



## **REQUEST FOR PROPOSALS CD-09-01**

# **EVALUATION OF THE TRIBAL TOBACCO EDUCATION AND POLICY INITIATIVE**

## **DEADLINES FOR PROPOSALS**

October 31, 2008..... Letters of Interest are due by 4:30 p.m.  
December 19, 2008.....Full applications are due by 4:30 p.m.  
March 18, 2009.....Funding notifications sent to applicants  
May 1, 2009.....Earliest date for work to begin on evaluation

## **FOR APPLICATION FORMS AND REQUIREMENTS**

Please visit: [www.clearwaymn.org](http://www.clearwaymn.org) or  
Contact: Chris Matter.  
Senior Community Development Manager  
ClearWay Minnesota<sup>SM</sup>  
Phone: 952-767-1405  
Email: [cmatter@clearwaymn.org](mailto:cmatter@clearwaymn.org)



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## INTRODUCTION

ClearWay Minnesota<sup>SM</sup> is an independent nonprofit created with 3 percent (\$202 million) of the 1998 tobacco settlement. Our mission is to enhance life for all Minnesotans by reducing [commercial] tobacco use and exposure to secondhand smoke through research, action and collaboration.

One of the strategies of ClearWay Minnesota is to fund efforts in priority populations to eliminate disparities in all aspects of tobacco control. ClearWay Minnesota's Community Development Department exists to build capacity and engage priority populations in reducing the harm that commercial tobacco causes their communities. All funding efforts are designed to build capacity within communities for effective tobacco control with a focus on adults (age 18 and older). The Community Development Department focuses its efforts on "priority" populations, defined as groups of people who:

- Use commercial tobacco at rates higher than the rest of the population;
- May not use traditional cessation services;
- Have higher rates of morbidity/mortality; and
- Are targeted by the tobacco industry.

As part of its 2008-2010 Strategic Plan, ClearWay Minnesota is committed to supporting policies that reduce commercial tobacco use and exposure to secondhand smoke (Strategy I) and supporting efforts in priority populations to eliminate tobacco-related disparities (Strategy III). This includes funding for commercial tobacco control efforts in the American Indian communities in Minnesota. To date, ClearWay Minnesota has awarded funding for the Minnesota Native American Council on Tobacco (MNACT network), several research grants and various community outreach grants in Minnesota's American Indian communities. In funding this work, ClearWay Minnesota recognizes the unique indigenous cultural and ceremonial tobacco traditions of American Indians and seeks to address health disparities that stem from commercial tobacco use and exposure to secondhand smoke within these communities.

ClearWay Minnesota is currently funding the Tribal Tobacco Education and Policy initiative, which supports tribal-based education and policy efforts to reduce commercial tobacco use and exposure to secondhand smoke. ClearWay Minnesota is currently seeking applications for evaluation of the Tribal Tobacco Education and Policy initiative. This evaluation work will be funded through a competitive Request for Proposals (RFP) process.

### **Purpose of RFP**

ClearWay Minnesota seeks evaluation services for the Tribal Tobacco Education and Policy (TTEP) initiative. The evaluation will look at the TTEP initiative in its entirety as well as each individual grantee. It is anticipated that up to five TTEP grantees, all from within tribal nations in Minnesota, will be funded during the period of this evaluation. (ClearWay Minnesota's long-term goal is to work with all tribal nations in Minnesota and support their efforts to advance smoke-free tribal government policies, but not all will undertake this work during this initial two-year evaluation period.) The TTEP initiative is a unique effort to provide support to enable tribal communities to undertake educational and policy efforts to change community norms and policies that will reduce use of commercial tobacco and exposure to secondhand smoke. Such

efforts must be community-based and tailored to the context of each individual American Indian Nation. Limited information exists on the process of undertaking such work within tribal communities and almost no formal evaluation of such efforts has occurred. Through this current funding opportunity, ClearWay Minnesota will support evaluation work that can help inform both TTEP grantees and ClearWay Minnesota on the progress of this work. Additionally, lessons learned from TTEP experiences may be informative to funders and tribes working on commercial tobacco control efforts in American Indian communities.

### **Background of the TTEP Initiative**

The Request for Proposals for the TTEP initiative can be found at: [www.clearwaymn.org](http://www.clearwaymn.org)

In Minnesota, there are seven Anishinaabe/Ojibwe bands and four Dakota/Lakota communities. Approximately 55,000 American Indians reside within the state (Census 2000). For more information about the tribal nations in Minnesota, visit the Minnesota Indian Affairs Council website: <http://www.indianaffairs.state.mn.us/aboutus.html>

On October 1, 2007, Minnesota adopted the Freedom to Breathe Act of 2007, a statewide smoke-free law, for all indoor workplaces in Minnesota. In states where they have been adopted, smoke-free policies have significantly improved public health. In Minnesota alone, an estimated 581 lives are lost to secondhand smoke each year and 66,000 people are treated for illnesses and disease caused as a result of exposure to secondhand smoke<sup>1</sup>. The Freedom to Breathe Act of 2007 provides secondhand smoke protections to all workers, including restaurant and bar workers. These workers have been among the most exposed and least protected from secondhand smoke, which is known to cause cancer and contains 250 toxic chemicals including arsenic, cadmium, formaldehyde, lead and benzene<sup>2,3</sup>.

Minnesota's Freedom to Breathe Act does not apply to Minnesota's American Indian Nations. American Indian Nations are sovereign nations and thus not covered by the new law. Nonsmokers exposed to secondhand smoke at work in places like bars, restaurants, pool halls and bowling alleys have an increased risk of lung cancer and heart disease<sup>4</sup>. Current heating, ventilating and air conditioning systems alone cannot eliminate exposure to secondhand smoke in nonsmoking areas<sup>5</sup>. Thus, people living and working on Indian reservations remain exposed to secondhand smoke in public places and are at a greater risk of commercial tobacco-related illnesses, cancers and deaths than people living and working elsewhere in Minnesota.

This is especially troublesome in light of the disproportionate impact of commercial tobacco within Minnesota's American Indian Nations. In Minnesota, four of the five leading causes of death among American Indians—cancer, coronary heart disease, stroke and lower respiratory disease—are related to commercial tobacco use<sup>6</sup>. In the Northern Plains area, which includes Minnesota, 48 percent of American Indian men and 40 percent of American Indian women report current cigarette smoking<sup>7</sup>. According to the 2008 Minnesota Adult Tobacco Survey, the overall rate for all adult Minnesotans is 17 percent<sup>8</sup>.

Health conditions caused by secondhand smoke cost Minnesotans \$215.7 million each year<sup>1</sup>. Establishing smoke-free policies helps people quit, and, according to national survey results, seven out of 10 American adult smokers want to quit<sup>9</sup>. Smoke-free workplaces reduce total cigarette consumption per employee by 29 percent<sup>10</sup>.

American Indian public health advocates have begun to address commercial tobacco use and exposure in the U.S. The National Congress of American Indians (NCAI) supports reducing commercial tobacco use among American Indian and Alaska Native communities and reducing exposure to secondhand smoke<sup>11</sup>. The National Tribal Tobacco Prevention Network assists tribal communities in their efforts to reduce commercial tobacco use and exposure to secondhand smoke. The Minnesota Chippewa Tribe has adopted a resolution supporting efforts to reduce the harm and diseases caused by commercial tobacco products and to encourage use of indigenous sacred tobacco according to teachings for ceremonial offerings and cultural uses<sup>12</sup>.

ClearWay Minnesota recognizes the sovereign rights of American Indian Nations as secured under treaties and agreements, as well as the unique indigenous cultural and ceremonial tobacco traditions of American Indians and seeks to address health disparities that stem from commercial tobacco use and exposure to secondhand smoke.

In order to support public health efforts to reduce the harms caused by use of and exposure to secondhand smoke, ClearWay Minnesota is initiating the TTEP initiative to 1) support American Indian efforts to educate tribal government leaders, community members, traditional and spiritual leaders and elders on the dangers of commercial tobacco use and secondhand smoke, and support community-level policy advocacy activities to advance comprehensive smoke-free policies on tribal lands and to 2) provide resources to make available training and technical assistance to the grant recipients in order to support their work and develop grantees' capacity and develop the skills necessary to carry out efforts to support comprehensive, effective policies and strategies in Minnesota's American Indian Nations.

As part of the TTEP initiative, ClearWay Minnesota will provide support for evaluation of this work, both by providing resources at the grantee level to participate in evaluation activity and to secure an external evaluator(s) to provide quality, culturally competent evaluation to inform TTEP grantees and ClearWay Minnesota about the process of undertaking these education and policy efforts in tribal communities.

### **TTEP Initiative Theory of Change**

(The entire TTEP theory of change is included in Appendix A of this RFP.)

The TTEP initiative theory of change calls for education of the tribal community to support mobilization that leads to policies:

- Tribal-based efforts, adequately funded and staffed, will educate tribal government leaders, community members, traditional and spiritual leaders, and elders on the dangers and inherent harms of the use of and exposure to commercial tobacco, the sacred history of traditional tobacco among American Indians, efforts of other American Indian Nations to reduce secondhand smoke and commercial tobacco use, and the importance of changing the norms within the community around commercial tobacco use;
- By so doing, community support will be mobilized to provide community access at all tribal events to information on commercial tobacco, restore the traditions of sacred tobacco use, create an environment with norms that support smoke-free public spaces, viable smoke-free businesses where employees and customers are not exposed to the dangers of secondhand smoke, and tribal community practices and policies are supported

by and reflect the values of tribal governmental leaders, community members, spiritual and traditional leaders, and elders; and

- These policies will lead to reduced use of commercial tobacco and reduced exposure to secondhand smoke, restoration of traditional tobacco use and values among tribal communities, and reduced death and disease caused by commercial tobacco.

The TTEP theory of change has six core elements:

1. Tribal communities acknowledge and restore traditional/sacred traditions while exposing the role governmental policies and commercial tobacco interests have played in suppressing sacred traditions.
2. Tribal government leaders, community members, traditional and spiritual leaders, and elders are knowledgeable of the role of commercial tobacco industry marketing and harms caused by commercial tobacco use.
3. TTEP initiatives will be sufficiently resourced to provide ongoing sustained efforts and to support trained professional practitioners within American Indian Nations to develop culturally appropriate strategies and activities.
4. Tribal community environments will support non-use of commercial tobacco, supported by smoke-free policies and practices, compliance with those policies and public areas that are smoke-free.
5. Businesses and casinos in tribal communities are successful *and* smoke-free, and are supported by the community.
6. Tribal governments, community members, traditional and spiritual leaders, and elders embrace and support smoke-free policies and policies that restrict use of commercial tobacco.

The theory of change allows for each grantee to address different elements at different stages and levels of readiness.

## **Evaluation Framework for TTEP Initiative**

(The full text of the TTEP Evaluation Framework is included in Appendix B.)

### **Goal and Evaluation Questions for the TTEP Initiative**

The long-term goal of the TTEP initiative is for tribal communities to embrace norms that support non-use of commercial tobacco in public spaces and to enact comprehensive smoke-free policies that reduce exposure to secondhand smoke and commercial tobacco use. This goal may not be achieved during the early years of the initiative, so evaluation should focus on progress on the key elements of the theory of change.

Education and policy work is individual in nature and context dependent; each grantee will begin this work specific to their own tribal context; that context will influence where each grantee focuses. Thus, grantees will be expected to place different emphasis and energy in different areas

of the theory of change and have different outcomes. The evaluation thus needs to assess baseline indicators of the starting point of grantees' work and their decisions about where to focus their work and use multi-site methods which will capture similarities and unique aspects of the work across the different grantee sites.

#### TTEP Evaluation Questions

The successful evaluation team is expected to identify indicators based on their expertise and knowledge obtained from the unique context of each grantee. Examples of indicators are provided for illustrative purposes only and the evaluation team may choose to use them or not.

