



KAREN L. SMITH, MD, MPH
Director and State Health Officer

State of California—Health and Human Services Agency
California Department of Public Health



EDMUND G. BROWN JR.
Governor

August 17, 2016

TO: LOCAL LEAD AGENCY (LLA) PROJECT DIRECTORS
TOBACCO CONTROL EDUCATION PROGRAMS

FROM: FINANCIAL AND BUSINESS OPERATIONS SECTION
CALIFORNIA TOBACCO CONTROL PROGRAM (CTCP)

SUBJECT: PROGRAM LETTER 16-01
LLA ALLOCATION AGREEMENT
FUNDING PERIOD: JULY 1, 2016 THROUGH JUNE 30, 2017

Purpose Release the *Acceptance of Allocation Agreement* for Fiscal Year (FY) 2016-2017

Effective Date Immediately

Inclusions

1. *Acceptance of Allocation Agreement*
Funding Period: July 1, 2016 through June 30, 2017
2. Updated LLA Allocation Table for FYs 2013-2017 (Dated June 15, 2016)

Required Action

1. Please print, sign, and date the *Acceptance of Allocation Agreement* for FY 2016-2017. The signature, on the *Acceptance of Allocation Agreement*, **must** match the official Agency Signatory identified in CTCP's Online Tobacco Information System (OTIS).
2. Return the *Acceptance of Allocation Agreement* for FY 2016-2017, bearing an original signature, to your assigned CTCP Procurement Manager (PM) at the following address:

USPS Mailing Address:

Attention: Angela Wright
California Department of Public Health
CDIC/California Tobacco Control Program
MS 7206
P. O. Box 997377
Sacramento, CA 95899-7377



Why The Agreement Is Needed

Signing the *Acceptance of Allocation Agreement* serves as acceptance of the allocation for FY 2016-2017 and acknowledges the conditions attached to the funds. The California Department of Public Health (CDPH) does not require a Board of Supervisors Resolution for allocation agreements.

Please be advised, Prospective Payment Invoices (PPIs) cannot be processed for payment until CTCP receives the *Acceptance of Allocation Agreement* for FY 2016-2017, from your city/county, bearing the original signature of the official Agency Signatory identified in OTIS.

Budget Information

The amount identified on the *Acceptance of Allocation Agreement* for FY 2016-2017 is based on the updated LLA Allocation Table for the FY 2013-2017 plan period.

Additional Information

During the plan period, LLA Project Directors will receive feedback from CTCP's:

- PMs who analyze spending patterns.
- Program Consultants (PCs) who monitor the progress reports and associated percent deliverables to ensure adequate progress is being made toward completion of the Comprehensive Tobacco Control Plan for FYs 2013-2017.

If it appears LLAs are not spending the allocations according to the negotiated budget/budget justification in a timely manner and/or are not making sufficient progress on plan activities, CTCP may withhold future PPIs.

The Comprehensive Tobacco Control Plan for FYs 2013-2017 and the Allocation Agreement will end on June 30, 2017. Any remaining balances must be returned to the CDPH Cigarette and Tobacco Surtax Fund.

Contact Person For Further Information

If you have any questions; please contact your assigned CTCP PM.

cc: Lorilei Ruddell, Fiscal Officer
Dr. Andrew Deckert, Health Officer
CHEAC Members
Michelle Gibbons
Leah Northrop

ACCEPTANCE OF ALLOCATION AGREEMENT

County of Shasta

Agreement Number: CTCP 13-45

Agreement Amount: \$150,000

FUNDING PERIOD: July 1, 2016 through June 30, 2017

I certify that this Tobacco Control Program will comply with all applicable policies, procedures, and legal requirements as described in the Comprehensive Tobacco Control Plan Guidelines including: the Allocation Agreement Terms; Local Lead Agency Administrative and Policy Manual; and, any statutes, program letters, and other conditions stipulated by the California Tobacco Control Program.



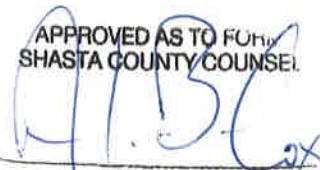
Authorized Signature

8-25-16

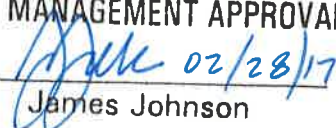
Date



Printed Name and Title

APPROVED AS TO FORM
SHASTA COUNTY COUNSEL


Alan B. Cox
Deputy County Counsel

RISK MANAGEMENT APPROVAL
BY: 
James Johnson
Risk Management Analyst

California Tobacco Control Program

Local Lead Agency Allocation Table

LLA Allocation Funding for

FY's 13/14 (Bridge), 14/15, 15/16, and 16/17

LOCAL LEAD AGENCY	AGREEMENT NUMBER	\$12,001,000 FY 13/14 ALLOCATION Budget Act	\$11,062,000 FY 14/15 ALLOCATION Budget Act	\$11,500,000 FY 15/16 ALLOCATION Budget Act	\$10,617,717 FY 16/17 ALLOCATION Projected	\$2,300,283 FY 16/17 ALLOCATION Adjustment +/-	\$12,918,000 FY 16/17 ALLOCATION Budget Act	TOTAL CONTRACT
Alameda	CTCP-13-01	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Berkeley	CTCP-13-01A	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Alpine	CTCP-13-02	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Amador	CTCP-13-03	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Butte	CTCP-13-04	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Calaveras	CTCP-13-05	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Colusa	CTCP-13-06	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Contra Costa	CTCP-13-07	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Del Norte	CTCP-13-08	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
El Dorado	CTCP-13-09	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Fresno	CTCP-13-10	\$150,000	\$150,000	\$150,000	\$150,000	\$34,674	\$184,674	\$634,674
Glenn	CTCP-13-11	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Humboldt	CTCP-13-12	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Imperial	CTCP-13-13	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Inyo	CTCP-13-14	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Kern	CTCP-13-15	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Kings	CTCP-13-16	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Lake	CTCP-13-17	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Lassen	CTCP-13-18	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Los Angeles	CTCP-13-19	\$2,209,833	\$1,678,664	\$1,941,654	\$1,381,875	\$1,280,520	\$2,712,395	\$9,542,394
Pasadena	CTCP-13-19B	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Long Beach	CTCP-13-19A	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Madera	CTCP-13-20	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Marin	CTCP-13-21	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Mariposa	CTCP-13-22	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Mendocino	CTCP-13-23	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Merced (CHC)	CTCP-13-24/ 13-10095	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Modoc	CTCP-13-25	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Mono	CTCP-13-26	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Monterey	CTCP-13-27	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Napa	CTCP-13-28	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Nevada	CTCP-13-29	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Orange	CTCP-13-30	\$294,374	\$232,938	\$262,945	\$197,276	\$156,064	\$353,340	\$1,142,737
Placer	CTCP-13-31	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Plumas	CTCP-13-32	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Riverside	CTCP-13-33	\$182,347	\$150,000	\$150,000	\$150,000	\$83,372	\$233,372	\$701,219
Sacramento	CTCP-13-34	\$188,614	\$150,000	\$150,000	\$150,000	\$76,395	\$226,395	\$715,000
San Benito	CTCP-13-35	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
San Bernardino (CHC)	CTCP-13-36/ 14-10406	\$217,546	\$150,000	\$194,312	\$150,000	\$111,123	\$261,123	\$922,982
San Diego	CTCP-13-37	\$343,531	\$270,394	\$308,997	\$230,253	\$182,151	\$412,404	\$1,232,756
San Francisco	CTCP-13-38	\$308,738	\$243,452	\$275,410	\$208,328	\$163,705	\$370,841	\$1,198,631
San Joaquin	CTCP-13-39	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
San Luis Obispo	CTCP-13-40	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
San Mateo	CTCP-13-41	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Santa Barbara	CTCP-13-42	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Santa Clara	CTCP-13-43	\$269,492	\$236,912	\$268,461	\$201,277	\$159,367	\$360,644	\$1,166,439
Santa Cruz	CTCP-13-44	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Shasta	CTCP-13-45	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Sierra	CTCP-13-46	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Siakiyou	CTCP-13-47	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Solano	CTCP-13-48	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Sonoma	CTCP-13-49	\$155,575	\$150,000	\$150,000	\$150,000	\$17,472	\$167,472	\$623,947
Stanislaus	CTCP-13-50	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Sutter	CTCP-13-51	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Tahama	CTCP-13-52	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Trinity	CTCP-13-53	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Tulare	CTCP-13-54	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Tuolumne	CTCP-13-55	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Ventura	CTCP-13-56	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Yelo	CTCP-13-57	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
Yuba	CTCP-13-58	\$150,000	\$150,000	\$150,000	\$150,000	\$0	\$150,000	\$600,000
TOTALS		\$12,001,000	\$11,062,000	\$11,500,000	\$10,617,717	\$2,300,283	\$12,918,000	\$47,481,000



KAREN L. SMITH, MD, MPH
Director and State Health Officer

State of California—Health and Human Services Agency
California Department of Public Health



EDMUND G. BROWN JR.
Governor

August 17, 2016

TO: LOCAL LEAD AGENCY (LLA) PROJECT DIRECTORS
TOBACCO CONTROL EDUCATION PROGRAMS

FROM: FINANCIAL AND BUSINESS OPERATIONS SECTION
CALIFORNIA TOBACCO CONTROL PROGRAM (CTCP)

SUBJECT: PROGRAM LETTER 16-02
PROSPECTIVE PAYMENT INVOICES (PPI) for the FIRST AND SECOND
QUARTERS
FUNDING PERIOD: JULY 1, 2016 THROUGH JUNE 30, 2017

Purpose

Release the:

1. First quarter PPI (07/01/16 to 09/30/16)
2. Second quarter PPI (10/01/16 to 12/31/16)

Effective Date

Immediately

Inclusions

1. PPI for Prospective Payment Period: 07/01/16 to 09/30/16
2. PPI for Prospective Payment Period: 10/01/16 to 12/31/16

Required Action

Ensure the PPIs are (1) printed, (2) signed (by an authorized representative); and (3) dated. Return the PPIs, bearing original signatures, to your assigned CTCP Procurement Manager (PM), at the following address:

USPS Mailing Address:

Attention: Angela Wright
California Department of Public Health
CDIC/California Tobacco Control Program
MS 7206
P. O. Box 997377
Sacramento, CA 95899-7377



LLA Project Director
Page 2
August 17, 2016

**Additional
Information**

Please be aware, the processing of your first and second quarter PPIs may be delayed and/or withheld, if there are significant concerns about your comprehensive tobacco control plan for fiscal years (FY) 2014-2017 (Phase II). Significant concerns such as disapproved progress reports, unmet deliverables, and/or unspent funds will be addressed in a separate communication.

As a reminder, per the 2013-2017 Local Lead Agency Allocation Agreement Terms and Conditions, Exhibit B, paragraph 7.A., Trust Account and Expenditure Provisions: The annual allocation to the LLA shall be deposited into an interest-bearing, insured trust account.

**Contact Person
For Further
Information**

Your assigned CTCP PM.

PROSPECTIVE PAYMENT INVOICE

Complete in Duplicate. Original to State. Agency retain one copy.

1. **Shasta County Treasurer**
P.O. Box 1859
Sacramento, CA 95812-1859
2. **Agreement Number: CTCP 13-45**
3. **Prospective Payment Period: 07/01/16 to 09/30/16**
4. **Amount to be Paid: \$37,500**

I certify that this prospective allocation will be used in accordance with this local lead agency's (LLA's) approved local plan and budget/budget justification contained in the local plan; and that expenditures will be supportable by proper documentation; and will be used only to pay for expenditures not previously reimbursed under the agreement; and is in compliance with all terms/conditions, laws, and regulations governing its payment.

8/25/16

Date

Levin Field Foster

Signature of LLA Representative

Shasta Co. Public Health Director

Title

FOR STATE USE ONLY

Amount to be paid from
FY 2016-17 allocation
\$37,500

Invoice No.: **PPI-F16-Q1**

Vendor No.: **0000009262-45**

Fiscal Year	Index				PCA1					Object Code			
1	6	5	3	4	5	5	1	2	0	1	7	4	1

I certify that this claim is in all respects true, correct, supportable by available documentation, and in compliance with all terms/conditions, laws and regulations governing its payment.

Date

Signature of CTCP Representative

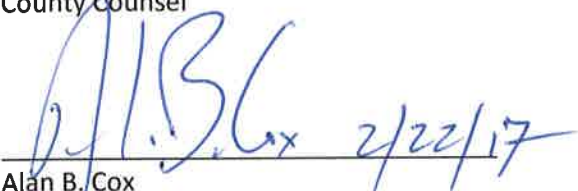
Agreement Number: CTCP 13-45

Prospective Payment Period: 07/01/16 to 09/30/16

Amount to be Paid: \$37,500

APPROVED AS TO FORM:

Rubin E. Cruse, Jr.
County Counsel



Alan B. Cox
Deputy County Counsel III

RISK MANAGEMENT APPROVAL



James Johnson
Risk Management Analyst II

PROSPECTIVE PAYMENT INVOICE

Complete in Duplicate. Original to State. Agency retain one copy.

1. **Shasta County Treasurer**
P.O. Box 1859
Sacramento, CA 95812-1859
2. **Agreement Number: CTCP 13-45**
3. **Prospective Payment Period: 10/01/16 to 12/31/16**
4. **Amount to be Paid: \$37,500**

I certify that this prospective allocation will be used in accordance with this local lead agency's (LLA's) approved local plan and budget/budget justification contained in the local plan; and that expenditures will be supportable by proper documentation; and will be used only to pay for expenditures not previously reimbursed under the agreement; and is in compliance with all terms/conditions, laws, and regulations governing its payment.

Date

8/25/16

Signature of LLA Representative

Shasta Co. Public Health Director

Title

FOR STATE USE ONLY

Amount to be paid from
FY 2016-17 allocation
\$37,500

Invoice No.: **PPI-F16-Q2**

Vendor No.: **0000009262-45**

Fiscal Year		Index				PCA1					Object Code		
1	6	5	3	4	5	5	1	2	0	1	7	4	1

I certify that this claim is in all respects true, correct, supportable by available documentation, and in compliance with all terms/conditions, laws and regulations governing its payment.

Date

Signature of CTCP Representative

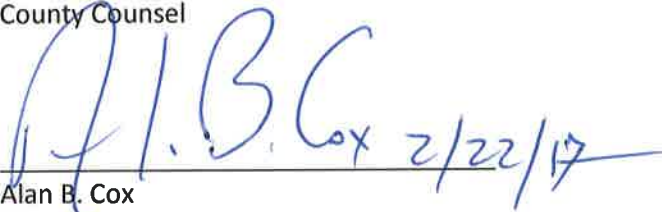
Agreement Number: CTCP 13-45

Prospective Payment Period: 10/01/16 to 12/31/16

Amount to be Paid: \$37,500

APPROVED AS TO FORM:

Rubin E. Cruse, Jr.
County Counsel



Alan B. Cox
Deputy County Counsel III

RISK MANAGEMENT APPROVAL



James Johnson
Risk Management Analyst II



KAREN L. SMITH, MD, MPH
Director and State Public Health Officer

State of California—Health and Human Services Agency
California Department of Public Health



EDMUND G. BROWN JR.
Governor

Date: November 09, 2016

TO: LOCAL LEAD AGENCY (LLA) PROJECT DIRECTORS
TOBACCO CONTROL EDUCATION PROGRAMS

FROM: FINANCIAL AND BUSINESS OPERATIONS SECTION
CALIFORNIA TOBACCO CONTROL PROGRAM (CTCP)

SUBJECT: PROSPECTIVE PAYMENT INVOICE (PPI): THIRD QUARTER
FUNDING PERIOD: JULY 1, 2016 THROUGH JUNE 30, 2017

Purpose Release the third quarter PPI
Payment Period: 01/01/17 to 03/31/17

Effective Date Immediately

Inclusion PPI for Payment Period: 01/01/17 to 03/31/17

Required Action Ensure the PPI is: (1) printed; (2) signed (by an authorized representative); and (3) dated. Return the PPI, bearing an original signature, to your assigned CTCP Procurement Manager (PM), at the following address:

USPS Mailing Address:

Attention: Angela Wright
California Department of Public Health
CDIC/California Tobacco Control Program
MS 7206
P. O. Box 997377
Sacramento, CA 95899-7377



**Additional
Information**

Please be aware, the processing of your third quarter PPI may be delayed and/or withheld, if there are significant concerns about your comprehensive tobacco control plan for fiscal years (FY) 2014-2017 (Phase II). Significant concerns such as disapproved progress reports, unmet deliverables, and/or unspent funds will be addressed in a separate communication.

As a reminder, per the 2013-2017 Local Lead Agency Allocation Agreement Terms and Conditions, Exhibit B, paragraph 7.A., Trust Account and Expenditure Provisions: The annual allocation to the LLA shall be deposited into an interest-bearing, insured trust account.

**Contact Person
For Further
Information**

Your assigned PM.

PROSPECTIVE PAYMENT INVOICE

Complete in Duplicate. Original to State. Agency retain one copy.

1. **Shasta County Treasurer**
P.O. Box 1859
Sacramento, CA 95812-1859
2. Agreement Number: **CTCP-13-45**
3. Propective Payment Period: **01/01/17 to 03/31/17**
4. Amount to be Paid: **\$37,500**

I certify that this prospective allocation will be used in accordance with this local lead agency's (LLA's) approved local plan and budget/budget justification contained in the local plan; and that expenditures will be supportable by proper documentation; and will be used only to pay for expenditures not previously reimbursed under the agreement; and is in compliance with all terms/conditions, laws, and regulations governing its payment.

Date

Signature of LLA Representative

Title

FOR STATE USE ONLY

Amount to be paid from
FY 2016-17 allocation
\$37,500

Invoice No.: **PPI-F16-Q3**

Vendor No.: **0000009262-45**

Fiscal Year		Index				PCA1					Object Code		
1	6	5	3	4	5	5	1	2	0	1	7	4	1

I certify that this claim is in all respects true, correct, supportable by available documentation, and in compliance with all terms/conditions, laws and regulations governing its payment.

Date

Signature of CTCP Representative

Agreement Number: CTCP 13-45

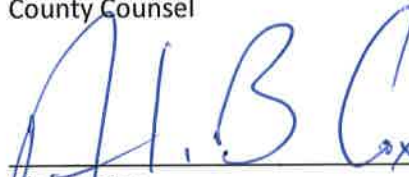
Prospective Payment Period: 01/01/17 to 03/31/2017

Amount to be Paid: \$37,500

APPROVED AS TO FORM:

Rubin E. Cruse, Jr.

County Counsel




Alan B. Cox

Deputy County Counsel III

2/22/17

RISK MANAGEMENT APPROVAL



James Johnson

Risk Management Analyst II



State of California—Health and Human Services Agency
California Department of Public Health

KAREN L. SMITH, MD, MPH
Director and State Public Health Officer



EDMUND G. BROWN JR.
Governor

DATE: February 16, 2017

TO: LOCAL LEAD AGENCY (LLA) PROJECT DIRECTORS
TOBACCO CONTROL EDUCATION PROGRAMS

FROM: FINANCIAL AND BUSINESS OPERATIONS SECTION
CALIFORNIA TOBACCO CONTROL PROGRAM (CTCP)

SUBJECT: PROSPECTIVE PAYMENT INVOICE (PPI): FOURTH QUARTER
FUNDING PERIOD: JULY 1, 2016 THROUGH JUNE 30, 2017

Purpose Release the fourth quarter PPI
Payment Period: 04/01/17 to 06/30/17

Effective Date Immediately

Inclusion PPI for Payment Period: 04/01/17 to 06/30/17

Required Action Ensure the PPI is: (1) printed; (2) signed (by an authorized representative); and (3) dated. Return the PPI, bearing an original signature, to your assigned CTCP Procurement Manager (PM), at the following address:

USPS Mailing Address:

Attention: Angela Wright
California Department of Public Health
CDIC/California Tobacco Control Program
MS 7206
P. O. Box 997377
Sacramento, CA 95899-7377



**Additional
Information**

Please be aware, the processing of your fourth quarter PPI may be delayed and/or withheld, if there are significant concerns about your comprehensive tobacco control plan for fiscal years (FY) 2014-2017 (Phase II). Significant concerns such as disapproved progress reports, unmet deliverables, and/or unspent funds will be addressed in a separate communication.

As a reminder, per the 2013-2017 Local Lead Agency Allocation Agreement Terms and Conditions, Exhibit B, paragraph 7.A., Trust Account and Expenditure Provisions: The annual allocation to the LLA shall be deposited into an interest-bearing, insured trust account.

**Contact Person
For Further
Information**

Your assigned PM.

PROSPECTIVE PAYMENT INVOICE*Complete in Duplicate. Original to State. Agency retain one copy.*

1. Shasta County Treasurer
P. O. Box 1859
Sacramento, CA 95812-1859
2. Agreement Number: CTCP-13-45
3. Prospective Payment Period: **04/01/17 to 06/30/17**
4. Amount to be Paid: **\$37,500.00**

I certify that this prospective allocation will be used in accordance with this local lead agency's (LLA's) approved local plan and budget/budget justification contained in the local plan; and that expenditures will be supportable by proper documentation; and will be used only to pay for expenditures not previously reimbursed under the agreement; and is in compliance with all terms/conditions, laws, and regulations governing its payment.

Date_____
Signature of LLA Representative_____
Title

FOR STATE USE ONLY

Amount to be paid from
FY 2016-17 allocation
\$37,500.00

Invoice No.: **PPI-F16-Q4**Vendor No.: **0000009262-45**

Fiscal Year		Index				PCA1					Object Code		
1	6	5	3	4	5	5	1	2	0	1	7	4	1

I certify that this claim is in all respects true, correct, supportable by available documentation, and in compliance with all terms/conditions, laws and regulations governing its payment.

Date_____
Signature of CTCP Representative

Agreement Number: CTCP-13-45

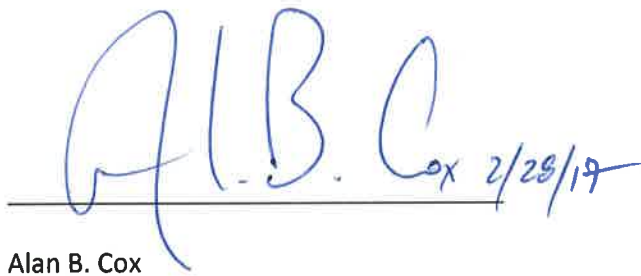
Prospective Payment Period: **04/01/17 to 06/30/17**

Amount to be Paid: **\$37,500.00**

APPROVED AS TO FORM:

Rubin E. Cruse, Jr.

