# Tobacco-Use Prevention Education Program Initiation Grant Tier 1, Cohort Q

## Fiscal Year 2021–24

## Request for Applications

## For Programs Serving Grades Six through Twelve

Governed by

California *Health and Safety Code* Section 104420

**February 2021**



**Application Due Date: Friday, April 2, 2021**

Educator Excellence and Equity Division

Tobacco-Use Prevention Education Office

California Department of Education

1430 N Street, Suite 6408

Sacramento, CA 95814-5901

916-323-1540

## Questions and Contact Information

All questions and correspondence regarding the Tobacco-Use Prevention Education (TUPE) Initiation Grant (Tier 1, Cohort Q) Request for Applications (RFA) should be submitted by email through the TUPE RFA Helpdesk at [tupe@cde.ca.gov](mailto:tupe@cde.ca.gov) (please indicate “Tier 1, Cohort Q RFA Question” in the subject line). You may contact the TUPE Office by phone at 916-323-1540 for general inquiries; however, specific questions should be submitted through the TUPE RFA Helpdesk for consistency and accuracy.

The information contained in the RFA, RFA Guidance PowerPoint, and Program and Project Budget Guidance documents located in the TUPE Grant Electronic Management System (TUPE GEMS) should be your primary resource for documents.

**All completed RFAs should be uploaded to TUPE GEMS on the TUPE GEMS website at** <https://tupegems.ucsd.edu/>**. Hard copy submissions to the California Department of Education (CDE) will not be accepted in lieu of the required upload of applications.**

**Note:** The RFA process is competitive and is reviewed and scored by readers using a scoring rubric. Applicants are strongly encouraged to read the entire TUPE Tier 1, Cohort Q Grant RFA, view the guidance PowerPoint, and consider all elements for eligibility, program requirements, and disqualifications prior to submitting a complete application.

## Application Highlights for the Tobacco-Use Prevention Education Program Initiation Grant (Tier 1, Cohort Q)

* The Tier 1, Cohort Q Grant is available for a three-year period from July 1, 2021, to June 30, 2024. Approximately $600,000 from Proposition 99 tax revenues has been allocated to fund all three years of the Tier 1, Cohort Q Grant Program.
* The grant award period is for three years; however, if funded, one Grant Award Notification (AO-400) will be issued.
* County offices of education (COEs), school districts, direct-funded charter schools, and consortia serving grades six through twelve (6–12) in California are eligible to apply if they meet the eligibility requirements.
* Applications must be submitted through the online TUPE GEMS system.
* Applicants may only submit one application per lead agency.
* A section for additional services has been added to the Tier 1, Cohort Q RFA based on feedback from current Tier 1 local educational agencies (LEAs). This is especially beneficial for those LEAs that do not yet have the capacity to compete for TUPE Program Comprehensive Tier 2 Grant funds, but want to do more than the minimum requirements for Tier 1 Initiation Grants. These additional services are **optional** and do not replace or supersede the requirements of development of a Tobacco-Free Policy and implementation of the California Healthy Kids Survey (CHKS).
* An RFA Guidance PowerPoint will be posted on the TUPE GEMS website **the week of March 1, 2021.** The purpose of the PowerPoint is to provide guidance to assist applicants with program requirements for the Tier 1, Cohort Q Grant Application. The PowerPoint may be viewed at any time after posting.
* Prospective applicants are required to indicate their Intent to Submit an Application (ITS) in TUPE GEMS no later than **March 12, 2021.**
* An RFA Helpdesk will be available to assist applicants with RFA-related questions. The RFA Helpdesk will be available during the open application period from **February 24, 2021 to April 2, 2021.**
* All required application materials, guidance documents, and PowerPoint will be available on the CDE TUPE Tier 1, Cohort Q Grant RFA web page at <https://www.cde.ca.gov/ls/he/at/tupefunding.asp> and on the TUPE GEMS website at <https://tupegems.ucsd.edu/>.

## Tobacco-Use Prevention Education Program

## Initiation Tier 1, Cohort Q Grant

## Request for Applications

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### Critical Dates for the Application Process

The following chart identifies the anticipated critical dates for the application process. **These dates may be extended by the CDE at its discretion.** Any changes will be posted on the CDE TUPE Initiation Grant (Tier 1, Cohort Q) web page at <https://www.cde.ca.gov/ls/he/at/tupefunding.asp>.