1. To what extent have tribal communities reclaimed the history and values of traditional/sacred tobacco?

*Examples of indicators:* baseline status of sacred/traditional tobacco activities currently occurring in the community, outreach activities to promote sacred tobacco traditions, traditional tobacco community gardens and people involved in caring for the gardens

2. To what extent are grantees undertaking activities to increase the awareness of commercial tobacco use and related harms in tribal communities (including tribal governmental leaders, elders, community members, and spiritual and traditional leaders), including:

- Role of the commercial tobacco industry in promoting tobacco and exploiting American Indian images for commercial gain?
- Harmful impact of commercial tobacco use on health?
- Harms caused by exposure to secondhand smoke?
- Role of taxation and pricing to prevalence of commercial tobacco use?

*Examples of indicators:* baseline status of educational activities, use of data in educational efforts (such as statistics on American Indian commercial tobacco use/harms), numbers and types of presentations/activities

3. To what extent:

- Have grantees recruited, trained, supported and sustained a trained, competent (competent on commercial tobacco and culturally competent) staff and volunteers to further commercial tobacco policy work?
- Is funding sufficient and are adequate resources devoted to commercial tobacco policy work and education?
- Have grantees (staff and community members) accessed adequate and culturally competent training and technical assistance?
- Is available training and technical assistance adequate to support capacity of grantees?

*Examples of indicators:* baseline status of staff knowledge/expertise, training and technical assistance resources accessed by staff and community members, needs assessment of training and technical assistance needs, application of skills/knowledge towards progress in work plan

4. To what extent have grantees made progress on policy efforts to reduce exposure to and use of commercial tobacco, including

- Policy progress?
- Education on value/importance of policies?
- Norms that support non-use of commercial tobacco in public areas?

*Examples of indicators:* baseline status of policy and smoke-free spaces, reactions to initial outreach around policy discussions (receptivity/resistance to organizer efforts in initial one-on-one contacts/outreach) and progress on policy: 1) at events such as festivals, pow wows, rodeos; 2) at locations such as within businesses, community centers, buildings, spaces; and 3) by the tribal government such as resolutions and ordinances

5. To what extent are businesses supportive of smoke-free policies and economically viable while being smoke-free?

*Examples of indicators:* presentation of information to business representatives on economic impact of smoke-free policies, discussions on strategies to reduce concerns about economic impact of smoke-free policies

6. To what extent:

- Do tribal governments, community members, traditional and spiritual leaders, and elders have access to health promotion educational activities?
- Are tribal governments, community members, traditional and spiritual leaders, and elders engaged in the process of promoting and supporting comprehensive smoke-free and commercial tobacco control efforts?

*Examples of indicators:* baseline status of people involved in or working on tobacco strategies (both reclaiming traditional tobacco and commercial tobacco control), outreach attempts, numbers of people and organizations attending meetings, participating in coalition/groups, numbers of gardeners, sector information on who is involved

## **Evaluation Purposes**

The TTEP evaluation will have several purposes:

- Object improvement, to provide information and feedback to both grantees and ClearWay Minnesota program staff to support the work and move it forward effectively;
- Clarifying understanding, to better understand the community mobilization and policy process within tribal communities in order to better understand what efforts help move policy work forward in American Indian Nations;
- Accountability, both by grantees to ClearWay Minnesota and by ClearWay Minnesota to its mission, to ensure that resources are being used for their intended purposes.

The evaluation framework for the TTEP initiative includes the following elements:

1. *Evaluation expertise and capacity, which is threefold:*

- An evaluation team that includes principals from American Indian communities or at a minimum evaluators who have a record of establishing trusting, productive, respectful relationships evaluating projects in American Indian communities
- Evaluation expertise and capacity, including expertise in methodology and independently planning, carrying out and conducting evaluations, and the organizational capacity to carry out the work
- Expertise and experience evaluating community mobilization efforts and/or coalitions that address commercial tobacco issues

2. *Approaches and methods to ensure development of stakeholder relationships and trust:* The evaluator must allow sufficient time and demonstrate experience necessary to develop trusting working relationships with tribal communities, as well as balancing the methodology and data collection needs with the time constraints of TTEP grantees. Methods must also demonstrate cultural competence and respect.

3. *Organizational context of TTEP grantees (the organizations that are the recipients of TTEP grants):* Evaluators will demonstrate understanding of the impact of the grantee organization's context and capacity related to progress of the work.

4. *TTEP Coordinator position:* Evaluators will demonstrate understanding of the skill and capacity of the TTEP coordinator position, including training and technical assistance needs.

5. *Process evaluation data:* Evaluators will demonstrate expertise and knowledge of collection of process evaluation data.

6. *Policy progress:* Evaluators will demonstrate understanding of and plan for assessing formal and informal policy progress.

7. *Individual outcomes:* Evaluators will demonstrate understanding of and plan for assessing individual outcomes such as leadership development and participation in policy efforts.

8. *Community outcomes:* Evaluators will demonstrate understanding of and plan for assessing community outcomes such as awareness and acceptance of policy efforts among key stakeholders in the community.

9. *Long-term outcomes:* Long-term outcomes such as reduced harms from exposure to secondhand smoke and commercial tobacco use will NOT be assessed in this evaluation work and should not be included in proposals.

TTEP grantees' work should be viewed along a continuum or *stages of implementation*, rather than in terms of "success", as any new initiative requires a period of adjustment. This may be especially true for community mobilization and policy work. Thus, grantees may be viewed as moving through stages of implementation, such as a model created by Fixsen and colleagues (2005). (Additional information on stages of implementation process is included in the Evaluation Framework in Appendix B.)

## PROJECT SCOPE

### Deliverables

The evaluator will be responsible for the following deliverables:

1. Create an evaluation plan building on the above evaluation questions and framework. The evaluation plan will address each of the provided evaluation questions (and may propose additional questions), clearly specify:
  - What baseline information will be gathered;
  - The information that will be used to address each question (indicators);
  - The source for that information;
  - Methodology; and
  - Evaluation timeline.The final evaluation plan must be approved by ClearWay Minnesota prior to implementation.
2. Implement the approved evaluation plan.
3. Develop and provide a plan for developing stakeholder relationships and maintaining communication with ClearWay Minnesota staff and the TTEP grantees.
4. Attend and participate in grantee meetings convened by ClearWay Minnesota Community Development staff, to build stakeholder relationships, share evaluation information, get input on evaluation processes and deepen understanding of grantee activity. In addition, evaluators may be asked to participate in some planning of elements of these meetings related to evaluation.
5. Provide copies of evaluation protocols and instruments to ClearWay Minnesota.
6. Provide quarterly written updates of the activities and progress of the evaluation's progress. This report should include opportunities and challenges related to the evaluation.
7. Create a report annually that captures each grantee's progress *and* overall TTEP initiative progress, including a plan for disseminating evaluation information to grantees.

### Additional Evaluator(s) Requirements:

1. Maintain positive, trusting working relationships and regular communication with TTEP grantees and ClearWay Minnesota Community Development and Research department staff, as mutually agreed upon by the parties.
2. Develop culturally competent and innovative methods for the evaluation.
3. Coordinate data collection for evaluation with the reporting process ClearWay Minnesota requires of grantees and demonstrate sensitivity to balancing data collection needs with

evaluation needs; offer suggestions for modification of reporting processes with evaluation needs and procedures.

4. Report any challenges that may impact evaluation progress to ClearWay Minnesota community development staff as soon as such challenges become evident, be responsive to any concerns that may arise related to the evaluation processes and participate in a joint effort to resolve and/or address any such challenges.
5. Be flexible to meet changing conditions and/or concerns within the TTEP grantee communities and within ClearWay Minnesota.
6. Comply with the American Evaluation Association's Joint Committee Standards and guiding principles for program evaluators.

### **Dissemination**

ClearWay Minnesota recognizes that evaluation findings of the TTEP initiative may be of broader interest to tobacco prevention and control field, and may be useful to inform similar efforts in tribal communities. Likewise, ClearWay Minnesota recognizes the sensitive and individual nature of community mobilization work in tribal communities, and the importance of tribal control of dissemination of information. Thus, prior to sharing any evaluation information, including but not limited to conference presentations, forums and manuscript submission and publication, prior approval must be obtained from ClearWay Minnesota *and* the relevant TTEP grantee(s).

## REFERENCES

1. Waters HR, Stevens SS, Alesci NL, Samet J. The Economic Impact of Secondhand Smoke in Minnesota. Johns Hopkins Bloomberg School of Public Health in collaboration with Blue Cross and Blue Shield of Minnesota. 2007.
2. National Cancer Institute. Risks Associated With Smoking Cigarettes with Low Machine-Measured Yields of Tar and Nicotine. 2001.
3. National Toxicology Program. 11<sup>th</sup> Report on Carcinogens. 2005.
4. U.S. Department of Health and Human Services. The Health Consequences of Involuntary Exposure to Tobacco Smoke: A Report of the Surgeon General. 2006.
5. Hyland A, Travers M, Repace J. Seven City Air Monitoring Study. March-April 2004.
6. Great Lakes EpiCenter. Great Lakes Intertribal Council, Inc. Community Profile: Minnesota, Wisconsin & Michigan Tribal Communities. 2004.
7. Denny CH, et al. 2003. Surveillance for health behaviors of American Indians and Alaska Natives. Findings from the Behavior Risk Factor Surveillance System, 1997-2000: MMWR Surveillance Summaries 52(7): 1-13.
8. ClearWay Minnesota<sup>SM</sup>, Blue Cross and Blue Shield of Minnesota and Minnesota Department of Health. *Creating a Healthier Minnesota: Progress in Reducing Tobacco Use*; September 2008.
9. Cigarette smoking among adults - United States, 2000. MMWR. July 26, 2003; 51 (29): 642-645.
10. Fichtenberg CM, Glantz SA. Effect of smoke-free workplaces on smoking behavior : systematic review. BMJ. 2002.
11. The National Congress of American Indians. Resolution #ABQ-03-050.
12. The Minnesota Chippewa Tribe. Resolution #74-05.

## **APPLICATION REQUIREMENTS**

### **ELIGIBILITY CRITERIA**

To be considered eligible, applicants must meet the following criteria:

The applicant organization must certify its compliance with ClearWay Minnesota's policies and directives regarding: smoke-free workplaces; conflicts of interest; interactions with tobacco industry and related businesses; financial due diligence; and the relevant requirements of the Minnesota Governmental Data Practices Act. For a full description of these policies and directives, please see pages 52-54. Certification of compliance is acknowledged by signature and submission of the Acknowledgement of Application Terms and Conditions (please see page 45).

### **APPLICATION AND REVIEW PROCESS**

All applicants must submit a letter of interest that ClearWay Minnesota staff will use to assist in the reviewer selection process. Applicants should not wait for a response to their letter of interest, but should continue to prepare their proposal for submission to ClearWay Minnesota. A review panel is convened and makes the funding recommendations for selection of the evaluation contractor. ClearWay Minnesota staff may then request a site visit with potential applicants.

### **RIGHT TO AMEND**

ClearWay Minnesota reserves the right to amend or supplement this Request for Proposals without liability.

### **RIGHT TO REJECT**

This Request for Proposals does not obligate ClearWay Minnesota to complete the proposed project. ClearWay Minnesota may cancel the solicitation if it is not considered to be in its best interest. ClearWay Minnesota expressly reserves the right to reject all proposals or portions thereof without reason, cause or explanation.

## **DUE DATES AND TIMELINE**

|                              |                                                |
|------------------------------|------------------------------------------------|
| September 19, 2008.....      | Release of the RFP                             |
| October 31, 2008.....        | Letters of Interest Due                        |
| November 10-14, 2008.....    | Information Sessions                           |
| December 19, 2008.....       | Full Proposals Due                             |
| January - February 2009..... | Review Process                                 |
| February 9-13, 2009.....     | Possible site visit with applicant(s)          |
| March 18, 2009.....          | ClearWay Minnesota Board of Directors approval |
| May 1, 2009.....             | Earliest date for work to begin                |

## **AWARD**

The Evaluation of the Tribal Tobacco Education and Policy Initiative will be funded for an amount not to exceed \$250,000 for a period not to exceed two years. It is anticipated that the

project's budget for Year One will be approximately \$150,000 and for Year Two \$100,000. This contract may be renewable for the successful contractor.

## **INSTRUCTIONS FOR THE LETTER OF INTEREST**

All applicants must submit a Letter of Interest by October 31, 2008.

