



## Request for Applications



RFA # A-375

### North Carolina Essentials for Childhood: Implementation of Strategies and Approaches for Child Maltreatment Prevention

**FUNDING AGENCY:** North Carolina Department of Health and Human Services  
Division of Public Health  
Women's and Children's Health Section

**ISSUE DATE:** March 2, 2020

**DEADLINE DATE:** April 17, 2020

**INTENT TO APPLY:**

Any agency or organization that plans to submit an application shall submit a Notice of Intent no later than **5 pm on March 24, 2020** to Catherine Joyner at [catherine.joyner@dhhs.nc.gov](mailto:catherine.joyner@dhhs.nc.gov). Please include the following information in the Notice of Intent:

- The legal name of the agency.
- The name, title, phone number, mailing address, and email address of the person who will coordinate the application submission

**INQUIRIES and DELIVERY INFORMATION:**

Direct all inquiries concerning this RFA to:

Catherine Joyner

Essentials for Childhood Project Director

Phone: (919) 995-4122

Email: [catherine.joyner@dhhs.nc.gov](mailto:catherine.joyner@dhhs.nc.gov)

**Applications will be received until 5 pm on April 17, 2020.**

Send all applications directly to the funding agency as indicated below:

**DELIVERY INFORMATION:**

Only electronic applications will be accepted via email attachment (doc, docx, PDF, and/or xls formats), including all required attachments. Send all electronic applications directly to the funding agency email address as indicated below:

**Email Address:** [catherine.joyner@dhhs.nc.gov](mailto:catherine.joyner@dhhs.nc.gov)

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## **I. INTRODUCTION**

Child maltreatment is a broad term that covers all forms of abuse and neglect of a child under the age of 18 by a parent, guardian, custodian or caretaker. It is a significant, preventable public health problem affecting physical and emotional health throughout the lifespan. Children who experience intensive and prolonged stress (such as child maltreatment), especially in early life, are at increased risk for disrupted brain development, compromised functioning of the nervous and immune systems as well as health problems in later life including behavioral health problems (e.g., depression, anxiety), risky health behavior (e.g., smoking and other substance use, eating disorders), chronic diseases (e.g., heart disease), subsequent violence perpetration or victimization during adolescence or adulthood, and early death.<sup>i</sup>

According to the Administration of Children and Families (ACF) in federal fiscal year (FFY) 2018, Child Protective Services (CPS) agencies received an estimated 4.3 million referrals alleging child maltreatment, involving approximately 7.8 million children. Nationally, 678,000 children were confirmed victims of maltreatment and 1,770 children died as a result of child maltreatment. In North Carolina, 130,554 children received an investigation or alternative response by local county department of social services (DSS) agencies for possible child maltreatment in FFY 2018, primarily due to concerns of neglect. Fourteen (14) children died as a result of confirmed child abuse in FFY 2018.<sup>ii</sup> Unfortunately, these numbers do not accurately reflect the actual number of children affected by maltreatment due to underreporting and a focus on a single data source. A study published by the American Academy of Pediatrics estimates that one in five people in the U.S. experienced some form of maltreatment during childhood.<sup>iii</sup> The financial costs for victims and society are substantial as well. A Centers for Disease Control and Prevention (CDC) study found the total lifetime estimated financial cost associated with just one year of confirmed cases of child maltreatment (physical abuse, sexual abuse, psychological abuse and neglect) is approximately \$124 billion.<sup>iv</sup> Given the significant magnitude and health burden of child maltreatment, the North Carolina Division of Public Health designated the primary prevention of child maltreatment as a focus area and has adopted safe, stable, nurturing relationships and environments (SSNRs & E's) as a strategic direction for child maltreatment prevention.

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<sup>i</sup> Fellitti, V. J., Anda, R. F., Nordenberg, D., Williamson, D. F., Spitz, A. M., Edwards, V., Koss, M. P., & Marks, J. S. (1998). *Relationship of childhood abuse and household dysfunction to many of the leading causes of death in adults*. *American Journal of Preventive Medicine*, 14(4), 245–258.

<sup>ii</sup> U.S. Department of Health & Human Services, Administration for Children and Families, Administration on Children, Youth and Families, Children's Bureau. (2020). *Child Maltreatment 2018*. Available from <https://www.acf.hhs.gov/sites/default/files/cb/cm2018.pdf>

<sup>iii</sup> Finkelhor D., Turner H., Ormond R., & Hamby S.L. (2009) *Violence, abuse, and crime exposure in a national sample of children and youth*. *Pediatrics*; 124: 1411-23.

<sup>iv</sup> Fang, X., Brown, D.S., Florence, C.S., and Mercy, J.A. (2012). *The economic burden of child maltreatment in the United States and implications for prevention*. *Child Abuse and Neglect*. Retrieved from <http://www.sciencedirect.com/science/journal/aip/01452134>

One of the major challenges facing the child maltreatment prevention field is that there are hundreds of prevention interventions being utilized by practitioners across the country, few are evidence-based, and the majority focus on changing individual behavior rather than the broader context in which child maltreatment occurs. Individual or family approaches do not take into account that child maltreatment and SSNRs & Es emerge from, and are sustained within, social contexts. These circumstances are shaped by a wider set of forces: economics, social policies, and politics. Thus, there is reason to believe that community and societal-level prevention strategies (e.g., policies, changing broad social norms, and increasing support for evidence-based interventions) may increase safe, stable, nurturing relationships and environments and decrease child maltreatment.

North Carolina is one of seven (7) states awarded funding from the CDC to implement community and societal-level prevention strategies and approaches for child maltreatment prevention. The North Carolina Department of Health and Human Services, Division of Public Health (NCDHHS-DPH) receives CDC funding for North Carolina Essentials for Childhood (NCE4C) to leverage state investments to address the urgent public health problem of child maltreatment. The NCE4C initiative supports the implementation of specific goal areas of the North Carolina Early Childhood Action Plan (NCECAP) and the North Carolina Opioid Action Plan 2.0 (NCOAP 2.0). Additional information about NCE4C is available in Section II.

The purpose of this RFA is to invite interested organizations to apply to serve as the backbone organization for the NCE4C Initiative in collaboration with the NCDHHS-DPH. For this RFA, a backbone organization is defined as a statewide center or partnership that supports state and local efforts to design, implement, and sustain community and societal-level child maltreatment prevention strategies and approaches and implementation of the State Action Plan. The backbone organization provides independent staffing that is dedicated to coordinating the various activities and stakeholder groups involved in this and similar initiatives. Additional information is provided in Section III.

## **ELIGIBILITY**

This RFA is open to state agencies, state or private universities, or a not-for-profit organization with a current 501(c)(3) status with *statewide reach* and interested in providing backbone support to coordinate implementation of a statewide effort to improve child wellbeing and the primary prevention of child maltreatment through selected strategies and approaches outlined in the CDC Technical Package for Child Abuse and Neglect Prevention, the North Carolina Early Childhood Action Plan, and the North Carolina Opioid Action Plan 2.0. Within this initiative, the backbone organization will provide the supporting infrastructure to coordinate work among partners and push forward the implementation of selected strategies. While the backbone role is often played by a single organization, a partnership of organizations may also prove effective. While only one application will be funded, applicants may elect to partner with other organizations by subcontracting particular roles. The selected contractor shall work with the NCDHHS-DPH and the NCE4C Steering Committee which provides ongoing feedback to support decision making for the initiative.

## **FUNDING**

NCDHHS-DPH will contract with one (1) organization. The funded organization will be eligible to receive funding for up to three years pending satisfactory performance and funding availability. Up to \$1,080,000 total is available to fund the project for the following budget periods.

- September 1, 2020-August 31, 2021 (up to \$360,000)
- September 1, 2021-August 31, 2022 (up to \$360,000)
- September 1, 2022-August 31, 2023 (up to \$360,000)

IMPORTANT NOTE: Up to \$125,000 may be applied to the costs associated with staffing for the backbone organization. The remaining funds shall be allocated for the implementation of strategies and approaches as outlined in Section II. The source for this funding is 100% federal.

### **Federal Grant Information:**

Name: State Essentials for Childhood: implementation of Strategies and Approaches for Child Abuse and Neglect Prevention

CFDA: 93.136

Award #: NH28CE002401

Type: Cooperative Agreement

Department: Centers for Disease Control and Prevention

## II. BACKGROUND

North Carolina Essentials for Childhood (NCE4C) is a federally funded initiative which began in 2013 as a collective impact initiative focused on aligning and building cross-sector work across the state with a goal of promoting safe, stable, nurturing relationships in families, communities, and environments (e.g., early learning school environments, and communities) to prevent child maltreatment. Between January and December 2014, a group of approximately 50 stakeholders came together, through a North Carolina Institute of Medicine (NCIOM) Task Force, to study the issue of child maltreatment prevention and develop a state action plan.<sup>v</sup>

The Task Force on Essentials for Childhood was tasked with studying and developing a collaborative, evidence-based, systems-oriented, public health-grounded strategic state action plan to reduce child maltreatment and increase family well-being in North Carolina. One of the major challenges facing the child maltreatment prevention field is that while there are a number of prevention interventions being utilized by practitioners across the state, few are evidence-based, none are to scale, and the majority focus on changing individual behavior rather than the broader context in which child maltreatment occurs. Individual or family approaches do not consider that child maltreatment emerges from, and is sustained within, social contexts. These circumstances are shaped by a wider set of forces: economics, social policies, and politics. Thus, there is reason to believe that community and societal-level prevention strategies (e.g., policies, changing broad social norms, and increasing support for evidence-based interventions) may increase SSNRs & Es and decrease child maltreatment. The field is also challenged to recognize and address child maltreatment as a public health issue, and to develop comprehensive multi-level approaches informed by a social-ecological model of health promotion. Using the CDC Essentials for Childhood Framework<sup>vi</sup>, the Task Force developed a collective, evidence-based child maltreatment prevention state plan that included fifteen recommendations, with associated strategies, in the CDC's Essentials four (4) goal areas.

Between 2015-2018, the focus of NCE4C was on the implementation of the state action plan (NCIOM Task Force recommendations), utilizing a collective impact framework. The NCE4C Backbone Organization and Steering Committee developed an action-oriented, collaborative vision, and mission statement to drive the work:

- Vision: Children, youth, and families thrive in safe, stable, nurturing, and healthy relationships and environments and can reach their full potential within their community.

