



Request for Applications

RFA # A241

Rape Prevention and Education Planning Grant for Historically Black Colleges and Universities

FUNDING AGENCY: North Carolina Department of Health and Human Services,
Division of Public Health
Chronic Disease and Injury Section
Injury and Violence Prevention Branch

ISSUE DATE: September 9, 2011

DEADLINE DATE: October 7, 2011

INQUIRIES and DELIVERY INFORMATION:

Direct all inquiries concerning this RFA to:

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Injury and Violence Prevention Branch

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Applications will be received until 5:00 PM on October 7, 2011.

Electronic copies of the application are available by request.

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

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Injury and Violence Prevention Branch
1915 Mail Service Center
Raleigh NC 27699-1915

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Raleigh, North Carolina 27609-3809

IMPORTANT NOTE: Indicate agency/organization name and RFA number on the front of each application envelope or package, along with the RFA deadline date.

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I. INTRODUCTION

The mission of the North Carolina Injury and Violence Prevention Branch (IVPB) is to define and address the major statewide issues of injury and violence prevention. The desired impact of the IVPB is to reduce morbidity and mortality caused by injury and violence, and the ultimate vision of the Branch is a North Carolina free from injuries and violence where people can live to their full potential.

The IVPB receives and administers federal funds for the Rape Prevention and Education (RPE) Program. The majority of the funds are awarded to local agencies and organizations to provide sexual violence primary prevention education and training in local communities. Funds are also awarded to the North Carolina Coalition Against Sexual Assault (NCCASA) to provide training, technical assistance, and tools to support local agencies/organizations in their prevention activities.

This RFA represents a new funding program for the Division of Public Health to support Historically Black Colleges and Universities (HBCUs) in developing Sexual Violence Prevention efforts. This funding program will support planning and development activities for primary prevention programs focused on sexual violence.

It is the intention of this funding program to assist HBCUs in preparing to access other available dollars for implementation of campus based primary prevention programs. Funding to support program implementation is available through the Rape Prevention and Education (RPE) Grant opportunity, through NCDHHS. RPE funding will be announced in spring 2012 and awarded in Fall 2012. Receipt of funds under this RFA does not guarantee funding under the Rape Prevention and Education Grant opportunity.

The focus of this RFA is to support HBCUs in developing and engaging in effective sexual violence prevention programming. The RFA is intended to support the completion of a campus community profile, need assessment, readiness assessment, and priority risk and protective factors for sexual violence.

Sexual Violence is one form of violence that takes a large toll on health and well-being. National data indicate that as many as 1 in 6 women and 1 in 33 men experience rape or attempted rape at least once in their lifetimes,¹ while many more experience some other form of sexual violence such as harassment, peeping, threats, and other behaviors. According to an analysis of the 2000-02 NC Behavioral Risk Factor Survey data, about ten percent of North Carolina women report experiencing sexual violence after the age of 18². About 38% were assaulted by partners or spouses, 15% by acquaintances, and 16% by strangers. The number experiencing sexual violence is likely much higher, since the stigma associated with sexual violence continues and leads to

¹ Tjaden P, Thoennes N. *Extent, Nature, And Consequences Of Intimate Partner Violence: Findings From The National Violence Against Women Survey*. Washington (DC): Department of Justice (US); 2000. Publication No.: NCJ 181867. Available from URL: www.ojp.usdoj.gov/nij/pubs-sum/181867.htm.

² Martin, SL, Chan R, and Rentz ED. *Physical and Sexual Violence in North Carolina: Prevalence and Descriptive Information from the 2000-2002 Surveys of the North Carolina Behavioral Risk Factor Surveillance System*. Raleigh, NC: NC Department of Health & Human Services, Division of Public health, Injury & Violence Prevention Branch, Feb. 2005.

significant under-reporting. According to the NC Council for Women and Domestic Violence Commission, the 75 rape crisis centers across North Carolina served 6,527 victims of sexual assault, and received 22,671 crisis calls between April 2007 and March 2008³. The prevalence of sexual violence and the consequences to victims, their families and friends, and to society make sexual violence a serious public health problem in North Carolina.

