



Request for Applications

RFA #A405

PREPare for Success

FUNDING AGENCY: North Carolina Department of Health and Human Services
Division of Public Health
Women, Infant, and Community Wellness Section
Reproductive Health Branch

ISSUE DATE: September 28, 2022

DEADLINE DATE: November 4, 2022

INQUIRIES and DELIVERY INFORMATION:

Direct all inquiries concerning this RFA to:

Vanessa Farrar, 919-219-9956, vanessa.farrar@dhhs.nc.gov

Juanella Tyler, 919-707-5723, juanella.tyler@dhhs.nc.gov

Applications will be received until 5:00 p.m. on November 4, 2022.

Electronic copies of the application are available at <https://teenpregnancy.dph.ncdhhs.gov/funding.htm>

Send all applications electronically as indicated below:

Email Address:

tppi-rfa@dhhs.nc.gov

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

RFA Table of Contents

I.	INTRODUCTION-----	4
	ELIGIBILITY -----	4
	FUNDING -----	4
II.	BACKGROUND -----	5
III.	SCOPE OF SERVICES -----	6
IV.	GENERAL INFORMATION ON SUBMITTING APPLICATIONS-----	12
	1. Award or Rejection -----	12
	2. Decline to Offer -----	12
	3. Cost of Application Preparation-----	12
	4. Elaborate Applications -----	12
	5. Oral Explanations -----	12
	6. Reference to Other Data-----	12
	7. Titles -----	12
	8. Form of Application -----	12
	9. Exceptions-----	12
	10. Advertising -----	13
	11. Right to Submitted Material -----	13
	12. Competitive Offer -----	13
	13. Agency and Organization's Representative-----	13
	14. Subcontracting -----	13
	15. Proprietary Information -----	13
	16. Participation Encouraged-----	13
	17. Contract -----	13
V.	APPLICATION PROCUREMENT PROCESS AND APPLICATION REVIEW -----	14
	1. Announcement of the Request for Applications (RFA) -----	14
	2. Distribution of the RFA -----	14
	3. Bidder's Conference / Webinars / Question & Answer Period -----	14
	4. Notice of Intent -----	14
	5. Applications-----	15
	6. Original Application -----	15
	7. Copies of Application-----	15
	8. Format-----	15
	9. Space Allowance -----	15
	10. Application Deadline -----	15
	11. Receipt of Applications-----	15
	12. Review of Applications-----	15
	13. Request for Additional Information -----	16
	14. Audit -----	16
	15. Assurances-----	16
	16. Additional Documentation to Include with Application-----	16
	17. Federal Certifications -----	16
	18. System for Award Management Database (SAM) -----	17
	19. Additional Documentation Prior to Contract Execution-----	17
	20. Registration with Secretary of State -----	17
	21. Federal Funding Accountability and Transparency Act (FFATA)-----	17

22. Iran Divestment Act-----	18
23. Boycott Israel Divestment Policy -----	18
24. Application Process Summary Dates-----	18
VI. PROJECT BUDGET-----	19
VII. EVALUATION CRITERIA -----	22
VIII. APPLICATION-----	23
Application Checklist -----	23
1. Cover Letter -----	24
2. Application Face Sheet -----	26
3. Applicant's Response-----	27
4. Project Budget -----	33
5. Attachment A -----	34
6. Attachment B -----	35
7. Federal Negotiated Indirect Cost Rate Approval Letter (if applicable) -----	36
8. IRS Letter-----	37
9. Verification of 501(c)(3) Status Form-----	38
Appendix A Forms for Reference -----	39
FEDERAL CERTIFICATIONS -----	40
LETTER TO IDENTIFY INDIVIDUALS TO SIGN CONTRACTS -----	49
LETTER TO IDENTIFY INDIVIDUALS TO SIGN EXPENDITURE REPORTS -----	50
CONFLICT OF INTEREST POLICY-----	51
NO OVERDUE TAX DEBTS CERTIFICATION -----	54
CONTRACTOR CERTIFICATIONS -----	55
FFATA Form -----	57

I. INTRODUCTION

The Personal Responsibility Education Program (PREP) is designed to educate adolescents on both abstinence and contraception to prevent pregnancy, and sexually transmitted infections (STIs), including Human Immunodeficiency Virus (HIV), and adulthood preparation subjects.

Through the use of comprehensive sexuality education programs, youth development, and parent involvement, adolescents will have the information, and skills needed to make healthy decisions about reproductive health. PREP is administered by Teen Pregnancy Prevention Initiatives (TPPI) of the North Carolina Department of Health and Human Services, Division of Public Health, Women, Infant, and Community Wellness Section, Reproductive Health Branch.

