

## RFA #1308140158

### New York State Department of Health Division of Chronic Disease Prevention Bureau of Tobacco Control

#### Advancing Tobacco Free Communities

#### Modifications, Questions and Answers 1/30/14

*All questions are stated as received in the Tobacco Control Program Bureau Mail Log by the deadline. The Bureau of Tobacco Control (BTC) is not responsible for any errors or misinterpretation of any questions received.*

*The responses to questions included herein are the official responses by the Department to questions posted by potential applicants and are hereby incorporated into the RFA #1308140158 issued on December 20, 2013. In the event of any conflict between the RFA and these responses, the requirements or information contained in these responses will prevail.*

### RFA MODIFICATIONS

*The following has been updated/modified in the RFA. Strike-through indicates deleted text; underlined text is new.*

Due to the delay in the posting of the Questions and Answers document (originally scheduled for 1/22/14), **The Application Deadline is extended to February 25, 2014 by 4:00 P.M. Eastern Standard Time.** The new deadline does not affect the deadline for Letter of Interest and the Questions Submission deadline remains closed.

#### Page 8, Section II, C. Catchment Areas

Catchment Area	Estimated Maximum Annual Funding
Nassau, Suffolk	\$500,000
Kings	\$500,000
Queens	\$500,000
New York	\$500,000
Bronx	\$500,000
Putnam, Orange, Westchester, Rockland	\$500,000
Erie, Niagara	\$400,000
Monroe, <del>Orleans</del>	\$400,000
Cayuga, Onondaga, Oswego	\$400,000

Albany, Rensselaer, Schenectady	\$325,000
Dutchess, Sullivan, Ulster,	\$325,000
Richmond	\$325,000
Madison, Herkimer, Oneida	\$325,000
Saratoga, Warren, Washington	\$325,000
Allegany, Cattaraugus, Chautauqua	\$325,000
Yates, Ontario, Seneca, Wayne	\$325,000
Jefferson, Lewis, Saint Lawrence	\$325,000
Broome, Tioga	\$325,000
Tompkins, Cortland, Chenango	\$325,000
Schuyler, Steuben, Chemung	\$325,000
Clinton, Essex, Franklin	\$325,000
Wyoming, Genesee, Livingston, <b>Orleans</b>	\$325,000
Delaware, Otsego, Schoharie	\$325,000
Columbia, Greene	\$325,000
Fulton, Montgomery, Hamilton	\$325,000

**Page 16, Section III, B. 4) Staffing, 2<sup>nd</sup> bullet**

- The funded agency will use grant funds, or contribute in-kind funds, to support a minimum of 0.15 FTE Director to provide direction to the Coordinator positions noted above.

**Page 16, Section III, B. 4) Staffing, 3<sup>rd</sup> bullet**

- It is required that the coordinators who are responsible for the day-to-day management of the project have at least a bachelor's degree ~~and~~ **and/or** three years of experience in a like (advocacy or tobacco control) or similar (health education, teaching, etc.) position.

**Page 1 of Attachment 5 RFA Budget Template Guidance**

- ~~1. Applicants should complete and submit two budgets. One nine-month budget (7/1/14-3/31/15) and one annualized, twelve-month budget that will represent the remaining four years (4/1/15-3/31/19).~~
1. Applicants should submit one annualized budget representative of one year of the five-year period (July – June).

**Page 2 of Attachment 5, RFA Budget Template Guidance**

c) ~~Contract Period: please indicate specifically which budget period as outlined in the RFA (one nine-month budget 7/1/14 – 3/31/15 and one twelve-month, annualized budget 4/1/15 – 3/31/16 to represent the remaining four, twelve-month periods of the procurement). Please submit one annualized budget representative of one year of the five-year period (July - June).~~

## **Pages 2, 4, 7, 10, 13 & 15 of Attachment 6, Workplan Template Guidance**

In all instances, the dates “*between July 1, 2014 and March 31, 2016*” are corrected to read “**between July 1, 2014 and June 30, 2015**”.

## **Attachment 6A, Workplan Template**

### **Page 4 of Workplan Template**

In the Budget Category/Deliverable “Smoke Free Media”, the task “Local Paid Media (optional)” is missing. Applicants may include performance measures for this task, if desired, as part of the performance measures for Community Education, also on page 4.

### **Page 8 of the Workplan Template**

Objective: Ensure an adequate group of youth is maintained to carry out activities. ~~Between July 1, 2014 and March 31, 2016, contractors~~ Contractors will engage in ongoing efforts to build and maintain an adequate youth infrastructure.

## **Attachment 10 – Catchment Area Map**

**See Revised Attachment 10 for revisions to catchment areas on last page of this document.**

## **QUESTIONS AND ANSWERS**

### **Introduction Section:**

**Q1.** Will there be two separate modalities (Reality Check and Community Engagement) or will there be one?

**Answer (Q1): One modality;** each contract will combine elements of Community Engagement and Youth Action (Reality Check).

### **Section II Who May Apply:**

**Q2a.** How will the BTC determine whether a catchment area should be re-defined?

**Q2b.** Can we expand the suggested catchment area to include an additional county? Or would we need to apply for the full catchment area that this county is currently grouped in?

**Q2c.** Can a contractor focus on specific communities in the catchment area or are we expected to cover all three counties overall?

**Answer (Q2a,Q2b,Q2c): See RFA Modification on Page 1 of this document.** BTC will determine if catchment areas need to be re-defined based on a goal of achieving statewide coverage. This could include such issues as available local resources and the capacity of applicants to cover additional counties. Applicants are expected to cover the full catchment area as defined on pages 8 and 9 of the RFA. Applicants should not expand the suggested catchment area. Applicants may submit proposals for more than one catchment area **but each catchment area must be a separate proposal.**

**Q3.** “Applicants should be an organization with an established presence in the catchment areas...: page 7, II. Paragraph 1. How much weight will this carry in applications? Is the established presence specific to Tobacco Control programming? Where in our application narrative should that collaboration be noted?

**Answer (Q3):** Having an established presence is addressed in RFA Section V. Completing the Application, Section 4: Applicant Organization #5. The applicant will describe its presence in the community and how it enhances the capacity to meet the deliverables of the grant. This response is one of six components of a section worth 15 points.

