Health Canada   Santé Canada

The Government of Canada's

FEDERAL TOBACCO CONTROL STRATEGY

TOBACCO CONTROL PROGRAMME

APPLICANT GUIDE TO CONTRIBUTION FUNDING

(Tobacco Products Regulatory Science Projects)

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Canada

APPLICANT GUIDE

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PURPOSE

The purpose of this Applicant Guide is to assist you with the process of filling out your application for funding through the Tobacco Control Programme (TCP). The Application Form is a separate document that will enable you to capture and present vital information pertaining to your planned project.

The BACKGROUND section of this Applicant Guide contains important information on the Federal Tobacco Control Strategy, eligibility for funding consideration, the review and approval process, and information on official languages.

The APPLICATION section of this Applicant Guide follows the same format as the Application Form, and contains information and questions to consider when completing your application.

BACKGROUND

The following questions and answers should help explain the Federal Tobacco Control Strategy and what is expected of you as an applicant for funding.

What is the Federal Tobacco Control Strategy?

The overall goal of the Federal Tobacco Control Strategy (FTCS) is to reduce tobacco-related disease and death in Canada. The FTCS was introduced in 2001 as a ten-year comprehensive, integrated and sustained strategy to achieve significant, realistic reductions in disease and death due to tobacco use. It reflects and expands upon recent federal tobacco control initiatives.

The four mutually reinforcing components of the strategy are: protection, prevention, cessation, and product regulation. The component of the FTCS addressed by the Office of Regulations and Compliance Contribution funding is product regulation.

Contribution Funding Program

Contribution funding programs are important mechanisms through which Health Canada works with funding recipients and stakeholders to establish a wide variety of health programs. These programs are intended to help maintain and enhance the health of all Canadians.

The overall goal of the FTCS Contribution program projects are to contribute to: a reduction in the uptake of tobacco and use; an increase in the number of Canadians who quit using tobacco; and a reduction in the number of Canadians exposed daily to second-hand tobacco smoke.

Who is eligible for funding consideration?

The following groups of recipients are eligible for contribution funding consideration:
- registered not-for-profit non-governmental organizations including but not limited to hospitals, regional health councils, community organizations, professional associations (including health and labour groups and unions);
- universities and other centres of education in Canada;
- crown corporations for project specific funding (as per section 7.2.2 of the Treasury Board Policy on Transfer Payments); and
- other non-federal organizations whose work supports FTCS objectives;
- other levels of government including provinces, territories and municipalities.

Funding proposals must include a description of the role of each partner, and an indication of its monetary and/or in-kind contributions, as well as its involvement in the proposed activity. Each organization participating in the partnership must provide a letter indicating its commitment to the proposed project, and a description of its role (i.e. funding, co-ordination, in-kind contribution, facilities, materials, accounting etc).

Support from relevant Provincial and/or Territorial governments (not a Health Canada regional office) is a key asset.

Eligible Expenses

Only expenses directly related to approved projects and activities are eligible. These may include, but are not limited to:
- personnel (e.g. project staff salaries, employee benefits, contractor fees, replacement salaries);
- travel and accommodation up to a maximum allowed by Treasury Board Guidelines;
- rent and utilities (e.g. telephone, electricity, heating and office space rental);
- materials and supplies;
- costs of services or equipment rental (e.g. photocopying, printing, postage and rental or purchase of office equipment);
- process evaluation and dissemination of results, outputs and outcomes;
- other expenses directly related to the project that do not fit previously defined categories (e.g. bank fees, bookkeeping expenses, insurance, translation, training).

The following types of activities are not eligible for funding under the FTCS:

- Pure research;
- Purchase of buildings and vehicles, renovations or other capital expenditures;
- Capital costs or ongoing (core) operating expenses not associated with this project.