ELIGIBILITY

Public or private non-profit agencies (e.g., schools, colleges/universities, local health departments, non-profit community-based organizations) may receive funding to replicate at least one (1) evidenced-based program model through this Request for Applications. For-profit agencies need not apply. If the applicant agency currently receives Primary Prevention funding for teen pregnancy prevention through NC Department of Health and Human Services, the agency may not apply to implement an additional primary pregnancy prevention program in the same county they currently serve.

Applications will only be accepted from counties ranking in the top 50 for birth rates among females aged 15 to 19 based on a five-year average between 2016-2020. The counties are as follows: **Alexander, Anson, Ashe, Beaufort, Bertie, Bladen, Brunswick, Burke, Caldwell, Cherokee, Cleveland, Columbus, Craven, Cumberland, Davidson, Duplin, Edgecombe, Gaston, Greene, Halifax, Harnett, Hoke, Lee, Lenoir, Lincoln, Macon, Madison, Martin, McDowell, Montgomery, Nash, Onslow, Pasquotank, Person, Randolph, Richmond, Robeson, Rockingham, Rowan, Rutherford, Sampson, Scotland, Stanly, Surry, Swain, Vance, Wayne, Wilkes, Wilson, and Yadkin.**

Potential applicants should consider their community's readiness to support teen pregnancy prevention efforts, and their agency's organizational capacity to administer the state grant funds if awarded. Recipients of state funds are expected to have established in writing certain general agency policies including personnel and financial accounting policies. **Applicants that have not previously received or successfully administered state funds should consult a PREP staff member to determine if their agency has the internal policies and procedures in place to administer a state grant at this time.** Funds to grantees will be dispersed on a cost reimbursement basis only, and agencies should carefully consider if they have the capacity to implement the program under this system.

FUNDING

Grant awards may be up to \$110,000. Applicants will be selected for funding for a **one-year period** with the option to extend for two (2) additional years only if additional funding becomes available. The initial contract will begin June 1, 2023.

The project funding periods and average awards will be distributed as follows:

June 1, 2023 – May 31, 2024: award up to \$110,000

June 1, 2024 – May 31, 2025: award \$0 at this time

June 1, 2025 – May 31, 2026: award \$0 at this time

II. BACKGROUND

PREP is federally funded by the United States Department of Health and Human Services, Family and Youth Services Bureau. Since 2010, the North Carolina Department of Health and Human Services has received funding to implement PREP within select local sites throughout the state.¹ In North Carolina the PREP initiative is called PREPare for Success.

The purpose of PREP is to educate young people on both abstinence and contraception to prevent pregnancy, and STIs, including HIV. Youth ages 10-19 who are homeless, in foster care, live in rural areas or in geographic areas with high teen birth rates, or come from racial or ethnic minority groups are priority for this funding.

PREP projects replicate effective, evidence-based or evidence-informed program models that have shown to delay sexual activity, increase condom or contraceptive use for sexually active youth, or reduce pregnancy among youth.

In addition, PREP projects also offer education on human trafficking, and services to prepare young people for adulthood by implementing activities that address at least three (3) or more of the following adulthood preparation subjects:

- Adolescent Development,
- Education and Career Success,
- Financial Literacy,
- Healthy Life Skills,
- Healthy Relationships, and
- Parent-Child Communication.

The federal legislative authority for this program is Section 2953 of the Patient Protection and Affordable Care Act of 2010, Pub. L. No. 111-148, which adds a new Section 513 to Title V of the Social Security Act, to be codified at 42 U.S.C. § 713, authorizing the Personal Responsibility Education Program (PREP).

¹*Family and Youth Services Bureau. (2020). Personal Responsibility Education Program (PREP) Fact Sheet. Retrieved from: <http://www.acf.hhs.gov/programs/fysb/resource/prep-fact-sheet>.*

III. SCOPE OF SERVICES

The main goal of PREPare for Success is to reduce the rate of teen pregnancy in North Carolina. This is done by providing essential comprehensive sex education (which includes abstinence) through implementation of an evidence-based or evidence-informed program model, specifically the FLASH curriculum, Rights, Respect, Responsibility (3Rs), and/or the Teen Outreach Program® (TOP). The program utilizes best practices to support adulthood preparation, awareness/prevention of human trafficking, and parent/guardian involvement. Applicants are required to establish a Community Advisory Council (CAC) that equally represents community agencies and youth served by the program.

Agencies must agree to implement selected program model(s) to age/grade-appropriate groups in their service area, serving youth between the ages of 10 and 19. Agencies selected through this RFA will be required to implement the program model(s) with fidelity. In addition, applicants are mandated to provide comprehensive sexuality education, and medically accurate information about all FDA-approved contraceptive methods, including abstinence, to all participants. Applicants must provide services to participants every year of the grant cycle.

SECTION 1: COMMUNITY DESCRIPTION

In order to reduce the rates of teen pregnancy in their communities, applicants must: 1) understand the factors that influence adolescents' decisions about sex; 2) determine which factors can be impacted by teen pregnancy prevention programming; and 3) assess which of the factors are most relevant for the population they intend to serve.

