



Request for Applications

RFA # A-334

North Carolina Rape Crisis and Victim Services Program

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

ISSUE DATE: January 11, 2017

DEADLINE DATE: February 17, 2017 at 5:00pm

INQUIRIES and DELIVERY INFORMATION:

Direct all inquiries concerning this RFA to:

Glorina Stallworth

glorina.stallworth@dhhs.nc.gov

919-707-5426

Applications will be received until 5:00 pm on February 17, 2016.

Electronic copies of the application are available by request.

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

Email Address: Glorina.Stallworth@dhhs.nc.gov.

Only electronic applications will be accepted via email attachment (doc, .docx, .PDF formats), including all required attachments.

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I. INTRODUCTION

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

The purpose of this Request for Applications (RFA) for the North Carolina Rape Crisis and Victim Services Program is to solicit applications from qualified agencies and organizations to undertake activities that provide intervention and crisis services and other assistance and services to victims of rape and sexual assault.

Funding for this program is through the federally funded Public Health and Health Services Block Grant (PHHS Block Grant) and will be awarded to community-based organizations in North Carolina to build capacity for crisis response services and sexual violence prevention including, but not limited to, counseling and hotlines; victim assistance; and community education programs.

This RFA focuses on the provision of assistance to women ages 12 and over who are victims of rape and sexual assault as well as professionals working in the field of sexual violence services and prevention.

ELIGIBLE APPLICANTS:

Public and nonprofit rape crisis centers in North Carolina are eligible to apply for funding contingent upon adherence to the following requirements:

REQUIREMENTS FOR LOCAL PROGRAMS TO RECEIVE FUNDING:

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

1. The funded agency must demonstrate a willingness to engage technical assistance, as necessary.
2. The funded agency/organization must demonstrate a history of working with community partners and must indicate a willingness to continue to do so throughout this project period.
3. Implement process and outcome evaluation of crisis and support services provided and utilize results for continuous quality improvement.
4. Utilize tools and apply training and technical assistance provided by IVPB to improve program practice.

FUNDING INFORMATION

The total projected funding for this RFA is \$480,000 in 100% federal funds over a three-year project period, contingent on the availability of funds.

Applicants shall be selected by a review team organized by the N.C. Division of Public Health's Injury and Violence Prevention Branch (IVPB). The final amount of each award will depend upon both the number of applications submitted and the total amount of funding available from the PHHS Block Grant. If the maximum number of applicants are awarded, then the maximum annual funding for each awarded agency would be \$40,000.

Contract Period:

The project period is June 1, 2017 through May 31, 2020. The contract for Rape Crisis Victim Services is subject to annual renewal based upon criteria established by the Division of Public Health including performance and contractual compliance, and contingent upon the availability of funds for this purpose.

Total available for each award will be as following for the budget periods:

June 1, 2017- May 31, 2018 (Each grant award not to exceed \$40,000)

June 1, 2018- May 31, 2019 (Each grant award not to exceed \$40,000)

June 1, 2019- May 31, 2020 (Each grant award not to exceed \$40,000)

The actual funding amount will be determined by the Division of Public Health based on the proposed execution of the project and the utilization of funds as outlined in the applications submitted. Not more than 4 applications will be awarded funding. The awards will be made annually for up to three years, pending availability of funds and performance. Funds are distributed on a reimbursement after expenditure basis. No advance/startup funds are provided to programs.

II. BACKGROUND

North Carolina recognizes sexual violence as a serious public health problem. The N.C. Office of Healthy Carolinians, which sets North Carolina's 2020 Health Objectives, addresses this problem with objectives to reduce sexual assault and to increase the number of victims reporting and receiving services. IVPB has a long history as a leader in statewide efforts to prevent sexual violence and all forms of violence against women.

Sexual Violence is one form of violence that takes a large toll on health and well-being. According to CDC's National Intimate Partner and Sexual Violence Survey (NISVS), in the United States, nearly 1 in 5 women and 1 in 71 men have been raped in their lifetime, while 1 in 2 women and 1 in 5 men have experienced severe sexual violence victimization other than rape at some point in their lives. According to the U.S. Department of Justice's National Crime Victimization Survey, an estimated 158,090 sexual assaults against people over the age of 12 occurred in the United States in 2010. The actual number of survivors is likely much higher since the stigma associated with sexual violence fosters significant under-reporting.

About ten (10) percent of women over the age of 18 in North Carolina report experiencing sexual violence (N.C. Behavioral Risk Factor Survey). A little over half (51%) are assaulted by partners or spouses, 37% by acquaintances, and 35% by strangers. (Totals are >100% because some women are sexually assaulted by more than one person.) According to the N.C. Council for Women and Domestic Violence Commission, the 75 rape crisis centers across North Carolina received 22,031 crisis calls and served 13,736 victims of sexual assault between April 2013 and March 2014. The prevalence of sexual violence and the consequences of sexual violence to victims, their families and friends, and to society constitute a serious public health problem in North Carolina.

History of Funding Source

The Rape Crisis Victims Services funds derived from Public Health and Health Services Block Grant (PHHSBG) under the Omnibus Budget Reconciliation Act of 1981 (Public Law 97-35) authorized a series of health and social services block grants to states to carry out programs that were previously authorized separately. The final version was signed into law on August 13, 1981, amending the PHS Act to create the PHHSBG. The PHHSBG is a mandatory grant given to 61 grantees (50 states, the District of Columbia, 2 American Indian Tribes, and the eight U.S. Territories) by Congress annually. The PHHSBG consolidated funds from these programs into a proportional formula based grant. With the exception of allotments for services for rape victims which is a population based formula, each grantee's proportion of PHHSBG funds is equal to the percentage of funds received by the grantee during Fiscal Year (FY) 1981 under the former categorical program.

On October 28, 2000, Public Law 102-531 was amended by repealing Section 1910A from the PHHS Block Grant. This amendment became Public Law 106-386 and authorized monies for rape prevention and education programs to be administered through the National Center for Injury Prevention and Control. The allotment for services for rape victims is a population-based formula.

Funding for this program is through the Public Health and Health Services Block Grant (PHHSBG) and will be awarded to community-based organizations in North Carolina to build capacity for crisis response services and sexual violence prevention including, but not limited to, counseling and hotlines; victim assistance; and community education programs.

The goal of the PHHSBG to provide support clinical services; preventive screening; laboratory support; outbreak control; workforce training; public education; data surveillance; and program evaluation targeting such health problems as cardiovascular disease, cancer, diabetes, emergency medical services, infectious disease, environmental health, community fluoridation, injury and violence, and sexual violence. Because of the variance in the allowable uses of funds, states may allocate block grant resources at their discretion. There is a strong emphasis placed on providing funding for programs serving adolescents and disadvantaged populations, and expanding resources to communities with few or poor health care services. All states depend on the PHHS Block Grant to support public health funding when no other adequate resources are available.