**Q4.** I noticed that all of the other larger metropolitan catchment areas (i.e. Buffalo, Rochester and Syracuse) were funded at \$400,000. Was it an error that the Capital Region was only funded at \$325,000? (Catchment area section, pg. 8 of 29, bottom of page)

**Answer (Q4):** No, the Capital Region funding was not an error. Funding is based on the size of the adult population in each catchment area.

**Q5.** In an identified three county catchment area, one county contains 70% of the population, one has 18% and the other 12% of the population. Should resource allocation be somewhat proportionate to the population levels of that service delivery area? Page 8 II C catchment Area.

**Answer (Q5):** It is required that applicants serve the entire catchment area (p. 8). Applicants may propose to allocate resources within a catchment area based upon the burden of the problem in each county or other valid rationale. Applicants should describe how they will carry out deliverables appropriately based on the level of need, socioeconomic status, and opportunities for advancing tobacco control in the various communities across the catchment area.

**Q6.** What is the reasoning behind some changes of catchment areas and combining Community Partnerships and the Reality Check program in the Advancing Tobacco Free Communities RFA?

**Answer (Q6):** The catchment areas in the RFA were determined based on geographic size and size of the adult population. Community Partnership and Reality Check programs were combined to improve coordination of activities, collaboration among contractors, and statewide coverage.

**Q7.** With the potential of new contractors and some changes to catchment area coverage, does the state have plans to assist and support these contractors in rebuilding momentum and relationships in communities (i.e. re-engaging community leaders and residents) that were developed by former contractors over the last 10 years or more?

**Answer (Q7):** BTC staff will provide technical assistance and training to contractors funded through this RFA to support their implementation of deliverables outlined in the RFA. This will include guidance and support on establishing community engagement practices.

**Q8a.** Is the NYS DOH willing to reconsider the RFA guidelines regarding subcontracts that are stipulated in Section II, A? Specifically, will it reconsider the restriction on subcontracting core personnel and major components of the workplan?

**Q8b.** I have a question pertaining to the third paragraph of Section II of the RFA. Our Community Partnership and Reality Check programs (currently funded at separate institutions, Bassett Healthcare Network and SUNY-Cobleskill) have an excellent working relationship and would like to continue into the new grant cycle. Will there be any exceptions to subcontracting of core personnel?

**Q8c.** Question concerning Section IIA paragraph 3. Why does the RFA prevent subcontracting of major portions of the workplan, especially if there is an existing collaboration that is working well and has a strong history of results for delivery of program initiatives? And, how much in subcontracting would be appropriate for a catchment area?

**Q8d.** What is the rationalization for not allowing subcontracting major components of the grant with established subcontractors, specifically subcontractors who have extensive training, are well versed in Tobacco Control, are stakeholders and strong advocates in their community, are influential in policies to date, and are performing well? Lead agencies are being required to take on the added expenses of fringe, retirement and office expenses of staff when these expenses absorb a significant percentage of the budget, and in the case of retirement can outlast the duration of the program, when these expenses do not in any way fulfill any of the workplan deliverables and could have been subcontracted. Sections II P 3 and III B.4

**Q8e.** What is the rationalization for not utilizing established resources that the TCP has invested an enormous amount of time, money and effort in developing by not allowing these agencies and individuals that have extensive training and experience in Tobacco Control advocacy, programming, education and planning to be utilized by the lead agency through subcontracts? In many cases, the catchment area will lose these valuable individuals' experience and knowledge of tobacco control within their communities if the new lead agency is unable to hire them due to hiring and/or budget restrictions and civil services rules. Sections II P 3 and III B.4.

**Q8f.** In Section II; Page 7, the RFA states "applicants may subcontract components of the scope of work (e.g. evaluation, media, and information technology), but should retain a majority of the work in dollar value (more than 50%) of the contract within the applicant organization. Major components of the workplan cannot be subcontracted (should retain more than 50% effort)." Does this mean workplan core deliverables such as community mobilization and youth involvement for the Point of Sale and Tobacco Free Outdoors could be subcontracted with another agency, as long as it doesn't exceed 50% of grant funds?

**Q8g.** (pg 7 of 29, paragraph 3) Regarding contracting: does the "majority of the work in dollar value" refer to the entire dollar value of the contract, or just the dollar value assigned to a strategy or activity? For example, if an evaluation project involves a contractor such as a research firm, the dollar value for that evaluation project may be solely the cost of the contractor. Is that permissible?

**Q8h.** Is there a cap on the percentage of funds used for subcontracts? And does it include the required minimum 10% allocated for collaborative media efforts?

**Answer (Q8a-8h):** The applicant is responsible for implementing the work described in the RFA. All core (required) personnel must be employed by the applicant and cannot be subcontracted. The required (core) positions for this grant are a full time Lead Coordinator for Community Engagement, a full time Lead Coordinator for Reality Check, and a .15 FTE Director position to oversee the Coordinators. The contractor will use grant funds to employ a minimum of two full-time Lead Coordinator positions responsible for managing day-to-day operations of the grant; building, coordinating and guiding the project in meeting grant deliverables. The .15 FTE Director will provide oversight and ensure there is effective and efficient coordination between the two elements of the contract.

Applicants may subcontract components of the scope of work (e.g., evaluation, media, and information technology), but it is required that the applicant retain a majority of the work in dollar value (more than 50%) of the contract within the applicant organization. This means that the total value of the subcontract section of the budget should not exceed 49% of the budget for the grant funds. In general, the costs for the required personnel and fringe could total the required 50% to be retained by the applicant. Subcontracting activities that support major workplan deliverables is acceptable as long as it does not exceed 49% of the total budget. Subcontracting dollars may include the required 10% media allocation; if so, this percentage would count towards the subcontracting total. See also page 7 of the RFA.

While we encourage sub-contractual relationships with appropriate entities in your community, subcontracts must be less than 50% of the total contract and core positions cannot be subcontracted to another entity.

**Q9a.** Are lead agencies able to CONTRACT employees as opposed to hire? For example, if a local health department cannot subcontract with an agency, is it also against the new requirements to contract with a specific person to perform, on behalf of the lead agency, but not as a hired/fringe benefit employee? Sections II P 3 and III B.4

**Q9b.** If an agency that wishes to apply for the RFA but cannot hire employees (i.e. hiring freeze or civil service restrictions) to fulfill the core staff requirements, does this prevent them from being eligible to apply according to the restrictions about subcontracting major components/core staff? Sections II P 3 and III B.4.