A recent study by RTI International found that 14 percent of all female HBCU students were the victims of completed or attempted sexual assaults after entering college and the majority of those assaults happen in the first four semesters a woman is on campus. These numbers are consistent with literature focusing on university women in general. The study also found that victims were unlikely to report these experiences to either law enforcement or to rape crisis centers.⁴

The goal of the Rape Prevention and Education (RPE) program in North Carolina is to reduce the incidence of rape and sexual assault in the state. The means to achieve this goal include providing a broad array of primary prevention focused educational services that reach specific professional groups and the public including children, adolescents, and adults. The best means to providing these prevention strategies is at the local or community level so that programs may be tailored to meet the needs of each particular community and the populations served. For more information on the primary prevention of sexual assault, please see: http://www.acha.org/sexualviolence/docs/ACHA_PSV_toolkit.pdf

This RFA is being released to assist qualified HBCUs in completing a campus needs and readiness assessment and making recommendations regarding future sexual assault prevention activities. Needs assessments involve identifying campus demographics, describing the political and social contexts of the campus and identifying strengths and challenges to prevent sexual violence. For more information on readiness assessments, please see: <http://www.triethniccenter.colostate.edu/communityreadiness.shtml>. Technical assistance and training will be provided to all grantees during the funding period.

Up to the following contract amounts will be made available to support HBCU RPE Program activities during the time line of this project:

January 10, 2012 – October 31, 2012

\$15,000 - \$20,000

The total amount of all contracts awarded will be \$60,000. No more than four awards will be made under this RFA. The final amount of each annual award will depend upon the proposal submitted by the applicant and upon the total funds received by the IVPB from Centers for Disease Control and Prevention each year.

³ NC Council for Women and Domestic Violence Commission. *Statistical Bulletin 2007-2008*. Available from URL: <http://www.nccfwdvc.com/documents/stats/2007-2008StatisticalBulletin.pdf>.

⁴ Krebs, C.P., Lindquist, C.H., Barrick, K.B. *The Historically Black College and University Campus Sexual Assault Study*. Research triangle Park, NC: Department of Justice (US); Grant Number 2001-WG-BX-0021. Available from URL: <https://www.ncjrs.gov/pdffiles1/nij/grants/233614.pdf>

II. BACKGROUND

North Carolina recognizes sexual violence as a serious public health problem. The Division of Public Health's Injury and Violence Prevention Branch (IVPB) is a leader in statewide efforts to prevent sexual violence with a long history of addressing all forms of violence against women.

The IVPB manages a core Rape Prevention and Education (RPE) Program that has been administering funds for many years primarily to local rape crisis centers to provide prevention and education activities in communities across the state. In the past, local rape crisis centers and college and university campuses have been funded. The North Carolina Coalition Against Sexual Assault (NCCASA) also receives funds to provide statewide support for prevention education programming.

PUBLIC HEALTH APPROACH, THE ECOLOGICAL MODEL, AND THE PRIMARY PREVENTION OF SEXUAL VIOLENCE

According to the World Health Organization, sexual violence is defined as “any sexual act, attempt to obtain a sexual act, unwanted sexual comments or advances, or acts to traffic, or otherwise directed, against a person’s sexuality using coercion, by any person regardless of their relationship to the victim, in any setting, including but not limited to home and work”.⁵

The CDC and the IVPB promote the use of a public health approach in the efforts of eliminating sexual violence. This approach is population-based (rather than focusing on an individual); uses data-informed, evidence-based practices to the greatest extent possible; conducts evaluation to ensure effective programming; emphasizes collaborative activities; strives for cultural competency; and focuses on prevention, especially primary prevention.

All applicants should pay particularly close attention to the CDC publication *Sexual Violence Prevention: Beginning the Dialogue* (referred to as “*Beginning the Dialogue*” throughout the rest of this RFA), which is included in Appendix 3 and is also available online at no cost at <http://www.cdc.gov/ncipc/dvp/SVPrevention.htm>. This publication provides an introduction to CDC’s vision for the primary prevention of sexual violence and will serve as a framework for program activities. Many of the concepts and examples of program activities described below are excerpted from *Beginning the Dialogue*.

The Rape Prevention and Education Program emphasizes primary prevention by using approaches that take place before sexual violence occurs to prevent initial perpetration or victimization. This is in contrast to secondary prevention (e.g., crisis responses after sexual violence occurs to deal with short-term consequences) and tertiary prevention (e.g., long-term responses after sexual violence occurs to deal with lasting consequences).

