# Tobacco-Use Prevention Education Program

## Capacity Building Provider Grant

### Request for Applications

### October 1, 2019–June 30, 2022

Governed by

California *Health and Safety Code* Section 104420 and

California *Revenue and Taxation Code* Section 30130.55(b)(2)



**Application Due Date: August 30, 2019, at 4:00 p.m.**

Educator Excellence and Equity Division

Tobacco-Use Prevention Education Office
California Department of Education
1430 N Street, Suite 6408
Sacramento, CA 95814-5901
916-323-6440

## Application Highlights for Tobacco-Use Prevention Education Capacity Building Provider Grant

* A new grant opportunity is being provided as a result of Proposition 56 (California voter approved in 2016) which provides certain grant funds to be allocated by the California Department of Education (CDE) in order to reduce the initiation and prevalence of tobacco use among youth. An estimated $5.5 million is available for a 33 month grant period.
* Only county offices of education (COEs) are eligible to apply. The CDE will make one award under this RFA.
* The Tobacco-Use Prevention Education (TUPE) Office will post a pre-recorded webinar on **August 2, 2019.** The purpose of the webinar is to provide guidance to assist prospective applicants with completing the TUPE Capacity Building Provider (CBP) grant application. The webinar may be viewed at any time after posting.
* The TUPE Office will provide a Request for Applications (RFA) Helpdesk to assist applicants with RFA-related questions. The RFA Helpdesk will be available from **July 26–August 30, 2019.**
* All required application forms are available on the CDE TUPE RFA web page at <https://www.cde.ca.gov/ls/he/at/tupefunding.asp>.
* The grant award cycle is for 33 months; however, if funded, Grant Award Notifications (AO-400s) will be allocated in annual increments with annual reporting requirements.

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### Critical Dates for the Application Process

The following chart identifies the anticipated critical dates for the application grant process. These dates may be extended by the CDE at its discretion.

| **Dates** | **Critical Events** |
| --- | --- |
| **July 26, 2019** | RFA and supporting documents are posted on the CDE Tobacco-Used Prevention Education Funding web page at <https://www.cde.ca.gov/ls/he/at/tupefunding.asp>. |
| **July 26–August 30, 2019** | CBP RFA Helpdesk available at tupe@cde.ca.gov. |
| **August 2, 2019** | CBP grant RFA Guidance Webinar (pre-recorded) posted on the CDE Request for Applications web page at <https://www.cde.ca.gov/fg/fo/r8/cbprfa.asp>.  |
| **August 6, 2019** | **Intent to Submit (ITS) an Application is due to the CDE.** Failure to submit this completed form will result in disqualification of the application from the reading and scoring process.Postmarks will not be accepted. |
| **August 30, 2019** | **Submission deadline for applications** in hard copy to the CDE by 4 p.m.Postmarks will not be accepted.  |
| **September 4, 2019** | Applicants are notified if they have been disqualified based on CDE screening of applications.Appeals are due to the CDE 10 days after notification of disqualification.Review and scoring of eligible applications. |
| **September 10, 2019** | Intent to Award (ITA) is posted on the CDE RFA web page (the ITA is **not** the final funding decision) on the CDE Request for Applications web page at <https://www.cde.ca.gov/fg/fo/r8/cbprfa.asp>. |
| **September 17, 2019** | Final Funding Decision is posted on the CDE RFA web page (once all data is verified and appeals are decided) on the CDE Request for Applications web page at <https://www.cde.ca.gov/fg/fo/r8/cbprfa.asp>. |
| **September 20, 2019** | AO-400 sent to the grantee. |
| **October 1, 2019** | Grant period begins. |

### Description and Purpose of the Program

#### Background

The California Department of Education (CDE) invites county offices of education (COE) to submit a grant application to be named the Tobacco-Use Prevention Education (TUPE) Capacity Building Provider (CBP), to provide leadership for California’s TUPE Program.

In 1988, California voters approved Proposition 99, the Tobacco Tax and Health Protection Act, which requires the CDE to establish a TUPE Program to provide students in grades six through twelve inclusive with the knowledge and skills directed at the prevention of tobacco use and tobacco-related diseases.

In 2016, California voters additionally approved Proposition 56, which aims to further prevent and reduce the use of tobacco and nicotine products by young people in accordance with California *Health and Safety Code* *(HSC)* Section 104420 and accelerate and monitor the rate of decline in tobacco-related disparities for the purpose of eliminating tobacco-related disparities (California *Revenue and Taxation Code* Section 30130.55[b][2] *Healthcare, Research and Prevention Tobacco Tax Act of 2016*, *Distribution of Revenue*). The authorizing legislation can be found on the California Legislative Information website at <https://leginfo.legislature.ca.gov/>.

Several grant programs were developed as a result of the passage of Proposition 99 and Proposition 56. The CDE instituted grant programs for school districts, direct-funded charter schools, COEs, and consortia to conduct tobacco-use prevention activities for students, including programs to address health disparities. These grants fund the implementation of comprehensive, evidence-based tobacco-use prevention programs. Comprehensive programs include youth development activities, interventions, and activities to reinforce tobacco-free school environments, as well as cessation programs.