Factors to be addressed in Proposals

The following factors must be considered in developing proposals:
- Knowledge base
- Innovation
- Collaboration
- Cost-Effectiveness and Sustainability
- Knowledge Transfer and Uptake

Knowledge Base:
- Project is based on existing evidence or proposes to fill a gap in knowledge
- Potential for generating significant new knowledge and/or resources as part of the project

Innovation:
- New or emerging area
- Sound rationale for potential benefits
- Paucity of experience
- Project is bold in its approach, yet is based on a realistic and rigorous approach to tobacco control

Collaboration
- Extent to which project sponsors actively seek to establish strategic partnerships and linkages

Cost-Effectiveness and Sustainability:
- Project sponsors must demonstrate a cost-effective approach to undertaking activities and whenever possible, should also request co-funding from other key partners and/or provincial/territorial governments;
- Proposals should also present a well-developed plan for the sustainability of the program and/or service (as appropriate) once Health Canada funding ends

Knowledge Transfer and Uptake:
- Dissemination strategy upon completion of the project
- Potential interest and uptake by regulators across Canada

Review and Approval Process

Initial Review
- Health Canada Tobacco Control Programme (TCP) personnel will review each funding proposal to ensure it is complete and meets funding criteria.
- If any information is missing, a representative of Health Canada will contact applicant organizations to give them an opportunity to provide any item deemed essential. If proposals do not meet the funding criteria, subsequent reviews may not proceed.
- Health Canada staff will advise the applicant of any opportunities to amend the submission, where applicable.

Internal Review
- Funding proposals are assessed to ensure that identified priorities are addressed; that the project activities and costs are feasible and meet program criteria; and whether the activities are sustainable.
- Proposals are also assessed by TCP Evaluation staff to ensure that proposed activities can be measured within the FTCS evaluation framework. TCP staff will work with potential recipients to facilitate the revision of proposals, as necessary, to ensure that evaluation needs can be met as part of the internal review process.
- All proposals will be screened and evaluated by a review committee that consists of TCP staff and, as appropriate, experts in the field.

Expert Review
- Tobacco control issue experts may act as members of the review committee for select proposals, providing no conflict of interest exists.
- These experts will be chosen from researchers, academics, practitioners and policy-makers, depending on the nature of the proposal to be reviewed.

Ministerial Approval
- Projects that meet FTCS program eligibility, and have been rated and recommended by the review committee and the Tobacco Control Programme senior managers are sent to the Federal Minister of Health for approval.

➢ Funding approval generally takes at least six weeks after the initial review process is completed.

Approval
➢ A Health Canada representative will notify projects sponsors if their proposal has neither been recommended nor approved for funding.
➢ If your project is approved, you will be notified in writing that your project has been accepted for funding.
➢ Once the approval process is completed and funding has been determined, a Health Canada representative will review the financial and administrative requirements of the Contribution Agreement with you.

Review Criteria
The following criteria are used to assess proposals.

Proposal Quality and Project Feasibility

A. Applicant organization's capacity to implement the project _____/10

1. The proposal demonstrates that the applicant has the necessary practical knowledge and ability in relation to proposed project, including the ability to meaningfully engage in one or both official languages, where applicable, to carry out the project successfully.

2. The proposal demonstrates that the organization has the infrastructure necessary to achieve project objectives.

B. Collaboration_____/08

1. The identified partners are those best able to help with achievement of the objectives.

2. The participation of all partners is active and roles and responsibilities of each partner is clearly articulated.

3. All the identified partners have provided a letter of commitment/partnership   Y/N

C. Need or gap is demonstrated _____/12

1. The need is clearly identified and the rationale is sound

2. The applicant has used valid and pertinent means to identify the need.

D. Project objectives _____/20

1. The Executive Summary clearly articulates the project elements.

2. The project objectives are innovative, yet based on a realistic and rigorous approach to tobacco control.

3. The objectives are clearly formulated and realistic, given the length of the project and the budget.

4. The objectives are measurable, where applicable, and reflect the identified need.

5. The objectives are well integrated into the project as a whole (consistent with the activities and strategic partnership(s), and linked to the budget forecasts and the evaluation plan).