| **Dates** | **Critical Events** |
| --- | --- |
| **February 24, 2021** | RFA is posted on the CDE TUPE Funding web page at <https://www.cde.ca.gov/ls/he/at/tupefunding.asp>. |
| **February 2–April 2, 2021** | RFA Helpdesk is available at [tupe@cde.ca.gov.](mailto:tupe@cde.ca.gov)  TUPE GEMS Helpdesk is available at [tupegems@health.ucsd.edu](mailto:tupegems@health.ucsd.edu). |
| **March 12, 2021** | **Intent to Submit (ITS) an Application is due. This form must be submitted through TUPE GEMS.** Failure to submit this form through TUPE GEMS will disqualify the application from moving forward to the reading and scoring process. |
| **Week of March 1, 2021** | RFA Guidance PowerPoint is posted on the TUPE GEMS website at <https://tupegems.ucsd.edu/>. |
| **April 2, 2021** | **Submission deadline for complete applications.** Applications must be submitted through TUPE GEMS. |
| **April 2021** | Applicants are notified if they have been disqualified based on the CDE’s screening. Appeals are due to the CDE 10 days after notification of disqualification. Reading and scoring of eligible applications through TUPE GEMS. |
| **April 2021** | Intent to Award (ITA) is posted on the CDE TUPE Funding web page at <https://www.cde.ca.gov/ls/he/at/tupefunding.asp>.  **Note:** The ITA is **not** the final funding list. Appeals to funding decisions are due to the CDE 10 days after ITA notification. |
| **May 2021** | Final Funding List is posted on the CDE TUPE Funding web page at <https://www.cde.ca.gov/ls/he/at/tupefunding.asp>. |
| **June 2021** | AO-400s sent to grantees. |
| **July 1, 2021** | Grant period begins. |

### Description and Purpose of the Program

#### Background

In 1988, California voters approved Proposition 99, the Tobacco Tax and Health Protection Act, which required the CDE to establish a TUPE Program that provided students in grades 6–12 with the knowledge and skills directed at the prevention of tobacco use and tobacco-related diseases. The Tobacco Education and Research Oversight Committee (TEROC) was also created to advise state agencies, including the CDE, with respect to policy development, integration, and evaluation of funded tobacco education programs, including the TUPE Program. In addition, the TEROC is instrumental with the development of a Master Plan for future implementation of tobacco education programs. The TEROC members represent the spectrum of areas of the tobacco control field, including public health, medicine, higher education, research, community advocates, voluntary health organizations, youth-serving organizations, and kindergarten through twelfth grade education.

#### Purpose

The primary goal and purpose of the TUPE Office is to equip California youth with knowledge and skills to live tobacco, vape, and nicotine free by providing leadership and guidance for the development and implementation of school-based education, intervention, counseling, and other youth development activities. The TUPE Office was established by the CDE to provide technical assistance and funding to COEs, school districts, and schools in the development of instructional materials, curricula, and activities to encourage prevention and cessation of tobacco, vape, and nicotine among youth. The TUPE Office awards a variety of funding opportunities including competitive grants to fund TUPE programs in COEs, school districts, schools, and school district consortia.

To receive TUPE Grant funding, all TUPE grantees are required to: (1) adopt tobacco-free campus policies that prohibit the use of products containing tobacco and nicotine including, but not limited to, smokeless tobacco, snuff, chew, clove cigarettes, and electronic cigarettes (e-cigarettes), and (2) conduct the district-level CHKS Core Module with the subgroup population of students in grades five or six, and seven, nine, and eleven.

#### Tobacco-Use Prevention Education Social-Ecological Model

TUPE uses a five-level social-ecological model to assess how environmental and interpersonal factors can encourage or deter tobacco use and vaping among youth. Each level of the model identifies a point of influence and a potential opportunity for intervention. For example, the “Individual” level examines how factors such as attitudes and knowledge may increase or decrease the likelihood of tobacco use and vaping. The “Interpersonal” level examines the role of peers, family, partners, and mentors. The “School” and “Community” levels explore how behavior is impacted by teachers and the social and physical characteristics of institutions, environmental settings, media, and advertising. The “Policy” level looks at the broader implications of laws, rules, and enforcement measures. The model provides a useful framework to assist TUPE Programs and community partners in determining how to focus strategies and resources.

School connectedness is the belief held by students that the adults and peers in their school care about their learning and about them as individuals. Students who feel connected to school are more likely to have a number of positive health and academic outcomes, and school connectedness represents an important factor in both health and learning (Babey, S., Wolstein, J., Becker, T., and Scheitler, A.J. *Health Policy Brief: School Discipline Practices Associated with Adolescent School Connectedness and Engagement*, University of California, Los Angeles Center for Health Policy Research, September 2019). For example, data from that study has shown that students who feel connected to school are more likely to attend school regularly, stay in school longer, have higher grades and test scores, and are less likely to use tobacco and drink alcohol. Conversely, students with low levels of school connectedness have higher rates of e-cigarette use than their more connected peers. The value of engaging youth through education, instruction, reinforcement activities, and positive youth development is consistent throughout the TUPE Office’s various grant opportunities.

