 5-15)

Statement of work

A. Evaluation Plan
B. Data Collection and Preparation Plan
C. Analytic Plan
D. Reports and Deliverables

Section II
Statement of Work

- **Evaluation Plan:**
  - Assess school-based tobacco use prevention activities, and measurement of student response to these activities.
  - Address grades 6-8 in middle school, and grades 9-12 in high schools.
  - Take into account the TUPE funding mechanism (competitive grants for grades 6-12 in 2009).
  - The most recent evaluation documents are available (http://tcfor.catcp.org under related documents).
  - Minimum burden on the schools.

Section II
Statement of Work

Evaluation Plan:

- Compare trends in students' tobacco use, tobacco-related knowledge, quitting behavior, beliefs, and attitudes using the 2009-10 California Student Tobacco Survey, the National Youth Tobacco Survey, and the California Student Survey.
- Compare school level data such as differences in school policies and programs including TUPE implementation, teacher training, parental education, academic performance index (API), size of student enrollment, and their relationship to student level data.

Section II
Statement of Work

Evaluation Plan:

- Compare how school curricula are implemented in CA to the Centers for Disease Control and Prevention (CDC) guidelines for school-based programs and the U.S. Department of Education's (USDE) principles of effectiveness.
- Assess the extent to which adults (e.g., teachers) are knowledgeable about, involved with the TUPE program, and what they think about consequences, barriers, and ways for improvement associated with the TUPE program.

Section II
Statement of Work

Evaluation Plan:

- Evaluate how schools and districts implement its grant program in accordance with its original grant application (key informant interviews).
- Conduct longitudinal analyses of this evaluation at the school level.
  - For the 2009-10 survey, this longitudinal component would be continued or discontinued at the option of the respondent.

Section II
Statement of Work

Data Collection and Preparation Plan (pages 7-11):

- The 2009-10 survey sampling plan should include, but is not limited to:
  - A random sampling stratified by 12 regions across the state for high schools.
  - Survey public middle schools (grades 6-8) and high schools (grades 9-12).
  - Private schools and other alternative schools will not be included.
  - This sample will be used for all of the evaluation activities.
  - The number of classrooms per school and per grade must be specified (on average, two classrooms for each grade).

Section II
Statement of Work

Data Collection and Preparation Plan:

- If a longitudinal component is proposed, two possible options:
  - Sampling from the 91 non-carry-over high schools from the 2007-08 survey.
  - Sampling from the carry-over high schools from the 2007-08 survey which will be their fourth time of participation.
- Adult surveys will be conducted at schools and district levels:
  - Teacher, school principal/administrator, school TUPE/health coordinator, and district TUPE/health coordinator.
- Key informant interviews will be conducted at schools, districts, and CDE to provide the qualitative evaluation for the fidelity and support of science-based curriculum.

Section II
Statement of Work

Sampling Issues:

- Active or Passive Consent
  - Surveys of grade 6 students require active consent.
  - Passive consent for students grade 7-12 is district discretion.
- Proposal should include addressing methods to increase participation if active consent is required for grades 7-12.
- The evaluation should compare possible outcomes by the consent methods.

Section II
Statement of Work

Data Collection and Preparation Plan:

- Instruments
  - Must be comparable to past surveys and national surveys.
  - Previous survey instrument are on TCFOR Web site.
  - Contractor will create key informant interview tool.
  - The actual survey instruments are to be printed by the contractor.

Section II
Statement of Work

Data Collection and Preparation Plan:

Data collection and Quality Control Methods

- Participation: Provide the methods to be used to maximize participation rate.
- Classroom selection: Provide the methods to obtain a random selection of classrooms at each school.
- Survey administration
  - Student survey: Proctor, not a teacher, must administer the survey.
  - Adult survey: This can be through either on-line or paper formats.
  - Key informant interviews: This can be through either face-to-face or telephone interviews.

Section II
Statement of Work

- Data Preparation
  - The contractor is responsible for:
    - Understanding the weight methods.
    - Screening, cleaning, and analyzing the data.
    - Providing the data accompanying technical documents such as codebooks.
- Protection of Human Subjects
  - The protocol must be submitted and approved by the Health and Welfare Agency, Committee for the Protection of Human Subjects and by the contract agency's own process *(complete this process by June 30, 2009)*.
- School Stipend
  - Not necessary to provide; however, the evaluation plan needs to address methods to increase participation of schools and students.

Section II
Statement of Work

<u>Analytic Plan</u> (pages 11-12) should:

- Provide a description and explanation of how the data collected will be analyzed and interpreted to reach answers to the evaluation questions (page 11).
- Include a conceptual framework for hypotheses and statistical methods to test them.
- Describe how you intend to structure and communicate the results of your analyses.

