Tobacco Control Interventions for Priority Populations

Request for Applications
TCS 07-100

February 5, 2007

California Department of Health Services
Tobacco Control Section
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California Department of Health Services

Director

Governor

February 5, 2007

TO: PROSPECTIVE APPLICANTS

SUBJECT: REQUEST FOR APPLICATION (RFA) TCS 07-100

Enclosed is RFA TCS 07-100, entitled "Tobacco Control Interventions for Priority Populations." The purpose of this RFA is to fund at least one successful tobacco control project that addresses demonstrated tobacco control needs among the following priority populations: 1) African American; 2) American Indian/Alaskan Native; 3) Asian and Pacific Islander; 4) Hispanic/Latino; 5) Lesbian, Gay, Bisexual, and Transgender; 6) Low Socio-Economic Status; 7) Blue and/or Pink Collar Workers; 8) Military; and 9) Rural Residents.

The RFA specifies eligibility, submission requirements, and tentative timelines. Please read the RFA carefully, as this is an open competitive process and applications must comply with all the RFA instructions. **Applications are due to the Tobacco Control Section (TCS) on March 8, 2007, no later than 5 p.m.**

The complete RFA and all required forms are also available on the TCS website: http://www.dhs.ca.gov/tobacco. In addition, the policy section of the *TCS Competitive Grantees Administrative and Policy Manual* is available on the website to assist potential applicants in preparing their application.

If your organization is eligible and interested in applying for funds, it would be beneficial to attend the scheduled RFA Information Meeting and On-line Application Training. Please have a copy of the RFA with you during the meeting. Answers to questions about the RFA will only be provided at this meeting. Phone calls for programmatic technical assistance in preparing the application **will not** be accepted.

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The Information Meeting will be a combined Web meeting and conference call utilizing Avaya©, a visual and interactive meeting software. The information meeting is tentatively scheduled for February 14, 2007. See the RFA for more detail regarding this meeting.

Thank you for your interest in tobacco control.

Neal D. Kohatsu, MD, MPH, Chief
Cancer Control Branch

Enclosure

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I. INTRODUCTION

A. Purpose

The purpose of this Request for Applications (RFA) is to fund at least one tobacco control project in each of the following priority populations: 1) African American; 2) American Indian/Alaskan Native; 3) Asian and Pacific Islander; 4) Hispanic/Latino; 5) Lesbian, Gay, Bisexual, and Transgender (LGBT); 6) Low Socio-Economic Status; 7) Blue and/or Pink Collar Workers; 8) Military; and 9) Rural Residents. Successful applicants must meet the scoring criteria and must demonstrate tobacco control needs among one or more of these priority populations. Applicants may address more than one population; however, one population must be designated as primary. Applicants may propose projects that will address the targeted populations' needs at the local, tribal, regional, or state level.

Successful applicants must be able to take culture, language, geographic, and socio-economic characteristics of the targeted populations into consideration in order to design and implement appropriate intervention and evaluation activities. Successful applicants must also have demonstrated experience with community norm change health education strategies, local program evaluation, administrative management of government funds, and the ability to partially equip proposed staff with computer and office equipment.

For the purpose of this RFA, applicants are expected to utilize the definitions of priority populations provided in this section or in referenced documents. The first six priority populations listed above are discussed and defined in the *Communities of Excellence in Tobacco Control, Module 3: Priority Populations Speak about Tobacco Control*, which is available at www.dhs.ca.gov/tobacco/documents/pubs/CX2006-Module3.pdf. For the remaining three priority populations (7, 8, and 9) please refer to the following definitions:

- The **Blue and/or Pink Collar Worker** priority population includes members of the working class. Blue collar workers perform manual labor and earn an hourly wage. Blue collar work may be skilled or unskilled, and may involve factory work, building and construction trades, mechanical work, maintenance, etc. Pink collar work involves jobs traditionally held by women that typically provide lower wages. Pink collar workers include: clerical workers, maids, nursing aides, waitresses, and food service workers. Studies have demonstrated that blue and pink collar workers have disproportionately high rates of smoking.

- The **Military** priority population is meant to only include members of the Army, Navy, and Marine Corps with a focus on enlisted personnel. These three branches of the military are targeted because a study conducted by the California Department of Health Services, Tobacco Control Section (CDHS/TCS), found that California enlisted members of these branches have significantly higher

smoking rates than the general California population.[1] Applicants addressing the military must demonstrate access to the population.

- The **Rural Resident** priority population includes individuals who reside in areas of the state that are defined as rural by the United States (U.S.) Census Bureau. Rates of tobacco use among rural residents are higher than rates for the general California population. The U.S. Census Bureau defines an area as rural if it does **not** meet the following definition for an urban area: "An urban area generally consists of a large central place and adjacent densely settled census blocks that together have a total population of at least 2,500 for urban clusters, or at least 50,000 for urbanized areas."[2] Applicants addressing rural residents need to demonstrate that the population to be reached resides in a rural area.

Funding for this RFA is made available pursuant to Health and Safety (H&S) Code Section 104385, which requires CDHS/TCS to award grants for projects directed at the prevention of tobacco-related diseases. Preference will be given to community-based organizations that have demonstrated effectiveness and a capacity to provide tobacco control interventions and serve populations in areas with substantial unmet needs.

This RFA will **not** fund efforts which address or include the following areas or activities: 1) a sole focus on provision of tobacco cessation services; 2) social sources of tobacco (i.e., friends or family); 3) tobacco retail licensing and efforts to reduce tobacco sales to minors in areas where local lead agencies (LLAs) are addressing these issues; 4) voluntary policy approaches to reduce retail tobacco advertising inside or outside the business; 5) smoke-free pledges to reduce exposure to secondhand smoke (SHS) in homes and vehicles; 6) planning objectives; and 7) sponsorship inoculation policies (i.e., policies for venues that are unlikely to be offered or accept tobacco funds).

B. Background on Proposition 99 Funding

In November 1988, California voters approved the passage of the Tobacco Tax and Health Protection Act of 1988, also known as Proposition (Prop) 99. This referendum increased the state cigarette tax by 25 cents per pack and added an equivalent amount on other tobacco products. The new revenues were earmarked for programs to reduce smoking, to provide health care services to indigents, to support tobacco-related research, and to fund resource programs for the environment. The money is deposited by using the following formula: 20 percent is deposited in the Health Education Account (HEA); 35 percent in the Hospital Services Account; 10 percent in the Physician Services Account; 5 percent in the Research Account; 5 percent in the Public Resources Account; and 25 percent in the Unallocated Account (Revenue and Taxation Code Section 30124).

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[1] Crawford, R., C. Olsen, B. Thompson, and G. Barbour. *California Active Duty Tobacco Use Survey-2004*. Sacramento, CA: CDHS, 2005.
[2] U.S. Census Bureau, www.census.gov.

HEA funds both community and school-based health education programs to prevent and reduce tobacco use and is jointly administered by CDHS/TCS and the California Department of Education (CDE). Currently, CDHS/TCS receives approximately two-thirds of the funding and CDE receives approximately one-third of the funding available in HEA. CDHS/TCS is responsible for supporting a statewide tobacco control program, one of the largest public health interventions of its kind ever initiated, nationally or internationally. CDHS/TCS provides funding for 61 LLAs, competitively selected community-based organizations, a statewide media campaign, and an extensive evaluation of the entire California Tobacco Control Program (CTCP). CDE administers school-based funding to grades 4-8 based on an allocation method and to high schools through a competitive grant program.

The enabling legislation for Prop 99 includes Assembly Bill (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) 99 (Chapter 1170, Statutes of 1991), SB 960 (Chapter 1328, Statutes of 1989), SB 493 (Chapter 194, Statutes of 1995); the annual State Budget; H&S Code, Sections 104350-104480, 104500-104545; and the Revenue and Taxation Code, Sections 30121-30130. These statutes and legislative language provide authority for programs administered by CDHS/TCS to:

- Conduct health education interventions and behavior change programs at the state level, in the community, and in other non-school settings.
- Apply the most current research and findings.
- Give priority to programs that demonstrate an understanding of the role community norm change has in influencing behavioral change regarding tobacco use.

Based on the current picture of tobacco use in California, CDHS/TCS intends to maintain focus on its four priority areas of: 1) reducing exposure to SHS and increasing the number of smoke-free public spaces where the population lives, works, and plays; 2) reducing the availability of tobacco products; 3) countering pro-tobacco influences in the community; and 4) providing cessation services. These priorities address key factors related to adult and/or youth tobacco use and are broad enough to encompass nearly all tobacco control activities. For more information on the CTCP, see Appendix A.

C. California Tobacco Control Program Progress and Challenges

The CTCP has been enormously successful. Adult smoking prevalence declined from 21.1 percent in 1989 to 14.0 percent in 2005, which reflects a 33.6 percent overall decline. Tobacco consumption has declined by 57.5 percent in California from fiscal year (FY), 1989-1990 to FY 2004-2005 while in the rest of the United States it has only declined 24.0 percent. Youth smoking prevalence has also declined dramatically in California, although in the most recent year, smoking

prevalence rose from 13.2 percent in 2004 to 15.4 percent in 2006. Nevertheless, California youth have a significantly lower smoking prevalence compared to the rest of the United States, and California had the second lowest youth smoking prevalence in the nation in 2004. These declines in smoking and consumption have translated into real health gains for Californians. Accelerated reductions have been documented in California for both heart disease deaths and lung cancer incidence rates. From 1988-2002, lung and bronchus cancer rates in California declined at almost four times the rate of decline in the rest of the United States.

Despite the tremendous accomplishments of the CTCP, there are still approximately 3.8 million adult and 200,000 youth smokers in California. In fact, the number of smokers in California exceeds the entire population of the state of Oregon. The burden of smoking is not equally shared across populations and communities in California. Low income, African American men and women, white men, Korean men, enlisted military personnel, LGBT, young adults, rural populations, and other populations experience tobacco use rates much higher than the general population.

For additional information on specific populations and communities that are impacted in unique ways by tobacco use, please refer to the following documents available at www.dhs.ca.gov/tobacco/html/publications.htm#0evaluationreports:

- *California Asian Indian Tobacco Use Survey – 2004*
- *California Active Duty Tobacco Use Survey – 2004*
- *California Chinese American Tobacco Use Survey – 2004*
- *California Korean American Tobacco Use Survey – 2004*
- *California Lesbians, Gays, Bisexuals and Transgender Tobacco Use Survey - 2004*
- *California Tobacco Control Update 2006: The Social Norm Change Approach*
- *Communities of Excellence in Tobacco Control, Module 3: Priority Populations Speak about Tobacco Control*

D. The California Tobacco Control Program Priorities

The CTCP's aim is to change the broad social norms around the use of tobacco by "indirectly influencing current and potential future tobacco users by creating a social milieu and legal climate in which tobacco becomes less desirable, less acceptable, and less accessible."[3] The social norm change model is based on the concepts that "the thoughts, values, morals, and actions of individuals are tempered by their

[3] A Model for Change: The California Experience in Tobacco Control, California Department of Health Services, Tobacco Control Section. Sacramento, CA: CDHS/TCS, 1998.

community" and "durable social norm change occurs through shifts in the social environment of local communities, at the grass roots level."

Under this social norm change paradigm, the CTCP focuses its tobacco control activities on these priority areas:

1. Countering pro-tobacco influences in the community: working to curb tobacco product retail advertisements (ads) and marketing practices, tobacco industry sponsorship, and the depiction of tobacco products in the entertainment industry.
2. Reducing exposure to SHS: initiatives that employ a policy and advocacy approach to restricting smoking in public and private places (emerging areas include policies associated with Indian casinos, multi-unit housing, and outdoor venues).
3. Reducing tobacco availability: supporting enforcement of the existing law that prohibits selling tobacco to minors, elimination of free tobacco product sampling, licensing of tobacco retailers, and establishment of tobacco-free pharmacies.
4. Promote cessation services: as a complement to the social norm change paradigm, the CTCP supports operation of the California Smokers' Helpline, as well as provides support for community-based cessation programs.

E. Communities of Excellence Indicator and Asset Priorities for Funding

Since 2002, CDHS/TCS has focused tobacco control needs assessment, planning, and implementation activities around a series of community indicators and assets called Communities of Excellence (CX) in Tobacco Control. Community indicators represent environmental or community level measures. They reflect intermediate programmatic goal areas around which to focus community-level tobacco control activities. Community assets represent factors that promote and sustain tobacco control efforts in the community by facilitating tobacco control work. Assets include such things as the level of funding available for tobacco control work and the extent of community activism among youth and adults to promote tobacco control policies.

There are over 90 CX indicators and assets. Applicants under this RFA must select from the indicators and assets listed below, which have been identified as being of particular relevance to specific priority populations. **CDHS/TCS will give funding preference to projects that address indicators and assets that are listed as "highly relevant."** However, applicants may also include objectives targeting "relevant" indictors and assets.

1. Counter Pro-Tobacco Influences

a. Highly Relevant

1.1.6 Number and type of tobacco company sponsorship at public and private events including county fairs, rodeo, motor sports, other sporting events, parades, concerts, museums, dances, festivals, business, etc.

-or-

Proportion of entertainment and sporting venues with a voluntary policy that regulates tobacco company sponsorship including county fairs, rodeo, motor sports, other sporting events, parades, concerts, museums, dances, festivals, business, etc.

-or-

Proportion of communities with a policy that regulates tobacco company sponsorship at entertainment and sporting venues such as fairgrounds, concerts, museums, and events such as dance, business, festivals, etc.

1.1.11 Number and type of tobacco use, tobacco advertising, and SHS depiction by the entertainment industry (e.g., movies, music videos, TV, music, etc.)

-or-

The extent that elected officials, parent organizations, health groups, and others adopt resolutions and voluntary policies that promote a socially responsible depiction of tobacco use, tobacco advertising, and SHS by the entertainment industry (e.g., movies, music videos, TV, music, etc.)

b. **Relevant**

1.1.1 Number and type of in-store tobacco advertising and promotions

-or-

Proportion of businesses with voluntary policies that regulate the extent and type of in-store tobacco ads and promotions

1.1.2 Number and type of tobacco advertising and promotions outside of stores

-or-

Proportion of businesses with a voluntary policy that regulates the extent and type of tobacco advertising and promotions outside of stores

1.1.3 Number and type of tobacco ads in print media such as magazines and news papers

-or-

Proportion of print media organizations (e.g., magazines and newspapers) with a voluntary policy that regulates tobacco advertising

1.1.7 Number and type of tobacco company sponsorship and advertising at bars and clubs

-or-

Proportion of bars and clubs with a voluntary policy prohibiting tobacco company sponsorship and advertising

1.1.8 Number and type of tobacco company sponsorship and advertising at college-related events

-or-

Proportion of colleges with a policy that regulates tobacco company sponsorship and advertising

1.1.9 Amount of tobacco company contributions to institutions and groups such as education, research, public health, women's, cultural, entertainment, fraternity/sorority groups, and social service institutions

-or-

Proportion of groups and institutions such as education, research, public health, women's, cultural, entertainment, fraternity/sorority groups, and social service institutions that have a voluntary policy prohibiting tobacco company contributions

1.1.10 Amount of tobacco industry contributions to support political campaigns of elected officials or political caucuses

-or-

Proportion of elected officials or political caucuses that have signed a pledge not to accept tobacco company contributions

1.2.1 Number and type of public (e.g., county and city government) and private institutions (e.g., unions, private universities) divested from tobacco stock

1.4.1 The amount of tobacco-related litter at public places including parks, playgrounds, beaches, etc.

-or-

Proportion of communities with a policy that prohibits tobacco litter in public places including parks, playgrounds, beaches, etc.

2. **Reduce Exposure to Secondhand Smoke**

a. **Highly Relevant**

2.2.6 Proportion of outdoor restaurant and bar businesses with a voluntary policy that designates outdoor dining and bar areas as smoke-free, including use of cigarettes, cigars, and hookahs

-or-

Proportion of communities with a policy that designates outdoor dining and bar areas as smoke-free, including use of cigarettes, cigars, and hookahs

2.2.7 Proportion of non-dining outdoor worksites (e.g. construction sites, lumber mills, forests) with a voluntary policy designating the worksite as smoke-free

-or-

Proportion of communities with a policy that designates non-dining outdoor worksites (e.g., construction sites, lumber mills, forests) as smoke-free

2.2.13 Proportion of multi-unit housing owners and/or operators with a voluntary policy that restricts smoking in individual units (including balconies and patios)

-or-

Proportion of communities with a policy that restricts smoking in the individual units of multi-unit housing (including balconies and patios), and/or resolutions encouraging owners, managers, or developers of multi-unit housing to adopt policies creating smoke-free individual units.

2.2.16 Proportion of outdoor recreational facilities, areas, and venues with a voluntary policy that regulates smoking in places such as amusement parks, beaches, fairgrounds, parks, parades, piers, playgrounds, sport stadiums, tot lots, and zoos

-or-

Proportion of communities with a policy that regulates smoking at outdoor recreational facilities, areas, and venues in places such as amusement parks, beaches, fairgrounds, parks, parades, piers, playgrounds, sport stadiums, tot lots, and zoos

2.2.25 Proportion of businesses with a voluntary policy that designates American Indian **casino/leisure complexes** as smoke-free to a level that is consistent with protection provided to other California workers under California Labor Code 6404.5

or

Proportion of American Indian tribes with a policy that designates **casino/leisure complexes** as smoke-free to a level that is consistent with protection provided to other California workers under California Labor Code 6404.5

b. **Relevant**

2.1.1 Number of compliance checks conducted by enforcement agencies for violations of indoor smoke-free worksite policies, **excluding bars and gaming** policies

-or-

Number of warnings, citations, and fines issued for violations of indoor smoke-free worksite policies, **excluding bars and gaming** policies

-or-

Proportion of worksites in compliance with indoor smoke-free worksite policies **excluding bars and gaming** policies

2.1.2 Number of compliance checks conducted by tribal enforcement agencies for violations with American Indian tribal indoor smoke-free worksite policies, **excluding gaming/leisure complexes** policies

-or-

Number of warnings, citations, and fines issued by tribal enforcement agencies for violations of indoor smoke-free worksite policies, **excluding gaming/leisure complexes** policies

-or-

Proportion of worksites in compliance with indoor smoke-free American Indian worksite policies, **excluding gaming/leisure complexes** policies

2.1.3 Number of compliance checks conducted by enforcement agencies for violations of indoor smoke-free bar and gaming worksite policies

-or-

Number of warnings, citations, and fines issued for violations of indoor smoke-free bar and gaming worksite policies

-or-

Proportion of worksites in compliance with indoor smoke-free bar and gaming worksite policies

2.1.4 Number of compliance checks conducted by American Indian enforcement agencies for violations of American Indian tribal indoor smoke-free **gaming/leisure complex** worksite policies

-or-

Number of warnings, citations, and fines issued by American Indian enforcement agencies for violations of American Indian tribal indoor smoke-free **gaming/leisure complex** worksite policies

-or-

Proportion of worksites in compliance with American Indian tribal indoor smoke-free **gaming/leisure complex** worksite policies

2.2.1 Proportion of homes with a smoker in the household who report their home is smoke-free

-or-

Proportion of families with a policy that does not permit smoking in the home

2.2.2 Proportion of families with a smoker who report their personal vehicles are smoke-free

-or-

The proportion of families with a policy that does not permit smoking in their personal vehicles

2.2.3 Proportion of businesses on American Indian lands with a voluntary smoke-free workplace policy, **excluding casino/leisure complexes**, that is consistent with protection provided to other California workers under California Labor Code 6404.5

-or-

Proportion of American Indian tribes with a smoke-free worksite policy, **excluding casino/leisure complexes**, that is consistent with protection provided to other California workers under California Labor Code 6404.5

2.2.4 Proportion of communities with a policy that regulates indoor worksite smoking in those areas that are exempted by the state smoke-free workplace law, such as owner operated bars and tobacco shops **(excluding hotels)**

2.2.9 Proportion of outdoor public areas, not primarily intended for recreational use, with a voluntary policy that regulates smoking, such as walkways, streets, plazas, college campuses, shopping centers, transit stops, farmers markets, and swap meets

-or-

Proportion of communities with a policy regulating smoking at outdoor public areas that are not primarily intended for recreational use, such as walkways, streets, plazas, school college campuses, shopping centers, transit stops, farmers markets, and swap meets

2.2.10 Proportion of health care facilities, drug and rehab facilities, and residential care facilities for the elderly, developmentally disabled, or mentally disabled with a voluntary policy that prohibits smoking by employees, residents, and visitors on the premises

2.2.11 Proportion of multi-unit housing complexes with a voluntary policy that designates common outdoor areas as smoke-free, such as playground, swimming pool area, and entrances

-or-

Proportion of communities with a policy that designates outdoor common areas of multi-unit housing complexes as smoke-free, such as playground, swimming pool area, and entrances, and/or resolutions encouraging owners, managers, or developers of multi-unit housing to adopt policies creating smoke-free outdoor common areas

2.2.12 Proportion of multi-unit housing complexes with a voluntary policy designating indoor common areas as smoke-free, such as laundry room, hallways, stairways, and lobby area

-or-

Proportion of communities with a multi-unit housing policy that prohibits smoking in indoor common areas such as laundry room, hallways, stairways, and lobby areas, and/or resolutions encouraging owners, managers, or developers of multi-unit housing to adopt policies creating smoke-free indoor common areas

2.2.18 Proportion of foster care homes or agencies with a voluntary policy that regulates smoking

-or-

Proportion of communities with a policy or resolution that regulates smoking within foster care homes

2.2.19 Proportion of businesses and venues with a voluntary policy that regulates smoking in outdoor waiting lines (e.g., movie theaters, sporting events, entertainment events, food service, restrooms, Automated Teller Machines [ATMs], etc.)