The TUPE Program is required to build the capacity of TUPE Coordinators of County offices of education (COEs) to implement TUPE programs at California schools. The selection of a CBP through this grant will allow the TUPE Office to ensure that all TUPE-funded programs are (1) familiar with evidence-based anti-tobacco use programs, and (2) well informed about California Department of Education (CDE) guidelines and requirements for submission, review, and approval of school-based plans. This grant will also allow the TUPE Office to ensure that COEs are able to provide effective technical assistance to schools and school districts within their own counties.

The CDE will select **one** COE to carry out the TUPE CBP activities for 33 months, beginning October 1, 2019, through June 30, 2022. The TUPE CBP will provide leadership to all TUPE County Coordinators and TUPE-funded local educational agencies (LEAs). The TUPE CBP will also serve as the TUPE Expert Lead Agency. In this role, the TUPE CBP will serve as an expert concerning current initiatives that support TUPE activities conducted with LEAs funded by the CDE TUPE Office.

#### Purpose

The purpose of the TUPE Program is to prevent and/or reduce student tobacco use and nicotine addiction by funding LEA programs to provide education for young people to make healthful tobacco-related decisions through tobacco-specific, evidence-based educational instruction and activities that build knowledge, as well as social skills and youth development assets. Collaboration between the CDE and community-based tobacco control programs such as the California Department of Public Health, California Tobacco Control Program, and the California Office of the Attorney General is an integral part of this process. Schools, parents/guardians, and the larger community should be involved in the collaborative efforts of the program so that students will be aware of a cohesive effort and concern for their health, and consequently, their ability to succeed in school and live healthy lives that are tobacco- and nicotine-free.

The TUPE CBP will provide support and guidance to local TUPE-funded programs. These programs focus on preventing and reducing the use of tobacco products by school-aged youth. The TUPE CBP will also provide leadership for the TUPE programs on model programs, best practices, and continuous program monitoring and improvement through current data resources.

#### Funding

An estimated $5.5 million from Proposition 56 funding has been allocated to the CDE to fund the TUPE CBP Grant for 33 months, beginning October 1, 2019, through June 30, 2022. The level of funding appropriated by the Legislature will determine the final amount to be awarded.

The CDE reserves the right to renew or extend the grant in the best interest of the statewide tobacco prevention effort. Although it is anticipated that funding for the TUPE CBP Grant will be available for future funding cycles, this may change as a result of the legislative process or oversight committee recommendations by the Tobacco Education and Research Oversight Committee.

#### Responsibilities of the Tobacco-Use Prevention Education Capacity Building Provider

The TUPE CBP must have the capacity, resources, and expertise to carry out the following activities to build the capacity of TUPE-funded programs to prevent and reduce the use of tobacco products by youth:

* Create, disseminate, and facilitate the implementation of training materials that address the needs, challenges, and barriers that LEAs face in preventing student tobacco use.
* Develop and disseminate best practices and model programs for LEAs to implement effective, evidence-informed TUPE programs, including intervention and cessation.
* Develop and maintain a TUPE CBP website to serve as a clearinghouse of support materials for LEAs, which will include resources, including, but not limited to:
	1. Web conference recordings
	2. Training PowerPoint presentations
	3. Student TUPE curricula
	4. Educational materials
* Support TUPE-funded programs by serving as the Expert Lead Agency in implementing local TUPE programs.
* Deliver ongoing workshops and coaching through teleconferences and webinars for COEs to assist in the implementation of tobacco-use prevention programing.

The CDE TUPE Office will partner with the TUPE CBP grantee to fulfill these responsibilities.

Grant applications must reflect the applicant’s qualifications to successfully accomplish the responsibilities listed above. These qualifications include:

1. A minimum of five (5) years of experience in implementing a local TUPE Program;
2. Demonstrated initiative in working with medical officers, public health practitioners, and behavioral health partners to address other issues that impact students in middle and high schools;
3. Good standing status in current and past grants from the TUPE Office;
4. Current or past role leading other CDE statewide initiatives;
5. Experience in building a website that supports the work of other CDE offices or programs; and
6. Ability to support online meetings, resource sharing, and communication.

The grant application process is designed to ensure that all required elements are addressed while providing sufficient flexibility for individual applicants to share their specific strengths.

### Program Description

#### Grant Information

This application covers the grant period beginning **October 1, 2019, and ending June 30, 2022.** The total grant budget for this RFA is approximately $5.5 million.

The TUPE CBP grantee will be selected for a term ending no later than

June 30, 2022. Annual review of the TUPE CBP grantee’s effort will be required for continued funding. The TUPE Office may either renew or reopen the selection of the TUPE CBP grantee if the duties described in this RFA are fulfilled. To be considered for renewal, the TUPE CBP grantee must demonstrate success in meeting the goals it has established for increasing the capacity of the TUPE County Coordinators and TUPE-funded LEAs.