E. Work plan _____/16

1. The work plan is sufficiently detailed. Linkages between proposed activities, milestones, tools and outputs are included, and the work plan describes the roles and responsibilities of all members of the project team.

2. The activities described in the proposal are appropriate, feasible and (where applicable) measurable and will likely make it possible to achieve each of the objectives.

3. The schedule for the activities is realistic, and will ensure that the activities will be carried out and the objectives and outcomes will be achieved within the established time frame.

4. The time allotted for each activity is reasonable, provision is made for time and resources for evaluation and dissemination; and so on.

F. Budget _____/12

1. The budget forecasts are sufficiently detailed and linked to the project activities.

2. The budget forecasts are reasonable, demonstrate value for money and expenditures are eligible.

3. The budget clearly delineates the sharing of the costs of certain activities with other funding parties, and in-kind contributions.

G. Dissemination Plan _____/ 14

1. The proposal specifies with whom the results of the proposed activity will be shared.

2. Other organizations will be able to benefit from the knowledge, models or products resulting from the project.

3. The dissemination plan includes reaching targets and methods to broadly share information and project results, and makes provisions in the budget for reaching them.

4. The proposal makes provision for the partners' participation in the dissemination of the results.

H. Strategic Priorities _____/08

The only component of the FTCS addressed by the Office of Regulations and Compliance through this Contribution funding program is product regulation, although it is recognized that this component interacts to some degree with the protection, prevention and cessation components.

Projects <u>must be consistent</u> with the strategic priorities identified by the FTCS in this Call for Proposals for **Tobacco Products Regulatory Science Projects**.

1.   Impact on strategic priorities

2.   Relevance to strategic priorities

Audit Information for Successful Applicants

Health Canada may, at any time during the duration of a contribution agreement, or within a six-year period following its expiry or termination, conduct audits and/or evaluations of any aspect of the work. Specific details will be outlined in the contribution agreement.

Administrative and Reporting Requirements for Successful Applicants

Administrative requirements, such as financial and narrative reporting, evaluation, as well as other monitoring activities, will be established in a formal contribution agreement between the Tobacco Control Programme (TCP) and the successful applicant.

For all approved agreements, there are the following requirements:

- Submit quarterly activity and cash flow reports;

- Submit a final report;

- Participate in on-site visits, as required;

- Participate in TCP-coordinated evaluation activities (including data collection and analysis in adherence to Evaluation Framework) of the Contribution projects.

Specific details of the accountability and reporting requirements will be outlined in the contribution agreement.

Official Languages

It is government policy that federal institutions providing grants or contributions to voluntary non-governmental organizations for activities, projects or programs involving service to a public composed of members of both official language communities must take the necessary measures to ensure that the recipients of public funds respect the spirit and the intent of the *Official Languages Act* when serving the public.

For both grants and contributions, the recipient organization, in consultation with the federal institution providing funding, must first determine the clientele involved and, if required, the language obligations. The activity, project or program may require the use of only one official language or neither one of them, depending on the particular public involved.

National activities, projects or programs

In cases where it has been determined that an activity, project or program receiving financial assistance is national in scope and includes services to the **general public of both linguistic communities**, federal institutions must **ensure** that recipient organizations will:
- ➤ make any announcements to the public concerning the activity, project or program in both official languages;
- ➤ actively offer services to members of the public in both official languages;
- ➤ make available in both official languages any documents for the general public relating to the activities, projects or programs (see the guidelines to chapter 1-1 on the various means of making documents available in both official languages);
- ➤ encourage members of both official language communities to participate in the activities, projects or programs;
- ➤ organize activities, projects or programs, when appropriate, in such a manner as to meet the needs of the two linguistic communities.

Regional or local activities, projects or programs

When the activity, project or program receiving financial assistance is regional or local in scope and the recipient organization, in consultation with the federal institution providing funding, determines that the demand justifies the use of both official languages, services to the general public must be provided in both official languages (see policy requirement below).