All applicants must convincingly describe and document the need for services in a specific setting or a defined group of adolescents within the county. Appropriate quantitative and/or qualitative data should be provided to support the statement of need as related to the goals of PREP.

Population to Be Served

Applicants must describe the specific adolescent population to be served. Funded projects shall plan to serve youth ages 10 to 19 who resided in the counties referenced on page 4 of this RFA. This should include a description of the community of which youth are a part, how many proposed youth will be served, in what setting youth will be served, what community resources are available to youth, what unmet needs exist, and why the chosen youth were selected. Please note that it is not sufficient to either: a) simply name your town or county as your community; or, b) state that the potential participants are at "high risk"

Applicants must consider the needs of all youth, and how their programs will be inclusive and non-stigmatizing. Awardees should have in place or plan to have in place, within 30 days of grant award, policies prohibiting harassment based on race, sexual orientation, gender, gender identity (or expression), religion, and national origin.

Data Sources

Sources for data and statistics provided in the community description should be cited.

SECTION 2: PROGRAM PLAN

Program Approach

Year 1 milestones are detailed in the work plan listed below. Training will occur early in Year 1, and will provide each community the tools necessary to assess their needs, and resources to ultimately develop a teen pregnancy prevention plan. Each funded site will go through the process of assessing needs, existing resources, and current capacity to create a detailed program plan, including PREP evaluation requirements, and steps to sustain successful programming.

Year 1 Program Plan	Timeline (June 1, 2023 – May 31, 2024)											
	J	J	A	S	O	N	D	J	F	M	A	M
Recruit, hire, and onboard program staff.												
Conduct community assessment of resources and gaps in services.												
Recruit community partners, including implementation partners and CAC members and obtain MOUs. Educate and inform partners about program components.												
Choose sexual health curriculum model.												
Train staff in sexual health curriculum model, facilitation skills, human trafficking, and adult preparation subjects.												
Develop and submit fidelity monitoring plan and program progress plan.												
Recruit participants, establish meeting times, obtain parental/guardian consent.												
Program implementation, evaluation, and follow up with stakeholders, including CAC members.												

Choosing a Program Model & Supplemental Activities

Applicants must replicate a teen pregnancy prevention program model on the list of fundable pregnancy prevention program models, listed in this section. Additional information about the program models can be viewed at:

- 3Rs - <https://www.3rs.org/download-3rs/>
- FLASH curriculum - <https://kingcounty.gov/depts/health/locations/family-planning/education/FLASH.aspx>
- TOP - <https://wymancenter.org/top/>

Applicants should demonstrate an understanding of how a comprehensive and inclusive reproductive health program will effectively address the needs of the population to be served. During the first 6 months of Year 1, applicants must select a teen pregnancy prevention program model from the list of fundable pregnancy prevention curricula. Applicants must train staff and implement the chosen program model with fidelity.

Applicants are mandated to provide comprehensive sexuality education including complete, and medically accurate information about all FDA-approved contraceptive methods, including abstinence, to all participants. The term “complete and medically accurate” means verified or supported by the weight of research conducted in compliance with accepted scientific methods, and published in peer-reviewed journals where applicable or comprising information that leading professional organizations and agencies with relevant expertise in the field recognize as accurate, objective, and complete.

Adulthood Preparation Subjects

In addition to education on abstinence and contraceptive use, PREP provides services to prepare young people for adulthood by implementing activities that address adulthood preparation subjects. Adulthood preparation subjects expand content and activities of approved evidence-based program models and provide opportunity to emphasize additional skill-building with a positive youth development approach.

The federal program mandate states that grantees and subgrantees of PREP must incorporate at least three (3) of the six (6) PREP adulthood preparation subjects into programming.

- Adolescent Development
- Education and Career Success
- Financial Literacy
- Healthy Life Skills
- Healthy Relationships
- Parent-Child Communication

The three (3) evidence-based/informed program models approved for replication under this RFA are the *FLASH curriculum*, *3Rs*, and *TOP*. They are proven to address some adulthood preparation subjects as designed by their developer. See the chart below.

	Adolescent Development	Education and Career Success	Financial Literacy	Healthy Life Skills	Healthy Relationships	Parent-Child Communication
FLASH curriculum	X			X	X	X
3Rs	X			X	X	X
TOP	X	X		X	X	

In addition to implementing their chosen program model, applicants will be required to propose strategies to address at least one additional adulthood preparation subject that is not covered by their chosen program model(s). It is expected that all youth participating in an evidence-based/informed program will also complete activities that support adulthood preparation.

Applicants are encouraged to partner with their CAC and other community partners to coordinate activities to support adulthood preparation.