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<sup>i</sup>The Task Force on Essentials for Childhood was a collaborative effort between NCIOM and NCDPH and funded by a grant from the CDC. The full report is available at: <http://nciom.org/task-force-on-essentials-for-childhood/>

<sup>vi</sup> CDC Essentials for Childhood Framework is available at: <https://www.cdc.gov/violenceprevention/childabuseandneglect/essentials.html>

- Mission: Promote child and family well-being in North Carolina by implementing the collective statewide strategic plan for preventing child maltreatment and securing child and family well-being developed by the Essentials for Childhood Task Force.
- Key Goals:
  - Raise awareness and commitment to promote safe, stable, nurturing relationships and environments and prevent child maltreatment;
  - Use data to inform action;
  - Create the context for healthy children and families through evidence-based, trauma-informed programs and policies; and
  - Support improved agency coordination and cross-state alignment.

In May 2018, Essentials for Childhood Task Force members and additional partners and stakeholders were convened to review progress on implementation of recommendations, discuss ongoing work and challenges, and identify new opportunities and priorities for action. In our review of Task Force recommendations, we identified that out of 15 total recommendations, four have been fully implemented and an additional eight are in process, for a total of 80% of the Task Force recommendations partially or fully implemented.

In June 2018, NCDHHS-DPH, in collaboration with partners and in support of the NC Early Childhood Action Plan, applied for and received the second round of funding for Essentials for Childhood from the CDC for an additional five years (September 1, 2018 – August 31, 2023). The purpose of the current funding cycle is to decrease risk factors and increase protective factors for child maltreatment by leveraging multi-sector partnerships and resources to improve coordination and implementation of comprehensive child maltreatment prevention efforts across North Carolina. As a result, there will be increased awareness of societal factors that lead to SSNRs & Es and increased evidence related to population-based approaches of child maltreatment prevention that will also help close the gap of the inequitable burden of child maltreatment.

Specifically, the NCDHHS-DPH is funded, in collaboration with public and private partners, to:

- Enhance the North Carolina State Action Plan<sup>vii</sup>
- Implement at least two complementary child abuse and neglect prevention approaches from the CDC Technical Package to:
  - strengthening economic supports to families, and
  - change social norms to support parents and positive parenting<sup>viii</sup>;
- Develop and implement a process and outcome evaluation to support this work; and

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<sup>vii</sup> North Carolina has elected to use the North Carolina Early Childhood Action Plan (ECAP) as the enhanced state action plan for NC Essentials for Childhood. The NC ECAP is available at: <https://www.ncdhhs.gov/about/department-initiatives/early-childhood/early-childhood-action-plan>

<sup>viii</sup> The CDC Technical Package for Child Abuse and Neglect Prevention is available at: <https://www.cdc.gov/violenceprevention/pdf/can-prevention-technical-package.pdf>



- Leverage multi-sector partnerships and resources to provide safe, stable, and nurturing relationship and environments for all children with a focus on populations with an increased risk for child abuse and/or neglect.

These activities will result in a commitment to the practices and programs in the CDC’s Child Abuse and Neglect Prevention Technical Package, sustainable systems change, increases in and/or the alignment of resources, and increase cross-sector partnerships working to implement North Carolina’s Early Childhood Action Plan (ECAP) activities.

In addition, the CDC is providing supplemental funding to seven (7) funded State Essentials for Childhood Initiatives. The purpose of this program supplemental funding is to implement activities and approaches to address risk and protective factors for preventing opioid misuse/overdose and its relationship to adverse childhood experiences (ACEs). This supplement supports enhancing implementation of child abuse and neglect prevention activities, data collection, and evaluation activities conducted for the implementation of the State Essentials for Childhood Initiative: Implementation of Strategies and Approaches for Child Abuse and Neglect Prevention.

### **Description of North Carolina Essentials for Childhood**

The strategic direction for the NCE4C Initiative has been determined by NCDHHS-DPH and the NCE4C Steering Committee. The current focus is on policy, practice and social norms change related to family friendly workplace policies with an emphasis on paid family leave in addition to building community resilience as an ACE prevention strategy. Strategies and approaches are reassessed annually. These strategies support the North Carolina Early Childhood Action Plan and the NC Opioid Action Plan 2.0. Approaches and strategies include:

- Work with the business community to increase employer-based family friendly workplace policies with an emphasis on industries where employers are less likely to have access to family friendly policies/benefits;
- Build public awareness at the state and local levels about the benefits of family friendly workplace policies, including paid family leave and the impact of ACEs on the health and development of young children, which may lead to norms change;
- Increase community capacity to implement paid family leave policies at the local government level;
- Focus on racial equity and the disparate ways economic policies, including family friendly workplace policies, may impact families;
- Exploration of alternative strategies for implementation of paid family leave (e.g., insurance);
- Alignment of local plan development or implementation; and
- Build community capacity to address/prevent adverse childhood experiences and adverse community environments (the “pair of ACEs”).

### **III. SCOPE OF SERVICES**

#### **INPUT**

**Eligible Applicants:** This RFA is open to state agencies, public and private universities and not-for-profit organizations with a current 501(c) (3) status and *statewide reach* interested in providing backbone support to coordinate implementation of a statewide effort to improve child wellbeing and the primary prevention of child maltreatment through selected strategies and approaches outlined in the CDC Technical Package for Child Abuse and Neglect Prevention, the North Carolina Early Childhood Action Plan, and the North Carolina Opioid Action Plan 2.0.

The CDC requires the implementation of at least two complementary child abuse and neglect prevention approaches from their Technical Package which strengthens economic supports to families and influence social norms to support parents and positive parenting in addition to complementary activities to address risk and protective factors for preventing opioid misuse/overdose and its relationship to adverse childhood experiences (ACEs). As described in Section II (Background), North Carolina's current focus is on policy, practice and social norms change activities related to family friendly workplace policies with an emphasis on paid family leave in addition to building community capacity to address adverse childhood experiences and adverse community environments.

Within this effort, the backbone organization will provide the supporting infrastructure to coordinate and align work among partners/stakeholders and push forward through subcontracts the implementation of selected strategies. While only one application will be funded, applicants may elect to partner with other organizations by subcontracting particular roles or functions and the implementation of strategies and approaches.

**Contract Period:** The project period is September 1, 2020 through August 31, 2023. This contract is subject to annual renewal based upon criteria established by NCDHHS-DPH including performance and contractual compliance, and contingent upon the availability of funds for this purpose.

**Funds Available:** NCDHHS-DPH will contract with one (1) organization. The funded organization will be eligible to receive funding for up to three years pending satisfactory performance and funding availability. Up to \$1,080,000 total is available to fund the project for the following budget periods.

- September 1, 2020-August 31, 2021 (up to \$360,000)
- September 1, 2021-August 31, 2022 (up to \$360,000)
- September 1, 2022-August 31, 2023 (up to \$360,000)

Up to \$125,000 may be applied to the costs associated with staffing for the backbone organization. The remaining funds shall be allocated for the implementation of strategies and approaches as outlined in in Section II. The source for this funding is 100% federal. The federal grant is State Essentials for Childhood: implementation of Strategies and Approaches for Child Abuse and Neglect Prevention

The actual funding amount will be determined by NCDHHS-DPH based on the proposed execution of the project and the utilization of funds as outlined in the applications submitted. One application will be awarded funding. The award will be made annually for up to three (3) years, pending availability of

funds. **Funds are distributed on a reimbursement after expenditure basis. No advance/startup funds are provided to programs.**

**Backbone Roles and Responsibilities:** The following roles and responsibilities will be especially important for the NCE4C backbone organization. This role requires significant commitment, and prospective applicants are encouraged to consider these roles and responsibilities carefully before deciding to apply. Key backbone roles and responsibilities are as follows:

1. Provide overall project **strategic coherence**. Combine **strategy development** and effective **project management** for the collaborative effort.
2. Serve as a **neutral convener** and facilitate effective dialogues while mediating any conflict among stakeholders. The Backbone will need to be an honest broker working on behalf of the group, rather than promoting a single viewpoint.
3. In collaboration with the project evaluator, manage **data collection and analysis**, and utilize measurement as a tool for ongoing learning.
4. Support **community/stakeholder engagement** and build key relationships across the initiative. The Backbone will need to possess or quickly establish connections and credibility within North Carolina to foster relationships, create partnerships, and build on related existing statewide and regional initiatives.
5. Develop effective **communications and engagement** agendas that create a sense of urgency for change among participants, policymakers, funders, and the public.
6. Have the **infrastructure** to enable the set-up of the Backbone function within thirty days of selection (e.g., office space, fiscal agent, etc.)
7. Ability to work effectively with NCDHHS-DPH and the NCE4C steering committee.<sup>ix</sup>

In addition to these traditional backbone roles and responsibilities, the selected backbone organization for the NCE4C initiative shall also serve as an intermediary organization for the initiative. Intermediary organizations are defined as ones that "support the provision of services by other organizations rather than providing direct services itself." Intermediary organizations are increasingly being used in collective impact and similar collaborative approaches.

**Key Functions of Effective Backbone Organizations:** An effective backbone organization will perform multiple functions in supporting North Carolina Essentials for Childhood. While NCDHHS-DPH and the NCE4C Steering Committee will function as the ultimate decision-making body for the effort, the selected backbone organization will be responsible for providing the NCDHHS-DPH and the Steering Committee with support across multiple fronts. There are six (6) key functions of an effective backbone organization typically perform in their work. These functions are:

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<sup>ix</sup> Turner, S., Merchant, K., Kania, T, and Martin, E. (2012). *Understanding the Value of Backbone Organizations in Collective Impact: Parts 2 An in-depth review of what it takes to be a backbone organization and how to evaluate and support its work.* Stanford Social Innovation Review (July 2012). Available at: [https://ssir.org/articles/entry/understanding\\_the\\_value\\_of\\_backbone\\_organizations\\_in\\_collective\\_impact\\_2#](https://ssir.org/articles/entry/understanding_the_value_of_backbone_organizations_in_collective_impact_2#)

**1. Guide Vision and Strategy:**

- Build a common understanding of the problem that needs to be addressed.
- Provide strategic guidance to support the common agenda; serve as a thought leader for the initiative.
- Update this agenda throughout the evolution of the initiative.

**2. Support Aligned Activities:**

- Alignment of mutually reinforcing activities including alignment with the NC ECAP and NCOAP 2.0:
  - Coordinate and facilitate partners' continuous communication and collaboration;
  - Convene partners and key external stakeholders;
  - Create pathways for and recruit new partners so they become involved; and
  - Seek opportunities for alignment with other efforts.

**3. Establish Shared Measurement Practices:**

- Collect, analyze, interpret, and report data (in collaboration with the NCE4C evaluator)
- Provide technical assistance for building partners' data capacity (in collaboration with the NCE4C evaluator)

**4. Build Public Will:**

- Build public will, consensus and commitment:
  - Frame the problem to create a sense of urgency and articulate a call to action.
  - Support community member engagement activities.
  - Produce and manage communications (e.g., newsletters, updates reports).

