Health Systems Change for Treating Tobacco Dependence

Request for Proposals

Release Date: October 1, 2013
Letter of Intent Due: October 18, 2013
Full Application Due: December 4, 2013
REQUEST FOR PROPOSALS
(Reference Number IC-2014-01)

Health Systems Change for Treating Tobacco Dependence

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# Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>About ClearWay Minnesota&lt;sup&gt;SM&lt;/sup&gt;</td>
<td>1</td>
</tr>
<tr>
<td>Overview of RFP</td>
<td>3</td>
</tr>
<tr>
<td>Timeline</td>
<td>4</td>
</tr>
<tr>
<td>Requirements</td>
<td>5</td>
</tr>
<tr>
<td>Funding Guidelines</td>
<td>6</td>
</tr>
<tr>
<td>Systems Change Definition and Strategies</td>
<td>7</td>
</tr>
<tr>
<td>Dissemination and Sustainability</td>
<td>8</td>
</tr>
<tr>
<td>Application Process</td>
<td>9</td>
</tr>
<tr>
<td>Instructions for Completing Full Application</td>
<td>10</td>
</tr>
<tr>
<td>Review Process</td>
<td>11</td>
</tr>
<tr>
<td>Forms</td>
<td>14</td>
</tr>
<tr>
<td>Form 1 – Letter of Intent Cover Sheet</td>
<td>14</td>
</tr>
<tr>
<td>Form 2 - Letter of Intent Acknowledgment of Application Terms and Conditions</td>
<td>15</td>
</tr>
<tr>
<td>Form 3 – Full Application Form</td>
<td>16</td>
</tr>
<tr>
<td>Form 4 - ClearWay Minnesota&lt;sup&gt;SM&lt;/sup&gt; Acknowledgment of Application Terms and Conditions</td>
<td>20</td>
</tr>
<tr>
<td>Form 5 - ClearWay Minnesota&lt;sup&gt;SM&lt;/sup&gt; Applicant Financial Questionnaire</td>
<td>22</td>
</tr>
<tr>
<td>Appendix 1- Instructions for the Budget Worksheet and Budget Narrative</td>
<td>24</td>
</tr>
<tr>
<td>Appendix 2 - Instructions for Locating and Printing Certificates of Good Standing</td>
<td>30</td>
</tr>
<tr>
<td>Appendix 3 - ClearWay Minnesota&lt;sup&gt;SM&lt;/sup&gt; Policies on Tobacco Use, Interactions with the Tobacco Industry and Related Businesses</td>
<td>32</td>
</tr>
<tr>
<td>Appendix 4 - ClearWay Minnesota&lt;sup&gt;SM&lt;/sup&gt; Conflicts of Interest Policy</td>
<td>34</td>
</tr>
<tr>
<td>Appendix 5 - ClearWay Minnesota Data Practices Act Overview for Grantees</td>
<td>38</td>
</tr>
</tbody>
</table>
ABOUT CLEARWAY MINNESOTA℠

In 1998, ClearWay Minnesota was created as an independent, nonprofit 501(c) (3) organization with a 25-year lifespan. ClearWay Minnesota’s mission is to enhance life for all Minnesotans by reducing tobacco use and exposure to secondhand smoke through research, action and collaboration.

ClearWay Minnesota was created with 3 percent of the settlement paid by tobacco companies for the harm that tobacco has caused Minnesotans. Since inception, ClearWay Minnesota has funded over $70 million in program grants and contracts in the areas of research, cessation, public policy, community development and communications.

ClearWay Minnesota’s vision is to eliminate the harm tobacco causes the people of Minnesota. One of our goals is ensuring that everyone in Minnesota has access to comprehensive tobacco dependence treatment. We work to achieve this goal through our funding of QUITPLAN® Services to help tobacco users quit, as well as through our support of programmatic and policy initiatives that support treatment access.

The focus of this funding opportunity is to advance health systems change to ensure that tobacco dependence treatment is fully integrated into the continuum of health care delivery. We believe that health systems play a key role in achieving our vision and look forward to working with grantees that share this vision.

For more information about ClearWay Minnesota, visit www.clearwaymn.org.

Overview of Health Systems Change

According to the U.S. Public Health Service Clinical Practice Guideline, *Treating Tobacco Use and Dependence: 2008 Update*, systems change leads to improvements or modifications in the way health care systems operate to enhance or improve clinician interventions and integrate tobacco into health care delivery using the following strategies:

- Identify all tobacco users at every visit using a system-wide identification system;
- Provide education, resources and feedback to promote provider intervention and referrals for tobacco cessation;
- Dedicate staff to provide tobacco dependence treatment and assess its delivery in staff performance evaluations; and
- Promote hospital policies that support and provide inpatient tobacco dependence services.¹

Data from Minnesota illustrate that there is still substantial room for improvement in integrating comprehensive tobacco dependence treatment into routine care. The 2010 Minnesota Adult Tobacco Survey (MATS) asked tobacco users about how their tobacco use was addressed during their last visit to the doctor. Among smokers who saw any provider in the past 12 months:

- 94 percent reported they were asked about smoking
- Just over 70 percent were advised not to smoke
- Fewer than half (43.9 percent) received a referral for assistance to quit smoking
- Only 37.5 percent received a recommendation for stop-smoking medication
- Less than one quarter (24.8 percent) received a recommendation for a quit-smoking program
- Only 10 percent got help accessing such a program

Moreover, the evolving health care environment has set the stage for a more comprehensive implementation of systems strategies to address tobacco use. The Institute for Health Care Improvement describes the need to optimize health system performance in order to meet the “Triple Aim” – improving the patient experience of care (including quality and satisfaction); improving the health of populations; and reducing the per capita cost of health care. Addressing tobacco use is an ideal candidate for such efforts. Data demonstrate:

- Increased patient satisfaction with their health care when their tobacco use is addressed;
- The positive health effects of quitting tobacco use; and
- A positive return on investment for delivering tobacco dependence treatment.

Through this funding initiative and other work, ClearWay Minnesota seeks to ensure that tobacco dependence treatment is recognized as the chronic, relapsing condition that it is, and, as such, is fully integrated into the continuum of health care – akin to the diagnosis and management of other chronic, relapsing conditions such as hypertension. By normalizing the treatment of tobacco dependence within health care, we anticipate that not only will patients’ health be improved but that health care systems will have the potential to realize cost savings. We seek applicants who are willing to work and innovate to fully integrate tobacco dependence treatment into the continuum of care offered by their health systems.

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3 http://www.ihi.org/offerings/Initiatives/TripleAim/Pages/default.aspx
OVERVIEW OF RFP

ClearWay Minnesota is seeking proposals to implement efforts to reduce the harm tobacco causes Minnesotans through comprehensive health systems change.