For more information about Adulthood Preparation Subjects visit *The Exchange –Adulthood Preparation Subjects Resource Guide* available at <https://teenpregnancy.acf.hhs.gov/resources/adulthood-preparation-subjects-resource-guide-0>.

Parent Involvement

Parent/guardian involvement and improving adolescent/parent communication is a protective factor in preventing risky behaviors among youth, including pregnancy, and transmission of STIs, including HIV. Parent/guardian involvement is also vital to the success of any PREP-funded project in ensuring parents/guardians fully understand and support the activities their youth are involved in. This will ensure parents/guardians hold youth accountable and provide support for youth to attend a variety of program activities.

Funded agencies are required to implement at least one (1) strategy to involve parents/guardians in program activities, for each implementation setting.

Human Trafficking

PREP projects must also provide education and information on the prevention of human trafficking. A lesson plan is underdevelopment and will be provided if awarded funding.

Agency Capacity

Applicants should consider whether their agency has the capacity to administer the grant funds if awarded. Applicants should also consider whether they have the capacity to serve youth with all components of the program (sexuality education curriculum, human trafficking lesson, adulthood preparation subject(s), CAC, youth involvement and parent engagement activities).

Use of Volunteers and Interns

Volunteers and interns are valuable to the success of programming in many local government, community-based, non-profit agencies. Should the use of volunteers or interns be considered to support program implementation, applicants must describe their process for recruiting/hiring, training and managing them. Applicants must understand that if interns or volunteers assist with programming, they must also complete training in the sexuality education program model(s) to provide assistance to program staff or direct service to program participants. Applicants proposing use of volunteers under this RFA should be included in the staffing chart, and include a copy of the job description in Attachment B.

Staff Training

Program staff will be required to complete evidence-based or evidence-informed program training for *FLASH, 3Rs, or the Teen Outreach Program®* as well as training in the following areas during the first six (6) months of the first year of the grant cycle: orientation, youth leadership, facilitation skills, reproductive health, reproductive justice (equity), youth development, and parent engagement. Program staff and supervisor should budget and plan to attend trainings two (2) days per month July- November of 2023 in the Raleigh area. New staff that join the agency's PREP program after the first six (6) months must obtain training in these areas before facilitating the PREP program. All funded agencies will be

required to participate in at least 20 hours of professional development, and an additional four (4) hours focused on health equity, health disparities, or social determinants of health, annually per full time position, per year on the grant. Applicants should reference plans to attend trainings in their program narrative and allocate funding (i.e., lodging, meals, mileage) in their budget narratives to attend these, and other proposed trainings, conferences, and other professional development opportunities.

It is very important that program supervisor and staff are appropriately trained to facilitate and implement the program. Evidence-based curriculum trainings usually occur over two (2) to three (3) days. At least two (2) program staff must be trained to facilitate this program model, and one (1) program supervisor must be trained to observe program staff and provide on-site guidance and technical support. Applicants should indicate any experience that the program staff have with this program model and any training that they have received or plan to receive if awarded funding.

SECTION 3: COMMUNITY ENGAGEMENT

Community Advisory Council

Applicants are required to establish a CAC that consists of members representing at least five (5) community agencies other than the funded agency, and at least 50% of members must be adolescents. For example, a CAC with five (5) community agencies and one (1) parent, legal guardian or caregiver of a teen, must have six (6) adolescent members. See the chart below.

	Organizations (at least 5)	Individuals
Required		<ul style="list-style-type: none">• at least 50% must be adolescents• a parent, legal guardian, or caregiver of a teen
Suggested	<ul style="list-style-type: none">• Local health department• Public School System• Institutions of Higher Education• Department of Social Services• Cooperative Extension• Mental health services• Local corporations and businesses• Tribal Councils• Juvenile Justice Centers• Law Enforcement• Media• Social and cultural organizations• Other local agencies that serve youth	<ul style="list-style-type: none">• additional community member(s) (chosen at the agency's discretion)

The CAC shall be responsible for advising and assisting program staff to provide high quality services to participants, identifying programming to support sexuality education and adulthood preparation, reviewing all educational, and promotional materials developed by the program to ensure appropriateness for the community, and actively promoting and supporting the program in the community. The adolescent CAC members shall create and direct the CAC's overall goals with the

support of the adult CAC members. This shall include developing a community health initiative (service project) that meets youth-defined needs.

Community mobilization is essential for launching a community-wide approach to addressing the issue of teen pregnancy. Engaging a strategic cadre of partners enables the community to combine resources and networks to disseminate information and facilitate communication throughout the area. Each PREP program will establish a CAC comprised of members of the community and adolescent council members. Adolescents will be 50% of the council and create agenda items to lead their program. Training on coordinating adolescent engagement, positive youth development, youth-adult partnerships, recruitment, and retention will be provided during the first six (6) months of Year one (1).