**5. Advance Policy:**

- Advocate for an aligned policy agenda.

**6. Mobilize Resources:**

- Mobilize and align public and private resources to support initiative's goals.

**Self-Assessment for Interested Applicants:** The following questions are intended to assist applicants in assessing their own capacity and interest for serving as the backbone organization for North Carolina Essentials for Childhood.

- Currently **has a statewide presence** or willing to develop a statewide presence?
- Perceived as a **neutral convener** as opposed to an advocate of specific viewpoints?
- Viewed as a **credible organization with deep relationships, partnerships and knowledge** within North Carolina?
- Culturally competent** in working with diverse populations/communities within North Carolina?
- Knowledgeable about early childhood, child maltreatment prevention, and/or child well-being?
- Experienced in the **skills** of: *strategy development, group facilitation, data analysis, and public and community engagement and communication?*
- North Carolina Essentials for Childhood initiative goals are a good "fit" with your organizations mission, vision, and goals?
- Ability to take on a dual role of backbone support (engagement of collaborative partners to advance a shared agenda) and as the intermediary organization (distributing funds while holding those partners accountable)?

## OUTPUT

The Backbone Organization for the Essentials for Childhood Initiative shall maintain overall strategic coherence and coordination and manage the day-to-day operations and implementation of work, including stakeholder engagement, overseeing implementation of selected strategies and other responsibilities. The Backbone Organization shall work with the project evaluator regarding data collection and analysis. While funds from this award may not be used to supplant other funds, strategies developed to accomplish stated backbone and implementation activities *may* build from or off other current initiatives and/or activities of the applicant and partner organizations.

The applicants shall propose a detailed program plan including a timeline, budget, and organizational capacity statement demonstrating ability as an effective backbone organization for North Carolina Essentials for Childhood. At a minimum, the program plan shall include a description of how the following strategies/activities will be accomplished:

1. **Support Vision and Strategy:** The selected organization will work together with NCDHHS-DPH, the NCE4C Steering Committee and CDC to prioritize opportunities for action, and adapt to changing context and systems in the overall vision and implementation of strategies and approaches for child maltreatment prevention through policy, practice and social norms change related to family friendly workplace policies with an emphasis on paid family leave in addition to building community resilience as an ACE prevention strategy. It is critical that the backbone prioritizes equity in its efforts, thereby ensuring that partners and stakeholders keep equity at the center of their strategies and approaches. Tasks may include:
  - a. Building a common understanding of the problem across stakeholders and partners;
  - b. Updating this agenda throughout the evolution of the initiative;
  - c. Conducting research using a wide variety of sources as needed;
  - d. Ensuring that partners' individual work is increasingly aligned with the initiatives common agenda.
  
2. **Support Aligned Activities:** The backbone facilitates dialogue between partners, provides direct support for the NCE4C Steering Committee and group meetings as needed, and generally helps to coordinate actions across the effort. Tasks may include:
  - a. Working to ensure partners increasingly communicate and coordinate their activities toward common goals, strategies, approaches, and/or projects;
  - b. Facilitating coordination between partners that are working toward common goals, strategies, approaches, and/or projects;
  - c. Seeking out opportunities for alignment with other efforts;
  - d. Convening and facilitating working or learning groups to advance elements of the shared plan as needed; and
  - e. Supporting partners to collaboratively develop new or innovative approaches to meet shared goals.

3. **Establish Shared Measurement Practices:** The backbone will work with the NCE4C evaluator and assist with the facilitation of data collection among partners and supports the use of data for learning, quality improvement and evaluation. Task may include:
  - a. Helping partners share data with one another;
  - b. Assisting with gathering data for reports; and
  - c. Helping partners use data to adapt and refine their strategies.
  
4. **Build Public Will:** The backbone will assist in building public will, consensus and commitment by making stakeholders more aware of the issues and empowered to take action. Task may include:
  - a. Assisting partners/stakeholders in framing the problem to create a sense of urgency and articulating a call to action;
  - b. Connecting the broad need for family friendly workplace polies to other priority areas of focus such as maternal and child health, aging, work force development, etc.;
  - c. Support community member engagement activities; and
  - d. Producing and managing communications (e.g., news releases, reports)
  
5. **Advance Policy:** The backbone will play a role, with other organizations, supporting a family friendly workplace policy and ACE reduction agenda that impacts large systems in support of the effort's overall goal. Task may include:
  - a. Assisting partners/stakeholders in the development of an aligned policy agenda;
  - b. Educating policymakers on effective strategies for meeting collective goals; and
  - c. Tracking policy developments that impact the effort
  
6. **Mobilize Resources:** The backbone will assist NCDHHS-DPH with leverage multi-sector partnerships for increased use of existing resources toward the implementation strategies and approaches in support of the effort's overall goals and long-term sustainability. Task may include:
  - a. Working partners/stakeholders to increasingly align public and private resources.
  - b. Providing intermediary support for the initiative by managing subcontract budgets and distributing funds for the subcontractors based on agreed upon benchmarks.
  - c. Working with the NCE4C Steering Committee to determine subcontract budgets based on initiative priorities and available funding.
  
7. **Support Implementation:** The backbone will assist NCDHHS-DPH with overseeing implementation of complementary child abuse and neglect prevention approaches which:
  - a. Increase access to family friendly workplace policies;
  - b. Build public awareness at the state and local levels about the benefits of family friendly workplace policies, including paid family leave and the impact of ACEs on the health and development of young children, which may lead to norms change; and
  - c. Reduce opioid misuse/overdoes and ACE prevention.

**OUTCOME**

The goal of this funding is to develop and sustain a backbone organization that will coordinate the North Carolina Essentials for Childhood initiative and oversee implementation of prioritized areas for action in a coordinated way. One of the ways that collective impact differs from other collaborative models is the presence of a backbone organization. The backbone organization facilitates a deeper level of collaboration and coordinated action and essentially acts as the glue that holds diverse stakeholders together and moves them forward. However, it is difficult to evaluate outcomes. The following chart provides illustrative outcomes for a backbone organization. <sup>x</sup>

<b>Function</b>	<b>Short-term Outcomes</b>	<b>Intermediate Outcomes</b>
<b>Guide Vision and Strategy</b>	Partners share a common understanding of the need and desired result.	Partners’ individual work is increasingly aligned with the initiative’s common agenda.
<b>Support Aligned Activities</b>	Partners increasingly communicate and coordinate their activities toward common goals.	Partners collaboratively develop new approaches to advance the initiative.
<b>Establish Shared Measurement Practices</b>	Partners understand the value of sharing data.	Partners increasingly use data to adapt and refine their strategies.
<b>Build Public Will</b>	Guide vision and strategy.	More community members feel empowered to take action on the issue.
<b>Advance Policy</b>	Partners increasingly communicate and coordinate their activities toward common goals.	Policy changes increasingly occur in line with the initiative’s goals.
<b>Mobilize Resources</b>	Funding is secured to support initiative activities.	Philanthropic and public funds are increasingly aligned with initiative goals.

The Division of Public Health recognizes that the work of backbone organizations is complex, and the impact of the organizations’ efforts is hard to articulate because most work is done behind the scenes. NCDHHS-DPH and the NCE4C Steering Committee will regularly assess progress of the initiative. Outcomes are expected to be incremental over the life of the contract.

**SERVICE QUALITY**

The quality of service delivery is defined as evidence-based (when available), comprehensive, coordinated, and collaborative across systems. Services must be culturally competent, strengths based, and demonstrate statewide reach.

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<sup>x</sup> Kania, J. and Kramer, M. (2011). *Collective Impact*. Stanford Social Innovation Review (Winter 2011). Retrieved from: [http://ssir.org/images/articles/2011\\_WI\\_Feature\\_Kania.pdf](http://ssir.org/images/articles/2011_WI_Feature_Kania.pdf)

## **IV. GENERAL INFORMATION ON SUBMITTING APPLICATIONS**

### **1. Award or Rejection**

All qualified applications will be evaluated, and award made to that agency or organization whose combination of budget and service capabilities are deemed to be in the best interest of the funding agency. The funding agency reserves the unqualified right to reject any or all offers if determined to be in its best interest. Successful applicants will be notified by June 1, 2020.

### **2. Decline to Offer**

Any agency or organization that receives a copy of the RFA but declines to make an offer is requested to send a written "Decline to Offer" to the funding agency. Failure to respond as requested may subject the agency or organization to removal from consideration of future RFAs.

### **3. Cost of Application Preparation**

Any cost incurred by an agency or organization in preparing or submitting an application is the agency's or organization's sole responsibility; the funding agency will not reimburse any agency or organization for any pre-award costs incurred.

### **4. Elaborate Applications**

Elaborate applications in the form of brochures or other presentations beyond that necessary to present a complete and effective application are not desired.

### **5. Oral Explanations**

The funding agency will not be bound by oral explanations or instructions given at any time during the competitive process or after awarding the grant.

### **6. Reference to Other Data**

Only information that is received in response to this RFA will be evaluated; reference to information previously submitted will not suffice.

### **7. Titles**

Titles and headings in this RFA and any subsequent RFA are for convenience only and shall have no binding force or effect.

### **8. Form of Application**

Each application must be submitted on the form provided by the funding agency and will be incorporated into the funding agency's Performance Agreement (contract).

### **9. Exceptions**

All applications are subject to the terms and conditions outlined herein. All responses will be controlled by such terms and conditions. The attachment of other terms and conditions by any agency or organization may be grounds for rejection of that agency or organization's application. Funded agencies and organizations specifically agree to the conditions set forth in the Performance Agreement (contract).



**10. Advertising**

In submitting its application, agencies and organizations agree not to use the results therefrom or as part of any news release or commercial advertising without prior written approval of the funding agency.

**11. Right to Submitted Material**

All responses, inquiries, or correspondence relating to or in reference to the RFA, and all other reports, charts, displays, schedules, exhibits, and other documentation submitted by the agency or organization will become the property of the funding agency when received.

**12. Competitive Offer**

Pursuant to the provision of G.S. 143-54, and under penalty of perjury, the signer of any application submitted in response to this RFA thereby certifies that this application has not been arrived at collusively or otherwise in violation of either Federal or North Carolina antitrust laws.

**13. Agency and Organization's Representative**

Each agency or organization shall submit with its application the name, address, and telephone number of the person(s) with authority to bind the agency or organization and answer questions or provide clarification concerning the application.