III. SCOPE OF SERVICES

The purpose of this Request for Applications (RFA) for the North Carolina Rape Crisis and Victim Services Program is to solicit applications from qualified agencies and organizations to undertake activities that provide intervention and crisis services and other assistance and services to victims of rape and sexual assault.

The priority populations for this proposal are:

- Females aged 12 and over who are victims of rape and sexual assault;
- Professionals working in the field of sexual violence prevention and services.

Rape Crisis Centers may use PHHS Block Grant funds for activities that build organizational capacity for providing and sustaining rape crisis programs including, but not limited to, crisis counseling and hotlines; advocacy and counseling; case management; community outreach in support of direct client services; community mobilization and other prevention programming; and program evaluation.

Service delivery must be comprehensive, coordinated, and collaborative across systems. Services must be culturally and linguistically competent; strengths based; and demonstrate statewide reach.

Funds may be used to enhance current programs or services; however, funding may not be used to replace/supplant funds already supporting the program.

ELIGIBLE ACTIVITIES

PHHS Block Grant funds may be used for the following eligible activities and expenses:

1. Creating or enhancing the following Governor's Crime Commission Fundamental Service Elements for Rape Crisis Programs:
 - A. Elements: 1 & 2 For All Agencies
 - B. Elements: 1 – 8, 15 -18 For Combined Sexual Assault/Domestic Violence Agencies (**See Appendix B for the full document**).
2. Salary and fringe benefits to support a rape crisis services coordinator.
3. Salary and fringe benefits for administrative support.
4. Salary and fringe benefits (not to exceed 10% of overall salary) for the coordinator's supervisor.
5. Travel expenses which may include mileage, lodging, and subsistence up to the official rates set forth by the state of North Carolina (see the "Current Rates for Travel and Lodging" table on page 27). Applicants may choose to reimburse staff at a lower rate, but may not exceed established state rates.
6. Communications costs, including telephone, internet, email, associated unit costs, and other communications related to the program.

7. Supply costs associated with program activities.
8. Postage costs associated with program activities.
9. Equipment necessary for implementing programs and activities (note that requests for equipment costing over \$500 require state pre-approval).
10. Incentives: funds may be used to purchase program participation incentives as long as such incentives are not cash.
11. Victim Response Training: funds may be used for training that focuses on how service providers should respond to victims of sexual violence (e.g., advocates, Sexual Assault Nurse Examiner (SANE) programs, law enforcement or judicial response, etc.).
12. Food/Refreshments: funds may be used to purchase food and refreshments as long as the event is directly related to the services offered under this program.
13. Indirect Costs: Indirect cost is allowed on the portion of the sub-award funded by the Public Health and Health Services Block Grant.
14. Victim Compensation: funds may be used to pay for costs that would otherwise be eligible for local or federal victim compensation reimbursement.
15. All other pre-approved operational costs associated with conducting proposed programs and activities.

INELIGIBLE ACTIVITIES

The following are ineligible activities and expenses and **should not** be included in the grant application or its budget; however, we have listed them here to assist applicants to better understand the focus of PHHS Block Grant funding.

1. Child Sexual Abuse Prevention Programs: funds may not be used for programs that teach children about sexual abuse in ways that make them responsible for preventing their own abuse (e.g., teaching “touching rules” and encouraging children to say “no” and report abuses).
2. Lobbying, Legislative and Administrative Advocacy: funds may not be used for the expenses of lobbying for particular victim legislation, systems improvement, or administrative reform, whether conducted directly or indirectly.
3. Fundraising: all fundraising costs are ineligible for funding. The costs of organized fundraising events (including bingo, financial campaigns, endowment drives, solicitation of gifts and bequests) conducted solely to raise capital or obtain contributions may not be charged to these funds. Likewise, the salary (or portion thereof) of persons engaged in fundraising activities and any indirect costs associated with fundraising efforts are ineligible.

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 March 13, 2017.

2. Decline to Offer

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

3. Cost of Application Preparation

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

4. Elaborate Applications

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

5. Oral Explanations

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

6. Reference to Other Data

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

7. Titles

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

8. Form of Application

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

9. Exceptions

All applications are subject to the terms and conditions outlined herein. All responses will be controlled by such terms and conditions. The attachment of other terms and conditions by any agency or organization may be grounds for rejection of that agency or organization's application. Funded agencies and organizations

specifically agree to the conditions set forth in the Performance Agreement (contract).

10. Advertising

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

11. Right to Submitted Material

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

12. Competitive Offer

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

13. Agency and Organization's Representative

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

14. Subcontracting

Agencies and organizations may propose to subcontract portions of work provided that their applications clearly indicate the scope of the work to be subcontracted, and to whom. All information required about the prime grantee is also required for each proposed subcontractor.

15. Proprietary Information

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

16. Participation Encouraged

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

17. Contract

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

V. APPLICATION PROCUREMENT PROCESS AND APPLICATION REVIEW

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

1. Announcement of the Request for Applications (RFA)

The announcement of the RFA and instructions for receiving the RFA will be posted at the following DHHS website on January 11, 2017: <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 <http://www.injuryfreenc.ncdhhs.gov/About/RPE.htm> and may be sent via email to interested agencies and organizations beginning January 11, 2017.

3. Question & Answer Period

Questions concerning the specifications in this Request for Applications may be submitted by email to katia.cutts@dhhs.nc.gov and must be received by close of business January 20, 2017. As an addendum to this RFA, a summary of all questions and answers will be placed on the Injury and Violence Prevention's website at <http://www.injuryfreenc.ncdhhs.gov/About/RPE.htm> by January 27, 2017.

4. Notice of Intent

Any agency that plans to submit an application is encouraged to submit a Notice of Intent (non-binding) no later than 5pm on January 18, 2017 to glorina.stallworth@dhhs.nc.gov. Please include the following information in the Notice of Intent:

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

5. Applications

Applicants shall email an electronic copy of the signed application and all attachments to glorina.stallworth@dhhs.nc.gov by 5PM on February 17, 2017 in PDF format. The electronic application must contain signed original documents. Faxed applications will not be accepted.

6. Format

The application must be typed, single-side on 8.5" x 11" paper with margins of 1". Line spacing should be double-spaced. The font should be easy to read and no smaller than an 12-point font.

7. Space Allowance

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

8. Application Deadline

All applications must be received by the date and time on the cover sheet of this RFA. Original signatures are required.

9. 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.

10. Review of Applications

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

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

11. Request for Additional Information

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

12. Audit

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

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

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

Level 1: Less than \$25,000

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

Level 3: \$500,000 or more

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

13. Assurances

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

14. Additional Documentation to Include with Application

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

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

In addition, those private non-profit agencies are to provide a completed, signed, and notarized page verifying continued existence of the agency's 501(c)(3) status. (An example of this page is provided in section *VII.7 Verification of 501(c)(3) Status*.)

