

# NC DHHS

## Summary Notice of Funding Availability

### Reporting Form

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**DHHS Division/Office Issuing This Notice:** Division of Child Development and Early Education (DCDEE)

**Date of This Notice:** February 22, 2019

**Program Name:** Preschool Development Grant B-5 (PDG B-5) Survey of Early Childhood Education (ECE) Data Users

**Purpose of the RFA:** DCDEE was recently awarded funds through the Preschool Development Grant B-5 (PDG B-5). PDG B-5 grants were issued to states in order to facilitate collaboration among early childhood care and education (ECE) programs to better serve children and families. This RFA relates to PDG Activity 1, in supplying information for a required statewide Needs Assessment.

**Description:** By 6/10/19, the Contractor will gather information on publicly available ECE data and will submit a preliminary report by 6/26/19 to be included in the statewide Birth-5 Needs Assessment report written by another DCDEE contractor. The Contractor will also use survey results to make recommendations for ECE information to be added to the NC Early Childhood Integrated Data System, and to inventory available sources for measures of ECE outcomes included in the NC Early Childhood Action Plan.

The successful applicant's proposal will include an appropriate timeline and budget for tasks described in this RFA regarding providing information on available sources of public ECE program data.

**Funding Availability:** This RFA will be for a one-year contract during calendar year 2019. Up to \$125,000 will be available for this project.

**Applicant Eligibility:** This RFA is open to state agencies and universities, public and private nonprofit organizations with a current 501(c)(3) standing who have demonstrated knowledge of North Carolina's ECE mixed delivery system. Applicants must demonstrate capacity to obtain and analyze relevant information within the project timeframe, collaborate with a variety of stakeholders, and work effectively with various state and local agencies.

**How to Apply:**

The *Preschool Development Grant B-5 (PDG B-5) Survey of Early Childhood Education (ECE) Data Users RFA* and required attachments will be posted to the DCDEE website: <http://ncchildcare.nc.gov/> on **February 22, 2019**.

**EMAIL** an electronic PDF of your application to the NC Division of Child Development and Early Education via: [DCDEE.Contracts.Unit.RFA@dhhs.nc.gov](mailto:DCDEE.Contracts.Unit.RFA@dhhs.nc.gov)

**Intent to Apply:**

Agencies that plan to submit an application are encouraged to complete the Notice of Intent to apply found here:

[https://northhealth.az1.qualtrics.com/jfe/form/SV\\_4JFMzIRnlYgg2KF](https://northhealth.az1.qualtrics.com/jfe/form/SV_4JFMzIRnlYgg2KF)

**no later than 5:00 p.m. on Friday, March 1, 2019**. Agencies are **not** required to register their intent to respond to this RFA.

Responses to this notice of intent are not binding and will not impact the review and scoring of your RFA submission. Data from this survey is used by DCDEE for planning purposes only.

**Deadline for Submission:**

Applications must be received no later than **5:00 p.m., Wednesday, February 6, 2019**.

Questions concerning the specifications, or any information contained within this RFA must be received no later than **5:00 p.m., March 1, 2019**. All questions must be sent via email to: [DCDEE.Contracts.Unit.RFA@dhhs.nc.gov](mailto:DCDEE.Contracts.Unit.RFA@dhhs.nc.gov). Responses to all questions received by the deadline will be posted on the Division of Child Development and Early Education website <http://ncchildcare.nc.gov/> no later than **5:00 p.m. on Friday March 8, 2019**.

## **Summary Notice of Funding Availability Reporting Form Instructions**

Program Name: Indicate the program and pertinent services, as defined in the Program Management Database (PMD). See <http://pmro.dhhs.state.nc.us/>.

Purpose: The statement of purpose should provide a description of the function of the program. It should give the reason why the program was created.

Description: The description should provide a brief statement of information relating to the nature and scope of the program. Provide enough information that will allow a potential applicant to decide whether to seek more information regarding the program.

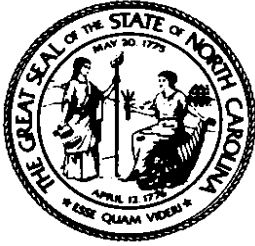
Funding Availability: Indicate the total amount of funding that is available to be awarded to all applicants under the announcement, the estimated number of awards to be made, and the maximum amount of a single award (if any).

Eligibility: Clearly define the eligibility requirements and general restrictions for application. Ensure that readers can easily determine whether they are eligible to submit an application for funding.

How to Apply: Provide a general statement concerning how to apply for funding. Do not repeat detailed application instructions that are contained in the Request for Applications.

Deadline for Submission: Specify the date by which applications must either be received or submitted. Ensure that the reader understands how you will document compliance with requirements for meeting submission deadlines (such as the presence of a valid United States Postal Service (USPS) post mark).