Four (4) copies of the Letter of Interest must be received in the ClearWay Minnesota office by 4:30 p.m. on October 31, 2008. The letter can be mailed, hand-delivered or sent by courier. **NO FAX OR EMAIL SUBMISSIONS WILL BE ACCEPTED.**

Address the letter to:

Chris Matter  
Senior Community Development Manager  
ClearWay Minnesota<sup>SM</sup>  
Two Appletree Square, Ste.400  
8011 34<sup>th</sup> Ave. S.  
Minneapolis, MN 55425

**The Letter of Interest must be single-spaced, no longer than two pages and should include the following:**

1. Applicant's contact information including the telephone number and email address of the primary contact.
2. A brief summary of the applicant organization's history, mission, services and recent accomplishments relevant to the applicant's ability to conduct the evaluation. If the applicant is a team of partners from more than one organization, the letter should also provide a brief description of the history of the relationship between the partners, previous work and accomplishments of the partnership and how the existing relationship will contribute to the project.
3. A brief explanation of the applicant's experience working with American Indian communities.

All applicants must submit a letter of interest that ClearWay Minnesota staff will use to assist in the reviewer selection process. Applicants should not wait for a response to their letter of interest, but should continue to prepare their proposal for submission to ClearWay Minnesota.

## APPLICATION INSTRUCTIONS

Applicants must provide **EIGHT complete application packets (one original plus seven copies)**, each containing sections 1-9 (**except for only ONE copy of section 10** (see below)). Plus **one** copy of all the completed budget forms need to be provided on a disk. These materials must be **RECEIVED IN THE CLEARWAY MINNESOTA<sup>SM</sup> OFFICE BY 4:30 P.M. ON DECEMBER 19, 2008**. The complete application packets can be mailed, hand-delivered or sent to ClearWay Minnesota's office by courier. **NO FAX OR EMAIL SUBMISSIONS WILL BE ACCEPTED.**

EIGHT application packets should be sent to:

Chris Matter  
Senior Community Development Manager  
ClearWay Minnesota<sup>SM</sup>  
Two Appletree Square, Ste. 400  
8011 34<sup>th</sup> Ave. S.  
Minneapolis, MN 55425

### FORMATTING REQUIREMENTS

All proposals must adhere to the following format requirements. Wherever possible, the proposal and support documents should be provided in no less than a **12-POINT FONT**. Fonts such as Arial, Times New Roman or similarly simple and unembellished font styles are preferred. All page margins (top, bottom and sides) must be at least **ONE INCH IN WIDTH**. Pages must be printed or copied on **ONE SIDE ONLY**. The principal components of the evaluation proposal (i.e., description of the scope and plan for evaluation, the methods plan, budget narrative and biographical statements) must be **DOUBLE SPACED**; application forms, budget tables or pre-printed organizational literature and brochures may be single spaced. Please label and number all sections and **PROVIDE PAGE NUMBERS** for the materials in the grant proposal. Please do not place materials in covers, folders, sleeves or binders and please do not use tabbed, card-stock or die-cut separators. The use of simple paper clips (or the larger, clamp-style fasteners) is preferred.

### MANDATORY APPLICATION MATERIALS AND ORDER OF SUBMISSIONS

Each of the eight (8) application packets must include the following materials presented in the following order:

#### *Section 1. Acknowledgments and Application Form*

This section must include the following materials, in the following order:

- (a) **Acknowledgment of Application Terms and Conditions** (see page 45).
- (b) **Application Form** (see page 47).

These forms are available as appendices to this document or they may be downloaded from [www.clearwaymn.org](http://www.clearwaymn.org). Please note that these forms and all other application materials required for submission **may not be** submitted electronically (online). All forms (and all fields) must be thoroughly read, reviewed, completed, signed and sent to ClearWay Minnesota with your application.

Please complete the Proposal Check-Off Sheet (page 44) and submit with the Proposal and accompanying documents. By signing the Acknowledgment of Application Terms and Conditions form, you are indicating your understanding of and compliance with all of ClearWay Minnesota's policies. For a full description of these policies and directives, please see pages 52-54.

***Section 2. Evaluation Proposal*** (no longer than 25 pages, double-spaced)

This section should include a detailed description of each of the following components described in the Project Scope Deliverables and Additional Requirements taking into account the Tribal Tobacco Education and Policy Theory of Change and the Evaluation Framework for TTEP Initiative:

- Evaluation Plan that addresses each of the evaluation questions (and may propose additional questions), and clearly specifies:
  - What baseline information will be gathered;
  - The information that will be used to address each question (indicators);
  - The source for that information;
  - Methodology; and
  - Evaluation timeline.
  - It is understood that the evaluation plan in the applicant's proposal will be modified by the successful applicant after a contract is secured; proposal should also explain the process the successful applicant will employ to finalize the evaluation plan.
- Plan for developing stakeholder relationships and maintaining communication with ClearWay Minnesota staff and TTEP grantees.
- Plan for provision of quarterly evaluation progress reports.
- Plan for creation of annual report, including dissemination of evaluation findings to TTEP grantees.
- Methods and analysis plan, including strengths and limitations of chosen methods.
- Implementation work plan for the evaluation, including anticipated personnel responsible and timelines.
- Plan for participation in grantee meetings convened by ClearWay Minnesota Community Development staff.
- Plan for provision of evaluation protocols, instruments and evaluation products to ClearWay Minnesota.
- Plan for coordination of data collection needs for the evaluation with reporting needs of grantees.
- Plan for identifying, reporting and addressing problems or concerns that arise from the evaluation procedures.
- Plan of how evaluator(s) will be flexible and respond to changing situations.

Applicants should demonstrate cultural competence throughout the proposal and work plan.

Additional formatting specifications for this section include the following: tables may be single-spaced; references (bibliography) may be placed in the following section and will not be counted in the page number restriction for this section.

### ***Section 3. References Cited*** (no page limit)

### ***Section 4. Applicant Capacity*** (no longer than six pages, double-spaced.)

Identify the applicant (organization and/or key personnel). If the applicant is a partnership, describe exactly how the partners will relate to each other and the decision-making and accountability structure of the partnership, as well as its legal status. If the applicant is located within a larger organization, describe the relationship to the larger organization, but focus the capacity description of the unit and/or personnel who will be performing the work in this proposal. Please discuss any similar or related previous work that the applicant(s) has done. Do not assume reviewers are familiar with the applicant(s) or organization. Describe the role of all key personnel and their qualifications and capacity to conduct, carry out and support the evaluation proposal you describe.

Applicant capacity information should clearly include evidence of the applicant's:

- Experience evaluating projects with tribal communities
- Experience evaluating community mobilization/policy initiatives
- Experience evaluating commercial tobacco control efforts
- History of successful completion of complex evaluation projects
- Experience in multi-site evaluations
- Experience in qualitative methodology

### ***Section 5. Biographical Summaries***

Attach CV, resume or biographical summary for all key personnel, no longer than four pages per person. Also provide position descriptions of staff to be hired.

### ***Section 6. Budget Form*** (please use the form provided in Appendix F)

Using the budget form (also available online at [www.clearwaymn.org](http://www.clearwaymn.org)), complete each line by filling in either a dollar amount or the sum—**\$0.00**—as appropriate. You may complete a separate budget form for each budget year of the proposed project, or provide one budget form for the entire project. Itemize Other Expenses on the Budget Form for items not listed. Please double-check all column totals and subtotals for accuracy. A hardcopy of all completed budget forms must be submitted with each copy of your application. In addition, **one** copy of all completed budget forms must be provided electronically on a disk.

### ***Section 7. Budget Narrative*** (no longer than eight pages, double-spaced)

Include a detailed Budget Narrative for the project. For special instructions on completing this section, please see page 20. Carefully review the explanation of the budget categories and line items. The explanations of budget line items and justification of your expenditures must match the numbers (totals and subtotals) provided in the Budget Forms submitted in **Section 6** above.

### ***Section 8. Optional Supporting Documentation*** (this section may *not* exceed one inch in height)

The materials included as supporting documentation must be limited to items pertinent to the reviewer's understanding of the organizational capacity to engage in the evaluation described in this Request for Proposals. Examples might include evaluation instruments, protocols, or other information relevant to conducting the evaluation. Appended materials may not be used to circumvent the page limits for the description of the research proposal or organizational capacity.

Please be advised that reviewers are not required to read supporting information; therefore, do not place anything critical to your proposal in this section.

***Section 9. Attachments*** (There are no page limitations on the attachments.)

Since attachments are considered part of the application packet, **each of the eight (8) copies submitted must include the following documents in their entirety.** Please note that the attachments listed below **are not** required for subcontractors. Attachments are only required for the applicant organization.

- a) Letters of support and commitment from individuals and organizations involved in implementing the evaluation project (on appropriate letterhead).
- b) References from individuals or organizations familiar with the applicant's past experience and capacity to implement the proposed evaluation.

***Section 10. Applicant Financial Questionnaire*** (**ONLY ONE COPY** of each of these documents is required. Please use the form provided on page 50.)

As with all forms included in the application, the Applicant Financial Questionnaire form should be thoroughly read, reviewed, completed and signed before including it in the grant application packet submitted to ClearWay Minnesota. The Applicant Financial Questionnaire requires fully stated answers to all questions. If the applicant believes that a question is not applicable, the applicant organization must provide written justification. An Applicant Financial Questionnaire will be considered complete with responses to all questions and listed attachments.

## GENERAL INSTRUCTIONS FOR COMPLETING A BUDGET NARRATIVE

The budget narrative provides a detailed explanation for each line item in the budget form. The budget narrative should include as much detail as necessary to substantiate each expense item:

- A description of the specific line item (what service or item will be purchased);
- How the specific items relate to the project and will be used within the context of the project;
- An explanation of how the amount shown in the budget was calculated; (e.g. number of items times rate per item, or other formula used); and
- Basis for estimates used (for example, based on a bid from a supplier or contractor or historical experience).

### Detailed Instructions for Completing the Budget Narrative

*The following instructions briefly discuss sections of the budget narrative.*

- **Expenses:** The budget narrative provides an explanation for each expense item in the budget form. The following provides information on selected sections of the expenses.
  - **Project Personnel:** For each position listed on the budget form, include in the budget narrative a description of the activities of each position. For each position, indicate what benefits will be provided.
  - **Other Project Costs:**
    - Meeting costs:** Provide information in the budget narrative that explains how the estimated expenses were derived. Only meeting costs that are essential to the project should be included.
    - Travel:** Travel for project personnel should be listed in the budget, along with the basis for the calculation and the purpose of the travel. (NOTE: The automobile mileage reimbursement rate is the IRS-approved rate of .585 cents per mile. Travel to conferences and seminars directly relating to the project will be funded at the sole discretion of ClearWay Minnesota. No funds will be provided for travel related to general staff development unless directly related to the project.
    - Postage & Delivery:** The budget narrative should include a description of how the estimate for postage and delivery was determined. For example: Monthly correspondence with identified key stakeholders, including items such as meeting minutes, agendas, resources calculated at \$XX/mo x X months = \$XX.
    - Subcontractors:** Consultants and subcontractors must be identified in the budget. Itemize every consultant or other subcontractor on the budget form. In the budget narrative, explain how the estimate was derived and refer to the section of the work plan chart and description of the project where the need for each consultant is outlined. For each consultant/contractor, include tasks to be accomplished, estimated number of hours, rate, total expense and deliverables,

either in the description of the project, workplan, or the budget narrative. Agreements with third-parties should be listed and should include a description of the work that will be performed for the project.

**Other Expenses:** Additional line items that cannot be categorized in the Other Project Costs listed above should be described in detail. Please add lines to the budget form as necessary to detail these other expenses. Provide calculations showing how costs were determined.

## APPENDICES

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**ClearWay Minnesota  
Tribal Tobacco Education and Policy Theory of Change**

ClearWay Minnesota is undertaking the Tribal Tobacco Education and Policy (TTEP) initiative to encourage smoke-free practices and policies in Minnesota's tribal communities by creating support and capacity for such work through community education and mobilization. The TTEP initiative will fund up to five grantees beginning in 2008 to initiate this effort at the reservation level. In addition, ClearWay Minnesota will oversee provision of resources to provide technical assistance, support and cross-pollination across the sites.