**14. Subcontracting**

Agencies and organizations may propose to subcontract portions of work provided that their applications clearly indicate the scope of the work to be subcontracted, and to whom. All information required about the prime grantee is also required for each proposed subcontractor. Agencies and organizations shall also ensure that subcontractors are not on the state's Suspension of Funding List available at: <https://www.osbm.nc.gov/library/2019-20-sofl-memos>.

**15. Proprietary Information**

Trade secrets or similar proprietary data which the agency or organization does not wish disclosed to other than personnel involved in the evaluation will be kept confidential to the extent permitted by NCAC TO1: 05B.1501 and G.S. 132-1.3 if identified as follows: Each page shall be identified in boldface at the top and bottom as "CONFIDENTIAL." Any section of the application that is to remain confidential shall also be so marked in boldface on the title page of that section.

**16. Participation Encouraged**

Pursuant to Article 3 and 3C, Chapter 143 of the North Carolina General Statutes and Executive Order No. 77, the funding agency invites and encourages participation in this RFA by businesses owned by minorities, women and the disabled, including utilization as subcontractor(s) to perform functions under this Request for Applications.

**17. Contract**

The Division will issue a contract to the recipient of the RFA funding. Expenditures can begin immediately upon receipt of a completely signed contract.

## V. APPLICATION PROCUREMENT PROCESS AND APPLICATION REVIEW

The following is a general description of the process by which applicants will be selected for funding for this project.

### 1. **Announcement of the Request for Applications (RFA)**

The announcement of the RFA and instructions for receiving the RFA will be posted at the following DHHS website on March 2, 2020:

<http://www.ncdhhs.gov/about/grant-opportunities/public-health-grant-opportunities> and may be sent to prospective agencies and organizations via direct mail, email, and/or the Program's website.

### 2. **Distribution of the RFA**

RFAs will be posted on the Program's website <https://publichealth.nc.gov/wch/> and may be sent via email to interested agencies and organizations beginning March 2, 2020.

### 3. **Technical Assistance Teleconference / Question & Answer Period**

An optional web-based technical assistance teleconference will be held on **Friday, March 13, 2020** from **10 am to 11 am** via link at:

<https://ncdhhschildrenandyouth.adobeconnect.com/rkbbhpfm4v3b/> and conference call number at: **877-336-1831; Access code 9728718#**

Written questions concerning the specifications in this Request for Applications will be received by Catherine Joyner at [catherine.joyner@dhhs.nc.gov](mailto:catherine.joyner@dhhs.nc.gov) until 5 pm on March 24, 2020. As an addendum to this RFA, a summary of all questions and answers will be posted at <https://publichealth.nc.gov/wch/> on March 31, 2020.

### 4. **Notice of Intent to Apply**

Any agency that plans to submit an application shall submit a Notice of Intent no later than 5pm on March 24, 2020 to Catherine Joyner at [catherine.joyner@dhhs.nc.gov](mailto:catherine.joyner@dhhs.nc.gov). Please include the following information in the Notice of Intent:

- The legal name of the agency.
- The name, title, phone number, mailing address, and email address of the person who will coordinate the application submission.

### 5. **Applications**

Applicants shall submit an electronic copy of the signed application and all attachments to Catherine Joyner at [catherine.joyner@dhhs.nc.gov](mailto:catherine.joyner@dhhs.nc.gov) by **5 pm on Friday, April 17, 2020** in MS Word or PDF format. Budgets and budget narratives shall be included as part of the application submitted. The budget may be submitted as a separated file in an MS Excel format. The electronic application must contain signed documents. Paper copies or faxed applications will not be accepted.

**6. Format**

The application must be typed, single-side on 8.5” x 11” paper with margins of 1”. Line spacing should be single-spaced. The font should be easy to read and no smaller than an 11-point font. Application pages shall be numbered.

**7. Page Limitations**

There are no page limitations, but it is important to be concise and only include pertinent information.

**8. Application Deadline**

All applications must be received by the date and time on the cover sheet of this RFA. Paper copies or faxed applications ***will not*** be accepted.

**9. Receipt of Applications**

Applications from each responding agency and organization will be logged into the system. The date and time of application receipt will be documented by the date and time shown on the email submission received via [catherine.joyner@dhhs.nc.gov](mailto:catherine.joyner@dhhs.nc.gov). All applicants will receive an email acknowledging application receipt.

**10. Review of Applications**

Applications are reviewed by a multi-disciplinary committee of public and private health and human services providers who are familiar with the subject matter. Staff from applicant agencies may not participate as reviewers.

Applications will be evaluated by a committee according to completeness, content, experience with similar projects, ability of the agency's or organization's staff, cost, etc. The State reserves the right to conduct site visits as part of the application review and award process. The award of a grant to one agency and organization does not mean that the other applications lacked merit, but that, all facts considered, the selected application was deemed to provide the best service to the State. Agencies and organizations are cautioned that this is a request for applications, and the funding agency reserves the unqualified right to reject any and all applications when such rejections are deemed to be in the best interest of the funding agency.

**11. Request for Additional Information**

At their option, the application reviewers may request additional information from any or all applicants for the purpose of clarification or to amplify the materials presented in any part of the application. However, agencies and organizations are cautioned that the reviewers are not required to request clarification. Therefore, all applications should be complete and reflect the most favorable terms available from the agency or organization.

**12. Audit**

Please be advised that successful applicants may be required to have an audit in accordance with G.S. 143C-6-22 and G.S. 143C-6-23 as applicable to the agency’s status.

G.S. 143C-6-23 requires every nongovernmental entity that receives State or Federal pass-through grant funds directly from a State agency to file annual reports on how those grant funds were used.

There are 3 reporting levels which are determined by the total direct grant receipts from all State agencies in the entity's fiscal year:

Level 1: Less than \$25,000

Level 2: At least \$25,000 but less than \$500,000

Level 3: \$500,000 or more

Level 3 grantees are required to submit a "Yellow Book" Audit done by a CPA. Only Level 3 grantees may include audit expenses in the budget. Audit expenses should be prorated based on the ratio of the grant to the total pass-through funds received by the entity.

### **13. Assurances**

The contract may include assurances that the successful applicant would be required to execute prior to receiving a contract as well as when signing the contract.

### **14. Additional Documentation to Include with Application**

All applicants are required to include documentation of their tax identification number.

Those applicants which are private non-profit agencies are to include a copy of an IRS determination letter regarding the agency's 501(c)(3) tax-exempt status. (This letter normally includes the agency's tax identification number, so it would also satisfy that documentation requirement.)

In addition, those private non-profit agencies are to provide a completed, signed, and notarized page verifying continued existence of the agency's 501(c)(3) status. (An example of this page is provided in section *VIII.8 Verification of 501(c)(3) Status.*)

### **15. Federal Certifications**

Agencies or organizations receiving Federal funds would be required to execute Federal Certifications regarding Non-discrimination, Drug-Free Workplace, Environmental Tobacco Smoke, Debarment, Lobbying, and Lobbying Activities. A copy of the Federal Certifications is included in this RFA for your reference (see Appendix A). Federal Certifications should NOT be signed or returned with application.

### **16. System for Award Management Database (SAM)**

All grantees receiving federal funds must be actively registered in the federal government's System for Award Management (SAM) database, or be willing to complete the registration process in conjunction with the award (see [www.sam.gov](http://www.sam.gov)). To maintain an active SAM record, the record must be updated no less than annually.

**17. Additional Documentation Prior to Contract Execution**

Contracts require more documentation prior to contract execution. After the award announcement, agencies will be contacted about providing the following documentation:

- a. A completed and signed letter from the agency’s Board President/Chairperson identifying individuals as authorized to sign contracts. (A reference version appears in Appendix A.)
- b. A completed and signed letter from the agency’s Board President/Chairperson identifying individuals as authorized to sign expenditure reports. (A reference version appears in Appendix A.)
- c. Documentation of the agency’s DUNS number. Documentation consists of a copy of communication (such as a letter or email correspondence) from Dun & Bradstreet (D&B) which indicates the agency or organization’s legal name, address, and DUNS number. In lieu of a document from D&B, a copy of the agency or organization’s SAM record is acceptable.

If your agency does not have a DUNS number, please use the D&B online registration (<http://fedgov.dnb.com/webform>) to receive one free of charge. (DUNS is the acronym for the Data Universal Numbering System developed and regulated by D&B.)

Contracts with private non-profit agencies require additional documentation prior to contract execution. After the award announcement, private non-profit agencies will be contacted about providing the following documentation:

- a. A completed, signed, and notarized statement which includes the agency’s Conflict of Interest Policy. (A reference version appears in Appendix A.)
- b. A completed, signed, and notarized page certifying that the agency has no overdue tax debts. (A reference version appears in Appendix A)

All grantees receiving funds through the State of North Carolina are required to execute Contractor Certifications Required by North Carolina Law. A copy of the certifications is included in this RFA for your reference (see Appendix A). Contractor Certifications should NOT be signed or returned with application.

Note: At the start of each calendar year, all agencies with current DPH contracts are required to update their contract documentation. These agencies will be contacted a few weeks prior to the due date and will be provided the necessary forms and instructions.

**18. Registration with Secretary of State**

Private non-profit applicants must also be registered with the North Carolina Secretary of State to do business in North Carolina or be willing to complete the registration process in conjunction with the execution of the contract documents. (Refer to: [https://www.sosnc.gov/divisions/business\\_registration](https://www.sosnc.gov/divisions/business_registration))

**19. Federal Funding Accountability and Transparency Act (FFATA)**

**Data Reporting Requirement**

The Contractor shall complete and submit to the Division, the Federal Funding Accountability and Transparency Act (FFATA) Data Reporting Requirement form within 10 State Business Days upon request by the Division when awarded \$25,000 or more in federal funds. A reference version appears in Appendix A.

**20. Iran Divestment Act**

As provided in G.S. 147-86.59, any person identified as engaging in investment activities in Iran, determined by appearing on the Final Divestment List created by the State Treasurer pursuant to G.S. 147-86.58, is ineligible to contract with the State of North Carolina or any political subdivision of the State.

**21. Boycott Israel Divestment Policy**

As provided in Session Law 2017-193, any company that boycotts Israel, determined by appearing on the Final Divestment List created by the State Treasurer pursuant to Session Law 2017-193 is ineligible to contract with the State of North Carolina or any political subdivision of the State.

**22. Application Process Summary Dates**

03/02/2020: Request for Applications released to eligible applicants.

03/13/2020: Technical Assistance Web-based Teleconference.

03/24/2020: Notice of Intent due.

03/24/2020: End of Q & A period. All questions due in writing by 5pm.

03/31/2020: Answers to Questions released to all applicants, as an addendum to the RFA.

04/17/2020: Applications due by 5pm.

06/01/2020: Successful applicant will be notified.

09/01/2020: Propose contract start date.