1. Under this Request for Proposals (RFP), ClearWay Minnesota will award funding to successful applicants to advance health systems’ abilities to fully integrate tobacco dependence treatment into the continuum of health care delivery.
2. Applicants must meet all eligibility and operational requirements. Preference will be given to health systems that are Health Care Home certified. A list of certified Health Care Homes can be found at http://www.health.state.mn.us/healthreform/homes/index.html.
3. However, non-Health Care Home certified entities that can demonstrate the ability to use a team-based approach to health care may apply.
4. Questions about this RFP can be directed to Dean Moritz, Ph.D., ClearWay Minnesota Cessation Manager, at dmoritz@clearwaymn.org / 952-767-1412.
5. Questions and answers about this RFP or submitting Letters of Intent will be posted at www.clearwaymn.org/health-systems-change-rfp each week from October 1 through October 18.
6. Questions and answers from applicants invited to submit full proposals will be posted in the online submission system. Applicants will receive information about how to access these Q&As as part of their invitation to submit a full proposal.

ClearWay Minnesota expects to award up to three grants through this initiative. Awards may be made for up to 24 months and total project costs may not exceed $200,000 (including indirect costs). ClearWay Minnesota strongly encourages applicants to include both a planning phase and implementation phase in their proposal.

Planning phase:
- Up to four months in length
- Allows grantees to prepare for the proposed work
- Grantees must also define how they will plan for sustainability once grant funding ends
- Grantees must define their dissemination plan

Implementation phase:
- Up to 20 months in length
- Implement project scope of work
- Disseminate project findings

If an applicant requests less than 24 months to complete the proposed project, applicants should adjust the number of months for these phases accordingly.
Please note: This RFP does not obligate ClearWay Minnesota to complete the proposed activities, and ClearWay Minnesota reserves the right to reject all proposals and/or cancel the solicitation if it is not considered to be in our best interest.
REQUIREMENTS

ClearWay Minnesota™ is seeking applications from organizations that meet the following criteria:

Eligibility Requirements

All organizations applying for this RFP must:

- Be a legally established health care facility operating in Minnesota that delivers primary care services to adults (e.g., internal medicine, family medicine, OB/GYN, general practice).
  - Please note that while the focus of this RFP is on integration of tobacco dependence treatment into primary care, it does not preclude applicants from including specialty or hospital services in its proposed systems change work.
  - The systems change work proposed must be conducted in Minnesota.
- Possess the financial and administrative capacity to manage grant funds and the technical expertise to successfully implement the full range of activities outlined in the applicant’s proposed scope of work.
- Request a funding amount from ClearWay Minnesota that does not exceed 48 percent of the organization’s total budget in any single year.
- Plan to complete the majority of the activities within your clinic/health system. Grantees may use subcontractors, but only for specific components of the grant workplan and those activities should be noted in the application form.
- Be willing to comply with ClearWay Minnesota’s policies and directives outlined in Appendices 3, 4 and 5.
- Not apply for funding that would supplant existing funding or duplicate activities or services already being provided.

Operational Requirements

All organizations funded under this RFP must:

- Not duplicate activities already occurring or supplant existing funding for the proposed scope of work in the grant area.
- Hire or designate appropriately qualified staff to implement the activities included in the work plan.
- Actively participate in any ClearWay Minnesota evaluation efforts.
- Actively participate in all ClearWay Minnesota-sponsored meetings and trainings.
- Adhere to ClearWay Minnesota’s expense reimbursement and travel policy requirements.
• Comply with all ClearWay Minnesota policies and directives, outlined in Appendices 3, 4, and 5. Certification of compliance is acknowledged by signing and submitting the Acknowledgment of Application Terms and Conditions form.

FUNDING GUIDELINES

Estimated Number, Size and Duration of Awards

ClearWay Minnesota expects to award up to three grants through this initiative. Awards may be made for up to 24 months and total project costs may not exceed $200,000 (including indirect costs).

All proposals must include adequate justification for the project workplan, timeline and budget to support the requested award amount and duration.
SYSTEMS CHANGE DEFINITION AND STRATEGIES

ClearWay Minnesota defines systems change for this RFP as follows:

*Systems change is a sustainable, integrated solution at the organization level that support clinicians and health care systems to address tobacco use consistently and effectively.*

Systems changes are aimed at promoting and supporting universal, evidence-based interventions with all tobacco users. A range of strategies are included under the umbrella of health systems change as defined for this funding opportunity. For illustrative examples, see Partnership for Prevention, *Addressing Tobacco Use through Health Care Systems* (2013) and *Health Care Systems and Tobacco Cessation* (2009), available online at [http://www.actiontoquit.org/res-partnership/](http://www.actiontoquit.org/res-partnership/). Additional examples and evidence for systems change can be found in the U.S. Public Health Service Clinical Practice Guideline, *Treating Tobacco Use and Dependence: 2008 Update*.

Moreover, ClearWay Minnesota has identified three strategies that are of primary interest, described in more detail below. Applicants may consider all or some of these strategies as core activities in their application. When preparing the application, applicants must demonstrate how selected strategies will be fully integrated into standard practices within the health system and will be sustained once grant funding ends.

While we encourage systems change strategies that are grounded in the existing evidence base, ClearWay Minnesota will consider other innovative health systems change approaches to integrating tobacco dependence treatment into routine health care. Applicants that wish to propose such innovative approaches must provide adequate rationale for such strategies in their Letter of Intent and full proposal.

As an organization, ClearWay Minnesota recognizes that the social determinants of health (e.g., where people live, socio-economic status, education, social policies and others) contribute to tobacco-related disparities. If appropriate for the project an applicant is proposing, we are interested in learning whether and how applicant organizations are working to address social determinants of health, and whether health systems change for tobacco dependence treatment can play a role in such initiatives.

Finally, we understand that each applicant is starting at a different place with respect to health systems change. The strategies each applicant will choose to focus on will depend on its starting point, environmental factors, patient population, available resources and organizational commitment. The methods proposed to further integrate tobacco dependence treatment into each system will likely be unique to each organization and are not expected to include all of the strategies presented in this RFP.
1. **Implementing Best Practices For Integration and Care Coordination**
   Develop processes to ensure that tobacco dependence treatment is fully integrated into care and sustained over time, over and above direct treatment delivery to an individual patient. Potential strategies include, but are not limited to, defining roles for all members of the health team for addressing tobacco use, creating processes and accountabilities to ensure all team members are fulfilling defined roles, and creating mechanisms or processes to ensure that delivery of tobacco dependence treatment is coordinated as patients move between clinical sites (e.g., between clinic and hospital).

2. **Electronic Health Record Utilization (EHR)**
   Demonstrate use of the EHR that goes beyond basic documentation of “asking” and “advising”. Possible strategies include, but are not limited to, integrating tobacco dependence diagnoses in problem lists, creating order sets for tobacco dependence treatments including pharmacy orders, integrating referral resources into the EHR including quitline referrals, and creating functionality to support care coordination for tobacco dependence treatment to assist in treatment plan management.

3. **Quality Measurement/Improvement**
   Demonstrate and implement quality measurement and improvement processes, including but not limited to rapid cycle improvement processes, to ensure tobacco dependence treatment is elevated as an ongoing quality priority for the health system, thus facilitating its integration into the continuum of care.