The CAC shall convene at least monthly and meeting minutes shall be taken to account for the work of the CAC. Meeting minutes should include names of individuals and organizations represented. Minutes should document the role of the CAC in advising, assisting the program, and developing a health initiative. Educational and promotional materials review should be documented in the meeting minutes and include name and purpose of the materials and the CAC recommendations regarding the use of such materials. Adolescent CAC members and community members not associated with an agency shall receive a stipend or gift card for their time served on the CAC. The proposed budget should include funding for these payments.

Community Commitment to Collaboration

Applicants are expected to collaborate with other agencies to assist with implementing PREP. A Memorandum of Agreement (MOA) must be included from each implementation site. Applicants partnering with an outside agency to gain access to program participants (such as a local health department implementing programming with their local school system) must also include in their MOA a description of the partner agencies protocol and procedures in planning to work with their youth. Each MOA should be unique and specify what the individual or agency will contribute to the program. The MOAs should be on the agency letterhead and signed by the appropriate person (someone authorized to make the commitment or support). All MOAs should be placed in Attachment A.

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 **November 30, 2022**.

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/stewardship-services/grants/suspension-funding-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 **September 28, 2022**:

<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 www.teenpregnancy.ncdhhs.gov/funding.htm and may be sent via email to interested agencies and organizations beginning **September 28, 2022**.

3. Bidder's Conference / Webinars / Question & Answer Period

All prospective applicants are encouraged to attend a Bidder's Conference Webinar on **October 5, 2022** from 1:00 p.m. to 3:00 p.m. at

<https://www.zoomgov.com/meeting/register/vJIsdumtqzIrHp9i38eCHfNeIKHZIOGH4m8>

Optional Technical Assistance Webinars

Additional technical assistance in the form of optional curricula information sessions will be held on the following dates:

An overview of the Rights, Respect, Responsibility (3Rs) curriculum will be held on **October 17, 2022** from 9:00 a.m. to 10:30 a.m. at <https://www.zoomgov.com/meeting/register/vJIsqrTgrGq4Jd9EMcag8XY7R-e5hiHk>

A two-part overview of the FLASH curriculum will be held on **October 11, 2022** and **October 13, 2022** from 1:00 p.m. to 3:00 p.m.

FLASH Overview – Day 1:

<https://www.zoomgov.com/meeting/register/vJIsf-Cupj4pHCzCKajB-SJ3AHwI6YDgqcI>

FLASH Overview – Day 2:

<https://www.zoomgov.com/meeting/register/vJIsd-CprDktHIOcSjkYLq8hkP6XMUiY7dg>

Written questions concerning the specifications in this Request for Applications will be received until 5:00 p.m. on **October 14, 2022**. As an addendum to this RFA, a summary of all questions and answers will be placed on www.teenpregnancy.ncdhhs.gov/funding.htm on **October 28, 2022**.

4. Notice of Intent

Any agency that plans to submit an application is strongly encouraged to register its intent by 5:00 p.m. on **October 21, 2022**, utilizing the following survey link:

<https://www.surveymonkey.com/r/PREPIntentA405>.

Information requested on the registration form shall include the following:

- The legal name of the agency.

- The name, title, phone number, mailing address, and email address of the lead agency administrator and the person who will coordinate the application submission.
- County(ies) where services will be offered.

5. Applications

Applicants shall email a PDF version of the full application to tppi-rfa@dhhs.nc.gov. Faxed applications will not be accepted.

6. Original Application

The applicant must maintain the original application with 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.

7. Copies of Application

Additional copies of the application are not required.

8. 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.

9. Space Allowance

Page limits are clearly marked in each section of the application.

10. Application Deadline

All applications must be received by the date and time on the cover sheet of this RFA. Faxed applications will not be accepted in lieu of the emailed version.

11. 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.

12. 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.

13. 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.

14. 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.

15. 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.

16. 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 and signed 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.*)

17. 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.

18. 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). To maintain an active SAM record, the record must be updated no less than annually.

19. 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 Unique Entity Identifier (UEI). Documentation consists of a copy the agency or organization's SAM record.

If your agency does not have a UEI, please use the online registration at www.SAM.gov to receive one free of charge.

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 and signed 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.

20. 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)

21. 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.

22. 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.

23. 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.

24. Application Process Summary Dates

September 28, 2022:	Request for Applications released to eligible applicants.
October 5, 2022:	Bidder's Conference
October 21, 2022:	End of Q&A period. All questions due in writing by 5:00 p.m.
October 21, 2022:	Notice of Intent due (strongly encouraged).
October 28, 2022:	Answers to Questions released to all applicants, as an addendum to the RFA.
November 4, 2022:	Applications due by 5:00 p.m.
November 30, 2022:	Successful applicants will be notified.
June 1, 2023:	Contract begins.

