Community Engagement Agreement

CALIFORNIA HEALTH COLLABORATIVE

California Department of PublicHealth | CALIFORNIA TOBACCO PREVENTION PROGRAM UNDO

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Introduction/Background

WHAT IS A CEA?

A Community Engagement Agreement (CEA) is a type of subcontract, valued at less than $5,000. CEAs are meant to support California Tobacco Prevention Program (CTPP)-funded projects in completing approved scope of work (SOW) activities. This funding allows agencies that may be new to tobacco prevention to explore creative ideas that advance local policy campaigns and community engagement work. CEAs can help CTPP-funded projects engage otherwise hard-to-reach communities. Utilizing CEAs is meant to simplify the opportunity to engage with partners who are possibly less familiar with tobacco-related work, help build buy-in and familiarity with tobacco-related issues, and establish organizational relationships that can ultimately lead to increased authentic community engagement.

> **CEAS CAN HELP YOU ENGAGE WITH COMMUNITY PARTNERS IN CREATIVE WAYS.**

THE EFFECTIVENESS OF CEAS

When developing the 2017-2021 San Bernardino County LLA Tobacco Control Plan, California Health Collaborative (CHC) explored ways to expand the program's reach and services with the populations most impacted by tobacco-related disparities and located in the various regions of the county that are characterized as urban, suburban, desert, rural, valley, and mountain. With increased funding allocations from Proposition 56, the California Healthcare, Research, and Prevention Tobacco Act of 2016, CHC was able to achieve its objective of reaching priority populations and geographically distanced communities of the county through the development and implementation of a CEA Program. During the 4.5-year plan period, the program awarded 15 CEAs to community organizations throughout the county ranging between $3,824 - $5,000, for a total amount of $72,675 in grant funding. As a result of the CEA Program and partnerships developed during the implementation of funded activities, tobacco prevention policy campaigns were successful in communities such as Adelanto, Colton, and Hesperia.

In 2022, an evaluation was conducted of CHC's CEA Program in San Bernardino County. The purpose of the evaluation was two-fold: (1) to assess the satisfaction of the funded participant organizations in the program, and gather their ideas for ways to improve the CEA program, and (2) to identify how these educational campaigns may have fostered community empowerment.

The responses were overwhelmingly positive

about the funding opportunity, the support they received from the funder, and the results obtained. Those recipients whose plans were affected by the COVID-19 pandemic felt their campaigns still had an impact. Many stated they had to learn new engagement strategies (e.g., virtual, online) and that this was a good lesson learned.

While addressing tobacco issues is critical from a public health standpoint, the key element of this program is to build social capital by empowering the communities served. The community empowerment and engagement, especially among youth, does more than mitigate tobacco use. It builds sustainability and resilience in those communities, providing community members the knowledge and skills to remain engaged and actively participate in decision-making. Building this capacity in communities while simultaneously reducing the health risks of tobacco is a win-win situation and well worth future funding. The full evaluation report can be found in the **Rover Library**.

CEA CONSIDERATIONS BASED ON THE

CTPP ADMINISTRATIVE GUIDELINES

When funding community organizations through CEAs, it is important to keep in mind that CEA funding does not have to be awarded all at once. An organization may be funded more than once during the program's contract term, as long as the total funding per recipient is less than $5,000. Funds awarded for a CEA agreement must be used to support the completion of activities described in the program's SOW and cannot be used for activities that do not relate to approved SOW activities. This, however, should not limit creative project ideas that CEA recipients may propose.

TIPS FOR AN EQUITABLE CEA PROCESS:

Pay the CEA recipient up front to assist with start-up costs!

Allow for flexibility in agreed-upon activities.

Simplify SOW activity language – the SOW is the CTPP-funded agency's responsibility, not the responsibility of the CEA recipient.

Leave space for creativity!

Once an organization is funded through a CEA, it is subject to some of the same rules and guidelines that the program is subject to and is not allowed to use CEA funds for lobbying activities or to purchase incentives from locations that also sell tobacco or alcohol. In an effort to promote equity, it is recommended that the funding agency pay the CEA

recipient up front for their proposed project. Upfront funding may allow smaller non-profits to purchase the materials and equipment needed to successfully meet the project deliverables. This makes it possible for smaller organizations and community groups with limited resources to contribute their valuable expertise to the local policy campaigns.

Since the CEA funding amount is less than $5,000, CTPP does not require a formal competitive bid process. Although a competitive process is not required, programs can choose to implement a competitive process in order to ensure a fair and unbiased selection of CEA recipients. A competitive process generally seeks a minimum of three applications or bids. The awarding agency's own competitive bid policies and procedures determine how the process is carried out.

DIRECT CEAS VS. CEA PROGRAM

The choice of whether to use Direct CEAs or a CEA Program depends on the program's needs and capacity to oversee multiple CEAs at the same time, which is usually the case with a CEA Program. This choice also depends on the approved budget for each CTPP-funded project that will determine whether multiple CEAs can be awarded per fiscal year. Each CEA process has its respective benefits and should be used according to the funded program's specific needs.

DIRECT CEAS VS. CEA PROGRAM

	Direct CEA Examples	CEA Program
Community Education	Fund a community organization that works with a hard-to-reach population to conduct community education on your policy issue.	Provide a list of tasks that need to be completed by a specific date and allow community organizations to apply to complete one or more of those tasks, giving their qualifications to follow through.
Educational Material Development	Work with a non-profit organization that serves a specific population in your community to create one or more educational materials specific to that population in content, design, and language.	■
Policy	Recruit and prepare training for a community group to speak to elected officials about the merits of legislation or potential legislation.	Provide guidance to community organizations on the prime agency's goals, including target cities or mediums, and allow organizations to suggest projects that would help the prime agency succeed.
Policy Cessation Support	Provide funding for local cessation providers to rent space in partnership with a provider to host cessation classes in certain neighborhoods with high concentrations of multi-unit housing, post-policy adoption to assist with policy implementation.	■
Training	Bring local or virtual experts to a coalition meeting to train on anti-racism, implicit bias, microaggressions, etc., to provide education about systemic racism and empower us to identify the sources and tactics of resistance to dismantle racism.	Include tasks for training and evaluation of the CEA opportunity as part of the funding agreement.
Technical Assistance	Fund one city's code enforcement department with an existing tobacco law to provide training and technical assistance to another city that recently adopted and is learning how to implement and enforce its new law.	
Media	Work with a local influencer to create Instagram or TikTok videos educating others about tobacco use and your policy issue.	
Evaluation	Partner with your local food pantry to collect public intercept surveys and distribute incentives to participants who complete them.	

Designing Your Own CEA Program

Recruitment	Award	Training	Activity/ Activities	Evaluation

As discussed previously, CTPP-funded projects can decide to award CEAs as one-off opportunities for partners and other interested agencies, or they can establish a more formal CEA Program that seeks to award funds to a range of projects on a yearly basis. A CEA Program can be structured in a way that best fits the needs of the funded project and most strategically supports the policy campaigns of Coalition members and community partners. The following section of the toolkit will outline the different steps to take when establishing a CEA Program as well as how activities completed by CEA recipients can be monitored and reported by the CTPP-funded project.