-or-

Proportion of communities with a policy that regulates smoking in outdoor waiting lines (e.g., movie theaters, sporting events, entertainment events, food service, restrooms, ATMs, etc.)

2.2.20 Proportion of faith community organizations (e.g., churches, synagogues, mosques, and temples) with a policy that regulates smoking on their grounds and at events

3. **Reduce Availability of Tobacco**

a. **Highly Relevant**

3.2.4 Proportion of venues with voluntary policy that prohibits the distribution of free or low-cost tobacco products, coupons, coupon offers, or rebate offers for tobacco products

-or-

Proportion of communities or events with a policy that prohibits the distribution of free or low-cost tobacco products, coupons, coupon offers, or rebate offers for tobacco products

3.2.7 Proportion of independent and chain pharmacy stores with a voluntary policy to NOT sell tobacco products

-or-

Proportion of communities with a policy that prohibits the sale of tobacco products by independent and chain pharmacy stores

b. **Relevant**

3.2.2 Proportion of communities with a zoning policy that regulates the number, location, and density of tobacco retail outlets (e.g., conditional use permits)

3.2.6 Proportion of communities with a policy that prohibits tobacco sales via mobile vendors

3.2.8 Proportion of communities with a policy or resolution that regulates the sale of tobacco and nicotine containing products that are not intended to facilitate tobacco cessation, but rather are promoted as having lower health risks in comparison to traditional tobacco products or that are promoted for use in lieu of smoking where smoking is not permitted

4. **Promote Tobacco Cessation Services**

a. **Highly Relevant**

4.1.1 Number of culturally and linguistically appropriate behavior modification-based tobacco cessation services that are available and well utilized in the community

b. **Relevant**

4.2.3 Extent of policies that restrict or prohibit use of alternative tobacco products (e.g., smokeless tobacco) at the worksite

4.2.4 Number of alcohol and drug treatment, mental health treatment, migrant clinics, and other health or social service agencies that have implemented the U.S. Public Health Service clinical practice guidelines *Treating Tobacco Use and Dependence*

5. **Assets**

Note: CDHS/TCS will not fund any project that exclusively focuses on assets. However, projects that propose a mix of activities (e.g., assets with non-cessation indicators) will be considered.

a. **Highly Relevant**

Asset 2.3 Amount of support by local key opinion leaders for tobacco-related community norm change strategies

Asset 2.4 Amount of community activism among youth to support tobacco control efforts

Asset 2.5 Amount of community activism among adults to support tobacco control efforts

b. **Relevant**

Asset 1.3 Amount of local Prop 10 funds that are appropriated for cessation and SHS education targeting pregnant women and families with young children

Asset 2.1 Number of tobacco control advocacy trainings that are provided to youth and adults

Asset 3.4 Extent that educational and media materials used by the agency reflect the culture, ethnicity, sexual orientation, and languages of the communities served, relative to the demographics of the community

II. GENERAL GRANT PROPOSAL INFORMATION

A. Who May Apply

1. California public or private non-profit organizations are eligible to apply for these funds. Only one application may be submitted per organization/organizational unit. For applicants claiming private non-profit status, **either** certification from the State of California, Office of Secretary of State, **or** a letter from the Department of the Treasury, Internal Revenue Service, classifying the applicant administrative agency as a private non-profit **MUST BE INCLUDED** with the submission of the application. The certification and a sample letter are provided in Appendix B and C.

   Note: These forms must be scanned and uploaded into the Online Tobacco Information System (OTIS) as part of the on-line application process prior to submission.

2. As referenced in H&S Code Section 104440 "LLAs shall be ineligible for awards under the competitive grants program, unless the LLA is a participant within a consortium of community-based organizations or nonprofit organizations." A consortium application must be composed of two or more organizations.

3. State of California agencies, other than state universities and colleges, are not eligible for these funds.

4. Any agency, with the exception of universities and colleges, that receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries, or parent company, during the term of the contract, is **not eligible** for funding under this RFA. Agency certification to this effect is required on Attachment 1. An electronic version of this form is available at: www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100, Supplemental Materials. See Appendix D for a partial list of the tobacco company subsidiaries.

   Note: Attachment 1 must be completed and uploaded into OTIS as part of the on-line application process prior to submission.

   With regard to universities and colleges, any Principal Investigator (PI), or any investigator associated with this application, who within the last five years from the start date of the contract period, or during the term of the contract, receives or has received funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries, or parent company, is **not eligible** for funding under this RFA. The PI's certification is required on Attachment 1.

B. **Grant Period and Funding Levels**

1. Approximately $5.3 million is expected to be available for this RFA. Award amounts are contingent upon the use of multiyear spending authority and available revenues. Funding from FY 2007-08 and any subsequent FY is contingent upon available revenues and appropriation by the Legislature and the Governor.

2. Awards are expected to range from $300,000 up to a maximum of $600,000 for the grant period beginning July 1, 2007, and ending June 30, 2010. **Applications must be for the entire 36 month period.** CDHS/TCS will have the option of renewing the grant(s) for an additional two years if funds are available and the grantee has performed to the satisfaction of CDHS/TCS.

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

4. CDHS/TCS reserves the right to withdraw any award if an acceptable Scope of Work (SOW), Budget, Budget Justification, and other CDHS/TCS required forms are not received by CDHS/TCS within 45 calendar days of being negotiated by CDHS/TCS and the awardee.

5. Expenses associated with preparing and submitting an application are solely the responsibility of the applicant agency and will not be reimbursed by CDHS/TCS.

6. CDHS/TCS reserves the right to withdraw any award or negotiate the SOW of any proposed projects or proposed project components.

7. The awardee certifies that it has appropriate systems and controls in place to ensure that State funds will not be used in the performance of this grant for the acquisition, operation, or maintenance of computer software in violation of copyright laws.

8. CDHS/TCS will send to each awardee, along with the official award notification, a copy of the grant language. Changes to this language will not be negotiated at any time during the negotiation process. Please refer to the draft language for the "Contract Terms and Conditions" at www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100.

C. Application Submission Requirements

1. Letter of Intent

For the purpose of planning the RFA review process, all prospective applicants must submit a letter notifying CDHS/TCS of its intent to submit an application. This letter is not binding and those submitting a letter may elect not to submit an application. **One (1) signed letter of intent is due in the CDHS/TCS office no later than 5 p.m. on Friday, February 16, 2007**. 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 the primary population to be served. Please note, more than one population may be served, but one population must be designated as the primary population to be served.

E-mail documents will not be accepted. Mail or fax the letter of intent to:

Attention: Steve Schell
California Department of Health Services
Tobacco Control Section
MS 7206
P.O. Box 997413
Sacramento, CA 95899-7413
Fax (916) 449-5517

Clearly indicate on the outside of the mailing envelope or fax transmittal sheet "Tobacco Control Interventions for Priority Populations RFA TCS 07-100."

2. Application

The application will be submitted electronically via OTIS. For specific information on this process refer to Section, "**IV. Application Requirements and Instructions**." The deadline to submit your application on-line through OTIS is at **5 p.m., Pacific Standard Time (PST) on March 8, 2007**.

In submitting an application, all applicants agree that CDHS/TCS is authorized to verify any and all claimed information. All applications received by CDHS/TCS are subject to the provisions of the "California Public Record Act" (Government Code Section 6250 et seq.) and are not considered confidential after completion of the selection process.

3. RFA AVAYA© Information Meeting and On-line Application Training

In order to enhance maximum participation, CDHS/TCS has scheduled two (2) Information Meetings and On-line Application Trainings on

Wednesday, February 14, 2007. The purpose will be to review the RFA with agencies and provide training for applying on OTIS as mentioned on page 19 of the RFA. This Information Meeting and On-line Application Training will **not** be an on-site, in-person event. The meeting will be a combined Internet and teleconference call utilizing Avaya© software which is an interactive visual meeting program and voice participation using a personal computer with Internet link and a regular conventional telephone line. It should be noted, however, that written information contained in RFA 07-100 takes precedence over any information gained at the Information Meeting and On-line Application training meeting and attendance at this meeting is considered optional. It is the applicants' responsibility to read and understand the instructions to access the meeting and training prior to the meeting date.

Applicants must register by Friday, February 9, 2007, at 5 p.m., at http://www.surveymonkey.com/s.asp?u=194073119456, in order to receive their security codes to access Avaya©, and the phone teleconferencing system, and to be assigned to either Session 1 or Session 2 of the Information Meeting. Additionally, please carefully review the equipment/software minimum specifications for a compatible connection to CDHS/TCS included in **Appendix J** of this RFA. At the time of registration, agencies will be provided with the appropriate access codes for Avaya© and the teleconference, Information Meeting steps, computer needs, and additional information.

Mandatory Test Session to Access Avaya©

Agencies planning to attend the Information Meeting and On-line Application Training are required to attend a mandatory test session on Tuesday, February 13, 2007, from 10 a.m. – 12 p.m. to determine if access to Avaya© is available through their current agency equipment/software. The test session is offered to provide agencies with an opportunity to test internet connections and to eliminate technical problems on the day of the Information Meeting and On-line Application Training.

Information Meeting and On-line Application Training

The Avaya meetings and the phone teleconferencing system are password protected. The Information Meetings will include a preliminary orientation to CDHS/TCS OTIS, since the application will be submitted electronically to CDHS/TCS. Each meeting session will have a maximum capacity for seventy (70) individual participant connections. Agencies are requested to use speakerphones if more than one person would like to attend and to activate the mute function on the equipment being used (if your telephone does not have a mute key you can enter *6). CDHS/TCS is requesting that participants do not use cellular telephones for these meetings as potential connection problems could be incurred. In the event that any participant's connection causes interference and is a disruption to the meeting, the line causing the interference

will be disconnected from the call. Agencies will be limited to one user name and pass code in order to allow for more lines to be available for meeting participants. Attendees will only be allowed to participate in one meeting and training session. The CDHS/TCS Webmaster representative can be contacted by calling (916) 449-5500 to request assistance. **Agencies are strongly encouraged to log onto the Avaya© system about an hour before the meeting starts**.

The Information Meeting and On-line Application Training sessions are scheduled for:

Session 1
WEDNESDAY
FEBRUARY 14, 2007
9:00 a.m. to 12:00 p.m.

or

Session 2
WEDNESDAY
FEBRUARY 14, 2007
1:45 p.m. to 4:45 p.m.

Information Meeting and On-line Application Training
Agendas

8:00 a.m.	-	9:00 a.m.	Agency Connections to Avaya© and Teleconference
9:00 a.m.	-	10:00 a.m.	OTIS Training
10:00 a.m.	-	11:15 a.m.	RFA Presentation
11:15 a.m.	-	11:30 a.m.	Break (15 minutes)
11:30 a.m.	-	12:00 p.m.	Question and Answer Period
12:45 p.m.	-	1:45 p.m.	Agency Connections to Avaya© and Teleconference
1:45 p.m.	-	2:45 p.m.	OTIS Training
2:45 p.m.	-	4:00 p.m.	RFA Presentation
4:00 p.m.	-	4:15 p.m.	Break (15 minutes)
4:15 p.m.	-	4:45 p.m.	Question and Answer Period

A question and answer period will follow the RFA presentation. Agencies may fax questions to CDHS/TCS at any time during the presentation using the following fax lines: (916) 449-5505, or (916) 449-5517. CDHS/TCS staff will have a fifteen (15) minute break between the end of the presentations and the start of the question and answer period to prepare responses. A summary of the participant questions and CDHS/TCS responses or a list of the individuals that participated will not be disseminated following the Information Meeting.

The RFA PowerPoint presentation will be available at the CDHS/TCS website: www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100, **at 5 p.m. on**

February 13, 2007, for those agencies that would like to download the presentation prior to the Information Meeting.

Any costs incurred by individuals or agencies participating in the Information Meetings are the sole responsibility of the attendees and will not be reimbursed by CDHS/TCS.

Note: In the event of a public health emergency the Information Meetings will be cancelled

D. Application Review Process

1. Submission Requirements

Applications must be submitted via OTIS and received by **5 p.m. (PST) on March 8, 2007**. Applications must be complete at the time of submission. Applications that do not comply with the submission requirements will be considered non-responsive and will be excluded from the review. Omission of any required document or form, failure to use the required formats for response, or failure to respond to any requirement may lead to rejection of the application prior to review. CDHS/TCS may waive any immaterial deviation in any application; however, this waiver shall not excuse an application from full compliance with the contract terms if a contract is awarded. If more than one application is submitted per organization/organizational unit, neither application will be reviewed.

2. Application Review

Each application that complies with the mandatory requirements will be evaluated and scored by a peer review committee on a scale of 0 to 105 points. The review committee may include representatives from voluntary health organizations, government agencies, public and private non-profit organizations, and state colleges and universities.

Applications must receive a score of 84 points or more to pass and to be considered for funding. However, due to potential funding limitations, there is no guarantee that scoring 84 or above will result in funding or funding at the level requested.

The maximum point value of each section is as follows:

(1) Applicant Capability	20 points
(2) SOW and Evaluation Plan	40 points
(3) Narrative Summary	15 points
(4) Budget Justification	30 points
	105 points

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 CDHS/TCS, their consensus review tool summary page which provides the score and overall strengths and weaknesses of their application.

4. **Contract Negotiation**

Following the award notification, contract negotiations will occur with the potential contractors in a timely manner. CDHS/TCS reserves the right to reject any proposed project(s) or project component(s). Following contract negotiations, the contractor is required to submit a detailed SOW, and Budget Justification in accordance with CDHS/TCS requirements, which will become part of the formal grant. Upon completion and approval of these documents, the grant will be fully executed and work will commence.

E. **Appeals Process**

Only those agencies that submit an application consistent with the requirements of this RFA and are not funded may appeal. Applicants may not appeal based on their funding level. Appeal letters based on the final application selection must be received **no later than 5 p.m. on April 11, 2007, at the address indicated below**. E-mail transmitted documents will not be accepted. Appeals shall be limited to the grounds that CDHS/TCS failed to correctly apply the standards for reviewing your agency's application in accordance with this RFA.

The appellant must file a written appeal, which includes the issue(s) in dispute, the legal authority or other basis for the appellant's position, and the remedy sought. Incomplete appeals will be rejected. Appeals must be mailed or faxed to:

Donald O. Lyman, M.D., Chief or Designee
California Department of Health Services
Division of Chronic Disease and Injury Control
MS 7200
P. O. Box 997413
Sacramento, CA 95899-7413
Fax (916) 449-5517

At the sole discretion, the Chief of the Division of Chronic Disease and Injury Control or his designee, may hold an appeal hearing with each appellant and then come to a decision. That decision can be based on either the combination of the written appeal letter and the evidence presented at the hearing, or based on the written appeal letter if no hearing is conducted. The decision of the Chief of the Division of Chronic Disease and Injury Control or his designee shall be final. There is no further

administrative appeal. Appellants will be notified of decisions regarding their appeal in writing within fifteen (15) working days of their hearing date or the consideration of the written appeal letter, if no hearing is conducted.

F. Tentative Timelines

February 5, 2007	Release of RFA
February 8, 2007	Applicants email request to tcsweb@dhs.ca.gov to obtain required OTIS user identification and password to submit application (See page 25 for more information)
February 9, 2007	OTIS application site available
February 9, 2007	Registration deadline for Information Meeting on February 14, 2007 (See page 17 for more information)
February 13, 2007	Test session for Information Meeting and On-line Training on February 14, 2007 (mandatory for attendees)
February 14, 2007	Information Meeting and On-line Training – Avaya Web meeting sessions
February 16, 2007	**Letters of Intent due to CDHS/TCS no later than 5 p.m.**
March 8, 2007	**Applications due to CDHS/TCS no later than 5 p.m.**
April 4, 2007	Award decisions announced
April 11, 2007	Appeals due to CDHS/TCS no later than 5 p.m.
April 16, 2007	Appeal Hearings
April 16, 2007	Contract Negotiations begin
July 1, 2007	Contract period begins
June 30, 2010	Contract period ends

III. ADMINISTRATIVE AND PROGRAM EXPECTATIONS

Agencies applying for these funds must have the administrative ability to immediately manage State grant funds and the technical expertise to successfully implement the proposed project activities. It is the experience of CDHS/TCS that some applicants are unfamiliar with state procedures, requirements, and expectations. The following information is provided in order that the prospective applicants might assess their ability to enter into a binding contract agreement with CDHS/TCS.

1. Grantees (funded agencies) are to expend funds in accordance with the negotiated line item budget. If changes in line items, salary ranges, or staffing patterns need to be made, the grantee must request a budget revision or a contract amendment depending on what in the budget needs to be changed. It is up to the discretion of CDHS/TCS whether or not to approve the requested budget revision or contract amendment.

2. Grantees are reimbursed in arrears for actual expenses, which means the agency or individual incurs expenses and is then reimbursed by CDHS/TCS. The grantee submits a monthly invoice for expenses incurred in the previous 30 days and then the State has up to 30 days to pay certified small businesses and up to 45 days to pay others. This means that the grantee must be able to cover at least 45 to 60 days worth of project payroll, indirect and operating expenses, and any expenses incurred by a subcontractor or consultant prior to reimbursement by the State. Additionally, grantees are to submit invoices to CDHS/TCS in a timely manner to ensure: 1) prompt payment of expenses; and 2) cash flow maintenance.

3. Grantees are expected to contact CDHS/TCS if they are having difficulties implementing the SOW or need to make changes in the approved activities. The agency must be aware that it is legally bound to deliver the services as stated in the SOW. This includes serving the number of people identified, conducting the stated number of activities, developing the identified educational materials, etc. If changes need to be made in the SOW, the grantee must contact CDHS/TCS to discuss the issue and request a SOW revision or contract amendment. It is up to the discretion of CDHS/TCS whether or not to approve the request. **If grant deliverables, including Progress Reports, are not completed satisfactorily, CDHS/TCS has the authority to withhold and/or recover payment of funds.**

4. Grantees are expected to refer to and comply with the Competitive Grantees Administrative and Policy Manual available at http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100. This manual is referenced in the contract and, as such, is a contract document. The manual will be made available to successful applicants.

5. Grantees are to be knowledgeable of standard payroll practices including State and Federal tax withholding requirements.

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

7. Grantees are to obtain an annual single organization-wide financial and compliance audit. CDHS/TCS will reimburse the grantee for its proportionate share of the audit expense.

8. Grantees are required to obtain approval from CDHS/TCS prior to being reimbursed for any purchase order, subcontract, or consultant agreement. Subcontract agreements or consultants must be identified to determine if a subcontract agreement package will be required or waived by CDHS/TCS. Three (3) competitive bids are required as well as other documentation of the bid process. The agency may be required to submit this information to CDHS/TCS for approval prior to reimbursement of such expenses.

9. Grantees are to have a procedure in place designating a person within their agency or organization who has authority to sign payroll time sheets, requisitions, and invoices.

10. Grantees are to maintain accurate records regarding program implementation, which document the number of people served, materials developed, activities conducted, etc. It is expected that these documentation records may include, but will not be limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc. It is recommended that the grantee set up documentation files by objective or major activities. Planning minutes, media outreach, and sign-in sheets, etc., should be filed in the objective-specific file as activities are completed.

11. Grantees are to have adequate personnel to submit to CDHS/TCS timely, accurate, and complete progress reports every six (6) months using the forms and format provided by CDHS/TCS.