#### Eligibility Requirements

Grant applicants must meet all of the eligibility requirements described below. The programs offered by applicants must meet the requirements set forth in this TUPE CBP Grant RFA. Thus, applicants must read and understand this entire RFA and consider all requirements for eligibility and program requirements prior to submitting an application. Any questions regarding this TUPE CBP Grant RFA should be submitted by email through the TUPE CBP Grant RFA Helpdesk at tupe@cde.ca.gov.

#### Who May Apply?

Only COEs are eligible to apply under this grant.

#### Capacity Building Experience

Grant applicants must have experience in:

* Providing capacity building services on TUPE to LEAs;
* Designing, planning, and coordinating meetings and conferences;
* Conducting web conferences.

#### Absence of Tobacco Industry Funding or Support

Grant applicants are ineligible for any TUPE grant funding if they have received directly or indirectly, any funding, educational materials, or services from the tobacco industry even if for the purpose of implementing tobacco-use prevention, youth development, intervention, or cessation programs. In addition, TUPE grantees are prohibited from accepting such materials and services for the duration of the grant. Acceptance of such items will result in termination of the grant and the return of all advanced grant funds and may disqualify LEAs from future TUPE funding opportunities.

An original, wet signature by the Superintendent or Designee on the Application Cover Page (Attachment B) constitutes an assurance that the applicant will not accept materials, services, or funding from the tobacco industry.

#### Other Eligibility Requirements

The grant application submitted must (1) comply with Application Narrative Requirements, (2) meet all other conditions, requirements, and deadlines, and (3) provide signatures as set forth in this RFA.

#### Administrative Indirect Cost Rate

The TUPE CBP must limit administrative indirect costs to the rate approved by the CDE for the applicable fiscal year (FY) in which the funds are spent, which is not to exceed 15 percent.

### Accountability

#### Reporting Requirements

An integral part of the reporting requirements is ongoing communication with the CDE, the TUPE County Coordinators, and other TUPE-funded LEAs. Additionally, the following regular reports will be completed and submitted:

1. A semiannual fiscal activity report.
2. Annual Progress Report.
3. Other reports as requested by the CDE.

If the CDE does not receive the required reports, program activities are not completed, or there is a lack of participation in meetings, a loss of funding could occur.

#### Program Deliverables

The TUPE CBP must provide a summary of activities in the annual report. The report shall describe materials developed under the grant such as, resources, procedures, and templates including webinars and workshop presentations. All resources created must comply with federal Section 508 of the Rehabilitation Act of 1973.

#### Tobacco-Free Policy and Certification

In accordance with *HSC* Section 104420(n)(2), all school districts, charter schools, and COEs that receive TUPE funding must adopt and enforce a tobacco-free campus policy no later than July 1 of each FY. The policy shall prohibit the use of products containing tobacco and nicotine, including, but not limited to, smokeless tobacco, snuff, chew, clove cigarettes, and electronic-cigarettes that can deliver nicotine and non-nicotine vaporized solutions, at any time, in charter school or school district-owned or leased buildings, on school or district property, and in school or district vehicles. However, this section does not prohibit the use or possession of prescription products, nicotine patches, or nicotine gum. Information about the policy and enforcement procedures shall be communicated clearly to school personnel, parents, pupils, and the larger community. Signs stating “Tobacco use is prohibited” shall be prominently displayed at all entrances to school property as provided in *HSC* Section 104559. Information about smoking cessation support programs shall be made available and encouraged for pupils and staff. Any school district, charter school, or COE that does not have a tobacco-free district policy implemented by July 1, shall not be eligible to apply for funds from the Cigarette and Tobacco Products Surtax Fund for that FY.

The applicant must have been certified by the CDE as having met the tobacco-free school district criteria. This certification must be valid at least through July 1, 2018. The applicant agency identified in the application must continue to meet the tobacco-free certification criteria, including enforcement of the Tobacco-Free School Policy, during the term of the grant. This requirement extends to all schools in the LEA, including those not listed in the grant application.

An original, wet signature by the Superintendent or Designee on the Application Cover Page (Attachment B) constitutes an assurance that the COE identified in the application will meet the tobacco-free school district and CDE requirements pursuant to *HSC* Section 104420(n)(2).

#### Program Assurances, General Assurances, and Certifications

The successful grantee must provide General Assurances and Certifications as a condition of receiving CDE funds. Applicants do not need to sign and return the General Assurances and Certifications with the application; instead, immediately following notice of award, the successful grantee must download the updated General Assurances and Certifications and retain copies of signed documents for their records and for audit purposes. The form is available on the CDE Funding Forms web page at <https://www.cde.ca.gov/fg/fo/fm/ff.asp>.

#### Tobacco-Use Prevention Education Program Assurances

The applicant agency agrees to:

1. Neither receive, nor apply for funds, educational materials, or services from the tobacco industry or any agency which has received funding from the tobacco industry to implement tobacco-use prevention or intervention programs.
2. Participate, if selected, as a reader for TUPE Program competitive grants.
3. Implement the TUPE CBP as described in the approved grant application or receive written permission from the CDE, prior to implementing any changes to the approved application.
4. Expend funds as detailed in the approved application unless specifically approved by the CDE.
5. Submit all the required deliverables by the designated due dates to ensure the program remains in good standing with the TUPE Office.