**Answer (Q9a, Q9b):** All core (required) personnel must be employed by the applicant and cannot be subcontracted – see Answer 8a-8h above. The RFA does not prohibit the use of contracted agencies or individuals for non-core personnel within the guidelines of the RFA. Staff not funded directly by the applicant should be clearly represented in the workplan and the subcontract portion of the budget.

**Q10.** Staffing requirements (page 15) call for one full-time Community Engagement Lead Coordinator & one full-time Reality Check Lead Coordinator. Please define what specifically is meant by “lead.”?

**Answer (Q10):** the Lead Coordinator for both the Community Engagement and Reality Check elements of the RFA are the primary point persons responsible for managing all day-to-day operations required to meet all of the deliverables of the RFA and are also the primary persons interacting with staff of the BTC.

**Q11.** The RFA states that grant funds support a minimum of 0.15 Director. Is this a typo? 0.15 is equivalent to 6 hours a week which is impossible. Please advise asap.

**Answer (Q11):** As stated in the RFA, funds should support a **minimum of 0.15 FTE Director** or 6 hours weekly out of a 40 hour work week or the Director position could be provided in-kind by the applicant agency, as noted in the RFA modifications on page 2 of this document. The position of Director would provide oversight and direction to the two funded full time Coordinators for Reality Check and Community Engagement. This position will ensure there is effective and efficient coordination between the two elements of the contract.

**Q12.** Since we pass policies citywide, can we hire a full-time citywide youth/Reality Check manager? As opposed to hiring additional borough level coordinators?

**Answer (Q12):** As stated on page 9 of the RFA, applicants may submit proposals for more than one catchment area, but each catchment area must be a separate proposal. Each application must follow the staffing requirements as detailed in the RFA. Each New York City borough is a separate catchment area and requires a separate application.

### **Section III Component Project Narrative/WorkPlan Deliverables:**

**Q13.** (pg 9 of 29, paragraph 1) "All strategies used to meet deliverable requirements should incorporate the principles of ... " It appears as though the "principles" mentioned here are the same as the "strategies" identified in attachment 6. Please clarify the differences.

**Answer (Q13):** The principles of Community Engagement, Community Mobilization and Youth Engagement listed on page 9 of 29 are the primary approaches that should be collectively applied to meeting all of the deliverables listed on page 9 of 29. These principles should contribute to the strategies listed in attachment 6 and described on pages 10-14 of the RFA. The principle of community mobilization is also specifically identified as a strategy due to the important role it plays in community change.

**Q14.** Public Health Solutions/NYC Coalition for a Smoke-Free City is the citywide tobacco education organization for the five boroughs. As policies are made at the citywide level, not at the borough level, can one entity be named as the applicant on multiple applications?

**Answer (Q14):** Agencies may apply to serve more than one catchment area. However, a separate application must be submitted for each catchment area. A single application for more than one catchment area, as defined in the RFA, will be rejected. If an applicant applies for more than one catchment area and is recommended for an award for more than one catchment area, the result will be one contract with separate workplans and budgets for each catchment area.

**Q15a.** Will lead coordinators be equally responsible for all initiatives or should Reality Check focus on Point of Sale and Smoke Free Media and the Community Engagement Coordinator focus on Tobacco-Free Outdoors and Smoke Free Housing?

**Q15b.** Are the initiatives specific to a project coordinator, for example, will the Community Engagement be responsible for POS, MUD, and TFO?

**Q15c.** Can the Community Engagement Coordinator and the Reality Check Coordinator share responsibilities of all initiatives or do the coordinators need to focus on specific initiatives?

**Q15d.** Can youth leaders in Reality Check work on the TFO initiative?

**Q15e.** Will Reality Check work on all initiatives as youth partners, including Tobacco Free Outdoors and Smoke Free Housing or just Point of Sale and Smoke Free Media? If so, will the mission of Reality Check be altered from anti-tobacco industry to anti-tobacco?

**Q15f.** Question Pertains to: Page 12 under the section titled “Smoke-Free Multi-Unit Housing”. Does Reality Check work on this initiative?

**Answer (Q15a-15f.):** Youth action, under clear adult guidance, will enhance *all* of the workplan deliverables. (p. 15). Specifically, smoke-free media is a focus for the youth members of Tobacco-Free Communities contractors (p.13). There are no requirements for how the applicants address leadership and coordination of the other initiatives (point of sale, tobacco free outdoors, smoke free housing) however, applicants should include a description of how the agency will coordinate efforts, when applicable and appropriate, between both elements of the contract (Community Engagement and Reality Check p.24).

**Q16a.** (Page 16 III B 4) Staffing bullet #10. Can a staffing waiver be granted for a Lead Coordinator who has an Associate’s degree, is an OASAS Credentialed Prevention Specialist (CPS) and numerous years of experience work within NYS tobacco control?

**Q16b.** In regard to the staffing, can experience be substituted for education and if so at what proportion? (Staffing Section, pg. 16 of 29, 3rd bullet)

**Q16c.** On page 16 of the Advancing Tobacco-Free Communities RFA, under Staffing, the next to last bulleted item states that the two full-time coordinators must have “at least a bachelor’s degree and three years of experience in a like (advocacy or tobacco control) or similar (health education, teaching, etc.) position.” Can the degree requirement be waived when it would both disqualify an experienced, capable person currently working very effectively in tobacco control and contradicts the internal hiring policies of the applicant agency, which may place a higher value on experience, knowledge, skills, and competence than on a specific academic degree?

**Answer (Q16a-16c):** See RFA Modification on Page 2 of this document. The coordinators responsible for the day-to-day management of the project are required to have a bachelor’s degree **and/or** three years of experience in a like (advocacy or tobacco control) or similar (health education, teaching, etc.) position.

**Q17a.** On page 15 of the RFA under the heading Staffing it reads that “funded agency will be required to use grant funds to support a minimum of one full-time Community Lead Coordinator position.” Can the **Community** Lead Coordinator position be job-shared or must it held by only one actual staffer?

**Q17b.** On page 15 of the RFA under the heading Staffing it reads that “funded agency will be required to use grant funds to support a minimum of one full-time Reality Check Lead Coordinator position for the youth action element,” Can the **Reality Check** Lead Coordinator be job-shared or must it held by only one actual staffer?