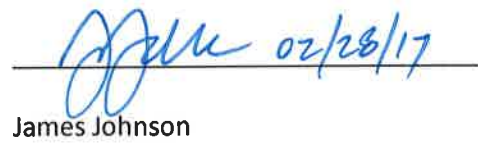
County Counsel



Alan B. Cox

Deputy County Counsel III

RISK MANAGEMENT APPROVAL



James Johnson

Risk Management Analyst II

**2013-2017 LOCAL LEAD AGENCY
ALLOCATION AGREEMENT TERMS**

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Exhibit A
Scope of Work

1. Service Overview

- A. The Local Lead Agency (LLA) shall provide tobacco education services and deliverables in accordance with its Comprehensive Tobacco Control Plan (Plan), including any revisions submitted to and approved by the California Department of Public Health (CDPH), California Tobacco Control Program (CTCP) pursuant to Health and Safety Code Section 104375, 104380, 104400, 104405 through 104415. The Plan shall be submitted in accordance to the form and format determined by the CDPH. The LLA agrees to expend funds received through this agreement in accordance with the approved budget and budget justification contained in the approved Plan. The LLA also agrees that the allocation of funds pursuant to this agreement is contingent upon the CDPH' approval of the Plan and any revisions thereto. No funds shall be allocated under Provision 5.A. of Exhibit B, in any given fiscal year unless a revised Plan has been approved by the CDPH for that fiscal year.
- B. Revisions to the Plan must be approved by the CDPH. The CDPH shall notify the LLA in writing of the effective date of such approvals.
- C. The CDPH shall work with the LLA to ensure that the Plan is being performed pursuant to this agreement, and reserves the right to approve and adjust specific tasks to be performed within the Plan to be performed by the LLA. These changes shall be accomplished by written notification to the LLA.

2. Communications/Project Director

A. Communications

The LLA shall send prospective payment invoices, progress reports, cost reports, and other communication to:

California Department of Public Health
CDIC/California Tobacco Control Program
Mail Station 7206
P. O. Box 997377
Sacramento, CA 95899-7377

B. Project Director

The LLA shall designate a Project Director, subject to approval by the CDPH. The Project Director is responsible for assuring that the terms and conditions of the agreement are met. The LLA shall notify the CDPH in a form and format prescribed by the CDPH within five (5) days of a change in the Project Director.

3. Progress and Cost Reports, Evaluation Instruments, and Other Requirements

- A. The LLA agrees to submit semi-annual progress and cost reports. The cost reports will specify actual expenditures for tobacco education services provided by the LLA. The progress and cost reports shall be submitted in a form, format, and schedule prescribed

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by the CDPH. The LLA agrees that subsequent quarterly prospective payments shall be contingent upon the CDPH's receipt and approval of progress and cost reports. The LLA agrees that if the CDPH determines that all or a portion of the allocated funds have been expended inappropriately during the period covered by the progress or cost report, in accordance with the services identified in the LLA's approved Plan, the CDPH may offset the value of the inappropriate expenditures against current and/or future quarterly prospective payments. The LLA agrees that such deductions to sums due to the LLA are offsets and no further amount shall be due to the LLA.

- B. The LLA shall complete the CDPH standardized evaluation instruments, needs assessment instruments, and other evaluation requirements in a form and format prescribed by the CDPH.
- C. The LLA shall comply with the LLA Administrative and Policy Manual and all the CDPH-issued program and policy letters which may be issued during the term of the agreement provided that the CDPH shall only make changes or impose additional requirements which will not result in additional cost to the LLA.
- D. The LLA shall coordinate and collaborate with the CDPH or its designee to maximize the tobacco education media/communication efforts, as directed by the CDPH.

4. Project Monitoring

- A. The CDPH and all authorized State control agencies shall have access to all internal and external reports, records, and documents used by the LLA in the operation and administration of this agreement.
- B. The LLA shall cooperate, and require its subcontractors to cooperate, with the CDPH or its designee by participating in meetings and/or site visits as the CDPH may deem necessary to monitor LLA compliance with the agreement.

Exhibit B
Budget Detail and Payment Provisions

1. Term of the Agreement

The term of this agreement shall be from July 1, 2013 to June 30, 2014.

2. Invoicing and Payment

- A. The CDPH shall make quarterly prospective payments to the LLA to provide services and deliverables pursuant to Exhibit A, paragraph 1.A.
- B. The CDPH will provide the quarterly prospective payment invoice to the LLA. The LLA is to sign the invoice and submit to:

California Department of Public Health
CDIC/California Tobacco Control Program
MS 7206
P.O. Box 997377
Sacramento, CA 95899-7377

- C. Invoices submitted by the LLA and paid by the CDPH, shall not be deemed evidence of allowable agreement costs. Costs and/or expenses deemed unallowable are subject to provision 8 entitled, "Recovery of Overpayments" that appears in this exhibit.
- D. The LLA agrees to submit semi-annual progress and cost reports. The cost reports will specify actual expenditures for tobacco education services provided by the LLA. The progress and cost reports shall be submitted in a form, format, and schedule prescribed by the CDPH. The LLA agrees that subsequent quarterly prospective payments shall be contingent upon the CDPH's receipt and approval of progress and cost reports. The LLA agrees that if the CDPH determines that all or a portion of the allocated funds have been expended inappropriately during the period covered by the progress or cost report, in accordance with the services identified in the LLA's approved Plan, the CDPH may offset the value of the inappropriate expenditures against current and/or future quarterly prospective payments. The LLA agrees that such deductions to sums due to the LLA are offsets and no further amount shall be due to the LLA.
- E.. The CDPH total reimbursement via cost reports for each line item identified in the budget is the maximum amount reimbursable for that line item during the agreement term. The CDPH, at its option, may return disputed cost reports to the LLA for correction and resubmission or the CDPH may disallow expenses claimed which are not in accordance with the SOW, the budget or which cannot be verified as project expenses by the LLA.

3. Funding or Funding Reduction in Subsequent Fiscal Years

- A. Funds are presently not available for performance under this agreement beyond June 30, 2014. The CDPH's obligation for performance of this agreement beyond that date is contingent upon the availability of appropriated funds by the Legislature from which payment for this agreement can be made. No legal liability on the part of the CDPH for any payment may arise for performance under this agreement beyond June 30, 2014 until funds are made available to the CDPH for performance and until the LLA receives notice of availability, to be confirmed in writing by the CDPH.

Exhibit B
Budget Detail and Payment Provisions

- B. If funding for any fiscal year is reduced or deleted by the Legislature or the Department of Finance for purposes of this program, the CDPH shall have the option to either:
- 1) Terminate this agreement pursuant to provision 3 of Exhibit C, the 30-day termination clause.
 - 2) Offer a revision to the LLA to reflect the reduced funding for this agreement.
- C. If statutory authority for programs funded under Health and Safety Code Section 104350 expires, or this agreement is terminated, the unexpended agreement funds and accumulated interest pursuant to provision 9 of this exhibit shall be identified in a manner prescribed by the CDPH and returned to the CDPH within ninety (90) days of the expiration date to the address specified in provision 2.B of this exhibit. The words "Unexpended Tobacco Control Program Funds" and the agreement number shall be written on the face of the check or warrant that the LLA has issued to return unexpended funds.

4. Prompt Payment Clause

Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.

5. Amounts Payable

- A. The maximum amount to be allocated under this agreement is reflected in the CDPH 2013-2017 LLA Allocation Table, Appendix: 2013-2017 LLA Allocation Table of the Plan Guidelines.
- B. Funds allocated from each fiscal year may be expended or encumbered without regard to fiscal year pursuant to each year's budget authority.
- C. Any requirement of performance by the CDPH and the LLA for the period subsequent to June 30, 2014 will be dependent upon the availability of future appropriations.

6. Payment for Performance of Deliverables

The LLA understands and agrees that all deliverables as specified in this agreement must be fully and satisfactorily performed in order to receive the maximum amount payable identified in Paragraph 5.A., above. The LLA agrees that if CDPH determines that any deliverable is not performed, only partially performed, or not completed satisfactorily, CDPH may reduce the maximum amount payable under this agreement as follows:

- A. Where a deliverable is not performed:

CDPH shall calculate the pro rata share of the nonperformed deliverable by utilizing the percentage values specified in the Scope of Work for each deliverable and reduce the maximum amount payable by deducting the percentage value of the deliverable from any sum due the LLA to the degree that the sum due the LLA meets or exceeds the reduction. If the reduction exceeds the sum due the LLA, the LLA shall pay such amount back to CDPH upon its demand. The LLA agrees that such deductions to sums due to the LLA are offsets and no further amount shall be due to the LLA.

Exhibit B
Budget Detail and Payment Provisions

B. Where a deliverable is only partially performed:

CDPH shall ascertain what percentage of the deliverable was performed. CDPH shall calculate the pro rata share of the partially performed portion by utilizing the percentage values specified in the Scope of Work for each deliverable and reducing the maximum amount payable by deducting the percentage value of the nonperformed portion of the deliverable from any sum due the LLA. If the reduction exceeds the sum due the LLA, the LLA shall pay such amount back to CDPH upon demand. The LLA agrees that such deductions to sums due to the LLA are offsets and no further amount shall be due to the LLA.

C. Where a deliverable is not performed at a level of quality/satisfaction:

CDPH shall determine whether standard deliverable requirements were satisfactorily met in accordance with the activities, timelines and tracking measures as detailed in the scope of work, the terms, conditions and exhibits of this agreement; and "Tell Your Story: Guidelines for Preparing a Complete, High Quality Final Evaluation Report." If requirements are not met, CDPH shall ascertain what percentage of the deliverable was not performed satisfactorily, calculate the pro rata share of that portion by utilizing the percentage values specified in the Scope of Work for each deliverable and reduce the maximum-amount payable by deducting the percentage value of that portion from any sum due the LLA to the degree that the sum due the LLA meets or exceeds the reduction. If the reduction exceeds the sum due the LLA, the LLA shall pay such amount back to CDPH upon demand. The LLA agrees that such deductions to sums due to the LLA are offsets and no further amount shall be due to the LLA.

7. Trust Account and Expenditure Provisions

- A. The annual allocation to the LLA shall be deposited into an interest-bearing, insured trust account.
- B. The annual allocation and any interest earned on the allocation funds from the Tobacco Control Program funds shall be retained in the LLA's Tobacco Control Program trust account and shall be spent only to accomplish the goals and objectives outlined and identified in the approved Plan. The LLA shall not divert these funds to cover costs or expenses not specifically included in the Plan.
- C. The LLA shall not divert, freeze, restrict, or prevent the use of these funds, in whole or in part, for purposes other than conducting the activities described in the approved Plan.

8. Recovery of Overpayments

- A. LLA agrees that cost reports based upon a contractual agreement or an audit finding and/or an audit finding that is appealed and upheld, will be recovered by the CDPH by one of the following options:
 - 1) LLA's remittance to the CDPH of the full amount of the audit exception within 30 days following the CDPH's request for repayment;
 - 2) A repayment schedule which is agreeable to both the CDPH and the LLA.

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Budget Detail and Payment Provisions

- B. The CDPH reserves the right to select which option will be employed and the LLA will be notified by the CDPH in writing of the claim procedure to be utilized.
- C. Interest on the unpaid balance of the audit finding or debt will accrue at a rate equal to the monthly average of the rate received on investments in the Pooled Money Investment Fund commencing on the date that an audit or examination finding is mailed to the LLA, beginning 30 days after LLA's receipt of the CDPH's demand for payment.
- D. If the LLA has filed a valid appeal regarding the report of audit findings, recovery of the overpayments will be deferred until a final administrative decision on the appeal has been reached. If the LLA loses the final administrative appeal, LLA shall repay, to the CDPH, the over-claimed or disallowed expenses, plus accrued interest. Interest accrues from the LLA's first receipt of the CDPH's notice requesting reimbursement of questioned audit costs or disallowed expenses.

9. Interest Earned

- A. Interest accruing from prospective payments shall be utilized by the LLA for activities approved by the CDPH and shall be used only to meet the goals and objectives identified in the LLA's approved Plan, to defray costs incurred by the program, to measurably expand the program, or to improve the quality of services above the level of services already funded under this agreement.
- B. The LLA shall maintain adequate documentation of the receipt and use of such interest, and shall provide this documentation to the CDPH in the biannual Cost Reports. The LLA agrees to return to the CDPH any unexpended interest remaining in the account, if funding authority for this program expires, or the agreement is terminated, to the address specified in provision 2.b above, within ninety (90) days from the expiration date.
- C. The words "Unexpended Tobacco Control Program Interest" and the agreement number shall be written on the face of the check or warrant that the LLA has issued to return unexpended interest.

Exhibit C
Additional Provisions

1. Additional Incorporated Exhibits

The attached Exhibit D(S) entitled "Special Terms and Conditions," consisting of eighteen (18) pages, is incorporated and made a part of this agreement by this reference, except for provisions 1, 2, 3, 4, 9, 13, 15, 19 and 20. The term contractor shall mean Local Lead Agency.

The Local Lead Agency Administrative and Policy Manual and any subsequent updates are incorporated herein and made a part of this agreement by this reference. This manual will be updated periodically. The CDPH shall provide the LLA with a copy of the Local Lead Agency Administrative and Policy Manual and periodic updates thereto.

2. Agreement Alterations

No alteration or variation of the terms of this agreement shall be valid unless made in writing by Program Letter, and no oral understanding or agreement not incorporated herein, shall be binding on any of the parties hereto. This does not prohibit the parties from agreeing in writing to revisions in the LLA's Plan, providing such revisions are made in accordance with the requirements prescribed by the CDPH.

3. Cancellation/Termination

The State may terminate this agreement and be relieved of any payments should the LLA fail to perform the requirements of this agreement at the time and in the manner herein provided. In the event of such termination the State may proceed with the work in any manner deemed proper by the State. All costs to the State shall be deducted from any sum due the LLA under this agreement and the balance, if any, shall be paid to the LLA upon demand.

- A. This agreement may be cancelled by CDPH without cause upon 30 calendar days advance written notice to the LLA.
- B. CDPH reserves the right to cancel or terminate this agreement immediately for cause. The LLA may submit a written request to terminate this agreement only if CDPH substantially fails to perform its responsibilities as provided herein.
- C. The term "for cause" shall mean that the LLA fails to meet the terms, conditions, and/or responsibilities of this agreement. Causes for termination include, but are not limited to, the following occurrences:
 - 1) If the LLA knowingly furnishes any statement, representation, warranty, or certification in connection with the agreement, which representation is materially false, deceptive, incorrect, or incomplete.
 - 2) If the LLA fails to perform any material requirement of this agreement or defaults in performance of this agreement.
 - 3) If the LLA files for bankruptcy, or if CDPH determines that the LLA becomes financially incapable of completing this agreement.

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Additional Provisions

- D. Agreement termination or cancellation shall be effective as of the date indicated in CDPH's notification to the LLA. The notice shall stipulate any final performance, invoicing or payment requirements.
- E. Upon receipt of a notice of termination or cancellation, the LLA shall take immediate steps to stop performance and to cancel or reduce subsequent agreement costs.
- F. In the event of early termination or cancellation, the LLA shall be entitled to compensation for services performed satisfactorily under this agreement and expenses incurred up to the date of cancellation and any non-cancelable obligations incurred in support of this agreement.
- G. In the event of termination, and at the request of CDPH, the LLA shall furnish copies of all proposals, specifications, designs, procedures, layouts, copy, and other materials related to the services or deliverables provided under this agreement, whether finished or in progress on the termination date.
- H. The LLA will not be entitled to reimbursement for any expenses incurred for services and deliverables pursuant to this agreement after the effective date of termination.
- I. Upon receipt of notification of termination of this agreement, and except as otherwise specified by CDPH, the LLA shall:
 - 1) Place no further order or subcontracts for materials, services, or facilities.
 - 2) Settle all outstanding liabilities and all claims arising out of such termination of orders and subcontracts.
 - 3) Upon the effective date of termination of the agreement and the payment by CDPH of all items properly chargeable to CDPH hereunder, LLA shall transfer, assign and make available to CDPH all property and materials belonging to CDPH, all rights and claims to any and all reservations, contracts, and arrangements with owners of media/PR materials, or others, and shall make available to CDPH all written information regarding CDPH's media/PR materials, and no extra compensation is to be paid to LLA for its services.
 - 4) Take such action as may be necessary, or as CDPH may specify, to protect and preserve any property related to this agreement which is in the possession of the LLA and in which CDPH has or may acquire an interest.
- J. CDPH may, at its discretion, require the LLA to cease performance of certain components of the Scope of Work as designated by CDPH and complete performance of other components prior to the termination date of the agreement.

4. Avoidance of Conflicts of Interest by the LLA

- A. CDPH intends to avoid any real or apparent conflict of interest on the part of the LLA, subcontractors, or employees, officers and directors of the LLA or subcontractors. Thus, CDPH reserves the right to determine, at its sole discretion, whether any information,

Exhibit C

Additional Provisions

assertion or claim received from any source indicates the existence of a real or apparent conflict of interest; and, if a conflict is found to exist, to require the LLA to submit additional information or a plan for resolving the conflict, subject to CDPH review and prior approval.

B. Conflicts of interest include, but are not limited to:

- 1) An instance where the LLA or any of its subcontractors, or any employee, officer, or director of the LLA or any subcontractor has an interest, financial or otherwise, whereby the use or disclosure of information obtained while performing services under the agreement would allow for private or personal benefit or for any purpose that is contrary to the goals and objectives of the agreement.
- 2) An instance where the LLA's or any subcontractor's employees, officers, or directors use their positions for purposes that are, or give the appearance of being, motivated by a desire for private gain for themselves or others, such as those with whom they have family, business or other ties.

C. If CDPH is or becomes aware of a known or suspected conflict of interest, the LLA will be given an opportunity to submit additional information or to resolve the conflict. A LLA with a suspected conflict of interest will have five (5) working days from the date of notification of the conflict by CDPH to provide complete information regarding the suspected conflict. If a conflict of interest is determined to exist by CDPH and cannot be resolved to the satisfaction of CDPH, the conflict will be grounds for terminating the agreement. CDPH may, at its discretion upon receipt of a written request from the LLA, authorize an extension of the timeline indicated herein.

5. Intellectual Property Rights

The provisions of paragraph 8 a., Intellectual Property Rights, Ownership, of Exhibit D(S), "Special Terms and Conditions," are supplemented by the following paragraphs.

- A. LLA shall grant to CDPH, as permitted in California Civil Code, Section 982, ownership in any original work of authorship created, provided, or produced under this agreement that is not fixed in any tangible medium of expression.
- B. If the LLA enters into any agreement or subcontract with another party in order to perform this agreement, LLA shall require the subcontractor to grant CDPH ownership in any original work or authorship created, provided, or produced by the subcontractor, LLA or CDPH under this agreement that is not fixed in any tangible medium of expression, as permitted under California Civil Code Section 982.
- C. CDPH, as the sole owner, may use deliverables developed as part of this agreement for future tobacco control efforts.

6. Acknowledgement of State Participation and Helpline Reference

The provisions of paragraph 8.c., Intellectual Property Rights, Copyright, of Exhibit D(S) are supplemented by the following paragraphs.

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- A. The LLA shall acknowledge the financial support of State funds whenever any findings, data, and materials developed pursuant to this agreement are published or whenever the LLA creates a product (e.g., brochure, a film, videotape, manual, book, pamphlet, training guide, poster, curriculum, etc.) pursuant to this agreement, in the following manner: © [current year]. California Department of Public Health. Funded under contract # CTCP 13-XX."
- B. Informational materials including, but not limited to, brochures, pamphlets, posters, curriculum, training guides, etc., that are developed under this agreement, shall include the California Smokers' Helpline toll-free telephone number unless granted a written exemption from such requirement by CDPH.

7. Subcontractor Requirements

- A. As used in this agreement, the term "subcontractor" means any individual or entity that enters into any subcontract with the LLA for performance of any part of this agreement.
- B. The LLA agrees that it is responsible for the performance of all requirements under this agreement even if such performance is carried out by a subcontractor.
- C. For subcontracts (i.e., written agreement between the LLA and a subcontractor), CDPH elects to waive the right of prior review and written approval.
- D. The LLA agrees that all subcontract agreements entered into for performance under this agreement shall be in writing and shall include a provision requiring the subcontractor to comply with the terms and conditions of the LLA's policy and procedure regarding procurement of services performed through a subcontract.
- E. The subcontract documentation is to be retained by the LLA and the CDPH retains the right to request subcontract documentation and any other records or files regarding subcontract and consultant services.
- F. The CDPH assumes no responsibility for the payment of subcontractors used in the performance of the agreement. LLA accepts sole responsibility for the payment of subcontractors used in the performance of this agreement.
- G. The LLA shall notify the CDPH, in the form and format prescribed by the CDPH, when the LLA enters into a new subcontract or consultant agreement or terminates or replaces a subcontract or consultant agreement.

8. Lobbying and Political Activities

- A. The LLA shall not use funds for this agreement to support lobbying activities. Lobbying, for the purposes of this agreement, is defined as any explicit attempt to promote a "yes" or "no" vote on a specific piece of legislation, local ordinance, or ballot measure, through any oral, written, or other form of communication.
- B. The LLA shall not use funds for this agreement to promote any candidate for an elective public office.

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9. Elected Officials

No funds, pursuant to this agreement, shall be used to feature in any manner the image or voice of any elected public official or candidate for elected office, or directly present the views of any elected public official or candidate for elected office.

10. Confidentiality of Information

The provisions of paragraph 10, Confidentiality of Information, in Exhibit D(S), "Special Terms and Conditions," are supplemented by the following paragraphs.

- A. All financial, statistical, personal, technical, and other data and information relating to CDPH operations which are designated confidential by CDPH or developed by the LLA and deemed confidential by CDPH, shall be protected by the LLA from unauthorized use and disclosure, subject to the requirements of State and federal law. If the methods and procedures employed by the LLA for the protection of the LLA's data and information are deemed by CDPH to be adequate for the protection of the confidential information, such methods and procedures may be used to carry out the intent of this paragraph. If the methods and procedures employed by the LLA are deemed by CDPH to be inadequate, CDPH, in cooperation with the LLA, will specify the procedures to be followed.
- B. The LLA and all subcontractors shall immediately notify the CDPH Procurement Manager of any request from a third party for disclosure of any information relating to this agreement, including, but not limited to, subpoena, deposition proceedings, court order or other legal action. Unless the CDPH Procurement Manager authorizes the disclosure of the information in writing, the LLA and all subcontractors shall use every means, to the maximum extent permitted by law and at no cost to CDPH, to protect the information from disclosure.

Special Terms and Conditions

(For State funded subvention, local assistance and direct service contracts and grant agreements)

The use of headings or titles throughout this exhibit is for convenience only and shall not be used to interpret or govern the meaning of any specific term or condition.

The terms "contract", "Contractor" and "Subcontractor" shall also mean, "agreement", "grant", "grant agreement", "Grantee" and "Subgrantee" respectively.

The terms "California Department of Public Health" and "CDPH" shall have the same meaning and refer to the California State agency that is a party to this Agreement.

This exhibit contains provisions that require strict adherence to various contracting laws and policies. Some provisions herein are conditional and only apply if specified conditions exist (i.e., agreement total exceeds a certain amount, a specified condition applies, etc.). The provisions herein apply to this Agreement unless the provisions are removed by reference on the face of the Agreement, the provisions are superseded by an alternate provision appearing elsewhere in the Agreement, or the applicable conditions do not exist.