⁵ Krug EG et al., (eds) *World Report on Violence and Health*. (p. 149). Geneva: World Health Organization, 2002; Available at URL: http://www.who.int/violence_injury_prevention/violence/world_report/en/.

The Rape Prevention and Education Program utilizes a four-level ecological model to better understand the root causes of sexual violence and to recognize and develop potential points of prevention. The ecological model is a way to describe violence in terms of the complex interaction of four levels of influence, including individuals, interpersonal relationships, the community, and the society levels. For a clear description of each level of the ecological model and examples of sexual violence prevention programs targeting each level see the document, *Sexual Violence Prevention: Beginning the Dialogue* available at URL: <http://www.cdc.gov/ncipc/dvp/SVPrevention.pdf>.

The public health approach specifies that programs should use evidence-based strategies whenever possible. In the field of violence prevention, especially sexual violence prevention, there is little scientific evidence showing how well strategies work. In order to help build the base of evidence, *training and technical assistance on community assessments* (i.e., the development of a community profile, readiness assessment, needs assessment and the identification of priority risk and protective factors at multiple levels of the social ecology) *will be provided to all HBCU awardees*. Awardees will be expected to complete a comprehensive campus assessment, identify priority risk and protective factors and make recommendations for programming priorities on their campus.

III. SCOPE OF SERVICES

This funding is focused on the development of capacities among Historically Black Colleges and Universities to plan for and provide effective sexual violence primary prevention programs. All awards made under this announcement must address sexual violence primary prevention for students, faculty and staff of HBCUs and HBCU campuses.

APPLICANT ELIGIBILITY

This application is open to both Public and Private Non-Profit HBCUs based in North Carolina. This grant is to support planning activities only. Training and technical assistance will be provided during the entire grant period.

As described in the specific application forms, each applicant will be required to demonstrate commitment to the prevention of sexual violence by submitting their mission statement (if applicable), examples of on-going or completed activities focused on sexual violence prevention, or examples of ways the agency/organization is viewed as a leader in the community it serves and examples of the organization's influence on campus policy related to sexual violence prevention.

REQUIREMENTS FOR LOCAL PROGRAMS TO RECEIVE FUNDING

All applicants must adhere to the following guidelines in order to be considered for funding. Additionally, all funded programs must continue to demonstrate adherence to these guidelines throughout the project period.

1. The funded agency/organization must demonstrate a willingness to engage in the necessary training and preparation to complete project deliverables. This includes supporting staff in

acquiring the appropriate skills and understanding to conduct a campus-focused needs assessment and readiness assessment, engage the public health model, and create recommendations for future primary prevention programming based on identified needs.

2. The funded agency/organization must identify and maintain appropriate partnerships to complete the project deliverables.
3. The funded agency must demonstrate a commitment to future prevention work, including the acquisition of funds to support expanded programming on campus.
4. The funded agency must demonstrate a willingness to engage technical assistance as necessary.
5. The funded agency/organization must agree to use the public health approach and the ecological model in creating recommendations for future directions. They shall incorporate the Nine Principles of Effective Prevention Programming (available at URL: http://www.mentoring.org/downloads/mentoring_4.pdf) as they devise recommendations. This will be achieved with assistance provided in the form of training, technical assistance, tools and other types of guidance.
6. The funded agency/organization must demonstrate a history of working with campus partners and must indicate a willingness to continue to do so throughout this project period. With the complexity of sexual violence, its causes, and the needed comprehensive strategies to effectively prevent it, no single agency/office/individual will be able to fully implement all aspects of RPE in isolation. Applicants will be encouraged to build relationships with both traditional and non-traditional partners on all aspects of their RPE efforts.
7. The funded agency/organization must develop and implement process evaluation for all prevention planning activities.

SCOPE OF WORK

In order to provide new programs an opportunity to receive training on the fundamentals of implementing the various requirements of the RPE Program and to provide ample time for the applicants to complete an assessment of their communities, this project is considered a **planning project**.

Deliverables to Complete by the Grant Year (by October 31, 2012):

1. Participate in all capacity assessments and surveys conducted by the funder
2. Conduct a community assessment, including current program and community resources/assets, needs, prevention strategies, and collaborations related to sexual violence
3. Strengthen and expand community collaborations to enhance the role of various community stakeholders in the prevention of sexual violence. This includes, but is not limited to, convening a Sexual Violence Prevention Task Force comprising community

and campus organizations and individuals to assist with strategic planning for the primary prevention of sexual violence in a culturally and developmentally relevant manner

4. Participate in one in-person training in Raleigh, date to be determined in conjunction with the IVPB
5. Utilize tools and apply training and technical assistance provided by IVPB to improve program practice
6. Participate in cross-site evaluation with IVPB
7. Identify recommendations and next steps for implementation of effective sexual violence prevention programming.