12. Grantees are to have adequate personnel to insure timely submission of accurate invoices and maintain the fiscal integrity of the grant.

13. Grantees and all subcontractors should be aware that the State shall be the owner of all rights, title, and interest in, but not limited to, the copyright to any and all works created, produced, or developed under a contract funded from this RFA, whether published or unpublished. Appendix E contains the specific language that will be incorporated into the boilerplate language of the contract funded by CDHS/TCS. Successful applicants must comply with the intellectual property rights language. Review Appendix E carefully. Changes to this language will **not** be negotiated at any time during the RFA process nor with the funded applicant.

14. Grantees are to be aware that travel and per diem rates must not exceed those amounts paid to State non-represented employees. Additionally, out-of-state travel is not reimbursable without prior written approval by CDHS/TCS. Refer to Appendix G.

15. Grantees are expected to hire program, evaluation, and fiscal/administrative staff with the appropriate training and experience to fulfill all program grant related deliverables as well as to fulfill payroll, accounting, and administrative procedures.

16. Grantees are to be aware that CDHS/TCS may withhold payment of invoices for lack of documented and/or timely progress, as well as any apparent non-compliance with contract requirements.

17. Grantees must adhere to their own agency's information security policies. In addition, the grantee must follow the CDHS/TCS Policy Manual, Information Security Policy #5. This policy outlines CDHS/TCS requirements established to address information security and extends to all CDHS/TCS personnel, contractors, vendors, clients, and customers.

18. Grantees are to be aware that under the Information Practices Act (Civil Code, Section 1798-1798.70), personal information may not be disclosed in a manner that identifies individuals unless authorized by law. Confidential data needs to be protected from unauthorized access or disclosure.

IV. APPLICATION REQUIREMENTS AND INSTRUCTIONS

A. General Requirements

1. The SOW and Budget Justification must be consistent with the policies and procedures found in the Policy Section of the CDHS/TCS Competitive Grantee Administrative and Policy Manual, referred herein as the Policy Section. As you develop your SOW and Budget Justification, review the Policy Section, which is available at http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100.

   CAREFULLY READ ALL INSTRUCTIONS in the subsequent pages of this RFA, in the *OTIS User Guide,* and *Communities of Excellence in Tobacco Control, Module 4: Developing a Tobacco Control Intervention and Evaluation Plan*. Submit your application on-line by **5 p.m. on March 8, 2007**. Be sure to include all the information requested in the electronic filing process. Review the plan carefully for completeness prior to submission.

   Supplementary Documents

   OTIS User Guide, available at www.dhs.ca.gov/tobacco/html/otis.htm

   OTIS Evaluation Guide, available at www.dhs.ca.gov/tobacco/documents/eval/OTISEvaluationGuide.pdf

   CDHS/TCS Administrative and Policy Manual, available at www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100

   Tell Your Story: Guidelines for Preparing a Complete High Quality Evaluation Report, available at www.dhs.ca.gov/tobacco/documents/eval/EvaluationReport.pdf

   Communities of Excellence in Tobacco Control, Module 4, available at www.dhs.ca.gov/tobacco/documents/pubs/CX2006-Module4.pdf

   Specific instructions for each component of the plan submission process are provided in the *OTIS User Guide*, which you may download from the OTIS Web site at www.tcsotis.org.

   You must have **an OTIS user identification and password** to get access to the *OTIS User Guide* and to create and submit your application. **To obtain user accounts and access to OTIS, please send an e-mail request to tcsweb@dhs.ca.gov by February 8, 2007**. In the e-mail request please include the following: a) agency name, b) user first name, c) user last name, d) user e-mail address, e) selected **username**, and f) selected **password**. Username and password must contain between 5 and 29 characters.

CDHS/TCS will process user account requests within two business days. The OTIS application Web site will be available to applicants with usernames and passwords beginning on **February 9, 2007**. You will receive notification of your user account and further instructions via e-mail. CDHS/TCS will only issue three user accounts per agency.

You are strongly encouraged to start preparing the narrative portions of the application in a word processing document, such as Microsoft Word, prior to the availability of OTIS on February 9, 2007. When OTIS becomes available, you can cut and paste text from your word processing document into the appropriate fields in OTIS. Agencies are encouraged to plan ahead and to allow adequate time to complete the application process in OTIS. Experience has shown that it can take between 20-40 hours to complete the OTIS application.

2. **DO NOT ASSUME** that the reviewers have any knowledge of your agency's prior history or previous tobacco control programs administered by your agency. It is the responsibility of the applicant to demonstrate an understanding of the services to be delivered under the intended contract, the capacity of the applicant agency to carry out the services, and the ability to design and carry out efficient services that are reasonably budgeted.

3. **Download and print** a complete copy of the application for your files. Use the Report link in OTIS to access the completed application. Please note, some reports should be printed in landscape orientation in order to capture the full content.

B. Organization of the Application

Applications are required to be completed and submitted via OTIS. The minimum requirements for each component are listed on subsequent pages. Each application will be reviewed and evaluated in relationship to the extent to which the minimum requirements are met or exceeded. Additional information about completing the SOW is provided in *Communities of Excellence in Tobacco Control, Module 4*. Data entry instructions for completing each component are provided in the *OTIS User Guide*. The components of the application are listed below.

- Contact Information
- Demographic Profile
- Media Profile
- Evaluator Information
- Applicant Capability
- SOW and Evaluation, including Intervention Activity Plan, Materials Development, and Evaluation Design and Activities
- Narrative Summary
- Budget Information

C. Application Criteria and Instructions

For each application component, general information is provided about the content of the application. When applicable, the total points for the component will be stated for scored sections as well as the minimum requirements for that component.

1. My Agency

Component Description: The *My Agency* area of OTIS provides universal information about the applicant agency: the agency's name, contact information, federal identification number, and the health jurisdiction which the agency is located. From *My Agency,* you can also request additional OTIS user accounts.

Maximum Point Value: 0

Maximum Requirements: Completes agency name, agency short name, federal identification number, identifies the health jurisdiction in which the agency is physically located, provides agency phone number, agency fax number, agency mailing address, and agency physical address.

Instructions: The *My Agency* area of OTIS is accessed by clicking on the My Agency link at the bottom of the OTIS screen. To get to the screen with the My Agency link, you first must click on procurement tools. See the *OTIS User Guide, Section B: Contact Information* for data entry instructions.

2. Contact Information

Component Description: Provide general contact information for the project director, fiscal contact, and agency signatory.

Maximum Point Value: 0

Minimum Requirements: Contact information is complete and accurate.

Instructions: See *OTIS User Guide*, *Section B: Contact Information* for data entry instructions.

3. Background Information

a. Demographic Information
Component Description: The majority of the information on this form is pre-populated with 2000 U.S. Census data for the local health jurisdiction in which your agency is located. Applicants must identify the geographic characteristic of the health jurisdiction and whether an American Indian casino is located within the service area. This information is provided in the application largely as a benefit to the application reviewers.

Maximum Point Value: 0

Minimum Requirements: The geographic characteristic of the health jurisdiction (i.e., rural, suburban, or urban) and the presence of an American Indian casino within the service area are identified and appropriate.

Instructions: Please refer to the *OTIS User Guide, Section V, Application, C. Background Information: Demographic Profile* for more details.

b. Media Profile
Component Description: The information in this component provides a description of the top five (5) major media outlets serving the project's service area. The description provides the name of the outlet, the format (radio, TV, print media, etc.), and the primary language of the outlet.

Maximum Point Value: 0

Minimum Requirements: At a minimum, identifies the top five major media outlets in the applicant's geographic area, provides the name of the outlet, the format of the media, and the primary language for media dissemination by the outlet.

Instructions: See the *OTIS User Guide, Section V, Application, C. Background Information: Media Profile* for data entry instructions.

4. **Evaluator Information**

Evaluator Minimum Requirements

Component Description: The Local Program Evaluator (LPE) provides information related to his/her evaluation training, expertise, and contact information. The LPE certifies that he/she participated in the development of the evaluation plan. The applicant agency links a LPE identified in the LPE Directory with their application.

a. Evaluator Profile
Identify the individual designated as the LPE for the project. The LPE must complete the profile in the electronic LPE Directory which can be accessed at http://tcsotis.org/public/evaluator/index.cfm. The profile describes the LPE's experience, qualifications, skills and availability, and tobacco-related publications. Once completed, applicants are to access the LPE Directory to identify and select their LPE.

b. Evaluator Certification
The LPE certifies the amount of time he/she spent with the applicant providing consultation on the SOW evaluation plans. Every application must include this certification, even if the evaluator is a member of the agency staff.

Maximum Point Value: 0

Minimum Requirements:
- LPE must demonstrate:
  - One course in study design or one year of experience determining the study design for an evaluation.
  - One course in evaluation or one year of experience planning and implementing an evaluation.
  - Two courses in statistics or one year of experience analyzing data for an evaluation.
- LPE must certify that he/she provided a minimum of four hours of consultation in the development of the scope of work evaluation plans.
- The applicant must link a LPE to their application.

Instructions:
- LPE completes or updates his/her profile within the LPE Directory accessed at http://tcsotis.org/public/evaluator/index.cfm and must certify that he/she participated in the development of the scope of work evaluation plans.
- The agency must view and select an evaluator from within the LPE Directory or through OTIS, and electronically invite him/her to complete his/her profile and certification. See the *OTIS User Guide, Section V, Application, D. Evaluator Information* for data entry instructions.

5. **Applicant Capability**

Component Description: This section provides information regarding the ability of the agency to successfully implement the tobacco control plan being proposed in the application. The applicant describes how its past experience equips it to address the tobacco control needs of the priority population(s) to be addressed.

Maximum Point Value: 20

Minimum Requirements: Funding preference will be given to applicants that exhibit the following qualifications:
- Demonstrates that the applicant has at least two (2) years access to, and previous success working with, the proposed priority population and the ability to conduct program activities that are appropriate in terms of culture, language, literacy level, age, and gender specific to the population; and

indicates that proposed staff have the capacity to work with the proposed target population/community.

- Demonstrates that primary staff (Project Director/Coordinator) have at least two (2) years of previous experience conducting health focused community organizing, community planning, health education and promotion, coalition building, advocacy, media, and training. This can also include development of educational materials, media interventions, and activities that are appropriate in terms of age, literacy level, and cultural sensitivity.
- Demonstrates that staff have training, skills, and experiences consistent with the program, evaluation, fiscal, and management needs of the project.
- Demonstrates at least two years satisfactory performance with management of government grant funds and activities including administrative, fiscal, program, and evaluation functions including timely and accurate submission of fiscal, program, and evaluation documentation, subcontracts, and compliance with all state contract requirements.
- Demonstrates the ability to partially equip the project with office furniture, computers, scanners, software, printers, copy machines, etc., to support all staff and program needs including the use of OTIS, which requires online submission of program and fiscal documents.
- Demonstrates the ability to start up and begin implementation within six weeks of the contract start date.
- Pursuant to H&S Code Section 104445, preference shall be given to current contractors that have demonstrated effectiveness and capacity in providing tobacco control services.

Instructions: For the applicant capability section, provide the following information:

a. Program Experience

- Describe the applicant's previous success working with the proposed priority population and the ability to conduct program activities that are appropriate in terms of culture, language, literacy level, age, and gender specific to the population; and how the agency's proposed staff have the capacity to work with the proposed target population.
- Describe primary staff's (Project Director/Coordinator) previous experience conducting community norm change interventions including health focused community organizing, community planning, health education and promotion, coalition building, advocacy, media, and training. This can also include development of educational materials, media interventions, and activities that are appropriate in terms of age, literacy level, and cultural sensitivity.
- Describe three successful community norm change interventions and their measurable outcomes facilitated by the agency.

- Describe the applicant's effectiveness and capacity to provide tobacco control interventions that are culturally and linguistically appropriate and to serve populations in areas with substantial unmet needs.
- Describe the qualifications of key program staff. Describe their experience conducting health focused community organizing, community planning, health education and promotion, educational materials development, coalition building, advocacy, media, and training.
- Have the LPE primarily responsible for designing and planning evaluation activities complete the electronic LPEs Directory form available at http://tcsotis.org/public/evaluator/index.cfm.

b. Organizational Start-Up

Describe the applicant's capability and resources to ensure timely start-up and implementation of the proposed project. Describe how the proposed project will be integrated into the agency's organizational structure.

c. Administrative/Fiscal Experience

- Describe the applicant's current administrative staffing pattern for activities such as payroll, bookkeeping, invoicing, and general tracking of administrative and fiscal controls. Describe the qualifications of key fiscal staff, including a description of the staff's experience with monitoring government grant funds.
- Describe the applicant's history in the last two years managing government or foundation grant funds. Include in the description the funding agency, the amount received, and how the grants were managed (e.g., were the grant deliverables accomplished, progress reports and invoices submitted in a timely manner, and were fiscal records in good standing?).
- Describe the applicant's internal audit history in the past two years.
- Describe the frequency of audits, date of last audit, and a summary of the major findings from the last audit.
- Indicate if the applicant has been audited by a State agency within the last two years. If yes, list: 1) the name of the State agency; 2) State agency contact person and phone number; 3) the year the audit was conducted; and 4) the outcome of the audit. CDHS/TCS reserves the right, at its sole discretion, to follow-up with references to confirm the audit history.

d. Equipment

Describe the office and computer equipment the applicant has available for use in this project. Include in the description: 1) the number and type of equipment available (e.g., desks, chairs, typewriters, facsimile machines, personal computers, printers, etc.); 2) whether or not the computers have modems and communications software; 3) the software packages your

agency uses for websites, word processing, spreadsheets, databases, etc.; and 4) approximately when the computer equipment was purchased, and its availability (e.g., 100%, 50%, 25%, etc.) for use by staff proposed for this project, if funded.

Refer to Appendix K for the minimum required computer hardware/software specifications. If at least one work station does not meet the CDHS/TCS specifications, then CDHS/TCS may authorize the purchase of minimum work station equipment to bring one complete work station up to minimum specifications. See page 49, (d) Equipment Expenses for additional information.

e. Letters of Reference

Solicit three (3) letters of reference and **scan and upload** into OTIS. No more than three letters will be accepted. If the applicant has in the past or is currently receiving funding from a local, state, or federal agency, other than CDHS/TCS, one of the references **must be** from one of these agencies.

The letters are to be on the reference agency's letterhead and must include:

- The address, telephone number, e-mail, name, and title of the letter's author.
- A description of the capacity in which the reference provider worked with the applicant.
- The applicant's ability to provide culturally competent interventions to the community/priority population.
- The applicant's experience in providing policy, advocacy, media, training, community planning, and community organizing activities.
- The applicant's fiscal and administrative ability to manage government grant funds, including satisfactory performance with administering and managing government grant funds through timely and accurate submission of fiscal, program, and evaluation documents.

CDHS/TCS reserves the right, at its sole discretion, to contact references for further information prior to the RFA review process.

6. **Scope of Work, Including the Evaluation Plan**

Component Description: The SOW contains all program activities to be performed by the applicant and its budgeted (e.g., staff, subcontractors) and non-budgeted partners (e.g., advisory committee members) that will lead to the accomplishment of measurable objectives and all evaluation activities that assess the extent to which the objective was achieved. The SOW is a well-organized and detailed "road map" of the proposed program and evaluation, taking into account the findings from any needs assessment activities you have conducted.

Administrative activities, such as preparing progress reports/invoices, and hiring and supervising staff are important tasks; however, these are not included in the SOW.

Maximum Point Value: 40

Minimum Requirements:
Funding preference will be given to applicants that exhibit the following qualifications: Applications addressing indicators and assets that are listed as highly relevant under this RFA will be given preference.

a. Objectives must address the following four "W's":
   (1) Who or what is expected to change?

   (2) What and how much will change? (Be specific, do not use ranges in the objective. For example, you would state that you will achieve a compliance rate of 90% versus stating 80-90%).

   (3) Where will the change occur?

   (4) When will the change occur?

b. The activities should be clearly written to describe what will be done
   (1) Activities should be detailed and quantified, including a description of the *what, how much, how often, and where.*

   (2) Each intervention activity is to describe a start and completion period which coincides with six-month progress report periods (e.g., July 2007 through December 2007). The start date communicates when the activity will begin. The completion period indicates when the activity will be 100% complete. Start and completion dates should reflect the concept that activities occur in an organized, logical fashion that build upon one another.

   (3) Identify the appropriate (e.g., in terms of skill/training level for the activity) party responsible for completing each activity (e.g., a budgeted or non-budgeted position, such as a collaborative partner). Non-budgeted parties should be individuals or groups that operate under the influence of the applicant agency. Non-budgeted partners may receive a nominal stipend or incentive.

   (4) Identify tracking measures that verify completion of activities and whether they will be maintained on file or submitted with progress reports. It is recommended that you provide no more than two tracking measures for each activity.

(5) Assign copyright and percent deliverable pursuant to instructions provided in *Communities of Excellence in Tobacco Control: Module 4*.

c. For each policy objective, include: 1) an activity that conducts a strategic planning session utilizing the Midwest Academy Strategy Chart, available on the Strategic Tobacco Retail Effort Web site at http://www.tcsstore.org/stages/3_develop/t_schart.doc; and 2) disseminating final policies adopted by a county, city, tribe, or official board (e.g., fair board, school board, transit board) to the Americans for Nonsmokers' Rights and to the CDHS/TCS Strategic Planning and Policy Unit. Applicants are encouraged to conduct strategic policy planning sessions for all policy objectives once during the first 6 months of their SOW.

d. Number of objectives

(1) A minimum of 1 objective in the SOW is required to address 1 of the following 3 priority areas:

1. Counter Pro-Tobacco Influences
2. Reduced Exposure to SHS
3. Reduce the Availability of Tobacco.

(2) Applicants are expected to include approximately 1 to 3 objectives in the SOW. Those proposing to include an objective that focuses on CDHS/TCS' priority area 4, Promote Availability of Cessation Services, may do so if at least 1 other non-cessation focused objective is also proposed. Applications that propose only 1 objective that is focused solely on cessation will not be reviewed.

(3) A comprehensive, integrated program approach must be used to achieve each objective. This approach should incorporate several major intervention categories identified below. Please note that it is not required that every one of these categories be used:

(a) Coordination/Collaboration Activities
(b) Community Education Activities
(c) Education Materials Development
(d) Incentive Items ***(keep separate from Promotional Items)***
(e) Media Activities
(f) Policy Activities
(g) Promotional Items ***(keep separate from Incentive Items)***
(h) School-based Education
(i) Sponsorship Activities
(j) Training/Technical Assistance Activities

(4) For each activity that will involve developing new education, incentive, promotional, or advertising items to support the SOW, include an

additional activity that involves checking with the Tobacco Education Clearinghouse of California (TECC), for assistance on the development of that item, confirming non-duplication of the item, and other appropriate steps, such as focus group testing.

e. The SOW must reflect coordination/collaboration with other local or statewide tobacco control partners such as LLAs, the California Smokers' Helpline, TECC, the Center for Tobacco Policy and Organizing (The Center), the Technical Assistance Legal Center (TALC), California's Clean Air Project, California Youth Advocacy Network, the Tobacco Control Evaluation Center, etc.

f. A percent of effort for each major deliverable must be assigned to each tangible deliverable. The total percent of deliverables in the SOW must equal 100% and no deliverable can be less than 0.5%; additionally, all deliverables should be in increments of one half of one percent. A program deliverable is a tangible product or service developed or conducted as part of the SOW. A program deliverable percentage is assigned to activities regardless of whether they are in the Intervention Activity Plan, the Evaluation Activity Plan, or the Final Evaluation Report. A deliverable is inclusive of all the coordination, planning, and collaboration activities that lead to accomplishment of a tangible product or service. Deliverables may include activities and materials, such as presentations, trainings, developing incentive items, promotional items, educational materials, surveys and focus groups conducted, paid radio or TV ads, etc. Quantify all activities in the SOW (you may use ranges for activities) and assign a percent of effort to the deliverable. Do not assign deliverables to activities which help lead to achievement of major program outcomes, but of themselves are not a product or service, such as planning meetings, attending coalition meetings, participating in CDHS/TCS trainings, and distributing, ordering, purchasing, providing, or disseminating incentives/promotional items.