Section II
Statement of Work

<u>Reports and Deliverables (pages 13-15)</u>:

- A plan for the development and delivery of products shall be described in the proposal.
- The data and the products under this survey will belong to the State for public use.
- The minimum requirement for contract deliverables are (pages 13-15).
  - An executive summary (10-12 pages).
  - Evaluation report.
  - Data set and Technical Documentation.
  - Progress Reports: Written reports shall be submitted twice a year.

Section III
General Proposal Information

Presenter: Robert Thurman,
Procurement Manager
Administrative Support Unit

Pages 16-28

Section III
General Proposal Information

- Who May Submit a Proposal:
  - Non-Profit Organizations are eligible.
  - Agencies must submit documentation of their non-profit status with the application in the form of:
    - State of California, Secretary of State certification.
    - A Department of the Treasury, Internal Revenue Service certification.
    - Approval document from a State regulatory agency .

Section III
General Proposal Information

- Private and public agencies, including State universities and colleges, are eligible.
- California State government agencies are NOT eligible.
- Applicants can apply as individual organizations or consortiums.
  - The consortium proposal is a primary contractor that supervises one or more subcontractors.

Section III
General Proposal Information

- An Agency cannot receive any tobacco funding from a company or subsidiary.
  - Agency certification is required.

- Principal Investigator's (PI) from a college or university cannot receive funding from a tobacco company during the contract or five (5) years prior to the start date.
  - PI certification is required.

Section III
General Proposal Information

- Contract Period and Funding Levels
  - 27-month agreement term (April 1, 2009 through June 30, 2011).
  - The April 1 start-up is to obtain IRB approval and fully mobilize the project prior to July 1, 2009.
  - Up to $800,000 for the entire project term.
  - Funding is contingent on Prop 99 fiscal year allocation approvals.

Section III
General Proposal Information

- Reservation of Rights
- Eight (8) rights reserved by CTCP in awarding the procurement:
  - CTCP reserves the right to fund any or none of the proposals submitted in response to this RFP.
  - CTCP may waive any immaterial deviation in any proposal. The CTCP waiver of an immaterial deviation shall not excuse a proposal from full compliance with the contract terms and conditions if a contract is awarded. There is no guarantee that receiving a passing score (120 points or greater) will result in a contract award.

Section III
General Proposal Information

- CTCP reserves the right to withdraw the award if an approved SOW, Budget, Budget Justification, or other required documents are not received by CTCP within the 45-calendar-day negotiation period.
- CTCP reserves the right to notify the awardee of the negotiation period start date.
- CTCP reserves the right to negotiate any proposed service or activity in the SOW and budget.
- CTCP reserves the right to approve the use of all subcontractor(s) and consultant(s).

Section III
General Proposal Information

- Expenses associated with submission of a proposal are solely the responsibility of the proposal organization and will not be reimbursed by CTCP.

- The awardee certifies, by submitting the proposal, that it has appropriate systems and controls in place to ensure that State funds will not be used in the performance of this contract for the acquisition, operations, or maintenance of computer software in violation of copyright laws.

Section III
General Proposal Information

- Contract Terms and Conditions
  - Contract developed using approved California State contracting requirements.
  - Intellectual Property Rights
    - The State is the owner of all rights.
    - See a copy of the Intellectual Property Rights in the RFP Appendix F.

Section III
General Proposal Information

- Proposal Submission Requirements
  - Online submission of the "Letter of Intent" by October 22, 2008. Follow the instructions in the "Request to Apply" section.
  - TCFOR Web site online submission:
    - Input funding amount.
    - Click on browser to upload "Letter of Intent."
    - We will discuss online submission later in the presentation.

Section III
General Proposal Information

- All proposal information is subject to the CTCP verification process.
- Submit one original proposal and eight (8) copies by 5 p.m., PST, on November 4, 2008, at the CTCP office.
- Follow mailing instructions in the RFP.
- E-mail copies will not be accepted.
- Proposals submitted after 5 p.m., PST, on November 4, 2008, will be considered non-responsive (late) and will not be reviewed.
- Once submitted, no changes can be made to the proposal.

Section III
General Proposal Information

- Online Request to Apply
  - Instructions for accessing online submission through the "Request to Apply" process is at: http://tcfor.catcp.org/.
  - At the TCFOR Web site start at the "Funding Opportunities" prompt and follow the RFP instructions.
  - If you need technical assistance, phone (916) 449-5500.