VI. PROJECT BUDGET

Budget and Justification

Applicants must submit a budget, which requires a line item budget for each year of funding 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. Reference *How to Fill out the Open Window Budget Form* which can be found on the TPPI website at www.teenpregnancy.ncdhhs.gov/funding.htm.

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 \$0.625 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/budget/budget-manual>.

Current Rates for Travel and Lodging

Meals	In State	Out of State
Breakfast	\$13.00	\$13.00
Lunch	\$14.00	\$14.00
Dinner	\$23.00	\$23.00
<i>Total Meals Per Diem Per Day</i>	<i>\$50.00</i>	<i>\$50.00</i>
Lodging (Maximum rate per person, excludes taxes and fees)	\$96.00	\$96.00
Total Travel Allowance Per Day	\$146.00	\$146.00
Mileage	\$0.625 per mile	

Equipment Costs

Expenses for any equipment to be purchased may not exceed \$2,000 per item.

Incentives

Incentives may be provided to participants in order to ensure the level of commitment that is needed to achieve the expected outcomes of the program. While there is no maximum amount of funding that may be used to provide incentives for participants, the level of incentives must be appropriate and not coercive for the level of commitment that is needed for the participants to achieve the expected outcomes of the program. Funds may not be used to provide cash payments as incentives. Funds may

be used for non-cash incentives such as gift cards, movie passes, and healthy meals. If gift cards will be 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.

Program Evaluation Costs

Evaluation design and analysis will be coordinated by the NC PREP team. If an applicant plans to implement a more extensive evaluation plan, then these costs must be covered by the applicant agency's non-grant PREP awarded funds.

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 the United States Department of Health and Human Services, Family and Youth Services Bureau.

Federal Personal Responsibility Education Program

Indirect cost is allowed on the portion of the sub-award funded by PREP.

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.

Estimated portion of subaward funded by PREP is as follows for each year:

<u>Year</u>	<u>PREP Funding Estimate</u>
1	award up to \$110,000
2	award \$0 at this time
3	award \$0 at this time

VII. EVALUATION CRITERIA

SCORING OF APPLICATIONS

Applications shall be scored based on the responses to the five (5) application content areas.

Content Areas

1. Cover Letter:

Total maximum points = 4

2. Community Description:

Total maximum points = 30

3. Program Plan:

Total maximum points = 30

4. Agency Readiness:

Total maximum points = 31

5. Budget:

Total maximum points = 5

Each of the content areas will be scored according to the numerical values stated above.

VIII. APPLICATION

Application Checklist

The following items must be included in the application and assembled in the following order:

1. **Cover Letter**
2. **Application Face Sheet**
3. **Applicant's Response Form**
4. **Project Budget**
Include a budget in the format provided.
Indirect costs are allowed.
5. **Attachment A: Memorandum of Agreement**
6. **Attachment B: Agency Information**
7. **Federally Negotiated Indirect Cost Rate Approval Letter** (if applicable)
IRS Documentation:
8. **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
9. **Verification of 501(c)(3) Status Form** (private non-profits)

1. Cover Letter

Page Limit:

Not Applicable, use template provided

Total Point Value:

4

The application must include a cover letter, on agency letterhead, signed and dated by an individual authorized to legally bind the Applicant. The cover letter must include the contact information on the template. The cover letter must also indicate a clear understanding of and strong commitment to replicating the proposed pregnancy prevention program model.

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 Unique Entity Identifier (UEI)
- the closing date for applications

(This Must be Printed on Agency Letterhead)

Date

Dear Juanella Tyler,

Describe your agency's mission, background and current services. How does implementing the proposed pregnancy prevention model fit within your agency? Describe your commitment to comprehensive sexual health education, adolescent health, academic achievement, positive youth development, parental involvement, and community engagement.

Provide description of your commitment to the proposed pregnancy prevention program model, the proposed training requirements, and implementing one of the included evidence-based program models (FLASH, 3Rs, TOP).

If applicable, describe any other funding sources your agency is pursuing to implement a teen pregnancy prevention program. Please include your agency's capacity to implement more than one teen pregnancy prevention program.

Executive Director:

Phone #: Email:

Provide the person who knows and understands the program and program plan written in the RFA. This person may be contacted any time during the RFA process by PREP staff or a reviewer related to the RFA.

Name:

Phone #: Email:

Are you a current or former (within the last 5 years) NC TPPI grantee?

Yes No

If "yes" please complete the following, for each program if applicable.

Program Name	Last Completed Funding Year	Proposed # of Participants Served	Actual # of Participants Reached threshold or largest caseload at one time for APP
Adolescent Parenting Program		15-20	
Adolescent Pregnancy Prevention Program			
PREPare for Success			
Project REACH			

2. Application Face Sheet

This form provides basic information about the applicant and the proposed project with ***PREPare for Success***, 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 #A405** 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 UEI:
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

Section 1 Community Description

Do not delete the question headers.