   At the end of the contract term, the Program Deliverable Percentage is used to help ascertain the maximum amount of funding the Agency will receive. If any Program Deliverable is not completed or not completed in its entirety, the Program Deliverable Percentage will be used to calculate a payment reduction to the Grantee.

g. The SOW designates products that are copyrighted, such as substantive, original materials, works for hire, databases, survey instruments, etc.

h. Evaluation Minimum Requirements

   To facilitate the development of appropriate and sound evaluation designs, the *OTIS Evaluation Guide* has been revised. The *OTIS Evaluation Guide* includes suggested objectives, evaluation activity plans, evaluation designs,

and data collection procedures for CX indicators that address new and innovative areas (e.g., multi-unit housing).

(1) The SOW must include an in-depth evaluation plan for at least 1 objective that is designated as a "Primary Objective." A Primary Objective is a high priority objective that will receive an in-depth evaluation and will be the subject of a high quality final evaluation written report. Generally, an objective designated as a primary objective reflects a newer area of tobacco control–one about which others in the tobacco control field would benefit from learning more. Interim evaluation reports (submitted with the biannual progress reports) and a final evaluation report will also be required for primary objectives.

   (a) The final evaluation report must be consistent with the requirements provided in the CDHS/TCS guidelines for writing evaluation reports included in *Tell Your Story: Guidelines for Preparing a High Quality Final Evaluation Report,* available at www.dhs.ca.gov/tobacco/documents/eval/EvaluationReport.pdf.

(2) An appropriate evaluation plan is required for each objective in the SOW. The evaluation plan must be appropriate in terms of the evaluation design, sampling strategy, sample sizes, types of evaluation activities proposed, data collection methods, data analysis, and dissemination of findings. The evaluation should measure the extent to which the objective was achieved, provide information that will inform and improve the intervention, and disseminate the findings to the community, key opinion leaders, or public heath professionals working in tobacco control.

(3) The evaluation plan assigns timelines, copyright, program deliverable percentages, responsible parties, and tracking measures to verify completion of activities.

(4) The quality of the objectives and evaluation plans demonstrates a qualified program evaluator provided at least 4 hours of consultation to the applicant.

   Please Note: Grantees will not be penalized for failure to achieve their objectives; evaluation results will not affect current or future funding. However, grantee funds may be withheld if deliverables within the SOW are not completed, including elements of the evaluation plan.

(5) **At least 10% of the percent deliverables and associated budget must be allocated to the evaluation component.**

(6) The program evaluator must submit certification of his/her involvement in the development of the evaluation plan. This certification is done through the LPE Web site available at http://tcsotis.org/public/evaluator/index.cfm.

Instructions: Refer to *Communities of Excellence in Tobacco Control, Module 4, OTIS User Guide, Section V, Application, E. Scope of Work,* and the *OTIS Evaluation Guide.*

The following page provides a Flow Chart (Figure 1), outlining the steps involved in the developing the SOW.

Figure 1:
SCOPE OF WORK FLOW CHART

Review the list of CX indicators and assets in Section I of the RFA to identify potential objective(s) for the SOW.

A minimum of 1 Objective in the SOW must address 1 of the following Priority Areas:

Priority Areas

Counter Pro-Tobacco Influences
Reduce Exposure to SHS
Reduce the Availability of Tobacco

Designate at Least One Primary Objective

A "Primary Objective" is a high priority objective and one that will receive an in-depth evaluation. Interim evaluation reports submitted with the biannual progress reports and a final evaluation report will also be required for each of the primary objectives.

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Activity Plan

- Describe quantitatively and qualitatively activities that will lead to accomplishment of the objective
- Designate copyright
- Designate percent program deliverable
- Designate timelines
- Designate tracking measures to verify completion of activities
- Designate who is responsible for completing the activities
- Include a Materials Development Form for each substantive, original material (e.g., ad, educational material, incentive or promotional item, survey instrument, database, etc.)

↓

Evaluation

- Provide an evaluation plan for each objective in the Scope of Work which ascertains the extent to which the objective was achieved, provides information that will inform and improve the intervention, and disseminates the findings to the community, key opinion leaders, and public heath professionals working in tobacco control
- Provide an in-depth evaluation for the primary objective(s)

i. Materials Development

Component Description: This section is only to be completed if the applicant plans to develop substantive original works including educational, advertising, promotional, and incentive items that have the potential for statewide use and which reflect a high quality developmental process.

Maximum Point Value: 0

Minimum Requirements:

- Materials are substantive original works, support the overall goals of the objective, and are integrated into the proposed program.
- It is evident that TECC will be contacted prior to development to confirm non-duplication and for assistance on materials development.
- It is evident that the applicant intends to use appropriate strategies to field/pilot test materials, obtain appropriate copyright, artist or photograph release, ensure that information is factually correct and cited, and will use professional production values.

Instructions: Complete the Materials Development Form, which includes the following information:

- objective
- intervention category
- activity
- activity number
- working title of material
- brief description of the content
- target audience to be reached by the materials
- material format
- language(s)
- projected completion date
- primary content
- material purpose

Please refer to the *OTIS User Guide, Section V, Application, E. Scope of Work,* and *Communities of Excellence in Tobacco Control, Module 4*, which provide specific instructions for completing the Materials Development Form.

Additional information about the material (e.g., testing, cost, copyright, authority for artwork) is completed after the start date of the project, as part of the progress report. Once the material is developed it is sent to TECC for review and possible inclusion in the TECC sales catalog.

7. **Narrative Summary**

Component Description: This section summarizes the proposed tobacco control plan, including the need to address each objective, the activities that will be implemented, the rationale as to why the activities are appropriate, and the evaluation design.

Maximum Point Value: 15

Minimum Requirements: Funding preference will be given to those applications that most closely address the criteria below:

- Clearly demonstrates a strong understanding of tobacco control issues, priority populations, and communities to be addressed by using relevant data sources, such as needs assessments, asset mapping, key informant interviews, public surveys, and focus groups.
- Includes objectives and well-defined outcomes that focus on the CX indicators and assets identified as relevant or highly relevant.
- Provides a brief, succinct summary of activities to be undertaken and incorporates principles of community organizing.
- Demonstrates a strong rationale for the proposed intervention activities, including an appropriate theory of change.
- Provides reasonable, realistic, and appropriate evaluation plans for each objective.
- Demonstrates coordination/collaboration with other CDHS/TCS-funded projects, voluntary health agencies, and existing CDHS/TCS campaigns.

Instructions: Briefly describe the interventions and evaluation activities, addressing the following components:

- Include objectives that are consistent with the indicators and assets that are identified in this RFA as relevant or highly relevant for the priority populations (see page 5 in Section I of this RFA).
- For each objective, describe relevant needs assessment findings, including the identification of priority population needs.
- For each objective, provide a rationale that describes the underlying theory of change (http://www.nci.nih.gov/theory/pdf). The theory of change is the basic assumption(s) about why the proposed interventions should work. A theory of change should be:
  - Logical
  - Consistent with everyday observations
  - Similar to those used in previous successful program examples you have read or heard about
  - Supported by past research in the same area or in related areas
- For each objective, include reasonable, realistic, and appropriate evaluation plans.

Refer to the *OTIS User Guide, Section V, Application, E. Scope of Work, Narrative Summary,* which provides specific instructions for completing the Narrative Summary.

8. **Budget Information**

Component Description: The Budget and Budget Justification provide an accurate and detailed description of all expenses that will be associated with the application.

Maximum Point Value: 30

Minimum Requirements: Funding preference shall be given to applicants that:

- Budget all eight line item categories in a manner consistent with the definitions and parameters described in the RFA. This includes the formulas for salary and space rent/lease.
- Provide a level of detail sufficient to justify the proposed quality and quantity of activities to accomplish the tasks in the SOW.
- Propose reasonable personnel and subcontractor/consultant costs comparable to the qualifications of each individual that will complete activities of the project.
- Propose salaries for personnel and subcontractors/consultants that are not higher than comparable State civil service classifications (See Appendix F for a listing of Comparable State Civil Service Classifications).
- Titles used for responsible parties in the SOW are consistent with those used in the Budget Justification (e.g., Personnel classifications, subcontractors, consultants, etc.).
- Operating Expenses requested are consistent with and the support the activities in the SOW (e.g. CDHS/TCS Communications Network, OTIS, PARTNERS, Space Rent/Lease, and other agency-defined subcategories).
- Other Costs requested are consistent with and support the activities in the SOW (e.g., Educational Materials, Promotional Items, Incentives, Media, Sponsorships, and other agency-defined subcategories).
- Designate one staff employee as the lead on project evaluation.
  - The designated employee must provide a 10% minimum full time equivalent (FTE) to project evaluation;
  - The designated evaluation lead coordinates the efforts of all evaluation staff, evaluation consultant, or subcontractor hired to perform evaluation activities.

The Budget Justification must be a realistic depiction of the expenses for the 36 month intervention project. Budgets must be prepared and spent on a FY cycle as required by the State Department of Finance. The State FY is July 1 through June 30, a 12 month period. Funds not spent in a FY cannot be carried forward to the next or subsequent FY.

Instructions: Develop a Budget Justification with enough narrative detail to support the SOW. In the Budget Justification OTIS will automatically calculate the "Total Budget" using the amounts entered. Totals for each budget category will be carried forward to the "Budget Page" thereby eliminating inconsistencies between the two documents.

The Budget Justification consists of the following categorical line items:

- Personnel Costs
- Fringe Benefits
- Operating Expenses
- Equipment
- Travel/per diem and Training
- Subcontracts and Consultants
- Other Costs
- Indirect Costs

Please refer to the *OTIS User Guide, Section V. F. Budget Information*, which provides specific information for completing the Budget Justification. The Budget Justification: 1) Explains, describes, and justifies the expenditures connected with the activities in the SOW; and 2) Helps to evaluate the SOW and Budget.

Prepare one Budget Justification for the entire 36 month grant period. Use only whole numbers and round to the nearest dollar. Proposed Budgets may not exceed $600,000 for the entire 36 month term.

When preparing the Budget Justification, take into consideration changes that may occur due to programmatic or administrative needs. For example, the number of staff or staff effort may increase/decrease as program activities develop or end.

Supplemental Resource Materials:

- CDHS/TCS Competitive Grantee Administrative and Policy Manual available at www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100.
- OTIS User Guide, for specific instructions and help information to complete the required online submission. Instructions can be found at www.dhs.ca.gov/tobacco/html/otis.htm.

The following Budget categorical line items are in the order they will appear in OTIS. Include lists, formulas, skill level, and additional justifications where required.

a. Personnel Costs

This category of the Budget Justification provides detail on the following:

(1) Position Classification or Title:

List the classification or title for each position utilized during the 36 month term. The position classification/title used in the Budget Justification must be the same as the classification/title used in the SOW "Responsible Parties" section.

- Personnel such as: Executive Director, Deputy Director, Attorney, Bookkeeper, etc., budgeted at less than 10% should not be included in the Personnel Costs category. Personnel budgeted at less than 10% FTE should be included with Indirect Costs.
- Applicants having an established policy that allows personnel less than 10% FTE in Personnel Costs must provide a statement to that effect in the justification for each applicable position. This information is subject to CDHS/TCS approval.
- Applicants must designate a lead staff position to provide a 10% minimum effort toward total project evaluation. Effort can be in performing evaluation and supervision of the Evaluation Consultant/Staff.

(2) Salary Range and Pay Period Frequency:

Identify the actual salary range and the pay period frequency for each position listed in personnel. Pay period examples are: monthly, semi-monthly, bi-weekly, weekly, hourly. The salary range must also reflect the frequency that the employee is actually paid. Enter the low-end and high-end of each staff full-time salary range for all part-time or full-time positions listed. Make sure the high-end of the salary range allows for any salary increases; such as: performance increases, merit increases, or cost of living adjustments, for each position during the term of the grant.

Examples of actual salary ranges are:

- $3,000-$3,473 monthly;
- $1,800-$1,985 semi-monthly;
- $1,600-$1,764 bi-weekly;
- $840-$926 weekly;
- $9-$12 hourly.

Note: Do not use an annual salary for the salary range.

Pursuant to Section 3.17.1 of the State Contracting Manual, any salary paid to project staff shall not exceed those paid to State personnel for a similar position/classification/title. (See Appendix F for a listing of Comparable State Civil Service Classifications.) If any proposed salary exceeds the comparable State personnel salaries, the Applicant must justify the reason and necessity for the higher rate in the justification for each applicable staff position. High salary justifications will be reviewed by the State and a determination will be made for each position. CDHS/TCS may request additional information during contract negotiations. The Applicant must receive approval from CDHS/TCS prior to reimbursement for "high salary" personnel cost.

(3) Percent of FTE:

For each position indicate the percent of FTE, in whole numbers, or the total hours per pay period if the employee is paid hourly. A 100% FTE is 2080 hours annually, including paid vacation.

Example:

- A full-time semi-monthly employee works 80 hours in a 2 week period is 100% FTE.
- A semi-monthly employee who works 20 hours in a 40 hour work week is 50% FTE.

Note: If the amount of FTE for some staff positions will vary from month to month enter an FTE range.

Example:

- 30% to 40% FTE
- 50% to 75% FTE
- 75% to 100% FTE
- 10 hours to 20 hours weekly
- 20 hours to 40 hours weekly

(4) Pay Periods:

Indicate the number of pay periods for which payment shall be claimed.

Examples of pay periods are:

- Monthly = 12 pay periods per year.
- Semi-monthly = 24 pay periods per year.
- Bi-weekly = 26 pay periods per year.
- Weekly = 52 pay periods per year.
- Hourly = “X” number of hours per pay period (do not use percents of time if a position is paid hourly).

(5) Description of Duties:

Provide a brief description of the duties, responsibilities, and activities to be performed by each position. These positions must also be identified in the Responsible Parties section of the SOW. Program personnel less than 10% FTE that are listed in the personnel category must have a complete position description that ties the position to activities in the SOW.

Remember:

- The required Agency policy justification for employees less than 10% FTE.
- Indicate the 10% minimum evaluation oversight staff person designated to oversee and coordinate project evaluation activities.

(6) Amount Requested:

Calculate and list the whole dollar amount requested for each staff position during each budget FY.

Example:
Salary amount X percent of FTE X number of pay periods = Total for position.

Note: The total amount requested cannot be:

- ***less than the lowest dollar amount calculated by multiplying the low-end of the salary range X the low end of the FTE percentage X the lowest number of pay periods; or,***
- ***greater than the highest dollar amount calculated by multiplying the high-end of the salary range X the high-end of the FTE percentage X the highest number of pay periods.***

Total Personnel Costs: OTIS will calculate each personnel amount for the total personnel costs.

b. <u>Fringe Benefits</u>

Grantees are to refer to Appendix H for the Contract Uniformity information. The Contract Uniformity information in the Appendix provides guidance for allowable expenses in Fringe Benefits.

Note: Fringe Benefits do not include employee leave. Example: Annual leave, vacation, sick leave, holidays, jury duty, military leave, training leave, administrative leave.

Note: Regarding workers compensation. Budget for premiums only. Payment for workers compensation claims will not be allowed.

List the fringe benefits that your agency will provide to eligible personnel. Identify any personnel that will not receive benefits with an asterisk (*). List the fringe benefit percent amount and the whole dollar amount requested for employee fringe benefits for each FY.

If the percentage rate for employee fringe benefits differs for various positions, indicate a range:

Example:
15% to 25%
25% to 33%

Note: CDHS/TCS will not pay for employee vacation or sick time accruals that are earned outside the effective term of the grant.

c. Operating Expenses

Note: Items (1) and (2) below must appear in every Budget Justification. If there are no expenses related to these line items, please enter $0.

(1) CDHS/TCS Communications Network, OTIS, and the Policy Advocacy Resource Tobacco Network Education Response System (PARTNERS).

All funded grantees are **required** to: 1) access OTIS, and 2) obtain and maintain an active PARTNERS account. While there is no charge to CDHS/TCS-funded grantees for OTIS access or the PARTNERS subscription, your agency should budget for the monthly-internet access fees during the entire grant period. If you choose not to budget for this line item you must provide an explanation in the PARTNERS line item as to how you will access PARTNERS and OTIS.

Example:
Agency has local area network with automatic access to Internet that will not be charged to the CDHS/TCS grant.

(2) Space Rent/Lease:

Determine the total FTE listed in your budget. Provide the total number of square feet to be charged and the cost per square foot. Allow for any anticipated space cost increases during the 36 month term. Multiply these figures by the number of months in the budget period to obtain the subtotal. Square footage shall not exceed 150 square feet per FTE plus “reasonable” square footage for shared space; such as: conference

rooms, library/resources, storage space, bath rooms, break rooms, etc. If the total need of the project space costs exceeds State standards then you must justify the need for the additional space.

(total square feet) X (cost per square feet) X (number of months)

Example:

2 FTE x 150 square feet x $1.25/ square feet x 12 months =	$4,500
2 FTE x 150 square feet x $1.50/ square feet x 12 months =	$5,400
2 FTE x 150 square feet x $1.50/ square feet x 12 months =	$5,400
Total for 36 months =	$15,300

(3) Other agency-defined subcategories. After budgeting for items (1) and (2) above, you may add other agency-defined line items. Sequentially number each additional line item and provide a justification for each. The justification should detail a complete description of the line item as well as a formula of how you arrived at the budget amount requested. Some typical additional line items are listed below:

- Office Supplies:
  This expense is for consumable general office supplies.

  Examples:
  Pens, pencils, paper, binders, staplers, file folders, etc.

  Examples that are **not** Office Supplies:
  Phones, computers, printers, Personal Digital Assistants, copy machines, chairs, tables, desks, travel expenses. These items would be budgeted under the equipment line item.

- Postage:
  This expense is for postage to mail project correspondence, and other materials that may also include overnight express mail costs.

- Duplicating:
  This expense is for “in-house” duplicating and reproduction. The duplicating is internal and routine, usually for small office jobs. This can include the tobacco program’s share of the Grantee copy machine total usage. It can also include shared copier maintenance agreements, copier supplies such as paper, toner, etc. (Duplicating supplies such as paper, and toner may be included in either the Office Supplies Line Item or the Duplicating Line Item, but should not be included in both.)

- Communications:

This expense is for the installation costs of telephones and any recurring monthly charges related to the telephone system; including fax line costs. It also includes any costs related to teleconference calling that may be necessary to complete your SOW. Cellular phones and monthly access fees are NOT authorized for this grant.

- Printing:
  This line item is for printing and reproduction of larger jobs completed by outside vendors.

  Examples are:
  Brochures, leaflets, posters, forms, flyers, announcements, signs, banners, etc.

- Equipment Lease/Rental:
  List and justify in narrative detail all lease/rental equipment that will be charged to the grant. Provide the monthly lease/rental rate for each item and the number of rental/lease months. Provide budget totals for each piece of equipment leased/rented. Examples of rental/leased items are desk-top work stations that include computers, printers, faxes, and scanners.

  Note: Rental Equipment will be authorized by CDHS/TCS on a case-by-case basis. Renting/leasing to own, purchase/leaseback, and lease/purchase of equipment is not permitted. Rental/lease agreements that are continuing through the grant term must adhere to this CDHS/TCS policy.

- Audit Expenses:
  All CDHS/TCS-funded Grantees are required to conduct a single agency audit in accordance with "General Accounting Principles." The audit must be conducted by a Certified Public Accountant from outside the agency. The budget amount for the audit cost share shall represent the proportionate amount of the CDHS/TCS grant award in relationship to total agency income. For example, if this contract represents 10% of your total agency income then this contract would be responsible for no more than 10% of the total audit cost. Provide the justification and dollar amount allocated for the audit. Explain how you arrived at the estimated audit percentage and total cost.

  Note: Applicants may budget for audit expenses in the Operating Expenses category or may budget audit expenses in the Indirect Costs category. Applicants may not budget audit expenses in both budget categories. If applicants choose to budget audit expenses within the Operating Expenses category, then all

combined indirect costs must not exceed 25% of personnel plus fringe benefit totals.

Note: Applicants choosing not to allocate funds for audit purposes must provide a written justification indicating how they intend to comply with the audit requirement.

Total Operating Expenses: OTIS will calculate all Operating Expense Line Items to compute the Total Operating Expenses.

d. Equipment Expenses

Due to the limited availability of funds for this procurement CDHS/TCS generally does not allow office equipment to be purchased. However, at least one work station must have a computer system designated for use by this project. The work station must meet the minimum specifications outlined in Appendix K of the RFA and in the CDHS/TCS Competitive Grantee Administrative and Policy Manual (www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100). If at least one computer work station does not meet the CDHS/TCS computer hardware specifications then as an exception, CDHS/TCS may authorize the purchase of minimum computer work station equipment to bring one complete computer work station up to the minimum specifications.