Outputs

Applicants will produce a campus needs assessment that includes relevant sections of the surrounding geographical and campus community. The needs assessment will include the following required components:

1. Demographic description of the student body, campus faculty and staff and relevant community members
2. Description of the community context of the campus
3. Description of priority risk and protective factors
4. Recommendations and next steps for moving the campus forward towards the implementation of effective primary prevention programming.

Outcomes

1. Increased capacity to plan and implement effective sexual violence prevention programming and to qualify for federal, state and private funding to support such programming.

Service Quality

1. All deliverables must be completed on time and with a high attention to detail
2. All products must be developmentally and culturally appropriate for students, faculty and staff of HBCUs
3. All deliverables must be focused on the primary prevention of the perpetration of sexual violence.

FUNDING LEVELS AND BUDGET PREPARATION

Funding under this RFA will begin January 10, 2012 and end October 31, 2012.

All applicants should prepare a budget that is no less than \$15,000/year and no greater than \$20,000/year. Requested budget amounts should be realistic, and applicants should be prepared to use ALL the funds awarded them within the funding cycle.

Eligible Expenses

RPE funds may be used for the following allowable expenses:

- Salary to support the project coordinator
- Fringe Benefits for the project coordinator
- Travel to conduct program activities and for professional development purposes
 - Travel expenses may include mileage, lodging, and subsistence up to the official rate set forth by the state of North Carolina (see the Budget section of the application forms for current rates). Applicants may choose to reimburse staff at a lower rate, but may not exceed established state rates.
- Supplies
 - Supply costs associated with prevention programs and activities
- Postage
 - Postage costs associated with prevention programs and activities
- Equipment
 - Necessary equipment associated with prevention programs and activities (note that requests >\$500 require state pre-approval)
- Other
 - All other pre-approved operational costs associated with conducting proposed prevention programs and activities
- Incentives
 - RPE funds may be used to purchase program participation incentives as long as such incentives are not cash or cash-like (e.g., gift certificates, gift cards).

Ineligible Expenses

The following are ineligible expenses and should not be included in the grant application. These are listed to assist applicants in understanding the focus of the RPE funds.

- Victim Services/Response: These funds may not be used for direct victim service activities. This includes crisis lines or hotlines, crisis intervention, case management, advocacy, counseling, support groups, and community outreach efforts in support of direct client services.
- Risk Reduction: These funds may not be used for risk reduction or programs that focus on the prevention of victimization. Examples of such programs are increasing the number of lighting or emergency phones on campuses, and focusing on alcohol consumption or dress behaviors of victims.

- Offender Treatment: These funds may not support offender treatment programs. The focus of RPE will be on preventing first-time perpetration, NOT on offender treatment for the purpose of preventing repeat perpetration.
- Victim Response Training: These funds **may not be used** for training that focuses on how service providers should respond to victims of sexual violence (e.g., advocates, Sexual Assault Nurse Examiner (SANE) programs, law enforcement or judicial response, etc.).
- Child Abuse Prevention: These funds may not be used for activities focusing solely on the prevention of child abuse.
- Child Sexual Abuse Prevention Programs: These funds may not be used for programs that teach children about sexual abuse in ways that make them responsible for preventing their own abuse (e.g., teaching “touching rules” and encouraging children to say “no” and report abuses). Rather, the RPE program is working to prevent perpetration from happening in the first place and to shift the onus of prevention onto the community as a whole.
- Victim Compensation: These funds may not be used to pay for costs that would otherwise be eligible for local or federal Victim Compensation reimbursement.
- Lobbying, Legislative and Administrative Advocacy: These funds may not be used for the expenses of lobbying for particular victim legislation, systems improvement, or administrative reform, whether conducted directly or indirectly.
- Indirect costs.
- Fundraising: Any cost of fundraising is ineligible for funding. The cost of organized fundraising (including bingo, financial campaigns, endowment drives, solicitation of gifts and bequests) incurred solely to raise capital or obtain contributions may not be charged to these funds. Likewise, the salary (or portion thereof) of persons engaged in such activities and indirect costs associated with those efforts are ineligible.
- Food/Refreshments: Federal rules do not allow RPE funds to be used for food expenses, except on a per diem reimbursement basis during staff travel, therefore these expenses are disallowed. **Food for meetings and other events MAY NOT be purchased using RPE funds.**

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 10/28/2011. The project time period will be 01/10/2012 – 10/31/2012.