Youth tobacco education and prevention is important because initiation of tobacco use, including vaping and e-cigarettes, generally starts in one’s youth. More alarmingly, the use of electronic smoking devices among California high school students increased significantly between 2015 and 2018, from 8.6 percent to 10.9 percent (*California Tobacco Facts and Figures 2018*, California Department of Public Health [CDPH]). Electronic smoking devices, often called e-cigarettes or vape pens, heat and aerosolize a liquid that contains a variety of ingredients, including flavorings and varying levels of nicotine. The “e-liquid” in e-cigarettes is largely available in candy and fruit flavors such as cotton candy, gummy bear, watermelon, and grape—flavors that are meant to attract youth. Even “Hello Kitty” e-cigarettes are sold. According to the Centers for Disease Control and Prevention (CDC), use of electronic smoking devices has increased substantially in recent years, particularly among youth. Based on the 2017–19 CHKS data, an estimated 4 percent of seventh graders, 9 percent of ninth graders, and 11 percent of eleventh graders in California are currently using e-cigarettes. Under California state law, a tobacco product is any product containing, made from, or derived from tobacco or nicotine, and any electronic vaping device or component, part, or accessory. The CDC warns that nicotine is highly addictive and can harm adolescent brain development, which continues into the early to mid-20s. In 2019, an estimated 7.9 percent of California High school-age students co-used marijuana and tobacco products (this includes vaping).

#### Funding

The TUPE Initiation Grant Program (Tier 1, Cohort Q) provides funding for three years, beginning July 1, 2021, through June 30, 2024. Approximately $600,000 from Proposition 99 tax revenues has been allocated to fund all three years of the Tier 1, Cohort Q Grant Program. The level of funding appropriated by the Legislature, the number of qualified applications, and the total amount requested by qualified applicants will determine the number of grants awarded.

The CDE reserves the right to renew or extend selected grants in the best interest of the statewide tobacco-use prevention effort. Although it is anticipated that funding for the TUPE Tier 1 Grant Program will be available for future years, this may change as a result of the legislative process or oversight committee recommendations by the TEROC. If applicable, all funding received pursuant to the Tier 1, Cohort Q Grant must be accounted for independently and separately from all other TUPE Grant funds.

The use of TUPE funds for any purpose other than the reduction or elimination of tobacco use for students is not authorized. Funded programs may address marijuana use as it relates to co-use of this drug and tobacco, or as it relates to the use of electronic smoking devices, which are defined as tobacco products under California law. When staff positions are multi-funded, there should be personnel activity reports that verify the duties performed and the proportion of time spent for those duties as appropriate to the corresponding grant funding sources used. Products or services that relate to tobacco-use prevention issues may be supported by TUPE funds to the percentage that the product or service effectively prevents tobacco-use behaviors.

The maximum allowable funding for a single COE or LEA applicant is $6,000 for all three years of the grant. Consortium applicants may request up to $6,000 for each LEA represented in the application for all three years of the grant.

### Eligibility Requirements

Applicants must meet all the eligibility requirements set forth below. The programs offered by applicants must meet the requirements set forth in this Tier 1, Cohort Q RFA. Thus, applicants must read and understand this entire RFA as well as view the Guidance PowerPoint and consider all eligibility and program requirements prior to submitting a full application. Questions regarding this Tier 1, Cohort Q RFA should be submitted by email through the TUPE RFA Helpdesk at [tupe@cde.ca.gov](mailto:tupe@cde.ca.gov).

#### Who May Apply?

**Eligible.** COEs, public school districts, direct-funded charter schools, or consortia that serve students in grades 6–12 within the State of California are eligible to apply. The governing district must apply on behalf of a school or school sites within its jurisdiction. Any currently funded Tier 1 district or direct-funded charter school that is a member of a Tier 1 consortium with a grant expiring on June 30, 2021, is eligible to re-apply separately or as part of a consortium.

**Not Eligible.** Individual schools, community agencies, private schools, and locally-funded charter schools are not eligible to apply for these funds. In addition, projects targeting out-of-school students cannot be funded under this application. Currently-funded TUPE Tier 1 with grants not expiring, Tier 2, and Health Disparities grantees are ineligible for Tier 1, Cohort Q funds.

#### Absence of Tobacco, Vaping, or Marijuana Industry Funding or Support

Applicants are ineligible for any TUPE Grant funding if they have received directly or indirectly, any funding, educational materials, or services from the tobacco, vaping, or marijuana industries—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, the return of all advanced grant funds, and may disqualify LEAs from future TUPE funding opportunities.

A signature by the Superintendent or Designee on the application materials constitutes an assurance that the COEs, school districts, or direct-funded charter schools identified in the Tier 1, Cohort Q application will not accept materials, services, or funding from the tobacco, vaping, or marijuana industries.

#### Other Eligibility Requirements

The application submitted must: (1) show that the applicant’s program meets the Tier 1, Cohort Q Grant Program Requirements, (2) comply with the TUPE GEMS online application submission and narrative requirements, (3) meet all other conditions, requirements, and deadlines, and (4) provide signatures as set forth in this RFA.

### Program Requirements and Additional Services

The Legislature requires that the funds allocated for the Tier 1, Cohort Q Grant be used for the enforcement of Tobacco-Free School Policies, administration of the CHKS, and support for activities that prevent the use of all tobacco products by youth. As such, the following section provides the specific program requirements for Tier 1, Cohort Q applicants.