**DISSEMINATION AND SUSTAINABILITY**

ClearWay Minnesota prioritizes efforts to foster both dissemination of our funded work as well as ensuring that work we fund can be sustained once grant funding has ended. We require that the learnings and advancements as a result of your work be shared outside of the entities most closely involved with your project. Dissemination strategies may include, but are not limited to:

- Sharing findings from your work within your organization (e.g., specialty units, best practice committees, continuing education departments);
- Presenting to other health systems or partners in your community;
- Presenting at collaboratives such as Health Care Home Collaborative Learning Sessions or other regional or state conferences; or
- Preparing findings for publication.

Additionally, we require all applicants to collaborate with our external evaluator on any ClearWay Minnesota-sponsored evaluations related to this work.
APPLICATION PROCESS

Step One: Submit a Letter of Intent

Interested applicants must submit a Letter of Intent for ClearWay Minnesota staff to review. Please follow these guidelines:

- Complete the Letter of Intent cover sheet (Form 1)
- Complete and sign the Letter of Intent Acknowledgment of Application Terms and Conditions (Form 2)
- Write a Letter of Intent that follows these formatting guidelines:
  o Submitted on your organization’s letterhead
  o Single-spaced
  o When possible, use no less than a 12-point font and use easy-to-read fonts such as Arial, Times New Roman or Calibri
  o No longer than four pages
  o All page margins (top, bottom and sides) must be at least one inch in width

The Letter of Intent must include the following points:
1. A description of the system in which you are proposing to work and its service area;
2. Indicate whether your system is certified as a Health Care Home or is undertaking the certification process. If neither apply, describe your system’s team-based approach to health care;
3. An overview of the extent to which tobacco dependence treatment is currently integrated in your health system;
4. A summary of your proposed approach to integrating tobacco dependence treatment into the continuum of care provided by your health system, including the strategies you will likely include in your application;
5. An overview of your organizational capacity to successfully implement the project; and
6. A preliminary description of the proposed staffing structure that will support the proposed project.

Submit your Letter of Intent along with the Letter of Intent Cover Sheet and the Letter of Intent Acknowledgment of Application Terms and Conditions form via email to Dean Moritz, Ph.D., ClearWay Minnesota Cessation Manager, at dmoritz@clearwaymn.org by 4:30 p.m. Central Time on October 18, 2013.

You will receive an email receipt that your letter has been received. Only emailed letters will be accepted. Late letters will not be accepted. ClearWay Minnesota will notify all applicants who submit Letters of Intent if they are eligible to submit a full proposal by October 30. Only those potential applicants who meet the eligibility requirements of this RFP and who provide evidence of adherence to ClearWay Minnesota’s policies and directives (by signing the Letter of
Intent Acknowledgement of Application Terms and Conditions form) will be invited to submit a full proposal.

**Step Two: If your Letter of Intent is approved, submit a Full Application**

Only applicants who are invited may submit a Full Application for consideration. **ClearWay Minnesota will notify all applicants who submit Letters of Intent if they are eligible to submit a full proposal by October 30.** Use the directions on the following page to submit a Full Application. All application materials must be received by ClearWay Minnesota by **4:30 p.m. Central Time on December 4, 2013.** Application materials will be submitted online and directions for this process will be given to applicants when their Letter of Intent is approved. Late applications will not be accepted.

**INSTRUCTIONS FOR COMPLETING FULL APPLICATION**

**Step One: If your Letter of Intent is approved, complete the Full Application form (Form 3).**

Please follow these formatting requirements:

- When possible, use no less than a 12-point font and use easy-to-read fonts such as Arial, Times New Roman or Calibri.
- All page margins (top, bottom and sides) must be at least one inch in width.
- The application must be single spaced.
- Please label and number all sections and provide page numbers.

**Step Two: Read and sign the Acknowledgment of Application Terms and Conditions (Form 4).**

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.

**Step Three: Complete the Applicant Financial Questionnaire (Form 5) and attach required documentation.**

**Step Four: Complete the budget worksheet (available in the online submission system).**

Instructions for completing the budget sections are provided in Appendix 1.

1. **Budget Worksheet**
   The budget should cover the duration of the grant request. All grants are anticipated to begin on May 1, 2014. Assuming you propose a two-year project, the grant period will be May 1, 2014 – April 30, 2016.
2. **Budget Narrative**

Carefully review the instruction for the Budget Narrative. There must be a clear correspondence between the Budget Worksheet and the Budget Narrative.

**Step Five:** In addition to the information referenced above, include the following in your application:

- Resumes for staff who will be assigned to this project.
- Job descriptions for grant-funded positions. If a project coordinator is not yet identified, provide a job description including designated qualifications.
- Letters of commitment from all third-party organizations with responsibilities or tasks related to the work outlined in this proposal, including subcontractors.

**Step Six:** Submit all of these materials online by Friday, December 4, 2013, by 4:30 p.m. Central Time. Directions for online submission will have been sent to you after your Letter of Intent has been approved.

**REVIEW PROCESS**

All proposals will be reviewed and scored by an independent peer review-panel that includes experts familiar with health systems and health systems change as well as by ClearWay Minnesota staff members.

The following guidelines will be used by the review panel and staff to evaluate full applications.

**Review Criteria**

- Project scope and reach
  - Significance and innovation of the proposed systems change work
  - Potential to advance practice in the funded health system and in Minnesota
- Project plan
  - The proposal identifies the project’s goals, objectives and activities.
    - The proposal demonstrates the potential to achieve the project’s goals and foster integration of tobacco dependence treatment into the continuum of health care delivered by the health system.
    - The rationale for the proposed approach is well described.
      - The proposal is grounded in existing systems change approaches that have the potential to foster integration of tobacco dependence treatment within the health system.
      - If a new approach is proposed, the proposal justifies the need for, and provides a clear rationale for this approach.
The proposal identifies the methods to be used to achieve the project’s goals and objectives.

The proposal acknowledges any known or suspected limitations to the proposed approaches.

- Feasibility of the timeline
  - The proposed time period for each of the proposed activities is feasible and realistic.

- Commitment to sustainability and dissemination
  - The proposal demonstrates a commitment to sustaining the systems changes once grant funding ends.
  - The proposal describes how findings will be shared.

- Staffing
  - The application and supporting materials provide evidence that the key staff possess the knowledge, skills and abilities to conduct the proposed project.

- Organizational capacity
  - The application materials demonstrate the applicant organization’s eligibility and capacity to serve as the institutional home for the project and capacity to coordinate and conduct administrative activities as required for the support of the proposed project.
  - The applicant indicates whether it is certified as a Health Care Home or is in the certification process. If neither apply, applicant describes its team-based approach to health care.

- Feasibility of the budget
  - The application materials include a complete set of accurate Budget Worksheets.
  - The application materials include a clear and complete Budget Narrative with accurate calculations and reasonable assumptions for all projected expenses.