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1. Travel and Per Diem Reimbursement

(Applicable if travel and/or per diem expenses are reimbursed with contract funds.)

Reimbursement for travel and per diem expenses from the California Department of Public Health (CDPH) under this Agreement shall, unless otherwise specified in this Agreement, be at the rates currently in effect, as established by the California Department of Personnel Administration (DPA), for nonrepresented state employees as stipulated in CDPH's Travel Reimbursement Information Exhibit. If the DPA rates change during the term of the Agreement, the new rates shall apply upon their effective date and no amendment to this Agreement shall be necessary. Exceptions to DPA rates may be approved by CDPH upon the submission of a statement by the Contractor indicating that such rates are not available to the Contractor. No travel outside the State of California shall be reimbursed without prior authorization from CDPH. Verbal authorization should be confirmed in writing. Written authorization may be in a form including fax or email confirmation.

2. Procurement Rules

(Applicable to all agreements in which equipment, property, commodities and/or supplies are furnished by CDPH or expenses for said items are reimbursed with state funds.)

a. Equipment definitions

Wherever the term equipment and/or property is used, the following definitions shall apply:

- (1) **Major equipment:** A tangible or intangible item having a base unit cost of \$5,000 or more with a life expectancy of one (1) year or more and is either furnished by CDPH or the cost is reimbursed through this Agreement. Software and videos are examples of intangible items that meet this definition.
- (2) **Minor equipment/property:** A tangible item having a base unit cost of less than \$5,000 with a life expectancy of one (1) year or more and is either furnished by CDPH or the cost is reimbursed through this Agreement.

- b. Government and public entities** (including state colleges/universities and auxiliary organizations), whether acting as a contractor and/or subcontractor, may secure all commodities, supplies, equipment and services related to such purchases that are required in performance of this Agreement. Said procurements are subject to Paragraphs d through h of Provision 2. Paragraph c of Provision 2 shall also apply, if equipment purchases are delegated to subcontractors that are nonprofit organizations or commercial businesses.

- c. Nonprofit organizations and commercial businesses**, whether acting as a contractor and/or subcontractor, may secure commodities, supplies, equipment and services related to such purchases for performance under this Agreement.

- (1) Equipment purchases shall not exceed \$50,000 annually.

To secure equipment above the annual maximum limit of \$50,000, the Contractor shall make arrangements through the appropriate CDPH Program Contract Manager, to have all remaining equipment purchased through CDPH's Purchasing Unit. The cost of equipment purchased by or through CDPH shall be deducted from the funds available in this Agreement. Contractor shall submit to the CDPH Program Contract Manager a list of equipment specifications for those items that the State must procure. The State may pay the vendor directly for such arranged equipment purchases and title to the equipment will remain with CDPH. The equipment will be delivered to the Contractor's address, as stated on the face of the Agreement, unless the Contractor notifies the CDPH Program Contract Manager, in writing, of an alternate delivery address.

- (2) All equipment purchases are subject to Paragraphs d through h of Provision 2. Paragraph b of Provision 2 shall also apply, if equipment purchases are delegated to subcontractors that are either a government or public entity.

- (3) Nonprofit organizations and commercial businesses, shall use a procurement system that meets the following standards:
- (a) Maintain a code or standard of conduct that shall govern the performance of its officers, employees, or agents engaged in awarding procurement contracts. No employee, officer, or agent shall participate in the selection, award, or administration of a procurement contract in which, to his or her knowledge, he or she has a financial interest.
 - (b) Procurements shall be conducted in a manner that provides, to the maximum extent practical, open, and free competition.
 - (c) Procurements shall be conducted in a manner that provides for all of the following:
 - [1] Avoid purchasing unnecessary or duplicate items.
 - [2] Equipment solicitations shall be based upon a clear and accurate description of the technical requirements of the goods to be procured.
 - [3] Take positive steps to utilize small and veteran owned businesses.
 - d. Unless waived or otherwise stipulated in writing by CDPH, prior written authorization from the appropriate CDPH Program Contract Manager will be required before the Contractor will be reimbursed for any purchase of \$5,000 or more for commodities, supplies, equipment, and services related to such purchases. The Contractor must provide in its request for authorization all particulars necessary, as specified by CDPH, for evaluating the necessity or desirability of incurring such costs. The term "purchase" excludes the purchase of services from a subcontractor and public utility services at rates established for uniform applicability to the general public.
 - e. In special circumstances, determined by CDPH (e.g., when CDPH has a need to monitor certain purchases, etc.), CDPH may require prior written authorization and/or the submission of paid vendor receipts for any purchase, regardless of dollar amount. CDPH reserves the right to either deny claims for reimbursement or to request repayment for any Contractor and/or subcontractor purchase that CDPH determines to be unnecessary in carrying out performance under this Agreement.
 - f. The Contractor and/or subcontractor must maintain a copy or narrative description of the procurement system, guidelines, rules, or regulations that will be used to make purchases under this Agreement. The State reserves the right to request a copy of these documents and to inspect the purchasing practices of the Contractor and/or subcontractor at any time.
 - g. For all purchases, the Contractor and/or subcontractor must maintain copies of all paid vendor invoices, documents, bids and other information used in vendor selection, for inspection or audit. Justifications supporting the absence of bidding (i.e., sole source purchases) shall also be maintained on file by the Contractor and/or subcontractor for inspection or audit.
 - h. CDPH may, with cause (e.g., with reasonable suspicion of unnecessary purchases or use of inappropriate purchase practices, etc.), withhold, cancel, modify, or retract the delegated purchase authority granted under Paragraphs b and/or c of Provision 2 by giving the Contractor no less than 30 calendar days written notice.

3. Equipment Ownership / Inventory / Disposition

(Applicable to agreements in which equipment and/or property is furnished by CDPH and/or when said items are purchased or reimbursed with state funds.)

- a. Wherever the terms equipment and/or property are used in Provision 3, the definitions in Provision 2, Paragraph a, shall apply.

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Unless otherwise stipulated in this Agreement, all equipment and/or property that are purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement shall be considered state equipment and the property of CDPH.

- (1) CDPH requires the reporting, tagging and annual inventorying of all equipment and/or property that is furnished by CDPH or purchased/reimbursed with funds provided through this Agreement.

Upon receipt of equipment and/or property, the Contractor shall report the receipt to the CDPH Program Contract Manager. To report the receipt of said items and to receive property tags, the Contractor shall use a form or format designated by CDPH's Asset Management Unit. If the appropriate form (i.e., Contractor Equipment Purchased with CDPH Funds) does not accompany this Agreement, Contractor shall request a copy from the CDPH Program Contract Manager.

- (2) If the Contractor enters into an agreement with a term of more than twelve months, the Contractor shall submit an annual inventory of state equipment and/or property to the CDPH Program Contract Manager using a form or format designated by CDPH's Asset Management Unit. If an inventory report form (i.e., Inventory/Disposition of CDPH-Funded Equipment) does not accompany this Agreement, Contractor shall request a copy from the CDPH Program Contract Manager. Contractor shall:

- (a) Include in the inventory report, equipment and/or property in the Contractor's possession and/or in the possession of a subcontractor (including independent consultants).
- (b) Submit the inventory report to CDPH according to the instructions appearing on the form or issued by the CDPH Program Contract Manager.
- (c) Contact the CDPH Program Contract Manager to learn how to remove, trade-in, sell, transfer or survey off, from the inventory report, expired equipment and/or property that is no longer wanted, usable or has passed its life expectancy. Instructions will be supplied by CDPH's Asset Management Unit.

- b. Title to state equipment and/or property shall not be affected by its incorporation or attachment to any property not owned by the State.
- c. Unless otherwise stipulated, CDPH shall be under no obligation to pay the cost of restoration, or rehabilitation of the Contractor's and/or Subcontractor's facility which may be affected by the removal of any state equipment and/or property.
- d. The Contractor and/or Subcontractor shall maintain and administer a sound business program for ensuring the proper use, maintenance, repair, protection, insurance and preservation of state equipment and/or property.
 - (1) In administering this provision, CDPH may require the Contractor and/or Subcontractor to repair or replace, to CDPH's satisfaction, any damaged, lost or stolen state equipment and/or property. In the event of state equipment and/or property theft, Contractor and/or Subcontractor shall immediately file a theft report with the appropriate police agency or the California Highway Patrol and Contractor shall promptly submit one copy of the theft report to the CDPH Program Contract Manager.
- e. Unless otherwise stipulated by the program funding this Agreement, equipment and/or property purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, shall only be used for performance of this Agreement or another CDPH agreement.
- f. Within sixty (60) calendar days prior to the termination or end of this Agreement, the Contractor shall provide a final inventory report of equipment and/or property to the CDPH Program Contract Manager and shall, at that time, query CDPH as to the requirements, including the manner and method, of returning state equipment and/or property to CDPH. Final disposition of equipment and/or property shall be at CDPH expense and according to CDPH instructions. Equipment

and/or property disposition instructions shall be issued by CDPH immediately after receipt of the final inventory report. At the termination or conclusion of this Agreement, CDPH may at its discretion, authorize the continued use of state equipment and/or property for performance of work under a different CDPH agreement.

g. Motor Vehicles

(Applicable only if motor vehicles are purchased/reimbursed with agreement funds or furnished by CDPH under this Agreement.)

- (1) If motor vehicles are purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, within thirty (30) calendar days prior to the termination or end of this Agreement, the Contractor and/or Subcontractor shall return such vehicles to CDPH and shall deliver all necessary documents of title or registration to enable the proper transfer of a marketable title to CDPH.
- (2) If motor vehicles are purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, the State of California shall be the legal owner of said motor vehicles and the Contractor shall be the registered owner. The Contractor and/or a subcontractor may only use said vehicles for performance and under the terms of this Agreement.
- (3) The Contractor and/or Subcontractor agree that all operators of motor vehicles, purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, shall hold a valid State of California driver's license. In the event that ten or more passengers are to be transported in any one vehicle, the operator shall also hold a State of California Class B driver's license.
- (4) If any motor vehicle is purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, the Contractor and/or Subcontractor, as applicable, shall provide, maintain, and certify that, at a minimum, the following type and amount of automobile liability insurance is in effect during the term of this Agreement or any period of contract extension during which any vehicle remains in the Contractor's and/or Subcontractor's possession:

Automobile Liability Insurance

- (a) The Contractor, by signing this Agreement, hereby certifies that it possesses or will obtain automobile liability insurance in the amount of \$1,000,000 per occurrence for bodily injury and property damage combined. Said insurance must be obtained and made effective upon the delivery date of any motor vehicle, purchased/reimbursed with agreement funds or furnished by CDPH under the terms of this Agreement, to the Contractor and/or Subcontractor.
- (b) The Contractor and/or Subcontractor shall, as soon as practical, furnish a copy of the certificate of insurance to the CDPH Program Contract Manager. The certificate of insurance shall identify the CDPH contract or agreement number for which the insurance applies.
- (c) The Contractor and/or Subcontractor agree that bodily injury and property damage liability insurance, as required herein, shall remain in effect at all times during the term of this Agreement or until such time as the motor vehicle is returned to CDPH.
- (d) The Contractor and/or Subcontractor agree to provide, at least thirty (30) days prior to the expiration date of said insurance coverage, a copy of a new certificate of insurance evidencing continued coverage, as indicated herein, for not less than the remainder of the term of this Agreement, the term of any extension or continuation thereof, or for a period of not less than one (1) year.
- (e) The Contractor and/or Subcontractor, if not a self-insured government and/or public entity,

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entity, must provide evidence, that any required certificates of insurance contain the following provisions:

- [1] The insurer will not cancel the insured's coverage without giving thirty (30) calendar days prior written notice to the State (California Department of Public Health).
 - [2] The State of California, its officers, agents, employees, and servants are included as additional insureds, but only with respect to work performed for the State under this Agreement and any extension or continuation of this Agreement.
 - [3] The insurance carrier shall notify the California Department of Public Health (CDPH), in writing, of the Contractor's failure to pay premiums; its cancellation of such policies; or any other substantial change, including, but not limited to, the status, coverage, or scope of the required insurance. Such notices shall contain a reference to each agreement number for which the insurance was obtained.
- (f) The Contractor and/or Subcontractor is hereby advised that copies of certificates of insurance may be subject to review and approval by the Department of General Services (DGS), Office of Risk and Insurance Management. The Contractor shall be notified by CDPH, in writing, if this provision is applicable to this Agreement. If DGS approval of the certificate of insurance is required, the Contractor agrees that no work or services shall be performed prior to obtaining said approval.
- (g) In the event the Contractor and/or Subcontractor fails to keep insurance coverage, as required herein, in effect at all times during vehicle possession, CDPH may, in addition to any other remedies it may have, terminate this Agreement upon the occurrence of such event.

4. Subcontract Requirements

(Applicable to agreements under which services are to be performed by subcontractors including independent consultants.)

- a. Prior written authorization will be required before the Contractor enters into or is reimbursed for any subcontract for services costing \$5,000 or more. Except as indicated in Paragraph a(3) herein, when securing subcontracts for services exceeding \$5,000, the Contractor shall obtain at least three bids or justify a sole source award.
- (1) The Contractor must provide in its request for authorization, all information necessary for evaluating the necessity or desirability of incurring such cost.
- (2) The State may identify the information needed to fulfill this requirement.
- (3) Subcontracts performed by the following entities or for the service types listed below are exempt from the bidding and sole source justification requirements:
- (a) A local governmental entity or the federal government,
 - (b) A State college or university from any State,
 - (c) A Joint Powers Authority,
 - (d) An auxiliary organization of a California State University or a California community college,
 - (e) A foundation organized to support the Board of Governors of the California Community Colleges,
 - (f) An auxiliary organization of the Student Aid Commission established under Education Code § 69522,
 - (g) Entities of any type that will provide subvention aid or direct services to the public,
 - (h) Entities and/or service types identified as exempt from advertising in State Contracting Manual 5.80. View this publication at the following Internet address:

<http://www.ois.dgs.ca.gov/Contract+Manual/Chapters4through6.htm>

- b. CDPH reserves the right to approve or disapprove the selection of subcontractors and with advance written notice, require the substitution of subcontractors and require the Contractor to terminate subcontracts entered into in support of this Agreement.
 - (1) Upon receipt of a written notice from CDPH requiring the substitution and/or termination of a subcontract, the Contractor shall take steps to ensure the completion of any work in progress and select a replacement, if applicable, within 30 calendar days, unless a longer period is agreed to by CDPH.
- c. Actual subcontracts (i.e., written agreement between the Contractor and a subcontractor) of \$5,000 or more are subject to the prior review and written approval of CDPH. CDPH may, at its discretion, elect to waive this right. All such waivers shall be confirmed in writing by CDPH.
- d. Contractor shall maintain a copy of each subcontract entered into in support of this Agreement and shall, upon request by CDPH, make copies available for approval, inspection, or audit.
- e. CDPH assumes no responsibility for the payment of subcontractors used in the performance of the Agreement. Contractor accepts sole responsibility for the payment of subcontractors used in the performance of this Agreement.
- f. The Contractor is responsible for all performance requirements under this Agreement even though performance may be carried out through a subcontract.
- g. The Contractor shall ensure that all subcontracts for services include provision(s) requiring compliance with applicable terms and conditions specified in this Agreement.
- h. The Contractor agrees to include the following clause, relevant to record retention, in all subcontracts for services:

"(Subcontractor Name) agrees to maintain and preserve, until three years after termination of (Agreement Number) and final payment from CDPH to the Contractor, to permit CDPH or any duly authorized representative, to have access to, examine or audit any pertinent books, documents, papers and records related to this subcontract and to allow interviews of any employees who might reasonably have information related to such records."
- i. Unless otherwise stipulated in writing by CDPH, the Contractor shall be the subcontractor's sole point of contact for all matters related to performance and payment under this Agreement.
- j. Contractor shall, as applicable, advise all subcontractors of their obligations pursuant to the following numbered provisions of this Exhibit: 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 17, 21, and/or other numbered provisions herein that are deemed applicable.

5. Income Restrictions

Unless otherwise stipulated in this Agreement, the Contractor agrees that any refunds, rebates, credits, or other amounts (including any interest thereon) accruing to or received by the Contractor under this Agreement shall be paid by the Contractor to CDPH, to the extent that they are properly allocable to costs for which the Contractor has been reimbursed by CDPH under this Agreement.

6. Audit and Record Retention

(Applicable to agreements over \$10,000.)

- a. The Contractor and/or Subcontractor shall maintain books, records, documents, and other evidence, accounting procedures, and practices, sufficient to properly reflect all direct and indirect costs of whatever nature claimed to have been incurred in the performance of this Agreement, including any matching costs and expenses. The foregoing constitutes "records" for the purposes of this provision.

- b. The Contractor's and/or Subcontractor's facility or office or such part thereof as may be engaged in the performance of this Agreement and his/her records shall be subject at all reasonable times to inspection, audit, and reproduction.
- c. Contractor agrees that CDPH, the Department of General Services, the Bureau of State Audits, or their designated representatives shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. Contractor agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, the Contractor agrees to include a similar right of the State to audit records and interview staff in any subcontract related to performance of this Agreement. (GC 8546.7, CCR Title 2, Section 1896).
- d. The Contractor and/or Subcontractor shall preserve and make available his/her records (1) for a period of three years from the date of final payment under this Agreement, and (2) for such longer period, if any, as is required by applicable statute, by any other provision of this Agreement, or by subparagraphs (1) or (2) below.
 - (1) If this Agreement is completely or partially terminated, the records relating to the work terminated shall be preserved and made available for a period of three years from the date of any resulting final settlement.
 - (2) If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later.
- e. The Contractor and/or Subcontractor shall comply with the above requirements and be aware of the penalties for violations of fraud and for obstruction of investigation as set forth in Public Contract Code § 10115.10, if applicable.
- f. The Contractor and/or Subcontractor may, at its discretion, following receipt of final payment under this Agreement, reduce its accounts, books and records related to this Agreement to microfilm, computer disk, CD ROM, or other data storage medium. Upon request by an authorized representative to inspect, audit or obtain copies of said records, the Contractor and/or subcontractor must supply or make available applicable devices, hardware, and/or software necessary to view, copy and/or print said records. Applicable devices may include, but are not limited to, microfilm readers and microfilm printers, etc.

7. Site Inspection

The State, through any authorized representatives, has the right at all reasonable times to inspect or otherwise evaluate the work performed or being performed hereunder including subcontract supported activities and the premises in which it is being performed. If any inspection or evaluation is made of the premises of the Contractor or Subcontractor, the Contractor shall provide and shall require Subcontractors to provide all reasonable facilities and assistance for the safety and convenience of the authorized representatives in the performance of their duties. All inspections and evaluations shall be performed in such a manner as will not unduly delay the work.

8. Intellectual Property Rights

a. Ownership

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

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

- (a) For the purposes of the definition of Intellectual Property, "works" means all literary works, writings and printed matter including the medium by which they are recorded or reproduced, photographs, art work, pictorial and graphic representations and works of a similar nature, film, motion pictures, digital images, animation cells, and other audiovisual works including positives and negatives thereof, sound recordings, tapes, educational materials, interactive videos and any other materials or products created, produced, conceptualized and fixed in a tangible medium of expression. It includes preliminary and final products and any materials and information developed for the purposes of producing those final products. Works does not include articles submitted to peer review or reference journals or independent research projects.
- (3) In the performance of this Agreement, Contractor will exercise and utilize certain of its Intellectual Property in existence prior to the effective date of this Agreement. In addition, under this Agreement, Contractor may access and utilize certain of CDPH's Intellectual Property in existence prior to the effective date of this Agreement. Except as otherwise set forth herein, Contractor shall not use any of CDPH's Intellectual Property now existing or hereafter existing for any purposes without the prior written permission of CDPH. **Except as otherwise set forth herein, neither the Contractor nor CDPH shall give any ownership interest in or rights to its Intellectual Property to the other Party.** If during the term of this Agreement, Contractor accesses any third-party Intellectual Property that is licensed to CDPH, Contractor agrees to abide by all license and confidentiality restrictions applicable to CDPH in the third-party's license agreement.
- (4) Contractor agrees to cooperate with CDPH in establishing or maintaining CDPH's exclusive rights in the Intellectual Property, and in assuring CDPH's sole rights against third parties with respect to the Intellectual Property. If the Contractor enters into any agreements or subcontracts with other parties in order to perform this Agreement, Contractor shall require the terms of the Agreement(s) to include all Intellectual Property provisions. Such terms must include, but are not limited to, the subcontractor assigning and agreeing to assign to CDPH all rights, title and interest in Intellectual Property made, conceived, derived from, or reduced to practice by the subcontractor, Contractor or CDPH and which result directly or indirectly from this Agreement or any subcontract.
- (5) Contractor further agrees to assist and cooperate with CDPH in all reasonable respects, and execute all documents and, subject to reasonable availability, give testimony and take all further acts reasonably necessary to acquire, transfer, maintain, and enforce CDPH's Intellectual Property rights and interests.

b. Retained Rights / License Rights

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

resulting from this Agreement, unless Contractor assigns all rights, title and interest in the Intellectual Property as set forth herein.