If the need to upgrade the computer work station warrants, the applicant must provide a complete list, description, justification, quantity, unit cost, and total cost to improve the computer work station to CDHS/TCS minimum requirements.

e. Travel/Per Diem and Training

Travel and training are to be consistent with the needs of the tobacco control project and support SOW activities and tasks. Travel is reimbursed to applicants at the current State Department of Personnel Administration rates. Travel Reimbursement information and rates can be found in the Grantee agreement and/or the CDHS/TCS Competitive Grantee Administrative and Policy Manual located at: (www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100). Additionally, State funds may not be used for out-of-state travel, per diem, and training/conferences without prior written approval by CDHS/TCS.

Note: If there are no expenses related to one of these line items, enter $0. Do not add any additional line items.

(1) Project Travel/Training:

(a) Project Travel: Includes airfare, meals, lodging, incidental expenses, and mileage which are necessary to implement your SOW; such as: to conduct local surveys of in-store tobacco advertising, to attend local or statewide events related to your SOW, meetings or trainings, etc. Provide a description of the proposed travel and the approximate dollar amount requested for project travel that is directly related to completion of the SOW.

(b) Project Training: Includes registration fees for staff development or any other additional training event for professional, clerical, administrative personnel, advisory board members, youth volunteers, committee members, etc., necessary for the completion of activities in the SOW. Training may include courses on computer software, meeting facilitation, planning, leadership, etc. Provide a description of the proposed training and the dollar amount requested for project training costs that are related to completion of the SOW.

(2) CDHS/TCS Travel/Training:

General Description:

(a) Number of Trainings/Conferences: CDHS/TCS and its statewide contractors such as: public relations contractor, TALC, The Center, Evaluation Center, and others, may conduct 2-4 trainings/conferences each year.

(b) These trainings/conferences are specifically directed toward CDHS/TCS-funded projects, provide opportunities for project staff to learn from national, state, and local experts regarding evaluation, media, and advocacy, and are a means to be connected to California's larger tobacco control movement.

(c) Length of Trainings/Conferences: Each training/conference is usually 1-2 days.

(d) Training Sites: Each training is generally offered only 1 time. Occasionally, trainings are offered 2 times: 1 in Northern California (generally Bay Area or Sacramento counties) and 1 in Southern California (generally Los Angeles, Orange, or San Diego counties).

Trainings/Conferences by CDHS/TCS and Statewide Contractors:

It is recommended that you budget for 1-2 staff to attend 2-4 CDHS/TCS trainings per FY at $750 per person. Over the next three years, trainings/conferences may include the following topics:

- Annual Capitol Information and Education Days (Spring)
- Tobacco Related Disease Research Program Conference FY 2007-2008 (Fall 2007) in Sacramento, CA.
- Other: e.g. spokesperson, community organizing, cultural competency/working with diverse communities, legal issues, etc.

  Provide a numeric formula that reflects how you are budgeting for this cost (e.g., 2 staff X 3 trainings X $750 per training = $4,500).

(3) Required CDHS/TCS Travel/Training:

- **Project Directors Meeting (PDM)**: Budget $1,200 per person for 1-2 staff to attend the PDM in FYs 2007-2008 (Spring 2008) and 2009-2010 (Fall 2009).

(4) Out-of-State Travel: **(optional)**

Identify any possible out-of-state trips. Include the amount budgeted, number of staff, and purpose. All out-of-state travel not approved through this budget process will require written CDHS/TCS approval. However, final approval of any out-of-state travel will be contingent upon participating in the conference as a presenter, panel member, speaker, etc.

(a) National Conference on Tobacco or Health: **(optional)**
Budget $1,500 per person ($1,100 travel/per diem and $400 registration) for 1-2 program staff to attend the National Conference in FY 2007-2008. The National Conference on Tobacco or Health will be held in Minneapolis, Minnesota, on October 24-26, 2007. Budget this expense in FY 2007-08.

Total Travel/Per Diem and Training: OTIS will calculate all travel expense detail to compute the Total Travel Expenses.

f. Subcontracts and Consultants

Grantees shall add agency-defined subcontracts/consultants. Sequentially number each subcontract or consultant and provide a justification for each. The justification should provide a complete description of the line item as well

as a formula of how you arrived at the budget amount requested. Please keep the following points in mind:

- Subcontracts are usually for projects needing salaried positions, indirect costs, etc. The subcontractor should provide a specialized task that is directly related to the project's activities.

- The subcontractor's salary should not exceed those paid to state personnel for similar positions/classifications (See Appendix F for a list of Comparable State Civil Service Classifications).

  Note: Grantees requesting "high salary" costs for subcontractor(s)/consultant(s) must provide a detailed explanation to justify the request for salary cost that are higher than comparable State Civil Service Classifications.

- List the subcontract(s) that will provide specialized effort which is directly related to activities in the SOW. Make sure the subcontractors listed in the Budget Justification are also referenced in the SOW in the Responsible Parties section. List each subcontract separately in the Budget Justification. For each subcontractor provide the name of the individual or agency, a description of activities to be performed, period of time, and total cost for services. Be as specific as possible. If a subcontractor is not identified at the time of application indicate "To Be Determined" and provide a narrative that describes the activities to be performed and a budget amount formula that indicates the estimates for time and pay rate.

- Consultants are individuals whose level or area of expertise extends beyond that possessed by project staff. The effort of a consultant should support and supplement the skills of agency staff and not supplant or duplicate agency skills or effort. Typical services provided by a consultant are for technical advice or effort on programmatic activities and issues.

  The consultant's rate should be commensurate with the consultant's level of training, expertise, and national recognition. Every effort should be made to negotiate the lowest possible cost.

  Make sure the consultants listed in the Budget Justification are also referenced in the SOW in the Responsible Parties section. For each consultant, provide the consultant name, hourly rate, number of hours to be worked: such as; per week, per month, per year, etc., total cost, and detail the description of activities to be performed.

Examples:
Meeting facilitator, key informant, in-service training, program design, program development, program evaluation, etc.

Note: Subcontractor indirect costs shall not exceed 25% of their total Personnel Expenses (Personnel Costs plus Fringe Benefits = total amounts).

If the applicant agency subcontracts out 30% or more of the total budget to one subcontractor and the subcontractor has been identified at the time of application submission, a sub-budget/budget justification for the subcontractor must be entered as part of the on-line application process. The sub-budget shall be a line item description of the expenses that will be incurred by the subcontractor (i.e. personnel, fringe benefits, operating expenses, etc.). The applicant agency must request a user account through the CDHS/TCS Webmaster representative *tcsweb@dhs.ca.gov* for the subcontractor so that they will have access to OTIS to enter the required sub-budget information. The applicant agency needs to be aware that this additional process needs to be taken into consideration when allotting sufficient time for completing the application.

Total Subcontracts and Consultants: OTIS will calculate all subcontract/consultant line item amounts to compute the Total Subcontracts and Consultants.

g. Other Costs

Note: The following 5 items below must appear in every Budget Justification in the order presented here. If there are no expenses related to these line items, enter $0.

Refer to the *CDHS/TCS Competitive Grantee Administrative and Policy Manual, Section II, Chapter 300* (www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100), for more information on educational materials, promotional items, incentives, media, and sponsorships.

(1) Educational Materials:

Includes the purchase of brochures, pamphlets, posters, curriculum, training guides, videos, slides, flip charts, CD-ROMs, etc., necessary for SOW activities.

Note: Do not itemize; use broad categories and estimates only.

(2) Promotional Items:

These are assorted items provided to individuals in order to generate visibility and interest, increase public awareness, and to promote attitudes which support tobacco control activities in the community. Examples are: buttons, key chains, stickers, posters, visors, caps, t-shirts, and miscellaneous tobacco control logo or advertisement items of a nominal cost. The intent of the promotional item is not to facilitate behavior change, but to generate interest and enthusiasm for the program. Make sure the promotional items listed in the Budget Justification are also referenced in the SOW. Provide a list of promotional items and total budgeted amount.

Note: Do not itemize or give detail of quantity, unit cost, or subtotal for each item. Only provide a list of items and the total budgeted amount. These are only estimates.

(3) Incentives:

Educational Incentives:

These are awards provided to intervention program participants to reinforce positive behavior and positive participation in agency tobacco control projects. Cash incentives are not permitted. Incentives are not to exceed $50 worth/value of merchandise per person per year. Make sure the incentive items listed in the Budget Justification are also referenced in the SOW. List incentive items and budgeted amount for each FY.

Food Incentives:

Food/refreshments are an allowable incentive item which may be purchased and made available at coalition/advisory committee meetings or to volunteers who have participated in tobacco-control related events and activities. The food incentive does not permit the purchase of meals for staff on CDHS/TCS-funded projects nor local health department employees. Food incentives are not to exceed $50 worth/value of food/refreshments per person per year. Include the costs for the food incentives in the budget for each FY.

(4) Media:

This line item may include the development, purchase, or placement of Public Service Announcements (PSAs), paid ads on radio, television, newspaper, magazines, billboards, bus shelter ads, organizational newsletters, and neighborhood advertising papers. Development of PSAs, radio, television, and print ads may be budgeted either in this line item or in the Subcontracts and Consultants category, but should not be in both. List the types of planned media that supports activities in the SOW and the total budgeted amount. Make sure the media, public relations, and advertising items listed in the Budget Justification are also referenced in the SOW. Media subcontractors and/or consultants, if budgeted in this line item, must also be referenced in the Responsible Parties section of the SOW.

(5) Sponsorships:

Sponsorship is a type of advertising that prominently promotes an anti-tobacco use message. The purpose of a sponsorship is to directly counter the tobacco industry's pro-tobacco use messages in the community and to develop community goodwill for anti-tobacco use through educational, media, and policy activities. The sponsor (your program) should receive something tangible in exchange for being the sponsor. The larger the sponsorship, the larger the value the sponsor should receive which may include large signage at the event, advertising in the event program or materials, booth space, publicity on the radio or television, public announcements at the event, tobacco free policy, etc.

List and describe the potential sponsorships and the total budgeted amount. The use of sponsorships must be described in the SOW.

(6) Other agency-defined subcategories:

After budgeting for Educational Materials, Promotional Items, Incentives, Media, and Sponsorships above, applicants may add other agency-defined line items. Sequentially number each additional line item and provide a justification for each. The justification should provide a complete description of the line item as well as a formula of how you arrived at the budget amount requested. Please keep the following points in mind:

- List them individually and be specific. For example, facility fees for renting a meeting room to conduct a training or renting a booth at a health fair, etc.
- Provide enough information to justify each additional line item.

- Make sure the additional line items listed in the Budget Justification are also referenced in the SOW.

Total Other Costs: OTIS will calculate all Other Costs line items in order to compute the Total Other Costs.

h. Indirect Expenses

Indirect Expenses are costs that are not directly associated with the project's SOW deliverables. These are individuals or activities that indirectly support the project, but do not directly complete activities connected to the SOW.

Examples are: Management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs, and any expenses related to the mandatory annual Financial and Compliance Audit.

Provide a list of all Indirect Expenses to be charged and the total amount requested.

Indirect Expenses cannot exceed 25% of the Total Personnel Expenses.

Note: Costs associated with the annual Financial and Compliance Audit may either be budgeted in this line item or budgeted in the Audit Expenses line item under Operation Expenses. If audit costs are budgeted under Operating Expenses, the Audit Expenses line item plus the Indirect Expenses line item must not exceed 25% of the Total Personnel Expenses (Personnel Costs plus Fringe Benefits line item amounts).

Total Expenses: OTIS will calculate items a. to h. for the Total Expenses.

V. TABLE OF CONTENTS FOR ENCLOSED ATTACHMENT

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1. Certification of Non-Acceptance of Tobacco Funds..... 58

CERTIFICATION OF NON-ACCEPTANCE OF TOBACCO FUNDS

_____
Company/Organization Name

Please check one of the following:

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

☐ University/Colleges Only

The Principal Investigator of the university or college named above hereby certifies that he/she or any of the investigators associated with (either paid, voluntary, or in-kind) this contract have not received funding from nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries, or parent company within the last five (5) years prior to the start date of the contract period. In addition, the Principal Investigator of the university or college named above hereby certifies that he/she or any of the investigators associated with this contract will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries, or parent company during the term of the contract from California Department of Health Services, Tobacco Control Section. Acceptance of such funds during the term of the contract is grounds for termination.

CERTIFICATION

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

Director of Agency or Principal Investigator:

_____ _____
Signature Date Print Name and Title

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CALIFORNIA'S TOBACCO CONTROL PROGRAM

The scope of the health education campaign launched by the California Department of Health Services, Tobacco Control Section (CDHS/TCS) is addressed in the Health and Safety (H&S) Code, Part 3, Chapter 1, commencing with Section 104350. These statutes authorize CDHS/TCS to fund a variety of innovative approaches to reduce tobacco use. These approaches include funding for local programs, including: 1) county and city health departments; 2) competitively selected community agencies through a competitive grant program; 3) statewide projects; 4) a statewide media campaign; and 5) an extensive evaluation of the entire Tobacco Control Program (TCP). The following is a description of key projects funded by CDHS/TCS, as of December 2004:

A. **Local Programs**: The Local Programs Component provides training and technical assistance to the field, promotes advocacy campaigns and policy development, assists with educational materials development, and coordinates statewide campaigns such as Project SMART (Sponsorship Mission: Avoid Reliance on Tobacco) Money, the Strategic Tobacco Retail Effort (STORE) Campaign, and the Live, Work, and Play Campaign.

   For additional information about local projects, review the CDHS/TCS-funded project lists at http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100, RFA TCS 07-100, Supplemental Materials.

   Four groups comprise Local Programs:

   1) **Local Health Departments**: Each of the 58 county and 3 city health departments are designated as Local Lead Agencies (LLAs). As the lead tobacco control agency at the community level, the LLA is responsible for coordinating information, referral, outreach, and education activities within its respective health jurisdiction. In general, the LLA is the lead on local community policy development, facilitation of enforcement of tobacco control laws, and local provision of tobacco cessation services.

   2) **Competitive Grantees**: The competitive grant program funds a variety of community, statewide, and pilot projects. The agencies funded through this program are nonprofit agencies and may include community-based organizations, voluntary health organizations, health clinics, ethnic organizations, labor organizations, and youth organizations. Approximately 30 projects are currently funded.

3) **Partnerships for Priority Populations**: Seven nonprofit organizations are funded through the California Partnerships for Priority Populations program to provide a variety of population-specific, tobacco-control services and advocacy campaigns statewide. These include: African-American; American Indian; Asian-American and Pacific Islander; Hispanic/Latino; Lesbian, Gay, Bisexual, and Transgender (LGBT); Low Socio-economic Status (SES); and Labor.

4) **Statewide Grants**: CDHS/TCS funds several grants that are designed to have a statewide impact, by providing technical assistance and/or services throughout California. Statewide grants offering assistance to CDHS/TCS-funded projects are the Tobacco Education Clearinghouse of California (TECC), California Smokers' Helpline (1-800-NO BUTTS), Technical Assistance Legal Center (TALC), The Center for Tobacco Policy and Organizing (The Center), California Youth Advocacy Network (CYAN), Council for Responsible Public Investment (CRPI), and the statewide secondhand smoke (SHS) project (to be named).

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

C. **Data Analysis and Evaluation**: CDHS/TCS tracks and evaluates adult and youth tobacco knowledge, attitudes, and behavior through telephone and in-school surveys. These surveys also provide information about public opinion and knowledge related to tobacco use, which enables the other tobacco control components to more appropriately target their education and media outreach. Additionally, both in-house and independent evaluations of all tobacco control components are conducted to monitor progress toward reaching program goals and objectives, and to determine which strategies are most effective in reducing tobacco use. Evaluation data is incorporated into advertising strategies.

As noted previously, the California TCP has four broad program priorities. These four priorities and the rationale for them are discussed below:

1. **Counter Pro-Tobacco Influences in the Community**

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

   See Communities of Excellence in Tobacco Control, Module 2 (2006), pages 27-30, for specific indicators within this priority area. The guide can be accessed at http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100, RFA TCS 07-100, Supplemental Materials.

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

   The risks of tobacco use extend beyond the actual user. Exposure to SHS increases nonsmokers' risk for lung cancer and heart disease. Among children, SHS is also associated with serious respiratory problems, including asthma, pneumonia and bronchitis, sudden infant death syndrome, and low-birth weight. Protecting California workers and the public from the effects of SHS and helping large numbers of smokers to get the environmental support they need to quit smoking remains a high priority for California's TCP.

   See the Communities of Excellence in Tobacco Control, Module 2 (2006), pages 31-36, for specific indicators within this priority area. The guide can be accessed at http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100, RFA TCS 07-100, Supplemental Materials.

3. **Reduce Availability of Tobacco Products**

Widespread availability of tobacco products reinforces a social norm that promotes tobacco use by youth and young adults. This priority seeks to reduce the sale and availability of tobacco to youth as well as decreasing the overall availability of tobacco products to adults. Efforts to reduce the sale and availability of tobacco products to youth have historically focused on improving compliance with state laws prohibiting the sale of tobacco to persons under age eighteen, and to adopting local tobacco licensing policies that collect retailer fees to conduct youth access law enforcement inspections.

See the Communities of Excellence in Tobacco Control, Module 2 (2006), pages 37-40, for specific indicators addressing this priority area. The guide can be accessed at
http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100,
RFA TCS 07-100, Supplemental Materials.

See Tobacco Laws Affecting California (2004) and its 2006 supplement by the Technical Assistance Legal Center (TALC) for an excellent overview of all laws governing tobacco in California. These documents can be accessed at
http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100,
RFA TCS 07-100, Supplemental Materials.

4. **Promote Availability of Cessation Services**

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

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

While recognizing that in California, the majority of former smokers report quitting without direct cessation services, CDHS/TCS will continue to fund some direct cessation. CDHS/TCS contractors are encouraged to publicize the availability of the California Smokers' Helpline, which offers counseling in

In addition to providing direct tobacco cessation services, CDHS/TCS contractors can also promote system changes that support population-based cessation services, such as introducing cessation in large managed health care plans, coordinating with low income clinics providing health care to indigent populations and university/college health centers that serve priority populations, providing physicians, nurses, dentists, and dental hygienists with training to establish systematized patient education and treatment programs in private offices and clinics, cooperating with the American Cancer Society to sponsor the local Great American Smokeout, etc.

See the Communities of Excellence in Tobacco Control, Module 2 (2006), page 40, for specific indicators for this priority area. The guide can be accessed at: http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-100, RFA TCS 07-100, Supplemental Materials.

State of California

Bill Jones
Secretary of State

P.O. Box 944230
Sacramento, CA 94244-2300
(916) 657-3537

STATEMENT BY DOMESTIC NONPROFIT CORPORATION

THIS STATEMENT MUST BE FILED WITH THE
CALIFORNIA SECRETARY OF STATE (SECTION 6210, 8210, 9660 CORPORATIONS CODE)

A $10 FILING FEE MUST ACCOMPANY THIS STATEMENT

1.

DO NOT ALTER PREPRINTED NAME: IF ITEM 1 IS BLANK, PLEASE ENTER CORPORATE NAME AND NUMBER

DO NOT MARK IN THIS SPACE

PLEASE READ INSTRUCTIONS ON BACK OF FORM.
PLEASE TYPE OR USE BLACK INK WHICH WILL BE SUITABLE FOR MICROFILMING.

THE CALIFORNIA CORPORATION NAMED HEREIN, MAKES THE FOLLOWING STATEMENT

2. STREET ADDRESS OF PRINCIPAL OFFICE (IF NONE, COMPLETE 3-3B) (DO NOT USE P.O. BOX NO.)	SUITE OR ROOM	2A. CITY AND STATE	2B ZIP CODE
3. MAILING ADDRESS	SUITE OR ROOM	3A. CITY AND STATE	3B ZIP CODE

THE NAMES OF THE FOLLOWING OFFICERS ARE:

4. CHIEF EXECUTIVE OFFICER	4A. STREET ADDRESS (SEE REVERSE SIDE)	4B. CITY AND STATE	4C. ZIP CODE
5. SECRETARY	5A. STREET ADDRESS (SEE REVERSE SIDE)	5B. CITY AND STATE	5C. ZIP CODE
6. CHIEF FINANCIAL OFFICER	6A. STREET ADDRESS (SEE REVERSE SIDE)	6B. CITY AND STATE	6C. ZIP CODE

DESIGNATED AGENT FOR SERVICE OF PROCESS: (ONE AGENT IS REQUIRED BY CALIFORNIA STATUTORY PROVISION. PLEASE READ ITEMS 7 AND 8 ON REVERSE SIDE OF FORM.)