**Q17c.** Can the one Full Time Community Engagement Coordinator position be two .50 positions?

**Q17d.** Can the one full time Reality Check Coordinator be two .50 positions?

**Q17e.** Can the full time coordinator positions be job shared? (Staffing Section, pg.15 of 29, bullets 5 & 6).

**Answer (Q17a-17e):** No, the Full Time Coordinator positions cannot be shared. The expectation is that one staff person will fulfill the duties for each of the two Coordinator positions.

**Q18.** Question Pertains to: Pages 15-16 under the section titled “Staffing”. It states , “The funded agency will use grant funds to support a minimum of .15 FTE Director to provide direction to the Coordinator positions noted above.” If one of the Coordinators positions is 100% FTE at 35 hours per week can the same person be hired as the project director for the 15% FTE at about 5 hours per week? An example would be if the Community Engagement Coordinator was to work full time at 35 hours a week and also worked as the Projector Director for 5 hours a week (.15 FTE)

**Answer (Q18):** No, that would not be acceptable. One FTE position means 100% effort for a contract resulting from this RFA. The state will not pay one individual for 115% effort on a contract. Additionally, the Director will provide oversight and ensure there is effective and efficient coordination between the two elements of the contract, thereby requiring the position to be filled by someone other than the two Lead Coordinators.

**Q19.** If the agency hires another staff for this contract (specifically a part-time position) to assist in programing will this person need to split their responsibilities between Reality Check and the Community Engagement aspect of the contract or can they focus on one?

**Answer (Q19):** It is the responsibility of the applicant to determine the additional staffing needed, including the scope of work of those staff, in order to implement the full range of activities of this RFA. As stated in the RFA, the two 100% FTE Lead Coordinators are required staff.

**Q20.** Will Community Engagement and Reality Check report separately on CAT or together? Project Narrative/WorkPlan Deliverables Section B. Additional Requirements for All Organizations Funded Under This RFA, 8) Paid Media.

**Answer (Q20):** Awardees will be required to submit one report per month per catchment area.

**Q21.** The RFA references utilizing a “core group of youth” and a “limited number of youth” (page 15, Incorporating Youth Action) – are there any specifications for the parameters of what a core or limited group of youth entails? How will this differ from the Reality Check program at present?

**Answer (Q21):** The requirements for a “core”, “limited” group of youth are consistent with the Reality Check contracts ending June 30, 2014. Coordinators must maintain an adequate youth infrastructure to achieve workplan objectives throughout the catchment area. The precise number of youth necessary to achieve objectives may vary across the state. The word “limited” is in reference to the expectation that contractors will decrease recruitment activity to a maintenance level when an acceptable level of participation has been achieved. Constant, high-maintenance recruitment of youth is discouraged.

**Q22a.** How much time will youth be expected to prepare and participate with each activity? Are youth expected to advocate for all policy changes or simply industry initiatives?

**Q22b.** Will youth in Reality Check be working on all initiatives or will they continue to just focus on Smoke Free Media and Point of Sale?

**Answer (Q22a-Q22d):** As noted in the RFA, youth action, under clear adult guidance, will enhance all of the workplan deliverables. (p. 15). Specifically, smoke-free media is a focus for the youth members of Tobacco-Free Communities contractors (p.13). Youths’ time and participation will vary according to the activities taking place and objectives to be fulfilled.

**Q23.** Regarding smoke-free housing, how are you measuring success? Will it be measured in units? Or signed policies? Or campaign efforts?

**Answer (Q23):** Success is measured based on whether or not outcomes (deliverables) are met. See page 7 of the Workplan Standard Guidance document, which outlines the required outcomes (deliverables) for smoke free multi-unit housing.

**Q24.** Also, related to smoke-free housing, will we be able to count supportive housing institutions towards achieving our smoke-free housing goals?

**Answer (Q24):** Organizations funded under this RFA will implement actions to promote smoke-free policies in multi-unit housing, with a strong emphasis on policies that protect the health of low-income residents. This could include supportive housing institutions. Through community education efforts, at least one municipality will require all landlords and building owners to fully disclose their smoking policies to all current and new tenants. (See page 12 of the RFA).

**Q25.** Will the evaluation piece of the budget require 10% of the funds for each single year budget?

**Answer (Q25):** Programs will dedicate **up to** 10 percent of grant funds to program evaluation to measure the impact of selected activities and strategies and contribute to the achievement of tobacco control program objectives and goals for each year of the budget (see page 14 of RFA).

**Q26.** Can you give examples of local level evaluation projects?

**Answer (Q26):** Specific examples of local level evaluation projects can be found on page 14 of the Workplan Standards Guidance.

**Q27.** How are you defining “disparities”? (this question is in reference to the (optional) local level disparities activity that is first cited on page 9 of the RFA) .

**Answer (Q27):** Tobacco-related health disparities are distinguished by the differences in patterns, prevention and treatment of tobacco use; the risk, incidence, morbidity, mortality and burden of tobacco-related illness; and related differences in community capacity and infrastructure, access to resources and secondhand smoke exposure. In NYS, tobacco use disparities are most common among those with lower incomes and less education (low socioeconomic status) and those with mental health and substance abuse issues including those diagnosed with severe mental illness and substance use disorders. Strong applications will include information documenting the rationale for addressing a particular tobacco related disparity in their community

**Q28.** Since NYC has passed four policies; three related to POS, and one for TFO, can percentage of efforts per policy area be altered?

**Answer (Q28):** No, the need for policy actions outlined in the RFA remains high in all areas of the state, including New York City. Point of Sale policy work that has not been achieved in New York City is significant and includes tobacco product display restrictions, restrictions on sales in pharmacies, and reducing the density of tobacco retailers. Throughout the contract term, evaluation efforts, including local level evaluation, will inform changes to percentage of effort in relation to policy efforts.

**Q29.** On pages 9-13 of the RFA under the section Project Narrative / Workplan Deliverables under the various headings of Government Policy Maker Education Strategy it states, “As with all activities implemented for the Department, all lobbying is expressly prohibited.” On page 1 of Attachment 6 under the heading Strategies, bullet Government Policy Maker Education it states, “As with all activities implemented by BTC, all lobbying is expressly prohibited.” Is there a specific definition of what does and does not constitute lobbying?