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

c. Copyright

- (1) Contractor agrees that for purposes of copyright law, all works [as defined in Section a, subparagraph (2)(a) of this provision] of authorship made by or on behalf of Contractor in connection with Contractor's performance of this Agreement shall be deemed "works made for hire". Contractor further agrees that the work of each person utilized by Contractor in connection with the performance of this Agreement will be a "work made for hire," whether that person is an employee of Contractor or that person has entered into an agreement with Contractor to perform the work. Contractor shall enter into a written agreement with any such person that: (i) all work performed for Contractor shall be deemed a "work made for hire" under the Copyright Act and (ii) that person shall assign all right, title, and interest to CDPH to any work product made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement.
- (2) All materials, including, but not limited to, visual works or text, reproduced or distributed pursuant to this Agreement that include Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement, shall include CDPH's notice of copyright, which shall read in 3mm or larger typeface: "© [Enter Current Year e.g., 2006, etc.], California Department of Public Health. This material may not be reproduced or disseminated without prior written permission from the California Department of Public Health." This notice should be placed prominently on the materials and set apart from other matter on the page where it appears. Audio productions shall contain a similar audio notice of copyright.

d. Patent Rights

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

e. Third-Party Intellectual Property

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

f. Warranties

(1) Contractor represents and warrants that:

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

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

g. Intellectual Property Indemnity

- (1) Contractor shall indemnify, defend and hold harmless CDPH and its licensees and assignees, and its officers, directors, employees, agents, representatives, successors, and users of its products, ("Indemnitees") from and against all claims, actions, damages, losses, liabilities (or actions or proceedings with respect to any thereof), whether or not rightful, arising from any and all actions or claims by any third party or expenses related thereto (including, but not limited to, all legal expenses, court costs, and attorney's fees incurred in investigating, preparing, serving as a witness in, or defending against, any such claim, action, or proceeding, commenced or threatened) to which any of the Indemnitees may be subject, whether or not Contractor is a party to any pending or threatened litigation, which arise out of or are related to (i) the incorrectness or breach of any of the representations, warranties, covenants or agreements of Contractor pertaining to Intellectual Property; or (ii) any Intellectual Property infringement, or any other type of actual or alleged infringement claim, arising out of CDPH's use, reproduction, manufacture, sale, offer to sell, distribution, import, export, modification, public and private performance/display, license, and disposition of the Intellectual Property made, conceived, derived from, or reduced to practice by Contractor or CDPH and which result directly or indirectly from this Agreement. This indemnity obligation shall apply irrespective of whether the infringement claim is based on a patent, trademark or copyright registration that issued after the effective date of this Agreement. CDPH reserves the right to participate in and/or control, at Contractor's expense, any such infringement action brought against CDPH.
- (2) Should any Intellectual Property licensed by the Contractor to CDPH under this Agreement become the subject of an Intellectual Property infringement claim, Contractor will exercise its authority reasonably and in good faith to preserve CDPH's right to use the licensed Intellectual Property in accordance with this Agreement at no expense to CDPH. CDPH shall have the right to monitor and appear through its own counsel (at Contractor's expense) in any such claim or action. In the defense or settlement of the claim, Contractor may obtain the right for CDPH to continue using the licensed Intellectual Property; or, replace or modify the licensed Intellectual Property so that the replaced or modified Intellectual Property becomes non-infringing provided that such replacement or modification is functionally equivalent to the original licensed Intellectual Property. If such remedies are not reasonably available, CDPH shall be entitled to a refund of all monies paid under this Agreement, without restriction or limitation of any other rights and remedies available at law or in equity.
- (3) Contractor agrees that damages alone would be inadequate to compensate CDPH for breach of any term of this Intellectual Property Exhibit by Contractor. Contractor acknowledges CDPH would suffer irreparable harm in the event of such breach and agrees CDPH shall be entitled to obtain equitable relief, including without limitation an Injunction, from a court of competent jurisdiction, without restriction or limitation of any other rights and remedies available at law or in equity.

h. Federal Funding

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

i. Survival

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

9. Prior Approval of Training Seminars, Workshops or Conferences

Contractor shall obtain prior CDPH approval of the location, costs, dates, agenda, instructors, instructional materials, and attendees at any reimbursable training seminar, workshop, or conference conducted pursuant to this Agreement and of any reimbursable publicity or educational materials to be made available for distribution. The Contractor shall acknowledge the support of the State whenever publicizing the work under this Agreement in any media. This provision does not apply to necessary staff meetings or training sessions held for the staff of the Contractor or Subcontractor to conduct routine business matters.

10. Confidentiality of Information

- a. The Contractor and its employees, agents, or subcontractors shall protect from unauthorized disclosure names and other identifying information concerning persons either receiving services pursuant to this Agreement or persons whose names or identifying information become available or are disclosed to the Contractor, its employees, agents, or subcontractors as a result of services performed under this Agreement, except for statistical information not identifying any such person.
- b. The Contractor and its employees, agents, or subcontractors shall not use such identifying information for any purpose other than carrying out the Contractor's obligations under this Agreement.
- c. The Contractor and its employees, agents, or subcontractors shall promptly transmit to the CDPH Program Contract Manager all requests for disclosure of such identifying information not emanating from the client or person.
- d. The Contractor shall not disclose, except as otherwise specifically permitted by this Agreement or authorized by the client, any such identifying information to anyone other than CDPH without prior written authorization from the CDPH Program Contract Manager, except if disclosure is required by State or Federal law.
- e. For purposes of this provision, identity shall include, but not be limited to name, identifying number, symbol, or other identifying particular assigned to the individual, such as finger or voice print or a photograph.
- f. As deemed applicable by CDPH, this provision may be supplemented by additional terms and conditions covering personal health information (PHI) or personal, sensitive, and/or confidential information (PSCI). Said terms and conditions will be outlined in one or more exhibits that will either be attached to this Agreement or incorporated into this Agreement by reference.

11. Documents, Publications and Written Reports

(Applicable to agreements over \$5,000 under which publications, written reports and documents are developed or produced. Government Code Section 7550.)

Any document, publication or written report (excluding progress reports, financial reports and normal contract communications) prepared as a requirement of this Agreement shall contain, in a separate section preceding the main body of the document, the number and dollar amounts of all contracts and subcontracts relating to the preparation of such document or report, if the total cost for work by nonemployees of the State exceeds \$5,000.

12. Dispute Resolution Process

- a. A Contractor grievance exists whenever there is a dispute arising from CDPH's action in the administration of an agreement. If there is a dispute or grievance between the Contractor and CDPH, the Contractor must seek resolution using the procedure outlined below.
 - (1) The Contractor should first informally discuss the problem with the CDPH Program Contract Manager. If the problem cannot be resolved informally, the Contractor shall direct its

grievance together with any evidence, in writing, to the program Branch Chief. The grievance shall state the issues in dispute, the legal authority or other basis for the Contractor's position and the remedy sought. The Branch Chief shall render a decision within ten (10) working days after receipt of the written grievance from the Contractor. The Branch Chief shall respond in writing to the Contractor indicating the decision and reasons therefore. If the Contractor disagrees with the Branch Chief's decision, the Contractor may appeal to the second level.

- (2) When appealing to the second level, the Contractor must prepare an appeal indicating the reasons for disagreement with Branch Chief's decision. The Contractor shall include with the appeal a copy of the Contractor's original statement of dispute along with any supporting evidence and a copy of the Branch Chief's decision. The appeal shall be addressed to the Deputy Director of the division in which the branch is organized within ten (10) working days from receipt of the Branch Chief's decision. The Deputy Director of the division in which the branch is organized or his/her designee shall meet with the Contractor to review the issues raised. A written decision signed by the Deputy Director of the division in which the branch is organized or his/her designee shall be directed to the Contractor within twenty (20) working days of receipt of the Contractor's second level appeal.
- b. If the Contractor wishes to appeal the decision of the Deputy Director of the division in which the branch is organized or his/her designee, the Contractor shall follow the procedures set forth in Division 25.1 (commencing with Section 38050) of the Health and Safety Code and the regulations adopted thereunder. (Title 1, Subchapter 2.5, commencing with Section 251, California Code of Regulations.)
- c. Disputes arising out of an audit, examination of an agreement or other action not covered by subdivision (a) of Section 20204, of Chapter 2.1, Title 22, of the California Code of Regulations, and for which no procedures for appeal are provided in statute, regulation or the Agreement, shall be handled in accordance with the procedures identified in Sections 51016 through 51047, Title 22, California Code of Regulations.
- d. Unless otherwise stipulated in writing by CDPH, all dispute, grievance and/or appeal correspondence shall be directed to the CDPH Program Contract Manager.
- e. There are organizational differences within CDPH's funding programs and the management levels identified in this dispute resolution provision may not apply in every contractual situation. When a grievance is received and organizational differences exist, the Contractor shall be notified in writing by the CDPH Program Contract Manager of the level, name, and/or title of the appropriate management official that is responsible for issuing a decision at a given level.

13. Financial and Compliance Audit Requirements

- a. The definitions used in this provision are contained in Section 38040 of the Health and Safety Code, which by this reference is made a part hereof.
- b. Direct service contract means a contract or agreement for services contained in local assistance or subvention programs or both (see Health and Safety [H&S] Code Section 38020). Direct service contracts shall not include contracts, agreements, grants, or subventions to other governmental agencies or units of government nor contracts or agreements with regional centers or area agencies on aging (See H&S Code Section 38030).
- c. The Contractor, as indicated below, agrees to obtain one of the following audits:
 - (1) ***If the Contractor is a nonprofit organization (as defined in H&S Code Section 38040) and receives \$25,000 or more from any State agency under a direct service contract or agreement;*** the Contractor agrees to obtain an annual single, organization wide, financial and compliance audit. Said audit shall be conducted according to Generally Accepted Auditing Standards. This audit does not fulfill the audit requirements of Paragraph c(3) below. The audit shall be completed by the 15th day of the fifth month following the end of the Contractor's fiscal year, **and/or**

- (2) ***If the Contractor is a nonprofit organization (as defined in H&S Code Section 38040) and receives less than \$25,000 per year from any State agency under a direct service contract or agreement,*** the Contractor agrees to obtain a biennial single, organization wide financial and compliance audit, unless there is evidence of fraud or other violation of state law in connection with this Agreement. This audit does not fulfill the audit requirements of Paragraph c(3) below. The audit shall be completed by the 15th day of the fifth month following the end of the Contractor's fiscal year, **and/or**
- (3) ***If the Contractor is a State or Local Government entity or Nonprofit organization (as defined by the Federal Office of Management and Budget [OMB] Circular A-133) and expends \$500,000 or more in Federal awards,*** the Contractor agrees to obtain an annual single, organization wide, financial and compliance audit according to the requirements specified in OMB Circular A-133 entitled "Audits of States, Local Governments, and Non-Profit Organizations". An audit conducted pursuant to this provision will fulfill the audit requirements outlined in Paragraphs c(1) and c(2) above. The audit shall be completed by the end of the ninth month following the end of the audit period. The requirements of this provision apply if:
- (a) The Contractor is a recipient expending Federal awards received directly from Federal awarding agencies, or
 - (b) The Contractor is a subrecipient expending Federal awards received from a pass-through entity such as the State, County or community based organization.
- (4) If the Contractor submits to CDPH a report of an audit other than an OMB A-133 audit, the Contractor must also submit a certification indicating the Contractor has not expended \$500,000 or more in federal funds for the year covered by the audit report.
- d. Two copies of the audit report shall be delivered to the CDPH program funding this Agreement. The audit report must identify the Contractor's legal name and the number assigned to this Agreement. The audit report shall be due within 30 days after the completion of the audit. Upon receipt of said audit report, the CDPH Program Contract Manager shall forward the audit report to CDPH's Audits and Investigations Unit if the audit report was submitted under Section 13c(3), unless the audit report is from a City, County, or Special District within the State of California whereby the report will be retained by the funding program.
 - e. The cost of the audits described herein may be included in the funding for this Agreement up to the proportionate amount this Agreement represents of the Contractor's total revenue. The CDPH program funding this Agreement must provide advance written approval of the specific amount allowed for said audit expenses.
 - f. The State or its authorized designee, including the Bureau of State Audits, is responsible for conducting agreement performance audits which are not financial and compliance audits. Performance audits are defined by Generally Accepted Government Auditing Standards.
 - g. Nothing in this Agreement limits the State's responsibility or authority to enforce State law or regulations, procedures, or reporting requirements arising thereto.
 - h. Nothing in this Agreement limits the authority of the State to make audits of this Agreement, provided however, that if independent audits arranged for by the Contractor meet Generally Accepted Governmental Auditing Standards, the State shall rely on those audits and any additional audit work and shall build upon the work already done.
 - i. The State may, at its option, direct its own auditors to perform either of the audits described above. The Contractor will be given advance written notification, if the State chooses to exercise its option to perform said audits.

14. Novation Requirements

If the Contractor proposes any novation agreement, CDPH shall act upon the proposal within 60 days after receipt of the written proposal. CDPH may review and consider the proposal, consult and negotiate with the Contractor, and accept or reject all or part of the proposal. Acceptance or rejection of the proposal may be made orally within the 60-day period and confirmed in writing within five days of said decision. Upon written acceptance of the proposal, CDPH will initiate an amendment to this Agreement to formally implement the approved proposal.

15. Payment Withholds

(Applicable only if a final report is required by this Agreement. Not applicable to government entities.)

Unless waived or otherwise stipulated in this Agreement, CDPH may, at its discretion, withhold 10 percent (10%) of the face amount of the contract, 50 percent (50%) of the final invoice, or \$3,000 whichever is greater, until CDPH receives a final report that meets the terms, conditions and/or scope of work requirements of this Agreement.

16. Performance Evaluation

(Not applicable to grant agreements.)

CDPH may, at its discretion, evaluate the performance of the Contractor at the conclusion of this Agreement. If performance is evaluated, the evaluation shall not be a public record and shall remain on file with CDPH. Negative performance evaluations may be considered by CDPH prior to making future contract awards.

17. Officials Not to Benefit

No members of or delegate of Congress or the State Legislature shall be admitted to any share or part of this Agreement, or to any benefit that may arise therefrom. This provision shall not be construed to extend to this Agreement if made with a corporation for its general benefits.

18. Four-Digit Date Compliance

(Applicable to agreements in which Information Technology (IT) services are provided to CDPH or if IT equipment is procured.)

Contractor warrants that it will provide only Four-Digit Date Compliant (as defined below) Deliverables and/or services to the State. "Four Digit Date compliant" Deliverables and services can accurately process, calculate, compare, and sequence date data, including without limitation date data arising out of or relating to leap years and changes in centuries. This warranty and representation is subject to the warranty terms and conditions of this Contract and does not limit the generality of warranty obligations set forth elsewhere herein.

19. Union Organizing

(Applicable only to grant agreements.)

Grantee, by signing this Agreement, hereby acknowledges the applicability of Government Code Sections 16645 through 16649 to this Agreement. Furthermore, Grantee, by signing this Agreement, hereby certifies that:

- a. No state funds disbursed by this grant will be used to assist, promote or deter union organizing.
- b. Grantee shall account for state funds disbursed for a specific expenditure by this grant, to show those funds were allocated to that expenditure.

- c. Grantee shall, where state funds are not designated as described in b herein, allocate, on a pro-rata basis, all disbursements that support the grant program.
- d. If Grantee makes expenditures to assist, promote or deter union organizing, Grantee will maintain records sufficient to show that no state funds were used for those expenditures, and that Grantee shall provide those records to the Attorney General upon request.

20. Contract Uniformity (Fringe Benefit Allowability)

(Applicable only to nonprofit organizations.)

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

- a. As used herein fringe benefits shall mean an employment benefit given by one's employer to an employee in addition to one's regular or normal wages or salary.
- b. As used herein, fringe benefits do not include:
 - (1) Compensation for personal services paid currently or accrued by the Contractor for services of employees rendered during the term of this Agreement, which is identified as regular or normal salaries and wages, annual leave, vacation, sick leave, holidays, jury duty and/or military leave/training.
 - (2) Director's and executive committee member's fees.
 - (3) Incentive awards and/or bonus incentive pay.
 - (4) Allowances for off-site pay.
 - (5) Location allowances.
 - (6) Hardship pay.
 - (7) Cost-of-living differentials
- c. Specific allowable fringe benefits include:
 - (1) Fringe benefits in the form of employer contributions for the employer's portion of payroll taxes (i.e., FICA, SUI, SDI), employee health plans (i.e., health, dental and vision), unemployment insurance, worker's compensation insurance, and the employer's share of pension/retirement plans, provided they are granted in accordance with established written organization policies and meet all legal and Internal Revenue Service requirements.
- d. To be an allowable fringe benefit, the cost must meet the following criteria:
 - (1) Be necessary and reasonable for the performance of the Agreement.
 - (2) Be determined in accordance with generally accepted accounting principles.
 - (3) Be consistent with policies that apply uniformly to all activities of the Contractor.
- e. Contractor agrees that all fringe benefits shall be at actual cost.
- f. Earned/Accrued Compensation
 - (1) Compensation for vacation, sick leave and holidays is limited to that amount earned/accrued within the agreement term. Unused vacation, sick leave and holidays earned from periods prior to the agreement term cannot be claimed as allowable costs. See Provision f (3)(a) for an example.
 - (2) For multiple year agreements, vacation and sick leave compensation, which is earned/accrued but not paid, due to employee(s) not taking time off may be carried over and claimed within the overall term of the multiple years of the Agreement. Holidays cannot be carried over from one agreement year to the next. See Provision f (3)(b) for an example.

- (3) For single year agreements, vacation, sick leave and holiday compensation that is earned/accrued but not paid, due to employee(s) not taking time off within the term of the Agreement, cannot be claimed as an allowable cost. See Provision f (3)(c) for an example.

(a) **Example No. 1:**

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

(b) **Example No. 2:**

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

(c) **Example No. 3:**

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

21. Prohibited Use of State Funds for Software

(Applicable to agreements in which computer software is used in performance of the work.)

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

Budget Justification

Procurement Name: LLA 14-17 Phase II

Contract Number: CTCP-13-45

Agency Name: Shasta County

Project Name: Tobacco Education Program

Project Type: Local Lead Agency

Contract Term: 07/01/2014 - 06/30/2017

Effective Date: 07/01/2016

Plan Version ID: 6.0

Report Generated: 12/12/2016 08:45 AM

Budget Justification Index

Budget Section	FY 14/15	FY 15/16	FY 16/17	Total
A. Personnel Costs				
Previously Approved:	\$ 64,128	\$ 67,404	\$ 72,933	\$ 204,465
Adjustments:	\$ 0	\$ 0	\$(3,621)	\$(3,621)
New Approved Amount:	\$ 64,128	\$ 67,404	\$ 69,312	\$ 200,844
B. Fringe Benefits @ 50% - 60%				
Previously Approved:	\$ 34,045	\$ 36,609	\$ 39,741	\$ 110,395
Adjustments:	\$ 0	\$ 0	\$(1,741)	\$(1,741)
New Approved Amount:	\$ 34,045	\$ 36,609	\$ 38,000	\$ 108,654
C. Operating Expenses				
Previously Approved:	\$ 6,495	\$ 1,811	\$ 3,200	\$ 11,506
Adjustments:	\$ 0	\$ 0	\$ 1,300	\$ 1,300
New Approved Amount:	\$ 6,495	\$ 1,811	\$ 4,500	\$ 12,806
D. Equipment Expenses				
Previously Approved:	\$ 0	\$ 370	\$ 0	\$ 370
Adjustments:	\$ 0	\$ 0	\$ 350	\$ 350
New Approved Amount:	\$ 0	\$ 370	\$ 350	\$ 720
E. Travel/Per Diem and Training				
Previously Approved:	\$ 946	\$ 3,520	\$ 3,414	\$ 7,880
Adjustments:	\$ 0	\$ 0	\$ 0	\$ 0
New Approved Amount:	\$ 946	\$ 3,520	\$ 3,414	\$ 7,880
F. Subcontracts and Consultants				
Previously Approved:	\$ 0	\$ 0	\$ 0	\$ 0
Adjustments:	\$ 0	\$ 0	\$ 0	\$ 0
New Approved Amount:	\$ 0	\$ 0	\$ 0	\$ 0
G. Other Costs				
Previously Approved:	\$ 2,260	\$ 13,911	\$ 33,693	\$ 49,864

Adjustments:	\$ 0	\$ 0	\$ 5,053	\$ 5,053
New Approved Amount:	\$ 2,260	\$ 13,911	\$ 38,746	\$ 54,917
H. Indirect Expenses @ 25% - 25%				
Previously Approved:	\$ 24,542	\$ 26,003	\$ 28,169	\$ 78,714
Adjustments:	\$ 0	\$ 0	\$(1,341)	\$(1,341)
New Approved Amount:	\$ 24,542	\$ 26,003	\$ 26,828	\$ 77,373
Total Previously Approved:	\$ 132,416	\$ 149,628	\$ 181,150	\$ 463,194
Total Adjustments:	\$ 0	\$ 0	\$ 0	\$ 0
Total New Approved:	\$ 132,416	\$ 149,628	\$ 181,150	\$ 463,194
A. Personnel Costs	FY 14/15	FY 15/16	FY 16/17	Total Budget
Title: Project Coordinator	\$ 50,711	\$ 54,334	\$ 57,177	\$ 162,222
Salary Calculation: \$1,771-\$2,262 x 90%-100% FTE x 26 pay periods x 3 years	\$ 0	\$ 0	\$(7,177)	\$(7,177)
Duties Description: Program development and implementation, directs junior Staff, monitors budget, purchases program materials, completes progress reports, attends CTCP sponsored trainings and/or conferences, monitors secondhand smoke and policy websites and Partners website, establishes, facilitates and supports all workgroups, provides updates on progress made by workgroups to the general membership of the Coalition, responds to community complaints resulting from the distribution of Hotline Cards, provides educational booths and resources at community events, designs and distributes educational materials, conducts educational visits with key opinion leaders, policy makers and/or policymaking bodies/boards, conducts a strategic planning session utilizing Midwest Academy Strategy Chart, provides trainings for the Coalition, provides technical assistance by telephone, e-mail or face-to-face contact to policy makers, legal counsel, law enforcement, businesses, and community members, develops media advertisements, maintains webpage, recruits non-tobacco public health and education groups, develops, schedules, coordinates, and conducts presentations, and designs and produces topic specific talking points, fact sheets, and/or postcards. FY 14/15: Revise budget to reflect actuals for FY14/15 for rollover to FY15/16. FY15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17. FY16/17: Reduced to account for vacancy.	\$ 50,711	\$ 54,334	\$ 50,000	\$ 155,045
Title: Project Director	\$ 13,417	\$ 13,070	\$ 15,756	\$ 42,243

Salary Calculation: \$1,952-\$2,900 x 25%-30% FTE x 26 pay periods x 3 years	\$ 0	\$ 0	\$ 3,556	\$ 3,556
Duties Description: The Project Director (PD) provides programmatic oversight and supervision to Project Coordinator (who has lead responsibility for SOW activities). 4 hours per week of PD time will be spent overseeing and implementing evaluation activities including lead oversight of the Evaluator that is budgeted in Indirect Expenses (Epidemiologist). Responsible for ensuring SOW and reporting deadlines are met and progress on SOW is consistent with Tobacco Control Program and Public Health Administration expectations. Provides budget oversight, serves as liaison with Senior Public Health Administration, participates in CTCP sponsored technical assistance teleconference/web meetings, trainings and/or conferences, monitors Partners website, attends Coalition meetings and workgroups, provides educational booths and resources at community events as needed, assists with a strategic planning session utilizing Midwest Academy Strategy Chart, conducts educational visits with key opinion leaders, policy makers and/or policymaking bodies/boards, assist with trainings for the Coalition, and provides technical assistance by telephone, e-mail or face-to-face contact to policy makers, legal counsel, law enforcement, businesses, and community members. FY 14/15: Revise budget to reflect actuals for FY14/15 for rollover to FY15/16. FY15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17. FY 16/17: Revised to reflect anticipated costs for current Project Director (changed July 2016). (New director \$2,900(biweekly)Budgeting slightly higher due to working additional FTE while project coordinator position is vacant and waiting to be filled.	\$ 13,417	\$ 13,070	\$ 19,312	\$ 45,799
Previously Approved Personnel Costs:	\$ 64,128	\$ 67,404	\$ 72,933	\$ 204,465
Total Adjustments:	\$ 0	\$ 0	\$(3,621)	\$(3,621)
New Approved Amount:	\$ 64,128	\$ 67,404	\$ 69,312	\$ 200,844
B. Fringe Benefits	FY 14/15	FY 15/16	FY 16/17	Total Budget
At approximately 50% - 60% of Total Personnel Costs, Fringe Benefits includes the following:	\$ 34,045	\$ 36,609	\$ 39,741	\$ 110,395
	\$ 0	\$ 0	\$(1,741)	\$(1,741)
Includes FICA and Medicare 7.65%, State Unemployment .92%, State Disability Insurance Premium 2%, Workers' Compensation Insurance Premium .88%, Health Insurance (medical, dental, vision) 29%, Life Insurance and Retirement benefits 14.77%. Benefit percentage	\$ 34,045	\$ 36,609	\$ 38,000	\$ 108,654