7. NAME

8. CALIFORNIA STREET ADDRESS IF AGENT IS AN INDIVIDUAL (DO NOT USE P.O. BOX) DO NOT INCLUDE ADDRESS IF AGENT IS A CORPORATION

COMMON INTEREST DEVELOPMENT ASSOCIATION SECTION 1350, ET SEQ., CIVIL CODE

9. ☐ THIS CORPORATION IS NOT AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT (IF THIS BOX IS CHECKED, PROCEED TO NUMBER 11.)

10. ☐ THIS CORPORATION IS AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT UNDER THE DAVIS STIRLING COMMON INTEREST DEVELOPMENT ACT. (IF THIS BOX IS CHECKED, COMPLETE 10A AND 10B)

10A. BUSINESS OFFICE STREET ADDRESS OR PHYSICAL LOCATION OF DEVELOPMENT, INCLUDING ZIP CODE

10B. NAME AND ADDRESS OF THE MANAGING AGENT

11. I DECLARE THAT I HAVE EXAMINED THIS STATEMENT AND TO THE BEST OF MY KNOWLEDGE AND BELIEF, IT IS TRUE, CORRECT AND COMPLETE.

DATE	TITLE	TYPE OR PRINT NAME OF SIGNING OFFICER OR AGENT	SIGNATURE

SO-100 (11/95)

SECRETARY OF STATE
P O BOX 944230, SACRAMENTO CA 94244-2300

INSTRUCTIONS FOR COMPLETING STATEMENT BY DOMESTIC NONPROFIT CORPORATION

FILING PERIOD: All Nonprofit Corporations must file within 90 days after filing articles of incorporation. Thereafter, corporations must file annually by the end of the calendar month of the anniversary date of its incorporation, and when the agent for service of process or his/her address is changed.

FILING FEE: All Nonprofit Corporations must submit a ten dollar ($10.00) filing fee with this statement. (Section 12210(B) Government Code.) Check or money order should be made payable to Secretary of State. PLEASE DO NOT SEND CHASH.

ITEMS 2—2B: The address to be entered is the STREET address of the corporation's principal office. Enter room or suite number and ZIP code. Do not use post office box number.

ITEMS 3—3B: The address to be entered is the MAILING ADDRESS for the corporation.

ITEMS 4—6C: Complete by entering the names and complete business or residence addresses of the corporation's chief executive officer (i.e., president, chairperson or other title), secretary, and chief financial officer (i.e., treasurer, chairperson or other title). No list of additional officers should be submitted. Do not use post office numbers.

ITEM 7: Sections 6210 and 8210 of the Corporations Code make it mandatory that domestic Nonprofit Corporations designate an agent for service of process. An agent for service of process is one who may accept papers in case of a lawsuit against the corporation. The agent may be an individual who is an officer or director of the corporation, or any other person. The person named as agent must be a resident of California. Only one individual may be named as agent for service of process. Or, the agent may be another corporation. However, a corporation named as agent for service of process for another corporation must have on file in this office, a certificate pursuant to Section 1505, Corporations Code. The certificate is required ONLY if a corporation is named as agent for service of process for other corporations. A CORPORATION CANNOT BE NAMED AS AGENT FOR SERVICE OF PROCESS FOR ITSELF. (For example, ABC Corporation cannot name ABC Corporation as its agent for service of process.)

ITEM 8: If the agent is a person, enter name and complete business or residence address. If agent is another corporation, enter name of corporation only, and do not complete address portion. Only one agent for service of process is to be named.

ITEMS 9—10B: Section 1350, et seq., Civil Code mandates that a corporation formed on behalf of common interest development associations furnish specific additional information when filing a statement pursuant to Section 1502, California Corporations Code. If the corporation was not formed to manage a common interest development the box in Item 9 is to be marked and Items 10 - 10B are to remain blank. If the corporation was formed to manage a common interest development then the box in Item 10 is to be marked. Item 10A is to be completed with the address of the business or corporate office unless the office is off-site, then Item 10 is to be completed with the nine-digit ZIP code, front street, and nearest cross street for the physical location of the common interest development. Item 10B is to be completed with the name and address of the association's managing agent (Section 1363.1, Civil Code), if any.

ITEM 11: Printed name and signature of corporate officer or agent are required to complete the form. Enter title and date signed.

(NOTE) ITEM 1: Do not alter the preprinted corporate name. If corporation name is not correct, please attach note of explanation. If space is blank enter exact corporate name and number, do not include your DBA name.

FAILURE TO FILE THIS FORM BY THE DUE DATE IN ITEM 1 WILL RESULT IN THE ASSESSMENT OF A $50.00 PENALTY. (Sections 6810, 8810, Corporations Code, and Section 25936, Revenue and Taxation Code.)

NOTE: Your canceled check is your receipt of filing. We suggest that you make a copy of this form before mailing, if you wish one for you files.

OSP 99 9126

INTERNAL REVENUE SERVICE
DISTRICT DIRECTOR
P. O. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date:

Employer Identification Number:
xx-xxxxxxx
DLN:
xxxxxxxxx
Contact Person:
XXXX XXXXX
Contact Telephone Number:
(XXX) XXX-XXXX
Accounting Period Ending:
March 31
Foundation Status Classification:
170 (b) (1) (A) (vi)
Advance Ruling Period Begins:
January 22, 1997
Advance Ruling Period Ends:
March 31, 2001
Addendum Applies:
None

Dear Applicant:

Based on information you supplied, and assuming your operations will be as stated in your application for recognition of exemption, we have determined you are exempt from federal income tax under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3).

Because you are a newly created organization, we are not now making a final determination of your foundation status under section 509 (a) of the Code. However, we have determined that you can reasonably expect to be a publicly supported organization described in sections 509 (a) (1) and 170 (b) (1) (A) (vi).

Accordingly, during an advance ruling period you will be treated as a publicly supported organization, and not as a private foundation. This advance ruling period begins and ends on the dates shown above.

Within 90 days after the end of your advance ruling period, you must send us the information needed to determine whether you have met the requirements of the applicable support test during the advance ruling period. If you establish that you have been a publicly supported organization, we will classify you as a section 509 (a) (1) or 509 (a) (2) organization as long as you continue to meet the requirements of the applicable support test. If you do not meet the public support requirements during the advance ruling period, we will classify you as a private foundation for future periods. Also, if we classify you as a private foundation, we will treat you as a private foundation from your beginning date for purposes of section 507(d) and 4940.

Grantors and contributors may rely on our determination that you are not a private foundation until 90 days after the end of your advance ruling period. If you send us the required information within the 90 days, grantors and contributors may continue to rely on the advance determination until we make a final determination of your foundation status.

Letter 1045 (DO/CG)

If we publish a notice in the Internal Revenue Bulletin stating that we will no longer treat you as a publicly supported organization, grantors and contributors may not rely on this determination after the date we publish the notice. In addition, if you lose your status as a publicly supported organization, and a grantor or contributor was responsible for, or was aware of, the act or failure to act, that resulted in your loss of such status, that person may not rely on this determination from the date of the act or failure to act. Also, if a grantor or contributor learned that we had given notice that you would be removed from classification as a publicly supported organization, then that person may not rely on this determination as of the date he or she acquired such knowledge.

If you change your sources of support, your purposes, character, or method of operation, please let us know so we can consider the effect of the change on your exempt status and foundation status. If you amend your organizational document or bylaws, please send us a copy of the amended document or bylaws. Also, let us know all changes in your name or address.

As of January 1, 1984, you are liable for social security taxes under the Federal Insurance Contributions Act on amounts of $100 or more you pay to each of your employees during a calendar year. You are not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the private foundation excise taxes under Chapter 42 of the Internal Revenue Code. However, you are not automatically exempt from other federal excise taxes. If you have any questions about excise, employment, or other federal taxes, please let us know.

Donors may deduct contributions to you as provided in section 170 of the Internal Revenue Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Donors may dad-act contributions to you only to the extent that their contributions are gifts, with no consideration received. Ticket purchases and similar payments in conjunction with fundraising events may not necessarily qualify as deductible contributions, depending on the circumstances. Revenue Ruling 67-246, published in Cumulative Bulletin 1967-2, on page 104, gives guidelines regarding when taxpayers may deduct payments for admission to, or other participation in, fundraising activities for charity.

Contributions to you are deductible by donors beginning January 22, 1997.

You are not required to file Form 990, Return of Organization Exempt From income Tax, if your gross receipts each year are normally $25,000 or less. If you receive a Form 990 package in the mail, simply attach the label provided, check the box in the heading to indicate that your annual gross receipts are normally $25,000 or less, and sign the return.

Letter 1045 (DO/CG)

If a return is required, it must be filed by the 15th day of the fifth month after the end of your annual accounting period. A penalty of $20 a day is charged when a return is filed late, unless there is reasonable cause for the delay. However, the maximum penalty charged cannot exceed $10,000 or 5 percent of your gross receipts for the year, whichever is less. For organizations with gross receipts exceeding $1,000,000 in any year, the penalty is $100 per day per return, unless there is reasonable cause for the delay. The maximum penalty for an organization with gross receipts exceeding $1,000,000 shall not exceed $50,000. This penalty may also be charged if a return is not complete. So, please be sure your return is complete before you file it.

You are not required to file federal income tax returns unless you are subject to the tax an unrelated business income under section 511 of the Code. f you are subject to this tax, you must file an income tax return on Form 990-T, Exempt Organization Business Income Tax Return. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You are required to make your annual return available for public inspection for three years after the return is due. You are also required to make available a copy of your exemption application, any supporting documents, and this exemption letter. Failure to make these documents available for public inspection may subject you to a penalty of $20 per day for each day there is a failure to comply (up to a maximum of $10,000 in the case of an annual return).

You need an employer identification number even if you have no employees. If an employer identification number was not entered an your application, we will assign a number to you and advise you of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

If we said in the heading of this letter that an addendum applies, the addendum enclosed is an integral part of this letter.

Because this letter could help us resolve any questions about your exempt status and foundation status, you should keep it in your permanent records.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Sincerely yours,

District Director

Letter 1045 (DO/CG)

TOBACCO SUBSIDIARY PRODUCTS
Philip Morris / Altria

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occurs.

BEVERAGES

Coffee

General Foods International Coffees
Gevalia
Maxim
Maxwell House
Sanka
Starbucks*
Yuban

Frozen Treats

Mr. Freeze
Kool-Aid Slushies

Powdered Soft Drinks

Country Time
Crystal Light
Kool-Aid
Tang

Ready-to-Drink

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

CONVENIENT MEALS

Bacon

Oscar Mayer
Louis Rich

Cold Cuts

Oscar Mayer
Louis Rich

Dinner Kits

Stove Top Oven Classics
Taco Bell*

Frozen Pizza

California Pizza Kitchen*
DiGiorno
Jack's
Tombstone

Hot Dogs

Oscar Mayer

Lunch Combinations

Lunchables

Macaroni & Cheese Dinner

Kraft
Kraft Easy Mac
Velveeta

Meat Alternatives

Boca

Meat Snacks

Tombstone

Pastas and Sauces

DiGiorno

CHEESE

Cold Pack Cheese

Woody's

Cottage Cheese

Breakstone's
Knudsen
Light n' Lively

Cream Cheese

Philadelphia
Temp-tee

Grated Cheese

Kraft

Natural Cheese

Athenos
Churny
Cracker Barrel
DiGiorno
Handi-Snacks

TOBACCO SUBSIDIARY PRODUCTS
Philip Morris / Altria

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occurs.

Harvest Moon
Hoffman's
Kraft
Polly-O

Process Cheese Loaves

Kraft Deluxe
Old English
Velveeta

Process Cheese Sauce

Cheez Whiz

Process Cheese Slices

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

Process Cheese Spread

Easy Cheese

GROCERY

Baking Chocolate/Coconut

Baker's

Baking Powder

Calumet

Barbecue Sauce

Bull's-Eye
Kraft

Breakfast Beverage

Postum

Coating Mix

Shake ‘n Bake
Oven Fry

Condiments

Grey Poupon
Kraft
Sauceworks

Cooked Cereal

Cream of Wheat

Cereal Bars

Nabisco

Dips

Kraft

Dog Biscuits

Milk-Bone

Dry Packaged Desserts

Dream Whip
D-Zerta
Jell-O
Minute

Energy Bars

Balance
Oasis Bars

Fruit Preservatives

Ever Fresh

Frozen Whipped Topping

Cool Whip

Ice Cream Topping

Kraft

Margarine

Parkay (Puerto Rico only)

Pasta Salads

Kraft

Pectins

Certo
Sure-Jell

TOBACCO SUBSIDIARY PRODUCTS
Philip Morris / Altria

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occurs.

Pickles/Sauerkraut

Claussen

Pie Crusts

Honey Maid
Nilla
Oreo

Ready-to-Eat Cereals

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

Rice

Minute Rice

Salad Dressings

Good Seasons
Kraft
Seven Seas

Sour Cream

Breakstone's
Knudsen

Spoonable Dressing

Kraft Mayo
Miracle Whip

Steak Sauce, Marinade, Worcestershire

A. 1.

Stuffing Mix

Stove Top

Toaster Pastries

Kool Stuf

Yogurt

Breyers*
Jell-O
Light n' Lively

Snacks

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

TOBACCO SUBSIDIARY PRODUCTS
Philip Morris / Altria

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occurs.

*__Crackers__

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

Ice Cream Cones

Comet Cups

Packaged Food Combinations

Handi-Snacks
Lunchables

Refrigerated Ready-to-Eat Desserts

Jell-O
Handi-Snacks

Snack Nuts

Corn Nuts
PB Crisps
Planters

Sugar Confectionery

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

Miller Brands**

Miller Beer
Miller Genuine Draft
Miller High Life
Sharp's non-alcohol brew
Milwaukee's Best
Meister Brau
Magnum Malt Liquor
Henry Weinhard's
Hamm's
Olde English 800 Malt Liquor
Mickey's Malt Liquor
Red Dog
ICEHOUSE
Southpaw
Leinenkugel
Celis
Pale Rider
Shipyard Export Ale
Goat Island Ale
Fuggles Pale Ale
Old Thumper Extra Special Ale
Blue Fin Stout
Longfellow Ale
Mystic Seaport Pale Ale
Chamberlain Pale Ale
Sirius
Prelude Ale
Molson
Foster's Lager
Sheaf Stout
Presidente
Shanghai

*Kraft is the distributer for these brands:

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

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

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

TOBACCO SUBSIDIARY PRODUCTS
United States Smokeless Tobacco Company

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occurs

Wines

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

INTELLECTUAL PROPERTY RIGHTS

The following is the intellectual property rights language in the CDHS/TCS grant:

a. Contractor shall grant to CDHS/TCS, as permitted in California Civil Code, Section 982, ownership in any original work of authorship created, provided, or produced under this agreement that is not fixed in any tangible medium of expression.

b. Subject to terms, conditions, and limitations contained in this agreement and subject to the performance of all terms and conditions stated in this agreement, CDHS/TCS grants to the Contractor a non-exclusive license to use, duplicate, distribute, and permit others to use Works created, produced or developed under this agreement for the purpose of carrying out the terms and conditions of this agreement, consistent with any limitations set forth in this agreement.

c. If the Contractor enters into any agreement or subcontract with another party in order to perform this agreement, Contractor shall require the other party to grant CDHS/TCS ownership in any original work or authorship created, provided, or produced by the subcontractor, Contractor or CDHS/TCS under this agreement that is not fixed in any tangible medium of expression, as permitted under California Civil Code Section 982.

d. During the contracting phase of this process, CDHS/TCS shall negotiate with the Contractor to determine the number of camera-ready and completed versions of each deliverable CDHS/TCS will receive. It is anticipated that CDHS/TCS will use deliverables in future tobacco control programs.

e. Ownership

(1) Except where CDHS/TCS has agreed in a signed writing to accept a license, CDHS/TCS shall be and remain, without additional compensation, the sole owner of any and all rights, title and interest in all Intellectual Property from the moment of creation, whether or not jointly conceived, that are made, conceived, derived from, or reduced to practice by Contractor or CDHS/TCS and which result directly or indirectly from this agreement.

(2) For the purposes of this agreement, Intellectual Property means recognized protectable rights and interest such as: patents, (whether or not issued) copyrights, trademarks, service marks, applications for any of the foregoing, inventions, trade secrets, trade dress, logos, insignia, color combinations, slogans, moral rights, right of publicity, author's rights, contract and licensing rights, works, mask works, industrial design rights, rights of priority, know how, design flows, methodologies, devices, business processes, developments, innovations, good will and all other legal rights protecting intangible proprietary information as may exist now and/or here after come into existence, and all renewals and extensions, regardless of whether those rights arise under the laws of United States, or any other state, country, or jurisdiction

(a) For the purposes of the definition of Intellectual Property, "works" means all literary works, writings and printed matter including the medium by which they are recorded or reproduced, photographs, art work, pictorial and graphic representations and works of a similar nature, motion pictures, digital images, animation cells, and other audiovisual works including positives and negatives thereof, sound recordings, tapes, educational materials, interactive videos and any other materials or products created, produced, conceptualized and fixed in a tangible medium of expression. It includes preliminary and final products and any materials and information developed for the purposes of producing those final products. Works does not include articles submitted to peer review or reference journals or independent research projects.

(3) In the performance of this agreement, Contractor will exercise and utilize certain of its Intellectual Property in existence prior to the effective date of this agreement. In addition, under this agreement, Contractor may access and utilize certain of CDHS/TCS' Intellectual Property in existence prior to the effective date of this agreement. Except as otherwise set forth herein, Contractor shall not use any of CDHS/TCS' Intellectual Property now existing or hereafter existing for any purposes without the prior written permission of CDHS/TCS. **Except as otherwise set forth herein, neither the Contractor nor CDHS/TCS shall give any ownership interest in or rights to its Intellectual Property to the other Party.** If during the term of this agreement, Contractor accesses any third-party Intellectual Property that is licensed to CDHS/TCS, Contractor agrees to abide by all license and confidentiality restrictions applicable to CDHS/TCS in the third-party's license agreement.

(4) Contractor agrees to cooperate with CDHS/TCS in establishing or maintaining CDHS/TCS' exclusive rights in the Intellectual Property, and in assuring CDHS/TCS' sole rights against third parties with respect to the Intellectual Property. If the Contractor enters into any agreements or subcontracts with other parties in order to perform this agreement, Contractor shall require the terms of the agreement(s) to include all Intellectual Property provisions. Such terms must include, but are not limited to, the subcontractor assigning and agreeing to assign to CDHS/TCS all rights, title and interest in Intellectual Property made, conceived, derived from, or reduced to practice by the subcontractor, Contractor or CDHS/TCS and which result directly or indirectly from this agreement or any subcontract.

(5) Contractor further agrees to assist and cooperate with CDHS/TCS in all reasonable respects, and execute all documents and, subject to reasonable availability, give testimony and take all further acts reasonably necessary to acquire, transfer, maintain, and enforce CDHS/TCS' Intellectual Property rights and interests.

f. Retained Rights/License Rights

(1) Except for Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDHS/TCS and which result directly or indirectly from this agreement, Contractor shall retain title to all of its Intellectual Property to the extent such Intellectual Property is in existence prior to the effective date of this agreement. Contractor hereby grants to CDHS/TCS without additional compensation, a permanent, non-exclusive, royalty free, paid-up, worldwide, irrevocable, perpetual, non-ternminable license to use, reproduce, manufacture, sell, offer to sell, import, export, modify, publicly and privately display/perform, distribute, and dispose Contractor's Intellectual Property with the right to

sublicense through multiple layers, for any purpose whatsoever, to the extent it is incorporated in the Intellectual Property resulting from this agreement, unless Contractor assigns all rights, title, and interest in the Intellectual Property as set forth herein.

(2) Nothing in this provision shall restrict, limit, or otherwise prevent Contractor from using any ideas, concepts, know-how, methodology or techniques related to its performance under this agreement, provided that Contractor's use does not infringe the patent, copyright, trademark rights, license or other Intellectual Property rights of CDHS/TCS or third party, or result in a breach or default of any provisions of this Exhibit or result in a breach of any provisions of law relating to confidentiality.

g. Copyright

(1) Contractor agrees that for purposes of copyright law, all works (as defined in Section a, subparagraph (2)(a) of this provision) of authorship made by or on behalf of Contractor in connection with Contractor's performance of this agreement shall be deemed "works made for hire." Contractor further agrees that the work of each person utilized by Contractor in connection with the performance of this agreement will be a "work made for hire," whether that person is an employee of Contractor or that person has entered into an agreement with any such person that: (i) all work performed for Contractor shall be deemed a "work made for hire" under the Copyright Act and (ii) that person shall assign all right, title, and interest to CDHS to any work product made, conceived, derived from, or reduced to practice by Contractor or CDHS/TCS and which result directly or indirectly from this agreement.