**Answer (Q29):** According to the New York Temporary State Commission on Lobbying Guidelines to the Lobbying Act, lobbying means attempts to influence the passage or defeat of legislation, approval or disapproval of legislation by the governor, adoption or rejection of a rule/regulation having the effect of law, or the outcome of a rate making proceeding by a state agency. Lobbying does NOT include educating the public and decision makers about public health problems and solutions.

**Q30.** B1 (pg 14 of 29) "Develop and maintain effective communication systems with partners ..." Does 'partners' refer to the previous bullet, "develop and maintain active partnerships ..."? Or does it refer to what has been called ‘funded partners’, which is other contractors?

**Answer (Q30):** The word ‘partner’ includes funded partners as well as partners with whom you collaborate at the local, regional, and state level.

## **Section IV Administrative Requirements:**

**Q31a.** Do we need Letters of Support as part of the application?

**Q31b.** Will Letters of support be accepted? Will letters of support be considered when evaluating the RFA? Is there a maximum number of letters of support that will be accepted?

**Q31c.** Are letters of support required or encouraged?

**Q31d.** Are letters of support required and/or allowed?

**Answer (Q31a-Q31d):** Letters of support are not required. If an applicant wishes to submit letters of support with their application, they can do so as an appendix. **Letters of support will not be considered when evaluating the application.**

## **Section V. A. Completing the Application Program Plan:**

**Q32a.** In the application, Section 3 is “up to 10 pages” is the number of pages for the workplan attachment part of the 10 page restriction?

**Q32b.** Is the workplan template (to be located in the appendix) counted as part of the maximum 10 single-spaced pages for the Program Plan section? Ref: Page 24 Section V. A. Section 3: Program Plan

**Answer (Q32a, 32b):** The workplan template should be included as an appendix and does not count toward the ten page total.

**Q33.** In the workplan submission for the RFA, Section 3: in the Program Plan, it states we only need to have 1 required activity described per strategy category within each deliverable. Does this mean if we are granted the contract, we would need to submit another workplan with all the required deliverables and objectives? Or would it serve us better to submit a more comprehensive plan?

**Answer (Q33):** Applicants funded through this RFA will be required to provide additional information upon award of the contract. This will include a more detailed workplan and budget encompassing the five years of the contract.

**Q34a.** Section 3: (pg 24 of 29) "The time line should represent an annualized 12-month time period." Does this mean that the time line should cover one (1) single year only? Should the one year time line specifically begin on day one of the funded period, July 1, 2014? Should the time line be by month, or by year? For example, “In year 1, this activity will occur ...” or, “In month 1, this activity will occur ...”?

**Q34b.** Should we provide (1) 12 month narrative or (5) 12 month narratives, one for each year of the grant? (Located on page 24 under Section 3 Program Plan, 4-5th sentence in)

**Answer (Q34a, Q34b):** Applicants should provide one time line that is representative of 12 months of work and is reflected in the proposed annual budget. This time line will be

considered representative of the timeline that will be implemented annually.

**Q35.** Section 3: (pg 24 of 29) "... specific details describing activities" Does this mean details for all activities in Attachment 6, or only those activities that the applicant includes in the application workplan, Attachment 6A?

**Answer (Q35):** The narrative time line should include details describing all proposed activities.

**Q36.** How are we to reconcile conflicting timeframes between the 12 month Program Plan narrative(s) (Located on page 24 under Section 3 Program Plan, 4-5th sentence in) and the budget guidelines indicating the submission of 1 nine-month and 4 twelve-month budgets (Located in Attachment 5)?

**Answer (Q36):** See RFA Modification Page 2 for corrected language. The budget and workplan guidelines have been corrected to require the submission of one (1) annualized twelve-month budget and one annualized workplan.

### **Section V. A. Completing the Application *Staffing Pattern and Qualifications*:**

**Q37.** RFA - Completing the Application-Section 5. Staffing Pattern and Qualifications, bullet #1 & #2, page 25: Question: Can a current program coordinator (either Community Partnership or Reality Check coordinator) be listed in more than one grant applications within the catchment area?

**Answer (Q37):** An individual can be listed on more than one grant application for the same catchment area. Only one award will be granted per catchment area.

### **Section V. A. Completing the Application *Budget*:**

**Q38a.** Questions pertaining to: Page 26 under the section titled "Funding resulting from RFA will not be used for". It states "The provision of primary tobacco prevention education endeavors including health fairs and classroom preventions."

- i. Can you define health fair?
- ii. Can a High school Health Expo for kids be attended as educational & recruitment opportunities for Reality Check?
- iii. Can you better define primary Tobacco Prevention educational endeavors?
- iv. Are Coordinator not allowed to participate in any community education and engagement activities that take place in schools?
- v. It States, "Purchase of "gear" items without prior approval from the Department". Can you define "Gear"? Is there any gear that is pre-approved?

**Q38b.** This RFA prohibits the use of grant funding to participate in health fairs and classroom prevention – will such activities be permitted as a means of community education and mobilization regarding initiatives or a mechanism for youth recruitment? Are all activities coordinating with schools discouraged? (Page 26, Funding resulting from this RFA will not be used for...)

**Answer (Q38a, Q38b):** A health fair is an educational and interactive event designed for outreach to provide basic preventive medicine and medical screening to people in the

community. Educational and health events in a school setting may be attended by Reality Check staff, but for recruitment and infrastructure purposes ONLY – these types of events are not acceptable as community education or community mobilization events for contract initiatives. Tobacco prevention educational endeavors refers to events that focus primarily on imparting messages focused on topics such as the harms of smoking, and the benefits of quitting smoking. Any event that utilizes tobacco prevention messaging is not an allowable activity, as the focus of this contract is policy change at the organization and/or municipal level. “Gear” are items purchased to be distributed to community members and/or Reality Check youth which are intended to enhance educational messaging on initiative topics. Gear is approved on an individual contract basis, and approvals are not transferrable between contracts.

**Q39a.** Will Community Engagement and Reality Check have one voucher each month or voucher separately? Who May Apply Section B. Preferred Eligibility.

**Q39b.** Will the budget be split between Community Engagement and Reality Check for each contract or will they be using one budget? – Who May Apply Section C. Catchment Areas.