#### Tobacco-Free Policy Development (Required)

In accordance with California *Health and Safety Code (HSC)* Section 104420(n)(2), all COEs, school districts, and charter schools that receive TUPE funding are required to adopt and enforce a Tobacco-Free School Policy no later than July 1 of each fiscal year (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 e-cigarettes that can deliver nicotine and non-nicotine vaporized solutions, at any time, in COE, 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. In addition to the harmful effects of nicotine, flavorings, and other chemical additives, e-cigarettes have introduced another mechanism for students to consume marijuana. Consequently, Tobacco-Free School Policies have the additional benefit of addressing student use of marijuana through vaping and the co-use of marijuana and tobacco.

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. Signs may also state “the use of tobacco, e-cigarettes, and marijuana is prohibited,” as long as the word “tobacco” is included in the sign. Information about smoking cessation support programs shall be made available and encouraged for pupils and staff. Any COE, school district, or charter school that does not have a Tobacco-Free School Policy implemented by July 1, shall not be eligible for reimbursements for that FY.

#### California Healthy Kids Survey (Required)

All successful grantees (districts and schools) are required to conduct the district-level CHKS Core Module with the subgroup population of students in grades five or six, and seven, nine, and eleven. Survey results, to the extent possible, must be reported by school site and student ethnicity. The survey is to be administered within the first year of funding and at least every other year thereafter as long as funding is received. For any participating school, if the total number of students for a grade level is less than 25, the grantee is required to establish a local alternative to fulfill their student tobacco-use survey requirements.

A grantee has the option to administer the CHKS to either 5th or 6th grade students. The flexibility provided will support those grantees that want to maintain 5th grade trend data and those grantees that want to try or continue 6th grade administration.

If 5th grade is selected for survey administration, a grantee must administer both the elementary core module and the TUPE elementary module developed in 2020. If 6th grade is selected, a grantee has the option of administering either the core elementary module, and the TUPE elementary module or the middle school core module.

If the CHKS has been conducted in the school year prior to the first year of a TUPE Grant and the grantee is planning to conduct the CHKS in the second school year of the grant, the grantee may continue conducting the survey every other year and does not need to conduct it within the first year of the grant. A grantee is required to collect and maintain the complete record of the prior year school-level CHKS administration and make it available upon request from the CDE. Depending on local funding availability, additional grade levels (grades eight and ten), the California School Staff Survey, and the California School Parent Survey administrations are also allowable.

Applicants are encouraged to refer to an individual LEA’s adopted policies and administrative regulations regarding conducting student surveys and receiving parental permission. For additional information regarding the administration of the CHKS, visit the WestEd California School Climate, Health, and Learning Surveys web page at [https://calschls.org/reports-data/query-calschls/](https://calschls.org/).

Additionally, each Tier 1, Cohort Q grantee and schools are required to participate, if selected, in the California Student Tobacco Survey (CSTS) administered by the CDPH and the Evaluation of TUPE Programs in California conducted by the CDPH Tobacco Control Program. The results of evaluation of TUPE programs will be made available to the CDE for the purposes of improving its ability to implement and oversee school-based tobacco-use prevention programs and to determine to what extent schools have reduced the smoking prevalence rate for high school youth. Students in grades eight, ten, and twelve, as well as school and district TUPE Program Administrators, will be among the participants of this evaluation. All schools with students in grades eight, ten, and twelve must participate, including those not listed in the grant application. As with the CHKS, the CSTS is conducted in accordance with board policy on parental consent and requires a beginning-of-the-year notice to parents.

#### Additional Services (Optional)

Tier 1, Cohort Q applicants may also propose additional services in one or all of the following program areas: Student Services, Family and Community Engagement, and Staff Professional Development. Applicants are **not required** to include any of these additional services as part of the Tier 1, Cohort Q Grant Application; however, in the event that funding remains unspent during any of the three years of the grant, applicants may provide additional services. These services should be dedicated to the prevention of tobacco, vaping, or vaping-marijuana co-use by youth.

The following is a list of public tobacco-free campaigning workshops that students may develop:

1. Anti-tobacco, vaping, or marijuana posters,
2. Pamphlets,
3. Videos,
4. Public service announcements.

These additional services may also be provided:

1. Assemblies for students, staff, family, or community members that provide an anti-tobacco, vaping, or marijuana message,
2. In-house professional development activities for staff.

**Note:** If funded, any services and resulting expenditures that are not listed above will require pre-approval from the CDE Regional Consultant and Analyst. If needed, please contact the TUPE Helpdesk for additional assistance.

### Overview of Applications

Applicants may submit only one application on behalf of their participating sites and must submit all application materials through TUPE GEMS.

#### Individual Local Educational Agency Applications

Applications submitted by an individual COE or LEA must include a Letter of Support (LOS) written and signed by the COE TUPE Coordinator endorsing the application. An e-signature is acceptable. The COE TUPE Coordinator’s letter must demonstrate the following:

1. The COE TUPE Coordinator has established an agreement with the applicant LEA to monitor the applicant’s Tobacco-Free School Policy enforcement.
2. The LEA will meet all of the requirements of *HSC* Section 104420(n)(2) regarding Tobacco-Free Schools throughout the full term of the grant.
3. The LEA will coordinate the administration of the CHKS with the applicant LEA and any other LEAs.
4. The LEA will make the CHKS data available to the public.
5. The COE TUPE Coordinator will support the LEA if selected to participate in the CSTS administered by the CDPH, and the Evaluation of TUPE Programs in California conducted through the UCOP, TRDRP.