## **VI. PROJECT BUDGET**

### **Budget and Justification**

Applicants must submit a budget, which requires a line item budget for the first year of funding *only* and a narrative justification.

### **Narrative Justification for Expenses**

A narrative justification must be included for every expense listed in the budget. Each justification should show how the amount on the line item budget was calculated, and it should be clear how the expense relates to the project.

### **Travel Reimbursement Rates**

Mileage reimbursement rates must be based on rates determined by the North Carolina Office of State Budget and Management (OSBM). Because mileage rates fluctuate with the price of fuel, the OSBM will release the “Change in IRS Mileage Rate” memorandum to be found on OSBM’s website when there is a change in this rate. The current state mileage reimbursement rate is 57.5 cents per mile.

For other travel related expenses, please refer to the current rates for travel and lodging reimbursement, presented in the chart below. However, please be advised that reimbursement rates periodically change. The Division of Public Health will only reimburse for rates authorized in OSBM’s North Carolina Budget Manual or adopted by means of an OSBM Budget Memo. These documents are located here: <https://www.osbm.nc.gov/library>

### **Current Rates for Travel and Lodging**

<b>Meals</b>	<b>In State</b>	<b>Out of State</b>
Breakfast	\$8.60	\$8.60
Lunch	\$11.30	\$11.30
Dinner	\$19.50	\$22.20
<i>Total Meals Per Diem Per Day</i>	<i>\$39.40</i>	<i>\$42.10</i>
<b>Lodging</b> ( <i>Maximum rate per person, excludes taxes and fees</i> )	\$75.10	\$88.70
<b>Total Travel Allowance Per Day</b>	<b>\$114.50</b>	<b>\$130.80</b>
Mileage	\$0.575 per mile	

### **Audits**

G.S. 143C-6-23 requires every nongovernmental entity that receives State or Federal pass-through grant funds directly from a State agency to file annual reports on how those grant funds were used. There are 3 reporting levels that are determined by the total direct grant receipts from all State agencies in the entity’s fiscal year:

Level 1: Less than \$25,000

Level 2: At least \$25,000 but less than \$500,000

Level 3: \$500,000 or more

Level 3 grantees are required to submit an audit. Only Level 3 grantees may include audit expenses in the budget. Audit expenses should be prorated based on the ratio of the grant to the total pass-through funds received by the entity.

### **Indirect Cost**

Indirect cost is the cost incurred for common or joint objectives which cannot be readily identified but are necessary to the operations of the organization, e.g., the cost of operating and maintaining facilities, depreciation, and administrative salaries. Regulations restricting the allocation of indirect cost vary based on the funding source.

This RFA is funded by CFDA 93.136 - Injury Prevention and Control Research and State Community Based Programs. Indirect cost is allowed on the portion of the sub-award funded by State Essentials for Childhood Initiative: Implementation of Strategies and Approaches for Child Abuse and Neglect Prevention.

Where the applicant has a Federal Negotiated Indirect Cost Rate (FNICR), the applicant agency may request up to the federally negotiated rate. The total modified direct cost identified in the applicant's FNICR shall be applied. A copy of the FNICR must be included with the applicant's budget.

If the applicant does not have an FNICR, a 10% indirect cost rate (known as the *de minimis* rate) may be used on the total, modified direct cost as defined in 2 CFR 200.68, *Modified Total Direct Cost (MTDC)*, with no additional documentation required, per the U.S. Office of Management and Budget (OMB) Omni-Circular. Applicants must indicate in the budget narrative that they wish to use the *de minimis* rate, or some part thereof. Applicants who do not wish to claim any indirect cost should enter "No indirect cost requested" in the indirect cost line item of the budget narrative.

<u>Year</u>	<u>State Essentials for Childhood Initiative: Implementation of Strategies and Approaches for Child Abuse and Neglect Prevention</u>
1	\$360,000
2	\$360,000
3	\$360,000



## **VII. EVALUATION CRITERIA**

### **Scoring of Applications**

The application is worth 100 points. Applications shall be evaluated using criteria consistent with the roles and responsibilities of a backbone organization listed in Section III: Scope of Services and based on the responses to the application content areas and proposed budget. Point values are clearly marked beside each item on the Application Response on pages 29-31. The point value for each section of the application is listed below.

### **Cover Letter**

### **Proposal Summary (Abstract)**

Total point value = 4

### **Organizational Ability**

Total point value = 30

### **Organizational Expertise**

Total point value = 30

### **Program Plan**

Total point value = 30

### **Budget**

Total point value = 6

A multi-disciplinary selection committee chosen by the North Carolina Division of Public Health will review each application submitted for both content and quality of responses to each item on the application. Following initial review by the selection committee, a subset of applicants may be asked to meet with members of the selection committee at a mutually convenient time during **mid-May 2020** to enable the selection committee to obtain a better understanding of the applicant agency's capabilities and willingness to support the North Carolina Essentials for Childhood Initiative. The selection committee will submit recommendations to the North Carolina Division of Public Health based on the selection process. The Division will make a final selection and notify the successful applicant in writing no later than **June 1, 2020**.

## VIII. APPLICATION

### Application Checklist

The following items must be included in the application. Only electronic applications will be accepted via email attachment(s) (doc, docx, PDF formats, and/or xls), including all required attachments. Applicants may send multiple attachments or scan the application into one file. Electronic applications shall be sent directly to [Catherine.joyner@dhhs.nc.gov](mailto:Catherine.joyner@dhhs.nc.gov)

1. \_\_\_ **Cover Letter**
2. \_\_\_ **Application Face Sheet**
3. \_\_\_ **Applicant's Response (Project Narrative)**  
\_\_\_ **Section I: Abstract**  
\_\_\_ **Section II: Organizational Ability**  
\_\_\_ **Section III: Organizational Expertise**  
\_\_\_ **Section IV Project Plan**
4. \_\_\_ **Project Budget** (Include a budget in the format provided)
5. \_\_\_ **Indirect Cost Rate Approval Letter** (if applicable)
6. \_\_\_ **Letters of Commitment**
7. \_\_\_ **IRS Documentation:**  
\_\_\_ **IRS Letter Documenting Your Organization's Tax Identification Number**  
(public agencies)  
*or*  
\_\_\_ **IRS Determination Letter Regarding Your Organization's 501(c)(3) Tax-exempt Status** (private non-profits)  
*and*
8. \_\_\_ **Verification of 501(c)(3) Status Form** (private non-profits only)
9. \_\_\_ **Attachment A: Organization Information**

## 1. Cover Letter

The application must include a cover letter, on agency letterhead, signed and dated by an individual authorized to legally bind the Applicant.

Include in the cover letter:

- the legal name of the Applicant agency
- the RFA number
- the Applicant agency's federal tax identification number
- the Applicant agency's DUNS number
- the closing date for applications.

## 2. Application Face Sheet

This form provides basic information about the applicant and the proposed project Essentials for Childhood, including the signature of the individual authorized to sign “official documents” for the agency. This form is the application’s cover page. Signature affirms that the facts contained in the applicant’s response to RFA # A-375 are truthful and that the applicant is in compliance with the assurances and certifications that follow this form and acknowledges that continued compliance is a condition for the award of a contract. Please follow the instructions below.

1. Legal Name of Agency:	
2. Name of individual with Signature Authority:	
3. Mailing Address (include zip code+4):	
4. Address to which checks will be mailed:	
5. Street Address:	
6. Contract Administrator: Name: Title:	Telephone Number: Fax Number: Email Address
7. Agency Status (check all that apply):  <input type="checkbox"/> Public <input type="checkbox"/> Private Non-Profit <input type="checkbox"/> Local Health Department	
8. Agency Federal Tax ID Number:	9. Agency DUNS Number:
10. Agency’s URL (website):	
11. Agency’s Financial Reporting Year:	
12. Current Service Delivery Areas (county(ies) and communities):	
13. Proposed Area(s) To Be Served with Funding (county(ies) and communities):	
14. Amount of Funding Requested	
15. Projected Expenditures: Does applicant’s state and/or federal expenditures exceed \$500,000 for applicant’s current fiscal year (excluding amount requested in #14)      Yes <input type="checkbox"/> No <input type="checkbox"/>	
The facts affirmed by me in this application are truthful and I warrant that the applicant is in compliance with the assurances and certifications contained in NC DHHS/DPH Assurances Certifications. I understand that the truthfulness of the facts affirmed herein and the continuing compliance with these requirements are conditions precedent to the award of a contract. The governing body of the applicant has duly authorized this document and I am authorized to represent the applicant.	
16. Signature of Authorized Representative:	17. Date

**3. Applicant’s Response**

The application is worth a total of 100 points (including cover letter). Point values are clearly marked for each section of the following applicant’s response.

**Section I: Project Abstract (Total Point Value: 4)**

The applicant shall provide a clear and concise summary of proposed strategies and activities as the backbone organization for North Carolina Essentials for Childhood Initiative. The proposal summary should reflect the applicants' understanding of the CDC’s *Essentials for Childhood* strategic frame for child maltreatment prevention, *Technical Package on Child Abuse and Neglect* as well as the roles and responsibilities of backbone organization for this initiative.

**Section II: Organizational Ability (Total Point Value: 30)**

- 2-1. Please describe your organization’s mission, background and core work. The agency’s organizational chart should be included in Attachment A. (2 Point)
- 2-2. Please describe why your organization is interested in serving as the backbone organization for North Carolina Essentials for Childhood. Please describe how the work of the effort will fit into your organization’s existing mission and core work. (8 Points)
- 2-3. Please describe challenges, if any, your organization might face in serving the dual roles of backbone and intermediary support for North Carolina Essentials for Childhood and potential strategies for addressing these challenges. (8 Points)
- 2-4. Please describe how would you establish an identity as a neutral convener? What obstacles might you have to overcome to be perceived in such a way? (2 points)
- 2-5. Describe your agency’s capacity to administer the grant funds if awarded, including managing subcontracts and timely submission of Contract Expense Reports (CERs). (4 Point)
- 2-6. Does your organization have physical infrastructure / office space to host or enable the set-up of a Backbone function? (1 Point)
- 2-7. Using the chart below, list all of the staff positions that are necessary as the backbone organization, include the amount of time to be spent on Essentials for Childhood. Additional rows may be added to the chart. Include copies of job descriptions and resumes/CVs in Attachment A (2 Points).