**Q39c.** If Community Engagement and Reality Check work under one budget, what will the percentage of the budget be dedicated to each modality? Who May Apply Section C. Catchment Areas.

**Answer (Q39a-39c):** This grant combines elements of Community Engagement and Reality Check under a single contractor and is considered a single contract for all legal, workplan and budgetary purposes.

**Q40a.** What is the travel budget to attend the required trainings and meeting for staff?

**Q40b.** Should budget proposals reflect travel for 6 Albany trips per coordinator or 6 trips total? (Located on page 16 under Section 6 Meetings and Trainings, last sentence)

**Answer (Q40a, 40b):** The travel budget needed to meet the requirements of the RFA should be determined by the applicant. Applicants should budget for a minimum of six (6) trips, including at least one overnight, to Albany per year for both coordinators.

**Q41a.** Paid Media states funded agencies will be required to allocate 10% of their budget to support Department directed collaborative media, is this amount based on the total grant allocation (example \$400,000.00) or based on the contract program budget?

**Q41b.** Will statewide media be paid out of a joint media budget of Community Engagement and Reality Check or just out of Community Engagement as in past years? – Project Narrative/WorkPlan Deliverables Section B. Additional Requirements for All Organizations Funded Under This RFA 8) Paid Media

**Answer (Q41a, 41b):** Funded agencies will be required to allocate a minimum 10% of the total grant budget (not 10% of one specific category) toward certain paid media efforts as outlined in the RFA. This allocation will contribute to a collaborative effort of all grantees of this project. See Page 17 of the RFA.

**Q42a.** Should the budget for the 9 month and for the 12 month period be in the Appendix or should it be under the content area of the application?

**Q42b.** Section IV, G (pg. 20) refers to annual budget periods, and Attachment 5 refers to different budget periods (ending March 31, 2019). Is a 3-month budget period from April 1, 2019 – June 30, 2019 expected?

**Q42c.** Section 7- The budget directions states that one annualized budget should be submitted for July-June, yet Attachment 6 states a 9 month budget (July-March) and annualized thereafter from (April-March) is requested. This is very confusing. Which is correct?

**Q42d.** The RFA Checklist for Application Submission wants a 12-month budget and 12 month workplan submitted. However, the guidance document (Attachment 5) states we need to submit (2) separate budgets, one for a 9-month period and one for a 12-month period. Do we follow the guidance document and thus submit (2) budgets and (2) workplans or submit only (1) 12 month budget and (1) 12 month workplan?

**Q42e.** In Section V; Page 26, #7 Budget, the RFA states “applicants should submit one annualized budget representative of one year of the five-year period (July 1, – June 30).” The Checklist for Application Submission (Attachment 3) also states 12-month budget. However, Attachment 5 – RFA Budget Template Guidance, #1 under Important to Know, states “applicants should complete and submit two budgets. One nine-month budget (7/1/14-3/31/15) and one annualized, twelve-month budget that will represent the remaining four years (4/1/15-3/31/19).” Which is correct?

**Q42f.** Budget – page 26, Section 7 states “Applicants should submit one annualized budget representative of one year of the five year period (July 1, - June 30). But Attachments 5, page 1, number 1 states “Applicants should complete and submit two budgets. One nine-month budget (7/1/14-3/31/15) and one annualized, twelve month budget that will represent the remaining four years (4/1/15-3/31/19)”. Which budget format should we write and submit?

**Q42g.** Attachment #5-The guidance states it requires two budgets: one nine month and one annualized budget. Is the 9 month budget prorated to 75% of the full funding amount?

**Answer (Q42a-Q42g):** See RFA Modification on Page 2 for correction to the budget guidance document. The budget guidance document has been corrected to reflect the language in the RFA that states “applicants should submit one (1) annualized budget representative of one year of the five year period.” Applicants should also submit one (1) annualized 12-month workplan. Applicants should include the 12-month annualized budget and workplan templates as an appendix.

**Q43a.** Is there a preferred ratio between funds spent on personnel services and those spent on other than personnel services?

**Q43b.** Is there a penalty for exceeding a particular percentage of funds spent on personnel services?

**Answer (Q43a, Q43b):** There is no preferred ratio between funds spent on personnel and other than personnel services. There is no penalty for exceeding a percentage of funds spent on personnel services.

## **Section V. B. Application Format:**

**Q44.** RE: font size for attachments: Is there a specified font face and font size that is required for the attachments? For example, in the workplan template, Attachment 6A, the text that has been included is smaller than 12 point Times New Roman. Should this attachment be completed in 12 point, or is a smaller font acceptable?

**Answer (Q44):** There is no specified font size for attachments however, for ease of review, a font smaller than that contained in the workplan template is not recommended.

## **Section V. C. Review and Award Process:**

**Q45a.** When (what date) do you expect to announce awardees?

**Q45b.** Question Pertains to: Page 28 under the section titled “Review & Award Process”. What is the projected award date?

**Answer (Q45a, Q45b):** A projected award date has not been established. We anticipate award/non-award notifications will occur in April or May of 2014 in time to allow for contracts to begin on July 1, 2014.

**Q46.** If the award date occurs after the end of the current grant year will the current grant be extended? If not how will the current agencies holding the contract continue the grant during the interim? What is the expectation?

**Answer (Q46):** In the event the Department is unable to announce awards prior to the end of the current grant year (June 2014), current Community Partnership and Youth Action contracts may be extended.

**Q47.** Will you provide each applicant with their application score (whether they are funded or not?)

**Answer (Q47):** Applicants will receive a letter notifying them of award or non-award. The application score is not included in the letter.

## **Section VI Attachments:**

**Q48.** Question Pertains to: Page 29 under the section titled “Attachments & BTC Specific Attachments”. Can you provide more guidance on the attachments numbers, they do not seem to match up with attachments that are listed and some are not listed at all on page 29.

Please send writable versions of the following application attachments:

- a. Attachment 2, the Letter of Interest Template
- b. Attachment 3, the Application Check list Template

- c. Attachment 4, the Cover Sheet Template
- d. Attachment 5, in the Budget Template is pre-populated with excel formulas
- e. Attachment 6a, the Workplan Template
- f. Attachment 7, Vendor Responsibility Attestation
- g. Attachment 9, Tobacco-Free Policies Attestation

**Answer (Q48):** The attachments in the RFA match the Page 29 list. Attachment 1, the Master Grant Contract, is provided for information purposes only; it extends from pages 30-77 of the RFA. That Attachment has, within the document, its own attachments.