#### Required Signatures

All original authorized signatures from the applicant’s Superintendent or Designee are due at the time the application forms are submitted to the CDE or the application **will be disqualified.** An original “wet” signature, using blue ink, from the applicant is required. **Applications that are submitted with signature stamps, electronic stamps, or any form of reproduced stamp will be disqualified.** Original signatures on the Application Cover Page (Attachment B) represent a certification that all of the forms and materials submitted through this RFA have been reviewed and approved, and that all grant requirements will be completed as stated in legislation and this RFA.

A Designee may provide the authorized signature on the Authorized Designee Form (Attachment C) as long as a copy of a recent governing board resolution or minutes, specifically authorizing the Designee to accept and sign as a proxy for financial statements and legally binding documents, is included with the application materials. In the absence of an authorized signature, the applicant **will be disqualified.**

The grantee is required to retain copies of signed documents for their records and for audit purposes. Please visit the CDE Funding Forms web page at <https://www.cde.ca.gov/fg/fo/fm/ff.asp> for more information.

### Application Process and Procedures

The following steps outline the application process:

1. Prepare a narrative of no more than six pages which:
* Addresses the Application Narrative prompts in Section VIII. Describe the expertise and capacity of your office to serve as the TUPE CBP. Review carefully the responsibilities of the TUPE CBP in Section II.D.
* Indicates which current staff members will provide the capacity building services.
1. Mail or hand deliver the application no later than **4:00 p.m. on August 30, 2019.** The application must be received at the CDE by this deadline. Postmarks will **not** be accepted as date of receipt.
2. Applications which do not comply with these guidelines, are incomplete, or are received after 4:00 p.m. on August 30, 2019 will not be considered.

#### Application Review

Complete applications will be reviewed and evaluated by the reading panel and will be evaluated using the selection criteria on the Scoring Form and Rubric (Appendix 1).

#### Guidance Webinar

The TUPE Office will post a pre-recorded webinar on **August 2, 2019.** The purpose of the webinar is to provide guidance to assist prospective applicants with completing the CBP Grant Application. The webinar may be viewed at any time after posting.

#### Help Desk

A Help Desk is available to respond to clarifying questions regarding the RFA. Applicants should submit requests for clarification to tupe@cde.ca.gov. Write **TUPE Capacity Building Grant RFA Question** in the subject line. To ensure that all applications have access to the responses provided by the Help Desk, the CDE will post frequently asked questions on the CDE Available Funding web page at <https://www.cde.ca.gov/fg/fo/af/>.

#### Appeals Process

Grant applicants who wish to appeal the CDE Intent to Award must submit a letter of appeal to the CDE within 10 days of the CDE’s posting date. Late appeals and postmarks will not be accepted. Emailed letters of appeal will not be accepted. **Appeals are limited to the grounds that the CDE’s action(s) violated a state statute or regulation.** The professional judgment of the application readers will not be considered on appeal.

The letter of appeal must have an original “wet” signature in blue ink from the Superintendent or the Designee and should be mailed or hand delivered to:

TUPE Capacity Building Provider Grant Application

Educator Excellence and Equity Division

Tobacco-Use Prevention Education Office

California Department of Education

1430 N Street, Suite 6408

Sacramento, CA 95814-5901

The letter of appeal shall include:

1. A clear, concise statement of the action being appealed,
2. The state statute and/or regulation which the CDE is alleged to have violated,
3. The specific evidence being submitted to support the appeal, and
4. The specific remedy sought.

A final decision will be made by the CDE within 20 working days of the filing deadline for appeals. The decision shall be the final administrative action afforded to the appellant.

#### Grant Award Notification

The grant applicant selected for funding will receive an AO-400, which is the official CDE document that awards funds to local projects. The TUPE CBP grantee must sign and return the AO-400 to the CDE before project work may begin and disbursement of funds can be made.

### Fiscal Terms and Conditions

The successful application will be approved for a 33 month project period, beginning with FY 2019–20. The CDE will issue the grant award for 33 months beginning October 1, 2019, and ending June 30, 2022, contingent upon the CDE’s receipt of state allocation for FY 2019–20.

The grantee’s proposed budget will be reviewed for allowable and reasonable expenditure requests following the Grant Readers’ Review. If budget adjustments are made for any application, the rank order (which will be based on the narrative score) will remain the same. The distribution of funding among the various categories of cost must clearly support the activities approved in the grantee’sapplication. If the grantee wishes to change the alignment of funding in its budget, and the changes total more than 10 percent of the grant amount, the grantee must submit a budget revision request to the CDE.