15. Federal Certifications

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

16. System for Award Management Database (SAM)

All grantees receiving federal funds must be actively registered in the federal government's System for Award Management (SAM) database, (formerly known as Central Contractor Registration (CCR)), 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.

17. Additional Documentation Prior to Contract Execution

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

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

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

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

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

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

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

18. Registration with Secretary of State

Private non-profit applicants must also be registered with the North Carolina Secretary of State to do business in North Carolina, or be willing to complete the registration process in conjunction with the execution of the contract documents. (See www.secretary.state.nc.us/corporations.)

19. Federal Funding Accountability and Transparency Act (FFATA)

Data Reporting Requirement

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

20. Iran Divestment Act Certification of Eligibility

Pursuant to 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. The Iran Divestment Act of 2015, G.S. 147-86.55 et seq.* requires that each vendor, prior to contracting with the State certify that the vendor is not identified on the Final Divestment List of entities that the State Treasurer has determined engages in investment activities in Iran and that the vendor shall not utilize on any contract with the State agency any subcontractor that is identified on the Final Divestment List. The vendor must complete, sign, and return the under the Act for every contract and contract amendment. A reference version appears in Appendix A.

21. Application Process Summary Dates

01/11/2017: Request for Applications released to eligible applicants.

01/18/2017: Notice of Intent due (non-binding)

01/20/2017: End of Q&A period. All questions due in writing by 5pm

01/27/2017: Answers to Questions released to all applicants, as an addendum to the RFA

02/17/2017: Applications due by 5pm

03/13/2017: Successful applicants will be notified

06/01/2017: Contract begins

VI. EVALUATION CRITERIA

IVPB shall facilitate a comprehensive review process. Each application will undergo an initial screening to determine if all required documents and forms are included and presented in the required formats. Applications which are incomplete will be excluded from further review. Complete applications will then be evaluated by the review committee with regard to the following six content areas:

1. **Needs Assessment** — Does the application include a description of the service area? Does the application demonstrate sufficient need for proposed services in the community?
2. **Description of Organization** – Does the application contain a description of the agency/organization and its purpose, including the mission statement, and a brief history of the agency (how, when, and why the agency was established). Are major changes to the agency's mission, approach or objectives discussed as well as the reasons for these changes? Does the application include an organizational chart?
3. **Program Plan** —To what extent are the approach and activities described in the application appropriate for achieving each stated outcome? Are the planned approaches logical and sequential? Are the outcomes stated in measurable terms according to a specific time frame? Does the application include a practical plan for providing necessary training to staff and conducting evaluation of program tasks?
4. **Organizational Capacity** – How well does the application demonstrate an ability to successfully implement the project in the stated time period? Does the application include information about the agency's staffing capability; educational qualifications and experience of proposed staff; and proposed level of effort needed to carry out activities? Does the application include subcontractors? Is a chart provided which clearly indicates the structure of subcontractor organizations? Are lines of authority and accountability among the proposed staff and any proposed subcontractors clearly delineated and appropriate?
5. **Community Support** – Does the application contain letters of support from other community agencies and partners that demonstrate a strong commitment to rape crisis service delivery and the prevention of sexual assault? Were the letters written specifically for this application? Are they relevant to the program plan described in this application?
6. **Program Budget/Justification Narrative** — Does the budget include all activities proposed in the Program Plan? Are the amounts budgeted for each activity reasonable and appropriate?

Each content area has been assigned a maximum number of points according to its relative importance in the review process (see table below). Applications will receive a score in each content area based on the quality and completeness of responses to items listed above.

Content area scores will be added together to determine the total score for each application. The highest possible total score for an application is 100 points.

CONTENT AREA	MAXIMUM POINTS
Needs Assessment	20
Description of Agency/Organization	15
Program Plan	25
Organizational Capacity	15
Community Support	15
Budget/Justification Narrative	<u>10</u>
Total Points	100

VII. APPLICATION

Application Checklist

The following items must be included in the application. Assemble the application in the following order:

1. ___ **Cover Letter**
2. ___ **Application Face Sheet**
3. ___ **Applicant's Response/Form, including:**
 - Attachment A: Organization Chart
 - Attachment B: Letters of Support
4. ___ **Project Budget**
 Include a budget in the format provided.
 Indirect costs are allowed.
5. ___ **Indirect Cost Rate Approval Letter (if applicable)**

 IRS Documentation:
6. ___ **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
7. ___ **Verification of 501(c)(3) Status Form** (private non-profits)

1. Cover Letter

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

Include in the cover letter:

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

2. Application Face Sheet

This form provides basic information about the applicant and the proposed project with The North Carolina Rape Crisis and Victim Services Program, including the signature of the individual authorized to sign “official documents” for the agency. This form is the application’s cover page. Signature affirms that the facts contained in the applicant’s response to RFA # A-334 are truthful and that the applicant is in compliance with the assurances and certifications that follow this form and acknowledges that continued compliance is a condition for the award of a contract. Please follow the instructions below.

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

3. Applicant's Response

A. Needs Assessment (20% of Score)

*You may use **up to three (3)** pages for this section (not including attachments).*

Applicants should completely address the items in each subsection below; subsections that are not addressed or are only partially addressed will receive fewer or no points. These instructions and subsections may be deleted to maximize space.

- i. Describe the county or area you will be serving. Include information about the populations who live there, the size and geographic diversity of the area, and any other factors that may impact your activities (e.g., urban/rural, transportation, industry and economic conditions, recent events, etc.).
- ii. Describe the need for rape crisis services in your community. Include data on victimization and perpetration of various forms of sexual violence, limitations of the data, social norms you are aware of that may promote or prevent sexual violence, and anything else that may indicate a need for creating or enhancing rape crisis services.

B. Description of Agency/Organization (15% of Score)

*You may use **up to three (3)** pages for this section (not including attachments).*

Applicants should completely address the items in each subsection below; subsections that are not addressed or are only partially addressed will receive fewer or no points. These instructions and subsections may be deleted to maximize space.

- i. Provide a description of why your agency/organization is a good candidate for funding to implement the Rape Crisis and Victim Services program. Include the following required items: description of the agency and its purpose, brief history (how, when, and why the agency was established), mission statement, and an organizational chart (include as **Attachment A**). Provide additional information, if applicable, regarding any changes in the agency's mission, approach or objectives as well as the reasons for and impact of these changes on your program.
- ii. Describe the roles played by the organization's leaders and staff, including Board members and volunteers, in community mobilization efforts to prevent sexual violence and to support victims of rape and sexual assault. Discuss the ways that your current strategies to raise awareness regarding sexual violence engage community members beyond simply attending an annual event.

C. Program Plan (25% of Score)

*You may use **up to four (4)** pages for this section (not including attachments).*

Applicants should completely address the items in each subsection below;

subsections that are not addressed or are only partially addressed will receive fewer or no points. These instructions and subsections may be deleted to maximize space.