RECRUITMENT

I. ELIGIBLE ORGANIZATIONS

The key to a successful CEA Program is to have a wide range of organizations receive funding to participate. CEAs serve as a unique mechanism through which CTPP-funded projects can engage new and non-traditional partners with the work. To allow for this to happen, it is recommended that eligibility requirements be as flexible as possible, within the limitations of our funding.

Most nonprofit organizations with a valid tax ID are eligible for a CEA, as long as they are able to certify that they do not have any conflict of interest that would affect their ability to engage in tobacco prevention work. This predominately means that they are not currently accepting funds from the tobacco industry or its affiliates. The most recently updated Certification of No Conflict-of-Interest form that CEA recipients should be asked to sign is included in the Policy Section of the CTPP Administrative and Policy Manual found in OTIS. CTPP-funded projects are advised to routinely monitor this form in OTIS to be certain it is the most up-to-date version.

Aside from ensuring that the funded agency does not have a conflict of interest with the tobacco or cannabis industries, it is also important to determine that the potential CEA recipient is not already in some way receiving tobacco tax revenue. This would include K-12 public schools that receive tobacco tax funding through the Office of Education or private and public institutions receiving Tobacco Related Disease Research Program (TRDRP) funds. The key point to consider is that CEA funds should not overlap with any other tobacco tax funding

source. However, CTPP-funded projects can consider alternative solutions, such as providing the CEA funds to a club on a high school campus or university campus, especially if this club has a separate tax ID from that of the school. In many instances this is the case, as clubs are often able to accept donations and sometimes keep separate bank accounts for club activities.

To broaden the pool of applicants even further, having a tax ID is not an eligibility requirement necessarily as community groups and coalitions are also eligible to receive CEA funds. To receive the funds, the group or coalition applying would only need to identify a viable fiscal agent (such as a foundation or any other nonprofit organization that regularly accepts donations) that could accept the CEA funds on their behalf and pass them along to the applicant if awarded. These often have tax IDs that would allow them to serve as a middleman between the CTPP-funded project and the CEA recipient.

II.   APPLICATION

While CTPP-funded projects are not required to undergo an Request for Proposals (RFP) or Request for Application (RFA) process when awarding CEAs, it can be helpful to use some kind of application to gather project ideas and background information from interested applicants. The application also serves as an opportunity for the CTPP-funded project to provide important context for the types of projects they are looking to fund as well as any requirements they would like to include as part of the CEA they will be awarding.

A full application sample is included in **appendix I** to this toolkit for CTPP-funded projects to use and adapt as needed. Even though a formal application is not required, it can help by providing greater structure to a more established CEA Program.

III.   DISSEMINATION PLAN

A CEA Program is only successful if the right agencies and community coalitions are reached and invited to apply for this funding opportunity. However, this is often the most challenging part of awarding CEAs on a routine basis. The smaller, more grassroots groups and coalitions often lack the infrastructure and administrative support to consider applying for funding, yet these groups are the ones CTPP-funded agencies should strongly consider selecting as CEA recipients. These groups generally have established trusting relationships with the communities needed for policy campaigns to be successful. They can become valuable partners and Coalition members in the long run if you invest the time and resources needed to engage them in the CEA process.

To recruit new partners, it helps to devise a dissemination plan that outlines strategies on how to share information about the CEA Program with the groups you are seeking to fund. While the dissemination plan does not have to be a formal process, it does require the CTPP-funded project to think strategically and creatively about how the CEA opportunity can be broadly shared with potential applicants. It can be a simple list that sets a timeline

and details avenues through which information about the CEAs can be shared. Below are a few examples of strategies to disseminate information and recruit partners:

- Sharing through the countywide Coalition listserv

- One-on-one outreach with key partners/ organizations

- Social media post about the funding opportunity

- Newsletter distribution

- Website pop-up on a central site, like the Coalition website

- Encouraging Coalition members to share information about the CEAs through their networks

IV. INFORMATIONAL MEETING/ BIDDERS' CONFERENCE

Similar to a typical Bidders' Conference, the informational meeting with prospective applicants consists of a presentation that is provided by the funder to interested applicants to review requirements and expectations of the CEA program and includes an opportunity for attendees to ask questions. While it is not always required to conduct a Bidders' Conference, if you are attempting to establish a formal CEA Program, it can be helpful to conduct one every year after the release of the CEA application, especially for new/non-traditional partners to learn more about the program and funding expectations. To avoid receiving a large number of questions near the deadline, it is also recommended that the CTPP-funded project outline clearly in the timeline that the Bidders' Conference will serve as the final opportunity to ask questions of the project staff.

- Minimum components of informational meeting/Bidders' Conference:

  - Background on the agency/ program that is awarding the CEAs

  - Summary of the application sections and eligibility requirements

  - A designated time for questions

  - Can be conducted in person, but it is also effective if offered over Zoom and recorded

V. REVIEW/SCORING

Reviewing and scoring CEA applications can be completed solely by the CTPP-funded project, but it becomes much more meaningful if the countywide Coalition is involved in some way. It is recommended that a small group of active Coalition members who are not currently applying for CEA funds come together to read the applications submitted that have met the minimum requirements. The CTPP-funded project should screen applications and remove any incomplete or late submissions before sharing them with the review panel.

Having Coalition members and other key partners involved in the review and scoring of CEA applications allows the Coalition to take more ownership of the CEA Program. It also can be helpful because Coalition members are often familiar with many agencies in their respective communities and they can help ensure funds are awarded to reputable groups and organizations. The review panel does not need to be a standing committee of the Coalition, nor does it need to be a formal process. However, to make selections that are less biased and more equitable, a clear scoring rubric and process should be used that incorporates a wide range of perspectives from Coalition members or community representatives. A sample CEA review and scoring tool has been included in

appendix II and can be adapted to fit the unique needs of different CTPP-funded projects.

VI. AWARD NOTIFICATION AND CONTRACTING REQUIREMENTS

Once the applications have been reviewed, the next step is to notify applicants of whether or not they have been awarded a CEA. This initial notification should be delivered in writing and should allow those not selected an opportunity to appeal if they would like. A final notice of award should be issued once the appeal deadline has passed.

Although this is a small step in the CEA process, it is also potentially the CTPP-funded project's first real contact with agencies that may not have been engaged in tobacco prevention work in the past. This first impression can affect the relationship that will need to be established between the CEA recipient and the rest of the tobacco prevention partners. Celebrating the recipients publicly and announcing the selection results through the Coalition website, newsletter, social media, etc., can help CEA recipients feel welcomed and may encourage them to connect more deeply with the movement in the long run. This can be hugely beneficial when trying to keep CEA recipients engaged after the funding has concluded.

Once selections have been made and recipients notified, the project can move into the contracting phase. CEAs are considered "subcontractors" and therefore should be asked to complete some standard documents. As was mentioned previously, recipients should sign the Certification of No Conflict-of-Interest form and can also be asked to sign a formal subcontract outlining the dates and terms of their agreement. Every CTPP-funded project may have a slightly different contracting process required by their agency, but the key is to keep it simple and not have it be a deterrent for

smaller organizations and community groups to access CEA funds. A sample subcontract agreement is included within the CTPP Administrative Guidelines that can be used and adapted as needed. Please see Chapter 604, Minimum Elements in a Subcontract Agreement, of the Administrative Section of the CTPP Administrative and Policy Manual (additionally, Chapter 605 includes a sample subcontract agreement).