<p>rates have increased due to rise in health insurance costs. Fringe Benefits are calculated at approximately 55%.</p> <p>FY15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17.</p> <p>FY16/17: Reduced slightly to account for vacancy.</p>				
C. Operating Expenses	FY 14/15	FY 15/16	FY 16/17	Total Budget
Title: CTCP Communications Network (PARTNERS)	\$ 0	\$ 0	\$ 0	\$ 0
Description: County has local area network with automatic access to the internet that will be provided in-kind by County.	\$ 0	\$ 0	\$ 0	\$ 0
Title: Space Rent/Lease	\$ 0	\$ 0	\$ 0	\$ 0
Description: In-kind provision by County under facilities management costs.	\$ 0	\$ 0	\$ 0	\$ 0
Title: Office Supplies	\$ 1,700	\$ 520	\$ 405	\$ 2,625
Description: Consumable office supplies such as print and copy toners, paper, binders, dividers, pens, pencils, including in-house duplicating costs [\$29.17/month x 12 months = \$350 x 3 years = \$1,050]; in-house printing of distribution materials for trainings and presentations [\$42.83/month x 12 months = \$514 x 3 years = \$1,542]; and postage/shipping costs for Gold Cards [\$8/month x 12 months = \$96 x 3 years = \$288]. Majority of purchases will be made in year 1 to provide surplus items for year 2-3. Costs based on historical data as well as SOW activities.	\$ 0	\$ 0	\$ 0	\$ 0
FY 14/15: Revise budget to reflect actuals for FY14/15 for rollover to FY15/16. [REVISION FY 15/16 Incorporate office supply purchases as necessary to support Objectives 1 & 2. Purchases will include supplies, duplication costs and other materials necessary for conducting the 2016 retail store survey for Objective 2.] FY15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17.	\$ 1,700	\$ 520	\$ 405	\$ 2,625
Title: Information Systems	\$ 2,495	\$ 904	\$ 2,495	\$ 5,894
Description: Information Technology (IT) Services include: GIS Services of \$13.50/unit/month,	\$ 0	\$ 0	\$ 0	\$ 0
	\$ 2,495	\$ 904	\$ 2,495	\$ 5,894

<p>Infrastructure Services of \$41.58/unit/month, Internet/Intranet Hosting costs of \$5.92/unit/month, Personal Computer maintenance of \$79.75/unit/month, SQL Database support of \$67.17/unit/month. Costs incurred in provision of Internet and computers at \$207.92</p> <p>1.00 FTE x \$207.92 x 12 months = \$2,495 per year x 3 years = \$7,485</p> <p>FY15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17. Only 6 months of the contract year were invoiced due to not having internal costs for IT by the cost report due date. County will need to absorb costs for those 6 months.</p>				
<p>Title: Printing</p>	\$ 2,300	\$ 387	\$ 300	\$ 2,987
<p>Description: Laminated smoke-free policy signage to support smoke-free community events in Shasta County. For Year 1: [\$10/sign x 30 signs = \$300], Tobacco Violations Hotline Cards- [1 order x \$330 = \$330 (2000 per order), Shasta County Tobacco Cessation Resource Guides [4 orders x \$380= \$1,520 (1000 per order)]; All years: printed in-house training and skill building materials [\$150 per year x 3 years = \$450]; Years 2 & 3: printed in-house training materials for retail campaign [\$150 per year x 2 years = \$300.].</p> <p>FY 14/15: Revise budget to reflect actuals for FY14/15 for rollover to FY15/16.</p> <p>[REVISION FY 15/16 Incorporate printing as necessary to support Objectives 1 & 2 activities including fact sheets, flyers, survey data sheets, brochures and other materials necessary for community education relevant to the retail store campaign and 2016 retail store survey.]</p> <p>FY15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17.</p> <p>FY16/17: Increased to allow additional printing of materials. Printing may include laminated smoke-free policy signage to support smoke-free community events in Shasta County. [\$10/sign x 30 signs = \$300], Tobacco Violations Hotline Cards- [1 order x \$330 = \$330 (2000 per order), Shasta County Tobacco Cessation Resource Guides [2 orders x \$380= \$1,140 (1000 per order)]; printed in-house training, retail campaign, and skill building materials [\$150 per year].</p>	\$ 0	\$ 0	\$ 1,300	\$ 1,300
	\$ 2,300	\$ 387	\$ 1,600	\$ 4,287
Previously Approved Operating Expenses:	\$ 6,495	\$ 1,811	\$ 3,200	\$ 11,506
Total Adjustments:	\$ 0	\$ 0	\$ 1,300	\$ 1,300
New Approved Amount:	\$ 6,495	\$ 1,811	\$ 4,500	\$ 12,806
D. Equipment Expenses	FY 14/15	FY 15/16	FY 16/17	Total Budget
The tobacco control program needs to purchase the following:	\$ 0	\$ 370	\$ 0	\$ 370

[REVISION FY 15/16 Purchase of handheld data collection devices. [Estimated cost is \$299 per device x 2 devices x .075 tax = \$643, protective cases estimated cost is \$63 per device x 2 devices x .075 tax = \$135] approved by CTCP for the delivery of retail campaign activities. Apply \$778 from Paid Media FY 14/15 to FY 15/16 Equipment Expenses.] FY 15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17. FY 16/17: Purchasing 1 I-pad mini. We were approved to purchase 2 devices in FY 15/16 but only purchased 1. Approx \$350 added to 16/17.	\$ 0	\$ 0	\$ 350	\$ 350
	\$ 0	\$ 370	\$ 350	\$ 720
Previously Approved Equipment Expenses:	\$ 0	\$ 370	\$ 0	\$ 370
Total Adjustments:	\$ 0	\$ 0	\$ 350	\$ 350
New Approved Amount:	\$ 0	\$ 370	\$ 350	\$ 720
E. Travel/Per Diem and Training	FY 14/15	FY 15/16	FY 16/17	Total Budget
Title: Project Travel/Training	\$ 358	\$ 609	\$ 500	\$ 1,467
Description: Staff mileage for Tobacco Education Program community activities. Approximately 885 miles per year x \$0.565/mile=\$500. County will provide funding as in-kind for any additional project travel needed. FY 15/16 reflects 354 additional mileage x \$0.565=\$200 for Retail Environment Campaign Activity. Costs reflect projected costs as calculated by historical project travel and mileage.	\$ 0	\$ 0	\$ 0	\$ 0
FY 14/15: Revise budget to reflect actuals for FY14/15 for rollover to FY15/16.	\$ 358	\$ 609	\$ 500	\$ 1,467
FY 15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17.				
Title: CTCP Travel/Training	\$ 0	\$ 0	\$ 0	\$ 0
Description: No CTCP Travel/Training planned.	\$ 0	\$ 0	\$ 0	\$ 0
	\$ 0	\$ 0	\$ 0	\$ 0
Title: Required CTCP Travel/Training	\$ 588	\$ 2,911	\$ 2,914	\$ 6,413
Description: Project Directors' Meetings [FY 15/16 & FY 16/17 \$1,426/FY total for 2 staff]; costs include lodging for 3 days, parking, registration fee, per diem, and vehicle costs.	\$ 0	\$ 0	\$ 0	\$ 0
Capitol I&E Days all years \$804 total for 2 staff; costs include lodging, parking, per diem, and vehicle costs.	\$ 588	\$ 2,911	\$ 2,914	\$ 6,413
Healthy Stores Training [FY 15/16 \$684 total for 2 staff]; costs include lodging, per diem, and vehicle costs.				
CX Training [FY 16/17 \$684 total for 2 staff]; costs include				

lodging, per diem and vehicle costs. All costs are based on actual historical expenses. FY 14/15: Revise budget to reflect actuals for FY14/15 for rollover to FY15/16. [REVISION FY 15/16 Increase staff attending Healthy Stores training in from 2 to 3; estimated cost for 3 staff to attend training is \$1,206 total. Increase staff attending CX training in FY 16/17 from 2 to 3 staff; estimated cost for 3 staff is \$1,206 total.] FY 15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17.				
Title: Out-of-State Travel	\$ 0	\$ 0	\$ 0	\$ 0
Description: No Out-of-State Travel planned.	\$ 0	\$ 0	\$ 0	\$ 0
	\$ 0	\$ 0	\$ 0	\$ 0
Previously Approved Travel/Per Diem and Training:	\$ 946	\$ 3,520	\$ 3,414	\$ 7,880
Total Adjustments:	\$ 0	\$ 0	\$ 0	\$ 0
New Approved Amount:	\$ 946	\$ 3,520	\$ 3,414	\$ 7,880

No subcontracts and consultants have been saved.

G. Other Costs	FY 14/15	FY 15/16	FY 16/17	Total Budget
Title: Educational Materials	\$ 806	\$ 7,762	\$ 743	\$ 9,311
Description: I-stock photos for newsletters, 3,000 no-cost Smokers Hotline "Gold Cards," flyers, and SHS brochures. Under activity 2-3-10 produce 1-2 educational web videos to raise awareness about the project [\$500/video x 2 videos = \$1,000].	\$ 0	\$ 0	\$ 9,650	\$ 9,650
Year 2 and 3: Aluminum signage to support a new or revised ENDDs policy [\$13/sign x 1,000 signs = \$13,000] for approximately 6 jurisdictions throughout the County of Shasta; sandwich boards to support smoke-free community events in Shasta County [\$10/board x 5 boards = \$50].	\$ 806	\$ 7,762	\$ 10,393	\$ 18,961
Smoke-free policy adhesive stickers with UV protection to add to existing smoke-free signage supporting new or revised ENDDs policy [\$1.25/sticker x 1,394 stickers = \$1,743]. Purchasing majority of supplies in year 1 to provide surplus.				
FY 14/15: Revised 14/15 budget by \$9,244 due to the order was not ready to purchase until year 2.				
[REVISION FY 15/16 Incorporate educational material				

<p>purchases as necessary to support Objective 2 retail campaign activities including materials promoting participating retail stores.]</p> <p>FY 15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17.</p> <p>We anticipated using a lot of it on our e-cig ordinance locally and other local adopted policies. It turned out that the state ran a lot of media on e-cigs and local dollars were not needed to supplement the campaign. Implementation of additional policies including e-cigs was delayed and is anticipated to occur in the 16/17 year.</p> <p>FY 16/17: Purchase additional signage (\$15/sign x 490=\$7350), UV stickers (\$1.25 x 2000= approx. \$2500), and A-frame displays (\$50/display x 10=\$500) to educate public on SF policies, including ESDs.</p>				
<p>Title: Behavior Modification Materials</p>	\$ 595	\$ 2,919	\$ 900	\$ 4,414
<p>Description: Behavior Modification Materials (BMMs) are provided to program participants to motivate and/or reinforce positive behavior, participation, and/or involvement in tobacco control activities, and retail campaign participation, and requires action on the part of the participant. The cost of the BMM may not exceed \$50 in value, per person, per year and shall not include gift cards that can be used to purchase tobacco or alcohol. The project is responsible for the possession, security (e.g. will keep under lock and key), and accountability of the gift cards. The grantee will prepare a log sheet that will track and identify each of the gift cards, value, gift card transfer date, and recipient.</p> <p>70 BMMs at \$25 each = \$1,750-\$2,500. Some BMMs provided are gift certificates and movie tickets. No item exceeds \$50/person per year. All items will follow the CDPH/CTCP guidelines and policies, and will not be used to purchase gift cards that can be used to buy tobacco or alcohol products.</p> <p>\$5 of food x 15 participants x 12 workgroup meetings = \$900. \$10 of food and beverages x 87 participants x 3 trainings = \$2,600. Food will be provided at trainings and meetings. Staff will not be included in food BMMs.</p> <p>FY 14/15: Revise budget to reflect actuals for FY14/15 for rollover to FY15/16.</p> <p>FY 15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17.</p> <p>FY16/17: Revised to purchase additional BMMs including food, gift cards, and other materials such as wristbands, shirts, pens, magnets, key chains, ChicoBags, etc. Additional 70 BMMs X \$25/each = \$1750. Additional \$1575 for food for meetings and trainings in the SOW. Depending on the need, BMMs may be lower cost items purchased in a larger quantity.</p>	\$ 0	\$ 0	\$ 3,325	\$ 3,325
	\$ 595	\$ 2,919	\$ 4,225	\$ 7,739

Title: Paid Media Description: For activity 1-13-14: 4-6 print ads [\$500/ad x 6 ads = \$3,000], 20 transit shelter ads for two months [\$406/ad x 20 ads = \$8,120], banner [\$300]; online ads [\$673/ad x 2 ads = \$1,346]; 38 digital media ads at retail convenience stores for [\$173.50/ad x 36 = \$6,246], 2 mobile billboard ads [\$300/billboard x 2 = \$600]. FY 14/15: Revised budget to reflect actuals. Media was lower than expected due to being paid in-kind. [REVISION FY 15/16 Include paid media purchases as necessary to support Objective 2 retail campaign activities and to promote retail stores that participate in the retail campaign; FY 15/16 decrease by \$778 apply to FY 15/16 Equipment Expenses for CTCP approved purchase of electronic devices necessary for delivering retail campaign activities.] [REVISION FY 15/16 Apply \$778 from Paid Media FY 15/16 to FY 15/16 Equipment Expenses.] FY 15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17. We anticipated using a lot of this on our e-cig ordinance locally and other local adopted policies. It turned out that the state ran a lot of media on e-cigs and local dollars were not needed to supplement the campaign. Implementation of additional policies including e-cigs was delayed and is anticipated to occur in the 16-17 year. Funds will be used to provide signage and other educational materials to support efforts. FY 16/17: Rolled all of the FY15/16 rollover into this line item as a placeholder to move forward with revision process. FY16/17: Decreased due to it being a placeholder in cost report revision. Anticipate bus stops ads, billboards, website domains, etc.	\$ 184	\$ 2,555	\$ 31,150	\$ 33,889
	\$ 0	\$ 0	\$(7,697)	\$(7,697)
	\$ 184	\$ 2,555	\$ 23,453	\$ 26,192
Title: Booth Rental/Facilities Fees Description: As necessary for activity 1-2-9 and 2-2-9 at local health fairs and Marketfest event. Excess costs will be provided in-kind by County. FY 14/15: Revised budget to reflect actual expenses. No booth fees were needed for attended events in year 1. [REVISION FY 15/16 Include facility rental fees as necessary for Objectives 2 and 3 activities.] FY 15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17.	\$ 0	\$ 0	\$ 225	\$ 225
	\$ 0	\$ 0	\$(225)	\$(225)
	\$ 0	\$ 0	\$ 0	\$ 0

FY 16/17: Revised to reflect that we do not anticipate any booth fees this year.				
Title: Memberships	\$ 675	\$ 675	\$ 675	\$ 2,025
Description: Dues for Project Directors' Association [\$600 per year]; annual subscription for American Non-Smokers Rights Magazine [\$75 per year].	\$ 0	\$ 0	\$ 0	\$ 0
	\$ 675	\$ 675	\$ 675	\$ 2,025
Previously Approved Other Costs:	\$ 2,260	\$ 13,911	\$ 33,693	\$ 49,864
Total Adjustments:	\$ 0	\$ 0	\$ 5,053	\$ 5,053
New Approved Amount:	\$ 2,260	\$ 13,911	\$ 38,746	\$ 54,917
H. Indirect Expenses	FY 14/15	FY 15/16	FY 16/17	Total Budget
At approximately 25% - 25% of XXXXX, Indirect Expenses includes the following:	\$ 24,542	\$ 26,003	\$ 28,169	\$ 78,714
	\$ 0	\$ 0	\$(1,341)	\$(1,341)
Includes Public Health and Health and Human Services Agency Administration (which includes audits) costs and County Central Services A-87 (County Counsel, Personnel, Payroll, Evaluator, Risk Mgmt., Communication, Information Services, Insurance, Purchasing, etc.) and Building and Equipment costs (A-87) that are specific to our central services providers. Lead evaluation services are provided by an internal Epidemiologist. This position provides technical assistance, develops tools, analyzes data, and completes final and brief evaluation reports. The Epidemiologist attends trainings and participates in Communities of Excellence planning, implementation, and reporting.	\$ 24,542	\$ 26,003	\$ 26,828	\$ 77,373
The County's approved maximum ICR on file with CDPH is 25% of Personnel and Fringe Benefits. All expenses charged to indirect costs in this plan will conform with the County indirect cost rate plan filed with CDPH.				
FY 14/15: Revise budget to reflect actuals for FY14/15 for rollover to FY15/16.				
[REVISION FY 15/16 Utilize Health and Human Services Agency Community Relations personnel for services including but not limited to development of multimedia plans,				

<p>determining budgets for multimedia messaging, communication training for local tobacco control advocates and Coalition, development of educational materials, marketing and public relations as necessary to support activities for Objectives 1, 2 and 3.]</p> <p>FY 15/16: Revised to reflect actual costs for FY15/16 for rollover to FY16/17.</p> <p>FY16/17: Reduced to reflect reduced salary/benefits due to vacancy.</p>				
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Combined Scope of Work

Procurement Name: LLA 14-17 Phase II

Contract Number: CTCP-13-45

Agency Name: Shasta County

Project Name: Tobacco Education Program

Project Type: Local Lead Agency

Contract Term: 07/01/2014 - 06/30/2017

Effective Date: 07/01/2016

Plan Version ID: 6.0

Report Generated: 12/12/2016 08:48 AM

Objective 1

Objective Overview

Objective: By June 30, 2017, at least one jurisdiction in Shasta County (e.g. City of Redding, City of Shasta Lake, City of Anderson, Shasta College, or Shasta County) will adopt and implement a new policy that defines "smoke" and "smoking" to cover the use of electronic nicotine delivery devices (ENDDD).

Objective ID: 1

Primary Priority Area: (2) Reduce Exposure to Secondhand Smoke, Tobacco Smoke Residue, Tobacco Waste, and Other Tobacco Products

Is this a primary objective? No

Evaluation Plan Type: Legislated Policy -- Adoption and Implementation

Target Audience: **Audience Group**

- Adults 18 years and older
- Advocates
- Coalitions
- College Students/faculty/staff
- Elected Officials
- Government Agencies
- Health Professionals
- Parks and Recreation

General Population Groups

- Multi-ethnic

Indicator(s)

Primary

2.2.9 Smoke-free Outdoor Non-recreational Public Areas: The number of jurisdictions covered by a public policy that designates outdoor non-recreational public areas as smoke-free (e.g., walkways, streets, plazas, college/trade school campuses, shopping centers, transit stops, farmers markets, swap meets). (CORE)

Secondary

2.2.16 Smoke-free Outdoor Recreational Areas: The number of jurisdictions covered by a public policy that designates outdoor recreational facilities, areas, and venues as smoke-free (e.g. amusement parks, beaches, fairgrounds, parks, parades, piers, playgrounds, sporting venues, tot lots, zoos).

Intervention Topic(s)

- Chew, Snus, Snuff Education
- Cigar/Little Cigar Education
- Dissolvable Tobacco Products Education
- ENDD Education
- Hookah Education
- Key Informant Interviews
- Midwest Academy Strategy Chart
- Newspaper Advertising

- Policy/System Change Training
- Public Intercept Surveys
- Radio Advertising
- Schools Collaboration (colleges & universities)
- Schools collaboration (K-12)
- Volunteer Recruitment
- Website Advertising

Intervention Activity Plan

Activity 1-1-1		
Activity:	Request assistance and materials from statewide grantees and other Local Lead Agencies (LLAs) with experience in policy adoption and outdoor smoking policy to inform local policy development, provide sample policies and materials on policy adoption and outdoor smoking, and community organizing.	
Intervention Category:	Coordination/Collaboration Activities	
Copyright:	No	
Program Deliverable Percentage:	0.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Information and Resources	On File
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted

Activity 1-1-2		
Activity:	Participate in 2 - 4 California Tobacco Control Program (CTCP) sponsored technical assistance teleconference/web meetings, trainings and/or conferences addressing policy adoption, and secondhand smoke (SHS) exposure in order to stay current with the latest information and intervention strategies and to network with other CTCP-funded projects working on similar issues.	
Intervention Category:	Coordination/Collaboration Activities	
Copyright:	No	
Program Deliverable Percentage:	0.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Participation Log	On File
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Project Director	Budgeted

Activity 1-1-3		
Activity:	Monitor secondhand smoke and policy websites and Partners for relevant program and policy developments.	
Intervention Category:	Coordination/Collaboration Activities	
Copyright:	No	
Program Deliverable Percentage:	0.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Information and Resources	On File
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted

Activity 1-1-4		
Activity:	Develop and bi-annually maintain a list of citizens and organizations interested in defining "smoke" and "smoking" to cover the use of electronic nicotine delivery devices (ENDD). Interested citizens and organizations will be recruited for Policy and SHS workgroups, letters of support, and endorsements.	
Intervention Category:	Coordination/Collaboration Activities	
Copyright:	No	
Program Deliverable Percentage:	1.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	List of Organizations/Citizens	On File
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted

Activity 1-1-5		
Activity:	Establish, facilitate and support one (1) Policy and SHS workgroup of 3 - 5 people, to meet at least quarterly. Workgroup will include representatives from the Shasta County Tobacco Education Coalition, local community partners and community members, to assist with community organizing efforts to increase the awareness of the dangers of ENDD use, the importance of defining "smoke" and "smoking" to cover the use of ENDDs and identifying community needs for updated smoke-free signage and technical assistance from LLA. Workgroup will support LLA by participating in public intercept and post implementation observational surveys.	
Intervention Category:	Coordination/Collaboration Activities	
Copyright:	No	
Program Deliverable Percentage:	2.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	

Tracking Measures:	Measure	Submit
	Workgroup Meeting Minutes	Yes
	Workgroup Member List	Yes
Responsible Parties:	Responsible Party	Budget Type
	Policy and SHS Workgroup	Non-Budgeted
	Project Coordinator	Budgeted

Activity 1-1-6

Activity:	Provide updates on progress made by workgroups (5 -10 minute presentations and/or written updates) to the general membership of the Tobacco Coalition 9 -12 times over the period.	
Intervention Category:	Coordination/Collaboration Activities	
Copyright:	No	
Program Deliverable Percentage:	0.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Coalition Agendas	On File
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted

Activity 1-2-7

Activity:	Respond to community complaints resulting from the distribution of 300 – 1000 Shasta County Tobacco Violations Hotline Cards. The Hotline Cards will be distributed by the Tobacco Compliance Officer during educational activities such as local business compliance checks and community events. Hotline Cards will provide an avenue for community members to contact the LLA and report complaints about SHS (including the use of ENDDs) exposure at entryways and outdoor public/recreation areas. Complaints will be followed up by educational visits and will be logged.	
Intervention Category:	Community Education Activities	
Copyright:	No	
Program Deliverable Percentage:	1.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Complaint Record	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Tobacco Compliance Officer	Non-Budgeted

Activity 1-7-8

Activity:	Conduct 3 - 6 educational visits, 15 - 30 minutes in length, with key opinion leaders, policy makers and/or policymaking bodies/boards (e.g.
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	representatives from Shasta College Board of Trustees; Shasta County Board of Supervisors; Shasta County Office of Education) to educate and raise awareness of the about the targeted marketing of ENDD products including, but not limited to electronic cigarettes, cigars, cigarillos, hookahs or pipes.	
Intervention Category:	Policy Activities	
Copyright:	No	
Program Deliverable Percentage:	3.50 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Board/Meeting Minutes	Yes
Responsible Parties:	Responsible Party	Budget Type
	Policy and SHS Workgroup	Non-Budgeted
	Project Coordinator	Budgeted

Activity 1-2-9

Activity:	Provide an educational booth and resources at 3 - 6 community events, such as local health fairs and Marketfest, to educate the public about the dangers of ENDD use and the need to define "smoke" and "smoking" to cover the use of ENDDs. Upon implementation, distribute ENDD education materials, and educate event attendees about the new policy.	
Intervention Category:	Community Education Activities	
Copyright:	No	
Program Deliverable Percentage:	2.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Community Event Photos	Yes
Responsible Parties:	Responsible Party	Budget Type
	Policy and SHS Workgroup	Non-Budgeted
	Project Coordinator	Budgeted

Activity 1-2-10

Activity:	Design and distribute 500 – 1000 educational materials, such as flyers, posters, fact sheets, or inserts in utility bills, via mail, email blasts or community distribution, to educate targeted community members and businesses about the dangers of ENDD use and the need to define "smoke" and "smoking" to cover the use of ENDDs.	
Intervention Category:	Community Education Activities	
Copyright:	Yes	
Program Deliverable Percentage:	3.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	07/16-12/16	

Tracking Measures:	Measure Submit Distribution Log Yes
Responsible Parties:	Responsible Party Budget Type Policy and SHS Workgroup Non-Budgeted Project Coordinator Budgeted

Activity 1-2-11

Activity:	Develop and provide no-smoking signs appropriate to each jurisdiction or campus that has adopted and implemented a policy that defines "smoke" and "smoking" to cover the use of ENDDs.
Intervention Category:	Community Education Activities
Copyright:	No
Program Deliverable Percentage:	4.00 %
Start Date Period:	07/14-12/14
Completion Date Period:	01/17-06/17
Tracking Measures:	Measure Submit Copies of Signs Yes
Responsible Parties:	Responsible Party Budget Type Project Coordinator Budgeted Tobacco Compliance Officer Non-Budgeted

Activity 1-3-12

Activity:	Send two letters of appreciation to jurisdictions (e.g. Redding/Shasta Lake/Anderson City Councils; Shasta College Board of Trustees; Shasta County Board of Supervisors) that have adopted and implemented a policy that defines "smoke" and "smoking" to cover the use of ENDDs.
Intervention Category:	Educational Materials Development
Copyright:	No
Program Deliverable Percentage:	0.00 %
Start Date Period:	07/14-12/14
Completion Date Period:	01/17-06/17

Activity 1-14-13

Activity:	Maintain quarterly one (1) website webpage (e.g. Shasta County Tobacco Education Coalition website) to coordinate activities of Shasta County Tobacco Education Coalition, and community partners, which will also be visited by the public to keep individuals informed of local policy efforts.
Intervention Category:	Earned Media Activities
Copyright:	No
Program Deliverable Percentage:	1.00 %
Start Date Period:	07/14-12/14
Completion Date Period:	01/17-06/17
Tracking Measures:	Measure Submit

	Website Analytics Yes
Responsible Parties:	Responsible Party Budget Type Project Coordinator Budgeted

Activity 1-13-14

Activity:	Develop 6 media advertisements such as but not limited to print, digital, or radio ads (e.g. print ad in Northstate Parent Magazine, banner, transit shelter ads, digital convenience store ads, and radio ads on KQMS) to educate and inform the public about ENDD use. Check with statewide grantees for pre-existing materials.	
Intervention Category:	Paid Media Activities	
Copyright:	Yes	
Program Deliverable Percentage:	2.50 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Media Submissions	Yes
	Resulting Media	Yes
Responsible Parties:	Responsible Party	Budget Type
	Policy and SHS Workgroup	Non-Budgeted
	Project Coordinator	Budgeted

Activity 1-7-15

Activity:	Develop and maintain a list of county businesses/venues that currently have voluntary and/or legislated SHS policies that include ENDD (e.g. smoke-free campus/areas, 20' entryway policy, smoke-free outdoor dining, and/or designated smoking areas) for the purpose of obtaining buy-in, letters of support, and endorsements.	
Intervention Category:	Policy Activities	
Copyright:	No	
Program Deliverable Percentage:	0.50 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Voluntary/Legislated List	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Tobacco Compliance Officer	Non-Budgeted

Activity 1-7-16

Activity:	Conduct one (1) strategic planning session, 1 - 2 hours in length, utilizing Midwest Academy Strategy Chart with members of the Policy and SHS Workgroup to identify goals, organizational considerations, constituents/allies/opponents, targets, and tactics.
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Intervention Category:	Policy Activities						
Copyright:	No						
Program Deliverable Percentage:	3.00 %						
Start Date Period:	07/14-12/14						
Completion Date Period:	07/14-12/14						
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>MWA Session Results</td><td>Yes</td></tr> </table>	Measure	Submit	MWA Session Results	Yes		
Measure	Submit						
MWA Session Results	Yes						
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Policy and SHS Workgroup</td><td>Non-Budgeted</td></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Policy and SHS Workgroup	Non-Budgeted	Project Coordinator	Budgeted
Responsible Party	Budget Type						
Policy and SHS Workgroup	Non-Budgeted						
Project Coordinator	Budgeted						

Activity 1-11-17

Activity:	Provide 3 - 5 trainings, 15 - 30 minutes in length, for the Shasta County Tobacco Education Coalition at regular coalition meetings to keep them informed of new issues related to e-cigarettes and defining "smoke" and "smoking" to cover the use of ENDDs and to share updated talking points for responding to community members and policy makers.				
Intervention Category:	Training/Technical Assistance Activities				
Copyright:	No				
Program Deliverable Percentage:	1.50 %				
Start Date Period:	07/14-12/14				
Completion Date Period:	01/17-06/17				
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Coalition Minutes</td><td>Yes</td></tr> </table>	Measure	Submit	Coalition Minutes	Yes
Measure	Submit				
Coalition Minutes	Yes				
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted
Responsible Party	Budget Type				
Project Coordinator	Budgeted				

Activity 1-11-18

Activity:	Provide 8 - 15 hours of technical assistance by telephone, e-mail or face-to-face contact to policy makers, legal counsel, law enforcement, businesses, and community members on issues related to e-cigarettes and defining "smoke" and "smoking" to cover the use of ENDDs.						
Intervention Category:	Training/Technical Assistance Activities						
Copyright:	No						
Program Deliverable Percentage:	1.50 %						
Start Date Period:	07/14-12/14						
Completion Date Period:	01/17-06/17						
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Technical Assistance Log</td><td>Yes</td></tr> </table>	Measure	Submit	Technical Assistance Log	Yes		
Measure	Submit						
Technical Assistance Log	Yes						
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Policy and SHS Workgroup</td><td>Non-Budgeted</td></tr> <tr> <td>Tobacco Compliance Officer</td><td>Non-Budgeted</td></tr> </table>	Responsible Party	Budget Type	Policy and SHS Workgroup	Non-Budgeted	Tobacco Compliance Officer	Non-Budgeted
Responsible Party	Budget Type						
Policy and SHS Workgroup	Non-Budgeted						
Tobacco Compliance Officer	Non-Budgeted						

Activity 1-7-19		
Activity:	Disseminate any final policies adopted by the jurisdictions to CTCP's Strategic Planning and Policy Unit and Americans for Non-Smokers' Rights so that the policy may be logged into their policy databases.	
Intervention Category:	Policy Activities	
Copyright:	No	
Program Deliverable Percentage:	0.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Copy of the Policy	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted

Evaluation Activity Plan

Evaluation Activity 1-E-5	Final Evaluation Report	
Type of analysis:	Process evaluation will be conducted for this objective. The results of the public intercept survey and the site observational survey will be analyzed to illustrate public awareness of the new policy.	
Methods to disseminate findings:	The results will be shared with the Shasta County Tobacco Education Coalition and to appropriate partners working on the policy.	
Study limitations or challenges:	The small sample size for the public intercept survey may create challenges in gaining acceptance of the validity of the survey results.	
Copyright:	No	
Program Percentage Deliverable:	1.50 %	
Period evaluation report to be submitted:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Brief Evaluation Report	Yes
	Copy of Council or Board Minutes	On File
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Evaluator	Budgeted
	Project Director	Budgeted
Evaluation Activity 1-E-6	Data Collection Training	
Training purpose:	Train a team of surveyors on the methodology of conducting a public intercept survey. This training will include tips on effective recruitment, explaining the forms, the importance of thorough information, and how to consistently collection information from different respondents.	
Number of times to be conducted:	1	
Training length:	30 minutes	

Number to be trained:	4	
Who will be trained and method for selection:	Shasta County Tobacco Education Program Staff will be trained.	
Method to evaluate training:	A post-test training satisfaction survey will be administered and will address the participants' perception of whether their ability to administer a public intercept survey improved as a result of the training.	
Copyright:	No	
Program Percentage Deliverable:	0.50 %	
Period evaluation activity will be conducted:	01/17-06/17	
Period results will be analyzed and disseminated:	01/17-06/17	
Tracking Measures:	Measure Sign-in sheet from training Training Satisfaction Survey Results	Submit On File Yes
Responsible Parties:	Responsible Party Project Coordinator Evaluator Tobacco Compliance Officer Community Organizer Project Director	Budget Type Budgeted Budgeted Non-Budgeted Non-Budgeted Budgeted
Evaluation Activity 1-E-9	Media Activity Record	
Description of the topic or type of records:	A media content analysis will be conducted using news websites, social media websites and blogs, area and local television, and hard-copy community newspapers and newsletters. The media's effectiveness in delivering the message will be evaluated, as will the accuracy and neutrality of facts. The analysis will also gauge the level of general understanding relevant to the purpose and scope of individual locally legislated ENDD policies.	
How the records will advance the objective:	Content analysis will evaluate local media for accuracy and neutrality of facts as well as gauge the level of general understanding relevant to the purpose and scope of individual legislated ENDD policies within specific jurisdictions. The media record may help to identify specific needs for community education, focus and adapt intervention strategies, and assist LLA with content of educational materials including smoke-free signage.	
Program Percentage Deliverable:	1.50 %	
Period evaluation activity will be conducted:	01/16-06/16 01/17-06/17	
Tracking Measures:	Measure Content Analysis Media Activity Record	Submit Yes Yes
Responsible Parties:	Responsible Party Project Coordinator Evaluator Project Director	Budget Type Budgeted Budgeted Budgeted

Evaluation Activity 1-E-7	Public Intercept Survey / Opinion Poll	
Description of the instrument to be used or developed:	The Tobacco Control Evaluation Center will be consulted to develop a tool that measures demographics, place of residence, and public awareness of the new policy.	
Sample size:	75	
Will follow-up polls be conducted:	No	
Data collection method:	Face-to-face	
Method to analyze findings:	Simple descriptive analysis of the results from the public intercept survey will gauge public awareness of the new policy.	
Copyright:	Yes	
Program Percentage Deliverable:	2.00 %	
Period evaluation activity will be conducted:	01/17-06/17	
Period results will be analyzed and disseminated:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Public Opinion Survey Questionnaire	Yes
	Public Opinion Survey Results	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Evaluator	Budgeted
	Tobacco Compliance Officer	Non-Budgeted
	Community Organizer	Non-Budgeted
	Project Director	Budgeted
Evaluation Activity 1-E-8	Collection of Outcome Data	
Study Design:	Non-Experimental	
Intervention Groups:		
Control Groups:		
Intact Groups:	No	
Measurements:	Post-test Only	
Study Design Description:	A site observational survey will be created to evaluate compliance with legislated ENDD policies.	
Description of the instrument to be used or developed:	The instrument will measure occurrence of smoking at observed locations throughout Shasta County.	
Description of activities and resources to design instrument:	LLA will utilize observation surveys developed during past SOWs and adapt as necessary to include the use of ENDDs.	
Copyright:	Yes	
Program Percentage Deliverable:	0.50 %	

Period development of data collection instrument and protocol begins:	07/15-12/15	
Period data collection and protocol completed:	07/15-12/15	
Tracking Measures:	Measure	Submit
	Site Observation Form	Yes
	Site Observation Protocol	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Evaluator	Budgeted
	Project Director	Budgeted
Sample Size:	50	
Sample Selection Method:	None	
Method for conducting evaluation activity:	Observational survey	
If other, please specify:		
Data collection source:	Other	
If other, please specify:	In-person/On-site	
Program Percentage Deliverable:	2.00 %	
Period evaluation activity will be conducted:	07/15-12/15	
Period to submit data analysis report:	07/16-12/16	
Tracking Measures:	Measure	Submit
	Site Observation Survey Results	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Evaluator	Budgeted
	Tobacco Compliance Officer	Non-Budgeted
	Community Organizer	Non-Budgeted
	Project Director	Budgeted

Narrative Summary

Community Assessment Analysis: Ratings for this objective were derived from two Indicators: (2.2.9) The number of jurisdictions covered by a public policy that designates outdoor non-recreational public areas as smoke-free (e.g., walkways, streets, plazas, college/trade school campuses, shopping centers, transit stops, farmers markets, swap meets). & (2.2.16) Smoke-free Outdoor Recreational Areas: The number of jurisdictions covered by a public policy that designates outdoor recreational facilities, areas, and venues as smoke-free (e.g. amusement parks, beaches, fairgrounds, parks, parades, piers, playgrounds, sporting venues, tot lots, zoos). Many members of the CX workgroup felt that there is a problem with the lack of laws to limit exposure

to secondhand smoke in public places. While most agreed that public awareness was good, there were doubts as to whether public policy changes would be top on decision makers agendas due to other challenges faced locally. Questions about enforcement and challenges related to defining what "smoke-free" means arose. Progress locally was noted in both legislated and voluntary policies but serious gaps in electronic nicotine delivery devices (ENDD) policies were discussed at great length. Areas mentioned that needed more smoke-free outdoor policies included the City of Shasta Lake and Downtown Redding. Partnerships with legislated policy makers include City of Anderson (events), City of Redding (Shasta Library) and Simpson College (a smoke-free campus).

Major Intervention Activities: In an effort to support jurisdictions within Shasta County and Shasta County in adopting a new policy that defines "smoke" and "smoking" to cover the use of ENDDs, the Local Lead Agency (LLA) will establish, facilitate and support one Policy and SHS workgroup of 3 - 5 people, to meet at least quarterly for 60 - 90 minutes, that includes representatives from the Shasta County Tobacco Education Coalition, local community partners and non-smoking advocates, to assist with community organizing efforts for policy adoption. Intervention activities will focus on education of key opinion leaders and policy makers through individual meetings and presentations. These leaders will also be supported through the development of a model policy and opportunities for technical assistance from the LLA and state resources. Interventions will focus on the general public through community awareness activities as they pertain to secondhand smoke issues and voluntary policies, such as distribution and response to calls to the Shasta County Tobacco Violations Hotline, education and resources at community events, media publications, and opportunities to participate in Policy and SHS Workgroup activities. Signage will be provided to areas/venues that have successfully passed a new policy that defines "smoke" and "smoking" to cover the use of ENDDs.

Theory of Change: This objective, will apply the theory of Community Organizing, and will also utilize the model of Social Action. The theory of Community Organizing is a process through which community groups are helped to identify common problems, mobilize resources, and develop and implement strategies to reach collective goals. As a model of the theory of Community Organizing, Social action aims to increase the community's capacity to solve problems and achieve concrete changes that redress social injustices. Our objective is to support Shasta County in adopting a new policy that defines "smoke" and "smoking" to cover the use of ENDDs. These concepts of Community Organizing include: empowerment, community capacity, participation, relevance, issue selection, and critical consciousness. In this objective empowerment is exercised through the enlistment of community stakeholders and community members in a Policy and SHS Workgroup. This Workgroup will assist with completion of the Midwest Academy Strategy Chart and intervention activities. Policy makers and key opinion leaders will be encouraged to identify needs in their jurisdictions and interact with their constituents and departments as it relates to policy selection and development. Community Capacity includes the development of policy tools and resources that influence individual perceptions of cohesiveness, build identity and capitalize on the development of a strategic campaign plan. Participation is represented by the utilization of the Workgroup in development of a new model policy for Shasta County and other jurisdictions within Shasta County. Jurisdictions that amend or adopt a new policy will serve as a catalyst to motivate change at a county level. Relevance will be exercised through educational meetings with key opinion leaders and policy makers. These meetings will provide leaders and policy makers with opportunities to identify their community needs and resources as they pertain to tobacco control policy. Additionally, the Local Lead Agency will provide 8 - 15 hours of technical assistance to jurisdictions regarding local tobacco control education, and policy development in an effort to address

needs intentionally. Issue Selection entails the community's ability to take issues and place them into solvable pieces. The concept of Critical Consciousness is encompassed in objective activities addressing strategic campaign planning, educational sessions, technical assistance to jurisdictions, evaluation, and communications tools.

Evaluation Summary Narrative: Because the policy was passed in the first six months of the 14-17 Scope of Work and therefore transitioned into an implementation objective, we will focus primarily on providing technical assistance to jurisdictions which have amended their smoking policies, and document the adoption of the policy. We will conduct three process data collection activities including a data collection training for the public opinion poll; and a public opinion poll to measure public awareness of the new policy. Seventy-five participants will be surveyed at community "hub" locations throughout the county where the policy is in effect. Examples of these locations might include the Happy Valley Shopping Center, the Golden Bear Store in Round Mountain, the Shingletown Store, the Holiday Market Shopping Center in Cottonwood, the Lakehead Shell Station, the Igo Store, the Sierra Market in McArthur, and the gas station in Fall River. Additionally, a site observational survey will be created to evaluate compliance with legislated ENDD policies. The LLA will conduct the survey to measure occurrence of smoking at observed locations throughout Shasta County. Media activity throughout Shasta County relevant to local legislated ENDD policies will be collected. A media record content analysis will evaluate local media for accuracy and neutrality of facts as well as gauge the level of general understanding relevant to the purpose and scope of individual legislated ENDD policies within specific jurisdictions. A copy of the final Council or Board minutes on the day the policy was voted on will document whether the policy was adopted.

Objective 2

Objective Overview

Objective: By June 30, 2017, at least one jurisdiction within Shasta County (e.g., City of Anderson, City of Shasta Lake, or City of Redding) will amend the existing city zoning code to require a conditional use permit (CUP) for tobacco retailers and/or electronic nicotine delivery device (ENDD) retail outlets. The new CUP may include restrictions such as, a tobacco retailer licensing policy to limit the sale of tobacco products within 1000 feet of child sensitive areas (e.g., schools, parks and playgrounds) and/or limit the number of retailers (e.g., establish a cap on the number of retailers within city limits).

Objective ID: 2

Primary Priority Area: (3) Reduce the Availability of Tobacco

Is this a primary objective? Yes

Evaluation Plan Type: Legislated Policy– Adoption Only

Target Audience: **Audience Group**

- 13-17 years
- Adults 18 years and older
- Advocates
- Coalitions
- College Students/faculty/staff
- Elected Officials
- Health Professionals
- Tobacco Retailers

General Population Groups

- Multi-ethnic

Indicator(s)

Primary

3.2.2 Tobacco Retailer Density/Zoning: The number of jurisdictions covered by a policy that restricts the number, location, and/or density of tobacco and/or ENDD retail outlets through use of any of the following means: conditional use permits, zoning, tobacco retail permits or licenses, or direct regulation. (CORE)

Intervention Topic(s)

- Alcohol and Drug Prevention Collaboration
- ENDD Education
- Facebook
- Key Informant Interviews
- Midwest Academy Strategy Chart
- Nutrition Program Collaboration
- Policy/System Change Training
- Press conference(s)
- Press release(s)
- Public Intercept Surveys
- Retail Marketing Survey-Tobacco
- Spokespersons Training
- Volunteer Recruitment

Intervention Activity Plan**Activity 2-1-1**

Activity:	Request assistance and materials from statewide grantees and other Local Lead Agencies (LLAs) and other resources for information about a policy that amends the city zoning code to require a conditional use permit (CUP) for tobacco retailers and/or electronic nicotine delivery device (ENDD) retail outlets.		
Intervention Category:	Coordination/Collaboration Activities		
Copyright:	No		
Program Deliverable Percentage:	0.00 %		
Start Date Period:	07/14-12/14		
Completion Date Period:	01/17-06/17		
Tracking Measures:	Measure	Submit	
	Information and Resources	On File	
Responsible Parties:	Responsible Party	Budget Type	
	Project Coordinator	Budgeted	

Activity 2-1-2

Activity:	Conduct 3 - 4 presentations to introduce the Healthy Stores for a Healthy Community (HSHC) Campaign and to recruit a diverse group of 2 - 4 non-tobacco public health and education groups such as Alcohol and Drug Prevention, Nutrition, Chronic Disease, Black Infant Health, Diabetes, Environmental Health, Violence Prevention, Behavioral Health, Built Environment, and Food Security at the local level to collaborate on retail environment data collection and training activities. Coordinate quarterly
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	meetings among recruited partners to develop and strategize around training and implementation of joint activities.						
Intervention Category:	Coordination/Collaboration Activities						
Copyright:	No						
Program Deliverable Percentage:	2.00 %						
Start Date Period:	07/14-12/14						
Completion Date Period:	01/17-06/17						
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Collaboration Notes</td><td>Yes</td></tr> </table>	Measure	Submit	Collaboration Notes	Yes		
Measure	Submit						
Collaboration Notes	Yes						
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> <tr> <td>Project Director</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted	Project Director	Budgeted
Responsible Party	Budget Type						
Project Coordinator	Budgeted						
Project Director	Budgeted						