**Background of the TTEP initiative**

On October 1, 2007, Minnesota adopted the Freedom to Breathe Act of 2007, a statewide smoke-free law, for all indoor workplaces in Minnesota. In states where they have been adopted, smoke-free policies have significantly improved public health. In Minnesota alone, an estimated 581 lives are lost to secondhand smoke each year and 66,000 people are treated for illnesses and disease caused as a result of exposure to secondhand smoke (Waters, et al., 2007). The Freedom to Breathe Act of 2007 provides secondhand smoke protections to all workers, including restaurant and bar workers. These workers have been among the most exposed and least protected from secondhand smoke, which is known to cause cancer and contains 250 toxic chemicals including arsenic, cadmium, formaldehyde, lead and benzene (National Cancer Institute, 2001; National Toxicology Program, 2005).

Minnesota's Freedom to Breathe Act does not apply to Minnesota's American Indian Nations. American Indian Nations are sovereign nations and thus not covered by the new law. Nonsmokers exposed to secondhand smoke at work in places like bars, restaurants, pool halls and bowling alleys have an increased risk of lung cancer and heart disease (U.S. Department of Health and Human Services, 2006). Current heating, ventilating and air conditioning systems alone cannot eliminate exposure to secondhand smoke in nonsmoking areas (Hyland, et al., 2004). Thus, people living and working on Indian reservations remain exposed to secondhand smoke in public places and are at a greater risk of commercial tobacco-related illnesses, cancers and deaths than people living and working elsewhere in Minnesota.

This is especially troublesome in light of the disproportionate impact of commercial tobacco within Minnesota's American Indian Nations. In Minnesota, four of the five leading causes of death among American Indians—cancer, coronary heart disease, stroke and lower respiratory disease—are related to commercial tobacco use (Great Lakes EpiCenter, 2004). In the Northern Plains area, which includes Minnesota, 48 percent of American Indian men and 40 percent of American Indian women report current cigarette smoking (Denny, et al., 2003). According to the 2008 Minnesota Adult Tobacco Survey, the overall rate for all adult Minnesotans is 17 percent (ClearWay Minnesota et al., 2008).

Health conditions caused by secondhand smoke cost Minnesotans \$215.7 million each year (Waters, et al., 2007). Establishing smoke-free policies helps people quit, and, according to national survey results, seven out of 10 American adult smokers want to quit (Cigarette smoking among adults, United States, 2000). Smoke-free workplaces reduce total cigarette consumption per employee by 29 percent (Fichtenberg, et al., 2002).

American Indian public health advocates have begun to address commercial tobacco use and exposure in the U.S. The National Congress of American Indians (NCAI) supports reducing commercial tobacco use among American Indian and Alaska Native communities and reducing exposure to secondhand smoke (NCAI resolution #ABQ-03-050, November 21, 2003). The National Tribal Tobacco Prevention Network assists tribal communities in their efforts to reduce commercial tobacco use and exposure to secondhand smoke. The Minnesota Chippewa Tribe has adopted a resolution supporting efforts to reduce the harm and diseases caused by commercial tobacco products and to encourage use of indigenous sacred tobacco according to teachings for ceremonial offerings and cultural uses (Minnesota Chippewa Tribe Resolution #74-05, February 17, 2005).

ClearWay Minnesota recognizes the sovereign rights of American Indian Nations as secured under treaties and agreements, as well as the unique indigenous cultural and ceremonial tobacco traditions of American Indians and seeks to address health disparities that stem from commercial tobacco use and exposure to secondhand smoke. In order to support public health efforts to reduce the harms caused by use of and exposure to secondhand smoke, ClearWay Minnesota is initiating the Tribal Tobacco Education and Policy initiative, to 1) support indigenous efforts to educate tribal government leaders, community members, traditional and spiritual leaders, and elders on the dangers of commercial tobacco use and secondhand smoke and support community-level policy advocacy activities to advance comprehensive smoke-free policies on tribal lands, and to 2) provide resources to make available training and technical assistance to the grant recipients in order to support their work and develop grantees' capacity and develop the skills necessary to carry out efforts to support comprehensive, effective policies and strategies in Minnesota's American Indian Nations.

### **Theory of Change (TOC)**

The Tribal Tobacco Education and Policy (TTEP) initiative builds on past research indicating the effectiveness of community education and mobilization efforts to increase awareness of the harms of commercial tobacco use and exposure and support for smoke-free policies. In addition to the experiences of non-tribal groups to address commercial tobacco use, the TTEP initiative recognizes the complexities of addressing tobacco among American Indian Nations, in which traditional tobacco customs and use were suppressed by U.S. governmental policies of assimilation and penalizing traditional tobacco customs.

### **Problem**

Minnesota tribal communities are disproportionately impacted by health problems caused by use of and exposure to commercial tobacco. Rates of current tobacco use are higher in Minnesota tribal communities. Without adequate policies, people who live and work in businesses on reservations are exposed to secondhand smoke.

### **Theory of Change**

- Tribal-based efforts, adequately funded and staffed, will educate tribal government leaders, community members, traditional and spiritual leaders, and elders on the dangers and inherent harms of the use of and exposure to commercial tobacco, the sacred history of traditional tobacco among American Indians, efforts of other American Indian Nations

to reduce secondhand smoke and commercial tobacco use, and the importance of changing the norms within the community around commercial tobacco use;

- By so doing, community support will be mobilized to provide community access at all tribal events to information on commercial tobacco, restore the traditions of sacred tobacco use, create an environment with norms that support smoke-free public spaces, viable smoke-free businesses where employees and customers are not exposed to the dangers of secondhand smoke, and tribal community practices and policies are supported by and reflect the values of tribal governmental leaders, community members, spiritual and traditional leaders, and elders; and
- These policies will lead to reduced use of commercial tobacco and reduced exposure to secondhand smoke, restoration of traditional tobacco values among tribal communities, and reduced death and disease caused by commercial tobacco.

### **Six core elements of the Theory of Change for TTEP**

The TTEP Theory of Change has six core elements.

#### **1. Tribal communities acknowledge and restore traditional/sacred tobacco traditions while exposing the role governmental policies and commercial tobacco interests have played in suppressing sacred traditions.**

***TOC: Commercial tobacco promotion and U.S. governmental policies of discouraging, suppressing and penalizing traditional tobacco use through regulations and policies involuntarily imposed on tribal communities have resulted in many American Indians growing up in a society that does not understand traditional use. Reconnecting to the sacred tobacco traditions (such as traditional tobacco community gardens and use of traditional tobacco and indigenous plants in offerings, drum and dance, ceremonies and learning groups) exposes the commercial exploitation of tobacco and reconnects tribal community members to values associated with sacred use. By modeling and restoring traditional sacred tobacco among American Indian communities, commercial use will be discredited.***

Tobacco is a complex substance among American Indians. Non-tribal tobacco control efforts in the United States (and internationally) in recent decades have focused on use of tobacco that is sold commercially. These efforts are somewhat straightforward, addressing the negative health impacts associated with commercial tobacco use, the harms caused by secondhand smoke (SHS), tobacco industry targeting of the youth market and industry behavior to conceal or dismiss harmful effects of their products (CDC, 2007). In American Indian communities, tobacco control efforts are more complex and it is necessary to distinguish between commercial tobacco and traditional or sacred tobacco. Before attempting to address smoking-related harms in American Indian communities, it is essential to understand the historical role of traditional, sacred tobacco.

Tobacco has a rich history in tribal communities. American Indians have historically used tobacco in a spiritual, sacred manner. Traditional tobacco use was an integral part of native ceremonies, rituals and daily life (Poupart et al., 2006; Vollin, 2008; Struthers & Hodge, 2008). United States policies in the 20<sup>th</sup> century to assimilate Indians into “dominant” white culture discouraged and prohibited traditional tobacco use. At the same time, commercial tobacco promotion has targeted American Indians. These two factors have discouraged or suppressed

traditional use while encouraging commercial tobacco use (Poupart et al., 2006). While it is estimated that American Indians have used tobacco in a sacred way for over 18,000 years (NTTPN, 2008a), many Indians have grown up in a society that does not understand traditional tobacco.

Cultivation of tobacco and indigenous plants in traditional tobacco community gardens is part of Native American heritage. Tobacco and indigenous plants are used as offerings to elders, before eating, as gifts, part of ceremonies, drum and dance, and learning groups (Poupart et al., 2006; Vollin, 2008; Struthers & Hodge, 2008). Traditional tobacco use emphasizes culture, relationships and respect for customs and heritage; commercial tobacco use does none of those things and in addition is a leading cause of disease and death among American Indians. Because of this, efforts have increased to restore traditional tobacco use and values among tribal communities. Efforts to educate tribal members about traditional sacred use are seen as a way of reclaiming their heritage and create a sharp contrast between traditional and commercial tobacco (NCIDC, 2008; Struthers & Hodges, 2004).

## **2. Tribal government leaders, community members, traditional and spiritual leaders, and elders are knowledgeable of the role of commercial tobacco industry marketing and harms caused by commercial tobacco use.**

***TOC: The commercial tobacco industry aggressively promotes its products to American Indians; commercial tobacco causes death and disease. Through education about industry marketing tactics and the harms of commercial tobacco, tribal communities will develop understanding of the harms caused by commercial tobacco use and become more supportive of efforts to reduce advertising and availability, policies that restrict public use of commercial tobacco and efforts to reduce commercial tobacco use.***

Advertising and promotional expenditures by U.S. cigarette manufacturers was \$13.11 billion in 2005. The largest single category of expenditures was price discounts paid to cigarette retailers or wholesalers in order to reduce the price of cigarettes to consumers. This one category accounted for \$9.78 billion (74.6 percent of all expenditures) in 2005 (U.S. Federal Trade Commission, 2007). The commercial tobacco industry aggressively markets to American Indian communities. In addition, the industry has used American Indian images to brand and market cigarette products, both within and outside of Indian communities, provides financial support to cultural events such as pow wows and rodeos, and distributes free promotional items with company logos (NTTPN, 2008b). Favorable pricing mechanisms help keep commercial tobacco products affordable. Easy availability, affordable prices and intense marketing have permeated tribal communities.

Education of tribal governments, community members, traditional and spiritual leaders, and elders must include exposing the role and practices of the commercial tobacco industry. The tribal community must understand the significant role that advertising, low prices and use of American Indian images has on commercial tobacco use and its related harm to community members through increased disease and death. Restricting areas where commercial tobacco use is permitted will reduce exposure to secondhand smoke; research has shown correlations between these efforts and decreases in smoking-related harms.

Education also should include the harms caused by the use of commercial tobacco. American Indian communities are disproportionately impacted by commercial tobacco. Smoking rates are

disproportionately higher among American Indians than for the state of Minnesota and four of the five leading causes of death among American Indians—cancer, coronary heart disease, stroke and lower respiratory disease—are related to commercial tobacco use (Great Lakes EpiCenter, 2004).

Understanding of the consequences of commercial tobacco use and the history of exploitation by the commercial tobacco industry increases support for practices that restrict public use of commercial tobacco products. Public support for such practices increases overall willingness to embrace and comply with such policies.

**3. TTEP initiatives will be sufficiently resourced to provide ongoing sustained efforts and to support trained professional practitioners within American Indian Nations to develop culturally appropriate strategies and activities.**

***TOC: Tribal communities have insufficient capacity and resources to initiate and sustain commercial tobacco prevention efforts. By supporting, sustaining and enhancing the capacity of staff working within tribal settings, grantees will develop the necessary skills and networks to counter the enormous resources of the commercial tobacco industry.***

The commercial tobacco industry is able to devote large amounts of resources to the promotion of its products. Countering these efforts requires a sustained effort with adequate staff support that is trained and capable in community mobilization, commercial tobacco prevention strategies, an understanding of the harms and risks posed by commercial tobacco use, public health knowledge and familiarity with American Indian history and communities. Research shows that the more states spend on comprehensive tobacco control programs, the greater the reductions in smoking—and the longer states invest in such programs, the greater and faster the impact. (CDC, 2007, p. 9)

ClearWay Minnesota will play a key role in this effort by providing resources for culturally competent training and technical assistance to grantees. Experience in tobacco prevention strategies has demonstrated that a trained workforce is essential to implementing effective tobacco control initiatives. Staff competencies are essential to community organizing efforts. The community organizer position should be resourced at a sufficient number of hours per week and practitioners should have extensive experience and training in community mobilization methods (Bosma et al., 2005; Blaine et al., 1997; Bobo et al., 2001). According to the Centers for Disease Control and Prevention, “Best practices dictate allocating funds for establishing and sustaining internal capacity with experienced staff and developing an infrastructure with partner organizations and other programs to oversee and implement evidence-based programs.” (CDC, 2007, p. 27).