In the case where the COE TUPE Coordinator and the lead applicant are the same person, a LOS is still required from the COE TUPE Coordinator; however, in lieu of supporting your own program, the letter should discuss any existing or proposed collaborative partnerships that will be developed to support the requirements of the Tier 1, Cohort Q Grant.

**Note:** The LOS is not a scored item; therefore, there is no advantage or disadvantage provided to an applicant if they are both the COE TUPE Coordinator and the lead applicant.

#### Consortium Applications

COEs, public school districts, and direct-funded charter schools may collaborate to form a consortium for the Tier 1, Cohort Q Grant Application. A COE, single school district, or direct-funded charter school must be designated as the lead agency, with fiscal and reporting responsibility for the consortium. A consortium must apply the criteria required to each member of the consortium and address the required items for each consortium member.

The role of the consortium lead must be clearly delineated through a Memorandum of Understanding (MOU) between the consortium lead and all participating districts. **The MOU should be signed by all participating consortium members.** An e-signature is acceptable. The role of the consortium lead, the role(s) of all participating districts, and the number of staff involved must be clearly described in the MOU. In addition, the consortium lead must certify that they will do the following:

1. Monitor the participating LEA’s Tobacco-Free School Policy enforcement.
2. Ensure all participating LEAs will meet all of the requirements of *HSC* Section 104420(n)(2) regarding Tobacco-Free Schools throughout the full term of the grant.
3. Coordinate the administration of the CHKS with the other LEAs.
4. Ensure that the CHKS data is available to the public.
5. Support the consortium members if selected to participate in the CSTS administered by the CDPH, and the Evaluation of TUPE Programs in California conducted through the UCOP, TRDRP.

An MOU is considered current if dated after June 30, 2020. The MOU should be signed by the individual or designee most responsible for ensuring that the agency fulfills the TUPE Program roles and responsibilities assigned to them.

#### Geographic Funding Distribution

Per *HSC* Section 104420(k)(2)(D)(4), the CDE must consider the need to balance rural, suburban, and urban projects when allocating grant awards. The CDE does not have an operational definition for suburban, therefore only urban and rural will be identified. Applicants must identify the category in which their applications will be competing in one of the following six geographic funding categories (identified in Section 1: General Information in TUPE GEMS):

* Northern-Urban
* Northern-Rural
* Central-Urban
* Central-Rural
* Southern-Urban
* Southern-Rural

Northern California consists of California County Superintendents Educational Services Association (CCSESA) regions 1 through 4, Central California consists of CCSESA regions 5 through 8, and Southern California consists of CCSESA regions 9 through 11. Applicants can determine their service region on the CCSESSA Regions web page at<https://ccsesa.org/regions/>.

Applicants can determine their Rural and Urban Classifications by visiting the National Center for Education Statistics (NCES) Search for Public Schools online tool at<https://nces.ed.gov/ccd/schoolsearch/> and entering the search criteria as directed. Sites in the NCES database are identified in one of the following classifications:

| **Urban Classification** | **Rural Classification** |
| --- | --- |
| 11—City, Large | 31—Town, Fringe |
| 12—City, Midsize | 32—Town, Distant |
| 13—City, Small | 33—Town, Remote |
| 21—Suburb, Large | 41—Rural, Fringe |
| 22—Suburb, Midsize | 42—Rural, Distant |
| 23—Suburb, Small | 43—Rural, Remote |

### Application Forms and Narrative Components in the Tobacco-Use Prevention Education Grant Electronic Management System

An application submitted in TUPE GEMS requires applicants to either: (1) populate information into a section in TUPE GEMS, or (2) download and complete the template provided, and upload the document back into TUPE GEMS. Uploading additional documents, other than the required documents, will not be considered by readers so as not to provide an unfair advantage over other applicants.

#### Required Sections

There are five required sections in TUPE GEMS:

1. Section 1: General Information

The General Information Section requires inputting the applicant agency name, county-district-school codes, county name, and address of those participating in the application, as well as the grade levels to be served, student count funding information, and the grant type.

1. Section 8: Tobacco-Free Policy Development and Implementation

The Tobacco-Free Policy Development and Implementation Section requires applicants to provide their actual or proposed certification dates and describe the actions they will take to ensure effective communication to students, staff, parents, and the community at large. If submitting a consortium application, the actual or proposed certification dates should be submitted as a whole on behalf of other consortium members, rather than individually.

Applicants are also asked to describe the actions they will take to ensure effective policy implementation on school sites and at school sponsored events. Information regarding the Tobacco-Free School Policy Certification is available on the CDE Tobacco-Free School District Certification web page at <https://www.cde.ca.gov/ls/he/at/tobaccofreecert.asp>.