The grantee will also be required to submit to the CDE two expenditure reports each FY indicating grant expenditures to date. The expenditure report due dates will be as follows:

1. October 1, 2019–December 31, 2019: Expenditure Report due no later than February 15, 2020
2. January 1, 2020–June 30, 2020: Expenditure Report due no later than August 15, 2020
3. July 1, 2020–December 31, 2020: Expenditure Report due no later than February 15, 2021
4. January 1, 2021–June 30, 2021: Expenditure Report due no later than August 15, 2021
5. July 1, 2021–December 31, 2021: Expenditure Report due no later than February 15, 2022
6. January 1, 2022–June 30, 2022: Expenditure Report due no later than August 15, 2022

#### Payment Process

All payments are subject to Budget Act approval. Payments will be distributed as follows:

1. The grantee will receive a cash advance equal to 50 percent of the grant award after the State Budget has been signed and the LEA has returned the signed AO-400 form with documents satisfactorily addressing all program and budget stipulations and a Grantee Budget Request Form.
2. The grantee will be paid an additional 40 percent of the grant award when the grantee has expended at least 80 percent of the first payment, as evidenced by expenditure reports submitted to, and approved by, the CDE.
3. The final payment of 10 percent will be held pending receipt and approval of all required reports, including the final expenditure report.

All funding must be expended no later than June 30, 2022. The carryover of unexpended grant funds after June 30, 2022, is not allowed.

#### Personnel Requirements

Personnel required for the TUPE CBP Grant Programmust be clearly identified and justified in the narrative and on the budget sections of the application. Project staff may be **COE personnel** or contract staff from a partner agency and must provide services related to the program plan as described in this RFA**.**

1. **Project Coordinator.** The duties of the Project Coordinator may vary, but must have the capacity and expertise to carry out all the responsibilities that include, but are not limited to:
	1. Provide overall coordination of project staff and activities, as well as provide direct services to the identified subgroup(s) described in the program plan to fully implement the TUPE Program.
	2. Ensure that all project funds expended or obligated are allowable costs and in compliance with the approved budget.
	3. Maintain required documentation of project services, activities, accomplishments, and program records.
	4. Develop and provide mandatory grant implementation and annual evaluation reports, maintain and/or monitor any budget and project modifications, project claim invoices, and fiscal reports.
	5. Coordinate ongoing data collection for evaluation purposes.
	6. Facilitate ongoing collaborative meetings through workshops, teleconferences, and webinars.

The exact title of the Project Coordinator position is determined by the COE, however, if a project coordinator is also providing direct services, the application must clearly identify the Project Coordinator duties, separate from the duties of a direct service provider. The total percentage of time for any individual person funded by any TUPE grant cannot exceed 100 percent.

1. **Clerical/Administrative Staff.** The title and duties of clerical staff may vary. Details of the duties for this position must be clearly identified in the Budget Narrative Section of the application. The total percentage of time for any individual person funded by any TUPE grant cannot exceed 100 percent.
2. **Contracted Direct Service Providers.** There is no time requirement for contracted staff to provide direct services or evaluate the TUPE CBPGrant Program. Each paid staff person must have specific duties related to direct tobacco-use prevention services and activities clearly described in the budget narrative.

#### Allowable Costs

Grant funds must be used as proposed in the approved application or subsequent budget revision(s) approved by the CDE. Costs charged to the TUPE CBPGrant Program budget must be limited to those materials and activities which directly address tobacco-use prevention, youth development, intervention, or cessation/referral strategies. Funds may be used for:

1. TUPE CBP Grant Program Project Coordinator position.
2. Staff for the project.
3. Contracted direct service providers.
4. Associated costs related to direct services, such as:
* Training and release time.
* Services required by project staff and contracted service providers.
* Materials and supplies.
* Subcontracts, if needed, related to implementation of capacity building program.
1. Noncapitalized equipment costs less than $5,000 per item. Equipment purchased with TUPE CBPGrant Program funds may only be used by personnel assigned to the TUPE CBPGrant Program. The amount budgeted for individual equipment cannot exceed the percentage of time the person using the equipment is assigned to the TUPE Program. Funds from other sources must contribute to equipment costs designated for shared-use with other programs, and costs are to be prorated.
2. The percentage used to determine Indirect Cost Rates are not to exceed the CDE-approved rate.
3. Travel costs related to the project. These costs shall be reimbursed at rates not greater than those established in bargaining unit agreements to which the LEA is subject.

#### Nonallowable Costs

TUPE CBP grant funds are intended to supplement existing programs and must not be used to supplant other state or federal funds now being used for existing staff or activities. TUPE CBPGrant Program funds cannot be transferred to any other program accounts that are for specific purposes other than tobacco-use prevention, youth development, intervention, or cessation/referral.

Funds may **not** be used for:

1. Compensation or expenses of administrative personnel other than the TUPE CBPGrant Program.
2. Expenditures for land, buildings, and other intangible capital assets, including items acquired through leases with option to purchase and capitalized equipment costs in excess of $5,000.

Applicants are encouraged to review Procedure 770, Distinguishing between Supplies and Equipment, in the California School Accounting Manual (CSAM) for further discussion regarding capitalized equipment, noncapitalized equipment, and supplies. The CSAM can be downloaded from the CDE CSAM web page at <https://www.cde.ca.gov/fg/ac/sa/documents/csam2019complete.pdf>.

1. Telephone systems, fax machines, and telephones, including cell phones and landlines.
2. Purchase of vehicles.
3. Out-of-state travel.
4. Food—exceptions may be allowed if the agency can provide a justification that the provision of food is necessary to implement a TUPE CBPGrant Program training event.
5. Payment of any kind to law enforcement agencies for enforcement, lesson delivery, or other activities and services.
6. Campus monitoring and supervision.
7. Preparation, delivery, and travel costs associated with submitting this or subsequent TUPE applications.