(2) All materials, including, but not limited to, visual works or text, reproduced or distributed pursuant to this agreement that include Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDHS/TCS and which result directly or indirectly from this agreement, shall include CDHS/TCS' notice of copyright, which shall read in 3mm or larger typeface: "© 2001, State of California, Department of Health Services. This material may not be reproduced or disseminated without prior written permission from the Department of Health Services." This notice should be placed prominently on the materials and set apart from other matter on the page where it appears. Audio productions shall contain a similar audio notice of copyright.

h. Patent Rights

With respect to inventions made by Contractor in the performance of this agreement, which did not result from research and development specifically included in the agreement's scope of work, Contractor hereby grants to CDHS/TCS a license as described under Section b of this provision for devices or material incorporating, or made through the use of such inventions. If such inventions result from research and development work specifically included within the agreement's scope of work, then Contractor agrees to assign to CDHS/TCS, without additional compensation, all its right, title and interest in and to such inventions and to assist CDHS/TCS in securing United States and foreign patents with respect thereto.

i. Third-Party Intellectual Property

Except as provided herein, Contractor agrees that its performance of this agreement shall not be dependent upon or include any Intellectual Property of Contractor or third party without first: (i) obtaining CDHS/TCS' prior written approval; and (ii) granting to or obtaining for CDHS/TCS, without additional compensation, a license, as described in Section b of this provision, for any of Contractor's or third-party's Intellectual Property in existence prior to the effective date of this agreement. If such a license upon these terms is unattainable, and DHS determines that the Intellectual Property should be included in or is required for Contractor's performance of this agreement, Contractor shall obtain a license under terms acceptable to CDHS/TCS.

j. Warranties

(1) Contractor represents and warrants that:

(a) It is free to enter into and fully perform this agreement;
(b) It has secured or will secure all rights and licenses necessary for its performance of this agreement.
(c) Neither Contractor's performance of this agreement, nor the exercise by either Party of the rights granted in this agreement, nor any use, reproduction, manufacture, sale, offer to sell, import, export, modification, public and private display/performance, distribution, and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDHS/TCS and which result directly or indirectly from this agreement will infringe upon or violate Any Intellectual Property right, non-disclosure obligation, or other proprietary right or interest of any third-party or entity now existing under the laws of, or hereafter existing or issued by, any state, the United States, or any foreign country. There is currently no actual or threatened claim by any such third party based on an alleged violation of any such right by Contractor.
(d) Neither Contractor's performance nor any part of its performance will violate the right of privacy of, or constitute a libel or slander against any person or entity.
(e) It has secured and will secure all rights and licenses necessary for Intellectual Property including, but not limited to, consents, waivers or releases from all authors of music or performances used, and talent (radio, television and motion picture talent), owners of any interest in and to real estate, sites, locations, property or props that may be used or shown.
(f) It has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to CDHS/TCS in this agreement.
(g) It has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this agreement for the acquisition, operation or maintenance of computer software in violation of copyright laws.
(h) It has not knowledge of any outstanding claims, licenses or other charges, liens, or encumbrances of any kind or nature whatsoever that could affect in any way Contractor's performance of this agreement.

(2) CDHS/TCS MAKES NO WARRANTY THAT THE INTELLECTUAL PROPERTY RESULTING FROM THIS AGREEMENT DOES NOT INFRINGE UPON ANY PATENT, TRADEMARK, COPYRIGHT OR THE LIKE, NOW EXISTING OR SUBSEQUENTLY ISSUED.

k. Intellectual Property Indemnity

(1) Contractor shall indemnify, defend and hold harmless CDHS/TCS and its licensees and assignees, and its officers, directors, employees, agents, representatives, successors, and users of its products. ("Indemnitees") from and against all claims, actions, damages, losses, liabilities (or actions or proceedings with respect to any thereof), whether or not rightful, arising from any and all actions or claims by any third party or expenses related thereto (including, but not limited to, all legal expenses, court costs, and attorney's fees incurred in investigating, preparing, serving as a witness in, or defending against, any such claim, action, or proceeding, commenced or threatened) to which any of the Indemnitees may be subject, whether or not Contractor is a party to any pending or threatened litigation, which arise out of or are related to (i) the incorrectness or breach of any of the representations, warranties, convenants or agreements of Contractor pertaining to Intellectual Property; or (ii) any Intellectual Property, infringement, or any other type of actual or alleged infringement claim, arising out of CDHS/TCS' use, reproduction, manufacture, sale, offer to sell, distribution, import, export, modification, public and private performance/display, license, and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDHS/TCS and which result directly or indirectly from this agreement. This indemnity obligation shall apply irrespective of whether the infringement claim is based on a patent, trademark, or copyright registration that issued after the effective date of this agreement. CDHS/TCS reserves the right to participate in and/or control, at Contractor's expense, any such infringement action brought against CDHS/TCS.

(2) Should any Intellectual Property licensed by the Contractor to CDHS/TCS under this agreement become the subject of an Intellectual Property infringement claim, Contractor will exercise its authority reasonably and in good faith to preserve CDHS/TCS' right to use the licensed Intellectual Property in accordance with this agreement at no expense to CDHS/TCS. CDHS/TCS shall have the right to monitor and appear through its own counsel (at Contractor's expense) in any such claim or action. In the defense or settlement of the claim, Contractor may obtain the right for CDHS/TCS to continue using the licensed Intellectual Property; or, replace or modify the licensed Intellectual Property so that the replaced or modified Intellectual Property becomes non-infringing provided that such replacement or modification is functionally equivalent to the original licensed Intellectual Property. If such remedies are not reasonable available, CDHS/TCS shall be entitled to a refund of all monies paid under this agreement without restriction or limitation of any other rights and remedies available at law or in equity.

(3) Contractor agrees that damages alone would be inadequate to compensate CDHS/TCS for breach of any term of this Intellectual Property Exhibit by Contractor. Contractor acknowledges CDHS/TCS would suffer irreparable harm in the event of such breach and agrees CDHS/TCS shall be entitled to obtain equitable relief, including without limitation an injunction, from a court of competent jurisdiction, without restriction or limitation of any other rights and remedies available at law or in equity.

l. Federal Funding

In any agreement funded in whole or in part by the federal government, CDHS/TCS may acquire and maintain the Intellectual Property rights, title, and ownership, which results directly or indirectly from the agreement; except as provided in 37 Code of Federal Regulations part 401.14; however, the federal government shall have a non-exclusive, nontransferable, irrevocable, paid-up license throughout the world to use, duplicate, or dispose of such Intellectual Property throughout the world in any manner for governmental purposes and to have and permit others to do so.

m. Survival

The provisions set forth herein shall survive any termination or expiration of this agreement or any project schedule.

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COMPARABLE STATE CIVIL SERVICE CLASSIFICATIONS

State Classification Title	Comparable Title	Comparable Monthly Salary
Health Education Consultant III (Specialist)	Project Director	$4,769-$5,961
Health Education Consultant II	Senior Health Educator or Assistant Project Director	$4,341-$5,427
Health Education Consultant I	Health Educator or Health Education Assistant	$3,219-$4,498
Administrative Assistant I	Program Coordinator/Assistant	$3,538-$4,499
Office Services Supervisor II	Office Manager	$2,856-$3,472
Management Services Technician	Community Health Worker	$2,413-$3,313
Research Scientist II	Evaluation Consultant	$5,134-$6,193
Research Scientist I	Evaluation Consultant	$4,674-$5,639
Associate Governmental Program Analyst	Research Analyst II	$4,255-$5,172
Staff Services Analyst	Research Analyst I	$2,724-$4,300
Legal Counsel	Attorney	$4,674-$5,137
Graduate Legal Assistant	Graduate Legal Assistant	$3,702-$4,064
Senior Legal Analyst	Paralegal	$4,467-$5,431
Legal Analyst	Paralegal	$3,715-$4,516
Legal Assistant	Paralegal	$3,275-$3,981

Travel Reimbursement Information

Mileage Reimbursement Rate Increase Effective January 1, 2007

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under contract. The terms "contract" and/or "subcontractor" have the same meaning as "grantee" and/or "subgrantee" where applicable.

   a. Reimbursement for travel and/or per diem shall be at the rates established for nonrepresented/excluded state employees. Exceptions to Department of Personnel Administration (DPA) lodging rates may be approved by TCS upon the receipt of a statement on/with an invoice indicating that such rates are not available.

   b. Short Term Travel is defined as a 24-hour period, and less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever a contract or subcontract employee leaves his or her home or headquarters. "Headquarters" is defined as the place where the contracted personnel spends the largest portion of their working time and returns to upon the completion of special assignments. Headquarters may be individually established for each traveler and approved verbally by the program funding the agreement. Verbal approval shall be followed up in writing or email.

   c. Contractors on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on page 2 of this exhibit to determine the reimbursement allowance. All lodging must be receipted. If contractor does not present receipts, lodging will not be reimbursed.

      (1) Lodging (with receipts):

Travel Location / Area	Reimbursement Rate
Statewide Non-High Cost Area (excluding the counties identified below)	$ 84.00 plus tax
Counties of Los Angeles and San Diego	$110.00 plus tax
Counties of Alameda, San Francisco, San Mateo, and Santa Clara	$140 plus tax

      Reimbursement for actual lodging expenses exceeding the above amounts may be allowed with the advance written approval of the Deputy Director of the Department of Health Services or his or her designee. Receipts are required. Receipts from Internet lodging reservation services such as Priceline.com, which require prepayment to that service, ARE NOT ACCEPTABLE LODGING RECEIPTS and are not reimbursable without a valid lodging receipt from a lodging establishment.

      (2) Meal/Supplemental Expenses (with or without receipts): With receipts, the contractor will be reimbursed actual amounts spent up to the maximum.

Meal / Expense	Reimbursement Rate
Breakfast	$ 6.00
Lunch	$ 10.00
Dinner	$ 18.00
Incidental	$ 6.00

   d. Out-of-state travel may only be reimbursed if such travel is necessitated by the scope or statement of work and has been approved in advance by the program with which the contract is held. For out-or-state travel, contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, contractors/subcontractors must have prior TCS written or verbal approval. Verbal approval shall be confirmed in writing (email or memo).

   e. In computing allowances for continuous periods of travel of less than 24 hours, consult the chart appearing on page 2 of this exhibit.

Travel Reimbursement Information (continued)

f. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.

2. If any of the reimbursement rates stated herein are changed by DPA formal contract amendment will be required to incorporate the new rates. However, TCS shall inform the contractor, in writing, of the revised travel reimbursement rates.

3. For transportation expenses, the contractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.

4. **Note on use of autos:** If a contractor uses his or her car for transportation, the rate of pay will be **48.5 cents** maximum per mile. If a contractor uses his or her car "in lieu of" air fair, the air coach fair will be the maximum paid by the State. The contractor must provide a cost comparison upon request by the state. Gasoline and routine automobile repair expenses are not reimbursable.

5. The contractor is required to furnish details surrounding each period of travel. Travel expense reimbursement detail may include, but not be limited to: purpose of travel, departure and return times, destination points, miles driven, mode of transportation, etc. Reimbursement for travel expenses may be withheld pending receipt of adequate travel documentation.

6. Contractors are to consult with the program with which the contract is held to obtain specific invoicing procedures.

Travel Reimbursement Guide

Length of travel period	This condition exists…	Allowable Meal(s)
Less than 24 hours	Travel begins at 6:00 a.m. or earlier and continues until 9:00 a.m. or later.	Breakfast
Less than 24 hours	• Travel period ends at least one hour after the regularly scheduled workday ends, or • Travel period begins prior to or at 5:00 p.m. and continues beyond 7:00 p.m.	Dinner
24 hours	Travel period is a full 24-hour period determined by the time that the travel period begins and ends.	Breakfast, lunch, and dinner
Last fractional part of more than 24 hours	Travel period is more than 24 hours and traveler returns at or after 8:00 a.m.	Breakfast
	Travel period is more than 24 hours and traveler returns at or after 2:00 p.m.	Lunch
	Travel period is more than 24 hours and traveler returns at or after 7:00 p.m.	Dinner

7. At TCS' discretion, changes or revisions made by TCS to this illustration, excluding travel policy established by DPA may be applied retroactively to any agreement to which a Travel Reimbursement Information illustrations is attached, incorporated by reference, or applied by TCS program policy.

CONTRACT UNIFORMITY

(Applicable only to non-profit organizations)

Pursuant to the provisions of Article 7 (commencing with Section 100525) of Chapter 3 of Part 1 of Division 101 of the Health and Safety Code, the Department of Health Services sets forth the following policies, procedures, and guidelines regarding fringe benefits.

1. As used herein fringe benefits shall mean an employment benefit given by one's employer to an employee in addition to one's regular or normal wages or salary.

2. As used herein, fringe benefits do not include:

   a. Compensation for personal services paid currently or accrued by the Contractor for services of employees rendered during the term of this agreement, which is identified as regular or normal salaries and wages, annual leave, vacation, sick leave, holidays, jury duty, and/or military leave/training.
   b. Director's and executive committee member's fees
   c. Incentive awards and/or bonus incentive pay
   d. Allowance for off-site pay
   e. Location allowances
   f. Hardship pay
   g. Cost-of-living differentials

3. Specific allowable fringe benefits include:

   a. Fringe benefits in the form of employer contributions for the employer's portion of payroll taxes (i.e., FICA, SUI, SDI), employee health plans (i.e., health, dental, and vision), unemployment insurance, workers compensation insurance and the employers share of pension/retirement plans provided they are granted in accordance with established written organization policies and meet all legal and Internal Revenue Service requirements.

4. To be an allowable fringe benefit, the cost must meet the following criteria:

   a. Be necessary and reasonable for the performance of the agreement.
   b. Be determined in accordance with generally accepted accounting principles.
   c. Be consistent with policies that apply uniformly to all activities of the Contractor.

5. Contractor agrees that all <u>fringe benefits</u> shall be at <u>actual cost.</u>

6. Earned/accrued Compensation.

   a. Compensation for vacation, sick leave, and holidays is limited to that amount earned/accrued within the agreement term. Unused vacation, sick leave, and holidays earned from periods prior to the agreement term cannot be claimed as allowable costs (See example on page 2)
   b. For multiple year contracts, vacation and sick leave compensation, which is earned/accrued but not paid, due to employee(s) not taking time off may be carried over and claimed within the overall term of the multiple years of the agreement. Holidays cannot be carried over from one contract year to the next. (See example on page 2).
   c. For single year agreements, vacation, sick leave, and holiday compensation which is earned/accrued but not paid, due to employee(s) not taking time off within the agreement term, <u>cannot</u> be claimed as an allowable cost (See example on page 2).

Contract Uniformity
Earned/Accrued Compensation Examples

Example No. 1:

If an employee, John Doe, earns/accrues three weeks of vacation and twelve days of sick leave each year, then that is the maximum amount that may be claimed during a contract period of one year. If John Doe has five weeks of vacation and eighteen days of sick leave at the beginning of the agreement, the Contractor during a one-year agreement term may only claim up to three weeks of vacation and twelve days of sick leave actually used by the employee. Amounts earned/accrued in periods prior to the beginning of the agreement are not an allowable cost.

Example No. 2:

If during a three-year (multiple year) agreement John Doe does not use his three weeks of vacation in year one, or his three weeks in year two, but he does actually use nine weeks in year three; the Contractor would be allowed to claim all nine weeks paid for in year three. The total compensation over the three-year period cannot exceed 156 weeks (3 x 52 weeks).

Example No. 3:

If during a single year agreement, John Doe, works fifty weeks and uses one week of vacation and one week of sick leave and all fifty-two weeks have been billed to CDHS/TCS, the remaining unused two weeks of vacation and seven days of sick leave may not be claimed as an allowable cost.

Midwest Academy Strategy Chart

Goals	Organizational Considerations	Constituents, Allies, and Opponents	Targets	Tactics

© Midwest Academy, 28 East Jackson Blvd. #605, Chicago, IL 60604 (312) 427-2304 mwacademyl@aol.com www.midwestacademy.com

RFA Avaya Information Meeting and On-line Application Training

Hardware/Software Requirements

- Browser:
  - Windows 98 (or later) with Microsoft Internet Explorer 5, 5.5, or 6
  - Windows 98 (or later) with Netscape Navigator 6.2 or 7
  - Mac OS X 10.1 (or later) with Microsoft Internet Explorer 5.2

- Javascript must be enabled to use Avaya Web Conferencing.

- Connection Speed: Avaya Web Conferencing optimizes your experience based on the speed of your connection to the server. If the configuration tester reports that your screen may update slowly it is because you have a low speed connection. The reason is most likely that you are using a modem or another low bandwidth connection device.

- Java: The version of Java required depends on the Web browser you are using.
  - Microsoft Internet Explorer 5 and 5.5 - the built-in Microsoft JVM
  - Microsoft Internet Explorer 6 - either the built-in Microsoft JVM or the Sun JRE v1.4.2
  - Netscape Navigator 6.2 - the Sun JRE v1.4.2
  - Netscape Navigator 7 - the Sun JRE it ships with, or the Sun JRE v1.4.2
  - Microsoft Internet Explorer 5.2 on Mac OS X - the built-in Mac Runtime for Java v1.3

- Pop-up Blockers: Pop-up blockers, such as the Windows Pop-up Blocker or the Google Toolbar prevent web pages from opening new windows. Avaya Web Conferencing needs to open new windows in order to enter a web conference. This will fail if your web browser has an active Pop-up blocker. To fix this problem, the Pop-up blocker needs to be configured to allow Pop-up windows from https://conference.dhs.ca.gov. Please refer to your Pop-up blocker help pages for further information on how to do this.

Avaya Login Instructions

Step 1: Conference Reference and Security Code will be made available after you register using the online registration form. Please register at http://www.surveymonkey.com/s.asp?u=194073119456 by February 9, 2007.

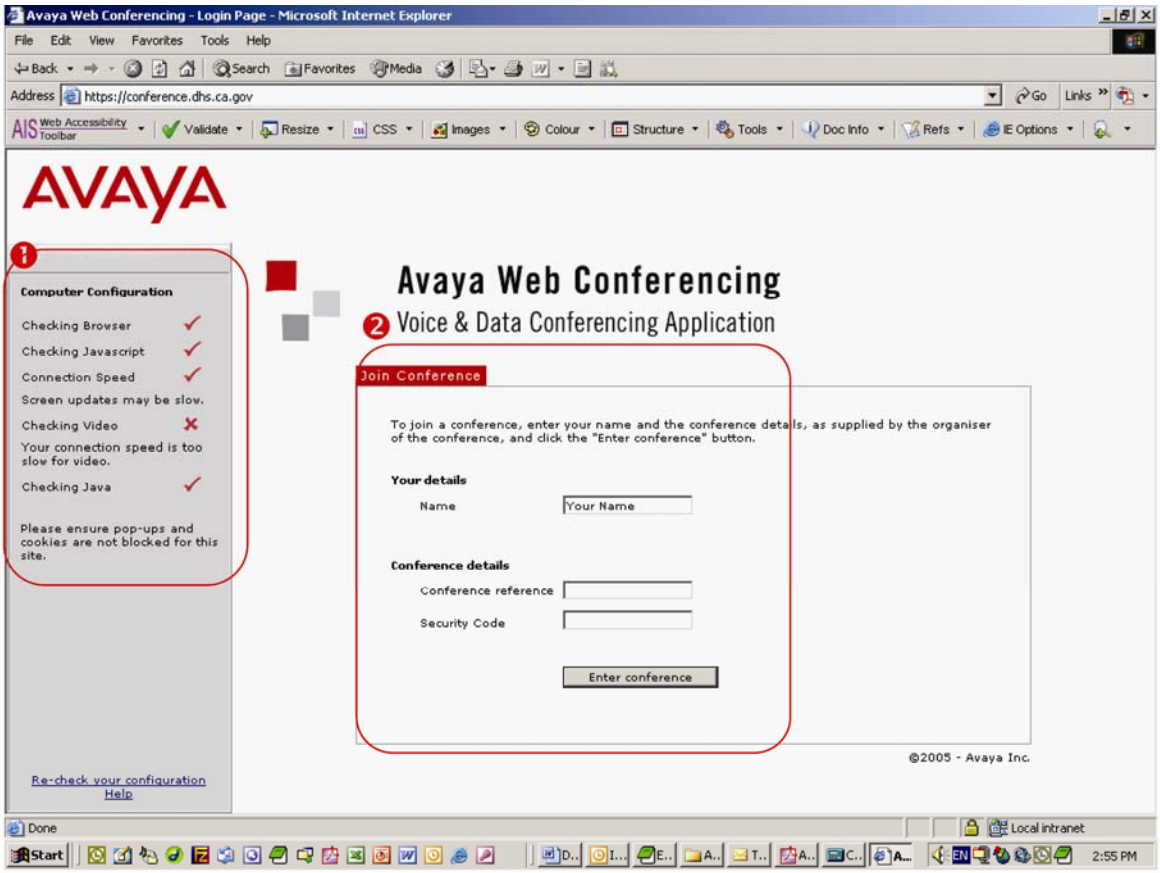
Step 2: Getting to the Conference
Go to: https://conference.dhs.ca.gov/

Step 3: Logging into the Conference
You will see the Avaya Web Conferencing Web Page. Here you will make sure you have correct configuration and enter your login information.