- i. Provide a work plan that lists the goals and “SMART” objectives addressed in your program (see below).¹ Create a table for each goal that displays: (1) objectives, (2) Specific, measurable activities to accomplish each objective, (3) The time frame for each activity, and (4) The outcome of each objective. If an activity cannot be measured (i.e., health fairs, general community awareness events, media events), do not include it as an activity in the application.
- ii. Provide a description of the evaluation plan you will use to measure and monitor progress toward meeting program goals and objectives. **Make sure to list the outputs (immediate products) and outcomes (% of participants with knowledge increase) for each objective, (3) evaluation tools you will use to gather and analyze data, and (4) ways you will use the evaluation results to improve your program.**
- iii. Describe how your program will be managed, including information on the skills and experiences of program staff. Provide a complete staffing plan describing each existing or proposed position by title, percentage of time/effort on the project, and a brief job description for the position. In all cases it should be clear whom each staff member will supervise as well as who will supervise him or her. If the identity of the individual proposed for a position is known, his or her name should be listed in both the budget and budget justification narrative.
- iv. Describe how you will determine the training needs of staff, and how you will ensure that training participants receive a high-quality training experience to support the achievement of program goals and objectives.

D. Organizational Capacity (15% of Score)

*You may use **up to two (2)** pages for this section (not including attachments).*

Applicants should completely address the items in each subsection below;

¹ “SMART” objectives are: Specific, Measurable, Attainable, Realistic, and Time bound/phased. A tutorial on writing good goals and SMART objectives can be found at

<http://www.cdc.gov/healthyouth/tutorials/writinggoal/index.htm>.

subsections that are not addressed or are only partially addressed will receive fewer or no points. These instructions and subsections may be deleted to maximize space.

- i. Describe the current activities, services, and experience of your agency that are applicable to implementation of the Rape Crisis and Victim Services program. Outline your agency's experience in administering grant funds and explain how your staff will meet the demands of required project activities.
- ii. Describe your plans to use subcontractors (if applicable) and provide information on the capacity of organizations to successfully implement the tasks assigned to them.

E. Community Support (15% of Score)

You may use up to two (2) pages for this section (not including attachments).

Applicants should completely address the items in each subsection below; subsections that are not addressed or are only partially addressed will receive fewer or no points. These instructions and subsections may be deleted to maximize space.

- i. **Provide at least 3 letters of support as Attachment B from other community agencies/organizations and individuals that show a strong support for this application and/or rape crisis services in your community, as well as ongoing support of and targeted involvement with your agency. **NOTE: Letters of support should be written recently and be relevant to the program plan you describe in this application.****

4. Project Budget

Budget Justification (10% of Score)

All applicants should prepare a budget that is no more than \$40,000 for the contract period June 1, 2017 through May 31, 2020. Requested budget amounts should be realistic, and agencies should be prepared to use all funds awarded to them.

Applicants must complete a program budget and a budget justification narrative that list all expenses for the proposed project. You must use the following link to access the Injury and Violence Prevention website and locate the Open Window Budget Worksheet: <http://www.injuryfreenc.ncdhhs.gov/About/RPE.htm>. Please include your completed program budget and budget justification narrative after your program narrative. In-kind or matching funds are not required for this program. Additional guidance for the main budget categories is found below:

A. Personnel

Provide staff names (if known), position title, and a brief description of the positions that will be funded with grant funds in the justification narrative section.

B. Travel

Identify titles of staff for whom travel is proposed, briefly explain the purpose of the travel and how it relates to the action plan, and provide an estimate of mileage and per diem costs showing how those expenses were calculated. (Note: travel must be computed at rates no higher than the current State regulations).

Mileage should be based on rates located on the North Carolina Office of State Budget and Management's (OSBM) web page. Mileage rates fluctuate with the price of fuel, thus the OSBM will release a memorandum entitled "Change in IRS Mileage Rate" when there is a change in this rate.² Effective January 1, 2016, the business standard mileage rate is .54 cents per mile.

For other travel related expenses, please refer to the OSBM's North Carolina Budget Manual, pages 119 – 142.³ Current rates for travel and lodging are presented in the chart below; however, it is recommended that the applicant visit the North Carolina Budget Manual website to verify rates prior to submission of the application.

²http://data.osbm.state.nc.us/pls/pbis/dyn_osbmweb_libmemos.show?p_arg_names=context&p_arg_values=reg
Use the 'Search by Keyword' box and type "mileage".

³https://ncosbm.s3.amazonaws.com/s3fs-public/documents/files/BudgetManual_2016January.pdf

Current Rates for Travel and Lodging

Meals			In State	Out of State
	Breakfast		\$8.30	\$8.30
	Lunch		\$10.90	\$10.90
	Dinner		\$18.70	\$21.30
	Total		\$37.90	\$40.50
Lodging		(Maximum)	\$67.30	\$79.50
Total			\$105.20	\$120.00
Mileage		0.540 per mile		

C. Supplies

Supplies listed in the supply line item must be itemized. For example, 5 boxes of pens @ \$5.00 each = \$25.00; 2 boxes of copy paper @ \$50 each = \$100. The following statement will be **unacceptable** for a justification for supplies: “*Cost for supplies such as pens, paper, binders, etc. is \$500.*”

D. Operating Expenses

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

E. Equipment

Equipment includes major equipment such as computer, copiers, etc. Expenses for any equipment to be purchased may not exceed \$5,000.

F. Contracted Services

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

G. Conference Registration Fees

Any conference registration fees should be listed under the “Other” category, “Other” subcategory and not in Staff Development.

5. Indirect Cost Rate Approval Letter

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 may be applied. Applicants must indicate in the budget narrative that they wish to use the FNICR, or some parts thereof. 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 the Public Health and Health Services Block Grant is as follows for each year:

<u>Year</u>	Public Health and Health Services Block Grant
1	\$40,000
2	\$40,000
3	\$40,000

6. IRS Letter

Public Agencies:

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

Private Non-profits:

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

This IRS determination letter can also satisfy the documentation requirement of your organization's tax identification number.

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

Verification of 501 (C)(3) Status

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

Name of Agency

Signature of Chairman, Executive Director, or other authorized official

Title of above signed authorized official

Sworn to and subscribed before me this _____ day of _____, 20__.

Notary Signature and Seal

Notary's commission expires _____, 20 ____.

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:

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

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

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

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

Signature: _____

Print Name: _____

Title: _____

Telephone No: _____ Date: _____

Federal Use Only

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Standard Form - LLL

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

LETTER TO IDENTIFY INDIVIDUALS TO SIGN CONTRACTS

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

I, _____, Board President/Chairperson
of _____ [Agency/Organization's legal
name] hereby identify the following individual(s) who is (are) authorized to sign **Contracts**
for the organization named above:

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

Reference only — Not for signature

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

NOTARIZED STATEMENT AND CONFLICT OF INTEREST POLICY

Notarization of Conflict of Interest Policy

State of North Carolina, County of _____
I, _____, Notary Public for said County and State, certify
that _____ personally appeared before me
this day and acknowledged that he/she is

[title]
of

[name of organization]
and by that authority duly given and as the act of the Organization, affirmed that the
foregoing Conflict of Interest Policy was adopted by the Board of Directors/Trustees or
other governing body in a meeting held on the ____ day of _____, _____.
Sworn to and subscribed before me this ____ day of _____, 20__.