- Financial due diligence requirements
  - The application materials include all of the requested financial information and the applicant organization’s capacity to provide accurate and ethical financial oversight of the project.

Based on the recommendations resulting from the review process, ClearWay Minnesota staff will make funding recommendations to the ClearWay Minnesota Board of Directors based on ClearWay Minnesota’s funding objectives and the quality of applications received. The ClearWay Minnesota Board of Directors makes all final funding decisions. Applicants will be notified of the Board of Directors’ decision about their proposal on March 19, 2014.

**Advisory warning to applicants submitting materials containing proprietary information:**

ClearWay Minnesota complies with the Minnesota Government Data Practices Act, Minn. Stat. Ch. 13 and the Open Meeting Law, Minn. Stat. Ch. 13D. Under these laws, any information submitted to ClearWay Minnesota is a “public record” unless it is the kind of information that falls into a specific statutory exception. All grants under this RFP will be discussed and awarded
at a ClearWay Minnesota Board Meeting, which is open to the public. All applications are considered “non-public” until recommended for funding by the ClearWay Minnesota Board, at which time all documents submitted are made “public” (except for materials identified as “nonpublic business data” under the Data Practices Act). You are required to mark any specific information contained in your application that is not to be disclosed to the public or used for purposes other than the evaluation of the application. Each request for non-disclosure must be accompanied by a specific justification explaining why the information is to be protected. Pricing and service elements of any proposal are considered public information unless you can demonstrate that the information is a “trade secret” or “nonpublic business data,” as defined in the Minnesota Government Data Practices Act.
Form 1

Letter of Intent Cover Sheet

This form is available online at [www.clearwaymn.org/health-systems-change-rfp](http://www.clearwaymn.org/health-systems-change-rfp). Download the form, fill it in, sign and submit via email to Dean Moritz, ClearWay Minnesota Cessation Manager, at [dmoritz@clearwaymn.org](mailto:dmoritz@clearwaymn.org) by 4:30 p.m. on October 18, 2013.

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Project Information

Title of Proposed Project:

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Applicant Organization Information

Organization Name:
Website URL:
Address:
Telephone:
Name and title of the person responsible for overseeing the successful submission of this Letter of Intent:

Is your organization/agency a:
- [ ] 501c3 (nonprofit organization)
- [ ] 501c6 (professional or trade organization)
- [ ] Local unit of government
- [ ] Other:

---

Primary Contact Information

Primary Contact Name:
Primary Contact’s Email:
Primary Contact’s Telephone:
Form 2

Letter of Intent Acknowledgment of Application Terms and Conditions
This form is available online at www.clearwaymn.org/health-systems-change-rfp. Download the form, sign and submit via email to Dean Moritz, ClearWay Minnesota Cessation Manager, at dmoritz@clearwaymn.org by 4:30 p.m. on October 18, 2013.

The undersigned further acknowledges and agrees that in sending this Letter of Intent to ClearWay Minnesota:

- No person or organization has a right to or expectation of such funding, except as provided in a fully approved and executed grant agreement. No Letter of Intent or application for funding will be considered unless it is complete and fully complies with the eligibility criteria set forth in this Request for Proposals (RFP).
- The undersigned has read and fully complies with the eligibility and operational criteria set forth in this RFP.
- The undersigned has read and intends to comply fully with ClearWay Minnesota’s policies and directives as set forth in Appendices 3, 4 and 5 of this RFP regarding: Policies on Tobacco Use, Interactions with the Tobacco Industry and Related Businesses; Conflicts of Interest; and the relevant requirements of the Minnesota Governmental Data Practices Act.
- The undersigned is responsible for completing and returning all required forms and documents as outlined in the RFP.
- The undersigned is responsible for notifying ClearWay Minnesota in the event of any changes that might affect the personnel or institutional capacity to conduct the proposed project in the accompanying Letter of Intent.

________________________________________________________________________
Signature and title of person completing this form Date (month/day/year)

________________________________________________________________________
Name (please print):____________________________________________________________
Form 3

Full Application Form

This form will be available in the online submission system for those applicants approved to submit a full proposal. The full application packet is due December 4, 2013, by 4:30 p.m.

RFP Reference Number: IC 2014-01
Date (month/day/year):    /    /  

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<td>County: Telephone: Fax:</td>
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<th>Project Information</th>
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<tr>
<td>Name of Project Director:</td>
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<td>Title: Email:</td>
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<td>Telephone: Fax:</td>
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<td>Address:</td>
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<td>Name of Financial Officer:</td>
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Is your organization/agency a:

- [ ] IRS 501(c)(3) (nonprofit organization)
- [ ] IRS 501(c)(6) (professional or trade organization)
- [ ] Local unit of government
- [ ] Other:

Federal Tax ID number:   State Tax ID number:

Dollar Amount Being Requested from ClearWay Minnesota:

Organization’s total annual budget:

Checks to be made payable to:
Name:

Address:

City:   State:   Zip
Narrative Section of Application Form

The narrative must be single-spaced, typed in 12-point font with one-inch margins and may not exceed 20 pages. Use the major headings below (e.g., Executive Summary, Health System Profile) to organize your proposal.

A. Executive Summary (no more than one page)
   1. Provide a summary of the work you want to accomplish through this funding opportunity.

B. Health System Profile (no more than three pages)
   1. Briefly describe your health system, including geographic area, number of clinics, number of providers and approximate number of patients seen yearly.
   2. Indicate whether your system is certified as a Health Care Home or is undertaking the certification process. If neither apply, describe your system’s team-based approach to health care.
   3. Briefly describe how tobacco dependence treatment is currently integrated in your health system. If available, include screening protocols, prevalence rates among patients and referral practices.

C. Proposed Project (no more than 12 pages)
   1. Describe your proposed project goals, objectives and activities. Provide sufficient detail to allow reviewers to understand how your plan will be operationalized. Indicate whether you are drawing upon existing approaches for systems change or proposing a new approach, and provide rationale for the approach(es) selected. Discuss how your plan will foster full integration of tobacco dependence treatment into the continuum of health care delivery in your health system. Include results that you expect to see during the funding period.
   2. Include a project timeline with key phases of work and milestones. Ensure your timeline clearly delineates your project’s planning phase and implementation phase.
   3. Discuss any potential limitations to your being able to successfully complete the proposed project.
   4. Describe existing work or funding in your organization for health systems change related to tobacco dependence treatment. If such funding or work exists, describe how ClearWay Minnesota funding would complement current efforts and steps your organization would take to ensure that ClearWay Minnesota funding did not duplicate existing efforts.

D. Organizational Capacity and Experience (no more than two pages)
   1. Describe the mission of your organization and how this grant would help you achieve your goals.
   2. Describe your capacity to undertake the proposed health systems change project. Include relevant experience with respect to implementing goals, objectives and activities similar to what you have proposed for this project.
3. Describe your capacity to ensure timely start-up and implementation of the proposed project. (e.g., How long will it take you to be fully staffed and ready to start working on grant activities?)