The Centers for Disease Control and Prevention states that comprehensive commercial tobacco control efforts provide culturally-competent technical assistance and training to grantees and partners (CDC, 2007, p. 24). The CDC recognizes that different populations experience unique harms related to commercial tobacco; thus efforts must be designed specifically to address the specific needs, experiences, risks and assets, within each individual community, particularly those communities that are disproportionately impacted by commercial tobacco-related harms.

The CDC recommends that individual local efforts, such as local/tribal TTEP grantees, not operate in silos, but rather be integrated through networks, coalitions and/or communication to enhance capacity and impact. Multi-site research projects have demonstrated the importance of bringing together staff from dispersed intervention sites for regularly trainings and information sharing. Community organizers benefit from shared problem solving, cross-pollination of ideas, receiving updated information and training, and technical assistance (Bosma et al., 2005; Blaine et al., 1997; Bosma et al., 2003).

ClearWay Minnesota will provide resources for technical assistance and training opportunities that bring TTEP grantees together to not only receive training but create opportunities to network with each other, facilitate cross-pollination of ideas and foster supportive relationships with other tribal organizations. Training and technical assistance will emphasize evidence-based strategies and best practices to reduce use of and exposure to commercial tobacco to enhance the capacity and skill of the individual TTEP grantees staff. Training opportunities will be sought that can maximize the opportunity for grantees to establish relationships with other organizations, to facilitate cooperation, communication and learning. ClearWay Minnesota's training providers will interact with and include efforts funded through the Minnesota Department of Public Health in tribal communities, to avoid duplication of efforts, utilize resources more effectively and expand the networks of prevention practitioners working on commercial tobacco issues in tribal settings.

Providing the mechanisms to ensure intentional training, technical assistance and networking, the TTEP initiative will ensure that each grantee is served by a skilled and supported workforce, thus increasing their ability to sustain activity and achieve successful implementation.

**4. Tribal community environments will support non-use of commercial tobacco, supported by smoke-free policies and practices, compliance with those policies and public areas that are smoke-free.**

***TOC: High smoking rates among American Indians, community norms that tolerate use of and exposure to secondhand smoke, lack of or insufficient smoke-free policies and few resolutions supporting smoke-free air and inadequate resources to ensure compliance with potential policies contribute to a community environment that tolerates commercial tobacco use. Changing the tribal community environment (media, policy, norms and compliance) is necessary to reduce commercial tobacco use and exposure to secondhand smoke; community attitudes/behavior and policies that support non-use of commercial tobacco are necessary for effective commercial tobacco control and use reduction.***

Minnesota's American Indians are disproportionately impacted by commercial tobacco harms. In Minnesota, four of the five leading causes of death among American Indians—cancer, coronary heart disease, stroke and lower respiratory disease—are related to commercial tobacco use (Great Lakes EpiCenter, 2004). In the Northern Plains area, which includes Minnesota, 48 percent of American Indian men and 40 percent of American Indian women report current cigarette smoking (Denny, et al., 2003).

Very few tribal nations have adopted smoke-free policies and Minnesota's Freedom to Breathe Act of 2007 does not apply to tribal nations. Resources among tribal nations are limited (Poupart

et al., 2006), meaning that few resources are available for ensuring compliance with any new policies that may be considered or passed.

Comprehensive prevention efforts include efforts aimed at changing the community environment (CDC, 2007) and changing the regulatory landscape to permit policy innovations (Institute of Medicine, 2007). Further, comprehensive approaches “optimize synergy from applying a mix of educational, clinical, regulatory, economic and social strategies” (CDC, 2007, p. 12). Comprehensive approaches eliminate exposure to secondhand smoke and identify and eliminate tobacco-related disparities among population groups. Numerous initiatives have demonstrated the effectiveness of environmental approaches that contribute to reduced commercial tobacco use and exposure. The American Legacy Foundation has implemented youth-led social marketing campaigns. Americans for Nonsmokers’ Rights, research from the Robert Wood Johnson Foundation, the American Cancer Society, the American Heart Association and American Lung Association, the Tobacco Control Legal Consortium, the Tobacco Technical Assistance Consortium, the Campaign for Tobacco Free-Kids all provide expertise, evidence, programming and/or support and assistance for implementation of commercial tobacco policies (CDC, 2007). A large body of evidence has demonstrated the importance of environmental efforts to address harms related to commercial tobacco use. The experience of these groups within American Indian communities is extremely limited; thus tribal communities are been under-served by public health advocacy efforts to change community norms. The TTEP initiative will address that gap in services.

Local community action is essential to ensure the success of tobacco control interventions (CDC, 2007). The commercial tobacco industry fiercely opposes efforts to curtail, reduce, or control use, sales and promotion of commercial tobacco. According to the most recent figures compiled by Common Cause, the tobacco industry spent more than \$18 million on professional lobbying firms and in-house lobbyists in 2006. That amounts to more than \$135,000 for every day Congress was in session. In 2005, the tobacco industry spent more than \$20 million on professional lobbying firms and in-house lobbyists (Common Cause, 2007). Thus, concerted efforts to change policy are critical.

## **5. Businesses and casinos in tribal communities are successful *and* smoke-free, and are supported by the community.**

***TOC: Some businesses benefit economically from the sale of commercial tobacco and are concerned about the loss of business if smoke-free policies are enacted; this is especially a concern in some tribal communities where casinos are an important source of revenue. When businesses feel threatened by loss of revenue, they may oppose commercial tobacco control efforts; thus effective efforts should include education of businesses and disincentives for businesses so that businesses remain economically viable when going smoke-free.***

Reducing use and sales of commercial tobacco is part of a comprehensive commercial tobacco prevention approach. Businesses are often concerned about the potential loss of revenue from restrictions on sales of cigarettes or smoke-free policies. This is especially a concern in tribal communities, where casinos are an important part of the local economy, providing both jobs and tribal revenue for Minnesota American Indian Nations. Recent research in Minnesota showed that casino managers are concerned about the health impacts from commercial tobacco use, but are concerned about enacting smoke-free policies. There has been some discussion among casino

managers about smoke-free laws, and they believe there is some level of support for such policies. However, concerns about how such a move would impact the fragile economy of tribal communities is a barrier to moving forward (Day et al., 2007).

Businesses are an important stakeholder and contributor in any community, thus it is important to take their concerns into consideration. Such concerns may be unfounded, as many studies have shown either no impact or positive impact on businesses sales and revenue after going smoke-free. State revenues from gaming in Delaware increased by \$5.7 million, or 3 percent, one year after implementation of its smoke-free law (Alamar et al., 2004). A Harvard University study of Massachusetts found that smoke-free policies have not impacted keno sales in that state, which enacted its smoke-free law in 2004 (Connolly et al., 2005).

A study of the impact of Florida's smoke-free law showed that restaurant business increased 7 percent one year after the law went into effect (Dai, 2004). In New York state, the number of bars increased 3.5 percent between 2002 and 2004, even though the state's smoke-free policy went into effect in 2003 (RTI, 2004). Sales at bars and restaurants in California increased as well as the number of workers they employed since that state's smoke-free law was passed in 1994 (California State Board of Equalization, 2003).

The American Association for Non-Smokers' Rights conducted an extensive assessment of studies that have looked at the impact of smoke-free policies on businesses, and found many examples of local-level smoke-free policies which either had a positive effect or did not cause a reduction in business.

In addition to the possibility that smoke-free policies might benefit business and increase revenues, rather than cause lost business, smoke-free laws are associated with increased health benefits to employees who work in those businesses. An analysis of smoke-free policies has shown that they decrease respiratory problems among workers and are associated with decreases in death due to heart disease (Pierce & Leon, 2008).

## **6. Tribal governments, community members, traditional and spiritual leaders, and elders embrace and support smoke-free policies and policies that restrict use of commercial tobacco.**

***TOC: Very few tribal governments have adopted commercial smoke-free policies, and such policies have not been widely embraced in tribal communities. Tribal governments, community members, traditional and spiritual leaders and elders must have access to health promotion educational activities and be engaged in the process of comprehensive smoke-free and tobacco control policy development within tribal governments.***

Few tribal communities have adopted policies regulating and restricting commercial tobacco sales and use. High smoking rates, suppression of traditional use, past policies and systems that encouraged commercial tobacco use, and limited resources have impeded progress in policy development. Policy work in tribal settings takes place with a historical backdrop of external mandates from U.S. governmental agencies which did not always benefit American Indians. Insufficient resources to sustain efforts and hire staff have hindered progress.

Comprehensive tobacco efforts should include policies that support smoke-free spaces and regulate sales and availability of commercial tobacco. “Effective community programs involve and influence people in their homes, work sites, schools and places of worship, places of entertainment, health care settings, civic organizations and other public places. Changing policies that can influence societal organizations, systems and networks necessitates the involvement of community partners” (CDC, 2007, p. 23).

Elders are concerned about commercial tobacco use. Education and policy efforts need to include all members of tribal communities. Education should be community-wide and reach schools, worksites, festivals and events. Smoke-free areas should be created in community buildings, worksites and at events. Traditional teachings should be used to share and model traditional tobacco use. (Rhodes & Poupart, 2006).

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### **Evaluation Framework for Tribal Tobacco Education and Policy (TTEP) Grantees**

The Tribal Tobacco Education and Policy initiative requires an evaluation framework that takes into consideration the complexities of American Indian communities' history and past experience with research and evaluation, the complex and sometime ambiguous nature of community mobilization and policy work, and the progress of building capacity within the grantee organizations. Knowledge and experience of the evaluator will be extremely important in this setting, as well as the interpersonal skills and connections to American Indian communities to develop trusting, productive relationships with the evaluands.

Two works contribute to the creation of this evaluation framework. The first is the work of Fixsen and colleagues (2005) which develops a framework of stages of implementation process. The second is Bosma's (2005) work to create an evaluation framework for community organizing efforts.

In recent years, research has begun to examine the complexities of implementing research-based practices into practitioner settings. Although programs are researched and developed with rigor, implementation in real world settings often lacks the same attention to detail and fidelity as the original research. Practitioners must learn new methods or programs when undertaking a new initiative and often struggle with implementation. Fixsen and colleagues have developed a framework of the stages of implementation process that lend meaning to the process of developing and implementing a new program. As organizations are increasingly required to undertake science-based programs or best practices, Fixsen's framework of stages is especially useful to understanding the early stages of implementation progress, or lack of progress.

This framework is useful for examining the TTEP grantees as it provides a basis to examine and understand their progress. The TTEP grantees are analogous to organizations implementing a new science-based program. The TTEP initiatives require tribal grantees to undertake an education and policy approach that is new to them. It is realistic to expect that grantees will experience some challenges as they begin implementation. Fixsen's framework also allows a basis for understanding each grantee, even if they are at different levels of implementation.

Bosma developed an evaluation framework for community mobilization efforts. This framework identifies the key components of progress that should be examined. Community mobilization and policy work require evaluation that examines the processes and progress of the work, and that place policy progress and achievements in the context of the larger community and setting. Efforts that examine only passage of a policy fail to provide sufficient information. For example, a community may easily pass a policy with minimal effort, but if that policy is not widely supported or does not address key community concerns, it is of limited value. Conversely, a community may fall short of passing a policy, but have made great progress in mobilizing community members and support, developing community leadership, ownership and awareness of an issue, and actually achieved something of value even if it is not represented by a policy on the books. The *process* of community mobilization, education and policy efforts is as much part of the outcome as passed policies and eventual reductions in commercial tobacco use and related problems.