Once the subcontract agreement between the CEA recipient and the CTPP-funded project is executed, it is important to note that the CEA recipient then becomes a tobacco tax-funded partner for the duration of their CEA project period.

TRAINING

VII. ONBOARDING RECIPIENTS

After the contracting process is complete and all the needed documentation is on file, the CTPP-funded project should seek to onboard each CEA recipient to better integrate them into any ongoing policy campaign activities. This is especially important for recipients who were not previously engaged in the work, but extensive onboarding may not be necessary for Coalition members or partners who have been a part of the local tobacco prevention work for a longer period. Because each

CEA recipient may be different and may come in with different experiences, the onboarding process should be individualized for each one as needed.

While there is no one correct way to onboard a new CEA recipient, this is a critical step to increasing the likelihood that the recipient will remain committed to the cause after their project period has ended. At minimum for a completely new partner, the onboarding should include a discussion about the history and status of a particular policy campaign as well as information about any other partners that may be engaged in the same community. If the CEA recipient has a number of staff who will be participating in the project, it is recommended that the CTPP-funded project conduct a "Tobacco 101" training with all of the staff. The goal of this training is to introduce the recipient to tobacco control basics that they will need to know for their project. This should help define policy goals and key tobacco prevention terminology. It can be a lot of information to cover with a new CEA recipient, so spreading it out over a series of check-in meetings and conversations may be helpful.

The time and effort needed to build the capacity of an agency that may not be as well-versed in tobacco prevention work should not dissuade

CTPP-funded projects from contracting with these organizations. Even if their onboarding needs are much more extensive, cultivating a strong relationship and elevating their skills is well worth it and necessary to build a diverse group of local tobacco prevention advocates.

ACTIVITIES

VIII. REPORTING AND WORK PLANS

Expectations for conducting approved activities and reporting progress should be clearly outlined in the CEA Program materials. Working with grantees to develop a work plan that lists activities, timelines, responsible parties, and deliverables is a simple method of outlining and tracking activities and progress during the agreement period. Similar to the CTPP-required progress reports, the work plan template can be used by grantees to enter updates on their work performed during each established performance period. Please refer to the table below for a sample of how the work plan template can be formatted.

Activity Description
Conduct 1–3 educational meetings with elected officials in XYZ City. (SOW Activity X-X-XX) Progress Update #1: On XX/XX/XXXX, the PC and three youth volunteers met with Councilmember XXX to inform them about _____.
Start/End Date
XX/XXXX - XX/XXXX
Deliverables
Meeting materials
Staff Assigned
Program Coordinator, Youth Volunteers

It is recommended that each activity listed in the CEA work plan include the corresponding activity for your CTPP-funded program's scope of work. The CTPP-funded project is responsible for tying CEA activities to approved scope of work activities, which should not dictate or limit the creativity of CEA recipients. There are many ways to take a creative project idea and break it down into different components that fulfill a variety of scope of work requirements. Determining how to incorporate the proposed CEA activities into your scope of work will help with tracking and reporting progress for your own activities during the six-month progress reports. Work completed by the CEA recipient should be reported in your progress report within the corresponding activity. As is the case with other subcontractors, CTPP-funded projects will receive credit towards the completion of their scope of work for the activities completed by CEA recipients. A sample work plan template is included in the appendix of this toolkit.

EVALUATION
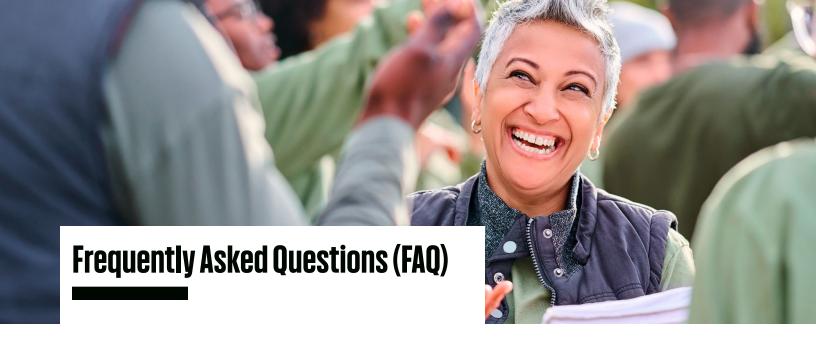
IX. EVALUATING YOUR CEA PROGRAM

It is critical to evaluate the effectiveness and impact of your CEA Program on an annual basis to understand how the program should be adapted and whether the projects funded helped move the policy campaigns forward. This can be done through the dissemination of a satisfaction survey or through a key informant interview with each CEA recipient. Based on the complexities of CEAs and how they can influence a wide range of outcomes, it is advised to evaluate them in a more comprehensive manner. A recommended evaluation approach is included in the appendix.

Overall Recommendations

A well-designed and implemented CEA program can be a great strategy to advance tobacco prevention policy campaigns in your community. A CEA program can help you expand your program's efforts with communities that may be harder to reach and build capacity among community stakeholders and non-traditional partners. Clearly outlined guidelines and expectations are important in securing successful outcomes for the CEA program. Recommendations to help achieve this include:

1. Establish an application and review process that includes funding guidelines and expectations such as –

    - timelines
    - eligibility
    - application submission instructions
    - reporting requirements
    - allowed/unallowed expenses
    - recommended activities
    - resources available

2. Translate the application and any supporting materials into languages consistent with populations in your target community(ies).

3. Develop a promotion and dissemination plan to inform interested community-serving organizations about the CEA program.

4. Establish an ad hoc CEA workgroup to engage Local Leading Agency (LLA) Coalition members and community partners. The CEA workgroup can facilitate the engagement of tobacco prevention stakeholders in the process, help to promote the program, and help with avoiding potential conflicts of interest.

5. Develop and include a frequently asked questions (FAQ) document in the application materials packet.

6. Conduct orientation meetings with selected grantees to review expectations and tools related to reporting, invoicing, implementation of activities, and program evaluation.

Frequently Asked Questions (FAQ)

GENERAL INFORMATION

Q1: What are the benefits of Community Engagement Agreements (CEA)?

A1: Community Engagement Agreements support CTPP-funded projects in completing approved SOW activities. CEAs can help CTPP-funded projects engage otherwise hard-to-reach communities, and the funding allows agencies that may be new to tobacco prevention to explore creative ideas that advance local policy campaigns and community engagement work. Utilizing CEAs can simplify the opportunity to engage with partners who may be less familiar with tobacco-related work, can help build buy-in and familiarity with tobacco-related issues and can establish organizational relationships that can ultimately lead to increased authentic community engagement.

Q2: Is a CEA a small grant?

A2: Yes. A CEA is a type of subcontract (the agreement is between the prime agency funded by CTPP and a third party) to perform a component of the prime agency's SOW approved by CTPP.

Q3: Must CEAs be selected through a competitive bidding process?

A3: No. However, there are considerations for not doing a competitive bidding process. In all cases, CEA awardees must be selected in a fair and unbiased manner to eliminate any real or perceived allegation of preference (e.g., favoritism, bias, or nepotism). The process to select a CEA may be formal through a competitive bid process (RFP or Invitation to Bid document, scored selection criteria, justification provided if three bids are unable to be obtained, etc.) or informal (i.e. no formal award process), as best determined by the prime agency. A competitive bid process would only be required if the award amount is $5,000 or more within the prime agency's entire project term. This, however, would be considered a subcontract and not a CEA and would therefore require approval from the prime agency's CTPP Program Consultant and Procurement Manager. For more information on the competitive bid process, please see Section 305 of the Policy Section of the CTPP Administrative and Policy Manual.