Section III
General Proposal Information

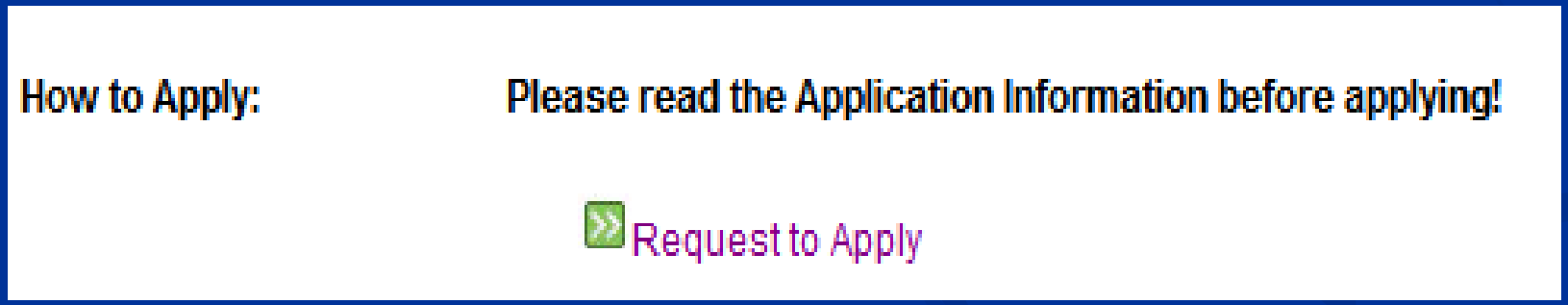
- Click on "Funding Opportunities."

Section III
General Proposal Information

RFP CTCP 08-85393 The In-School Survey and Evaluation of the CA Tobacco Use Prevention Education (TUPE) Program	10-02-2008	11-04-2008

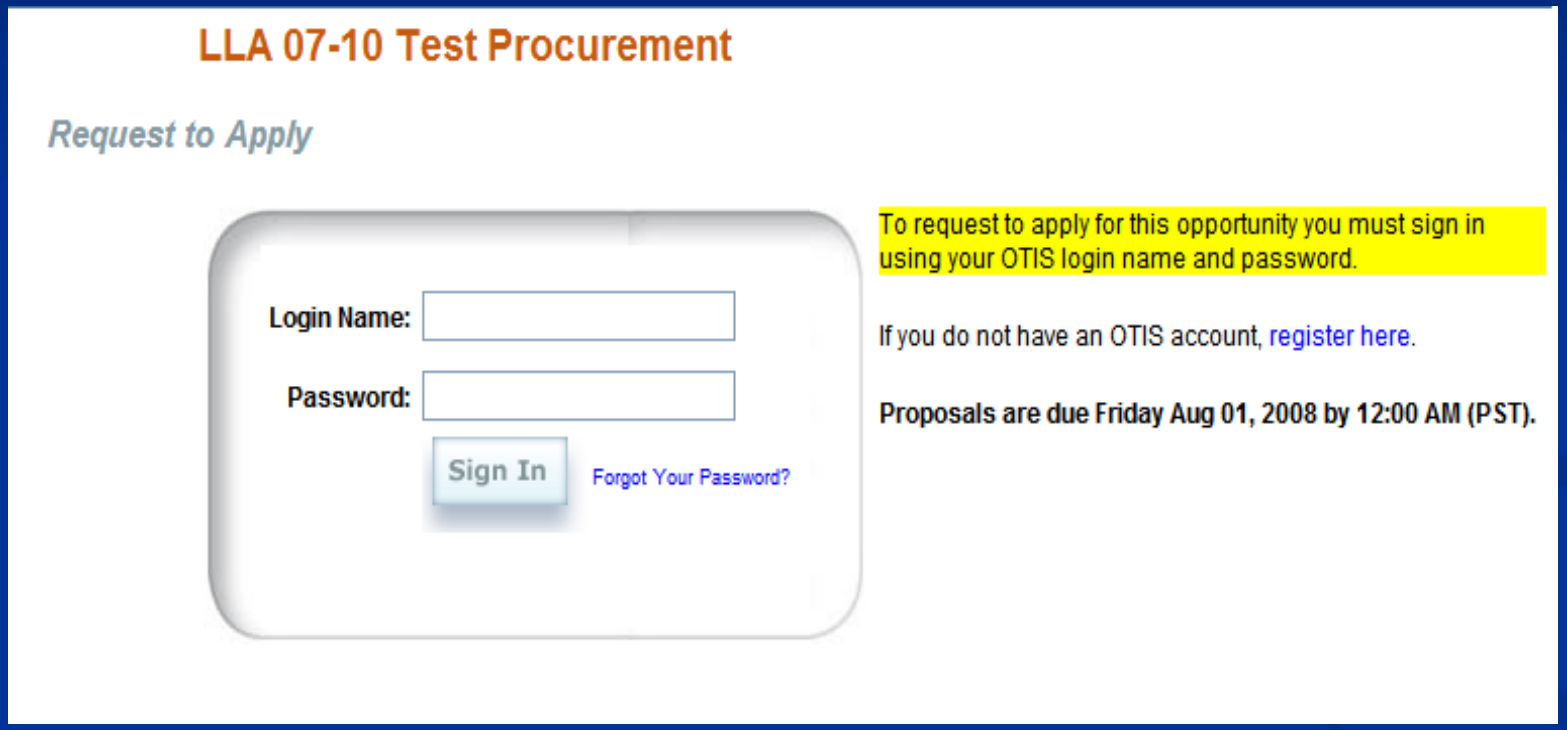
- Click on "RFP CTCP 08-85393 In-School Survey and Evaluation."