For more information see:
http://laws.justice.gc.ca/en/O-3.01/index.html
or
Consult your public library for a copy of the *Official Languages Act*

The following section should help you to complete the Application for Contribution Funding Form.

SECTION A - APPLICANT INFORMATION

This section provides Health Canada with essential information pertaining to your organization and finances. Please ensure that you take the time to complete the entire section. For assistance in completing this section or any other section of the application for funding, please contact the Tobacco Control Programme representative.

SECTION B – PROJECT SUMMARY – OPERATIONAL PLAN

Below you will find a section-by-section description of the major components of the Proposal Description section of the Project Summary-Operational Plan.

In the Proposal Description section, you will be asked to describe the following:

1. **Organization** – Summary, mission, background, current programs, personnel and management, capacity to manage the project and to support FTCS priorities.

2. **Collaboration**– Project partners, roles, responsibilities, contribution.

3. **Project Overview** – Executive summary, rationale, objectives, expected results.

Rationale

In the Project Overview, you are asked to include a strong rationale that is evidence-based to reinforce why this project is needed, or what gaps the project will fill.

A rationale can be based on research, knowledge or other forms of data that support the need for your project.

Examples of evidence to be used in your rationale may include:
➢ Data on smoking rates or prevalence;
➢ Research or literature supporting the type of intervention or project you wish to have funded;
➢ Research or literature documenting the lack of similar projects or interventions available;
➢ Documentation to support the successful application of a program or intervention in other areas that may be replicated in your project.

Project Objectives

The objectives describe what the project intends to accomplish and provides the context in which progress can be monitored and success can be measured.

Objectives are specific, measurable statements of the desired change(s) that a project intends to accomplish in a given time frame.

The following may help in writing project objectives:
➢ Good project objectives lay the groundwork for demonstrating the impact of the project;
➢ Identify the specific changes the project is designed to accomplish;
➢ Ensure that these changes are measurable (e.g. by a certain date);
➢ Be realistic and achievable, given individual and organizational constraints, timeframes, and resources available;
➢ Ensure linkages to FTCS priorities and objectives.

4. **Work Plan** – A template is included in Application for Contribution Funding Form, on page 4. Also include a description of staffing and administrative needs, as suggested.

Project Activities and Milestones

Your project description should indicate the tasks and timelines that will be undertaken for the duration of the project in order to attain the stated objectives.

Project activities, methodology, milestones, outputs and responsibilities can be articulated in the Work Plan template appended to the Application Form.

Activities are the specific tasks carried out by the project to meet the objectives.

Milestones mark the anticipated date of completed activities and achieved results.

In planning your project activities, you may need to take the following into consideration:
➢ What are the significant activities that will be undertaken in your project to achieve desired outcomes?
➢ What tools are needed to carry out activities?
➢ What methodology will be used to carry out activities?
➢ What are the timeframes and milestones associated with each component of the project associated with each activity?
➢ What outputs will be designed, developed or produced within the project scope (e.g. booklet, report, program, seminars)?
➢ Who will be responsible for carrying out planned activities?

Information about Project Evaluation

Outcome/Impact Evaluation

Some funded projects will be evaluated for project outcomes and impacts, by an outside third party evaluator with recognized expertise and experience in the field of program evaluation. The decision regarding which projects will participate in third-party evaluation will be made by Health Canada. If selected for third party evaluation, all project sponsors must participate as a condition of funding approval.

TCP will be responsible for funding all costs associated with the third-party administered outcome/impact project evaluation. TCP evaluation staff will work with the sponsors of selected projects to facilitate participation in the evaluation.

The emphasis of the third-party administered outcome/impact evaluation will be quantitative and focus on producing results that can be used to rigorously assess the success of Contribution funded projects in meeting the objectives of both the projects and the FTCS. Project evaluations will use a standardized methodological approach to measure the actual impact of funded projects.