The TTEP evaluation framework should incorporate these two frameworks to assess the grantees. The next pages describe the key components for the evaluation framework, followed by a more detailed description of Fixsen's stages of implementation process as related to the TTEP initiative.

## **Evaluation Purpose**

The TTEP evaluation will have several purposes:

- Object improvement, to provide information and feedback to both grantees and ClearWay Minnesota program staff to support the work and move it forward effectively;
- Clarifying understanding, to better understand the community mobilization and policy process within tribal communities in order to better understand what efforts help move policy work forward in American Indian Nations; and
- Accountability, both by grantees to ClearWay Minnesota and by ClearWay Minnesota to its mission, to ensure that resources are being used for their intended purposes.

## **Components of the TTEP Evaluation Framework**

The evaluation framework for the Tribal Tobacco Education and Policy initiative includes the following nine components.

### **1. Evaluation expertise and capacity, which is threefold:**

- An evaluation team that includes principals from American Indian communities or at a minimum evaluators who have a record of establishing trusting, productive, respectful relationships evaluating projects in American Indian communities
- Evaluation expertise and capacity, including expertise in methodology and independently planning, carrying out and conducting evaluations, and the organizational capacity to carry out the work
- Expertise and experience evaluating coalitions and/or community mobilization efforts that address commercial tobacco issues

*Opportunity/Challenge:* Often, selection processes end up prioritizing one qualification over others. Due to the number of available evaluators and the current make-up of the evaluation field, it may be difficult to locate American Indian evaluators who are available within the time frame or geographic area required by a project. Those hiring evaluators may feel they need to prioritize one type of expertise over another. For example, a decision may be made to hire an evaluation team with sufficient methodology expertise, but insufficient community expertise, or one with deep community expertise but insufficient methodology expertise. Both types of expertise are compromised if the evaluation team is lacking sufficient community mobilization/coalition expertise.

It is important to assemble an evaluation team that pulls together all three types of expertise. If one firm cannot fulfill this requirement, it may be necessary to look for more creative approaches to assemble an evaluation team, one which may also create the opportunity to enhance types of evaluation capacity among multiple principals and bring multiple types of knowledge to the evaluation team.

A more traditional researcher from an academic setting might be able to learn a great deal from an American Indian evaluator, and vice versa. Both could lend credibility to their more traditional audiences by partnering with each other.

## **2. Approaches and methods to ensure development of stakeholder relationships and trust**

The evaluation team must plan to allow sufficient time to establish trust and relationships with TTEP grantees and tribal communities. Even the most skilled evaluators can have difficulty establishing trust in the communities they work with and this can impact the validity of results. Political considerations are part of any evaluation. In communities that have often felt disenfranchised or exploited by evaluation and research, these issues are paramount. The “personal factor”—the evaluators’ trusting relationship with the evaluand—is essential for effective evaluation of the TTEP initiative (Patton, 1997).

The evaluation team must be able to demonstrate an understanding of the importance of these relationships and capacity and sufficient time to do so. This goes far beyond establishing a blue ribbon advisory committee that comes to an occasional meeting that meets a handful of times throughout the project. Rather, it is necessary for the evaluators to be present and be known in the communities. The “helicopter approach” (Gray et al., 2008) will not lead to the best evaluation.

The evaluation team should also balance methodology and data collection needs with the burden that evaluation work imposes on the grantees. Methods choices should be culturally respectful and respect the time commitment they require of grantees. While grantees have some time allocated to evaluation work, the need for information should be balanced with realistic expectations of grantees’ time and resources.

Additional benefits to establishing partnerships and relationships in the community for the evaluation are that it will contribute to the evaluation’s quality, as respondents will provide higher quality information (or be less likely to withhold information) if they feel trust and confidence in the evaluator, there is more likelihood that the evaluation results will be viewed credibly and be used, and this participation will help build the evaluation capacity of grantees and their communities (Patton, 1997).

## **3. Organizational context of TTEP grantees (the organizations that are the recipients of TTEP grants)**

The organizational context of a project influences a project’s progress. A supportive organization with no restrictions on policy, or with past experience in commercial tobacco education, policy work, mobilization and organizing efforts can be expected to implement elements more quickly than an organization unfamiliar with the concepts of the grant. The type of support for and management of a project may explain some outcomes. For example, does an organization find other means of support at times when it is necessary (such as clerical or administrative help with logistics) that facilitate the coordinator’s ability to do more? Or, is the coordinator pulled off the TTEP initiative to help with other projects, or unsupported in controversial efforts (such as being “pulled back” when a measure encounters some resistance). Does the organization overall support smoke-free initiatives and see smoke-free work as a core value? Or does the coordinator

have to spend time convincing the organization management? Is this a primary goal for an organization, or one of many issues that the organization is responsible for?

#### **4. TTEP Coordinator position**

The experience of the TTEP coordinator will impact the pace at which a project can start. A coordinator with commercial tobacco and smoke-free policy experience could be expected to make progress more quickly than one who is new to such concepts. Experience in mobilization, organizing meetings, educating, policy work and pre-existing relationships and/or experience can all impact the ability of the coordinator to move the project forward. Some backgrounds and skills may not be well suited to such work; those who are uncomfortable with conflict or uncertain about the value of smoke-free policies will have greater difficulty succeeding. The amount of time devoted to the position is also important, both in terms of number of hours (percentage of FTE effort) as well as ability to work evening and/or weekend hours to accommodate community members' schedules and availability.

#### **5. Process evaluation data**

Enacting smoke-free policies is a goal of the TTEP initiative, but just as important as policy passage is the *process* of engaging the community in these efforts. Successful community mobilization efforts develop leadership, community awareness and support, and create movements that engage community members. The community mobilization process is thus not only a strategy, but an outcome in itself. As such, it is essential that the evaluation assess the level of activity that takes place around TTEP goals.

The sheer quantity and amount of activities are important to document and examine. This includes community contacts, sectors contacted, numbers of people involved, numbers of educational activities, outreach efforts and types to tribal government leaders and tribal elders, meeting minutes and records, agendas and any evidence of progress. This type of information may vary from grantee to grantee, depending on the form their work takes.

#### **6. Policy progress**

While enacted policies are the goal, policy work unfolds differently in each community, and the unfolding policy progress can be an example of change within a community. Progress toward enactment of policies, engagement of the community in policy work, as well as actual laws passed are all part of a community's progress in the policy arena. Policy work can be a long-term process often requiring several years. Thus, *policy progress* should be monitored, not just enacted policies. This should begin with a baseline assessment of current policy on record, and any previous attempts to pass policies. Each grantee is likely to have different outcomes that indicate progress ("success") based on the conditions within their community and their starting point in their own reservation. Part of the policy baseline should include current attitudes of tribal government leaders and elders about smoke-free policies and commercial tobacco restrictions. Progress in a community that is very resistant and has done no commercial tobacco or SHS policy work will look different than progress in a community that has already indicated receptivity to policies.

Policy work should also be cognizant of changing conditions. Policy progress may be derailed when a new tribal government is elected, for example, if the process of education and mobilizing support needs to begin again. Likewise, identifying a “champion” among a casino’s management might create opportunities for policy progress that are not easily replicated elsewhere. Noting these changing conditions is essential to an evaluation that assesses the full picture. Passing a policy is not always the most useful measure of success in projects.

## **7. Individual outcomes**

The coordinator is not the only person who should be involved in these efforts—eventually a team of committed community members should be engaged in policy work. Participants in a community mobilization effort often describe the experience as transformative (Walker-Estrada, 2003; Alinsky, 1971; Hart, 2001). The act of realizing one’s own power and no longer feeling helpless or hopeless is a key individual impact of the community organizing process, leading to leadership development and community support. Assessing the leadership development among community members is necessary and evaluation should include identifying the roles and levels of involvement that community members take on, the amount of their participation and their buy-in and commitment to smoke-free policies.

## **8. Community outcomes**

In addition to policy progress, community outcomes should look at the influence of the groups that are organized, level of awareness of activity, changes in community norms and practices, and other indicators that support for smoke-free public spaces is increasing. Community mobilization is a public activity designed to change the norms of the community (Blaine, 1997) so community-level awareness should be assessed to determine the awareness and reach of the TTEP initiative.

## **9. Long-term outcomes**

The TTEP initiatives seek to ultimately pass smoke-free policies in tribal communities. It is understood that this policy work has a longer term goal to reduce the harms related to commercial tobacco, such as decreased use and reductions in smoking-related disease and death, but assessing such outcomes is *not* part of the TTEP evaluation framework or theory of change. If a policy is passed at the end of a grant period, it is not realistic to think use rates would change simultaneously. The TTEP initiative looks to change the community environment around commercial tobacco use and the evaluation will focus on outcomes related to the community mobilization and policy processes. ClearWay Minnesota has funded other research to look at prevalence of commercial tobacco use and while such information may be useful in informing TTEP grantees of the severity of the problem within their nations, evaluation and research in that area is outside the scope of this effort and will not be part of this evaluation.

## Applying Fixsen's Stages of Implementation Process to the TTEP Initiative

The ClearWay Minnesota TTEP initiative is designed to encourage tribal communities to adopt a Coalition/mobilization approach to address commercial tobacco use and related problems among tribal communities. While it is understood that each grantee will require some flexibility to adapt and customize implementation to their own tribal settings, there are required elements of program implementation that ClearWay Minnesota will require of grantees, based on previous research on best practices. Thus, to a large extent, grantees are taking research to practice. Fixsen and colleagues have examined the challenges of taking research done in hothouse settings to the field, and identified six stages of implementation. These stages, outlined below, can be useful for framing expectations of grantees, both for project management and for evaluation.

### Fixsen et al (2005) Stages of Implementation Process

1. *Exploration and adoption:* In this stage, the adopting organization explores need for the initiative, the organization/community's readiness and possible programs that can address those needs. Organizations experience varying levels of interaction with the purveyors (in this case ClearWay Minnesota as the sponsor of TTEP) to create stakeholder buy-in, assess fit and prepare to organize staffing and resources.

*Current and potential tribal grantees and ClearWay Minnesota are in this process right now.* Organizations are making decisions about whether or not to apply for the grants. ClearWay Minnesota staff are recruiting new TTEP grantees. There may be confusion and uncertainty about expectations in this phase (for both parties) as organizations make decisions about whether or not to apply and ClearWay Minnesota makes decisions about funding. There may be areas where the "fit" is lacking, particularly around stakeholder buy in beyond the organization (but also within the organization).

2. *Installation:* In this stage, organizations have secured funding, begun to allocate human resources, adopt internal organization policy, are beginning initial referrals (outreach in the case of TTEP), and are establishing reporting mechanisms and outcome expectations. Staff, space, equipment and start-up costs are in place.

*At least two grants are in this phase.* Organizations will be hiring, clarifying reporting expectations and requirements with ClearWay Minnesota and evaluation is starting up.

3. *Initial Implementation:* This stage requires change at all levels—"initial awkward stage" (Joyce and Showers, 2002)—and can be a challenging time: organizations may fear change, suffer from inertia, see status quo resistance to changing and experience the difficulty of doing something new; programs sometimes end at this point due to challenges. A grantee might decide to discontinue the program rather than work through the frustrations and challenges.

*Understanding there will be challenges in this phase is useful for ClearWay Minnesota and evaluators:* TTEP grantees will be learning this new approach, identifying the conditions that will support and hinder their progress, potentially facing resistance within their organizations and communities to initiating policies and addressing tribal governments, the economic and political challenges of attempting to initiate policies in

casinos, the very public nature of such work, encountering support and resistance from tribal governments and tribal elders. It can be expected during this period of time that TTEP grantees are at times confused or uncertain about the direction to take, or have difficulty focusing on policy approaches or struggle with the community organizing approach. ClearWay Minnesota may experience challenges as the funder as to when to require and direct, effective communication with tribal communities, being an outsider even as they are the funder, and cultural challenges.