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.

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 are being sent to prospective agencies and organizations via direct mail, email, and/or Program website and will be posted at the following DHHS website on 09/09/2011:
<http://www.ncdhhs.gov/grantopportunities/currentopportunities.htm>.

2. **Distribution of the RFA**

RFAs will be sent via email to interested agencies and organizations beginning 09/09/2011.

3. **Question & Answer Period**

Written questions concerning the specifications in this Request for Applications will be received until 09/21/2011. As an addendum to this RFA, a summary of all questions and answers will be placed on <http://www.injuryfreenc.ncdhhs.gov/About/RPE.htm> by 09/23/2011.

4. **Applications**

Applicants shall submit an original and two hard copies of the application. All copies shall include the required attachments. In addition, applicant organizations shall submit an electronic version of the application, line item budget and budget narrative on a rewriteable CD-RW disc, or a flash drive, with the “hard” copies. Electronic submission will not be accepted in lieu of an original. Faxed applications will not be accepted.

5. **Original Application**

The original application must contain original documents, and all signatures in the original application must be original. Mechanical, copied, or stamped signatures are not acceptable. The original application should be clearly marked “original” on the application face sheet.

6. **Copies of Application**

Along with the original application, submit 2 photocopies of the application in its entirety. Copies of the application should be clearly marked “copy” on the application face sheet.

7. **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.

8. **Space Allowance**

Page limits are clearly marked in each section of the application. Refer to *VII.3 Application's Response* for specifics.

9. Application Deadline

All applications must be received by the date and time on the cover sheet of this RFA. Faxed or emailed applications ***will not*** be accepted in lieu of the original and required number of hard copies. Original signatures are required. Note: If the US Postal Service is used, allow sufficient time for delivery to the funding agency by 5:00 PM, close of business, on 10/07/2011.

10. Receipt of Applications

Applications from each responding agency and organization will be logged into the system and stamped with the date received on the cover sheet.

11. 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 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.

12. 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.

13. 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.

14. 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.

15. 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 *VII.8 Verification of 501(c)(3) Status.*)

16. 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.

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 B.)
- 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 C.)
- 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 CCR 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 D.)
- b. A completed, signed, and notarized page certifying that the agency has no overdue tax debts. (A reference version appears in Appendix E)

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 registrations process in conjunction with the execution of the contract documents. (See www.secretary.state.nc.us/corporations.)

19. Application Process Summary Dates

09/09/2011: Request for Applications released to eligible applicants.

09/21/2011: End of Q&A period. All questions due in writing by 5pm.

09/23/2011: Answers to Questions released to all applicants

10/07/2011: Applications due by 5pm.

10/28/2011: Successful applicants will be notified.

01/10/2012: Contract begins.

VI. EVALUATION CRITERIA

Applications shall be scored based on the responses provided and how well the following funding priorities are addressed in the application:

1. Project is focused on planning for the primary prevention of sexual assault perpetration for HBCUs.
2. Project described is a primary prevention project and the applicant demonstrates a strong understanding and value of primary prevention.
3. Project is realistic.
4. The applicant demonstrates commitment of appropriate resources and the participation of appropriate partners to accomplish the proposed activities.

Application shall be worth 70 points, budget shall be worth 20 points and the letters of support shall be worth 10 points.

VII. APPLICATION

Application Checklist

The following items must be included in the application. Please use a binder clip at the top left corner on each copy of the application and assemble the application in the following order:

- ___ **Cover Letter** (item 1)
- ___ **Application Face Sheet** (item 2)
- ___ **Applicant's Response/Form** (item 3)
- ___ **Project Budget** (item 4)
Include a budget in the format provided.
Indirect costs are not allowed.
- ___ **Letters of Commitment or Statements of Support** (item 5)
- ___ *IRS Documentation:*
 - **IRS Letter Documenting Your Organization's Tax Identification Number** (item 6) (public agencies)
 - or
 - **IRS Determination Letter Regarding Your Organization's 501(c)(3) Tax-exempt Status** (item 6) (private non-profits)
 - and
 - **Verification of 501(c)(3) Status Form** (item 7) (private non-profits) (An example of this page is provided in section VII.7)

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:

1. the legal name of the Applicant agency
2. the RFA number
3. the Applicant agency's federal tax identification number
4. the Applicant agency's DUNS number
5. the closing date for applications.