Please provide your response to each question under the heading.

Total Point Value:

30

Page Limit:

6 single-spaced

All data that you would like for reviewers to evaluate must be included in this section and not added to the appendices. Sources should be noted throughout the community description.

- 1-1. Define and describe the specific community or communities that will be served. (2 points)**
- 1-2. Describe the youth serving resources in this community. Describes the gaps and/or unmet needs in this community. (6 points)**
- 1-3. Equity is important in improving youth health outcomes. Describe how your agency strives to achieve greater equity. (6 points)**
- 1-4. Provide a detailed description of the youth who will be served by this grant. Describe the setting in which services will be provided. Who will be served? (6 points)**
 - a. The estimated number of youth;**
 - b. The setting in which they will be served (i.e., school, afterschool community center, etc.); and**
 - c. Why these youth were prioritized to participate in this program.**
- 1-5. Describe the intended impact of your program (How will youth participating in this program benefit?). (5 points)**
- 1-6. Describe how the proposed program aligns with and is a good fit for the population served. (5 points)**

Section 2 Program Plan

*Do not delete the question headers.
Please provide your response to each question under the heading.*

Total Point Value:
30

Page Limit:
7 single-spaced

- 2-1. Describe how you will involve community members in vetting the curriculum model and adult preparation subject education resources? What criteria will you use to determine appropriateness and best fit? (6 points)**
- 2-2. Describe your plan to attract and engage youth. (6 points)**
- 2-3. Describe your plan for securing the support from your implementation partner(s) for program implementation, evaluation, consent forms, and participant demographic data collection. (8 points)**
- a. Program Implementation (meeting fidelity and attendance requirements)**
 - b. Evaluation (PREP Entry and Exit Surveys and Participant Satisfaction Surveys)**
 - c. Consent Form Collection**
 - d. Participant Demographic Data Collection**
- 2-4. Describe how you will provide participants' parents/guardians with education around adolescent sexual health and how to communicate with their youth. (6 points)**
- 2-5. Using the chart below; list all the staff positions, including the amount of time to be spent on the program. Briefly describe each role's responsibility in the project. (4 points)**

Position	FTE	Brief Description of Role

Section 3

Agency Readiness

Do not delete the question headers.
Please provide your response to each question under the heading.

Total Point Value:
31

Page Limit:
5 single-spaced

- 3-1. Describe any past collaborations your agency had with community partners. (4 points)**
- 3-2. How do you propose to draw upon diverse perspectives from the community that the proposed work will serve? (6 points)**
- 3-3. Describe your plan to recruit community partners (adolescent members, parents, businesses, youth-serving organizations, etc.) that will serve on your Community Advisory Council. (6 points)**
- 3-4. How will you develop and maintain relationships with the community partners from which you plan to recruit youth? (5 points)**
- 3-5. Describe how your agency has elevated the voices of the community, including youth, in identifying and addressing community needs. (5 points)**
- 3-6. List examples of how you will engage adolescent community members in identifying a community health initiative. (5 points)**

4. Project Budget

Section 4 Budget

Total Point Value:

5

Page Limit:

Not Applicable

Insert Budget & Justification Form

Applicants must complete the *Budget and Justification Form* for Year 1 (6/1/2023 through 5/31/2024). Applicant must ensure that worksheet cells are expanded to expose the full narrative justification. This budget and justification can be downloaded from <http://www.teenpregnancy.ncdhhs.gov/funding> beginning September 28, 2022.

5. Attachment A

Attachment A Memoranda of Agreement

This attachment must include MOAs from each implementation site. The MOA should include a description of the partner agency's protocols and procedures in working with their youth. Each MOA should specify what the agency will contribute to the program.

6. Attachment B

Attachment B Agency Information

This attachment must include each of the following:

- Organizational chart of the applying agency.
- List of current Board of Directors of the applying agency.

7. Federal Negotiated Indirect Cost Rate Approval Letter (if applicable)

8. 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.

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

IRS Tax Exemption Verification Form (Annual)

I, _____, hereby state that I am _____ of
(Printed Name) _____ (Title)

(Legal Name of Organization) ("Organization"), and by that authority duly given
and as the act and deed of the Organization, state that the Organization's status continues to be
designated as 501(c)(3) pursuant to U.S. Internal Revenue Code, and the documentation on file with
the North Carolina Department of Health and Human Services is current and accurate.

I understand that the penalty for perjury is a Class F Felony in North Carolina pursuant to N.C. Gen.
Stat. § 14-209, and that other state laws, including N.C. Gen. Stat. § 143C-10-1, and federal laws may
also apply for making perjured and/or false statements or misrepresentations.

I declare under penalty of perjury that the foregoing is true and correct. Executed on this _____ day
of _____, 20_____.