#### Budget Revisions

The granteeagrees to expend funds as described in the approved application. Failure to do so may result in a reduction of the grant award amount unless a budget revision and justification is submitted to, and approved by the CDE. The budget revision request must provide a fiscal and program explanation with sufficient detail to justify revising the original budget. The request must also describe why the revision is necessary and how the revision will affect the COE’s ability to execute the program strategies approved in the application.

The grantee may not make any changes that increase the rates of reimbursement unless they are part of a negotiated collective bargaining agreement. Rates of reimbursement may not exceed the state-approved rates. The total grant amount may be decreased by the CDE pending available funds.

The grantee must submit all revisions to the budget prior to the end of the grant term.

#### Match Requirement

No matching funds are required. In-kind support for TUPE CBP Grant Program project costs is allowed and should be clearly identified as such in the budget if proposed.

#### Record Retention

Grant recipient shall maintain accounting records and documentation of costs incurred during the grant award period and thereafter for five full years from the date of the final payment of grant funds. The CDE must be permitted to audit, review, and inspect the activities, documents, papers, and financial records during the term of the grant and for five years following final allocation of funds.

#### Final Expenditure Report

Final expenditure reports must be submitted no later than **August 15, 2022.**

The proposed budgets should show how the grant will be used to develop, implement, and sustain the TUPE CBP Program. The expenditures must demonstrate appropriate use of state funds. Note that funding requested for purchases over $5,000 in Capital Outlay requires the CDE’s approval.

### Application Submission Elements

#### Intent to Submit an Application

Prospective applicants are required to submit the ITS Form (Attachment A). **Failure to submit this completed form will result in disqualification of the application from the reading and scoring process.** Submission of the ITS Form does not obligate the agency to submit an application. An email confirmation of receipt of the ITS Form will be sent to the contact person identified on the form.

The prospective applicant is responsible for ensuring that the ITS Form is received by the CDE no later than **August 6, 2019, by 4:00 p.m.** Postmarks will not be accepted.

#### Application Technical Requirements and Disqualifications

1. An original TUPE CBP Grant Application, **two copies**, and a USB drive with electronic files for application narrative, must be received by the CDE **no later than 4:00 p.m. on August 30, 2019. Postmarks will not be accepted.** Late submissions, faxed, or emailed applications, and those without the requested number of copies **will be disqualified.**

Mail or hand deliver application packets to:

TUPE Capacity Building Grant Application

Educator Excellence and Equity Division

Tobacco-Use Prevention Education Office

California Department of Education

1430 N Street, Suite 6408

Sacramento, CA 95814-5901

1. The original Application Cover Page Form (Attachment B) shall include all original wet signatures in blue ink. Applications that do not have original signatures from the Superintendent or Designee using blue ink will be disqualified.

A Designee may provide the authorized signature on the Authorized Designee Form (Attachment C) as long as a copy of a recent governing board resolution or minutes, specifically authorizing the Designee to accept and sign as a proxy for financial statements and legally binding documents, is included with the application materials. In the absence of an authorized signature, the applicant **will be disqualified.**

1. Application Narrative
2. Must be in 12-point Arial font, single-spaced, normal character spacing, with one-inch minimum margins. Tables or boxes used to present narrative information in text form must be in 12-point Arial font. Applicants may only use a smaller Arial font when inserting pie charts or graphs to present technical information not of a narrative nature. The CDE will screen applications to ensure compliance with these requirements. If smaller font sizes or margins are used in the application, CDE staff shall compute the number of excess characters added to the application as a result, and will draw a red line through the extra characters. Application readers will not be allowed to review the red-line characters in the application.
3. Must be submitted on single-sided standard white, 8½- by 11-inch paper. The narrative section shall not exceed a total of six pages. If the narrative section exceeds the maximum allowed pages, the CDE will draw a red line through the extra pages and will not allow application readers to review those pages.
4. Application packets must be stapled or clipped together for submission and in the order identified on the Application Checklist (Section IX). Do not use binders, covers, flat folders, or sleeves. Do not include section separators or blank pages.

**Note:** Submission of an application packet constitutes consent to a release of information and waiver of the applicant’s right to privacy with regard to information provided in response to this RFA. Ideas and format contained in the application will become the property of the CDE.

#### Project Budget

The budget section should provide a summary of costs as well as a justification for each item listed in the TUPE Program CBP grant application. The proposed budget should not exceed $5.5 million for the 33 month grant period beginning October 1, 2019, through June 30, 2022. The CDE will review the proposed budget items for clarity, reasonableness, and purpose. Each item must delineate the intended purchase or service, and directly correlate with the proposed project. Each budget item must provide a justification, along with the unit cost of the item or service. Prior to funding, the CDE will screen for non-allowable costs and may reduce the requested amount in the application.