The Attachments noted can be copied/pasted into a new document or the applicant can print the documents and fill in using ink to submit with the application. Attachment 5a and 6a are on the RFA website as Excel/Word documents for use in completing electronically (<http://www.health.ny.gov/funding/rfa/1308140158/index.htm>). The budget template (Attachment 5a) is deliberately pre-populated with Excel formulas to assist in the appropriate completion of the template – please use steps provided in the budget guidance document (Attachment 5).

## **Section VI Attachments - #5 Budget:**

**Q49.** In Attachment 5, RFA Budget Template Guidance, what does an annualized, twelve-month budget that will represent the remaining four years (4/1/15 – 3/31/19) look like?

**Answer (Q49):** For the purposes of this RFA, one twelve month period would represent a period of July 1- June 30. Please provide a budget that represents the expected costs for annual operation, using the award amount by catchment area from pages 8-9 of the RFA. If awarded a contract, the applicant would then be instructed to submit budgets for the five-years of the contract.

**Q50a.** Are amounts budgeted under Non-Personal Services for Space/Property & Utilities for staff included under the Personal Services Category included as part of the 10% limitation for administrative expenses or does it stand on its own and is not included when calculating the maximum allowable administrative costs?

**Q50b.** Are amounts budgeted under Contractual Services for outside payroll processing services for staff included under the Personal Services Category included as part of the 10% limitation for administrative expenses or does it stand on its own and is not included when calculating the maximum allowable administrative costs?

**Q50c.** Are amounts budgeted under Contractual Services for audit services included as part of the 10% limitation for administrative expenses or does it stand on its own and is not included when calculating the maximum allowable administrative costs?

**Q50d.** Are amounts budgeted under Operating Expenses for insurance (e.g. general liability) included as part of the 10% limitation for administrative expenses or does it stand on its own and is not included when calculating the maximum allowable administrative costs?

**Answer (Q50a-50d):** Costs that are deemed administrative in nature (e.g., agency space/rental, payroll processing, audit, insurance), can be billed directly or included in an administrative rate. When the costs are added together (whether billed directly or combined into an administrative rate), the cost cannot exceed the maximum allowable 10%.

**Q51.** In the Administrative Costs Guidelines, Attachment 5, Section II it states that “Administrative costs can be budgeted in one of two ways on a DCDP Contract: (a) as a rate or (b) directly.” It then states under this same section that “Together, the rate requested and items directly billed as expenses should not exceed the maximum allowable administrative costs on the contract.” Is this a contradiction? I would read this as these costs can be budgeted by either method but not both, is this correct? If a rate is not used and all costs are directly budgeted what guidelines will be used and how/who will determine if a specific expense is administrative and subject to limitation?

**Answer (Q51):** It is permissible to directly bill some administrative costs as expenses (i.e. rent, insurance, etc.) and bill some costs as an administrative rate (i.e. fiscal staff, equipment maintenance). The same cost cannot be billed twice on the budget and the combined cost of the directly billed administrative expenses, when added together with the expenses billed under the administrative rate, must not exceed the total allowable administrative rate of 10%. Refer to Attachment 5, Budget Template Guidance, for information on appropriate administrative expenses for use in budget development.

### **Section VI Attachment #6 Workplan Standards Guidance:**

**Q52.** On page 2 of Attachment 6 (page 92 in the full RFA) in the POS section, under Community Education it states that four activities are required but only three are listed below that. Is one missing or does this mean that the contractor will propose a 4<sup>th</sup> activity?

**Answer (Q52):** The three activities listed are required. Applicants should propose a minimum of one additional activity.

**Q53.** On page numbers 10 and 12 of Attachment 6 (in the complete RFA it’s pages 100 and 102) there are bulleted points with nothing after them. On page 10 this occurs in the SFM section under Community Education. On page 12, still in the SFM section, it occurs under Advocating with Organizational Decision Makers (which starts on the previous page). Is there information missing in these two places or is this just a typo?

**Answer (Q53):** There is no information missing. These are typos.

**Q54a.** Attachment 6, Required POS activities, Community Mobilization (page 3): No activities are listed, however, the instructions in the Workplan Template (Attachment 6A) are to “choose one required activity”. Where are the “Required Activities” for POS Community Mobilization specified elsewhere in the RFA or an attachment?

**Q54b.** Attachment 6: When there is no list of “Required Activities” from which to "select one", are we free to devise a unique activity, or should we always select an activity from one of the following lists: “Sample activities”, “Consider the following in your proposed activities”?

**Q54c.** Attachment 6: When the instruction state, “Write one proposed activity” should a unique activity be created based on the list “Consider the following in your proposed activities”? Or, should the one proposed activity be selected from the list “Consider the following ...”?

**Answer (Q54a, 54b, 54c):** There are required strategies for each initiative but only some strategies also include required activities. If certain activities are required, they are listed below the relevant strategy in Attachment 6. In cases where specific activities are not required, applicants should identify at least one proposed activity for the strategy. Proposed activities may include those listed as sample activities but may be new activities identified by the applicant.

**Q55a.** In Section V; Page 24, #3 Program Plan, the RFA states “clearly describe a logical, achievable plan for organizing, implementing, and accomplishing all of the required project deliverables over the life of the contract.” However, within the same paragraph, it states “fill out the workplan template for a 12-month period...” When filling out the workplan template, should the tasks/activities described be within the 12-month period or over the life of the contract (through 3/31/19)?

**Q55b.** The Workplan Template Guidance Document refers to outcomes for the period of July 1, 2014 – March 31, 2016. Section IV, G (pg. 20) refers to annual workplan contract periods. What are the dates of the workplan contract periods?

**Q55c.** In the guidance documents, the RFA states that the ATFC is a 5-year contract with a term of July 1, 2014 – June 30, 2019, and will be 5-annual periods beginning 7/1/2014. In the workplan guidance, it shows workplan objective dates ending March 2016. This information does not match throughout the document. Can you please elaborate on the specifics of the budgeting periods?

**Q55d.** Attachment #6 Workplan Standards Guidance provider guidance for the five years of the grant. However, all Outcomes run from July 2014 through March 2016. Is this an error or are the workplans for the first two years only?