Section III
General Proposal Information



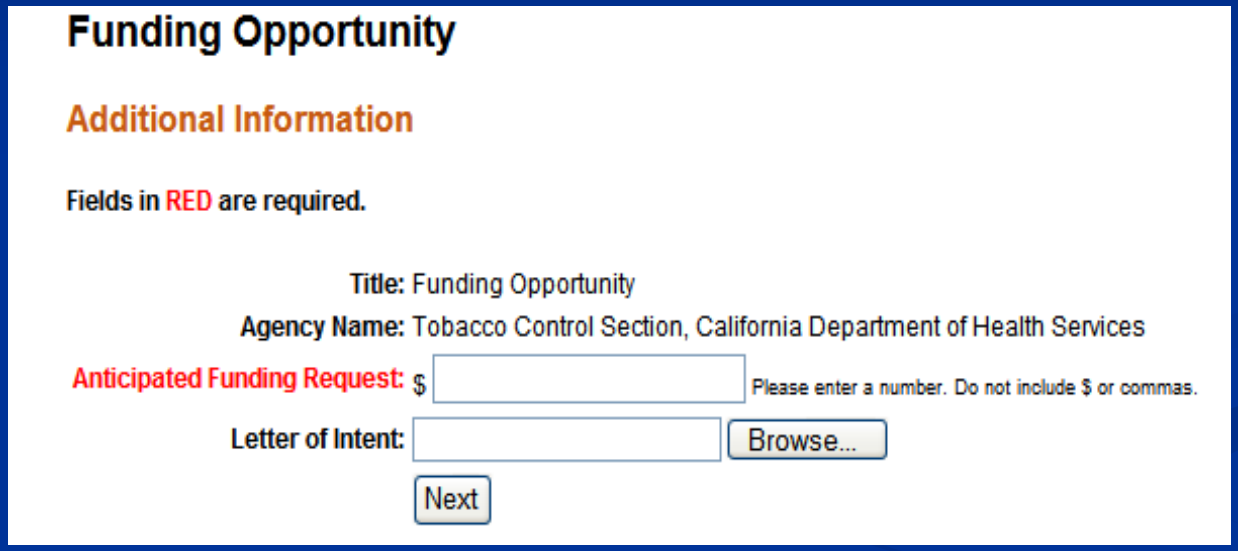
- Click on “Request to Apply.”

Section III
General Proposal Information



- Click on the “Register Here” link.

Section III
General Proposal Information


Funding Opportunity

Additional Information

Fields in RED are required.

Title: Funding Opportunity

Agency Name: Tobacco Control Section, California Department of Health Services

Anticipated Funding Request: $ Please enter a number. Do not include $ or commas.

Letter of Intent: Browse...

Next

- Input funding amount and up-load signed letter of Intent using browse prompt.

Section III
General Proposal Information

Funding Opportunity

Request to Apply Submission

Please review the information listed below. If any of it is incorrect, click on the "Cancel Request" and start over. If it is correct, Click on "Submit Request" to send the Request to Apply to CTCP.

Once submitted you will receive E-Mail confirmation of the submission at the E-Mail listed for the account which submitted the request. You should receive a response from CTCP within five (5) business days.

Title: Funding Opportunity
Agency Name: Tobacco Control Section, California Department of Health Services
Anticipated Funding Request: $11,111.00
Letter of Intent: Uploaded Letter of Intent

Submit Request | Cancel Request

- Submit request.

Section III
General Proposal Information

- Hard Copy Review Process
  - Proposals are due not later than 5 p.m., PST, on November 4, 2008.
    - Proposals will be date/time stamped.
  - Follow the RFP instructions completely and carefully.
  - Complete the proposal early, review it, and submit prior to deadline.