There are two required sections of the project budget: the Budget Summary and the Budget Justification. Neither the Budget Summary nor the Budget Justification pages count toward the page limitations for the project narrative. Applicants should refer to the **Budget Summary Template (Attachment D) and Budget Justification Template (Attachment E)** for more information when preparing the Budget Summary and Budget Justification.

1. **Budget Summary.** The Budget Summary should show the subtotal of each listed object code. These subtotals should match those listed on the Budget Justification.
2. **Budget Justification.** The purpose of the Budget Justification narrative is to provide specific detail justifying the cost of each of the items listed in the Budget Summary, and to provide support for the amount itemized for those budgeted items. The Budget Justification must be clearly aligned with the program as described in the application. Numbers within formulas should correspond to the numbers provided in the application, (e.g., staffing hours, number of students, number of school sites, etc.).

To complete the Budget Justification the narrative must:

1. Specify each position funded by the project on a separate line item. The time base and annual cost must be included.
2. Provide clear unit cost computations for each budget item.
3. Provide in detail all personnel and non-personnel costs that are included in the proposed project.
4. Provide a subtotal for each object code.

**Every dollar amount proposed must be fully explained.** Every dollar amount should be accompanied by a computation that includes a unit cost for the item being purchased (e.g., 1 set of curriculum materials for Project Alert for each of 30 classrooms at $240 each, 1 x 30 x 240 = $7,200). An exception to this rule is the cost of COE staff and contract staff. In this case, only the time base and annual cost need be stated.

### Program Application

#### Application Narrative

Provide a narrative that describes the multiple roles of the TUPE CBP. The TUPE CBP serves as a **capacity builder**, a **resource** **connector**, and a **coordinator**. The applicant should demonstrate expertise with the TUPE Program; experience providing training and technical assistance to support program development and implementation, ability to foster collaboration among tobacco control partners; and ability to support online trainings, meetings, resources sharing, and communication.

To complete the narrative:

* Address the prompt included below.
* Refer to the scoring rubric in Appendix 1 to understand how responses will be evaluated by the reading panel.
* Follow all application directions in Section IV.

#### **Tobacco-Use Prevention Education Capacity Building Provider Expertise and Proposed Activities**

An applicant must demonstrate its current expertise and qualifications to effectively build the capacity of TUPE-funded LEAs. Describe your ability to: (1) build capacity in best practices and procedures to prevent or reduce tobacco use among students, (2) make successful connections to resources, expertise, and coaching structures; and (3) facilitate successful collaboration among LEAs, Local Lead Agencies (LLAs) and other tobacco control partners.

Propose and describe activities that will achieve the goals and responsibilitiesdescribed in Sections II.B and II.D, by providing the following information:

* Strategies to be utilized
* Responsible agencies or staff
* Measures of progress, and
* A general timeline for proposed activities
1. **Capacity Builder**
	* Describe how the applicant **has assisted** LEAs by creating professional trainings to build teacher, school, and district’s staff knowledge about youth tobacco prevention.
	* Describe how the applicant **has supported** LEAs in meeting the requirements of the TUPE Program.
	* Describe how the applicant **has supported** LEAs by demonstrating how to develop, implement, and evaluate a health education program.
	* Describe how the applicant **will assess** LEA’s needs and provide additional trainings using a continuous improvement framework.
	* Describe how the applicant **will partner** with CDE’s contractors to offer extensive youth tobacco prevention and intervention activities to strengthen local capacity.
		+ Describe how the applicant **will serve** as a TUPE Expert Lead Agency.
2. **Resource Connector**
	* Describe how the applicant **has developed** and disseminated best practices to reduce the initiation and use of tobacco products.
	* Describe how the applicant **will create** opportunities for LEAs to share local materials and exchange information with others, thereby strengthening partnerships.
	* Describe how the applicant **will connect** LEAs to LLAs and other tobacco control partners.
3. **Facilitator**
	* Describe how the applicant **has facilitated** and disseminated the implementation of training materials that outline the needs, challenges, and barriers of students around the use of tobacco products.
	* Describe how the applicant **has delivered** ongoing workshops and coaching via the web.
	* Describe how the applicant **will facilitate and disseminate** the implementation of training materials that outline the needs, challenges, and barriers of students around the use of tobacco products.
	* Describe how the applicant **will deliver** ongoing workshops and coaching via the web.

### Application Checklist

Applicants must submit a completed TUPE CBP application package to the CDE no later than **August 30, 2019, at 4 p.m., or the application will be disqualified.** The various application elements must be assembled in the order listed below. Each of the following items must be submitted for the application to be considered complete. All forms referenced in this RFA may be found on the TUPE Funding web page at <https://www.cde.ca.gov/ls/he/at/tupefunding.asp>.