**Q55e.** Should a 12-month workplan be written or should year one activities stretch out to March 2016, as indicated on page 2 of Attachment 6 (Workplan Standards Guidance document under POS Initiative Contractor Outcomes)?

**Answer (Q55a-Q55e):** See RFA Modification on Page 3 of this document for corrections. Reference to dates ending March 31 are incorrect and have been corrected. Applicants should complete a 12-month workplan and include as an attachment, as stated in the RFA, Page 24. The Workplan Template Guidance Document (Attachment 6) should refer to dates for an annualized period of July 1 – June 30. The Program Plan (Section V.A.3., Page 24) should describe the applicants plan for accomplishing project deliverables over the life of the contract.

**Q56a.** On page 16 of Attachment 6 of the RFA under the section headed Youth Recruitment and Retention, Required Youth Infrastructure Activity it reads “Attend and actively participate in the 2015 Reality Check Youth Summit.” Is this requirement only for the Reality Check Lead Coordinator position or are all funded agency staff under contract required to attend and participate?

**Q56b.** On page 16 of Attachment 6 of the RFA under the section headed Youth Recruitment and Retention, Required Youth Infrastructure Activity it reads “Attend and actively participate in the 2015

Reality Check Youth Summit.” Is this requirement only for funded agency staff under contract or does it include youth within the catchment area?

**Q56c.** On page 16 of Attachment 6 of the RFA under the section headed Youth Recruitment and Retention, Required Youth Infrastructure Activity it reads “Attend and actively participate in the 2015 Reality Check Youth Summit.” Is the funded agency required to pay for all costs incurred by youth in the catchment area attending said youth summit and should this be reflected in a separate line in the budget?

**Answer (Q56a-Q56c):** The Reality Check lead coordinator is required to attend any Reality Check Youth summit, along with a contingent of active Reality Check youth (the number of which to be determined as part of the summit planning process). In addition, the contract must provide enough adult staff attendees to provide a reasonable level of supervision for the number of youth in attendance. The contractor is responsible for sharing costs to fund the youth summit, and should include such costs in their budget, however, a separate line item is not required if these costs are already included in lines for travel and youth training.

**Q57.** Under the Infrastructure, do we need 3 performance measures for attending the required BTC meetings? It’s mandatory for us to be at these trainings so how are we supposed to say it in 3 ways that we will be there.

**Answer (Q57):** Applicants *may* identify up to 3 performance measures that reflect the proposed activity related to infrastructure development.

## **Section VI Attachment #6A WorkPlan Template:**

**Q58a.** Attachment 6A, Tasks column: Instructions repeatedly state “Choose one required activity ...” Many of the references in the workplan standards guidance (Attachment 6) do not include a list of Required Activities. Where are the “Required Activities” specified in the RFA?

**Q58b.** On attachment 6a, under Smoke Free Media, where is the spot to write in Local Paid Media? All other initiatives have a spot for it, even though it’s optional.

**Answer (Q58a, 58b):** There are required strategies for each initiative but only some strategies also include required activities. If certain activities are required, they are listed below the relevant strategy in Attachment 6. Not all strategies include required activities. In those cases, applicants should identify at least one proposed activity for the strategy. Proposed activities may include those listed as sample activities but may be new activities identified by the applicant.

See RFA Modification on Page 3 of this document for corrections to the Workplan Template. In the Budget Category/Deliverable Smoke Free Media, The Task “Local Paid Media (optional)” is missing. Applicants may include performance measures for this task, if desired, as part of the performance measures for Community Education, also on page 4.

## **Miscellaneous:**

**Q59a.** Will equipment and supplies be transferable to new catchment awardees if the former grant recipients are no longer funded?

**Q59b.** Current TC contracts (Community Partners/Reality Check) have equipment, technology, furniture, supplies, etc., what will become of those items? Will anything be available for new contractors or should the budget reflect acquisition of items needed to support this RFA?

**Answer (Q59a, 59b):** For the purposes of this RFA, if the applicant has equipment being used that was purchased with BTC funds, they should assume that equipment will continue to be used. When budgeting for this application, applicants should not assume that equipment from current contractors will be transferred to them.

Current grantees will be instructed how to transfer/reconcile equipment purchases under their current contracts in a process separate from this RFA.

**Q60a.** If we choose to rename the coalition to fit more appropriately to the ATFC grant, do we need to submit that official name in the RFA?

**Q60b.** Do we need to name our new youth engagement component Reality Check? Or can it be another name?

**Answer (Q60a, Q60b):** Applicants may choose to propose a name for the coalition that is identifiable locally, based upon approval from the BTC. That does not need to be included in the application. Reality Check is the name for the youth engagement element of the contract and will be used locally and at the state level. An applicant's official name should be the same as their name in the Statewide Financial System (SFS). The SFS Vendor Identification Number should also be provided.

**Q61.** New York State travel and lodging rates often require some form of state ID card or proof, in order to get that rate. (Many hotels in Albany have started to require this in the last 6 months) Will the Department of Health be providing a letter or documentation of proof, to receive the State rate as indicated in the contract requirement, for awarded agencies?

**Answer (Q61):** Successful applicants will receive notice of award. This award letter should suffice as proof of state funding.

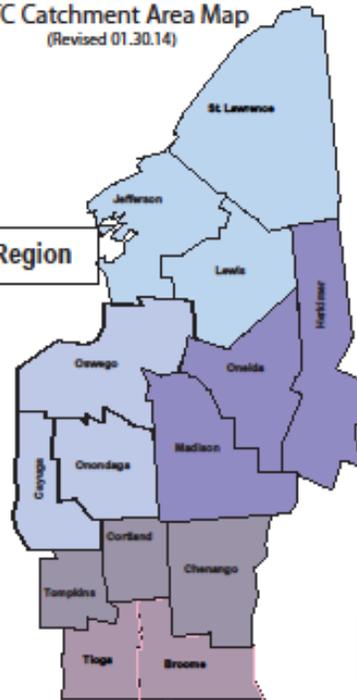
Attachment 10  
BTC Catchment Area Map  
(Revised 01.30.14)

NYS Bureau of Tobacco Control  
Advancing Tobacco Free Communities  
Catchment Areas

Western Region



Central Region



Capital Region



Metro Region



Color is used to distinguish catchment areas.

NYC  
Pullout