4. *Full Operation:* At this stage, the program will be integrated into practitioner, organization and community practices, policies and procedures. The initiative is fully operational: staffed, client loads at capacity (outreach and community engagement for TTEP), are “doing business,” are implementing according to criteria. Organizations, staff and some community members have developed proficiency/skill, there is manager support, and many in the community have adopted the program; doing this type of work is accepted as practice, fidelity measures are above criterion level most of the time; implementation site nears outcomes of the intervention.

*This is the goal, but may not be realized for some time.* Expectations around full operation are an important consideration for administration and evaluation. It is important to look at the factors that may hinder full operation. While this should not be an “excuse” to delay implementation or lower expectations for results, it is also an opportunity for learning lessons and examining what factors it took to get to the stage of full operation. If one grantee gets to this point more quickly, what factors enabled that process? Likewise, what factors prevented another grantee from getting to this stage? The stage of full operation should not be confused with installation, although it may be a common tendency to do so—merely getting the grant and hiring staff do not automatically equate to operationalizing and internalizing the core elements of the grant requirements.

5. *Innovation:* In this stage, grantees are confident and have enough experience that new ideas are tried. Innovation should not be confused with fidelity “drift” or avoidance of implementing key elements of the program. Rather, grantees are developing experience from which they can try new things and these innovations are fed back into the program. Winter and Szulaski (2001) observed adaptations after implementation w/fidelity were more effective than modifications made before implementing with fidelity.

*During the initial evaluation period, the innovation stage as described by Fixsen is not anticipated.* Innovation in this context is not the same as the flexibility that is built into the grant requirements that allows communities to make their plans and work community specific.

6. *Sustainability:* In the sixth stage, the efforts are well established within the grantee organizations; they can handle staff turnovers, changes in partners, leadership turnover and funding streams are diversified and enhanced and can withstand change.

Ultimately, ClearWay Minnesota theorizes that the tribal initiatives grantees are able to create community support and norms that value non-use of commercial tobacco in public spaces, and adopt and sustain policies to support non-commercial tobacco use. In this stage, grantees will have developed an ongoing organizational commitment to supporting,

establishing and maintaining secondhand smoke policies that reduce commercial tobacco use in public spaces. This stage may include diversification of funding sources, strong tribal government support and confidence among grantees to seek that support. Grantees have capacity to address these issues, and may be modeling and sharing their strategies with other tribal communities.

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**PROPOSAL CHECK-OFF SHEET**  
**FOR FULL APPLICATION REQUIREMENTS AND NECESSARY ATTACHMENTS**

*Please provide eight copies of Sections 1- 9 but only one copy of Section 10.*

- Section 1.**      ☐ Acknowledgment of Application Terms and Conditions  
                    ☐ Application Form
- Section 2.**      ☐ Evaluation proposal (25-page limit)
- Section 3.**      ☐ References Cited (No page limit)
- Section 4.**      ☐ Applicant capacity (6-page limit)
- Section 5.**      ☐ Biographical summaries (4-page limit/person)
- Section 6.**      ☐ Budget Forms
- Section 7.**      ☐ Budget Narrative (8-page limit)
- Section 8.**      ☐ Optional supporting documentation (no more than one inch thick)
- Section 9.**      ☐ Letters of Support  
                    ☐ References
- Section 10.**    ☐ Applicant Financial Questionnaire with answered questions and attachments:  
                            ☐ Biographical statement of chief financial officer  
                            ☐ Bank and trade references  
                            ☐ Most recent audited financial statements and management letter (if  
                                    available) OR the latest IRS tax filing for the applicant entity  
                            ☐ Contact names and contact information for three clients that you have done  
                                    similar work for as contemplated by this request  
                            ☐ Certificate of Good Standing

**CLEARWAY MINNESOTA<sup>SM</sup>  
ACKNOWLEDGMENT OF  
APPLICATION TERMS AND CONDITIONS**

The undersigned, on behalf of an organization applying for a grant from ClearWay Minnesota, represents that he or she has the authority to execute this and related grant agreements on behalf of the applicant organization. The undersigned further acknowledges and agrees to the following in applying for a grant or any other funding from ClearWay Minnesota:

**The Application Process**

- Applicant represents and warrants in submitting a proposal that it has complied with and/or shall comply with all applicable federal, state and local laws, rules and regulations.
- No application for funding will be considered unless it is complete and fully complies with criteria set forth in the applicable request for applications.
- No application for funding will be considered unless and until this “Acknowledgment of Application Terms and Conditions” is signed and returned to ClearWay Minnesota’s authorized representative.
- Requests for Applications, Proposals, or Qualifications may be withdrawn or modified by ClearWay Minnesota at any time during the application process.

**The Review Process**

- Applicant understands that any attempt to contact a review panel member to discuss the application under review during the review process will disqualify them from receiving current and future Clearway Minnesota funding. This disqualification period will commence immediately upon notification to the applicant.
- Not all proposals will be funded. ClearWay Minnesota has the sole right and discretion to establish funding eligibility criteria and to select or reject proposals according to ClearWay Minnesota’s view of proper program priorities.
- No person or organization has a right to or expectation of such funding, except as provided in a fully approved and executed contract agreement. Board-approved funding may be withdrawn (or project approval may be rescinded) if the parties fail to reach agreement during the contract negotiation process.
- If applicant is an existing or prior ClearWay Minnesota grantee, applicant acknowledges that ClearWay Minnesota will provide the panel of reviewers information about previous experience with the applicant. [if appropriate]

**Conditions for Funding**

- Failure to comply with the terms of a grant may result in the termination of funding and, in certain cases, may require the grantee to return funds previously received, including funds already disbursed.

- Applicant warrants that no member of its staff or Board of Directors is, or, during the term of any grant, will be, a relative of a member of the staff or Board of Directors of ClearWay Minnesota. “Relative” means all of the following individuals: spouses, domestic-partners-in-fact, parents, children, children’s spouses or children’s domestic-partners-in-fact, siblings, spouses or domestic partner-in-fact of siblings, aunts, uncles, first cousins, stepparents and stepchildren.
- Applicant acknowledges that proposals submitted become public information, subject to the Minnesota Government Data Practices Act, at the time they are presented to the ClearWay Minnesota Board of Directors. Pricing and service agreements of proposals are considered public information, unless applicant can demonstrate that the information is a “trade secret” or “nonpublic business data” as defined by the Act.
- Applicants acknowledge and will comply with ClearWay Minnesota’s policies and directives concerning: conflict of interest; relationships with tobacco product makers or distributors; smoke-free workplaces; financial standing; and data practices if they are funded
- During the period of time that applicant’s proposal is under consideration for funding by ClearWay Minnesota, the applicant agrees to inform ClearWay Minnesota immediately of any material change affecting the capacity of the [Principal Investigator, Co-Principal Investigator or] applicant organization to meet the requirements and responsibilities outlined in the Request for [Applications, Proposal or Qualifications] or the grant proposal as submitted.

#### **Withholding of Funds or Termination After Contract Execution**

ClearWay Minnesota, at its sole option, also may terminate grant agreements at any time if:

- Grantee uses grant amounts for any purpose other than as specified in the grant agreement.
- Grantee breaches the grant conditions or grantee conditions set forth in the grant agreement.
- In ClearWay Minnesota’s sole discretion, ClearWay Minnesota believes that grantee becomes unable to carry out the purposes of the project, or ceases to be an appropriate means of accomplishing the purposes of the project.
- If grantee uses Grant amounts for purposes that conflict with ClearWay Minnesota’s mission, goals and policies.
- If grantee, or any person working on the Project commits, or is found to have committed, misconduct in science (as defined in Regulations of the Public Health Service, 42 C.F.R. Part 50) with regard to research to be performed under the agreement.[if applicable]

Date:                      Original signature: \_\_\_\_\_

**CLEARWAY MINNESOTA<sup>SM</sup>  
APPLICATION FORM**

This form is also available on the ClearWay Minnesota website at [www.clearwaymn.org](http://www.clearwaymn.org). Please print out the form and sign it in ink before delivering it with the application to the ClearWay Minnesota office by **4:30 p.m. on December 19, 2008**. Additional lines for Co-Principal Investigators and Organizations may be added to this form if necessary.

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**PRINCIPAL INVESTIGATOR**

Name:

Email:

Telephone:

FAX:

Organization:

Address:

City:

State:

Zip

**CO- PRINCIPAL INVESTIGATOR**

Name:

Email:

Telephone:

FAX:

Organization:

Address:

City:

State:

Zip

**APPLICANT ORGANIZATION** (include department or unit)

Name:

Website:

Telephone:

FAX:

Organization:

Address:

City:

State:

Zip

**FINANCIAL OFFICER**

Name:

Email:

Telephone:

FAX:

Organization:

Address:

City:

State:

Zip

**INSTITUTIONAL APPROVAL** (if required by applicant's organization)

Name:

Email:

Telephone:

FAX:

Organization:

Address:

City:

State:

Zip

**CLEARWAY MINNESOTA<sup>SM</sup> APPLICATION FORM, page 2.**

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**CHECKS TO BE MADE PAYABLE TO:**

Name:

Email:

Telephone:

FAX:

Organization:

Address:

City:

State:

Zip

---

|                                                                                                                                                                                                        |                          |                          |                          |            |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|--------------------------|------------|
| <b>Is the applicant organization a IRS 501(c) (3) not-for-profit operating in Minnesota?</b>                                                                                                           | <input type="checkbox"/> | <b>No</b>                | <input type="checkbox"/> | <b>Yes</b> |
| If no, check one of the following:                                                                                                                                                                     |                          |                          |                          |            |
| <input type="checkbox"/> Tribal group recognized by the U.S. federal government                                                                                                                        |                          |                          |                          |            |
| <input type="checkbox"/> IRS 501(c) (4)                                                                                                                                                                |                          |                          |                          |            |
| <input type="checkbox"/> IRS 501(c) (6)                                                                                                                                                                |                          |                          |                          |            |
| <input type="checkbox"/> other: _____                                                                                                                                                                  |                          |                          |                          |            |
| Federal Tax ID number:                                                                                                                                                                                 |                          |                          |                          |            |
| State Tax ID number:                                                                                                                                                                                   |                          |                          |                          |            |
| Organization's total annual budget:                                                                                                                                                                    |                          |                          |                          |            |
| <input type="checkbox"/> Applicant certifies that it complies with the Minnesota Clear Indoor Air Act and provides a smoke-free worksite. (Please check box to indicate agreement with this statement) |                          |                          |                          |            |
| Date:                                                                                                                                                                                                  |                          | Original signature _____ |                          |            |

**APPENDIX F****BUDGET FORM FOR CONTRACT PROJECT PROPOSALS****Applicant Name:** \_\_\_\_\_**Project Name:** \_\_\_\_\_**Project Period: From** \_\_\_\_\_ **to** \_\_\_\_\_**Budget Period: From** \_\_\_\_\_ **to** \_\_\_\_\_***Date prepared:*** \_\_\_\_\_***Date revised (if applicable):*** \_\_\_\_\_

| EXPENSES                         |          |                 |                |                  |
|----------------------------------|----------|-----------------|----------------|------------------|
| Name                             | Position | # PROJ<br>HOURS | NET<br>RATE/HR | Project<br>Total |
| <b>Project Personnel:</b>        | _____    |                 |                | -                |
|                                  | _____    |                 |                | -                |
|                                  | _____    |                 |                | -                |
|                                  | _____    |                 |                | -                |
|                                  | _____    |                 |                | -                |
|                                  | _____    |                 |                | -                |
| <b>Total Personnel Fees</b>      |          |                 | \$             | -                |
| <b>Other Project Costs:</b>      |          |                 |                |                  |
| Meeting Costs                    |          |                 |                | -                |
| Travel                           |          |                 |                | -                |
| Postage & Delivery               |          |                 |                | -                |
| Subcontractors (Itemize)         |          |                 |                | -                |
| Other Expenses (Itemize):        |          |                 |                | -                |
|                                  |          |                 |                | -                |
|                                  |          |                 |                | -                |
|                                  |          |                 |                | -                |
| <b>Total Other Project Costs</b> |          |                 | \$             | -                |
| <b>TOTAL PROJECT COSTS</b>       |          |                 | \$             | -                |

***Note:*** Columns D x E = F*Please verify all formulas on the worksheet for accuracy, especially if adding additional rows.*

***To download an electronic version of this form, visit [www.clearwaymn.org](http://www.clearwaymn.org)***

**CLEARWAY MINNESOTA<sup>SM</sup>**

# **Applicant Financial Questionnaire**

***The purpose of this Financial Questionnaire is to verify that the applicant's current financial position allows it to complete the ClearWay Minnesota project.*** It must be included in the application packet and delivered to the ClearWay Minnesota office by **4:30 p.m. on December 19, 2008. Only one copy of each of these documents is required.**

Fill out the following Questionnaire as it applies to your organization and provide the materials requested.