D. Staffing (no more than one page)
1. Describe the proposed staffing structure and provide a rationale for this approach.
2. Describe how grant activities will be managed and coordinated (e.g., project coordinator[s]). Include a description of this individual’s professional level and authority. Include a resume for the project coordinator(s) and other key staff as an Attachment. Resumes do not count toward the narrative page limit.
3. Will there be any in-kind contributions from your system to complete the work? (In-kind contributions are not a requirement to receive the award).

F. Dissemination and Sustainability (no more than one page)
1. Describe your organization’s commitment to sustaining this work once ClearWay Minnesota funding ends.
2. Indicate your willingness to collaborate with ClearWay Minnesota’s external evaluator on evaluation activities related to this work.
3. Describe your plans for sharing lessons learned from this work with others. Potential dissemination strategies include, but are not limited to: sharing findings from your work within your organization (e.g., specialty units, best practice committees, continuing education departments); presenting to other health systems or partners in your community; presenting at collaboratives such as Health Care Home Collaborative Learning Sessions or other regional or state conferences; or preparing findings for publication.
Form 4

ClearWay Minnesota<sup>SM</sup> Acknowledgment of Application Terms and Conditions

This form will be available in the online submission system for those applicants approved to submit a full proposal. The full application packet is due Friday, December 4, 2013, by 4:30 p.m.

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 RFP.
- 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 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.
- 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.
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 acknowledges and will comply with ClearWay Minnesota’s policies and directives as set forth in Appendices 3, 4 and 5 of this RFP regarding: Policies on Tobacco Use, Interactions with the Tobacco Industry and Related Businesses; Conflicts of Interest; and the relevant requirements of the Minnesota Governmental Data Practices Act if 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 applicant organization to meet the requirements and responsibilities outlined in the Request for Proposal or the grant proposal as submitted.
- Proposals are subject to a financial due diligence process. Funding will be contingent upon the successful review of the Applicant Financial Questionnaire and related documents.

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.

Signature and title of person completing this form Date (month/day/year)

Name (please print):

By checking this box, the undersigned represents that s/he has the authority to execute this and related contract agreements on behalf of the contracting organization and agrees to the application terms and conditions stated above.

Name (please print): Date (month/day/year): /

Title:

Representing (organization’s legal name):
Form 5

ClearWay Minnesota℠ Applicant Financial Questionnaire

This form will be available in the online submission system for those applicants approved to submit a full proposal. The full application packet is due Friday, December 4, 2013, by 4:30 p.m.

The purpose of this Financial Questionnaire is to verify that your organization’s current financial position allows it to complete the ClearWay Minnesota project. Fill out the following questionnaire as it applies to your organization and provide the materials requested. If a question is not answered, you must provide written justification for why the question is not applicable.

Organization Name:                  Date:

Name and title of person completing questionnaire:

Name and title of the top financial representative of the contracting organization:

Please respond to each question and provide all requested information.

1. Please provide a résumé or biographical sketch of the financial officer or financial representative of your organization. Verify that he/she has never been charged or convicted of 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. You agree 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 on a separate sheet.

5. Has your organization had any grants terminated or financial penalties imposed for any grant for any reason in the past five years?
   ____ Yes _____No

If yes, please list granting agencies and provide details.

6. Please provide the most recent audited financial statements along with management letter for your organization. (If you don’t conduct an audit, please submit the most recent quarter’s year-to-date balance sheet and income statement, and last completed year’s balance sheet and income statement.)

7. Please provide the latest IRS Form 990 tax filing for your organization.

8. ClearWay Minnesota’s funds cannot be used for expenses allocated on an FTE basis. Please attach a brief description of your internal system for identifying, tracking and reporting personnel and other grant-related expenses.

9. Please provide a copy of your IRS determination letter.

10. Is your organization in good standing with the Minnesota Secretary of State’s office?
    ____ Yes _____No ____N/A

    If yes, attach either a copy of this year’s Certificate of Good Standing or proof of your organization’s good standing with the Secretary of State’s office. For most Minnesota entities, proof of good standing is available at \url{http://www.sos.state.mn.us}. If a proof of good standing is not available, indicate why not. ClearWay Minnesota must be notified if there is a change in your organization’s good standing status.

__________________________________________________________
Signature of person completing this questionnaire             Date (month/day/year)

Name (please print):__________________________________________
Appendix 1

Instructions for the Budget Worksheet and Budget Narrative

The Budget Worksheet and the Budget Narrative provide a detailed rationale for the amount of funding requested. Independent reviewers of the grant proposals will use this budget information to determine if the proposal is an effective use of ClearWay Minnesota funds. Therefore, it is crucial that the Budget Worksheet and Budget Narrative contain complete, accurate and consistent information. If the information is incomplete or inaccurate, your grant application may not be recommended for funding. The reviewers may also suggest modifications to the budget to reflect ClearWay Minnesota’s priorities and the needs of the project.

If a project will involve subcontractors, each subcontractor should be identified in the Budget Worksheet for the project, and expenses for the subcontractor must be detailed in the Budget Narrative. A separate Budget Worksheet may be completed if you feel the subcontractor expenses warrant itemization, but it is not required. If a separate Budget Worksheet is completed for a subcontractor, those expenses must be consolidated and must appear on your organization’s project Budget Worksheet.

The maximum amount of funding available under this RFP is $200,000 for two years of funding. This amount is a “hard-cap.” Total direct and indirect funds requested from ClearWay Minnesota cannot exceed the maximum amount. Additionally, the amount requested in any single year of the proposed budget may not exceed 48 percent of your organization’s total budget. For the purposes of this calculation, your organization’s total budget must include any previously awarded ClearWay Minnesota grants that provide sources of funding during the budget year plus the amount being requested to support the proposed project for that budget year.*

ClearWay Minnesota grant funds may be used for costs directly associated with the project, including staff salaries and benefits, consultant fees, data collection and analysis, dissemination of findings, supplies and other direct expenses, including a limited amount of equipment essential to the proposed project. Only indirect costs may cover pooled and/or allocated expenses to a maximum of 15 percent of total direct costs. Direct and indirect costs are defined below and are outlined on the Budget Worksheet.

* The formula is Request / (Total Income + Request) = less than 0.48. For example, if the amount requested for a one year grant is $50,000 (R=50,000) and the organization’s total budget for Year I (including previously awarded ClearWay Minnesota grants) is $100,000 (T=100,000), then 50,000 / (100,000 + 50,000) equals 0.33 (33 percent). Thus, the amount requested in this example ($50,000) would meet the stated requirement.
Grant funds for indirect costs are intended to cover general overhead expenses (including office space expenses related to the project) for the operation of the applicant organization. Indirect costs will be funded up to a maximum of 15 percent of the total direct costs requested from ClearWay Minnesota, or at your organization’s indirect cost rate (whichever is lower). Subcontractors may charge for indirect expense costs, but they need to adhere to the same ClearWay Minnesota guidelines as your organization.