Position Title	Employee Name	Full Time Equivalency (FTE)	Check the items attached for each position
			<input type="checkbox"/> Job Description or <input type="checkbox"/> Resume
			<input type="checkbox"/> Job Description or <input type="checkbox"/> Resume
			<input type="checkbox"/> Job Description or <input type="checkbox"/> Resume

- 2-8. Summarize the background or experience of personnel in key project positions. If staff is not currently in place, explain the process for recruiting, hiring, and training them. If new positions will be created with this grant award, explain where these positions will fit into the organizational chart. (3 points)

**Section III: Organizational Expertise (Total Point Value: 30)**

- 3-1. Please describe the functional experience and expertise that your organization has in the following areas that are central to success as a backbone organization. Provide specific examples of past performance and achieved outcomes in each area including examples of or links to prior work products. (20 Points)
- A. Strategy development
  - B. Project management
  - C. Meeting facilitation and convening
  - D. Stakeholder engagement
  - E. Data collection and analysis and working with an external evaluator
  - F. Communications and advocacy
  - G. Support for the provisions of services by other organizations
- 3-2. Please describe the topical experience and expertise including any examples or links that your organization has in maternal and child health, early childhood, child maltreatment prevention, and/or child well-being. (10 Points)

**Section IV: Program Plan (Total Point Value: 30)**

- 4-1. Describe how your organization will achieve key functions of an effective backbone organization, roles and responsibilities and outputs outlined in the Scope of Services. Describe the activities in detail (who is responsible, when, where and how will activities occur). (12 points)
- 4-2. Describe how your organization will achieve intermediary functions for the implementation of strategies and approaches which will:
- Work with the business community to increase employer-based family friendly workplace policies with an emphasis on industries where employers are less likely to have access to family friendly policies/benefits;
  - Build public awareness at the state and local levels about the benefits of family friendly workplace policies, including paid family leave and the impact of ACEs on the health and development of young children, which may lead to norms change;
  - Increase community capacity to implement paid family leave policies at the local government level;
  - Focus on racial equity and the disparate ways economic policies, including family friendly workplace policies, may impact families;
  - Exploration of alternative strategies for implementation of paid family leave (e.g., insurance);
  - Align community plan development or implementation; and

- Build community capacity to address/prevent adverse childhood experiences and adverse community environments (the “pair of ACEs).

Are there any strategies or approaches your organization can not provide intermediary support for? (12 points)

- 4-3. Describe strategies for regularly assessing progress to guide continuous quality improvement as well as assessing the achievement of short-term and intermediate goals of this collective effort. (3 Points)
- 4-4. Describe any potential challenges that could hinder achievement of project outputs and/or outcomes and potential strategies for overcoming identified challenges. (3 Points)

#### **4. Project Budget (Total Point Value: 6)**

- 5-1. The budget provides a detailed description of each line item and justification for how each line item is determined for expenditures that will occur during the first year of the project and is submitted on the Open Windows Budget form. Includes enough resources for at least one staff member to attend the annual grantee meeting in Atlanta, GA. (3 Points)
- 5-2. The Year 1 budget is appropriate, clearly articulated, and enough to support the goals outlined in the proposal. (3 Points)

Applicants shall complete a proposed budget on the Open Windows Budget Form. Only the year one (1) budget (9/1/20 – 8/31/20) of the three-year grant period is required. The Open Windows Budget Form requires a line item budget and narrative justification for each line item. The Open Windows Budget Form may be downloaded from <https://publichealth.nc.gov/wch/>.

The budget must be submitted as an Excel document on the electronic copy of the proposal documents. Do not remove any of the formulas in the Excel document. A guide to complete this budget worksheet is posted at <https://publichealth.nc.gov/wch/>.

#### **Human Resources**

Provide staff names (if known), position title, and a brief description of the positions that shall be funded with grant funds in the justification narrative section. Human resources include salary/wages and fringe benefits for all employees of the agency included in the proposed project, including full-time and part-time staff.

#### **Travel**

Identify names and titles of staff for whom travel is proposed, briefly explain the purpose of the travel and how it relates to the project plan and provide an estimate of mileage and per diem costs showing how those expenses were calculated. (Note: travel must be computed at rates no higher than the current State regulations). Mileage shall be based on rates located on the North Carolina Office of State Budget and Management’s (OSBM) web page available at: <https://www.osbm.nc.gov/budman5-travel-policies>

Mileage rates fluctuate with the price of fuel; thus, the OSBM shall release a memorandum entitled “Change in IRS Mileage Rate” when there is a change in this rate. Effective January 1, 2020, the business standard mileage rate is 57.5 cents per mile. For other travel related expenses, please refer to the OSBM’s North Carolina Budget Manual available at: <https://www.osbm.nc.gov/state-budget-manual> .

Current rates for travel and lodging are presented in the chart below; however, it is recommended that the applicant visit the North Carolina Budget Manual website to verify rates prior to submission of the application. Subsistence is an allowance related to lodging and meal costs (including gratuities) (G. S.138-6). The maximum allowable statutory rate for meals and lodging (subsistence) is \$114.50 for in-state travel and \$130.80 for out-of-state travel.

<b>Meals and Lodging</b>	<b>In-State</b>	<b>Out-of-State</b>	
Meals-Breakfast	\$8.60	\$8.60	Must leave prior to 6 AM
Meals-Lunch	\$11.30	\$11.30	Must leave prior to Noon on the departure day or return after 2 PM on the returning day
Meals- Dinner	\$19.50	\$22.20	Must leave prior to 5 PM on the departure day or return after 8 PM on the returning day
Lodging	\$75.10 (maximum)	\$88.70 (maximum)	Prior approval is required if actual lodging costs exceeds the maximum allowed
<b>Total per day</b>	<b>\$114.50</b>	<b>\$130.80</b>	

A break allowance for external conferences with more than 20 attendees is allowed per person, per day in the amount of \$4.50.

**Allowable Travel Reimbursement Rates:**

<b>Travel</b>	<b>Rate</b>	<b>Reimbursement</b>
---------------	-------------	----------------------



Transportation by Personal Vehicle	\$0.575 per mile	Per mile.
Transportation by Common Carrier	Actual	Reimbursement for taxi, shuttle, rail, or bus fare is limited to actual coach fare, substantiated by receipt.
Parking fees, tolls, and storage fees	Actual	Reimbursable when the required receipts are obtained.

**Supplies and Materials**

Supplies and materials such as office supplies, educational items (curriculums), postage, etc. must be itemized and justified.

**Equipment: (May not exceed \$2,000 per item.)**

Equipment is for items that are purchased outright, not rented or leased. Note: this is not monthly usage, but rather the initial purchase of these items. Monthly usage should be entered under Utilities. Communication equipment includes Phone, Fax Machine and Cell Phone. Office equipment includes a Copier Machine. IT equipment includes Personal Computers, laptops, scanner, desk printers, and PC Speakers. Equipment should be itemized and justified.

**Operating Expenses**

Operating expenses generally include costs for rental space (including square footage of the space) and must be comparable to prevailing rents in the surrounding geographic area. Applicants shall include the costs of utilities and telephone services only when directly related to program activities. Cost for the purchase or rental/lease and maintenance of equipment may be included.

**Incentives**

Incentives may be provided to ensure the level of commitment that is needed to achieve the expected outcomes of the project. While there is no maximum amount of funding that may be used to provide incentives for program participants, the level of incentives must be appropriate for the level of participation needed to achieve the expected outcomes of the program.

Grant funds may not be used to provide cash payments as incentives. In-kind funds must be used to provide cash incentives. Grant funds may be used for non-cash incentives such as gift cards and healthy meals. If gift cards are provided, applicants must outline a plan to log them by serial number, maintain them in a locked storage cabinet, and obtain the signature of individuals upon receipt of the cards.

**Professional Services**

These costs generally include services that are outsourced such as bookkeeping and/or accounting services, training, etc.

**5. Indirect Cost Rate Approval Letter**

Indirect cost is the cost incurred for common or joint objectives which cannot be readily identified but are necessary to the operations of the organization (e.g. the cost of operating and maintaining facilities, depreciation, administrative salaries, accounting, audits, payroll and personnel management).

Regulations restricting the allocation of indirect cost vary based on the funding source. Indirect costs are allowed with this funding sources. Please refer to page 24 of this RFA.

Where the applicant has a federal negotiated Indirect Cost Rate Letter (FNICR), the letter should be provided in this item. Where the applicant has no FNICR, then this item's response should state that.

## 6. Letters of Commitment

Letters of specific commitment shall be included from any agency or organization integral to the success or implementation of the proposed project design. **Letters of commitment are required if specific strategies and/or approaches are provided by a subcontractor.** If the applicant will be relying on individuals or other agencies to implement any proposed activities, letters of specific commitment must be included. Examples of such agencies include those that will:

- Work with the business community to increase employer-based family friendly workplace policies with an emphasis on industries where employers are less likely to have access to family friendly policies/benefits;
- Build public awareness at the state and local levels about the benefits of family friendly workplace policies, including paid family leave and the impact of ACEs on the health and development of young children, which may lead to norms change;
- Increase community capacity to implement paid family leave policies at the local government level;
- Focus on racial equity and the disparate ways economic policies, including family friendly workplace policies, may impact families;
- Exploration of alternative strategies for implementation of paid family leave (e.g., insurance);
- Alignment of local plan development or implementation; and
- Build community capacity to address/prevent adverse childhood experiences and adverse community environments (the "pair of ACEs).

## 7. IRS Letter

### ***Public Agencies:***

Provide a copy of a letter from the IRS which documents your organization's tax identification number. The organization's name and address on the letter must match your current organization's name and address.

### ***Private Non-profits:***

Provide a copy of an IRS determination letter which states that your organization has been granted exemption from federal income tax under section 501(c)(3) of the Internal Revenue Code. The organization's name and address on the letter must match your current organization's name and address. This IRS determination letter can also satisfy the documentation requirement of your organization's tax identification number.

**8. Verification of 501(c)(3) Status Form**

**Verification of 501 (C)(3) Status**

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We, the undersigned entity, hereby testify that the undersigned entity's 501 (c)(3) status, on file with the North Carolina Department of Health and Human Services is still in effect.

\_\_\_\_\_  
Name of Agency

\_\_\_\_\_  
Signature of Chairman, Executive Director, or other authorized official

\_\_\_\_\_  
Title of above signed authorized official

Sworn to and subscribed before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

\_\_\_\_\_  
Notary Signature and Seal

Notary's commission expires \_\_\_\_\_, 20 \_\_\_\_.

## **9. Attachment A: Organizational information**

This attachment must include each of the following:

- Organizational chart of the applying agency.
- Job descriptions or resumes/CVs for all staff positions that are necessary to implement and support the backbone organization.

The applicant may include evidence of prior relevant experience which will demonstrate the organization's capacity as an effective backbone organization. This may include examples of work products; media articles; and or websites.