Section III
General Proposal Information

- CTCP reserves the right to waive deviations it considers to be immaterial in proposals.
  - A waiver shall not excuse a proposal from full compliance with contract terms and conditions.

Section III
General Proposal Information

Proposal Scoring total point value:

Activity	Points
(1) Agency Capability	40
(2) Project Description (80 points total)	
▪ Evaluation Plan	35
▪ Data Collection and Preparation Plan	25
▪ Analytic Plan	15
▪ Timeline	5
▪ Organization Chart	0
(3) SOW	20
(4) Budget Justification/Budget	20
Total Points	160

Section III
General Proposal Information

- Contract Award

  Notification of awards will be mailed, as well as posted in Partners and CTCP Web sites by December 18, 2008.

- Following the award notification, CTCP will contact the agency to schedule negotiations.

Section III
General Proposal Information

- Optional presentation or oral interviews. CTCP reserves the right to conduct oral interviews at applicants expense.
  - If CTCP decides to conduct an oral interview/presentation, scoring criteria and instructions will be sent to the agency.
- Consensus Review Tool Summary
  - Proposal agencies may request a copy of the RFP review tool summary

Section III
General Proposal Information

- Appeal Process
  - Only agencies who submit a proposal that meets requirements and are not funded may appeal.
  - Appeal letters are due by 5 p.m., PST, January 7, 2009.
    - Appeals are limited to CTCP failing to correctly apply the standards for reviewing.

Section III
General Proposal Information

- Tentative Timeline
  - Review the RFP timeline.
  - Schedule meeting dates and submission deadlines on your agency calendar.

Tentative Timeline (page 28)

October 15, 2008	Information meeting
October 22, 2008	Letter of Intent due by 5 p.m., PST
November 4, 2008	Proposals due no later 5 p.m., PST
December 18, 2008	Award decision posted
January 4, 2009	Negotiation begins
January 7, 2009	Appeal deadline
April 1, 2009	Contract period begins
June 30, 2011	Contract period ends

Section IV
Administrative and Program Expectations

Presenter: Robert Thurman,
Procurement Manager
Administrative Support Unit

Pages 29-31

Section IV
Administrative and Program Expectations

- Potential contractors submitting a proposal must have both the administrative capacity to manage State contract funds; and, the technical and scientific ability to successfully complete the survey and evaluation activities proposed in the SOW.

Section IV
Administrative and Program Expectations

- Contractors are to expend funds in accordance with the executed contract line item budget.
- Contractors are reimbursed by invoice for approved contract expenses.
- Contractors are expected to contact CTCP if they are having difficulty starting or completing contracted SOW activities.
- CTCP has the authority to withhold or recover payment of funds if SOW deliverables are not completed according to the executed contract terms and conditions.

Section IV
Administrative and Program Expectations

- CTCP will send the Administrative and Policy Manual to the award agency. The manual is incorporated into the fully executed contract terms and conditions.
- Contractors are to comply with standard California payroll practices, including maintaining standard accounting records.
- Contractor are to obtain an annual single organization-wide audit.

Section IV
Administrative and Program Expectations

- Contractors are to obtain prior CTCP approval before they are reimbursed for any subcontract or consultant agreement costing over $50,000, or invoices over $5,000.
- Contractors are to have an established procedure designating an authorized person to sign official documents.
- Contractors are to maintain accurate records for all program activities and deliverables.
- Contractors will be required to submit timely, accurate, and complete progress reports every six (6) months

Section IV
Administrative and Program Expectations

- Contractors and subcontractors are cautioned that the State is the owner of all rights, title, and interest in all works created, produced, or developed under a contract funded from the RFP, whether published or unpublished.
- Travel and Per Diem rates must not exceed the State travel policy limits.
- Hire staff with appropriate training and experience.
- The contractor must notify CTCP immediately if served with a subpoena or California public records request.

Section IV
Administrative and Program Expectations

- All data sets submitted to CTCP for approval must be according to the executed contract SOW and submission deadlines. Contractor software must be compatible with CTCP. The data sets must be professional quality, using a technique and format approved by CTCP.

Section V
Proposal Instructions and Requirements

Presenters: Hye-Youn Park
Research Scientist
Evaluation Unit

Robert Thurman
Procurement Manager
Administrative Support Unit

Pages 32-55

Section V
Proposal Instructions and Requirements

Outlines

- General Instructions
- Organization of the Proposal
- Proposal Requirements

Section V
Proposal Instructions and Requirements

General Instructions (page 32):

- Read and follow all instructions carefully.
- Do *not* assume that the reviewers have knowledge of the past history of your agency.
- Do *not* provide any materials that are not requested.