The applicant must be certified by the CDE as having met the Tobacco-Free School District Certification criteria. This certification must be valid by July 1, 2021. COEs, school districts, and direct-funded charter schools may still apply for funding if they are not currently certified; however, if funded, they will not receive their first payment until the certification is reviewed and approved by the CDE.

The applicant agency identified in the application must continue to meet the Tobacco-Free School District 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 (*HSC* Section 104559).

1. Section 9: Project Monitoring and Evaluation

The Project Monitoring and Evaluation Section (which includes the CHKS Administration) requires that a local tracking mechanism be established to monitor the CHKS administration of participating school districts to enable a local TUPE Program to evaluate its program’s effectiveness across time in comparison to itself, other districts, counties, and the state. Grantees will be required to maintain a consolidated grantee-level record and provide its monitoring results upon CDE request. The CDE will provide a CHKS tracking toolkit in which applicants must identify a list of participating COEs, districts, and schools, estimated administration dates, lead staff for data collection, and the compliance monitoring process that will ensure school compliance.

1. Section 10: Program Administration and Staffing

The TUPE Program Administration and Staffing Section requires applicants to identify administrative and direct service staff and to provide their indirect costs. Personnel in this section includes the Project Coordinator, Administrative Staff, and any Direct Service Staff (applicable only if selecting an optional service listed below).

1. Section 11: Assurances

The Assurances Section requires applicants to upload various documents complete with e-signatures into TUPE GEMS. These documents include:

1. Certified Assurances

The applicant’s Superintendent or Designee must certify that they have read, acknowledge, and agree to the terms as stated in this RFA, and all terms in accordance with the *HSC* and California *Education Code* as identified in the Grant Certified Assurances Section in TUPE GEMS. The Superintendent/Designee signature represents the acceptance of all conditions as stated in the RFA, the Budget Summary, all General and Certified Program Assurances, and forms contained in TUPE GEMS not requiring individual signature.

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

1. Program Assurances

The applicant agency, on behalf of the school districts and any schools identified in the application, must also certify that they will adhere to the following TUPE Program assurances:

1. Enforce the Tobacco-Free School Policy as described in *HSC* Section 104420(n)(2).
2. Neither receive, nor apply for funds, educational materials, or services from the tobacco, vaping, or marijuana industry or any agency which has received funding from the tobacco, vaping, or marijuana industry to implement tobacco-use prevention or intervention programs.
3. Administer the district-level CHKS Core Module as described in this RFA under Program Requirements and Additional Services.
4. If selected, participate in the CSTS administered by the CDPH and the Evaluation of TUPE Programs in California conducted through the UCOP, TRDRP.
5. Implement the program as described in the approved application or receive written permission from the CDE prior to implementing any changes to the approved application.
6. Expend funds as detailed in the approved grant application unless specifically approved by the CDE.
7. Submit all the required deliverables by the designated due dates to ensure the program remains in good standing with the TUPE Office.
8. Submit the required TUPE Tobacco-Free School District Certification form prior to July 1 and maintain that status throughout the duration of the grant.
9. Letter of Support

Applications submitted by an individual COE or LEA must include a LOS written and signed by the COE TUPE Coordinator endorsing the application. The letter should be provided on the COE TUPE Coordinator’s letterhead and may contain an e-signature. Only one LOS is required for upload into TUPE GEMS. **Consortium applicants do not need to submit a LOS from the COE TUPE Coordinator.**

1. Memorandum of Understanding

Applications submitted by a consortium must submit a current MOU between the consortium lead and all participating districts (dated July 2020 or more recent). The MOU should be signed by all participating members of the consortium. This may be completed through e-signatures on one MOU document submitted through TUPE GEMS. **Individual COE or LEA applications do not need to submit an MOU.**

1. Member Directory

The Member Directory consists of all participating districts and schools in the application beyond the lead applicant. This includes the names, addresses, and contact information for the TUPE Coordinators at each district and school site identified in the application.

1. Equipment/Device Inventory

The equipment/device inventory is required for those applicants requesting the purchase of equipment related to the TUPE Program. Equipment purchases over a $500 threshold should be provided on this form. Equipment purchased through any TUPE funds in the past five years should also be identified on this form.

#### Optional Sections

There are three sections in TUPE GEMS that are **optional** and should only be completed if the applicant anticipates having any remaining funding once the required elements identified earlier in this RFA have been met.In the event that the applicant expends all funding implementing the required sections in this RFA ($6,000 per LEA), the applicant will not be held responsible for completing or implementing any optional activities.

If an applicant chooses one or more of the optional areas, a project abstract is required that describes the applicant’s general plan for providing the optional services across the three-year grant period. Applicants must describe what services will be provided, to whom, and in which year. Information about the service being provided should be identified as a prevention, intervention, or cessation service.

**The optional sections include:**

1. Section 3: Student Services

The Student Services Section should provide a description of any services that will be provided directly to students with any remaining funding.