The methodology will utilize core indicators through a pre-/post-intervention design survey, as applicable. Where appropriate, an experimental or quasi-experimental control group will be established through the baseline (pre-intervention) survey. Post-intervention surveys will be conducted within one month of the intervention and at six and twelve month intervals. The standardized methodological design will allow for meta-analysis of cross-sectional data in addition to statistical analysis of intervention-/control-groups and pre-/post-intervention data. This will allow for multiple lines of analysis as to the impact (effectiveness) of funded projects.

The use of core indicators is critical to the success of this evaluation strategy. To ensure that indicators are used that are reliable and valid, all FTCS funded Contribution projects will use, where appropriate, a selection of indicators from the core indicators developed by the Canadian Tobacco Control Research Initiative in addition to other relevant indicators.

TCP evaluation staff will work with project sponsors to collect basic information required for the conduct of the evaluation. In addition, project sponsors may be asked to collect some data for evaluation purposes (e.g. participant lists and assisting in establishing control groups). The third-party evaluator will collect additional data and be responsible for data management. Data will be analyzed by both the third-party evaluator and TCP evaluation staff for the purposes of reporting on results.

Formative/Process Evaluation

A formative/process evaluation is required of all approved projects as a condition of funding, regardless of whether or not a project is selected for inclusion in the outcome/impact evaluation. The process evaluation will focus on collecting data with respect to the rollout of the program, including but not limited to, financial data, information on the nature and number of outputs and participation in the project.

Health Canada will also hire a third-party organization to review and analyze data gathered as part of the process evaluation conducted by the funding recipient on all funded projects. The third party will work with funding recipients to collect all necessary data.

Recipients are expected to complete quarterly progress reports as part of the process evaluation. A third party evaluator will review these reports annually, have follow up phone surveys and manage the accumulated data to enable a strong qualitative evaluation

of the projects. Funding for the process evaluation (staff time for reporting and data collection) should be built into the project proposal and budget (on average 10% of overall budget).

Helpful Resource: The Canadian Tobacco Control Research Initiative (CTCRI) National Advisory Group on Monitoring and Evaluation has developed core indicators to monitor and evaluate tobacco control interventions related to prevention, cessation and protection. Information on these indicators, as well as how to use them to evaluate tobacco control interventions, can be found at www.ctcri.ca and has been published under the title of, *Indicators for Monitoring Tobacco Control: A Resource for Decision-Makers, Evaluators and Researchers* (2006).

5. **Budget** – Budget template is included in Application for Contribution Funding Form. Also include a description of your financial accounting and reporting practices.

Prepare your expenditure plan using the cost categories as described in detail in the Application for Contribution Funding Form, including a listing of all partner organizations and their financial contributions, as well as project staff wage costs.

6. **Dissemination – Action Plan**

Please describe how you will disseminate the results of your project, including any outputs, deliverables and/or key learnings from your evaluation. Please include a description of who you will share results with, including partners and target populations.

Successful funding applicants will be required to demonstrate a willingness and capacity to assist with the widespread transfer and uptake of "lessons learned" and key findings to interested policy and decision-makers, practitioners and researchers living in different regions of the country. This activity should be built into the proposal activities.

7. **Sustainability – Action Plan**

If you plan to continue with this project beyond the time frame indicated in your application, please describe your sustainability action plan, including provisions for alternate sources of funding, partners or scope of the project, in the Application Form.

SECTION C – TARGET GROUPS

Using the checklist included in the Application for Contribution Funding Form, please indicate which client groups you will be targeting in your planned project, where applicable.

SECTION D – DECLARATION

Ensure that you have included the name, position, signature and date for all signing parties.

Glossary of Terms

Cessation: To increase the number of quitters and to reduce barriers to quitting

Data collection methodology relates to the process that will be employed within the evaluation plan to collect the necessary information to facilitate evaluation.