❶ Computer Configuration checklist - Make sure all except “Checking Video” have a checkmark (✔).

❷ Join Conference - Enter your name, Conference Reference, and the Security Code that was given to you by the host of the conference. Click “Join Conference.”

If you cannot see the entire web page, you may need to press “Tab” on your keyboard to move between the Name, Conference Reference, and Security Code boxes.

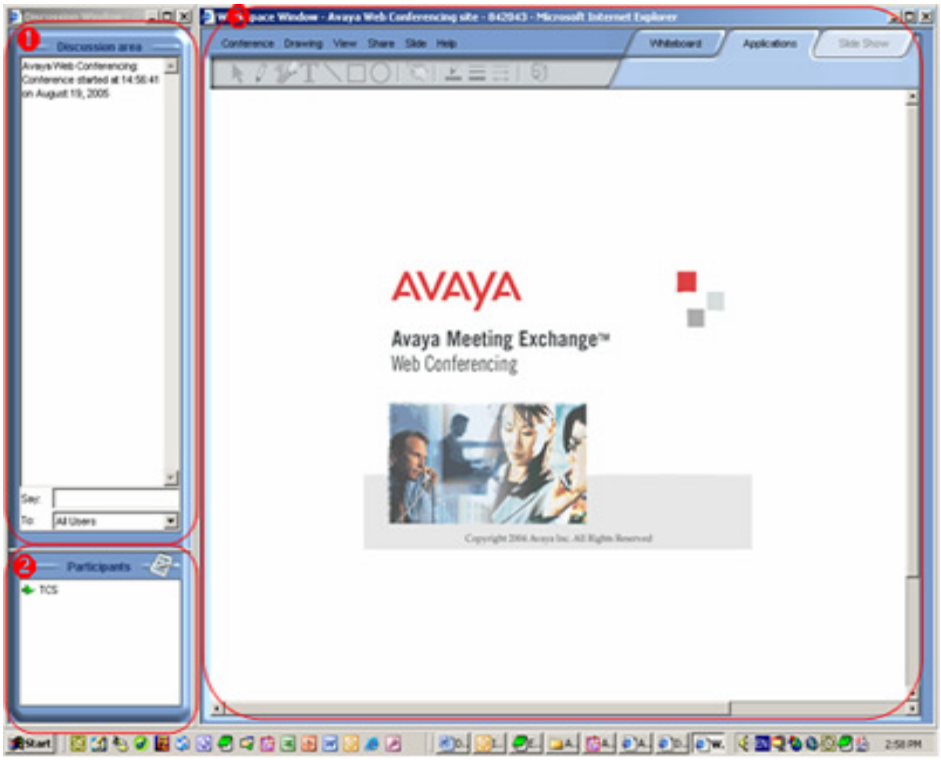


Step 4: Click yes to the DHS Security Certificate.

Step 5: The Meeting Screen

❶ Discussions - Online Chat for the conference
❷ Participants - List of Participants
❸ Workspace - Here you will see the presentation, pictures, or shared application.

If you see a yellow bar underneath the address bar, you have pop-up blocking enabled. Please refer to the section below titled "Disable Pop-up Blocking (in IE 6 SP2) to Login to Avaya."

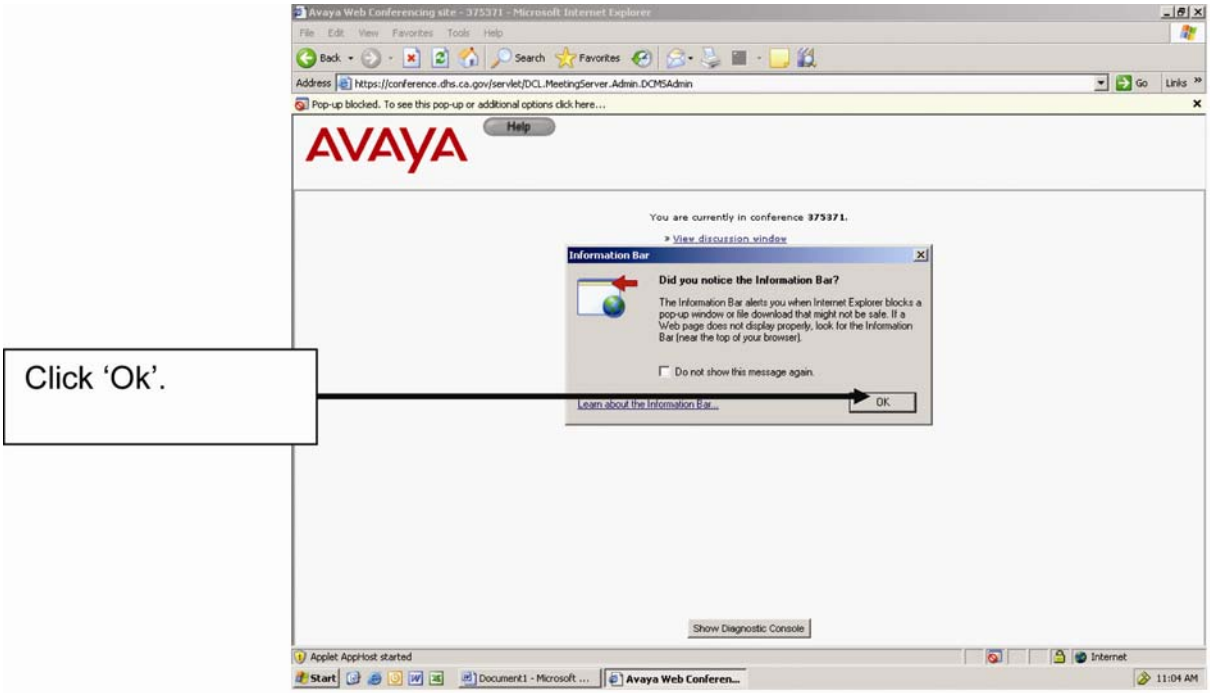


Troubleshooting

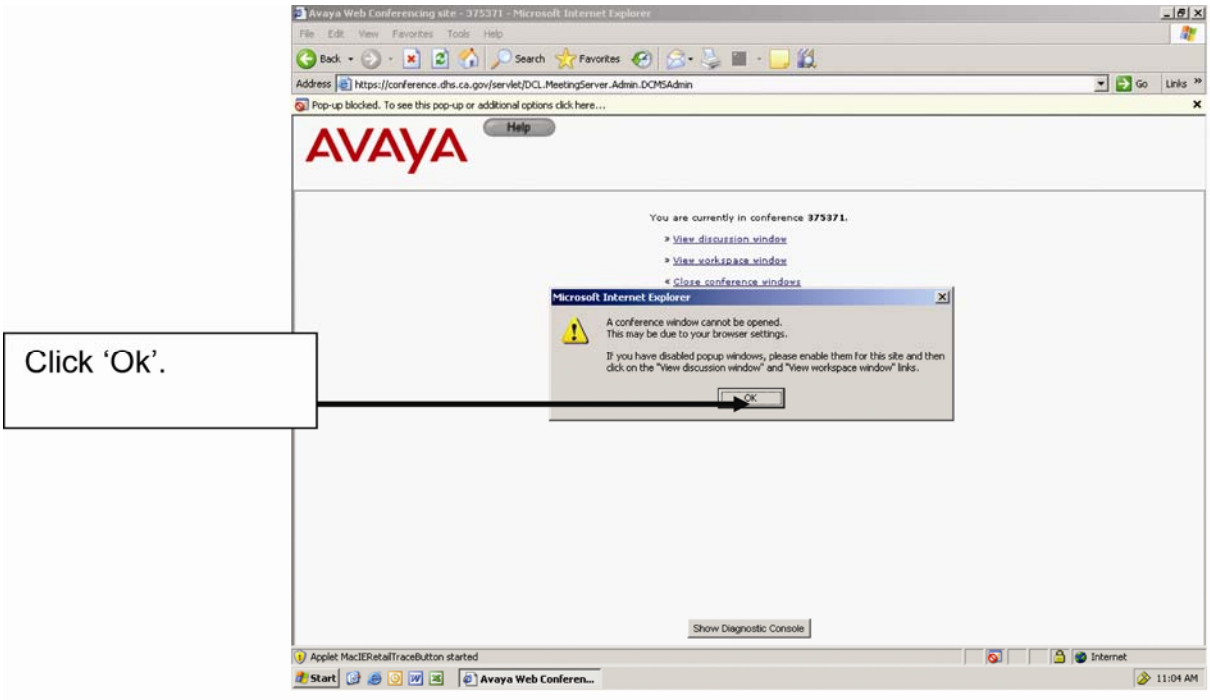
1. Make sure you have the pop-up blocking disabled.
2. Make sure you have the latest Sun Java Run Time Environment Installed.
3. If you still are having trouble accessing the web conference after you disabled pop-up blocking and installed the latest version of the Java Runtime Environment, call (916) 449-5500.

Disable Pop-up Blocking (in IE 6 SP2) to Login to Avaya

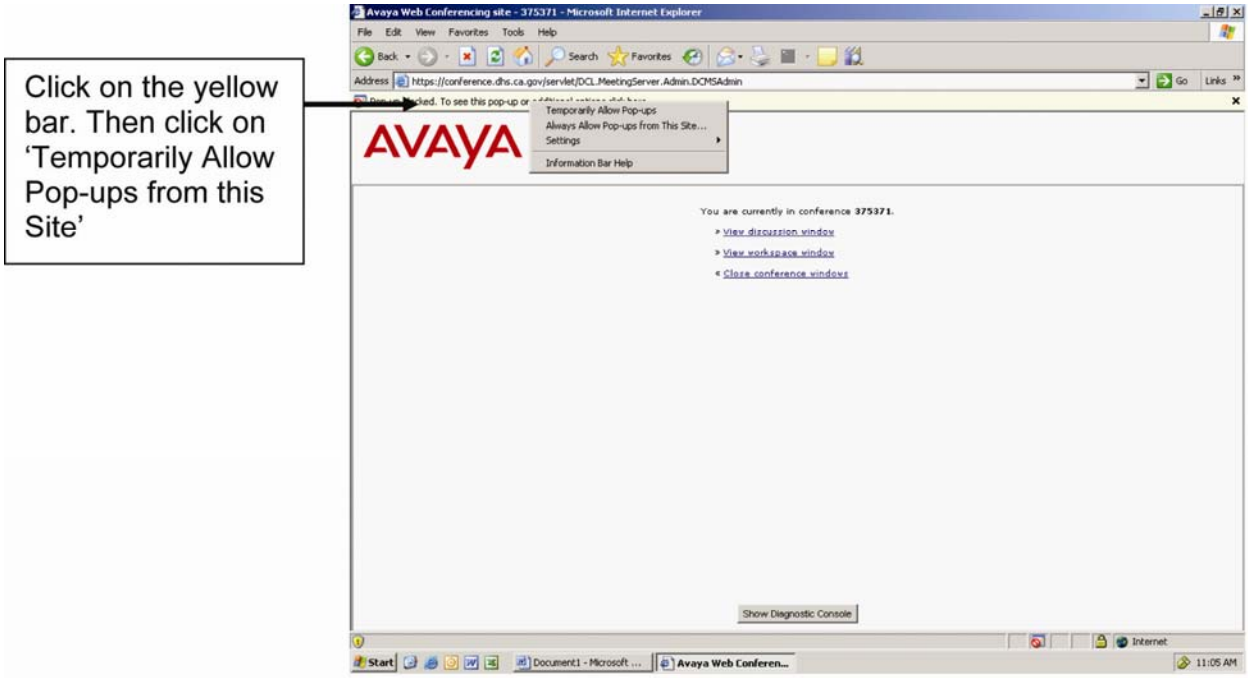
1. If you have pop-up blocking enabled on Internet Explorer 6 with SP2, you will not be able to see the conference. After you login you will see the following screen. Click "Ok."



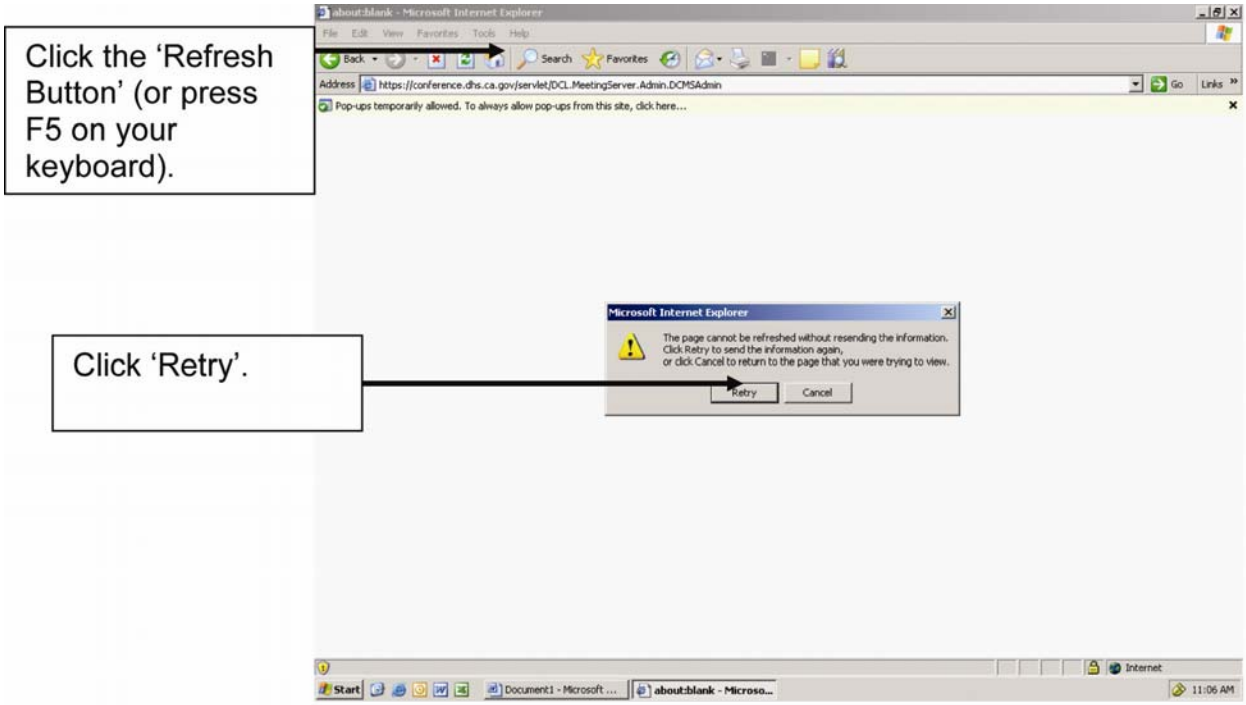
2. You will receive an error message from Avaya. Click “Ok.”



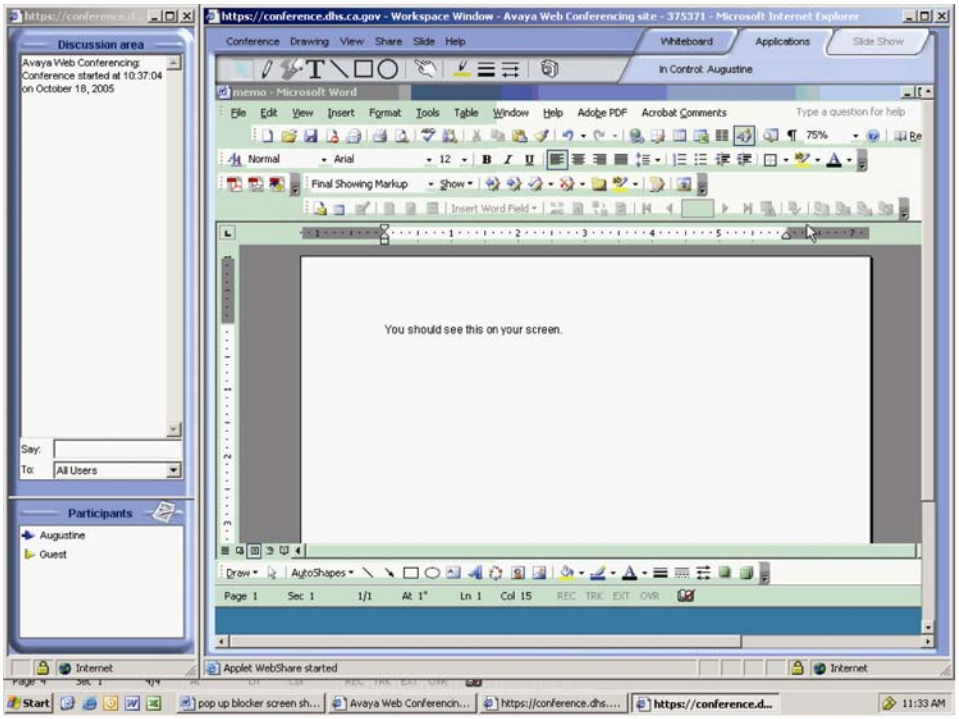
3. To allow Pop-ups, click on the yellow bar underneath the web address. Then click on “Temporarily Allow Pop-ups from this Site…”



4. Click the “Refresh button” (or press F5 on your keyboard). Click on “Retry” when the Microsoft Internet Explorer Window appears.



5. You will see the Discussion window on the left and the Conference window on the right.



To Manually Override Pop-up Blocker Using the Ctrl Key

1. On the “Avaya Web Conferencing Site” window, press the Ctrl key on your keyboard and click “View discussion window.” Also, press the Ctrl key and click “View workspace window.”

Other Articles to Disable Pop-ups

Yahoo Toolbar –
http://help.yahoo.com/l/us/yahoo/toolbar/features/popupblocker/basic/pub-13.html

Google Toolbar –
http://www.google.com/support/toolbar/bin/answer.py?answer=9160&topic=116

COMPUTER HARDWARE/SOFTWARE MINIMUM SPECIFICATIONS

The following hardware/software minimum specifications are necessary to ensure the proposed project has equipment for the purposes of: producing state-mandated progress reports, completing statewide independent evaluation instruments and reports, and participating in the Policy Advisory Resource Tobacco Network Education System and the Online Tobacco Information System. Desktop computers should have a Pentium IV processor, adequate hard disk space, 512 megabyte (MB) to 1 gigabyte (GM) of memory, 1.44 megabyte diskette drive, CD Rom drive, and network card (for connecting to LAN or broadband internet access).

Type	Minimum
Hardware	
Processor	Pentium IV-class
RAM	512MB-1GB
Monitor	17”
Printer	HP Laserjet printer
Network Card	10/100 ethernet network adapter card
Peripherals	3.5” or 1.44 megabyte diskette drive or CD/RW drive
Software	
Operating System	Microsoft (MS) Windows 2000 Professional or XP Professional Service Pack 2 ①
Presentation	PowerPoint 2003 (as part of MS Office 2003 Professional Service Pack 2 Application Suite) ②
Word Processing	Word 2003 (as part of Office 2003 Professional Service Pack 2 Application Suite) ②
Spreadsheet	Excel 2003 (as part of Office 2003 Professional Service Pack 2 Application Suite) ②
Database	MS Access 2003 (as part of Office 2003 Professional Service Pack 2 Application Suite) ②
Hard Disk Encryption	Existing Agency software standard or other hard disk encryption product
Browsers	Internet Explorer v. 6.0
Adobe Acrobat Reader	Adobe Acrobat Reader 7.x
Statistical	Epi info version 3.3 ③
Antivirus Software	Required (most current version of any brand)
JAVA Software	JAVA Runtime Environment v 5

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

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

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