# **Appendix A Forms for Reference**

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Do **NOT** complete these documents at this time **nor return them** with the RFA response.  
They are for reference only.

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**FEDERAL CERTIFICATIONS**

**The undersigned states that:**

- (a) He or she is the duly authorized representative of the Contractor named below;
- (b) He or she is authorized to make, and does hereby make, the following certifications on behalf of the Contractor, as set out herein:
  - a. The Certification Regarding Nondiscrimination;
  - b. The Certification Regarding Drug-Free Workplace Requirements;
  - c. The Certification Regarding Environmental Tobacco Smoke;
  - d. The Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions; and
  - e. The Certification Regarding Lobbying;
- (c) He or she has completed the Certification Regarding Drug-Free Workplace Requirements by providing the addresses at which the contract work will be performed;
- (d) [Check the applicable statement]
  - He or she **has completed** the attached **Disclosure of Lobbying Activities** because the Contractor **has made, or has an agreement to make**, a payment to a lobbying entity for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action;
  - OR**
  - He or she **has not completed** the attached **Disclosure of Lobbying Activities** because the Contractor **has not made, and has no agreement to make**, any payment to any lobbying entity for influencing or attempting to influence any officer or employee of any agency, any Member of Congress, any officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action.
- (e) The Contractor shall require its subcontractors, if any, to make the same certifications and disclosure.

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<b>Signature</b>	<b>Title</b>
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<b>Contractor [Organization's] Legal Name</b>	<b>Date</b>
-----------------------------------------------	-------------

**[This Certification must be signed by a representative of the Contractor who is authorized to sign contracts.]**

**I. Certification Regarding Nondiscrimination**

**The Contractor certifies** that it will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (h) the Food Stamp Act and USDA policy, which prohibit discrimination on the basis of religion and political beliefs; and (i) the requirements of any other nondiscrimination statutes which may apply to this Agreement.

## **II. Certification Regarding Drug-Free Workplace Requirements**

1. **The Contractor certifies** that it will provide a drug-free workplace by:
  - a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Contractor's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
  - b. Establishing a drug-free awareness program to inform employees about:
    - (1) The dangers of drug abuse in the workplace;
    - (2) The Contractor's policy of maintaining a drug-free workplace;
    - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
    - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
  - c. Making it a requirement that each employee be engaged in the performance of the agreement be given a copy of the statement required by paragraph (a);
  - d. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the agreement, the employee will:
    - (1) Abide by the terms of the statement; and
    - (2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
  - e. **Notifying the Department within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;**

- f. Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
    - (1) taking appropriate personnel action against such an employee, up to and including termination; or
    - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and
  - g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
2. The sites for the performance of work done in connection with the specific agreement are listed below (list all sites; add additional pages if necessary):
- Street Address No.1:
- 
- City, State, Zip Code:
- 
- Street Address No.2:
- 
- City, State, Zip Code:
- 
3. Contractor will inform the Department of any additional sites for performance of work under this agreement.
4. False certification or violation of the certification may be grounds for suspension of payment, suspension or termination of grants, or government-wide Federal suspension or debarment. 45 C.F.R. 82.510.

**III. Certification Regarding Environmental Tobacco Smoke**

Public Law 103-227, Part C-Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000.00 per day and/or the imposition of an administrative compliance order on the responsible entity.



**The Contractor certifies** that it will comply with the requirements of the Act. The Contractor further agrees that it will require the language of this certification be included in any subawards that contain provisions for children's services and that all subgrantees shall certify accordingly.

#### **IV. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions**

##### **Instructions**

[The phrase "prospective lower tier participant" means the Contractor.]

1. By signing and submitting this document, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of the fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originate may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant will provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549, 45 CFR Part 76. You may contact the person to whom this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter any lower tier covered transaction with a person who is debarred, suspended, determined ineligible or voluntarily excluded from participation in this covered transaction unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this document that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized in paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension, and/or debarment.

### **Certification**

- a. **The prospective lower tier participant certifies**, by submission of this document, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- b. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

### **V. Certification Regarding Lobbying**

**The Contractor certifies**, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federally funded contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form SF-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award document for subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) who receive federal funds of \$100,000.00 or more and that all subrecipients shall certify and disclose accordingly.
4. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000.00 and not more than \$100,000.00 for each such failure.

### **VI. Disclosure of Lobbying Activities**

#### **Instructions**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member

of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or sub-award recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in Item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (Item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal Identifying number available for the Federal action identified in Item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in Item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in Item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (Item 4) to the lobbying entity (Item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate boxes. Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.

13. Check the appropriate boxes. Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

**Disclosure of Lobbying Activities  
(Approved by OMB 0348-0046)**

**Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352**

<p>1. Type of Federal Action:</p> <p><input type="checkbox"/> a. contract</p> <p><input type="checkbox"/> b. grant</p> <p><input type="checkbox"/> c. cooperative agreement</p> <p><input type="checkbox"/> d. loan</p> <p><input type="checkbox"/> e. loan guarantee</p> <p><input type="checkbox"/> f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p><input type="checkbox"/> a. Bid/offer/application</p> <p><input type="checkbox"/> b. Initial Award</p> <p><input type="checkbox"/> c. Post-Award</p>	<p>3. Report Type:</p> <p><input type="checkbox"/> a. initial filing</p> <p><input type="checkbox"/> b. material change</p> <p><b>For Material Change Only:</b></p> <p>Year _____ Quarter _____</p> <p>Date of Last Report: _____</p>
<p>4. Name and Address of Reporting Entity:</p> <p><input type="checkbox"/> Prime</p> <p><input type="checkbox"/> Subawardee Tier _____, (if known)</p> <p>Congressional District (if known) _____</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District (if known) _____</p>	
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number (if applicable) _____</p>	
<p>8. Federal Action Number (if known)</p>	<p>9. Award Amount (if known) :</p> <p>\$ _____</p>	
<p>10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):</p> <p align="center"><i>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</i></p>	<p>b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI):</p> <p align="center"><i>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</i></p>	
<p>11. Amount of Payment (check all that apply):</p> <p>\$ _____ € actual € planned</p>	<p>13. Type of Payment (check all that apply):</p> <p><input type="checkbox"/> a. retainer</p> <p><input type="checkbox"/> b. one-time fee</p> <p><input type="checkbox"/> c. commission</p> <p><input type="checkbox"/> d. contingent fee</p> <p><input type="checkbox"/> e. deferred</p> <p><input type="checkbox"/> f. other; specify: _____</p>	
<p>12. Form of Payment (check all that apply):</p> <p><input type="checkbox"/> a. cash</p> <p><input type="checkbox"/> b. In-kind; specify: Nature _____</p> <p style="padding-left: 100px;">Value _____</p>		
<p>14. Brief Description of Services Performed or to be Performed and Date(s) of Services, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11 (attach Continuation Sheet(s) SF-LLL-A, if necessary):</p>		
<p>15. Continuation Sheet(s) SF-LLL-A attached: <input type="checkbox"/> Yes <input type="checkbox"/> No</p>		

16. Information requested through this form is authorized by title 31 U. S. C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U. S. C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Telephone No: \_\_\_\_\_ Date: \_\_\_\_\_

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Standard Form - LLL

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D. C. 20503

**LETTER TO IDENTIFY INDIVIDUALS TO SIGN CONTRACTS**

**Letter from Board President/Chairperson Identifying  
Individuals as Authorized to Sign Contracts**

---

I, \_\_\_\_\_, Board President/Chairperson of  
\_\_\_\_\_ [Agency/Organization's legal name]

hereby identify the following individual(s) who is (are) authorized to sign **Contracts** for the  
organization named above:

Printed Name	Title
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____

Reference only — Not for signature

Signature	* Title	Date
	<i>* Indicate if you are the Board President or Chairperson</i>	

**LETTER TO IDENTIFY INDIVIDUALS TO SIGN EXPENDITURE REPORTS**

**Letter from Board President/Chairperson  
Identifying Individuals as Authorized to Sign  
Contract Expenditure Reports**

---

I, \_\_\_\_\_, Board President/Chairperson of  
\_\_\_\_\_ [Organization's legal name] hereby  
identify the following individual(s) who is (are) authorized to sign **Contract Expenditure  
Reports** for the organization/agency named above:

Printed Name	Title	Signature
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____

Reference only — Not for signature

Signature	* Title	Date
	<i>* Indicate if you are the Board President or Chairperson</i>	



**NOTARIZED STATEMENT AND CONFLICT OF INTEREST POLICY**

**Notarization of Conflict of Interest Policy**

---

State of North Carolina, County of \_\_\_\_\_  
I, \_\_\_\_\_, Notary Public for said County and State, certify that  
\_\_\_\_\_ personally appeared before me this day and  
acknowledged that he/she is \_\_\_\_\_  
[title]  
of \_\_\_\_\_  
[name of organization]  
and by that authority duly given and as the act of the Organization, affirmed that the foregoing  
Conflict of Interest Policy was adopted by the Board of Directors/Trustees or other governing  
body in a meeting held on the \_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.  
Sworn to and subscribed before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Signature and Seal  
Notary's commission expires \_\_\_\_\_, 20 \_\_\_\_.

***Instruction for the Organization:***  
Sign below and **attach the organization's Conflict of Interest Policy** which is referenced  
above.

Reference only – Not for signature  
\_\_\_\_\_  
Signature of above named Organization Official

## Conflict of Interest Policy

The Board of Directors/Trustees or other governing persons, officers, employees or agents are to avoid any conflict of interest, even the appearance of a conflict of interest. The Organization's Board of Directors/Trustees or other governing body, officers, staff and agents are obligated to always act in the best interest of the organization. This obligation requires that any Board member or other governing person, officer, employee or agent, in the performance of Organization duties, seek only the furtherance of the Organization mission. At all times, Board members or other governing persons, officers, employees or agents, are prohibited from using their job title, the Organization's name or property, for private profit or benefit.

A. The Board members or other governing persons, officers, employees, or agents of the Organization should neither solicit nor accept gratuities, favors, or anything of monetary value from current or potential contractors/vendors, persons receiving benefits from the Organization or persons who may benefit from the actions of any Board member or other governing person, officer, employee or agent. This is not intended to preclude bona-fide Organization fund raising-activities.

B. A Board or other governing body member may, with the approval of Board or other governing body, receive honoraria for lectures and other such activities while not acting in any official capacity for the Organization. Officers may, with the approval of the Board or other governing body, receive honoraria for lectures and other such activities while on personal days, compensatory time, annual leave, or leave without pay. Employees may, with the prior written approval of their supervisor, receive honoraria for lectures and other such activities while on personal days, compensatory time, annual leave, or leave without pay. If a Board or other governing body member, officer, employee or agent is acting in any official capacity, honoraria received in connection with activities relating to the Organization are to be paid to the Organization.