Evaluation is the application of systematic methods to periodically and objectively assess effectiveness of programs in achieving expected results, their impacts, both intended and unintended, continued relevance and alternative or more cost-effective ways of achieving expected results.[1]

Evaluation Plan refers to the performance measurement plan developed by your organization to measure the success of your project in achieving your overall objectives.

Expected Results are the outputs and outcomes that a program, policy or initiative is designed to produce.[2]

Formative (Process) Evaluation focuses on the process of implementation of a policy, program or initiative with the intention of identifying what is, and is not, working in order to determine what changes could be made to improve the policy, program or initiative in achieving its intended results/outcomes.[3]

Information or data sources are identified within the evaluation plan to enable evaluators to know what data will be used to assess progress toward stated outcomes.

Meta-Analysis uses statistical methods to combine the results from a number of previous experiments or studies examining the same question, in an attempt to summarize the totality of evidence relating to a particular issue.[4]

Monitoring: Regular collection and analysis of statistics and information to assist in timely decision-making, to ensure accountability and to provide the basis for evaluation and program planning.

Outcomes are a result or consequence attributed, in part, to an organization, policy, program or initiative[5].

Three types of outcomes are defined as:

Immediate Outcome: an outcome that is directly attributable to a policy, program or initiative's outputs. These are short-term outcomes and are often at the level of an increase in awareness of a target population.

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[1] Results-Based Management Lexicon, Treasury Board of Canada Secretariat, http://www.tbs-sct.gc.ca/rma/lex-lex_e.asp, Feb 20, 2007.
[2] Population Health Evaluators Network, Plain language Definitions. March 2007
[3] Ibid
[4] Cochrane Health Promotion and Public Health Field, Last Updated: 5 Feb 2001, http://www.ph.cochrane.org/en/index.html

[5] Population Health Evaluators Network, Plain language Definitions. March 2007

Intermediate Outcome: an outcome that is expected to logically occur once one or more immediate outcomes have been achieved. These are medium term outcomes and are often at the change of behaviour level among a target population.

Final Outcome: the highest-level outcome that can be reasonably attributed to a policy, program or initiative in causal manner, and is the consequence of one or more intermediate outcomes having been achieved. They are long-term outcomes that represent a change of state of a target population. [6]

Outputs[7] are the direct products or services stemming from the activities of an organization, policy, program or initiative, and usually within the control of the organization itself. Example: Pamphlet, research study, training session, self-help program materials etc.

Performance measure/Indicator is a qualitative or quantitative means of measuring an output or outcome, with the intention of gauging the performance of an organization, program, policy or initiative[8]

Prevention: To reduce the uptake of tobacco, to reduce access to tobacco, and to create barriers to smoking.

Product regulation: To regulate the product itself, its emissions, its characteristics, its labelling or its promotion.

Protection: To reduce exposure to second-hand smoke.

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[6] Results-Based Management Lexicon, Treasury Board of Canada Secretariat, http://www.tbs-sct.gc.ca/rma/lex-lex_e.asp, Feb 20, 2007.
[7] Ibid
[8] Ibid

Proposal Checklist

Preparation of Proposal

Section A
◘   Is the organization a registered non-profit, college or university, professional association, or level of government?
◘   Is the date of organization's incorporation and the registration number included?
◘   Is all financial information complete, including insurance coverage and sources of funding?
◘   Have you discussed this project with a provincial or territorial government representative and obtained their support?

Section B
◘   Does the project address identified strategic priorities?
◘   Have you included a description of your organization including mission, background and capacity to manage project?
◘   Are all partners listed, along with their role and is their commitment provided in writing?
◘   Is this project evidence-based and does the information provided demonstrate a need?
◘   Are your project objectives clearly stated?
◘   Is the Work Plan complete (for each fiscal year, if applicable)?
◘   Is the Budget Template complete (for each fiscal year, if applicable), and have you included project staff wage costs in the Budget section?
◘   Have you included a description of the Dissemination and (if applicable) Sustainability Plan?

Section C
◘   Have you completed the Target Group section, where applicable?

Section D
◘   Have you completed the Declaration section?