ClearWay Minnesota grant funds must not be used for any expenses that are not directly related to the ClearWay Minnesota grant project. ClearWay Minnesota grants will not provide support for the following: ongoing, general organization expenses; personnel expenses unrelated to the project; pro-rated project “rental” of equipment or software already owned by your organization; pooled expenses allocated on an FTE (full-time equivalency) basis such as telephone costs, computer use, IT support, etc.; existing operating deficits; items for which third-party reimbursement is available; research on unapproved drug therapies or activities; programs or institutions based outside of the United States; travel outside of the United States; or direct personal support to individuals.

**EHR funding and other unfunded categories**
ClearWay Minnesota will not fund systems that do not have a core level of EHR functioning already established. Therefore, if applicants are requesting funding for EHR programming, applicants will need to describe what modifications are proposed to allow the applicant to achieve the project’s goals and objectives. Examples of acceptable work would include updating of problem lists/tobacco codes, development of tobacco registries by provider or site, report writing based on linking tobacco use with other chronic diseases, and any efforts developed to enhance quality improvement or care organizations efforts. For this application, EHR funding is capped at 10% of the total grant award (including indirect costs). If your organization has a proposal related to IT issues that would require additional funding, please provide a detailed justification of why such a funding level is necessary.

Other areas that ClearWay Minnesota will not support during this funding period include:
- Funding for cessation medications
- Funding for direct services by providers, including but not limited to tobacco cessation services
- Duplicating or supplanting systems changes for tobacco dependence treatment already in your organization’s budget or planned through other related initiatives
- Activities that are not directly related to systems change to integrate tobacco dependence treatment into the continuum of care as defined in the RFP for this funding opportunity

**General Instructions for Completing the Budget Worksheet**
The Budget Worksheet must be completed using the Excel format provided. It can be downloaded from the online submission system made available to applicants approved to submit a full proposal. The Budget Worksheet provided in the online system is a template. The budget template consists of forms for the Budget Period Worksheets and Detailed Personnel
Budgets. The Detailed Personnel Budget should be completed first because it is electronically linked to the Budget Period Worksheet. The budget will be considered incomplete unless the Detailed Personnel Budget is submitted.

The worksheets should be completed in the following order:
- A Detailed Personnel Budget worksheet for each grant year
- A Year X Budget Period worksheet for each year

The Full Grant Period worksheet is electronically linked to the Budget Period Worksheets and will automatically populate based on what is entered in the Years 1-2 Budget Period Worksheets.

Please do not type any numbers in shaded areas of any columns since they contain formulas. Use only those lines necessary or add line items as necessary to adequately detail and document the project budget. When completing the Budget Worksheet, please verify that all formulas are correct. ClearWay Minnesota does not guarantee the accuracy of formulas in any electronic spreadsheet provided to applicants. It is your responsibility to ensure the accuracy of all arithmetic in the worksheet. Budget Worksheets not adding across rows or down columns to the numbers shown may be returned to you for correction and will delay processing of the application.

Include only revenues and expenses that pertain to the project. In order to effectively leverage its limited resources, ClearWay Minnesota strongly encourages you to demonstrate additional contributions from within your organization or from other sources for the proposed project. These other “in kind” funding sources, including internal contributions from your organization, should be documented on the Budget Worksheet and described in the associated Budget Narrative.

A line item Budget Worksheet should be prepared for each 12-month budget period of the grant. If the grant period is not evenly divisible by 12 (18 or 20 months, for example), a Budget Worksheet for each 12-month budget period and one for the remaining months (partial budget period) should be prepared. In addition, one consolidated Budget Worksheet for the entire grant period (in total) must be prepared. Please note that there is an important distinction between the terms “budget period” and “grant period” (see detailed instructions below).

The Budget Worksheet will be the basis of establishing the payment schedule of the grant, as well as the required financial reporting during the grant period.
Instructions for Completing the Budget Narrative

A Budget Narrative must be submitted along with the Budget Worksheet. The Budget Narrative provides a detailed explanation for each line item in the Budget Worksheet. For each line item, the narrative must include, at a minimum, the following:

- A detailed description of the specific line item (what services or items will be purchased);
- A brief statement indicating how the specific items will be used within the context of the project;
- A detailed explanation of how the amount shown in the Budget Worksheet 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).

Applicants may provide a separate narrative for each budget period (for example, Year I, Year II, Year III), or may prepare a single narrative that details each Budget line item, explaining how it was calculated for each budget period. Budget Narratives without details documenting each item of the Budget Worksheet may affect the review of the proposal.

Detailed Instructions for Completing the Budget Worksheet and Budget Narrative

Grant Period and Budget Period: Please note that there is an important distinction between the terms “budget period” and “grant period.” For example, if a project receives funding for two years beginning on May 1, 2014, and ending on April 30, 2016, the “grant period” is May 1, 2014, to April 30, 2016. However, there are two “budget periods” for this grant: Year I = May 1, 2014, to April 30, 2015; Year II = May 1, 2015, to April 30, 2016. The grant period will be the same for every budget period worksheet submitted. The grant period and budget period will be identical for the consolidated budget.

Expenses: The budget template consists of forms for Budget Worksheets and Detailed Personnel Budgets. The Detailed Personnel Budget should be completed first because it is electronically linked to the Budget Worksheet. In sections of the Budget Worksheet other than project personnel expenses, insert the amounts requested from ClearWay Minnesota in the column marked “A” on the Budget Worksheet. Insert other funding sources in the column marked “B.” Other funding sources are funds provided for the project either by your organization or from external sources. The project total column (the column marked “C”) is a sum total of columns “A” and “B,” and is calculated automatically by the formulas in the worksheet. Please do not type any numbers in column “C” and in shaded areas of any other columns.

Other Funding Sources: Identify funding sources other than ClearWay Minnesota that will be applied to the proposed project. Examples include grants from other organizations, individual contributions and internal contributions (such as donations of non-cash [“in-kind”] items used in executing the grant). On the Budget Worksheet, identify your organization’s contribution as
it relates to the proposed project as an internal contribution funding source. Also include any indirect costs not provided for by ClearWay Minnesota’s allowed 15 percent rate.

Direct Costs
A. Personnel Expenses:
1. When completing the Detailed Personnel Budget, fill in names, job titles, base salary and % base salary on project columns first, and project total and ClearWay Minnesota requested totals will be calculated automatically by the formulas. The base salary is the estimated salary earned for the budget period working for your organization. The “% Base Salary on Project” column is the percent of base salary that will be dedicated to the project. For example, for a part-time employee working 60 percent time, earning $24,000 (60 percent of full time salary of $40,000) the base salary is $24,000. If this position is dedicated 100 percent to the project, then 100 percent is listed in the “% Base Salary on Project” column. For each project personnel listed in the Detailed Personnel Budget Worksheet, include in the Budget Narrative a description of the activities and their full-time equivalency (FTE) at your organization (60 percent in this example). If applicable, justify any increases in personnel expenses (e.g., salary increases) over the period of the grant.
2. List the overall fringe benefit percent on Detailed Personnel Budget Worksheet. In the Budget Narrative indicate what benefits will be provided, and show how the fringe benefit amount was calculated. If individual project staff have different fringe benefit rates, list each rate on the Budget Worksheet and apply as appropriate.