1. Section 4: Family and Community Engagement

The Family and Community Engagement Section should provide a description of any services that will be provided directly to families and/or the community at large with any remaining funding.

1. Section 5: Staff Professional Development

The Staff Professional Development Section should provide a description of any services that will be provided directly to staff with any remaining funding.

**Note:** Sections 2, 6, and 7 do not require any data or narrative entries by applicants and have been disabled in TUPE GEMS.

#### Signatures

An authorized signature from the applicant’s Superintendent or Designee is required prior to funding allocation and should be uploaded into TUPE GEMS. An electronic signature is allowed.

A signature represents a certification that all of the forms and materials submitted through this RFA have been reviewed and approved by the Superintendent or Designee, and that all grant requirements will be met as stated pursuant to *HSC* Section 104420(n)(2).

A Designee may provide the authorized signature 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 uploaded into TUPE GEMS along with the application materials.

All grantees are required to retain copies of signed documents for their records and for audit purposes. Please visit the CDE General Assurances and Certifications web page at <https://www.cde.ca.gov/fg/fo/fm/ff.asp> for more information.

### Project Budget

The applicant should provide a general Budget Summary for the entire three-year grant period. The budget must align with the proposed program deliverables as described in the application narratives. The CDE will review all proposed budget items for clarity, reasonableness, and purpose. **Prior to funding, the CDE will screen for allowable and non-allowable costs and may reduce the total amount allocated through this grant.**

### Reading and Scoring the Applications

#### Scoring Form and Rubric

The Scoring Form and Rubric (see Appendix 1) provides the rubric categories that will be evaluated by readers based on the quality of the response and the justification provided for each question in the category. Applications will generally score well if they provide: (1) accurate information on each of the data forms, and (2) thorough and concise details in the narrative sections. Applicants are encouraged to review the Scoring Form and Rubric as they develop their applications.

The optional Sections (Section 3: Student Services, Section 4: Family and Community Engagement, and Section 5: Staff Professional Development) will not be scored since not all applicants will be proposing optional services.

#### Good Standing

Currently funded TUPE grantees applying for a Tier 1, Cohort Q Grant must be in Good Standing with all existing TUPE grants. Good Standing for TUPE grantees signifies that all of the following conditions having been met for each COE, school district, direct-funded charter school, and participating school sites included in the application:

* All program reports for the prior year’s grants (2019–20) have been submitted by the reporting deadline and have been found by the CDE to be substantially approvable.
* All fiscal reports for the prior year’s grants (2019–20) have been submitted by the reporting deadline and have been found by the CDE to be substantially approvable.

A grantee loses their Good Standing status when an “incident” occurs, meaning the late or non-submission of a program or fiscal report as identified above. The CDE will review the number of incidents that occurred for a grantee during FY 2019–20. Grants prior to FY 2019–20 will not be evaluated.

The CDE will make the Good Standing determination for each submitted application independent of the reader review and scoring process. Once the readers have determined their scores and they are averaged together to reach a final score, the CDE will add points to the application based on the following Good Standing Range:

* 0 incidents = 4 points
* 1 incident = 3 points
* 2 incidents = 2 points
* 3 incidents = 1 point
* 4 or more incidents = 0 points

New applicants applying for TUPE funds are considered in Good Standing and will receive the maximum amount of four points. All applicants are expected to remain in Good Standing throughout the duration of all future grant terms, regardless of grant type.

**Note:** Future incidents will impact future grant application scores regardless of grant type.

#### Review and Scoring Process

The review and scoring process will be conducted through TUPE GEMS. The review process will consist of: (1) the initial CDE screening, (2) reader review and online scoring of the narratives, and (3) Geographic Funding Determination.

* + - 1. **CDE Screening.** Each application will first be screened by the CDE to ensure that all technical requirements are met as required in this RFA. Each application successfully passing the initial CDE screening process will next move on to the reader review and online scoring of applications.
      2. **Reader Review and Online Scoring.** Each application will be read independently and scored online through TUPE GEMS by two independent readers. Readers will be asked to evaluate the application to determine the extent to which the application meets the categories identified in the Scoring Form and Rubric. Each section of the rubric will be scored as Outstanding (4 points), Complete (3 points), Sufficient (2 points), Developing (1 point), or Weak (0 points).

If the independent readers agree that the application provides a concise description of a quality program (scoring either Outstanding, Complete, or Sufficient), then the application will move forward in the review process for funding consideration. The scores of both readers will be added together and averaged to obtain the application’s final score.

In the case where readers have widely divergent scores, they will have an opportunity to discuss the application and re-score. If the readers are still unable to reach consensus, the application will be assigned to a third reader. The score from the third reader will be paired with the closest score from the original readers and then averaged to obtain the application’s final score. The CDE will then add Good Standing points to determine an application’s final score.

**Note:** Individual reviewer comments will not be provided to applicants. In addition, the professional judgment of the application reviewers will not be considered on appeal.