2. Application Face Sheet

This form provides basic information about the applicant and the proposed project with the Rape Prevention and Education Program, 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 #A241 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 #12) 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

Abstract: Include a 1-page abstract that summarizes each section of your application. *You may use no more than 1 page for the abstract. These instructions may be deleted to maximize space.*

Application (70 points)

You may use no more than four pages for this section (not including appendices). These instructions and items below may be deleted to maximize space. 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.

1. Describe your organization/office and how it relates to the mission of sexual violence prevention work on campus. (5 points)
2. Provide a description of the population and geographic area that your school serves: include demographic and contextual information about the students who attend, the size of the student body, campus living trends (residence halls or off campus), campus life and social institutions/traditions, and any other factors that may impact your prevention activities (e.g., urban/rural, transportation, industry and economic conditions, recent events, etc.) (5 points)
3. Describe the need for sexual violence prevention on your campus: include data on victimization and perpetration of various forms of sexual violence, limitations of the data, social norms you are aware of that may promote or prevent sexual violence, and anything else that may indicate a need for RPE programming. (15 points)
4. Describe the strengths of your campus that may be helpful to you as you conduct these planning activities (e.g., other services, current misconduct policies, relationship with a local sexual violence prevention organization, strong collaborations, the presence of a women's center, strong and vocal advocate(s) for the prevention of sexual violence and other violence, things that are happening that indicate people may be ready to talk about this issue, etc.) (15 points)
5. Describe any current violence prevention efforts happening on campus. Specifically address the existence of current sexual violence prevention effort. (e.g. examples of current **prevention** programs being implemented, current or recent evidence of campus groups, student or personnel being a public spokesperson for sexual violence **prevention**, current evidence of leadership in influencing campus policies and/or practices for sexual violence **prevention**, successful collaboration on campus for sexual violence **prevention**, etc. (10 points)
6. Describe where on campus this effort will be located and how it will interact with other campus departments. Describe your partners. Describe any authority, or influence, the department personnel will have over campus policy and procedures. (5 points)
7. What is the proposed time line of activities required to carry out this project? (5 points)

4. Project Budget

Budget (20 Points)

You **must** utilize the budget form and narrative format provided. These instructions and items below may be deleted to maximize space.

A. Provide a proposed annual budget for the grant cycle using the sample budget provided.

- The budget must be prepared for no less than \$15,000 and no more than \$20,000
- Personnel
 - Salary and fringe for program staff should be calculated in the budget section of the application. Provide a justification, personnel/staff names (if known), position title, description of any positions that will be funded with grant funds and annual salary, prorated salary and FTE. Include specifics such as \$___ x months = ___.
- Operating Expenses
 - Travel: Identify titles of staff whose travel is supposed, briefly explain the purpose of the travel and how it relates to the action plan, and provide an estimate of mileage and per diem costs showing how those expenses were calculated. (note: travel must be computed at rates up to the current State regulations).

Mileage should be based on rates located on the North Carolina Office of State Budget and Management's (OSBM) web page under the "Memorandums" link. Mileage rates fluctuate with the price of fuel, thus the OSBM will release a memorandum entitled "IRS Mileage Rate Change" when there is a change in this rate. This memorandum can be found at http://data.osbm.state.nc.us/pls/pbis/dyn_osbmweb_libmemos.show?p_arg_names=context&p_arg_values=res. Effective July 1, 2011, the business standard mileage rate is 55.5 cents per mile.

For other travel related expenses, please refer to the OSBM's North Carolina Budget Manual, pages 130 – 140. This manual can be found at the following address: http://www.osbm.state.nc.us/files/pdf_files/2007BudgetManual.pdf. Current rates for travel and lodging may be found in the chart below. However, it is recommended that the applicant visit the North Carolina Budget Manual to verify rates prior to submission of the application.