C. No Board member or other governing person, officer, employee, or agent of the Organization shall participate in the selection, award, or administration of a purchase or contract with a vendor where, to his knowledge, any of the following has a financial interest in that purchase or contract:

1. The Board member or other governing person, officer, employee, or agent;
2. Any member of their family by whole or half blood, step or personal relationship or relative-in-law;
3. An organization in which any of the above is an officer, director, or employee;
4. A person or organization with whom any of the above individuals is negotiating or has any arrangement concerning prospective employment or contracts.

D. **Duty to Disclosure** — Any conflict of interest, potential conflict of interest, or the appearance of a conflict of interest is to be reported to the Board or other governing body or one's supervisor immediately.

E. **Board Action** — When a conflict of interest is relevant to a matter requiring action by the Board of Directors/Trustees or other governing body, the Board member or other governing person, officer, employee, or agent (person(s)) must disclose the existence of the conflict of

interest and be given the opportunity to disclose all material facts to the Board and members of committees with governing board delegated powers considering the possible conflict of interest. After disclosure of all material facts, and after any discussion with the person, he/she shall leave the governing board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.

In addition, the person(s) shall not participate in the final deliberation or decision regarding the matter under consideration and shall leave the meeting during the discussion of and vote of the Board of Directors/Trustees or other governing body.

**F. Violations of the Conflicts of Interest Policy** — If the Board of Directors/Trustees or other governing body has reasonable cause to believe a member, officer, employee or agent has failed to disclose actual or possible conflicts of interest, it shall inform the person of the basis for such belief and afford the person an opportunity to explain the alleged failure to disclose. If, after hearing the person's response and after making further investigation as warranted by the circumstances, the Board of Directors/Trustees or other governing body determines the member, officer, employee or agent has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

**G. Record of Conflict** — The minutes of the governing board and all committees with board delegated powers shall contain:

1. The names of the persons who disclosed or otherwise were found to have an actual or possible conflict of interest, the nature of the conflict of interest, any action taken to determine whether a conflict of interest was present, and the governing board's or committee's decision as to whether a conflict of interest in fact existed.
2. The names of the persons who were present for discussions and votes relating to the transaction or arrangement that presents a possible conflict of interest, the content of the discussion, including any alternatives to the transaction or arrangement, and a record of any votes taken in connection with the proceedings.

Approved by:

Reference only — Not for signature

\_\_\_\_\_  
Legal Name of Organization

\_\_\_\_\_  
Signature of Organization Official

\_\_\_\_\_  
Title of Organization Official

\_\_\_\_\_  
Date

**NO OVERDUE TAX DEBTS CERTIFICATION**

**State Grant Certification – No Overdue Tax Debts<sup>1</sup>**

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To: State Agency Head and Chief Fiscal Officer

**Certification:**

We certify that the \_\_\_\_\_  
[Organization’s full legal name] does not have any overdue tax debts, as defined by **N.C.G.S. 105-243.1**, at the federal, State, or local level. We further understand that any person who makes a false statement in violation of **N.C.G.S. 143C-6-23(c)** is guilty of a criminal offense punishable as provided by **N.C.G.S. 143C-101(b)**.

**Sworn Statement:**

\_\_\_\_\_ [Name of Board Chair] and  
\_\_\_\_\_ [Name of Second Authorizing Official] being  
duly sworn, say that we are the Board Chair and

\_\_\_\_\_ [Title of Second Authorizing Official],  
respectively, of \_\_\_\_\_

[Agency/Organization’s full legal name] of \_\_\_\_\_ [City] in the State of  
\_\_\_\_\_ [State]; and that the foregoing certification is true, accurate and  
complete to the best of our knowledge and was made and subscribed by us. We also  
acknowledge and understand that any misuse of State funds will be reported to the appropriate  
authorities for further action.

Reference only – Not for  
signature

**Board Chair**

Reference only – Not for  
signature

Title

Date

Signature

Title of Second Authorizing Official

Date

Sworn to and subscribed before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

Reference only – Not for signature

\_\_\_\_\_  
Notary Signature and Seal

Notary’s commission expires \_\_\_\_\_, 20\_\_.

<sup>1</sup> G.S. 105-243.1 defines: Overdue tax debt – Any part of a tax debt that remains unpaid 90 days or more after the notice of final assessment was mailed to the taxpayer. The term does not include a tax debt, however, if the taxpayer entered into an installment agreement for the tax debt under G.S. 105-237 within 90 days after the notice of final assessment was mailed and has not failed to make any payments due under the installment agreement.”

## CONTRACTOR CERTIFICATIONS

### Contractor Certifications Required by North Carolina Law

#### Instructions

The person who signs this document should read the text of the statutes listed below and consult with counsel and other knowledgeable persons before signing.

- The text of Article 2 of Chapter 64 of the North Carolina General Statutes can be found online at:  
[http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/ByArticle/Chapter\\_64/Article\\_2.pdf](http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/ByArticle/Chapter_64/Article_2.pdf)
- The text of G.S. 105-164.8(b) can be found online at:  
[http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter\\_105/GS\\_105-164.8.pdf](http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_105/GS_105-164.8.pdf)
- The text of G.S. 143-48.5 (S.L. 2013-418, s. 2.(d)) can be found online at:  
<http://www.ncga.state.nc.us/Sessions/2013/Bills/House/PDF/H786v6.pdf>
- The text of G.S. 143-59.1 can be found online at:  
[http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter\\_143/GS\\_143-59.1.pdf](http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_143/GS_143-59.1.pdf)
- The text of G.S. 143-59.2 can be found online at:  
[http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter\\_143/GS\\_143-59.2.pdf](http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_143/GS_143-59.2.pdf)
- The text of G.S. 147-33.95(g) (S.L. 2013-418, s. 2.(e)) can be found online at:  
<http://www.ncga.state.nc.us/Sessions/2013/Bills/House/PDF/H786v6.pdf>

#### Certifications

- (1) **Pursuant to G.S. 143-48.5 and G.S. 147-33.95(g)**, the undersigned hereby certifies that the Contractor named below, and the Contractor's subcontractors, complies with the requirements of Article 2 of Chapter 64 of the NC General Statutes, including the requirement for each employer with more than 25 employees in North Carolina to verify the work authorization of its employees through the federal E-Verify system." E-Verify System Link: [www.uscis.gov](http://www.uscis.gov)
- (2) **Pursuant to G.S. 143-59.1(b)**, the undersigned hereby certifies that the Contractor named below is not an "ineligible Contractor" as set forth in G.S. 143-59.1(a) because:
  - (a) Neither the Contractor nor any of its affiliates has refused to collect the use tax levied under Article 5 of Chapter 105 of the General Statutes on its sales delivered to North Carolina when the sales met one or more of the conditions of G.S. 105-164.8(b); **and**
  - (b) [check **one** of the following boxes]
    - Neither the Contractor nor any of its affiliates has incorporated or reincorporated in a "tax haven country" as set forth in G.S. 143-59.1(c)(2) after December 31, 2001; **or**
    - The Contractor or one of its affiliates **has** incorporated or reincorporated in a "tax haven country" as set forth in G.S. 143-59.1(c)(2) after December 31, 2001 **but** the United States is not the principal market for the public trading of the stock of the corporation incorporated in the tax haven country.
- (3) **Pursuant to G.S. 143-59.2(b)**, the undersigned hereby certifies that none of the Contractor's officers, directors, or owners (if the Contractor is an unincorporated business entity) has been convicted of any

*violation of Chapter 78A of the General Statutes or the Securities Act of 1933 or the Securities Exchange Act of 1934 within 10 years immediately prior to the date of the bid solicitation.*

(4) *The undersigned hereby certifies further that:*

(f) *He or she is a duly authorized representative of the Contractor named below;*

(g) *He or she is authorized to make, and does hereby make, the foregoing certifications on behalf of the Contractor; and*

(h) *He or she understands that any person who knowingly submits a false certification in response to the requirements of G.S. 143-59.1 and -59.2 shall be guilty of a Class I felony.*

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Contractor's Name

---

Signature of Contractor's Authorized Agent

Date

---

Printed Name of Contractor's Authorized Agent

Title

---

Signature of Witness

Title

---

Printed Name of Witness

Date

The witness should be present when the Contractor's Authorized Agent signs this certification and should sign and date this document immediately thereafter.

**FFATA Form**

**Federal Funding Accountability and Transparency Act (FFATA) Data Reporting Requirement**  
NC DHHS, Division of Public Health Subaward Information

**A. Exemptions from Reporting**

1. Entities are **exempted** from the entire FFATA reporting requirement if **any** of the following are true:
  - The entity has a gross income, from all sources, of less than \$300,000 in the previous tax year
  - The entity is an individual
  - If the required reporting would disclose classified information
2. Entities who are not exempted for the FFATA reporting requirement may be exempted from the requirement to provide executive compensation data. This executive compensation data is **required only if both** are true:
  - More than 80% of the entity’s gross revenues are from the federal government **and** those revenues are more than \$25 million in the preceding fiscal year
  - Compensation information is *not* already available through reporting to the U.S. Securities and Exchange Commission.

**By signing below, I state that the entity listed below is exempt from:**

**The entire FFATA reporting requirement:**

- as the entity’s gross income is less than \$300,000 in the previous tax year.
- as the entity is an individual.
- as the reporting would disclose classified information.

**Only executive compensation data reporting:**

- as at least one of the bulleted items in item number 2 above is not true.

Reference only – Not for signature

Signature \_\_\_\_\_ Name \_\_\_\_\_ Title \_\_\_\_\_

Entity \_\_\_\_\_ Date \_\_\_\_\_

**B. Reporting**

1. **FFATA Data** required by all entities which receive federal funding (except those exempted above) per the reporting requirements of the *Federal Funding Accountability and Transparency Act (FFATA)*.

Entity’s Legal Name \_\_\_\_\_ Contract Number \_\_\_\_\_

Active SAM registration record is attached

An active registration with SAM is required

Entity’s DUNS Number \_\_\_\_\_

Entity’s Parent’s DUNS Nbr (if applicable) \_\_\_\_\_

**Entity’s Location**

street address \_\_\_\_\_  
city/st/zip+4 \_\_\_\_\_  
county \_\_\_\_\_

**Primary Place of Performance for specified contract**

Check here if address is the **same** as Entity’s Location

street address \_\_\_\_\_  
city/st/zip+4 \_\_\_\_\_  
county \_\_\_\_\_

2. **Executive Compensation Data** for the entity’s five most highly compensated officers (unless exempted above):

Title	Name	Total Compensation
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____

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