1. **Geographic Funding Determination.** Applications will be ranked from highest to lowest score in each of the six geographic funding categories (as identified by the applicant in Section 1: General Information), and funded accordingly until all funds are exhausted. In the case of a tie score within a geographic funding category, good standing points will serve as the tie breaker.

Upon successful completion of the review and scoring process, the CDE will post an ITA Funding List on the CDE TUPE Funding Results web page at <https://www.cde.ca.gov/ls/he/at/tupefunding.asp>.

### Appeals Process

Applicants who wish to appeal the CDE Intent to Award list must submit a letter of appeal through TUPE GEMS within 10 days of the CDE’s notification of the ITA. The letter of appeal must be submitted on the applicant agency’s letterhead and have an original “wet” signature in blue ink from the Superintendent or the Designee. Once signed, the letter of appeal must be uploaded to TUPE GEMS with the originally signed letter mailed to the CDE. Late or emailed letters of appeal will not be accepted.

**Note:** The CDE does not accept signature stamps or e-signatures from the Superintendent or Designee for the appeal letter. Appeals not submitted through TUPE GEMS will not be considered.

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. Comments will not be requested of, or provided by the readers.

The letter of appeal shall include the following:

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.
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.

### Application Submission Elements

#### Intent to Submit an Application

Prospective applicants are required to indicate their Intent to Submit an Application in TUPE GEMS no later than **March 12, 2021, at 3 p.m.** Late mailed, or emailed ITS Forms will not be accepted. The ITS serves as a placeholder indicating an agency’s intent to submit a complete application by the final due date; however, submission of the ITS Form does not obligate the agency to submit a complete application.

Failure to upload the completed ITS Form by the due date and time will result in disqualification of the application from the reading and scoring process. An email confirmation of receipt of the ITS Form will be sent to the contact person identified through TUPE GEMS.

#### Complete Application

A full and complete TUPE Tier 1, Cohort Q Grant application and required forms must be uploaded into TUPE GEMS no later than **April 2, 2021, at 3 p.m.** Late mailed, or emailed applications will not be accepted.

An authorized signature from the Superintendent or Designee is required. A Designee may provide the authorized signature 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 uploaded with the application materials. In the absence of an authorized signature or board resolution, the applicant will be disqualified. An electronic signature is acceptable for the Superintendent or Designee.

**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.

#### Upload Instructions for the Tobacco-Use Prevention Education Grant Electronic Management System

Applicants may access TUPE GEMS at <https://tupegems.ucsd.edu/>.

### Appendix 1: Scoring Form and Rubric

| **Rubric Category** | **Maximum Points** |
| --- | --- |
| Tobacco-Free Policy Development and Implementation | 16 |
| Project Monitoring and Evaluation (California Healthy Kids Survey [CHKS]) | 8 |
| Program Administration and Staffing | 2 |
| **Total** | **26** |

Each of the rubric categories that are required for this RFA will be evaluated by the readers based on the quality of the responses and the justification provided for each question. Optional sections are not included as part of the Scoring Form and Rubric and therefore will not be evaluated. Scores may range from Outstanding (4 points), Complete (3 points), Sufficient (2 points), Developing (1 point), or Weak (0 points), and are based on the following defining 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. The information does not provide any understanding of the applicant’s intent, provides limited program information, or does not support the intent of the program.

| **Tobacco-Free Policy Development and Implementation** | **Outstanding** | **Complete** | **Sufficient** | **Developing** | **Weak** |
| --- | --- | --- | --- | --- | --- |
| To what extent does the information provided demonstrate that the applicant will comply with the Tobacco-Free Policy Certification requirement? | **4** | **3** | **2** | **1** | **0** |
| To what extent does the applicant describe the protocols that are in place for addressing tobacco violations at the school(s)? | **4** | **3** | **2** | **1** | **0** |
| To what extent are the actions proposed for the communication to staff, students, family, and community adequate? | **4** | **3** | **2** | **1** | **0** |
| To what extent are the actions proposed to ensure effective policy implementation at school sites and school sponsored events adequate? | **4** | **3** | **2** | **1** | **0** |
| **Total** |  |  |  |  |  |

| **Project Monitoring and Evaluation (California Healthy Kids Survey Section Only)** | **Outstanding** | **Complete** | **Sufficient** | **Developing** | **Weak** |
| --- | --- | --- | --- | --- | --- |
| To what extent does the applicant specifically identify a local tracking mechanism to monitor the CHKS administration by participating school districts? | **4** | **3** | **2** | **1** | **0** |
| To what extent does the applicant provide a CHKS compliance monitoring process to ensure schools are complying? | **4** | **3** | **2** | **1** | **0** |
| **Total** |  |  |  |  |  |

| **Program Administration and Staffing** | **Outstanding** | **Complete** | **Sufficient** | **Developing** | **Weak** |
| --- | --- | --- | --- | --- | --- |
| To what extent are the number of administrative and direct services staff identified reasonable for the proposed project? Is the indirect charge consisted with the CDE-approved rate? | **N/A** | **N/A** | **2** | **1** | **0** |
| **Total** |  |  |  |  |  |