Activity 2-1-3

Activity:	Utilizing California Tobacco Control Program (CTCP) - produced materials such as the HSHC Campaign marketing materials, tips for involving youth, and tips for integration and outreach materials, conduct 1 - 3 presentations to groups such as Shasta County Friday Night Live, California Heritage YouthBuild Academy (CHYBA), and Youth Violence Prevention Council (YVPC), to introduce the HSHC Campaign and to recruit new members. Recruit approximately 5 -10 adults and youth to participate in the campaign to help with data collection and function as community spokespersons. These individuals will participate in trainings and webinars to prepare for a local press conference coordinated in collaboration with CTCP.						
Intervention Category:	Coordination/Collaboration Activities						
Copyright:	No						
Program Deliverable Percentage:	0.50 %						
Start Date Period:	07/14-12/14						
Completion Date Period:	01/17-06/17						
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Partnership Tracking Form</td><td>Yes</td></tr> <tr> <td>Recruitment Materials</td><td>Yes</td></tr> </table>	Measure	Submit	Partnership Tracking Form	Yes	Recruitment Materials	Yes
Measure	Submit						
Partnership Tracking Form	Yes						
Recruitment Materials	Yes						
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> <tr> <td>Project Director</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted	Project Director	Budgeted
Responsible Party	Budget Type						
Project Coordinator	Budgeted						
Project Director	Budgeted						

Activity 2-1-4

Activity:	Participate in required trainings and webinars including: Communities of Excellence, Local Lead Agency (LLA) Guidelines, the Project Directors' Meeting, and Capitol Information & Education Days; participate in optional trainings, reviews, and webinars including: HSHC Campaign Advanced Data Analysis, Key Informant Interview Training, Public Intercept Interview Training, LLA Technical Assistance Sessions, LLA Peer Review, and Local Spokesperson and Press Conference Support Trainings.
Intervention Category:	Coordination/Collaboration Activities
Copyright:	No

Program Deliverable Percentage:	0.00 %						
Start Date Period:	07/14-12/14						
Completion Date Period:	01/17-06/17						
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Participation Tracking Log</td><td>On File</td></tr> </table>	Measure	Submit	Participation Tracking Log	On File		
Measure	Submit						
Participation Tracking Log	On File						
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> <tr> <td>Project Director</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted	Project Director	Budgeted
Responsible Party	Budget Type						
Project Coordinator	Budgeted						
Project Director	Budgeted						

Activity 2-1-5

Activity:	Participate in 2 - 4 CTCP sponsored technical assistance teleconference/web meetings, trainings, and/or conferences addressing a policy that amends the city zoning code to require a CUP for tobacco retailers and/or ENDD retail outlets in order to stay current with the latest information and intervention strategies and to network with other CTCP funded projects working on similar issues.						
Intervention Category:	Coordination/Collaboration Activities						
Copyright:	No						
Program Deliverable Percentage:	0.00 %						
Start Date Period:	07/14-12/14						
Completion Date Period:	01/17-06/17						
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Participation Tracking Log</td><td>On File</td></tr> </table>	Measure	Submit	Participation Tracking Log	On File		
Measure	Submit						
Participation Tracking Log	On File						
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> <tr> <td>Project Director</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted	Project Director	Budgeted
Responsible Party	Budget Type						
Project Coordinator	Budgeted						
Project Director	Budgeted						

Activity 2-1-6

Activity:	Provide updates on progress made (5 -10 minute presentations and/or written updates) to the general membership of the Tobacco Coalition 9 -12 times over the period.				
Intervention Category:	Coordination/Collaboration Activities				
Copyright:	No				
Program Deliverable Percentage:	0.00 %				
Start Date Period:	07/14-12/14				
Completion Date Period:	01/17-06/17				
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Coalition Minutes</td><td>Yes</td></tr> </table>	Measure	Submit	Coalition Minutes	Yes
Measure	Submit				
Coalition Minutes	Yes				
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted
Responsible Party	Budget Type				
Project Coordinator	Budgeted				

Activity 2-2-7

Activity:	Develop, schedule, coordinate, and conduct 5 - 10 "CUP for tobacco retailers and/or ENDD retail outlets" presentations, 30 minutes in length, for ethnic, youth, health, and faith-based groups and organizations designed to promote a CUP for tobacco retailers and/or ENDD retail outlets. The presentation will be designed to fit into board and staff meetings so that some presentations will be delivered to individual organizations and other presentations may be given to numerous organizations at one time in a group setting.	
Intervention Category:	Community Education Activities	
Copyright:	No	
Program Deliverable Percentage:	4.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Workshop Agendas	Yes
Responsible Parties:	Responsible Party	Budget Type
	Community Organization(s)	Non-Budgeted
	Project Coordinator	Budgeted
	Project Director	Budgeted

Activity 2-7-8

Activity:	Conduct 3 - 6 educational visits, 15 - 30 minutes in length, with key opinion leaders, policy makers and/or policymaking bodies/boards (e.g. Planning Commissions, City Councils, Shasta County Board of Supervisors) to educate and raise awareness about the benefits of a CUP for tobacco retailers and/or ENDD retail outlets.	
Intervention Category:	Policy Activities	
Copyright:	No	
Program Deliverable Percentage:	2.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Notes from Educational Visits	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted

Activity 2-2-9

Activity:	Provide an educational booth and resources at 2 - 4 community events such as local health fairs and Marketfest to educate the public about the benefits of a CUP for tobacco retailers and/or ENDD retail outlets.	
Intervention Category:	Community Education Activities	
Copyright:	No	
Program Deliverable Percentage:	3.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	

Tracking Measures:	Measure Community Event Photos	Submit Yes
Responsible Parties:	Responsible Party Project Coordinator Shasta County Tobacco Education Coalition Member(s) Tobacco Compliance Officer	Budget Type Budgeted Non-Budgeted Non-Budgeted

Activity 2-3-10

Activity:	Design and produce, 1 - 3 educational materials such as talking points, fact sheets, and/or postcards, and/or web videos by adapting existing resources from statewide grantees and other LLAs about the benefits of a CUP for tobacco retailers and/or ENDD retail outlets to be utilized in presentations and community booths.	
Intervention Category:	Educational Materials Development	
Copyright:	Yes	
Program Deliverable Percentage:	1.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure Talking Points, Postcards, Fact Sheets	Submit Yes
Responsible Parties:	Responsible Party Project Coordinator	Budget Type Budgeted

Activity 2-4-13

Activity:	Purchase and distribute 20-100 behavior modification materials (BMMs), such as gift cards, movie tickets, etc. consistent with CTCP guidelines, BMMs are provided to program participants to motivate and/or reinforce positive behavior, participation, and/or involvement in tobacco control activities and requires action on the part of the recipient to receive the BMM. The cost of the BMM may not exceed \$50 in value, per person, per year, and shall not include gift cards that can be used to purchase tobacco or alcohol products. The project will be responsible for the possession, security (e.g. will keep under lock and key), and accountability of the gift cards. The project will prepare a log sheet that will track and identify each of the gift cards, value, gift card transfer date, and recipient.	
Intervention Category:	Behavior Modification Materials	
Copyright:	No	
Program Deliverable Percentage:	0.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure Behavior Modification Log	Submit Yes
Responsible Parties:	Responsible Party Project Coordinator	Budget Type Budgeted

Activity 2-14-14	
Activity:	Create 1 - 2 flyers, targeting ethnic, youth, health, and faith-based groups and organizations, to promote "CUP for tobacco retailers and/or ENDD retail outlets" presentations and raise awareness about the project that initiates participation. An email-blast and mailing of the flyers will be sent to 25 – 35 ethnic, youth, health, and faith-based groups and organizations and the general public.
Intervention Category:	Earned Media Activities
Copyright:	Yes
Program Deliverable Percentage:	1.50 %
Start Date Period:	07/14-12/14
Completion Date Period:	01/17-06/17
Tracking Measures:	Measure Submit Flyer(s) Yes
Responsible Parties:	Responsible Party Budget Type Project Coordinator Budgeted

Activity 2-14-15											
Activity:	In coordination with CTCP and other LLAs in the region, plan and conduct at least one substantive media activity (such as a press event, public report release, or community forum/town hall), designed to educate the public on the local data collection results and provide leverage and positioning for the ongoing HSHC objective. The activity will include local media outreach (including ethnic media), and may also include coordination of spokespersons and local tailoring of media materials, (e.g., a local press release, fact sheet, visuals, and/or talking points).										
Intervention Category:	Earned Media Activities										
Copyright:	No										
Program Deliverable Percentage:	3.00 %										
Start Date Period:	01/17-06/17										
Completion Date Period:	01/17-06/17										
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Event Agenda</td><td>Yes</td></tr> <tr> <td>Sample Press Packet</td><td>Yes</td></tr> </table>	Measure	Submit	Event Agenda	Yes	Sample Press Packet	Yes				
Measure	Submit										
Event Agenda	Yes										
Sample Press Packet	Yes										
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> <tr> <td>Project Director</td><td>Budgeted</td></tr> <tr> <td>Shasta County Tobacco Education Coalition Member(s)</td><td>Non-Budgeted</td></tr> <tr> <td>Spokespersons</td><td>Non-Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted	Project Director	Budgeted	Shasta County Tobacco Education Coalition Member(s)	Non-Budgeted	Spokespersons	Non-Budgeted
Responsible Party	Budget Type										
Project Coordinator	Budgeted										
Project Director	Budgeted										
Shasta County Tobacco Education Coalition Member(s)	Non-Budgeted										
Spokespersons	Non-Budgeted										

Activity 2-11-16	
Activity:	Provide 1 - 2 educational trainings, 30-60 minutes in length, to the Shasta County Tobacco Education Coalition about a new CUP for tobacco retailers and/or ENDD retail outlets and how to educate and inform the community about a CUP for tobacco retailers and/or ENDD retail outlets.
Intervention Category:	Training/Technical Assistance Activities

Copyright:	No				
Program Deliverable Percentage:	3.00 %				
Start Date Period:	07/14-12/14				
Completion Date Period:	01/17-06/17				
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Training Outlines</td><td>Yes</td></tr> </table>	Measure	Submit	Training Outlines	Yes
Measure	Submit				
Training Outlines	Yes				
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted
Responsible Party	Budget Type				
Project Coordinator	Budgeted				

Activity 2-7-19

Activity:	Research and produce one policy paper on the possible provisions of a CUP for tobacco retailers and/or ENDD retail outlets.				
Intervention Category:	Policy Activities				
Copyright:	Yes				
Program Deliverable Percentage:	1.50 %				
Start Date Period:	07/14-12/14				
Completion Date Period:	07/15-12/15				
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Policy Paper</td><td>Yes</td></tr> </table>	Measure	Submit	Policy Paper	Yes
Measure	Submit				
Policy Paper	Yes				
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted
Responsible Party	Budget Type				
Project Coordinator	Budgeted				

Activity 2-7-20

Activity:	Disseminate any final policies adopted by the jurisdictions to CTCP's Strategic Planning and Policy Unit and Americans for Non-Smokers' Rights so that the policy may be logged into their policy databases.				
Intervention Category:	Policy Activities				
Copyright:	No				
Program Deliverable Percentage:	0.00 %				
Start Date Period:	07/14-12/14				
Completion Date Period:	01/17-06/17				
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Copy of Policy</td><td>Yes</td></tr> </table>	Measure	Submit	Copy of Policy	Yes
Measure	Submit				
Copy of Policy	Yes				
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted
Responsible Party	Budget Type				
Project Coordinator	Budgeted				

Activity 2-7-21

Activity:	Conduct one (1) strategic planning session, 1 - 2 hours in length, utilizing Midwest Academy Strategy Chart with members of the Shasta County Tobacco Education Coalition to identify goals, organizational considerations, constituents/allies/opponents, targets, and tactics.
Intervention Category:	Policy Activities

Copyright:	No								
Program Deliverable Percentage:	3.00 %								
Start Date Period:	07/14-12/14								
Completion Date Period:	07/14-12/14								
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>MWA Session Results</td><td>Yes</td></tr> </table>	Measure	Submit	MWA Session Results	Yes				
Measure	Submit								
MWA Session Results	Yes								
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> <tr> <td>Project Director</td><td>Budgeted</td></tr> <tr> <td>Shasta County Tobacco Education Coalition Member(s)</td><td>Non-Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted	Project Director	Budgeted	Shasta County Tobacco Education Coalition Member(s)	Non-Budgeted
Responsible Party	Budget Type								
Project Coordinator	Budgeted								
Project Director	Budgeted								
Shasta County Tobacco Education Coalition Member(s)	Non-Budgeted								

Evaluation Activity Plan

Evaluation Activity 2-E-7	Final Evaluation Report
Type of analysis:	<p>The Final Evaluation Report will summarize findings from Store Observation Survey Data Collection Training, Store Observation Survey, Public Intercept Survey, Key Informant Interview, and the Media Activity Record. The Store Observation Survey Data Collection Training will be assessed using a post training knowledge questionnaire and the store observation survey data will be automatically generated by survey software to produce descriptive statistics such as percentages and frequencies. The public intercept surveys will be analyzed by calculating frequencies and percentages to document support/opposition to policy strategies for the HSHC Campaign, knowledge, and demographic information provided by survey participants. Key informant interviews will be analyzed to summarize information and identify common themes. The media activity record will be analyzed via a content analysis of media products including but not limited to news releases, briefs, press conferences, pitch letters, stories, editorials, letters, etc. to measure the importance/public attention placed on the issue of selected objectives and the need to inform intervention strategies, campaign, and help guide local advocacy efforts. The evaluation design will include rationale for the sample size selection. Evaluation results will be presented in a narrative highlighting key results including selected graphs and tables. The discussion section will indicate whether or not the stated objective has been achieved, including details such as the number of successful store observation surveys completed, why any assigned stores were not surveyed, limitations to sampling, and successes and challenges experienced during the data collection. Conclusions regarding how the data informs the selection of interventions for the HSHC Campaign and recommendations addressing future data collection efforts in the retail environment will be made by both documenting the preparation and process of conducting the store observation surveys, and interpreting quantitative and qualitative data. The Retail Final Evaluation Report will be written following guidelines specified by CTCP/TCEC.</p>
Methods to disseminate findings:	<p>The evaluation results will be shared with CTCP, TCEC, Shasta County Tobacco Education Coalition and with appropriate partners working on the policy. Survey findings will also be used to inform and educate key decision makers and the public. Findings will also be shared via presentations at professional meetings and at conferences.</p>
Study limitations or challenges:	<p>Finding volunteers for the public opinion survey and observation data collection may be difficult, especially for youth engagement. There could be challenges with data collectors having enough familiarity and comfort using handheld devices and completing electronic surveys correctly.</p>
Copyright:	Yes

Program Percentage Deliverable:	3.50 %	
Period evaluation report to be submitted:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Copy of Council or Board Minutes	On File
	Final Evaluation Report	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Evaluator	Budgeted
	Project Director	Budgeted
Evaluation Activity 2-E-1	Data Collection Training	
Training purpose:	To ensure quality of data collection for store observation surveys.	
Number of times to be conducted:	1	
Training length:	4 - 8 hours	
Number to be trained:	10	
Who will be trained and method for selection:	LLA Staff, Coalition members, youth volunteers, adult volunteers, student interns	
Method to evaluate training:	Post training knowledge questionnaire and appraisal of effectiveness	
Copyright:	No	
Program Percentage Deliverable:	2.00 %	
Period evaluation activity will be conducted:	01/16-06/16	
Period results will be analyzed and disseminated:	01/16-06/16	
Tracking Measures:	Measure	Submit
	Post Training Knowledge Questionnaire Results	Yes
	Training dates and agenda	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Evaluator	Budgeted
	Project Director	Budgeted
	Data Collection Participants	Non-Budgeted
Evaluation Activity 2-E-4	Key Informant Interview	
Description of the instrument to be used or developed:	Utilizing and/or adapting a survey instrument developed by the Tobacco Control Evaluation Center (TCEC), conduct Key Informant Interview surveys to collect baseline data of current knowledge and attitudes regarding selected objective topics, including a policy that requires a CUP for tobacco retailers and/or ENDD retail outlets. The tool will also ask about potential barriers and suggestions for building support for a policy requiring a CUP.	
Sample size:	10	

Will follow-up interviews be conducted:	No	
Description of key informants:	A diverse group of people such as retailers and key decision makers (city council members, city managers, city commissioners, city attorneys, city administrators, city clerks, school board members, County Office of Education leadership, county board members, Shasta County HHSA leadership etc.)	
Data collection method:	Face-to-face	
Method to analyze findings:	Content analysis to look for common themes surrounding need for education, including specific topics, as well as pre-adoption barriers and support of the policy.	
Copyright:	No	
Program Percentage Deliverable:	3.00 %	
Period to be conducted:	07/16-12/16	
Period results will be analyzed and disseminated:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Key Informant Interview Questionnaire	Yes
	Key Informant Interview results	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Evaluator	Budgeted
	Project Director	Budgeted
Evaluation Activity 2-E-5	Media Activity Record	
Description of the topic or type of records:	Media products produced through news websites, social media websites and blogs, area and local radio, area and local television, hard-copy community newspapers and newsletters. A media content analysis will be conducted to evaluate the media pieces effectiveness at delivering/disseminating the message; accuracy and neutrality of facts; and to gauge the level of public support for retail campaign strategies.	
How the records will advance the objective:	Content analyses of news releases, briefs, press conferences, pitch letters, stories, editorials, letters, and other media records will measure the importance/public attention placed on the issue of selected objectives and the need to inform intervention strategies, campaign, and help guide local advocacy efforts.	
Program Percentage Deliverable:	2.00 %	
Period evaluation activity will be conducted:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Media Content Analysis	Yes
	Media Pieces	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Evaluator	Budgeted
Evaluation Activity 2-E-2	Observation Data	

Description of the instrument to be used or developed:	Observation data will be collected in tobacco retail stores using an instrument provided by CTCP. All counties, Tiers, I, II, and III will complete two modules: the core Healthy Stores for a Healthy Community module plus one additional module on a topic of the LLA's choice (e.g., flavors, price, storefront advertising, alcohol and nutrition*). *Topics are subject to change* Additional modules, beyond the two required may be completed at the LLA's discretion. Completion of the core module plus the one required additional module will total approximately 10 minutes in length. Provide a stipend for store surveys, or an organizational stipend (for providing and coordinating youth volunteers) or a gift card for youth and adult volunteers who participate in local data collection efforts including training and completion of data collection forms which shall not include gift cards that can be used to purchase tobacco or alcohol products. The project will be responsible for the possession, security, (e.g., will keep under lock and key), and accountability of gift cards. The project will prepare a log sheet that will track and identify each of the gift cards, value, gift card transfer date, and recipient.	
Sample size:	167	
Data collection method:	In-person / On-site	
Method to analyze findings:	With technical assistance by TCEC as needed, LLAs will review and clean their survey data, after which survey software will generate a report of collected observation data providing descriptive statistics such as percentages and frequencies. OPTIONAL- More advanced analyses beyond what is automatically generated by survey software will be introduced via the Retail Campaign Advanced Data Analysis Webinar (e.g., comparing results by store type or area demographics, etc.)	
Copyright:	No	
Program Percentage Deliverable:	9.00 %	
Period evaluation activity will be conducted:	01/16-06/16	
Period results will be analyzed and disseminated:	07/16-12/16	
Tracking Measures:	Measure Cleaned Survey Results Store Observation Tracking List	Submit On File Yes
Responsible Parties:	Responsible Party Project Coordinator Evaluator Project Director Data Collection Participants	Budget Type Budgeted Budgeted Budgeted Non-Budgeted
Evaluation Activity 2-E-3	Public Intercept Survey / Opinion Poll	
Description of the instrument to be used or developed:	Utilizing a survey instrument developed by TCEC, collect baseline data of knowledge, attitudes, and perception of the community, regarding the retail environment.	
Sample size:	105	
Will follow-up polls be conducted:	No	
Data collection method:	Face-to-face	
Method to analyze findings:	Frequencies and percentages will be calculated to document support/opposition to policy strategies for the retail environment campaign, knowledge, and demographic information provided by survey participants.	

Copyright:	No	
Program Percentage Deliverable:	3.00 %	
Period evaluation activity will be conducted:	01/16-06/16	
Period results will be analyzed and disseminated:	07/16-12/16	
Tracking Measures:	Measure	Submit
	Summary of Results	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Evaluator	Budgeted
	Tobacco Compliance Officer	Non-Budgeted
	Community Organizer	Non-Budgeted
	Project Director	Budgeted

Narrative Summary

Community Assessment Analysis: Ratings for this indicator were varied. Participants were heavily engaged in discussion related to the targeted marketing of tobacco including electronic nicotine delivery devices (ENDD) products to youth, ethnic and low socioeconomic individuals. While the percentage of Shasta County tobacco retailers that sell e-cigarettes is just below 41%, there was a noticeable recent increase in usage noted as being witnessed by several Community Needs Assessment Workgroup participants. Members of the group expressed frustration with the number of smoke shops and hookah lounges that are seemingly thriving within Shasta County. Concerns about tobacco retailers in low SES communities and the high percentage that are near schools were discussed. The group mentioned that while the need for action was apparent, community awareness, community support, and decision maker support seemed very low. Discussions about the use of conditional use permits and density and limitations for smoke shops took place. Interest was piqued when education and information was shared with the Shasta County Tobacco Education Coalition and Shasta County Health and Human Services Agency regarding the benefits of tobacco retailer density/zoning.

Major Intervention Activities: In an effort to limit the availability of tobacco, the Local Lead Agency (LLA), in conjunction with the Shasta County Tobacco Education Coalition (Coalition), will develop, promote, schedule, coordinate, and conduct 5 - 10 "CUP for tobacco retailers and/or ENDD retail outlets" presentations, 30 minutes in length, for ethnic, youth, health, and faith-based groups and organizations designed to promote a CUP for tobacco retailers and/or ENDD retail outlets. The presentation will be designed to fit into board and staff meetings so that some presentations will be delivered to individual organizations and other presentations may be given to numerous organizations at one time in a group setting. As a result of the presentations one to three ethnic, health, youth, faith-based groups and organizations such as Shasta County Friday Night Live, Local Indians for Education, Shasta Coalition of African Americans for Community Health, First 5 Shasta, and Youth Violence Prevention Council will sign a resolution in support of a CUP for tobacco retailers and/or ENDD retail outlets. Presentations will increase participant's awareness of key local tobacco issues which will include data from the Healthy Stores for a Healthy Community (HSHC) Campaign. By increasing the participant's awareness and knowledge of the

subject, they may begin to care about the problem and be motivated to take action to change it. The intervention activities will provide the participants an opportunity to act by adopting a resolution in support of a CUP for tobacco retailers and/or ENDD retail outlets. Participants will also be encouraged to share their knowledge with other county organizations to promote policy change. Intervention activities will be promoted in county media sources such as a regional press event, email and websites, and by the Coalition via participation in community events.

Theory of Change: Our objective is to reduce the availability of tobacco through jurisdictions that adopt a policy which restricts the number, location, and/or density of tobacco and/or ENDD retail outlets. The central innovative component of our objective is the adoption of a new policy limiting the sale and distribution of tobacco products. Our county like many others has witnessed a virtual explosion of emerging tobacco products and a significant increase in the number of tobacco retailers and hookah lounges. Tobacco retailers are not only thriving within our community, they are expanding their stores, selling an abundance of fruit, sweet, and liquor flavored tobacco products, as well as adding hookah lounges and patios. Communication and education are the foundation for change within a community. Communication channels include stakeholders from local non-profits, ethnic coalitions, and youth serving organizations that can disseminate information through a two-step flow of communication in which stakeholders disseminate information to their social networks. A social system is represented locally by individual constituents of key stakeholders receiving the education and training will be catalyst for policy change. Active participation and representation from community stakeholders from will be paramount in the adoption of a new policy that restricts the number, location, and/or density of tobacco and/or ENDD retail outlets.