Section V
Proposal Instructions and Requirements

Organization of the Proposal (pages 32-33):

- Proposal Cover Sheet
- Table of Contents for Proposal Attachments
- Proposal Checklist (not required to submit)
- Agency Capability
- Project Description
  - Project Narrative
  - Timeline
  - Organization Chart

Section V
Proposal Instructions and Requirements

(continued)

- Scope of Work
- Budget Justification/Budget
- Additional Required Forms
  - Certification of Non-Acceptance of Tobacco Funds
  - Agency Documentation Requirements
- Curriculum Vitae of Primary Professional Staff
- Signature documents by the authorized agency signatory (Allow time to obtain the required signatures.)

Section V
Proposal Instructions and Requirements

Review Criteria

- After each question, specific criteria for review are addressed.
- The proposal should closely address the score criteria throughout the proposal.

Section V
Proposal Instructions and Requirements

Proposal scoring (total 160 points)

- **Agency Capability** (no attachment, 10-page limit): ***40*** points
- **Project Description**: ***80*** points
  - Project Narrative (total 75 points, no attachment, 25-page limit excluding Timeline and Organization Chart)
    - Evaluation Plan (***35*** points)
    - Data Collection and Preparation Plan (***25*** points)
    - Analytic Plan (***15*** points)
  - Timeline (no attachment, no page limit): ***5*** points
  - Organization Chart (no attachment, no page limit): ***-2 to 0*** points
- **Scope of Work** (attachment 8, no page limit): ***20*** points
- **Budget Justification/Budget** (no attachment, no page limit): ***20*** points

Section V
Proposal Instructions and Requirements

- **Proposal Requirements (continued)**
  - Agency Capability (no attachment provided)
    - 10-page limit
    - 40 points/total of 160
    - Answer all of the following questions as they apply to the proposing agency and major subcontractors.
    - If part of a large organization, provide the information for the research center or unit as well.
    - Information provided in this narrative, and letters of reference will be used for review.

Section V
Proposal Instructions and Requirements

(Continued)

- Agency Capability (no attachment provided)
  - Evaluation/Analytic Capabilities (page 34)
    - Address all seven questions (pages 34-35).
    - Demonstrate large scale evaluation and surveillance experience.
    - Demonstrate the agency's experience in assessing school program planning and implementation.

Section V
Proposal Instructions and Requirements

(Continued)

- Agency Capability (no attachment provided)
  - Administrative Capabilities (page 36)
    - Address all three questions (page 36).
    - Demonstrate agency's history of managing contract funds and audits.
    - Demonstrate the agency's sufficient office equipment resources.

Section V
Proposal Instructions and Requirements

- Project Description: 80 points (25-page limit)
  - Project Narrative (75 points)
    - Describe specifically how you will carry out this project including:
      - All research questions and hypotheses.
      - Variables of interests.
      - Methods and analytic plans.
    - Organize the Project Narrative into the following sections:
      - Evaluation Plan (35 points).
      - Data collection and Preparation Plan (25 points).
      - Analytic Plan (15 points): statistical models and analyses.

Section V
Proposal Instructions and Requirements

- Project Description (continued)
  - Timeline (5 points)
    - Completion dates for major activities and deliverables.
  - Organization Chart (-2 to 0 points)
    - How staffing will be organized to support the project components.

Section V
Proposal Instructions and Requirements

- Scope of Work: 20 points (no page limit)
- Attachment 8 and sample SOW Appendix I
  - "Road map" for the project, including:
    - What will be done?
    - How much will be done?
    - When and where the activities will occur.
    - Who will be responsible for the work?
    - Proportion of resources/effort allocated to the deliverables.
    - Tracking measures to document completion of deliverables.

Section V
Proposal Instructions and Requirements

- Scope of Work (continued)
  - Contractor is legally bound to complete activities.
  - All survey and evaluation work activities need to be described and consistent in the SOW (e.g., sample size).
  - The Budget justification detail should connect to SOW activities (e.g., survey collection, staffing).

Section V
Proposal Instructions and Requirements

- Scope of Work (continued)
  - Header Information
  - Column 1: **<u>Objectives/Activities</u>**
    - **<u>Objectives</u>**: The objectives relate to the project components (i.e., sample design, data collection, and preparation plan)
    - **<u>Activities</u>**: The activities are conducted to achieve the objectives:
      - What will be done?
      - How much will be done?
      - Where activities will occur.