Q4: Are there differences between a CEA Program and a direct CEA?

A4: Yes. A CEA Program can provide more structure to the way CEAs are awarded, and by providing the funding opportunity annually with a similar release date and implementation period every year, prospective applicants know what to expect and

can better prepare for the CEA application and execution. If the prime agency intends to issue multiple CEAs and/or issue CEAs annually, creating and maintaining a CEA Program is a great way to promote your program to the community and ensure the community is involved in the selection process. However, if the prime agency only intends to award 1-2 CEAs for specific work throughout its project, a full-fledged CEA Program may be unnecessary. See the CEA Toolkit section on Direct CEAs vs. CEA Program for more information.

Q5: Does a CEA differ from a stipend?

A5: Yes. A stipend is a sum of money, not a wage, paid to an individual serving as a non-employee of the agency, typically paid to cover out-of-pocket expenses for individuals volunteering general help to the agency. A CEA is a subcontract paid in exchange for specific work per the terms of the subcontract agreement the prime agency makes with them.

GENERAL REQUIREMENTS AND BEST PRACTICES

Q6: Are there specific requirements for CEA recipients?

A6: Yes. CEA recipients must facilitate community engagement activities including but not limited to: data collection; educational outreach; advocacy activities; and training opportunities. CEA recipients may not use funds for activities that do not directly relate to the prime agency's approved SOW. However, this should not deter the prime agency from funding creative projects, as long as the components of the CEA are reportable under approved SOW activities.

Q7: Are there requirements for a formal CEA agreement?

A7: Yes. While there is no prescribed format for an agreement with a CEA awardee, the agreement

should outline the expectations of the awardee, which could include specific work, training, reporting, deliverables, and budget. The agreement can be formal (e.g., written contract) or informal (e.g., documentation indicating an agreement for work prior to payment). It should follow all requirements of the prime agency. The agreement or documentation should remain on file with the prime agency and be available upon request from CTPP if needed. Please see Chapter 604, Minimum Elements in a Subcontract Agreement, of the Administrative Section of the CTPP Administrative and Policy Manual (additionally, Chapter 605 includes a sample subcontract agreement).

Q8: Are there best practices for a program to ensure successful distribution and monitoring of CEA funds?

A8: Yes. All CTPP-funded agencies should have fiscal controls and accounting procedures in place to sufficiently track all funds to a level of expenditure adequate to establish that such funds have not been used in violation of any applicable state or federal law, or the provisions of the contract, grant and/or Inter-Agency Agreement (IAA). The agency will retain its fiscal records in accordance with generally accepted accounting principles (GAAP). An overview of CDPH/CTPP audit requirements are available in the Policy Section of the CTPP Administrative and Policy Manual, Chapter 406, Administrative Requirements, Audit Overview.

CEA RECRUITMENT AND COMMUNITY TRUST

Q9: Are there ways a program can recruit potential applicants for tobacco prevention work when there are other prominent public concerns associated with social justice issues, substance use disorders, mental health, homelessness, etc. that may be seen as higher priorities?

A9: Yes. Educating community stakeholders and service organizations about tobacco-related health disparities and tobacco industry targeting of priority populations may help start the conversation and increase interest and consideration for engaging in tobacco prevention policy campaigns. Moreover, a key strategy to addressing this challenge is to highlight linkages and outline methods to integrate tobacco prevention efforts with additional priorities through the CEA program. Programs are encouraged to practice mindfulness around the colonization of space, power-shifting to communities, listening to and valuing community expertise, and validating community perspectives.

Q10: Can a program build community trust with local initiatives supported by government funds?

A10: Yes. Establishing a CEA Workgroup to engage LLA Coalition members and other community partners that have trusted relationships with hard-to-reach community groups is one way to earn trust within the community. It is important to continually develop authentic partnerships through reciprocity, which includes recognizing, respecting, and valuing the knowledge, perspective, and resources that each partner contributes to the collaboration (such as a workgroup).

FUNDING

Q11: Is the maximum amount of funding that can be awarded through a CEA $4,999?

A11: Yes. CEAs are subcontracts valued at less than $5,000, meaning they can range from $1-$4,999. A subcontractor receiving less than $5,000 for the length of a prime agency's entire project term does not require a competitive bid process. Regardless of whether or not a competitive bid process is used for a CEA, an agency may not be awarded more than $4,999 for the entire project term.

Q12: If a prime agency awarded a $4,999 CEA once during their project term, can they award another CEA to the same organization for a new project to do different work or to continue a previously approved project?

A12: No. During the entire project term, a prime agency may not award more than $4,999 to the same agency/organization for CEAs, even if they are applying to complete different work or to continue a previously approved project.

However, an organization may receive more than $4,999 as a subcontractor. Subcontract agreements totaling $5,000 or more are to be selected via a competitive three-bid process.

Q13: If prime agency A awards an organization $4,999 once during their project term, can prime agency B award the same organization $4,999 to do different work, or to do similar work in a different jurisdiction, during the same project term?

A13: Yes. A prime agency can award up to $4,999 to a single agency/organization, as the $4,999 maximum CEA amount is per CTPP-funded agreement. Multiple prime agencies may award a CEA to the same agency/organization, as long as they are doing different work. A community organization can receive CEAs from more than one CTPP-funded project.

Q14: If a prime agency awarded an organization $2,500 once during their funding period, can the organization receive another CEA for a new project to do different work?

A14: Yes. A prime agency can award an organization a total of $4,999 through a single or multiple CEA award(s) for the entire project term. In this scenario, the awardee would be eligible for up to $2,499 more in CEA funding for different work.

Q15: Can a prime agency award an organization more than one maximum value CEA ($4,999) if they are working on more than one funded project?

A15: No. During the entire project term, a prime agency may not award a subcontractor single or multiple CEA award(s) totaling $5,000 or more to another single agency, regardless of the number of funded projects they administer. This means a prime agency can only award up to $4,999 to another single agency, even if they serve as a fiscal agent for multiple projects. CEAs—as the title implies—are tools for community engagement and should look to engage community partners, whenever possible, beyond other existing CTPP or tobacco-tax-funded partners.

Q16: Can CEA grants be awarded to individual person(s) in rural/geographically isolated or smaller communities where community organizations are limited or not active?

A16: Yes. Unless otherwise stated in the RFA, CEAs can be awarded to contractors or consultants, and a consultant may be an individual.

Q17: For Statewide Coordinating Centers, is there an expectation for an equitable disbursement of CEA awards across the various regions of the state?

A17: Yes. Statewide Coordinating Centers are strongly encouraged (but not required) to equitably disburse CEA awards to service areas that are not being reached by LLA and/or competitive grantee partners. This will also help avoid any duplication of services funded by Prop. 56/99. Statewide Coordinating Centers should refer to OTIS or Partners for a listing of funded projects to determine which regions of the state remain underserved. Coordinating Centers are also encouraged to contact the LLA in jurisdictions they are interested in awarding CEAs within to better understand the local policy campaigns that may be underway and how the CEA could support existing work or build capacity for new campaigns.