Organization Name: \_\_\_\_\_

Name and Title of Person Completing Questionnaire: \_\_\_\_\_

Date: \_\_\_\_\_

Name and title of the Top Financial Representative of the Organization: \_\_\_\_\_

Please respond to each question.

1. Please provide a resume of the top financial representative of the organization. Please verify that s/he has never been convicted nor is a charge pending for fraud, misrepresentation, or theft.
2. Are there any lawsuits, judgments, or liens pending against your organization, or is it currently under investigation by any entity?  
☐ Yes ☐ No

If yes, please provide details (attach a sheet if necessary and please distinguish those suits that directly impact the ability to administer the grant funds if awarded):

\_\_\_\_\_

\_\_\_\_\_

3. Please attach bank references and a list of three trade references.  
 (Applicant agrees to provide to the bank authorization to release information if required).
4. Has your organization ever been denied a surety bond, filed for bankruptcy or been insolvent?  
☐ Yes ☐ No (If yes, please attach an explanation)
5. a) Please provide the most recent audited financial statements for the applicant entity proposed to complete this project. (If you don't conduct an audit please submit the latest IRS tax filing for the applicant entity.)  
 b) Please provide contact names and contact information for three clients that you have done similar work for as contemplated by this request.

6. Is your organization in good standing with your Secretary of State's Office?

☐ Yes ☐ No ☐ N/A

If yes, please attach a copy of your Certificate of Good Standing. Please provide an explanation if it is not available or is not applicable to your organization. ClearWay Minnesota must be notified if there is a change in your good standing status.

\_\_\_\_\_  
 Signature of person completing questionnaire

\_\_\_\_\_  
 Date

**CLEARWAY MINNESOTA<sup>SM</sup>**  
**INSTRUCTIONS FOR LOCATING AND PRINTING CERTIFICATES OF  
 GOOD STANDING**

1. Using your computer's web browser, access the Minnesota Secretary of State's official website by going to: <http://www.sos.state.mn.us> . On the home page of this website, find the menu tab titled "Online Services." By pointing to this menu tab, a drop-down menu should appear.
2. Click on the "Search" item of the "Online Services" drop-down menu. On the "Search" menu, select the menu item called "Registered Office/Corporate File (free)" and click on this item. Enter the name of the grant applicant's applicant organization in the space marked "Entity Name" and click on the SEARCH button below.
3. The next screen usually contains a list of several similarly named businesses or organizations. Locate the correct name of the applicant's applicant organization and click on the corresponding "Org ID" number. A new screen should appear, providing a "Certificate" of the organization's status. Print the certificate and include it as an appendix in your grant application packet. (See the example of ClearWay Minnesota's certificate shown below.)
4. If your organization is not listed, contact the Secretary of State's office by sending an email to [public.information@state.mn.us](mailto:public.information@state.mn.us) or by fax at 651-297-7067.



**BUSINESS ORGANIZATIONS INQUIRY - VIEW ENTITY**

|                                   |                                                          |                                     |                        |
|-----------------------------------|----------------------------------------------------------|-------------------------------------|------------------------|
| <b>Filing Number:</b>             | 1S-229                                                   | <b>Entity Type:</b>                 | Non-Profit Corporation |
| <b>Original Date of Filing:</b>   | 9/21/1998                                                | <b>Entity Status:</b>               | Active                 |
| <b>Duration:</b>                  | Perpetual                                                | <b>Good Standing:</b>               | 2007                   |
|                                   |                                                          | <b>(date of last annual filing)</b> |                        |
| <b>Name:</b>                      | ClearWay Minnesota SM                                    |                                     |                        |
| <b>Registered Office Address:</b> | 8011 34th Ave #400 2 Appletree Square<br>Mpls, MN, 55425 |                                     |                        |
| <b>Agent Name:</b>                | No Agent Filed                                           |                                     |                        |

[Additional Entity Detail](#)

[Return to Search List](#)

[New Search](#)

**CLEARWAY MINNESOTA<sup>SM</sup>  
POLICIES AND DIRECTIVES**

**TOBACCO-RELATED POLICIES**

***Foundational Principles***

- Tobacco causes harm to the people of Minnesota.
- ClearWay Minnesota is dedicated to reducing that harm.
- ClearWay Minnesota must be as effective as possible in reducing that harm but ClearWay Minnesota will, at times, sacrifice potential effectiveness to avoid giving benefits, or to avoid the perception of giving benefits, to the tobacco industry.

***ClearWay Minnesota<sup>SM</sup> Policy on Smoke-Free Workplaces***

Organizations receiving funding from ClearWay Minnesota must provide a statement indicating that the worksite of the organization is smoke-free unless tobacco use is an explicit component of a research treatment center.

***ClearWay Minnesota<sup>SM</sup> Policy on Interactions with the Tobacco Industry and Related Businesses***

It is ClearWay Minnesota's intention to avoid any real or perceived conflicts of interest. Agencies and any subcontractors, therefore must not have any contractual relationship with any tobacco company or any other organization that is working in conflict with ClearWay Minnesota's mission and goals. Any relationship by the grantee/agency and/or its proposed subcontractors and their parent subsidiaries with any affiliates or subsidiaries of a tobacco company must be disclosed as part of the submission to this request.

***Vendors***

- ClearWay Minnesota will not directly contract with a tobacco company, its parent or subsidiaries.
- ClearWay Minnesota will actively seek to contract with individuals and companies that provide the best possible service and have no present or anticipated relationships with tobacco companies, their parents or subsidiaries.
- ClearWay Minnesota will generally not contract with an individual or company that currently provides mission-related services to a tobacco company, its parent or its subsidiaries. Mission-related services include public relations, advertising, legal services, consulting and educational services. ClearWay Minnesota may choose to contract with a company that currently provides mission-related services to a tobacco company, its parent or subsidiaries, if the quality of service is deemed significantly better than that provided by its competitors, and if the individuals working on the ClearWay Minnesota project have not worked directly with the tobacco company in the last 12 months, and agree that they will not work directly with the tobacco company while working on the ClearWay Minnesota project.

## ***Grantees***

- ClearWay Minnesota will not give a grant to a tobacco company, its parent or subsidiaries.
- ClearWay Minnesota will actively seek to give grants to individuals and institutions that have no present or anticipated relationships with tobacco companies, their parents or subsidiaries and that are approved by the ClearWay Minnesota review panel.
- ClearWay Minnesota will not give a grant to an individual or organization who currently receives funding, who has received funding in the previous 12 months, or who would accept funding during the ClearWay Minnesota grant's lifetime from a tobacco company or its subsidiaries.
- ClearWay Minnesota may choose to give a grant to an individual(s) within an institution that currently receives funding from a tobacco company, its parent or subsidiaries( in Minnesota) if the individual(s) working on the ClearWay Minnesota grant are clearly and demonstrably free of any current or anticipated involvement with tobacco-related funding, if the quality of research or service is deemed significantly better than that provided by competitors, and if the grant is tied to the individual(s) and not the institution.

## ***Special Circumstances***

Because the tobacco industry has targeted, manipulated or sought to exploit certain populations, ClearWay Minnesota may choose to give a grant to an institution or treatment center that has received funding from a tobacco company, its parent or subsidiaries in Minnesota if the ClearWay Minnesota grant is clearly and demonstrably used for work unrelated to that done with the tobacco funding and if the institution is deemed uniquely better qualified than its competitors to use the ClearWay Minnesota grant.

## **CONFLICT OF INTEREST POLICY**

ClearWay Minnesota has adopted a policy that helps grantees to identify, report and monitor potential conflicts of interest that may occur during the grant process. The ClearWay Minnesota policy identifies three types of conflict of interest; direct, indirect and perceived.

### ***1. Direct Conflict of Interest***

A direct conflict of interest occurs when an organization is affiliated with someone on ClearWay Minnesota's Board of Directors or someone on ClearWay Minnesota's staff. ClearWay Minnesota does not make grants or contract with any organization that has a direct conflict of interest with ClearWay Minnesota. This prohibition lasts as long as that person remains on the ClearWay Minnesota Board or staff, and for one year after their term ends unless the ClearWay Minnesota director or employee promptly resigns from his/her position with the affiliated organization, and does not participate in discussions or decisions by ClearWay Minnesota respecting the awarding or administration of grants and contracts with the affiliated organization for one year.

Affiliations can include:

- Serving on the grantee's Board of Directors
- Working for a grantee in a paid position
- Having a contract to perform services for the grantee
- Having some other financial interest in the grantee organization

## **2. *Indirect Conflict of Interest***

An indirect conflict of interest occurs when an organization is affiliated with a relative of a ClearWay Minnesota Board Member or staff member. Indirect conflicts of interests must be disclosed to ClearWay Minnesota and may disqualify applicants from receiving funding from ClearWay Minnesota, at ClearWay Minnesota's discretion. This prohibition lasts as long as that person remains on the ClearWay Minnesota Board or staff, and for one year after their term ends.

## **3. *Perceived Conflict of Interest***

ClearWay Minnesota is also concerned about and seeks to avoid perceived conflicts of interest. A perceived conflict of interest is when any person or organization currently receiving or seeking funds from ClearWay Minnesota might have interests that compete with those of ClearWay Minnesota, or may appear to have competing interests, as determined by a reasonable, objective observer. Perceived conflicts of interest must be disclosed to ClearWay Minnesota and may disqualify applicants from receiving funding from ClearWay Minnesota, at ClearWay Minnesota's discretion.

If your organization discovers any form of a conflict of interest—before you submit a grant, during the review process, or after a grant or contract has been awarded—contact the ClearWay Minnesota staff to discuss the potential conflict. ClearWay Minnesota staff can help you determine if you have a conflict of interest, and what steps can be taken to resolve the matter.

## **DATA PRACTICES POLICY**

ClearWay Minnesota is subject to the provisions of the Minnesota Government Data Practices Act (MGDPA) and the provisions of the Open Meeting Law (OML). Although ClearWay Minnesota is not a state agency, the Ramsey County District Court issued a ruling on December 30, 2002, finding that ClearWay Minnesota would benefit from the public accountability imposed by the MGDPA and the OML.

The MGDPA has a presumption that all data is public, unless specifically classified. ClearWay Minnesota Grantees and contractors understand that grant applications and project information are public records, and that information must be provided to any member of the public upon request. ClearWay Minnesota Grantees and contractors agree that they will notify ClearWay Minnesota immediately if they receive a MGDPA information request.

All of the data created, collected, received, stored, used, maintained, or disseminated by the Contractor under this agreement, hereinafter referred to as the “agreement data,” is subject to the requirements of the Minnesota Government Data Practices Act, Minn. Stat. Chapter 13, hereinafter referred to as “the Act.” Contractor agrees to comply with those requirements with respect to the agreement data as if it were a government entity. Pricing and Service Agreements of any proposal are considered public information, unless the applicant can demonstrate that the information is a “trade secret” pursuant to Minn. Stat. §13.37, subd. 1 or “nonpublic business data” pursuant to Minn. Stat. §13.591, subd. 1. ClearWay Minnesota will not release “trade secret” or “nonpublic business data” to the public; however, Contractor assumes all liability for and costs related to litigation arising from non disclosure of “trade secrets” or “nonpublic data.” Contractor understands that pursuant to Minn. Stat. §13.05, subd. 11, the remedies provided in §13.08 of the Act apply to the Contractor. Contractor agrees to notify ClearWay Minnesota immediately upon request for any agreement data.