Section V
Proposal Instructions and Requirements

- Scope of Work (continued)
  - Column 2: **Copyright© (Appendix F)**
  - Column 3: **Percent Deliverable**
    - A deliverable reflects tangible products and services developed or conducted under the agreement.
    - The total of the percentages assigned in the SOW must be 100 percent.

Section V
Proposal Instructions and Requirements

- Scope of Work (continued)
  - Column 4: **<u>Start/End date</u>**
    - A time frame by giving a start and end date for each activity (e.g., April 2009-July 2009).
  - Column 5: **<u>Who is Responsible</u>**
    - The staff position, subcontractor, or consultant responsible for each activity.

Section V
Proposal Instructions and Requirements

- Scope of Work (continued)
  - Column 6: **<u>Tracking Measures</u>**
    - The items used to document and verify that project activities are completed (e.g., survey instrument, IRB approval).
  - Columns 7-8: **<u>For Progress Report Use Only</u>**
    - Leave blank.

Section V
Proposal Instructions and Requirements

- **Budget Justification/Budget** (20 points)
  - Refer to Appendix J for a Budget Justification sample format.
  - Funding preference is based on the following criteria:
    - Propose a budget justification and budget that follows the RFP instructions.
    - Ensure that all spelling, math, formulas, and totals are correct.

Section V
Proposal Instructions and Requirements

- Provide a narrative description for each staff position that adequately discusses the skills, education, and experience to fully justify their scientific and/or administrative activities/participation in the SOW.
- Propose personnel salaries and consultant costs that are consistent with comparable State Civil Service positions (fully justify all proposed salaries that are higher than comparable State Civil Service).
- List and briefly explain each fringe benefit and provide their estimated cost.

Section V
Proposal Instructions and Requirements

- Propose staff and operating expenses that are cost effective and fully connected to the SOW (in the Budget Justification, connect each budgeted staff position and each operating expense to their corresponding activity in the SOW).
- List and briefly explain all indirect costs incurred in the applicant's course of doing business on the project and compute them at rates based on the direct salary plus fringe benefit total.
- Use whole numbers and round to the nearest dollar amount.

Section V
Proposal Instructions and Requirements

- Personnel Costs
  - List all positions using the most appropriate titles. The position title used in the Budget Justification must be the same title used in the SOW responsible party section. Provide a description of duties, responsibilities, and activities to be performed for each position in support of the scope of work.

Section V
Proposal Instructions and Requirements

- Use the following for completing Personnel Costs and follow RFP instructions:
  - Position Title
  - Salary Range
  - Percent of Time
  - Number of Pay Periods
  - Description of duties, skills
  - Amount Requested

Section V
Proposal Instructions and Requirements

- Personnel budgeted at less than 10 percent full-time equivalent (FTE) should be included within the Indirect Expense category, unless the applicant has sufficient justification (such as an established policy or other good-cause reasons).

- Ensure all formulas for Personnel Costs are detailed correctly and totals are correct.

Section V
Proposal Instructions and Requirements

- Fringe Benefits
  - Refer to Appendix L, Contract Uniformity for specific allowable Fringe Benefits.
  - Fringe Benefits should be budgeted at actual cost for eligible employees in accordance with the agency policy. List and briefly explain each Fringe Benefit and provide their estimated cost. Total the combined Fringe Benefit cost and calculate the percentage based on total staff salary.
  - Use a range to include staff percentage variations.

Section V
Proposal Instructions and Requirements

- Operating Expenses
  - CTCP Communications Network (Partners) and Space Rent must appear in the Operating Expenses category. If no expenses, enter $0.
  - Other line items are optional; however, justification is required for each category.

Section V
Proposal Instructions and Requirements

- Equipment Expenses
  - Due to limited availability of funds for this RFP, equipment purchases are limited to software purchases only. See Appendix M.
  - Identify and justify the need for each software purchase.

Section V
Proposal Instructions and Requirements

- Travel/Per Diem and Training
  - Travel is reimbursed at the current State Department of Personnel Administration rates. See Appendix H.
  - The required four (4) travel line items must appear in the budget justification. Follow the instructions in the RFP for detailed travel information.
    - Project Travel/Training
    - Optional CTCP Travel/Training
    - Required CTCP Travel/Training
    - Out-of-State Travel

Section V
Proposal Instructions and Requirements

- Travel/Per Diem and Training (continued)
  - Any travel line item not being used, enter $0.
  - Out-of-State Travel will require a strong justification by the contractor, and only with the final approval by CTCP.

Section V
Proposal Instructions and Requirements

- Subcontracts and Consultants
  - If known, provide the formal name, complete description of activities to be performed, period of time, and total cost for personnel, fringe benefits, operating expenses, subcontracts/consultants, and indirect expenses. The information must also be included in the SOW.