SCOPES OF WORK AND ACTIVITIES

Q18: If educational materials are developed as a part of a CEA project, is the prime agency expected to follow requirements related to consumer field testing and submission to TECC using the MatTrack platform?

A18: Yes. While the consumer field testing and submission to TECC requirements must be met, there are many ways CEA recipients can be engaged in development and/or consumer testing. CEAs provide a great opportunity to develop new educational materials using creative and innovative mediums, such as music videos, animations, and short films! In addition, CEAs can also be a great resource for consumer testing of any materials. The CTPP-funded prime agency is ultimately responsible for ensuring that all new educational materials are consumer tested and contain the required funding attribution. However, the CEA recipient's workplan can include activities to help support the completion of the consumer testing. Submission through MatTrack is the responsibility of the CTPP-funded prime agency as they are the only ones with staff access.

Q19: For CEA projects that support local policy campaigns through advocacy activities, do lobbying restrictions apply to any staff/interns/volunteers that have a portion of their time supported by the agreement?

A19: Yes. CEA recipients cannot lobby for the duration of their project period. If a CEA recipient has staff/interns/volunteers that only have a portion of their time supported through the CEA funding, they must be cautious and explicitly clear that time directly paid by the CEA will not be used for any lobbying purposes. Their time not directly paid by the CEA award is left to their discretion. The CTPP-funded prime agency is responsible for ensuring that no CEA funds are used for lobbying activities. Please see chapter 311 of the Policy Section of the CTPP Administrative and Policy Manual for more information.

Q20: Can any portion of CEA funds awarded by Statewide Coordinating Centers be used to support one-day ethnic or cultural events that support approved SOW activities (e.g., developing partnerships with diverse community groups, recruiting Leadership Development Program participants, conducting evaluation activities, etc.)?

A20: Yes. CEA funds can be awarded to agencies to support events. Awarding a CEA to support a one-day event can increase community support and engagement in hard-to-reach communities. The CEA recipient should acknowledge the funding source in event materials and must adhere to all relevant CTPP Administrative and Policy Manual requirements. Although they must follow CTPP requirements, CEAs allow for more community involvement in deciding how funds are used to support events and can facilitate the connection with non-CTPP funded organizations representing diverse sectors of the community.

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FOR TOBACCO PREVENTION POLICY CAMPAIGN PROJECTS PERFORMANCE PERIOD: [ENTER PROJECT PERIOD]

Agency Name
Program Name
Address Line 1
Address Line 2
Phone Number
Website

■ This is a sample RFP/application that can be used to select CEA recipients. It can be modified to meet the needs of your project.

Again, an RFP/RFA process is not required by CTPP if the funding amount is $4,999 or less. However, having an application process can ensure each applicant is receiving fair consideration. It also allows the funding agency an opportunity to gather important information from potential CEA recipients (e.g., tax ID, contact information, etc.) that can assist with reporting each CEA project in OTIS.

REQUEST FOR APPLICATIONS (RFA): COMMUNITY ENGAGEMENT AGREEMENTS

Opportunity for community agencies to engage in tobacco prevention policy campaigns in [ENTER JURISDICTION NAME]:
This Request for Applications (RFA) will fund [ENTER NUMBER OF PROJECTS TO BE FUNDED] for amounts of up to [ENTER AMOUNT BUDGETED PER CEA] each.

Application Deadline: [ENTER DATE AND TIME]

All questions related to this announcement should be directed to [INSERT CONTACT PERSON'S NAME] at [ENTER EMAIL OR CONTACT INFORMATION].

Electronic submissions are required and must be submitted as an attached document by email to [INSERT EMAIL] with the following statement in the subject line: "RFA Submission for Community Engagement Agreement" OR submitted online at [URL IF APPLICABLE]. ■

AGENCY AND PROGRAM BACKGROUND ■

[INSERT AGENCY NAME] serves as the Local Lead Agency (LLA) for tobacco prevention and control efforts in [INSERT JURISDICTION]. In this capacity, [INSERT AGENCY OR PROGRAM NAME] is responsible for developing and implementing a multi-year comprehensive tobacco control plan that is subject to priorities and guidelines set forth by CTPP and is based on results of a community needs assessment and prioritization process.

During the current funding period, which is effective from Jan 1, 2022 to June 30, 2025, the program's comprehensive tobacco control plan includes the following focus areas: ■

1. Advance efforts by incorporated cities in [INSERT JURISDICTION] to adopt a policy that requires all retailers to obtain a tobacco retail license (TRL) and/or eliminate the sale and distribution of flavored tobacco products and electronic smoking devices (ESD);

2. Facilitate the process for incorporated cities in [INSERT JURISDICTION] to adopt a policy that eliminates the use of all tobacco products, including ESDs, in public outdoor non-recreational areas;

The submission process should be dictated by the funding agency. It should be a straightforward process that does not act as a deterrent for interested agencies. CTCP does not require a specific submission process.

Providing background information on the program that will be funding the CEAs can help establish the context in which the CEA recipients should expect to operate. This can influence the type of projects being proposed. For Local Lead Agencies, this is also a space to introduce the countywide Coalition and their role in the work.

Sharing the program's current priority areas can assist with attracting the right applicants! The examples provided here can be modified to reflect what is in your current CTCP-approved SOW.

In addition to the program focus areas outlined above, [INSERT AGENCY OR PROGRAM NAME] convenes a countywide coalition of stakeholders and community members that meets on a [INSERT FREQUENCY OF MEETINGS] basis to coordinate tobacco control efforts across [INSERT COUNTY]. This group, the *[INSERT COALITION NAME]* (Coalition), consists of more than [INSERT CURRENT NUMBER OF MEMBERS] community representatives who want to make a difference and are dedicated to preventing and reducing tobacco use through empowerment, mobilization, education, advocacy, and coordination of services at the local and state levels.

TIMELINE ■

Community Engagement Agreements Timeline
[INSERT FISCAL YEAR]

Key Action	Date (all times in Pacific Time)
RFP Release Date	
Bidders Conference*	
Applications Due	
Awards Notifications Due	
Appeals Filing Deadline	
Final Announcement of Awards	
Agreement Start Date	
Agreement End Date	
CEA Program Evaluation Sent	
CEA Program Evaluation Due	

* This will serve as the last opportunity to request any assistance with the application.

A detailed timeline of when key events will take place is important to include as it provides clarity with regards to the process.

While the Bidders' Conference does not need to serve as the last opportunity to answer questions, it can help to set a deadline for the submission of questions. This will make sure that the process remains fair for all applicants and will also limit the likelihood that project staff will be inundated with calls and emails right before the application deadline. If the Bidders' Conference will be held over Zoom, including the registration link here can be helpful as well!A reasonable amount of time to leave between the RFP release date and the application due date is about four weeks, with the Bidder's Conference taking place in the 3rd week after the RFP has been released. The agreement start and end date will vary based on your internal contracting procedures, and the CEA program evaluation should be sent in the last month of their project period to ensure enough time is allotted for its completion.