Notary Signature and Seal
Notary's commission expires _____, 20__.

Instruction for the Organization:

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

Reference only — Not for signature

Signature of above named Organization Official

Conflict of Interest Policy

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

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

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

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

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

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

E. **Board Action** — When a conflict of interest is relevant to a matter requiring action by the Board of Directors/Trustees or other governing body, the Board member or other governing person, officer, employee, or agent (person(s)) must disclose the existence of the conflict of interest and be given the opportunity to disclose all material facts to the Board and members of committees with governing board delegated powers considering the possible conflict of interest. After disclosure of all material facts, and after any discussion with the person, he/she shall leave the governing board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.

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

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

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

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

Approved by:

Reference only — Not for signature

Legal Name of Organization

Signature of Organization Official

Title of Organization Official

Date

NO OVERDUE TAX DEBTS CERTIFICATION

State Grant Certification – No Overdue Tax 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	<u>Board Chair</u>	_____
_____	Title	Date
Reference only — Not for signature	_____	_____
Signature	Title of Second Authorizing Official	Date

Sworn to and subscribed before me this _____ day of _____, 20__.

Reference only — Not for signature

Notary Signature and Seal

Notary’s commission expires _____, 20__.

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

CONTRACTOR CERTIFICATIONS

Contractor Certifications Required by North Carolina Law

Instructions

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

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

Certifications

- (1) **Pursuant to G.S. 143-48.5 and G.S. 147-33.95(g)**, the undersigned hereby certifies that the Contractor named below, and the Contractor's subcontractors, complies with the requirements of Article 2 of Chapter 64 of the NC General Statutes, including the requirement for each employer with more than 25 employees in North Carolina to verify the work authorization of its employees through the federal E-Verify system." E-Verify System Link: www.uscis.gov
- (2) **Pursuant to G.S. 143-59.1(b)**, the undersigned hereby certifies that the Contractor named below is not an "ineligible Contractor" as set forth in G.S. 143-59.1(a) because:
 - (a) Neither the Contractor nor any of its affiliates has refused to collect the use tax levied under Article 5 of Chapter 105 of the General Statutes on its sales delivered to North Carolina when the sales met one or more of the conditions of G.S. 105-164.8(b); **and**
 - (b) [check **one** of the following boxes]
 - Neither the Contractor nor any of its affiliates has incorporated or reincorporated in a "tax haven country" as set forth in G.S. 143-59.1(c)(2) after December 31, 2001; **or**
 - The Contractor or one of its affiliates **has** incorporated or reincorporated in a "tax haven country" as set forth in G.S. 143-59.1(c)(2) after December 31, 2001 **but** the

United States is not the principal market for the public trading of the stock of the corporation incorporated in the tax haven country.

- (3) **Pursuant to G.S. 143-59.2(b)**, the undersigned hereby certifies that none of the Contractor's officers, directors, or owners (if the Contractor is an unincorporated business entity) has been convicted of any violation of Chapter 78A of the General Statutes or the Securities Act of 1933 or the Securities Exchange Act of 1934 within 10 years immediately prior to the date of the bid solicitation.
- (4) The undersigned hereby certifies further that:
- (f) He or she is a duly authorized representative of the Contractor named below;
 - (g) He or she is authorized to make, and does hereby make, the foregoing certifications on behalf of the Contractor; and
 - (h) He or she understands that any person who knowingly submits a false certification in response to the requirements of G.S. 143-59.1 and -59.2 shall be guilty of a Class I felony.

Contractor's Name	
Signature of Contractor's Authorized Agent	Date
Printed Name of Contractor's Authorized Agent	Title
Signature of Witness	Title
Printed Name of Witness	Date

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

FFATA Form

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

A. Exemptions from Reporting

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

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

The entire FFATA reporting requirement:

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

Only executive compensation data reporting:

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

Reference only — Not for signature

Signature _____ Name _____ Title _____

Entity _____ Date _____

B. Reporting

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

Entity’s Legal Name _____ Contract Number _____

Active SAM registration record is attached

An active registration with SAM is **required**

Entity’s DUNS Number _____

Entity’s Parent’s DUNS Nbr (if applicable) _____

Entity’s Location

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

Primary Place of Performance for specified contract

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

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

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

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

IRAN DIVESTMENT ACT CERTIFICATION OF ELIGIBILITY

**Certification of Eligibility
Under the Iran Divestment Act**

Pursuant to 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. The Iran Divestment Act of 2015, G.S. 147-86.55 *et seq.** requires that each vendor, prior to contracting with the State certify, and the undersigned on behalf of the Vendor does hereby certify, to the following:

1. that the vendor is not identified on the Final Divestment List of entities that the State Treasurer has determined engages in investment activities in Iran;
2. that the vendor shall not utilize on any contract with the State agency any subcontractor that is identified on the Final Divestment List; and
3. that the undersigned is authorized by the Vendor to make this Certification.

Vendor:

By: _____
Signature Date

Printed Name Title

The State Treasurer’s Final Divestment List can be found on the State Treasurer’s website at the address: <https://www.nctreasurer.com/inside-the-department/OpenGovernment/Pages/Iran-Divestment-Act-Resources.aspx> and will be updated every 180 days. For questions about the Department of State Treasurer’s Iran Divestment Policy, please contact Meryl Murtagh at *Meryl.Murtagh@nctreasurer.com* or (919) 814-3852.

* Note: Enacted by Session Law 2015-118 as G.S. 143C-55 *et seq.*, but has been renumbered for codification at the direction of the Revisor of Statutes.

Appendix B: Fundamental Service Elements and their Descriptions:

Elements Governing All Agencies

Elements Governing Combined Agencies

Elements Governing “Stand Alone” Domestic Violence Programs

Elements Governing “Stand Alone” Sexual Assault Programs

Elements Governing All Agencies

#1 Fundamental Service Element: All services should be provided free of charge, except in the delivery of counseling services and only when clients are able and willing to pay. In these cases, fees should be structured on a sliding scale basis.

Rationale and Explanation: All services should be designed to remove as many obstacles as possible, including those that are financial in nature. Victims of domestic violence and sexual assault could be faced with poverty or other economic factors, like medical bills related to exams and/or treatment of injuries that make compensating providers for services a hardship. In addition, victims may also be faced with other obstacles related to their victimization, such as a lack of access to household resources, as a result of economic abuse.

Although this fundamental service element allows providers to charge in certain instances, it should be noted that the federal Victims of Crime Act prohibits the charging of fees for services that are delivered by staff that are supported with Victims of Crime Act funds. In addition, in the event agencies seek to charge for their services, approval must be requested and received from the Governor's Crime Commission and will entail a rigorous process of assuring that all proceeds are reinvested into the program.