Section V
Proposal Instructions and Requirements

- If unknown, indicate a generic title, provide a narrative that describes the activities to be performed, and the estimated amount(s) (must also be included in the SOW).

- CTCP retains the right to approve subcontract/consultant agreements, and must review and approve subcontract agreements costing $50,000 or more prior to reimbursement.

Section V
Proposal Instructions and Requirements

- Other Costs
  - Script or stipends may be used to encourage participation among schools and students to achieve maximum survey response rates.
  - Briefly describe the script or stipend plan, award levels, and type (monetary or a purchased item) that will be used to encourage maximum survey responses.
  - Add additional categories as necessary.

Section V
Proposal Instructions and Requirements

- Indirect Expenses
  - Basic Indirect Costs are costs that are not directly connected to the completion of SOW deliverables. These are overhead and administrative expenses incurred in the applicant's normal course of doing business on the proposed TUPE in-school survey and evaluation (such as accounting, proportionate share of utilities, general liability insurance, space maintenance/janitorial, proportionate share of audit [other than California UCs]). The basic indirect costs rate for allowable expenses shall not exceed 25 percent, based on the combined total of salary plus fringe benefits.

Section V
Proposal Instructions and Requirements

- Other Indirect Costs will consist of supplementary indirect costs not listed and expensed within the Basic Indirect Cost category. This category is seldom needed; its use must be carefully justified. These indirect expenses will be cautiously reviewed prior to approval. The Other Indirect Costs should be computed at 15 percent, based on the total of salaries plus fringe benefits.

Section V
Proposal Instructions and Requirements

- Fee or Profit Costs. This category will include a negotiated fee or profit for agencies that are eligible. This category is seldom needed; its use must be carefully justified. These indirect expenses will be reviewed and negotiated. The rate for fee or profit shall not exceed three (3) percent for the combined total of salary plus fringe benefits.

Section V
Proposal Instructions and Requirements

- List and briefly explain each Indirect Expense for the "Basic Indirect Costs," "Other Indirect Costs," and "Fee or Profit Costs" categories.

- Provide an estimated cost amount for each indirect expense to be charged to this agreement. Calculate the proposed dollar amount and the total indirect expense percentage rate. The total percentage rate is to be multiplied by the combined base total of salary plus fringe benefits.

Section V
Proposal Instructions and Requirements

- California colleges and universities should budget indirect costs based on a waiver for State-sponsored tobacco programs, which calls for indirect costs to equal not more than 25 percent of the total for salaries, plus fringe benefits, rather than calculation of standard on-campus, off-campus, or special rates.

- Primary Contractor's Subcontractors are limited to a maximum indirect expense rate of 25 percent, based on a total of salary plus fringe benefits.

Section V
Proposal Instructions and Requirements

- Budget Page
  - See Budget Sample, Appendix N.
  - Each fiscal year (FY) is one budget page
    - FY 08-09 – three months
    - FY 09-10 – twelve months
    - FY 10-11 – twelve months
  - Each budget page must contain all eight (8) expense categories.

Section V
Proposal Instructions and Requirements

- Personnel Costs
- Fringe Benefits
- Operating Expenses
- Equipment Expenses
- Travel/Per Diem and Training
- Subcontract/Consultant
- Other Costs
- Indirect Expenses

Section V
Proposal Instructions and Requirements

- Additional required forms (both require a signature):
  - Certification of Non-Acceptance of Tobacco Funds
  - Agency Documentation Requirements

Section V
Proposal Instructions and Requirements

- Contractors may include:
  - Curriculum Vitae of primary professional staff.

Attachments

- Proposal Cover Sheet (Signature Required)
- Table of Contents for Proposal Attachments
- Proposal Checklist
- Contact Information Form
- Project Director Form
- Fiscal Contacts Form
- Official Agency Signatory Form

Attachments

- Scope of Work
- Certification of Non-Acceptance of Tobacco Funds (Signature Required)
- Agency Documentation Requirements (Signature Required)
- Current and Anticipated Funds

Appendix

- California Tobacco Control Program
- In-School Evaluation Logic Model (Sample)
- Sample California Secretary of State, Statement of Information
- Sample Internal Revenue Service Letter
- Partial list of Tobacco Subsidiary Products
- Intellectual Property Rights
- Avaya Information Meeting and On-Line Application Training

Appendix

- Travel Reimbursement Information
- Sample Scope of Work
- Budget Justification Sample
- Comparable State Civil Service Classifications
- Contract Uniformity
- Software Minimum Specifications
- Budget Sample

GOOD LUCK

THE END