FUNDING DESCRIPTION ■

Through this RFP, [INSERT AGENCY NAME] intends to fund [ENTER NUMBER OF PROJECTS TO BE FUNDED] qualified organizations serving residents of [INSERT JURISDICTION] to [conduct an educational awareness campaign with the purpose of increasing knowledge and involvement from community members and stakeholders in tobacco retail licensing (TRL) efforts]. ■

EXAMPLE LANGUAGE:
TRL refers to policies enacted by local city and county governments requiring tobacco retailers to obtain a license that enables them to sell these products to consumers. They are effective at limiting youth access to tobacco and provide a framework for implementing and enforcing other tobacco control policies that can advance healthy equity, including policies to counter predatory tobacco industry tactics that disproportionately target underserved communities. Tobacco retailer licensing also creates a self-financing program that allows for regular enforcement of tobacco- related laws.[1]

Requirements and Expectations:

Key activities can include, but are not limited to, the following:
1. Collaboration with other agencies and/or community members (e.g., law enforcement, churches, schools, youth) to plan and implement the educational campaign is required.

    a. Funded projects must attend 2-3 Coalition meetings throughout the contract period to ensure this collaboration takes place.

2. Each funded project may incorporate some of the following activities in addition to collaborating with key stakeholders and attending the Coalition meetings –

    a. Educational presentations to local law enforcement and/or key city decisionmakers

    b. Community education and outreach activities

■ A clear description of the type of funding being awarded is important to invite applicants to propose a project that aligns with the goals of the CTCP-funded project. Defining key terms, such as what a tobacco retail license (TRL) is, allows for organizations less experienced with tobacco control work to consider applying for the CEA opportunity. It is also recommended that this section outline any specific activities that are required to be completed through the CEA to be awarded.

■ This is only an example of what broadly organizations can be funded to do. However, this can be replaced with language that better describes the needs of the CTCP-funded project.

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1. ChangeLab Solutions. "Tobacco Retailer Licensing: An Effective Tool for Public Health", 2018. Available at: http://changelabsolutions.org/sites/default/files/TobaccoRetailerLicensing- AnEffectiveToolforPublicHealth_ FINAL_20180630_0.pdf

c. Other relevant activities

The work to be performed under this solicitation will support [INSERT AGENCY NAME]'s tobacco prevention efforts in [INSERT JURISDICTION] and, as such, all activities by funded projects must be conducted in coordination with [INSERT AGENCY NAME] staff. All funded projects should plan to have all materials created for the purposes of this project reviewed by [INSERT AGENCY NAME] staff at least five business days prior to the intended usage date. Presentation and media materials should be created in conjunction with [INSERT AGENCY NAME] staff.

ELIGIBILITY ■

Eligibility for funding is limited to organizations located in/or serving [INSERT JURISDICTION] communities. In particular, applicant agencies must demonstrate their ability to plan and implement an educational awareness campaign in the following target communities: [INSERT JURISDICTIONS OF FOCUS]. Eligible agencies include:

- Nonprofit organizations with tax-exempt status under Section 501(c)(3) of the Internal Revenue Code

- School clubs

- Faith-based organizations

- Other community-based agencies supported by a fiscal agent/sponsor

BUDGET ■

A maximum of $4,999 has been approved per CEA. As described below, all applicants must submit an expense plan that outlines the costs for proposed activities.

Providing clarity on eligibility requirements is critical to ensuring that appropriate organizations are being encouraged to apply. It is also important to highlight in this section if any priority will be given to agencies local to the county and/or specific cities the CTCP-funded project is currently working in. This can help narrow the pool of applicants to organizations that are most familiar with the communities they will be asked to serve. Additional details on eligibility requirements are provided in a separate section within this toolkit.

This section can be brief and should reiterate the amount to be awarded per CEA. Typically, this will be $4,999 or less per award, but it will depend on the approved budget for the CTCP-funded project.

APPLICATION REQUIREMENTS AND SELECTION GUIDELINES ■

Submissions should consist of one (1) PDF document that fulfills the expectations listed in the Response Requirements section below. In addition, applications must include a proposed expense plan or budget that outlines the cost of implementing proposed activities for an amount not to exceed $4,999.

Response Requirements:

1. **Bidder Profile:** Contact person, contact information, name of the person authorized to bind the organizations, federal tax ID number, project name, and funding amount requested.

2. **Fiscal Agent Profile:** Name of the organization, contact person, contact information, federal tax ID number, and name of the person authorized to bind the organization.

3. **Qualifications:** Provide a brief description of your organization, including experience working on similar projects. Also, please outline the years and types of experience working in the target communities of [INSERT JURISDICTION]. Describe special circumstances that make your organization best suited to fulfill the CEA outlined above.

4. **Proposed Project Description:** Provide a description of your proposed project, including goals, timelines, intervention activities, and roles/responsibilities of persons responsible (i.e. staff, volunteers, etc.). Describe how the proposed project will support the overall efforts of the [INSERT POLICY OBJECTIVE] policy campaign in [INSERT JURISDICTION] and how members of the target communities will be involved. [OPTIONAL SAMPLE LANGUAGE: Additionally, please outline how proposed project activities may be conducted virtually to comply with all COVID-19 safety measures.]

This section should provide a summary of the different components of the application and what information each applicant will be asked to provide. The CTCP-funded project is advised to outline any restrictions associated with the funding opportunity, such as that CEA funds cannot be used for lobbying or to fund any political activity. CEA recipients should generally follow the same rules and policies as CTCP-funded projects during the time that they are funded and with the money that is awarded.

Proposed Expense Plan:

Provide a description of how the requested funds will be used. Within the description, please list who will be responsible and the cost for implementing each of the proposed activities. In addition, please list any materials or services that will be provided in-kind.

Please be aware that funds received under this agreement cannot be used to fund any political activity or lobbying. In addition, if funds are used to purchase gift cards, the vendors where these incentives are purchased from cannot sell tobacco or alcohol products.

EXAMPLE PROPOSED EXPENSE PLAN:

Line Item (Including any materials/ services that will be provided in-kind)	**Line Item Description** (Including persons responsible for implementation)	**Amount Allocated**

In this section, it can be helpful to outline any criteria on which applicants may be scored as well as a brief description of how applications will be reviewed.

SELECTION RATIONALE AND PROCESS

Successful applicants will be selected based on the following: 1) relevant experience; 2) cost- effectiveness; and 3) demonstrated ability and commitment to complete the CEA requirements within the designated communities.

A review committee will be established and responsible for reviewing applications that are submitted by the deadline and meet eligibility criteria.

Late applications and those not meeting elibility requirements will not be reviewed.

BIDDER PROFILE

Name of Group or Organization: _____

Contact Person: _____ Title: _____

Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ E-mail: _____

Tax ID Number: _____

Name of Person Authorized to Bind the Organization: _____

Name of Project: _____

Total Amount Requested: _____

Type of Group or Organization: (check one)

☐ Community Group ☐ Neighborhood Association ☐ Non-Profit Organization

☐ City/County
    Government Department
☐ Service Club ☐ College/University

☐ Other (please describe): _____

Please provide a brief summary of your proposed project (200 characters or less):

FISCAL AGENT PROFILE (If Applicable)

Name of Group or Organization: _____

Contact Person: _____ Title: _____

Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ E-mail: _____

Tax ID Number: _____

Name of Person Authorized to Bind the Organization: _____

Type of Group or Organization: (check one)

☐ Community Group ☐ Neighborhood Association ☐ Non-Profit Organization

☐ City/County ☐ Service Club ☐ College/University
   Government Department

☐ Other (please describe): _____

QUALIFICATIONS

In 500 words or less, provide a brief description of your organization, including experience working on similar projects. Also, please outline the years and types of experience working in the target communities of [INSERT JURISDICTION]. Describe special circumstances that make your organization best suited to fulfill the Community Engagement Agreement outlined above.