This fundamental service component is part of the grant agreement agencies enter into to receive state funding for domestic violence and sexual assault services.

#2 Fundamental Service Element: Services cannot be denied based on a client's immigration status.

Rationale and Explanation: As noted above, it is very important that victims face as few obstacles as possible when they turn to service providers for assistance. Persons who experience any type of victimization who are not originally from this country may fear that their immigration status might exclude them from help, or worse, jeopardize their ability to remain in this country. Public policy has evolved so that some of these fears are largely unfounded, but sometimes are not widely known or understood. For example, there are no laws that prohibit delivering services to persons who are not legal citizens of the United States. In fact, the federal Violence Against Women Act contains specific provisions that are designed to provide legal remedies for battered immigrant women. There are also other relevant laws or policies that require that services be provided, regardless of a person's immigration status. These include:

A federal law that battered immigrant women, including undocumented immigrants, is guaranteed the same access to shelters and transitional housing for up to two years as U.S. citizens. [Source: Memorandum from Secretary, U.S. Dep't of Housing and Urban Development, to HUD Funds Recipients 2 (Jan. 19, 2001); Fact Sheet: Access to HHS-Funded Services for Immigrant Survivors for Domestic Violence, Dep't of Health and Human Servs., Washington, D.C., Jan. 19, 2001]

Denial of services to immigrants may constitute a violation of Title VI of the Civil Rights Act of 1964. This Act prohibits discrimination on the basis of race, color, and national origin in programs and activities receiving federal financial assistance.

Federal funds provided to local social service programs or to states for state-based programs, including shelters, hospitals or battered women's programs, are not "federal public benefits" and immigrant access to these programs is not restricted.

Both non-profit and charitable organizations are exempt from immigration status verification and reporting, regardless of whether they receive federal, state or local funding.

Amendments to the immigration statute eliminated the requirement that non-profit charitable organizations seek confirmation that an applicant is a qualified immigrant, thereby allowing all immigrants to access benefits provided by these organizations.

An order was issued from the US Attorney General's Office directing that short-term shelter programs offered at the community level (including emergency shelters and transitional housing for up to 2 years) must be open to all immigrants, even those who are undocumented.

This fundamental service component is part of the grant agreement agencies enter into to receive state funding for domestic violence and sexual assault services.

Elements Governing “Combined” Agencies

#1 Fundamental Service Element: Agencies must have staff that are adequately trained on domestic violence and sexual assault and are able to provide information, advocacy, case management, counseling and referral for services, including clinical services.

Rationale and Explanation: Information, advocacy, case management, counseling, and referral for services including clinical services are the fundamental components of services to victims. All of these services should be a standard part of service delivery for victims of domestic violence and victims of sexual assault. It is important that combined programs assure that these services are available for persons that have been sexually assaulted outside of an intimate partner relationship and that they are delivered by staff who have received training. For example, an adult that has experienced sexual assault during their childhood should have access to staff that are trained to understand the dynamics of this type of victimization and to respond to the needs of that person seeking services.

This fundamental service component is part of the grant agreement agencies enter into to receive state funding for domestic violence and sexual assault services.

#2 Services should be provided free of charge, except in the delivery of counseling services and only when clients are able and willing to pay. In these cases, fees should be structured on a sliding scale basis.

Rationale and Explanation: See page 52, #1.

#3 Fundamental Service Element: Services cannot be denied based on a client’s immigration status.

Rationale and Explanation: See page 52, #2.

Hotline Services:

#4 Fundamental Service Element: Hotlines must be operational all of the time.

Rationale and Explanation: Hotlines are the main method that victims, their friends and family, and professionals, access agency services and learn about the issues of sexual assault and domestic violence. It is a widely accepted reality that survivors must choose the times they call carefully to assure their safety. The survivors may take a long time to make the decision to reach out for help, and are likely to be in crisis when they call. These reasons suggest that hotlines be operational 24 hours per day, seven days per week in order to be optimally responsive to the community.

This fundamental service component is part of the grant agreement agencies enter into to receive state funding for domestic violence and sexual assault services.

#5 Fundamental Service Element: The response must be “live.”

Rationale and Explanation: Because of the immediacy of the needs of callers, and the intense nature of why persons call hotlines, it is important that people receive a “live” response; they should never be routed to an answering machine to leave a message or not have access to immediate help, assistance, or support. Voice mail systems and greetings are acceptable when necessary, but only if they immediately advise callers how to access a live response. For example, the recording should advise callers to “press 0” to connect immediately to a person that is trained to help.

This fundamental service component is part of the grant agreement agencies enter into to receive state funding for domestic violence and sexual assault services.

#6 Fundamental Service Element: It is always preferable to have a trained advocate handling hotline calls directly. It is required that trained advocates answer the hotline during business hours (e.g. weekdays during an 8 hour work day). During other hours, e.g. weekends and after hours, programs may use an answering service. In those circumstances, the caller must have access to a trained advocate within one (1) hour of their call.

Rationale and Explanation: Same rationale as above.

#7 Fundamental Service Element: Hotline services must include information regarding the issue, local resources, support, and crisis intervention.

Rationale and Explanation: Information about victimization, information regarding local resources, the provision of support, and crisis intervention are the main reasons why persons call hotlines. They are the basics to a hotline response for victims, and therefore, must be available to all callers. Services must include these four categories and must be available regarding both types of violence – sexual assault and domestic violence.

#8 Fundamental Service Element: Greetings must be easily recognizable to the caller to verify that they have reached a hotline. Greetings that leave a question in the caller’s mind as to who they have reached are not acceptable.

Rationale and Explanation: A standard greeting that lets the caller know they have reached a hotline specifically designed to respond to the needs of victims of domestic violence and/or sexual assault is required. It is suggested that the phone be answered with the name of the agency, for example. Callers should not have to wonder whether they’ve reached the correct number, given the sensitive nature of their call and the ambivalence they may be experiencing in reaching out for help. Some providers worry that the person victimizing the caller will discover that they have reached out for help by re-dialing the number. Providers are encouraged to adopt practices that guard against this, rather than disguising where the person has called.

For example, callers can be advised to dial a different number after they hang up so that re-dial will not provide information about the hotline they called.

Shelter Services:

#9 Fundamental Service Element: Staff or volunteers should be on site for safety and support.

Rationale and Explanation: From a program perspective, it is expected that families who are provided with shelter by the program are experiencing some degree of crisis and may require the support of staff or volunteers (i.e. non residents who are trained and experienced with the issue of domestic violence) at any time during their stay. In fact, it is not unusual for residents to seek counsel, support, and information during the evening hours, after their children have retired for the night. Having a trained volunteer or staff person scheduled to be on site provides other benefits, as well. Residents are able to gain entry into the shelter on an emergency basis, i.e. in the middle of the night, and residents requiring medical care or other attention have immediate access to that help or to someone that is able to coordinate the delivery of that assistance.