Evaluation Summary Narrative: The primary purpose of the evaluation is to support data collection efforts and local interventions in order to improve the health of Californians. This will be accomplished through collection of data to inform necessary changes to restrict marketing and advertising of tobacco products in the retail environment to reduce tobacco-related health disparities; to reduce the availability of tobacco products; and to achieve compliance with existing tobacco control laws. This objective addresses indicator 3.2.9 Menthol and Other Flavored Tobacco Products: The number of jurisdictions covered by a public policy that eliminates the sale and distribution of mentholated cigarettes and/or other flavored tobacco and ENDD products (e.g., smokeless tobacco products, dissolvable tobacco products, non-premium cigars such as little cigars, cigarillos, hookah tobacco, e-cigarettes, e-hookah). The rationale for this objective is based on an integrative approach at the local level to promote systems change through policy advocacy and increasing awareness by key opinion leaders and the public of problems that stem from the retail environment. The evaluation design for this objective is "Other with measurable outcome". A minimum sample size of retailers is required for each county to conduct data collection within their jurisdiction. Data collectors will collect baseline data around selected objectives to assist in completion of their local CX needs assessment. Process data will be collected through these evaluation activities. The evaluation instruments include a store observation survey; a public intercept survey, a key informant interview survey, and a media record analysis. The California Tobacco Control Program (CTCP) will provide the store observation survey instrument, and TCEC will create the other survey instruments and provide technical assistance. All counties, Tiers I, II, and III will complete the core tobacco module plus one module (e.g., flavors, price, storefront advertising, alcohol, nutrition). Additional modules may be completed at the LLA's discretion. Completion of the core module plus the one required additional module will total approximately 10 minutes in length. Additional modules can be completed at the discretion of each LLA. The public intercept survey, key informant interview survey(s), focus group survey, and media record will be

newly developed or enhanced from existing versions in collaboration with the Tobacco Control Evaluation Center (TCEC). Trainings will be held regarding the retail campaign and data collection efforts. The store observation data survey will be conducted using a survey software application on handheld devices. Basic descriptive statistics will be provided by CTCP. There will also be the option of performing more advanced data analyses using the store observation survey data. Data will be interpreted to develop recommendations for adjusting current project activities and for planning future interventions. The public intercept survey will consist of closed questions and possibly open-ended questions. Data will be analyzed using descriptive statistics for questions with numerical values and content analysis to summarize information and identify common themes. Key informant interviews will be analyzed via content analysis to summarize information and common themes. The media record will measure the importance/public attention placed on the issue of selected objectives and the need to inform intervention strategies, and help guide local advocacy efforts. Challenges/limitations that may surface in the process of implementing this evaluation plan include the degree of familiarity and comfort of data collectors with using handheld devices. A CTCP-led data collection training will allow data collectors to become familiar with the devices and gain the skills needed to successfully conduct the survey using handheld devices. A Retail Brief Evaluation Report will be written at the end of the contract term. The report will summarize all of the evaluation information collected and address achievements of the objective, effectiveness of strategies used, and recommendations for developing future project interventions. It will be written following the guidelines outlined by TCEC.

Objective 3

Objective Overview

Objective: By June 30, 2017, the Shasta County Tobacco Education Coalition will provide 3 trainings to increase the capacity and skills of coalition members, youth, and other community partners to effectively deliver tobacco control activities in their communities. Training topics may include, but are not limited to, participatory community planning, community assessment, community organizing, cessation, countering pro-tobacco influences, enforcement, evaluation, secondhand smoke, social determinants of health, and/or tobacco availability. A Year 3 confidence level self-assessment will reveal that over 80% of coalition members feel prepared or very prepared to actively participate in the areas they were trained in during future projects in the community.

Objective ID: 3

Primary Asset: (2.1) **Training and Skill Building:** The extent training and technical assistance are available to diverse community groups to enable them to effectively engage in tobacco control activities and activities to reduce tobacco-related social determinants of health.

Secondary Asset: (2.5) **Adult Engagement in Tobacco Control:** The extent our tobacco control program has participatory collaborative partnerships with diverse adults and non-Proposition 99 funded adult serving organizations and mobilizes their involvement in community assessments; development, implementation, and evaluation of interventions to support tobacco control-related policy, environmental, and system change; and engages them in activities that address tobacco-related determinants of health.

Is this a primary objective? No

Evaluation Plan Type: Other with Measurable Outcome

Target Audience: **Audience Group**

- 13-17 years
- Adults 18 years and older
- Advocates
- Coalitions
- College Students/faculty/staff
- Government Agencies
- Health Professionals
- Low SES
- Tribes

General Population Groups

- Multi-ethnic

Intervention Topic(s)

- Alcohol and Drug Prevention Collaboration
- Coalition Satisfaction Survey
- Cultural Competency Training
- Facebook
- Healthcare Provider/System Collaboration
- Leadership Training
- Mental Health Collaboration
- Nutrition Program Collaboration
- Policy/System Change Training
- Priority Population Organizations Collaboration
- Spokespersons Training
- Voluntary Health Organization Collaboration
- Volunteer Recruitment
- Website Maintained

Intervention Activity Plan

Activity 3-1-1		
Activity:	Inform coalition members, youth, and other community partners about upcoming workshops, trainings, teleconferences, or webinars. Topics will be determined based on input from coalition members, youth groups, and other community partners, and key areas of demand from the community.	
Intervention Category:	Coordination/Collaboration Activities	
Copyright:	No	
Program Deliverable Percentage:	0.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Meeting Minutes	On File
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
Activity 3-1-2		

Activity:	Recruit 3 - 5 community organizations/residents to convene 1-2 workgroups to support the coalition's tobacco control activities. Workgroup members will be recruited from community organizations, such as faith-based, youth, parents, neighborhood councils, and residents. Recruitment efforts will be conducted in face to face meetings, telephone, or through e-mails.						
Intervention Category:	Coordination/Collaboration Activities						
Copyright:	No						
Program Deliverable Percentage:	2.00 %						
Start Date Period:	07/14-12/14						
Completion Date Period:	01/17-06/17						
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Recruitment Log</td><td>On File</td></tr> <tr> <td>Workgroup List</td><td>Yes</td></tr> </table>	Measure	Submit	Recruitment Log	On File	Workgroup List	Yes
Measure	Submit						
Recruitment Log	On File						
Workgroup List	Yes						
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted		
Responsible Party	Budget Type						
Project Coordinator	Budgeted						

Activity 3-1-3

Activity:	Maintain one (1) database of Coalition members' names, priority population representation (e.g. Hispanic/Latino, African American, Asian, Native American), agencies/business/organizations they represent (government, retail, health professionals), addresses, phone numbers, and e-mail addresses.				
Intervention Category:	Coordination/Collaboration Activities				
Copyright:	No				
Program Deliverable Percentage:	0.50 %				
Start Date Period:	07/14-12/14				
Completion Date Period:	01/17-06/17				
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Coalition Member Database</td><td>Yes</td></tr> </table>	Measure	Submit	Coalition Member Database	Yes
Measure	Submit				
Coalition Member Database	Yes				
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted
Responsible Party	Budget Type				
Project Coordinator	Budgeted				

Activity 3-1-4

Activity:	Request assistance and materials from statewide grantees and other Local Lead Agencies (LLAs) on strategic planning, training materials and tobacco control issues.				
Intervention Category:	Coordination/Collaboration Activities				
Copyright:	No				
Program Deliverable Percentage:	0.00 %				
Start Date Period:	07/14-12/14				
Completion Date Period:	01/17-06/17				
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Information and Resources</td><td>On File</td></tr> </table>	Measure	Submit	Information and Resources	On File
Measure	Submit				
Information and Resources	On File				

Responsible Parties:	Responsible Party Budget Type Project Coordinator Budgeted
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Activity 3-1-5

Activity:	Convene 3 -6 workgroups throughout the period. Meetings will be 1-3 hours in length. Meetings may include, but are not limited to, participatory community planning, community assessment, community organizing, cessation, countering pro-tobacco influences, enforcement, evaluation, SHS, social determinants of health, and/or tobacco availability, training opportunities, strategizing, and/or planning for tobacco control activities.	
Intervention Category:	Coordination/Collaboration Activities	
Copyright:	No	
Program Deliverable Percentage:	2.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Participant List	On File
	Workgroup Agendas	Yes
Responsible Parties:	Responsible Party Budget Type	
	Project Coordinator	Budgeted
	Workshop Participants	Non-Budgeted

Activity 3-2-6

Activity:	Conduct 2 - 4 presentations, 15 - 30 minutes in length, to ethnic, youth, health, faith based groups and organizations such as Anderson Teen Center, teachers, counselors, local youth serving organizations, Shasta County Friday Night Live, First 5 Shasta, Local Indians for Education, Shasta Coalition of African Americans for Community Health, and Youth Violence Prevention Council in Shasta County to recruit and maintain a list of community members available for local tobacco control activities.	
Intervention Category:	Community Education Activities	
Copyright:	No	
Program Deliverable Percentage:	1.50 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	List of Advocates	On File
	Presentation Outline	Yes
	Presentation Schedule	Yes
Responsible Parties:	Responsible Party Budget Type	
	Project Coordinator	Budgeted

Activity 3-2-7

Activity:	Update and maintain a tobacco control website for Shasta County to increase the participation of coalition members and the community at large. Website will also provide links and resources to other tobacco control
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	projects. Update and maintain, to communicate progress on activities, topics of interest and opportunities for involvement on social networking sites such as Facebook conducted, on a bi-weekly basis or more often if needed.	
Intervention Category:	Community Education Activities	
Copyright:	No	
Program Deliverable Percentage:	1.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Website Database Screen Shot	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Shasta County Tobacco Education Coalition Member(s)	Non-Budgeted

Activity 3-3-8

Activity:	Update one (1) Shasta County Tobacco Education Coalition brochure that states its mission, goals, expectations of Coalition members, existing community partnerships, length of commitment, local tobacco control history, how the Coalition is making a difference in saving lives, and an invitation to join the Coalition.	
Intervention Category:	Educational Materials Development	
Copyright:	Yes	
Program Deliverable Percentage:	0.50 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Brochure	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Shasta County Tobacco Education Coalition Member(s)	Non-Budgeted

Activity 3-4-9

Activity:	Provide 20 - 50 Behavior Modification Materials (BMMs), such as gift certificates, plaques, etc., to Shasta County Tobacco Education Coalition members that participate in more than 50% of coalition meetings annually. Additionally, provide food to coalition members, youth, and other community partners that participate in trainings. BMMs are provided to program participants to motivate and/or reinforce positive behavior, participation, and/or involvement in tobacco control activities and require action on the part of the recipient to receive the BMM. The cost of the BMM may not exceed \$50 in value, per person, per year, and shall not include gift cards that can be used to purchase tobacco or alcohol products. The project will be responsible for the possession, security (e.g. will keep under lock and key), and accountability of the gift cards. The project will prepare a log sheet that will track and identify each of the gift cards, value, gift card transfer date, and recipient.	
Intervention Category:	Behavior Modification Materials	

Copyright:	No				
Program Deliverable Percentage:	0.00 %				
Start Date Period:	01/15-06/15				
Completion Date Period:	01/17-06/17				
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Behavior Modification Log</td><td>Yes</td></tr> </table>	Measure	Submit	Behavior Modification Log	Yes
Measure	Submit				
Behavior Modification Log	Yes				
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted
Responsible Party	Budget Type				
Project Coordinator	Budgeted				

Activity 3-14-11

Activity:	Place 6 - 8 community calendar announcements in local newspapers, such as the Redding Record Searchlight, to invite members of the general public to attend general meetings of the Shasta County Tobacco Education Coalition. Individuals and organizations responding to community calendar announcements will be recruited for membership.				
Intervention Category:	Earned Media Activities				
Copyright:	No				
Program Deliverable Percentage:	1.00 %				
Start Date Period:	07/14-12/14				
Completion Date Period:	01/17-06/17				
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Community Calendar Announcement(s), & Media Source</td><td>Yes</td></tr> </table>	Measure	Submit	Community Calendar Announcement(s), & Media Source	Yes
Measure	Submit				
Community Calendar Announcement(s), & Media Source	Yes				
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted
Responsible Party	Budget Type				
Project Coordinator	Budgeted				

Activity 3-14-12

Activity:	Maintain one (1) social networking site, such as a Facebook group or fan page, in which Coalition members and other stakeholders can be updated on tobacco control issues in Shasta County and participate in discussions, polling, and release of information. The social networking site will also serve as a tool to invite others to participate in Coalition activities and stay current on tobacco control news/events for those who are interested in tobacco control, but cannot make meetings. The social networking site will be monitored and updated approximately weekly by LLA staff, Coalition Chair, and Coalition Vice-Chair.				
Intervention Category:	Earned Media Activities				
Copyright:	No				
Program Deliverable Percentage:	0.50 %				
Start Date Period:	07/14-12/14				
Completion Date Period:	01/17-06/17				
Tracking Measures:	<table> <tr> <th>Measure</th><th>Submit</th></tr> <tr> <td>Screen Shots Social Networking of Website</td><td>Yes</td></tr> </table>	Measure	Submit	Screen Shots Social Networking of Website	Yes
Measure	Submit				
Screen Shots Social Networking of Website	Yes				
Responsible Parties:	<table> <tr> <th>Responsible Party</th><th>Budget Type</th></tr> <tr> <td>Project Coordinator</td><td>Budgeted</td></tr> </table>	Responsible Party	Budget Type	Project Coordinator	Budgeted
Responsible Party	Budget Type				
Project Coordinator	Budgeted				

Activity 3-11-13		
Activity:	The Shasta County Tobacco Education Coalition will collaborate with the Alcohol Tobacco and Other Drugs Prevention, Healthy Communities, Friday Night Live, Chronic Disease, Women, Infants, and Children, Supplemental Nutrition Assistance Program-Education, Environmental Health, Violence Prevention, Behavioral Health, Healthy Equity, Food Security, and community based advocacy groups to develop and conduct at least 3 trainings (1-4 hours long) for coalition members and other community partners to increase their capacity to effectively deliver tobacco control activities.	
Intervention Category:	Training/Technical Assistance Activities	
Copyright:	No	
Program Deliverable Percentage:	4.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Participant List	Yes
	Training Agendas	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Training Participants	Non-Budgeted

Activity 3-11-14		
Activity:	Conduct 2 - 6 orientations, 30 - 60 minutes in length, to newly recruited membership of the Shasta County Tobacco Education Coalition. Coalition chair(s) and staff will conduct orientations on the Coalition's mission, goals, by-laws, organizational needs of new members and other relevant tobacco topics. Meetings will be conducted one-on-one, face-to-face with the intent of establishing relationship and identifying opportunities for technical assistance to new member organizations. Provide technical assistance by telephone, e-mail or face-to-face contact regarding local tobacco control education, policy promotion, and awareness activities as a representative of the Shasta County Tobacco Education Coalition.	
Intervention Category:	Training/Technical Assistance Activities	
Copyright:	No	
Program Deliverable Percentage:	2.00 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Orientation Outline	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted

Activity 3-3-18		
Activity:	Update one (1) new member orientation binder for distribution to new Coalition members. Contents of the binder may include, but are not limited to, Coalition history, mission statement, by-laws, current member listing,	

	Shasta County Tobacco Education Coalition recruitment brochures, tobacco control history, and general tobacco control resources, etc.	
Intervention Category:	Educational Materials Development	
Copyright:	Yes	
Program Deliverable Percentage:	0.50 %	
Start Date Period:	07/14-12/14	
Completion Date Period:	01/17-06/17	
Tracking Measures:	Measure	Submit
	List of Binder Contents	Yes
	Updated Binder	On File
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted

Evaluation Activity Plan

Evaluation Activity 3-E-3	Final Evaluation Report	
Type of analysis:	Quantitative evaluation processes will determine the training needs of the Tobacco Education Coalition members and partners as well as the usefulness of the trainings provided. Post-training level of confidence to deliver tobacco control activities will be compared with baseline level of confidence collected near the start of the grant.	
Methods to disseminate findings:	The evaluation results will be disseminated to members of the Shasta County Tobacco Education Coalition and senior management of the Shasta County HHSA.	
Study limitations or challenges:	It may be difficult to get people to attend trainings.	
Copyright:	No	
Program Percentage Deliverable:	1.00 %	
Period evaluation report to be submitted:	01/17-06/17	
Tracking Measures:	Measure	Submit
	Brief Evaluation Report	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Evaluator	Budgeted
	Project Director	Budgeted
Evaluation Activity 3-E-1	Education/Participant Survey	
Description of the instrument to be used or developed:	The Tobacco Control Evaluation Center (TCEC) will be consulted in the development of a tool to measure the training needs of the Shasta County Tobacco Education Coalition Members and the baseline level of confidence in ability to deliver tobacco control activities.	
Sample size:	30	
Data collection method:	Internet Survey	

Method to analyze findings:	Simple descriptive analysis of the results will be performed.	
Copyright:	Yes	
Program Percentage Deliverable:	1.00 %	
Period evaluation activity will be conducted:	07/14-12/14 01/15-06/15	
Period results will be analyzed and disseminated:	01/15-06/15	
Tracking Measures:	Measure	Submit
	Training Needs Survey Questionnaire	Yes
	Training Needs Survey results	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Evaluator	Budgeted
Evaluation Activity 3-E-2	Education/Participant Survey	
Description of the instrument to be used or developed:	Post-training evaluation tool to ensure usefulness of conducted trainings and post-training confidence level in ability to deliver tobacco control activities.	
Sample size:	30	
Data collection method:	Pen-to-paper	
Method to analyze findings:	Simple descriptive analysis of the results will be performed.	
Copyright:	Yes	
Program Percentage Deliverable:	1.00 %	
Period evaluation activity will be conducted:	07/15-12/15 01/16-06/16 07/16-12/16 01/17-06/17	
Period results will be analyzed and disseminated:	01/16-06/16 01/17-06/17	
Tracking Measures:	Measure	Submit
	Training Evaluation results	Yes
	Training Evaluation Tool	Yes
Responsible Parties:	Responsible Party	Budget Type
	Project Coordinator	Budgeted
	Evaluator	Budgeted

Narrative Summary

Community Assessment Analysis: Ratings for this objective were derived from two Assets: (2.1) The extent training and technical assistance are available to diverse community groups to enable them to effectively engage in tobacco control activities and

activities to reduce tobacco-related social determinants of health & (2.5) The extent our tobacco control program has participatory collaborative partnerships with diverse adults and non-Proposition 99 funded adult serving organizations and mobilizes their involvement in community assessments; development, implementation, and evaluation of interventions to support tobacco control-related policy, environmental, and system change; and engages them in activities that address tobacco-related determinants of health. A brief history of past trainings that have been offered locally was given. In 2012 and 2013 community presentations on the impact of tobacco on Mental Health (MH), Alcohol and Other Drugs (AOD), and Social Services participants were conducted by the Shasta County Tobacco Education Coalition. In 2013 Peer-to-Peer tobacco cessation program training to MH/AOD/ Social Services and community partners was delivered by University of Colorado Behavioral Health & Wellness Program. In 2013 training for Shasta County/community administrators and providers in the areas of mental health, alcohol and other drug abuse, and tobacco control to integrate tobacco cessation into clinical practices and policies took place. In 2013 training for HHS direct services staff and community partners on tobacco assessment, referral and resources was conducted. The group felt that training and skill building was offered to diverse groups, but suggested that more work could be done in efforts to reach priority populations. Discussion took place about continuing support of mental health providers in cessation and referral. Group members requested to know if follow and active planning for other trainings within the community to support MH, AOD, and priority populations in tobacco cessation, referral, and education were being pursued.

Major Intervention Activities: In an effort to increase the capacity and skills of coalition members, youth, and other community partners to effectively deliver tobacco control activities in their communities the LLA and The Shasta County Tobacco Education Coalition will collaborate with the Alcohol Tobacco and Other Drugs Prevention, Healthy Communities, Friday Night Live, Chronic Disease, Women, Infants, and Children, Supplemental Nutrition Assistance Program-Education, Environmental Health, Violence Prevention, Behavioral Health, Healthy Equity, Food Security, and community based advocacy groups to develop and conduct at least 3 trainings (1-4 hours long) for coalition members and other community partners to increase their capacity to effectively deliver tobacco control activities. In addition to these trainings, intervention activities will provide technical assistance to new and existing collaborative partners as a means of retaining commitment tobacco control activities, as well as recruiting new collaborative partners. This includes: technical assistance regarding local tobacco control education, policy activities, and awareness activities to representatives of the Shasta County Tobacco Education Coalition.

Theory of Change: This objective will focus on an organizational level and will apply the theory of Community Organizing. The theory of Community Organizing is a process through which community groups are helped to identify common problems, mobilize resources, and develop and implement strategies to reach collective goals. Our objective is to increase the capacity and skills of coalition members, youth, and other community partners to effectively deliver tobacco control activities in their communities. These concepts of Community Organizing include: empowerment, community capacity, participation, relevance, issue selection, and critical consciousness. Empowerment is exercised through recruitment of community organizations, such as faith-based, youth, parents, neighborhood councils, and residents. Community Capacity includes the sustainment of communications tools and resources that influence individual perceptions of cohesiveness and build identity and capitalize on the success of the recruitment plan. Participation is represented by the utilization of social networking tools designed to keep Coalition members and partners aware of tobacco control activities and opportunities, and by training opportunities, such as CTCP Information &

Education Days and the three trainings that will be offered to Alcohol Tobacco and Other Drugs Prevention, Healthy Communities, Friday Night Live, Chronic Disease, Women, Infants, and Children, Supplemental Nutrition Assistance Program-Education, Environmental Health, Violence Prevention, Behavioral Health, Healthy Equity, Food Security, and community based advocacy groups. Relevance will be exercised through these trainings with new Coalition members and collaborative partners. These trainings will provide members with opportunities to identify their organizational needs and resources as they pertain to tobacco control. The Local Lead Agency and Coalition will provide 2 - 5 hours of technical assistance to collaborative partners regarding local tobacco control education, enforcement and awareness activities in an effort to address needs intentionally. The concept of Critical Consciousness is encompassed in objective activities addressing strategic recruitment planning, technical assistance to collaborative partners, evaluation, and social networking communications tools.

Evaluation Summary Narrative: The primary purpose of the evaluation is to measure the usefulness of the trainings provided to the Tobacco Education Coalition members and its partners. We will conduct a training needs assessment with the coalition members and other community partners, including youth. The results will help determine the trainings to provide. Post each training, a survey will be provided to trainees to evaluate the usefulness of the training provided as it relates to increasing capacity and skills.