PROPOSED PROJECT DESCRIPTION

In 500 words or less, provide a description of your proposed project, including: goals, timelines, intervention activities, and roles/responsibilities of persons responsible (i.e. staff, volunteers, etc.). Describe how the proposed project will support the overall efforts of the [INSERT POLICY OBJECTIVE] policy campaign in [INSERT JURISDICTION] and how members of the target communities will be involved. Additionally, please outline how proposed project activities may be conducted virtually to comply with all COVID-19 safety measures.

PROPOSED EXPENSE PLAN

Line Item (Including any materials/services that will be provided in-kind)	Line Item Description (Including persons responsible for implementation)	Amount Allocated
Equipment	All equipment listed cannot exceed a combined cost of:	$500.00
	Total Amount Requested:	

INSTRUCTIONS

Applications for the Community Engagement Agreements (CEA) funding opportunity must be prepared in the order demonstrated under the Application Requirements and Selection Guidelines section of the Request for Applications (RFA). Applications with missing or partially completed sections will be deemed non-responsive. Non-responsive applications will be considered incomplete and will be rejected from consideration.

General Requirements

- Complete Bidder Profile form and, if necessary, the Fiscal Agent Profile form.

- Complete responses to the Qualifications and Proposed Project Description sections.

- Complete Proposed Expense Plan.

- All sections of the Application are submitted as one (1) PDF document.

APPLICATION REVIEW PROCESS

Application Screening

1. The [INSERT AGENCY NAME] will review applications for on-time submission and completeness.

2. A late or incomplete application will be considered non-responsive and will be disqualified and eliminated from further consideration.

3. Applications not meeting eligibility requirements will be disqualified and eliminated from further consideration.

4. Required completion of Statement/ Certification of non-acceptance of tobacco industry funds.

Application Scoring (10 POINTS)

Each application received within the deadline that meets the eligibility requirements will be evaluated and scored by a Review Committee on a scale of zero (0) to ten (10) points. The Review Committee may include representatives of the [INSERT AGENCY NAME] and the [INSERT COALITION NAME] (Coalition).

To be eligible for funding, an application must receive a score of 7 points or more. However, scoring 7 points or more does not guarantee funding or funding at the level requested. [INSERT AGENCY NAME] reserves the right to not fund any of the applications received for this RFA. Funding decisions may also be made to ensure:

- No duplication or overlap of efforts with existing tobacco control projects in [INSERT COUNTY].

- Balance in target communities to be served throughout the county.

Point Value for Each Proposal Section:

Application Component	Maximum Point Value
Bidder Profile (and/or Fiscal Agent Profile) Form	1
Qualifications	4
Proposed Project Description	3
Proposed Expense Plan	2
Total Points Possible	**10**

SCORING TOOL

Scoring Criteria and Rating Points provides the selection criteria and the associated point value to evaluate and score applications.

Applicant Name:			

Application Component	Scoring Criterion	Points Possible	Score
Profile Forms	The Applicant completed all sections of the Bidder Profile and/or the Fiscal Agent Profile Form(s).	1	
Qualifications	■ The Applicant demonstrates the capacity to administer the proposed project in the target community (ies). ■ The Applicant provides information on the types of programs and services it provides with targeted populations/groups that are consistent with the goals of the CEA RFP.	4	
Proposed Project Description	The Applicant provides a thorough description of the proposed project and supporting activities, including: 1. Timelines and roles/responsibilities of persons involved; 2. Its plan to recruit and garner participation from members of at least one target community in the planned project and policy campaign activities; and 3. How proposed project activities may be conducted virtually to comply with all COVID-19 safety measures.	3	
Proposed Expense Plan	The Applicant outlines costs associated with the proposed project and describes how the requested funds will be used, and the expense plan includes: 1. Individuals responsible; 2. The cost for implementing each of the proposed activities, and 3. Any materials/services that will be provided in-kind.	2	
		Total Points	

The CEA evaluation is done to inform project staff about the experience of individuals or organizations receiving a CEA. It is recommended that project staff, in consultation with Tobacco Control Evaluation Center (TCEC), develop an interview guide to explore topics such as the application/negotiation process, working collaboratively with the project, challenges and successes of carrying out the work, the value and utility of the collaboration and recommendations for future improvements. The following guide provides a sample of how a CEA Program or direct CEAs can be evaluated. The evaluation should be conducted at the end of the CEA's project period and can be included as part of their CEA requirements to ensure all CEA recipients participate in the evaluation process. The findings from the CEA evaluation should be incorporated into future CEA funding opportunities as needed.

SAMPLE CEA EVALUATION PROCESS

This sample evaluation emphasizes two interrelated processes:

1. The respondents' perceptions of funding effectiveness, ease of application process, and overall satisfaction as well as any challenges faced during implementation and what changes they suggest for the future. This is a basic summative evaluation used to identify areas for improvements in the funding process.

2. Identifying and interpreting where community empowerment ■ was fostered through the activities funded. This is an impact evaluation seeking to understand both the anticipated impact of the activities undertaken by the funding as well as where the impacts went beyond the immediate anticipated ones and enabled a social capital/community building process to emerge.

Due to the nature of the evaluation instrument, it is highly recommended that the interviewer become very familiar with this definition.

STEP-BY-STEP GUIDE TO CONDUCTING THE EVALUATION

1. Develop contact list of recipients of funding, their names, and their email addresses and phone numbers.

2. Determine interview format (i.e., telephone, Zoom or face-to-face). Zoom allows for recording of session with the interviewee's agreement

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The evaluation adopts the World Health Organization's definition of the term "community empowerment" as follows:

Community empowerment refers to the process of enabling communities to increase control over their lives. "Communities" are groups of people who share common interests, concerns, or identities. 'Empowerment' refers to the process by which people gain control over the factors and decisions that shape their lives. It is the process by which they increase their assets and attributes and build capacities to gain access, partners, networks and/or a voice, in order to gain control. "Enabling" implies that people cannot "be empowered" by others; they can only empower. It assumes that people are their own assets, and the role of the external agent is to catalyze, facilitate or "accompany" the community in acquiring power.

and therefore is highly recommended. Also, determine interviewer. Should that interviewer not have sufficient experience in performing qualitative data collection, it is recommended that a series of mock interviews be utilized for practice.

3. Schedule interviews. Ideally, an interview with each organization that received funding should be done. However, this may not be possible for a variety of reasons (e.g., the organization no longer exists, the person(s) who applied for and implemented the funding is/are no longer with the organization). So, in reality getting as many as possible is the goal.

4. Conduct interviews. Be sure that each open-ended question is asked with the same exact wording and in the same exact order. If Zoom is not used, care must be taken to get exact quotes written down by the interviewer.