An added benefit to staffing the shelter during overnight hours is that it presents an opportunity for the hotline to be answered on a continuous basis and to avoid the utilization of an answering service which requires that the client wait to be connected to a trained advocate.

Aside from the program issues and the determination of what is in the best interest of the client, there are legal issues that are also relevant. Residents entering shelter have an expectation that they will be protected from external threats including their abusive partners, as well as those that might threaten them internally including, for example, a building hazard including fires or malfunctioning systems.

Finally, although peer support is an important component of recovery from victimization, program clients should not be in the position of being or feeling ultimately responsible for the physical or emotional safety of other residents and/or their children.

#10 Fundamental Service Element: Basic needs, including food and hygiene, should be met with program resources.

Rationale and Explanation: Families entering shelter should not be required to provide their own food or hygiene products. Programs should use grant or other funding to provide these resources, and/or, seek community support in the form of donations. These items should include things like feminine products, soaps, shampoos, toilet paper, and diapers. This does not mean that residents should not be allowed to bring or buy their own groceries or hygiene products. They simply cannot be required to do so.

This fundamental service component is part of the grant agreement agencies enter into to receive state funding for domestic violence and sexual assault services.

#11 Fundamental Service Element: The written intake process should include procedures for screening, referral, and/or the delivery of services to victims with mental or physical health concerns, and substance abuse concerns.

Rationale and Explanation: It is important that programs have procedures for responding to issues that occur routinely. Among those issues are the presence of physical or mental health concerns and the abuse of substances. These also represent potential obstacles to recovery from victimization and require specific services or interventions tailored to the client's needs. This fundamental service component does not direct programs in specifics as to their procedures, but leaves the details of accessing adequate resources and identifying these issues during the written intake process for shelter, up to the individual program.

#12 Fundamental Service Element: Prioritize families in imminent danger.

Rationale and Explanation: Some programs operate under a philosophy that any person or family in crisis should have access to basic needs, including shelter. Unfortunately, there is still a need for additional shelter space in the state and it is therefore required that programs prioritize those persons or families who are in imminent danger. The details of how to prioritize these needs is left up to individual programs.

#13 Fundamental Service Element: Shelter should be in an undisclosed location or in a secure facility.

Rationale and Explanation: It is a reality that in some communities in North Carolina, it is impossible to site the shelter in an undisclosed location. In addition, some programs have decided that their safety is enhanced by the community knowing where they are located. This service element directs that if the decision is made to disclose the location of the shelter, that a plan be developed and put into place that provides security to staff, volunteers, visitors and/or residents of the shelter. This might involve anything from an alarm system, a monitoring or surveillance system, to architectural plans that enhance security like well lit, visible areas, low or no shrubbery, and the strategic use of organizations or agencies that are situated nearby, i.e. law enforcement. This is especially important for programs whose policies allow persons to reside in the shelter and to maintain the routines they had prior to entering shelter, i.e. kids attend the same school, adult has same employer, creating the possibility that they could be followed back to the shelter by someone intending them or others harm.

#14 Fundamental Service Element: Access to all agency services, including case management, counseling, and advocacy including legal advocacy.

Rationale and Explanation: This element simply makes clear that the services that are available to clients living in the community must also be available to those residing in shelter, including case management, individual and group counseling, and advocacy.

#15 Fundamental Service Element:

Group Counseling Services:

Regularly scheduled open or closed support groups.

Less than a 12 week wait for closed groups.

Agency exercise to respond to adult survivors of childhood abuse, sexual abuse within an intimate relationship, and stranger sexual assault.

Facilitated by trained staff or trained volunteer.

Rationale and Explanation: One of the primary reasons given by programs for not holding support groups is “lack of demand.” In order to provide the fullest access to supportive services as possible, programs should schedule support groups (it is up to the program to schedule “open” groups that are ongoing, or “closed” groups that have a specific beginning and end date) and to advertise these groups widely within the community. Because no community is immune from sexual or domestic violence, it is assumed that persons who could benefit from this service live in the community, but may be reluctant to seek services or not know about their availability. Programs are encouraged to be creative and diligent in their efforts to recruit support group members.

It is important that once persons have asked for assistance with the issues of sexual assault and/or domestic violence, the service is provided in a reasonable amount of time. For that reason, it is required that persons not be asked to wait longer than 12 weeks to enroll in a support group.

Because there are multiple types of victimization that may emerge during a support group, it is required that programs employ staff or utilize volunteers who possess the necessary expertise to assist support group members with issues that arise. The primary forms of sexual assault persons experience include victimization as a child, sexual assault within an intimate relationship, and sexual assault by a stranger or acquaintance, making it necessary to assure agency expertise in these areas.

Groups should be facilitated by persons that are either employed by the agency or who have been trained as volunteers and/or their credentials have been reviewed and approved by the agency. Programs should not allow other group members to facilitate the group.

#16 Fundamental Service Element:

Individual Counseling Services:

Counseling or clinical treatment by the program or, a referral mechanism for mental health and substance abuse services.

Rationale and Explanation: There is evidence that victims served by domestic violence and sexual assault programs, as reported by programs, experience mental health and

substance abuse problems at a significant rate. Programs may choose to deliver the necessary counseling services to respond to clients' needs, or, may utilize community resources in this regard. In addition, the program must be able to determine whether the client needs clinical treatment, i.e. medication for treatment of mental illness, detoxification services for substance abuse, and to provide that treatment or coordinate the provision of that treatment in the community.

Advocacy Services:

#17 Fundamental Service Element:

Medical Advocacy for Sexual Assault Survivors:

**Assisting the client in making informed decisions about medical care, including a referral for a forensic exam.
Information about medical care and concerns.
Support, including accompaniment at medical exams. Program should be available within 3 hours of request following an assault, or, available for follow up exams with 24 hour notice.**

Rationale and Explanation: The health care system is an important component of the response to sexual assault survivors. First, medical treatment may be necessary following an assault, for the well being of the victim. Second, medical evaluation and assistance may be important to a successful prosecution of a sexual assault crime. In either instance, the program must be prepared to provide information and support to a victim entering the health care system.

Programs are required to respond to a request for accompaniment to a health care provider in a timely manner; programs should provide accompaniment following an assault within 3 hours of the request made by a victim, and, programs should provide accompaniment to follow up visits or exams with a 24 hour notice.

#18 Fundamental Service Element:

Legal Advocacy for Sexual Assault Survivors:

**Information regarding the reporting of crimes and the functions of the civil and criminal justice systems.
Support, including accompaniment to civil or criminal proceedings.
Referrals to legal representation, including Legal Aid of North Carolina.**

Rationale and Explanation: There are a number of legal remedies available to victims of sexual assault and victims of domestic violence. In both cases, remedies fall within the civil and criminal justice systems. For example, for victims of sexual assault, they may be eligible for a civil protective order, or, may press charges under the state's criminal statutes. Similarly, victims of domestic violence may be eligible for a domestic violence

protective order, and/or, pursue a criminal case against the batterer. Both systems are complex, and can be difficult to understand, especially in a time of crisis. They can also be intimidating and overwhelming, especially for persons that may believe they aren't entitled to justice under these systems. Finally, these systems can operate with local discretion, so they may be different in some ways from jurisdiction to jurisdiction, making explanations of how they work very important.