B. Office Operations: The projected expenditures for supplies, printing, telephone, postage and delivery should be listed separately on the Budget Worksheet. The Budget Narrative should include a description of how the estimate for each line item was determined. Office space is considered an indirect expense.

C. Communications/Marketing: Advertising, printing or other similar expenses related to the project are reported here.

D. Software: Only software directly related to the project will be funded. This may include purchase of project-specific software or additional licenses required for staff related to the project. Please provide details for calculation of these costs. ClearWay Minnesota will not fund prorated (use) charges for software already owned by your organization.

E. Meeting Costs: Provide details (e.g., estimated number of meetings and their associated costs) in the Budget Narrative to indicate how the estimated expenses were derived. Only meeting costs that are essential to the project should be included.

F. Travel Costs: Travel for project staff and consultants 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 56.5 cents per mile, as of January 1, 2013.)
ClearWay Minnesota does not fund travel outside the United States. 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.

**G. Consultants/Contractual Agreements (subcontracts):** Consultants and contractors must be identified in the budget. Itemize every consultant or other contractor on the Budget Worksheet. In the Budget Narrative, explain how the estimate was derived and refer to the section of the workplan and description of the research project where the need for each consultant is outlined. For each consultant/contractor, include estimated number of hours, rate, total expense and deliverables.

**H. Equipment:** ClearWay Minnesota grants are not made for the sole purpose of funding capital costs. However, a limited amount of equipment may be requested for the accomplishment of project deliverables. You should follow your organization’s equipment capitalization threshold policy to determine whether an item is classified under equipment or supplies. In the Budget Worksheet, itemize the equipment requested and in the corresponding Budget Narrative include a statement outlining how the equipment will be used to meet project deliverables. Where appropriate, examine the options of purchasing, leasing and renting, and explain the choice. ClearWay Minnesota will not fund prorated (use) charges for equipment already owned by your organization, including telephones, computers or IT support.

**I. Other Direct Costs:** Additional line items that cannot be categorized in the direct cost items above should be described in detail. Please add lines to the Budget Worksheet as necessary to detail these other expenses.

**Indirect Costs**
Indirect costs are intended to cover grant-related costs that are not easily identified but are necessary to conduct the grant, such as administrative costs, utilities and other overhead-related expenses. Project-related office space is considered an indirect cost. ClearWay Minnesota-funded indirect costs may be included up to 15 percent of total requested direct costs or at your organization’s indirect costs rate (whichever is lower).

**Questions about the Budget Worksheet or Budget Narrative?**

**Contact:** Lana Kopylov, Sr. Finance Manager
lkopylov@clearwaymn.org / 952-767-1406
Appendix 2

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 “Business Center.” By pointing to this menu tab, a drop-down menu should appear.

2. Select the item titled “Business and Nonprofit” from the Business Center tab. Once you are on the “Business and Nonprofit” page, select “Search” from the list of options. On the “Search” menu, select the menu item called “Look up Business Information” and click on this item. Enter the name of your 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 your 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 with 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 or by fax at 651-297-7067.

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**BUSINESS ORGANIZATIONS INQUIRY - VIEW ENTITY**

**Filing Number:** 1S-229  
**Entity Type:** Non-Profit Corporation

**Original Date of Filing:** 9/21/1998  
**Duration:** Perpetual  
**Entity Status:** Active  
**Good Standing:** 2008 (date of last annual filing)

**Name:** ClearWay Minnesota SM

**Registered Office Address:** 8011 34th Ave #400  
2 Appletree Square  
Mpls, MN, 55425

**Agent Name:** No Agent Filed
Appendix 3

ClearWay Minnesota™
Policies on Tobacco Use, Interactions with the Tobacco Industry and Related Businesses,
Revised February 2013
Overview for Grantees

Introduction and Tobacco Definition

It is ClearWay Minnesota’s intention to avoid any real or perceived conflicts of interest. Grantees, contractors and any subcontractors, Board and staff 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. Therefore, any relationship by these entities or individuals and related parent or subsidiaries with any affiliates or subsidiaries of a tobacco company must be disclosed and evaluated by ClearWay Minnesota.

Foundational Principles

ClearWay Minnesota’s tobacco policies are based on the following 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.

Tobacco Defined

For the purposes of this Policy, tobacco is defined as commercially manufactured products containing tobacco, and does not include the traditional; cultural; spiritual; and ceremonial sacred tobacco use by American Indians and other cultures.

Grantee-Related Policies

Smoke-Free Workplaces

Organizations receiving grant funding from ClearWay Minnesota must provide a statement indicating that the workplace of the organization is smoke-free, unless tobacco use in the workplace is already prohibited by law/resolution, or is an explicit component of a research treatment center, or the grant award is specifically designed to promote smoke-free environments including the workplace.
Grantee Interactions with Tobacco Companies

- ClearWay Minnesota will not give a grant to a tobacco company, its parent or subsidiaries.
- ClearWay Minnesota will actively seek to give grants to organizations that have no present or anticipated relationships with tobacco companies, their parents or subsidiaries.
- ClearWay Minnesota generally will not give a grant to an 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. (See Special Grant Circumstances, below.)

Special Grant Circumstances

- ClearWay Minnesota may choose to award a grant to a Principal Investigator or Project Lead within an organization that currently receives funding from a tobacco company, its parent or subsidiaries if the Principal Investigator or Project Lead working on the ClearWay Minnesota grant is clearly and demonstrably free of any current or anticipated involvement with tobacco-related funding, and if the quality of research or service is deemed significantly better than that provided by competitors.
- Because the tobacco industry has targeted, manipulated or sought to exploit certain populations, ClearWay Minnesota may choose to give a grant to an organization that has received funding from a tobacco company, its parent or subsidiaries if the ClearWay Minnesota grant is clearly and demonstrably used for work unrelated to that done with the tobacco funding and if the organization is deemed uniquely better qualified than its competitors to use the ClearWay Minnesota grant.
Appendix 4

ClearWay Minnesota℠
Restated Policy Concerning Conflicts of Interest
Approved by the ClearWay Minnesota Board of Directors September 19, 2012
Approved by the Ramsey County District Court May 14, 2013
Overview for Grantees

Introduction

The Board of Directors of ClearWay Minnesota℠ is committed to governing the organization in a manner that takes appropriate care to identify, minimize the impact of and, where possible, eliminate actual, possible or perceived conflicts of interest. This policy is intended to assist ClearWay Minnesota Board Members and employees in identifying actual conflicts of interest and situations in which there might be a conflict or the appearance of a conflict even if no actual conflict exists. This document also describes the procedures that the Board has established for disclosing and resolving conflict situations that arise.