5. Analysis of Data. One easy way to analyze and interpret the data is through a cross-tabulation of responses to each question using a spreadsheet (e.g., Microsoft Excel). An abbreviated, formatting of the cross-tabulation example for just Question #1 follows:

Example of Question #1

Respondent/ Organization	Open-ended Response	Responses to probe questions
Ronald Jones from ABC Org	"Handed out flyers at community events about the dangers of smoking"	"About 250 flyers that most individuals seem to read"
Yolanda Smith from DEF Org	"Enlisted high school seniors to advocate for tobacco licenses in their city at a city council meeting"	"Gave the students confidence in public speaking and knowledge of local government"
Add a row for each respondent		

It should be noted here that the response by Yolanda Smith from the DEF Organization is an example of where community empowerment may have been fostered. The interviewer in this case should continue to probe about the impact the activity had on the students as well as the city council members. This may result in finding that previously the students knew very little about municipal government operations but gained great insight into how local government functions. It may have also greatly increased the desire and confidence of the students to voice their

opinion to elected officials.

The analysis consists of the individual responses plus any commonalities among those responses.

6. Drawing conclusions and describing findings.

7. Making recommendations.

8. Summarizing major impacts in a Conclusion Section.

A sample summary report of a CEA Program Evaluation can be found in the **Rover Library**.

SPECIAL ATTENTION TO THE QUALITATIVE FORMAT OF DATA COLLECTION

The data are collected through an interview process. The funding recipient is asked a series of open-ended questions. Therefore, the data are qualitative in nature (i.e., not numerical). There should be protocols in place that allow for an analysis of responses that lead to valid conclusions.

THE INTERVIEWS

The data will be gathered in this evaluation process through telephone, Zoom, or face-to-face interviews with representatives of the organizations receiving the funding. The interviewees are asked a series of the exact same twenty (20) open-ended questions that allow for elaboration based on queries by the interviewer.

Considerations:

(1) As much as feasible, all interviews should use the same format (i.e., Zoom, face-to-face, or telephone).

(2) There should only be one interviewer for the entire process.

(3) Each interviewee should be asked the same exact open-ended question.

(4) Queries by the interviewer for elaboration will depend on initial response and, therefore, will not be exactly the same for each interview.

(5) Plan on 50-60 minutes per interview

THE INTERVIEW QUESTIONS INSTRUCTIONS

The following are the starting open-ended questions that will be asked of each respondent. Suggested prompts to use to acquire additional information are given after each question. You'll note that the Community Empowerment Category is not included, because this is not a stand-alone set of questioning. Instead, it relies on the

interviewer to identify where community empowerment may have been fostered. It involves asking probing follow up questions to an open-ended question where the interviewer thinks community empowerment may have been an outcome of the organization funded activity. The interviewer will then probe the respondents to consider and provide examples, where applicable, about how their activity(ies) may have helped foster community empowerment among the participants. For example, the use of high school students to advocate for smoking and vaping regulations in a municipality enables them to have a better understanding of municipal government, gain confidence in their ability to foster change, and to develop their voice to push for other regulations they desire. This category relies on the interviewer to identify possible empowerment in the responses to the open-ended questions. Specifically, Questions 1, 14, 15, and 16 are the most likely to elicit potential community empowerment. The first five questions are measuring the **General Category** of inquiry.

An introductory script should be added before the questions to outline the purpose of the interview and to ask the interviewee for permission to record.

Sample Script:

Hello. Thank you for agreeing to participate today. As I mentioned in the invitation, I would like to record our interview for the purposes of notetaking and transcription only. Do you have any questions?

(Allow for casual conversation, let them know you'll be asking them to introduce themselves at the beginning of the recording, then begin recording)

Hit the record button at this time if they agreed; record formal agreement once recording

My name is [INSERT NAME], and I'm a [INSERT TITLE] with [INSERT AGENCY NAME]. Today is [INSERT DATE] and I am conducting a key informant interview with [INSERT CEA RECIPIENT NAME] and we will be recording this interview for purposes of notetaking and transcription only.

[INSERT NAME], can you verify I have your permission to record our discussion today?

(Ensure they say yes to recording before you proceed!)

Thank you! The purpose of today's interview is to gather feedback on the CEA process. Before we get started with my questions, could you take one minute to introduce yourself, tell me how long you've been working in tobacco prevention, and a little about your current work on tobacco issues?

Question #	Primary KII Questions	Follow-up/ Further Probing Question(s)
General: This set of questions deals with obtaining a more global background on the activities initiated utilizing the funding; their most impactful activity(ies); what challenges were faced in implementation; how did the various stakeholders respond to the activities; and what did they learn from going through the process that they would change in the future.		
1	Which activity do you feel was the most effective in achieving your grant goals?	Which ones and why/ how? How many X?
2	Were there any challenges implementing these activities?	Inquire to get at specifics on challenges
3	How did various stakeholders respond to these activities?	Inquire to get at specifics by type of stakeholders
4	How would you describe the stakeholders you targeted your funding to?	If necessary, probe to get at demographics (e.g., age, ethnicity, socio-economic status) especially if any differences in response to the grant activities
5	Now that you have gone through this process, is there anything your organization would propose to do differently?	Inquire as to why they would do something differently
Dissemination: These questions are more granular and examine how they found out about the funding opportunity and an assessment of how well known this opportunity is throughout the service area.		
6	How did you find out about the funding opportunity?	
7	Do you think these grants are fairly well known about in the service area?	If not well known, inquire about how to make it more well-known
Accessibility: In this set of questions, accessibility refers to the ease of the application process; what difficulties, if any, the organizations had in completing the application; and, the level of support offered to complete the application process.		
8	Was the application easily understandable?	Inquire to get at specifics in areas where the application was not easily understandable
9	Did you have any difficulties gathering the information needed to complete the application?	Inquire to see if they had to contact others in order to get the necessary information to complete
10	How long did it take to complete the application?	Inquire to get at timing specifics
11	Did you have any difficulties in inputting the information to the application in its fillable pdf form?	If any difficulties inquire about how they were overcome

Question #	Primary KII Questions	Follow-up/ Further Probing Question(s)
12	Do you feel you were supported in completing the application?	Inquire how they were or were not supported. Include any specific TA examples
13	Anything else you want to say about the application process?	
Cost-effectiveness: These questions concern the impact of the funding; whether these organizations could have implemented these activities without such funding; and, the overall value of time, money, and activities associated with the funding.		
14	How much impact do you think your activities had?	Inquire to get at specifics of the impact of activities
15	What opportunities did this grant funding allow your organization to do that it wouldn't have had the resources to do otherwise?	
16	We sometimes use a term "bang for the buck" to describe cost-effectiveness. Thinking back on the earlier question about the activity you felt was most effective, did it have a bang for the buck?	Inquire to get at specifics on cost effectiveness
17	Was the time invested in these grant activities worth it?	
Overall Satisfaction : This area deals with the respondents' perceptions of satisfaction after having gone through a set of questioning that had them thinking deeply about the whole process and its impact(s). They are also asked about any other information the respondents care to share.		
18	How satisfied are you overall with the grant process from start to finish?	
19	Is there anything you'd recommend changing for the whole grant process?	
20	Is there anything else you'd like to say about the whole process?	

EVALUATION METHODOLOGY CONCLUSION

This sample was meant to provide a general overview of the evaluation process and offer a series of recommendations on how to best conduct evaluation with qualitative data. It is suggested, where feasible, a series of mock interviews be utilized so that inexperienced interviewers can gain some confidence and develop greater ability to conduct valid interviews. In addition, CTPP-funded projects are encouraged to tailor the questions used to gain the input from CEA recipients that is most beneficial to the project's goals and objectives with providing this funding opportunity.