An integral part of providing support to victims who are negotiating the civil or criminal justice systems is by providing accompaniment to various hearings and proceedings.

There is a shortage of affordable and accessible legal representation for many victims of sexual assault and/or domestic violence, in North Carolina. Programs are encouraged to recruit local, qualified attorneys to provide pro bono services or representation at a reduced rate. In addition, programs are required to establish a referral mechanism with Legal Aid of North Carolina or other legal services offices in the state. These offices are funded to provide services to victims of domestic violence.

Elements Governing “Stand Alone” Domestic Violence Agencies

#1 Fundamental Service Element: Staff must be trained on sexual abuse and sexual assault.

Rationale and Explanation: Sexual abuse occurs routinely in battering relationships and requires specific training by staff to adequately understand, support, and provide assistance to or coordinate that assistance to victims. In addition, many adult victims of domestic violence have experienced sexual abuse or assault at other times in their lives, either as children or adults, and within or outside of an intimate partner relationship. Therefore, staff must have training specifically on the dynamics of sexual abuse and sexual assault so that they are prepared to respond to the needs of domestic violence victims.

#2 Fundamental Service Element: Services should be provided free of charge, except in the delivery of counseling services and only when clients are able and willing to pay. In these cases, fees should be structured on a sliding scale basis.

Rationale and Explanation: See page 52, #1.

#3 Fundamental Service Element: Services cannot be denied based on a client’s immigration status.

Rationale and Explanation: See page 52, #2.

Hotline Services:

#4 Fundamental Service Element: Hotlines must be operational all of the time.

Rationale and Explanation: See page 54, #4.

#5 Fundamental Service Element: The response must be “live.”

Rationale and Explanation: See page 55, #5.

#6 Fundamental Service Element: It is always preferable to have a trained advocate handling hotline calls directly. It is required that trained advocates answer the hotline during business hours (e.g. weekdays during an 8 hour work day). During other hours, e.g. weekends and after hours, programs *may* use an answering service. In those circumstances, the called must have access to a trained advocate within one (1) hour of their call.

Rationale and Explanation: See page 55, #6.

#7 Fundamental Service Element: Hotline services must include information

regarding the issue, local resources, support, and crisis intervention.

Rationale and Explanation: See page 55, #7.

#8 Fundamental Service Element: Greetings must be easily recognizable to the caller to verify that they have reached a hotline. Greetings that leave a question in the caller's mind as to who they have reached are not acceptable.

Rationale and Explanation: See Pages 55-56, #8.

Shelter Services:

#9 Fundamental Service Element: Staff or volunteers should be on site for safety and support.

Rationale and Explanation: See page 56, #9.

#10 Fundamental Service Element: Basic needs, including food and hygiene, should be met with program resources.

Rationale and Explanation: See page 56, #10.

#11 Fundamental Service Element: The written intake process should include procedures for screening, referral, and/or the delivery of services to victims with mental or physical health concerns, and substance abuse concerns.

Rationale and Explanation: See page 57, #11.

#12 Fundamental Service Element: Prioritize families in imminent danger.

Rationale and Explanation: See page 57, #12.

#13 Fundamental Service Element: Shelter should be in an undisclosed location or in a secure facility.

Rationale and Explanation: See page 57, #13.

#14 Fundamental Service Element: Access to all agency services, including case management, counseling, and advocacy including legal advocacy.

Rationale and Explanation: See page 57, #14.

Counseling Services:

Fundamental Service Element #15:

Group:

- Regularly scheduled open or closed support groups.**
- Less than a 12 week wait for closed groups.**
- Agency exercise to respond to sexual abuse within an intimate relationship.**
- Facilitated by trained staff or trained volunteer.**

Rationale and Explanation: See page 58, #15.

Fundamental Service Element #16:

Individual:

- Counseling or Clinical Treatment by program or, a referral mechanism for Mental Health and Substance Abuse Services.**

Rationale and Explanation: See pages 58-59, #16.

Advocacy Services:

Fundamental Service Element #18:

Legal:

- Information regarding the reporting of crimes and the functions of the civil and criminal justice systems.**
- Support, including accompaniment to civil or criminal proceedings.**
- Referrals to legal representation, including Legal Aid of North Carolina.**

Rationale and Explanation: See pages 59-60, #18.

Elements Governing “Stand Alone” Domestic Violence Agencies

NOTE: *All rationales and explanations are the same for this section as outlined in the Combined Agency section, pgs. 54-60.*

#1 Fundamental Service Element: Services should be provided free of charge, except in the delivery of counseling services and only when clients are able and willing to pay. In these cases, fees should be structured on a sliding scale basis.

#2 Fundamental Service Element: Services cannot be denied based on a client’s immigration status.

Hotline Services:

#3 Fundamental Service Element: Hotlines must be operational all of the time.

#4 Fundamental Service Element: The response must be “live.”

#5 Fundamental Service Element: It is always preferable to have a trained advocate handling hotline calls directly. It is required that trained advocates answer the hotline during business hours (e.g. weekdays during an 8 hour work day). During other hours, e.g. weekends and after hours, programs *may* use an answering service. In those circumstances, the called must have access to a trained advocated within one (1) hour of their call.

#6 Fundamental Service Element: Hotline services must include information regarding the issue, local resources, support, and crisis intervention.

#7 Fundamental Service Element: Greetings must be easily recognizable to the caller to verify that they have reached a hotline. Greetings that leave a question in the caller’s mind as to who they have reached are not acceptable.

Counseling Services:

#8 Fundamental Service Element:

Group:

Regularly scheduled open or closed support groups. Less than a 12 week wait for closed groups.

Agency exercise to respond to adult survivors of childhood abuse, sexual

abuse within an intimate relationship, and stranger sexual assault. Facilitated by trained staff or trained volunteer.

#9 Fundamental Service Element:

Individual:

Counseling or Clinical Treatment by program or, a referral mechanism for Mental health and Substance Abuse Services.

Advocacy Services:

#10 Fundamental Service Element:

Medical:

**Assisting the client in making informed decisions about medical care, including a referral for a forensic exam.
Information about medical care and concerns.
Support, including accompaniment at medical exams. Program should be available within 3 hours of request following an assault, or, available for follow up exams with 24 hour notice.**

#11 Fundamental Service Element:

Legal:

**Information regarding the reporting of crimes and the functions of the civil and criminal justice systems.
Support, including accompaniment to civil or criminal proceedings. Referrals to legal representation, including Legal Aid of North Carolina.**