(Signature)

Appendix A Forms for Reference

Do **NOT** complete these documents at this time **nor return them** with the
RFA response.

They are for reference only.

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

Signature

Title

Contractor [Organization's] Legal Name

Date

[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

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

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: _____

Federal Use Only

Authorized for Local Reproduction
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 _____

** Indicate if you are the Board President or Chairperson*

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 _____ [Entity's legal

name] hereby identify the following individuals who are authorized to sign **Contract**

Expenditure Reports for the entity named above:

Printed Name

Title

Reference only — Not for signature

Signature

* Title

Date

** Indicate if you are the Board President or Chairperson*

CONFLICT OF INTEREST POLICY

CONFLICT OF INTEREST ACKNOWLEDGEMENT AND POLICY

State of _____

County _____

I, _____ hereby state that I am the _____
(Printed Name) _____ (Title)
of _____ ("Organization"), and by that authority
(Legal Name of Organization)

duly given and as the act and deed of the Organization, state that the following Conflict of Interest Policy was adopted by the Board of Directors/Trustees or other governing body in a meeting held on the _____ day of _____, _____. I understand that the penalty
(Day of Month) (Month) (Year)

for perjury is a Class F Felony in North Carolina pursuant to N.C. Gen. Stat. § 14-209, and that other state laws, including N.C. Gen. Stat. § 143C-10-1, and federal laws may also apply for making perjured and/or false statements or misrepresentations.

I declare under penalty of perjury that the foregoing is true and correct. Executed on this the
day of _____, 20_____.
(Day of Month) (Month) (Year)

(Signature)

Instruction for Organization:

Sign and attach the following pages after adopted by the Board of Directors/Trustees or other governing body OR replace the following with the current adopted conflict of interest policy.

Name of Organization

Reference only — Not for signature

Signature of Organization Official

Conflict of Interest Policy Example

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:

Name of Organization

Signature of Organization Official

Date

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. 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 .

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.”

CONTRACTOR CERTIFICATIONS

State Certifications

Contractor Certifications Required by North Carolina Law

Instructions: The person who signs this document should read the text of the statutes and Executive Order listed below and consult with counsel and other knowledgeable persons before signing. The text of each North Carolina General Statutes and of the Executive Order can be found online at:

- Article 2 of Chapter 64: http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/ByArticle/Chapter_64/Article_2.pdf
- G.S. 133-32: <http://www.ncga.state.nc.us/gascripts/statutes/statutelookup.pl?statute=133-32>
- Executive Order No. 24 (Perdue, Gov., Oct. 1, 2009): <http://www.ethicscommission.nc.gov/library/pdfs/Laws/EO24.pdf>
- G.S. 105-164.8(b): http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_105/GS_105-164.8.pdf
- G.S. 143-48.5: http://www.ncga.state.nc.us/EnactedLegislation/Statutes/HTML/BySection/Chapter_143/GS_143-48.5.html
- G.S. 143-59.1: http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_143/GS_143-59.1.pdf
- G.S. 143-59.2: http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_143/GS_143-59.2.pdf
- G.S. 143-133.3: http://www.ncga.state.nc.us/EnactedLegislation/Statutes/HTML/BySection/Chapter_143/GS_143-133.3.html
- G.S. 143B-139.6C: http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_143B/GS_143B-139.6C.pdf

Certifications

(1) **Pursuant to G.S. 133-32 and Executive Order No. 24 (Perdue, Gov., Oct. 1, 2009),** the undersigned hereby certifies that the Contractor named below is in compliance with, and has not violated, the provisions of either said statute or Executive Order.

(2) **Pursuant to G.S. 143-48.5 and G.S. 143-133.3,** 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

(3) **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.

(4) **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.

(5) **Pursuant to G.S. 143B-139.6C,** the undersigned hereby certifies that the Contractor will not use a former employee, as defined by G.S. 143B-139.6C(d)(2), of the North Carolina Department of Health and Human Services in the administration of a contract with the Department in violation of G.S. 143B-139.6C and that a violation of that statute shall void the Agreement.

(6) The undersigned hereby certifies further that:

- (a) He or she is a duly authorized representative of the Contractor named below;
- (b) He or she is authorized to make, and does hereby make, the foregoing certifications on behalf of the Contractor; and
- (c) 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.

Contractor's Name: _____

Contractor's
Authorized Agent: Signature _____ Date _____

Printed Name _____ Title _____

Witness: Signature _____ Date _____

Printed Name _____ Title _____

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 Subawardee 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.

Signature _____ Reference only — Not for 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 UEI _____ Entity's Parent's UEI
(if applicable)

Entity's Location

street address _____ street address _____
city/st/zip+4 _____ city/st/zip+4 _____
county _____ county _____

Primary Place of Performance for specified contract

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

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. _____	_____	_____

Page left intentionally blank.