* **Intent to Submit an Application (Attachment A)**—The abstract must include the applicant agency name, the project coordinator name, and contact information. Briefly describe how the proposed program will address the capacity building needs of TUPE programs around the state. **Due August 6, 2019.**
* **Application Cover Page (Attachment B)** with original, wet signature from the Superintendent or Designee in blue ink.
* **Authorized Designee Form (Attachment C)** and a copy of a **recent governing board resolution or minutes,** specifically authorizing the Designee to accept and sign as a proxy for financial statements and legally binding documents (applicable only if a Designee is signing in the absence of the Superintendent).
* **Application Narrative** (maximum of six pages)
* **Budget Summary (Attachment D) and Budget Justification (Attachment E)**
* **Grant Certified Assurances (Attachment F)**

Appendix 1

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**Appendix 1: Scoring Form and Rubric**

| **Rubric Category** | **Score**  | **Possible Points** |
| --- | --- | --- |
| Capacity Builder |  | 40 |
| Resource Connector |  | 24 |
| Facilitator |  | 20 |
| Project Budget Justification |  | 16 |
| **TOTAL** |  | 100 |

Each of the above categories contains questions or instructions that are assigned a point value. The point scale is divided into five columns labeled **Outstanding, Complete, Sufficient, Developing, and Weak.**

The applicant’s response to each question is evaluated on the following criteria:

* **Outstanding:** The response is very clear, extremely detailed and relevant, and presents a compelling argument supporting the proposal and the intent of the program.
* **Complete:** The response is clear and detailed and presents a persuasive argument supporting the proposal and the intent of the program.
* **Sufficient:** The response addresses the question(s) adequately, provides support for the proposal, and supports the intent of the program.
* **Developing:** The response partially addresses the questions, provides limited support for the proposal, or partially supports the intent of the program.
* **Weak:** The response does not address the question(s) or a response was not provided. Information presented does not provide any understanding of the applicant’s intent, provides limited information requested by the RFA, or does not support the intent of the program.

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| **Capacity Builder****(40 Possible Points)** | **Outstanding** | **Complete** | **Sufficient** | **Developing** | **Weak** |
| --- | --- | --- | --- | --- | --- |
| 1. Describes how the applicant has assisted LEAs by creating professional trainings to build teacher, school, and district’s staff knowledge about youth tobacco prevention.
 | **8** | **6** | **4** | **2** | **0** |
| 1. Describes how the applicant has supported LEAs in meeting the requirements of the TUPE Program.
 | **8** | **6** | **4** | **2** | **0** |
| 1. Describes how the applicant has supported LEAs by demonstrating how to develop, implement, and evaluate a health education program.
 | **8** | **6** | **4** | **2** | **0** |
| 1. Describes how the applicant will assess LEA’s needs and provide additional trainings using a continuous improvement framework.
 | **4** | **3** | **2** | **1** | **0** |
| 1. Describes how the applicant will partner with the CDE’s contractors to offer extensive youth tobacco prevention and intervention activities to strengthen local capacity.
 | **8** | **6** | **4** | **2** | **0** |
| 1. Describes how the applicant will serve as a TUPE Expert Lead Agency.
 | **4** | **3** | **2** | **1** | **0** |
| **TOTAL** |  |  |  |  |  |

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| **Resource Connector****(24 Possible Points)** | **Outstanding** | **Complete** | **Sufficient** | **Developing** | **Weak** |
| --- | --- | --- | --- | --- | --- |
| 1. Describes how the applicant has developed and disseminated best practices to reduce the initiation and use of tobacco products.
 | **8** | **6** | **4** | **2** | **0** |
| 1. Describes how the applicant will create opportunities for LEAs to share local materials and exchange information with others, thereby strengthening partnerships.
 | **8** | **6** | **4** | **2** | **0** |
| 1. Describes how the applicant will connect LEAs to LLAs and other tobacco control partners.
 | **8** | **6** | **4** | **2** | **0** |
| **TOTAL** |  |  |  |  |  |

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| **Facilitator****(20 Possible Points)** | **Outstanding** | **Complete** | **Sufficient** | **Developing** | **Weak** |
| --- | --- | --- | --- | --- | --- |
| 1. Describes how the applicant has facilitated and disseminated the implementation of training materials that outline the needs, challenges, and barriers of students around the use of tobacco products.
 | **8** | **6** | **4** | **2** | **0** |
| 1. Describes how the applicant has delivered ongoing workshops and coaching via the web.
 | **4** | **3** | **2** | **1** | **0** |
| 1. Describes how the applicant will facilitate and disseminate the implementation of training materials that outline the needs, challenges, and barriers of students around the use of tobacco products.
 | **4** | **3** | **2** | **1** | **0** |
| 1. Describes how the applicant will deliver ongoing workshops and coaching via the web.
 | **4** | **3** | **2** | **1** | **0** |
| **TOTAL** |  |  |  |  |  |

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| **Project Budget Justification****(16 Possible Points)** | **Outstanding** | **Complete** | **Sufficient** | **Developing** | **Weak** |
| --- | --- | --- | --- | --- | --- |
| 1. Describes extent to which all funded personnel (certificated, classified, and contract) are separately described, including detailed time base, specific annual costs, and duties.
 | **8** | **6** | **4** | **2** | **0** |
| 1. Describes extent to which budget items related to an activity are shown in the activities table.
 | **4** | **3** | **2** | **1** | **0** |
| 1. Describes extent to which the proposed budget items are realistic, cost-effective, and justified.
 | **4** | **3** | **2** | **1** | **0** |
| **TOTAL** |  |  |  |  |  |