- Current per diem rates are as follows:

Meals			In State	Out of State
	Breakfast		\$8.00	\$8.00
	Lunch		\$10.45	\$10.45
	Dinner		\$17.90	\$20.30
			\$36.35	\$38.75
Lodging			\$63.90	\$75.60
Total			\$100.25	\$114.35
Mileage	up to \$0.555 per mile			

Actual costs must not exceed the maximum allowed state rates.

- Supplies: You need provide only a reasonable dollar amount for general office supplies like pens, paper, etc. Provide justification for supply items other than general office supplies. Show calculation of cost.
- Equipment: List necessary equipment; note that requests >\$500 require state **PRE**-approval.
- Other: List all other operations costs associated with conducting program activities.
- Indirect Costs: Indirect costs are NOT allowed under this award.

See Sample Budget beginning on next page.



Salary & Fringe Worksheet

Contract Number:

0

Provider:

0

Use the Salary Section to fill out the Salary Detail Worksheet (located in the Provider Budget in Open Window).

PERSONNEL - SALARY (Provide the total annual amounts for each person listed (all should be employees of organization). The formula will calculate the amount to come from the contract)	Hourly Rate (dollars per hour)	Annual Rate	OR	Annual Salary if using hourly rate, do NOT enter a salary	Months Worked on this Contract	Percent of Time Worked on this Contract %	Budgeted Amounts, State Funds
Enter title in this cell		\$ -	or				\$ -
Enter title in this cell		\$ -	or				\$ -
Salary Subtotal							\$ -

Narrative - enter in pink area brief description name and duties for each staff listed above.

Use the Fringe Section to fill out the Provider's Fringe Benefits (located under the Provider - Manage Details Screen in Open Window).

PERSONNEL - FRINGE BENEFITS (Provide the total annual amounts for each person listed. The formula will calculate the amount to come from the contract)	FICA	Retirement/ 401K, etc.	Health/ Medical	Unemployment Insurance	Worker's Comp Insurance	Other (give detail here)	Budgeted Amounts, State Funds
Enter the percent of salary, or method of calculating each fringe benefit in cells to the right.	6.2% x salary (up to \$106,800) + 1.45% x salary (no limit)						\$ -
Enter title in this cell							\$ -
Enter title in this cell							\$ -
Enter title in this cell							\$ -
Fringe Subtotal							\$ -

Narrative - enter in pink area any narrative necessary for fringes.

5. Letters of Commitment (10 Points)

Provide Letters of Support from other campus or community based partners that show a strong commitment for this application and/or sexual violence primary prevention planning activities (data collection or sharing, focus group facilitation, project marketing). NOTE: Letters of Support should be individualized and should speak to the unique relationship the author and/or his or her agency has with the applicant. Include these letters in Attachment A. (10 points)

6. 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.

7. Verification of 501(c)(3) Status Form

Verification of 501 (C)(3) Status

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, Division of Public Health, 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__.

The Appendices are provided as a reference only.

Applicants are **not to complete** these documents at this time **nor return them** with the RFA response.

APPENDIX A: FEDERAL CERTIFICATIONS

The undersigned states that:

- 1. He or she is the duly authorized representative of the Contractor named below;
- 2. 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;
- 3. He or she has completed the Certification Regarding Drug-Free Workplace Requirements by providing the addresses at which the contract work will be performed;
- 4. [Check the applicable statement]

He or she **has completed** the referenced **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 referenced **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.

5. The Contractor shall require its subcontractors, if any, to make the same certifications and disclosure.

Reference only — Not for signature

Signature Title

Contracting Agency's Legal Name Date

[This Certification must be signed by the same individual who signed the Contract.]

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. Standard Form SF-LLL and its instructions are located at the following URL: <http://www.whitehouse.gov/omb/assets/omb/grants/sflllin.pdf>
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.

APPENDIX B: 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>	

The fiscal year of the above named agency runs from months _____ to _____.

APPENDIX C: 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
* Indicate if you are the Board President or Chairperson		

APPENDIX D: 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 _____ [Name of Board Chair or
Authorized Official] personally appeared before me this day and acknowledged that he/she is
_____ [Title] of
_____ [Organization's full legal
name] 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 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

APPENDIX E: NO OVERDUE TAX DEBTS CERTIFICATION

State Grant Certification – No Overdue Tax Debts¹

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. 143-34(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	_____
_____	Title	Date
Reference only — Not for signature	_____	_____
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__.

¹ 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.”