Every Board Member and employee is responsible for knowing and following this policy. Board Members and employees receive regular training in how to follow and apply this policy. Each year, every Board Member and employee reviews a list of current ClearWay Minnesota grantees and contractors and discloses any relationships with organizations that have grants or contracts with ClearWay Minnesota before submitting a mandatory certificate of compliance with this policy. ClearWay Minnesota informs its vendors and grantees of this policy and its application.

Definitions

1) A ClearWay Minnesota Board Member or employee is “affiliated” with an organization (and has an “affiliation” with an organization) if he or she or a family member is an officer of, director of, employed by, an independent contractor for, receiving proceeds from a ClearWay Minnesota grant or contract, or has a financial interest in the organization.

2) A “Board Member” is a person who is on the ClearWay Minnesota Board. A Board Member may be appointed or elected.

3) “Family members” of a person are the person’s spouse or domestic partner, parents, stepparents, siblings, children, stepchildren, and spouses or domestic partners of the person’s children and stepchildren.

4) “Relatives” of a person are the person’s aunts and uncles.
5) A person has a “financial interest” if the person has, directly or indirectly, through governance, business or investment:

   a) An existing, foreseeable or recent (within the past year) ownership interest of more than 2 percent in any entity with which ClearWay Minnesota has, or is negotiating, a grant, contract or other arrangement; or

   b) An existing, foreseeable or recent (within the past year) compensation arrangement with ClearWay Minnesota or with any entity or person with which ClearWay Minnesota has, or is negotiating, a grant, contract or other arrangement.

Actual Conflict of Interest

To ensure that the decisions of the ClearWay Minnesota Board and employees are objective and independent, the Board prohibits giving contracts and grants to Board Members, or ClearWay Minnesota employees, or the family members of either. If a Board Member or employee is affiliated with an organization with which ClearWay Minnesota is considering a grant or contract, the person may have an actual conflict of interest. The Board has created the following rules and procedures for such situations.

1) Absolute Prohibition on Contracts and Grants with Board Members, Employees or Their Family Members. ClearWay Minnesota will not give grants to, or enter into contracts with, a ClearWay Minnesota Board Member or a ClearWay Minnesota employee (except for employment contracts) or the family members of either while the person is serving ClearWay Minnesota and for one year after the person ceases to be a Board Member or employee of ClearWay Minnesota.

2) Contracts with or Grants to Organizations Affiliated with Board Members. ClearWay Minnesota will not give grants to, or enter into contracts with, organizations with which a Board Member is affiliated at the time of his or her election or appointment to the ClearWay Minnesota Board or at any time during his or her service as a Board Member unless:

   a) The Board Member promptly resigns from the affiliated organization and for one year thereafter does not participate in discussions or decisions by ClearWay Minnesota about awarding or managing grants and contracts with the affiliated organization; or

   b) The Board Member promptly resigns from the ClearWay Minnesota Board; ClearWay Minnesota sends the affiliated organization a certification form; and within 30 days, that organization returns the form verifying that the person will not, for one year following his or her resignation, participate in discussions or decisions of the organization regarding seeking or fulfilling grants or contracts.
with ClearWay Minnesota.

3) Contracts with or Grants to Organizations Affiliated with Family Members or Relatives of Board Members. If a family member or relative of a Board Member is, or becomes, affiliated with an organization that has a grant or contract with ClearWay Minnesota, that organization must:

a) Certify in writing to ClearWay Minnesota that the family member or relative will not solicit, supervise, manage, administer or have a financial interest in the ClearWay Minnesota grant or contract for the duration of that grant or contract;

b) Submit the certification within 30 days after the disclosure of the relationship to the affiliated organization or a written request from ClearWay Minnesota; and

c) Promptly update the certification if the status of the family member or relative changes.

4) Contracts with or Grants to Organizations Affiliated with Employees. ClearWay Minnesota will not give grants to, or enter into contracts with, organizations with which a ClearWay Minnesota employee is affiliated unless:

a) The employee promptly resigns from the affiliated organization and for one year thereafter does not participate in discussions or decisions by ClearWay Minnesota about awarding or managing grants and contracts with the affiliated organization; or

b) The employee promptly resigns from ClearWay Minnesota; ClearWay Minnesota sends the affiliated organization a certification form; and within 30 days, that organization returns the form verifying that the person will not, for one year following his or her resignation, participate in discussions or decisions of the organization regarding seeking or fulfilling grants or contracts with ClearWay Minnesota.

5) Contracts with or Grants to Organizations Affiliated with Family Members or Relatives of Employees. If a family member or relative of a ClearWay Minnesota employee is, or becomes, affiliated with an organization that has a grant or contract with ClearWay Minnesota, that organization must:

a) Certify in writing to ClearWay Minnesota that the family member or relative will not solicit, supervise, manage, administer or have a financial interest in the ClearWay Minnesota grant or contract for the duration of that grant or contract;

b) Submit the certification within 30 days after disclosure of the relationship to the affiliated organization or a written request from ClearWay Minnesota; and
c) Promptly update the certification if the status of the family member or relative changes.
Appendix 5

ClearWay Minnesota
Data Practices Act
Overview for Grantees

Introduction

The Ramsey County District Court’s Order of December 30, 2002 “makes applicable” to ClearWay Minnesota the provisions of the Minnesota Government Data Practices Act (MGDPA). The basis of the Order was the Court’s finding that ClearWay Minnesota would benefit from the additional public accountability imposed by the MGDPA – not that ClearWay Minnesota was a state agency or other entity subject to state data practices requirements. ClearWay Minnesota’s Chief Executive Officer has designated In-House Legal Counsel as the “data practices compliance official,” responsible for implementing the data practice procedures.

Contractors and Grantees

Under two circumstances, ClearWay Minnesota will be required to secure agreement that contractors and grantees will comply with the MGDPA:

If ClearWay Minnesota is making available data on individuals to a contractor, the contractor must agree to treat the data in accordance with the MGDPA.

If ClearWay Minnesota contracts with a private sector person or entity to “perform any of its functions,” the contract must require the contractor to agree to be subject to the MGDPA with respect to any data “created, collected, received, stored, used, maintained, or disseminated” by the private contractor. (See Minn. Stat. § 13.05, subd. 11, which bears the sub-heading “privatization.”)

Considerations when Gathering Information

The following section of the MGDPA (Minn. Stat. § 13.04, subd. 2) should be taken into consideration when information is gathered by or on behalf of ClearWay Minnesota (such as for evaluation purposes):

An individual asked to supply private or confidential data concerning the individual shall be informed of: (a) the purpose and intended use of the requested data within the collecting state agency, political subdivision, or statewide system; (b) whether the individual may refuse or is legally required to supply the requested data; (c) any known consequence arising from supplying or refusing to supply private or confidential data; and (d) the identity of other persons or entities authorized by state or federal law to receive the data. This
requirement shall not apply when an individual is asked to supply investigative data, pursuant to Section 13.8s sundivdion7, to a law enforcement officer.