How to Obtain Further Information: Provide instructions to potential applicants regarding the action they should take to obtain a copy of the actual Request for Applications or answers to questions. If information is available at a web site, then provide the URL. Include the name, address, phone number and e-mail address of a person who can be contacted for more information. Make it easy for a reader to reach someone.



## Request for Applications



RFA # 004-DCDEE-2019

**TITLE:** Preschool Development Grant B-5 (PDG B-5) Survey of Early Childhood Education (ECE) Data Users

**FUNDING AGENCY:** NC DHHS/Division of Child Development and Early Education (DCDEE)

**ISSUE DATE:** February 22, 2019

**RECEIPT DEADLINE:** Applications, subject to the following conditions, must be received no later than **5:00 p.m., Friday, March 15, 2019.**

**EMAIL an electronic PDF of your application to the NC Division of Child Development and Early Education via this email:** [DCDEE.Contracts.Unit.RFA@dhhs.nc.gov](mailto:DCDEE.Contracts.Unit.RFA@dhhs.nc.gov).

The signature of an authorized official is required on the application face sheet. An electronic signature or an electronic scanned copy of the signed application face sheet will be accepted. **Only electronic application submissions via email will be accepted, i.e., do not mail, fax, or deliver copies of the application to DCDEE's physical or mailing address.**

**INTENT TO APPLY-** Eligible agencies and/or organizations interested in applying for this RFA are encouraged to notify DCDEE via email at:

[https://northhealth.az1.qualtrics.com/jfe/form/SV\\_4JFMzIRnlygq2KF](https://northhealth.az1.qualtrics.com/jfe/form/SV_4JFMzIRnlygq2KF)

no later than **5:00 p.m. on Friday, March 1, 2019.** Agencies are **not** required to notify of their intent to respond to this RFA; this information is requested to assist DCDEE in planning.

**IMPORTANT NOTE:** Questions concerning the specifications, or any information contained within this Request for Applications must be received no later than **5:00 p.m., March 1, 2019.** All questions must be received in writing, via email to: [DCDEE.Contracts.Unit.RFA@dhhs.nc.gov](mailto:DCDEE.Contracts.Unit.RFA@dhhs.nc.gov). Responses to all questions received by the deadline will be posted on the Division of Child Development and Early Education website <http://ncchildcare.nc.gov/> no later than **5:00 p.m. on Friday March 8, 2019.**

**ELIGIBILITY:** This RFA is open to state agencies and universities, public and private nonprofit organizations with a current 501(c)(3) standing with knowledge of North Carolina's early childhood education mixed delivery system.

**FUNDING AVAILABILITY:** This RFA will be for a 1-year funding cycle for calendar year 2019. Up to \$125,000 will be available to conduct a survey of available ECE information needed to execute NC's long-term vision to improve outcomes for children; measure the number of unduplicated children served by programs; and understand unmet service needs.

DCDEE will determine the actual funding amount based on the proposed implementation of the survey and the utilization of funds as outlined in the successful applicant's proposal. One award will be made, pending funding availability.

**Preschool Development Grant Funding Source:**

CFDA: 93.434

Award #: 90TP0046-01-00

Type: Discretionary

Department: US Office of Child Care, Administration for Children and Families at the Department of Health and Human Services

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## **I. INTRODUCTION**

A completed statewide Birth-5 Needs Assessment is required by the Federal funder before DCDEE may begin some PDG activities during 2019. One component of the Needs Assessment is assessing data needs across the ECE mixed delivery system. By 6/20/19, the Contractor will gather information on publicly available ECE data that are critical to 1) execute NC's long-term vision to improve outcomes for children, 2) measure the number of unduplicated children served by programs, and 3) understand unmet service needs. A particular focus is on vulnerable children. The Contractor will share this information to be included in the statewide Birth-5 Needs Assessment report written by another DCDEE contractor.

## **II. BACKGROUND**

PDG B-5 grants were issued to states in order to facilitate collaboration among early childhood care and education (ECE) programs to better serve children and families. The PDB B-5 Funding Opportunity Announcement describes the purpose of the grant as follows:

“In summary, the PDG B-5 grants will support States in their efforts to analyze the current landscape of their ECE mixed delivery system and implement changes to the system that maximize the availability of high-quality early childhood care and education options for low-income and disadvantaged families across providers and partners, improve the quality of care, streamline administrative infrastructure, and improve State-level early childhood care and education funding efficiencies. “  
([https://ami.grantsolutions.gov/files/HHS-2018-ACF-OCC-TP-1379\\_0.pdf](https://ami.grantsolutions.gov/files/HHS-2018-ACF-OCC-TP-1379_0.pdf))

The PDG requires five major activities, and DCDEE has planned for various strategies to implement each one.

1. Conduct a B-5 Needs Assessment to inform the state's ongoing planning to strengthen the early childhood system.
2. Develop a state Strategic Plan to ensure the state's early childhood system best meets the needs of young children, especially those who are most vulnerable.
3. Implement family engagement activities to maximize parent knowledge and choice.
4. Implement strategies to share best practices in the areas of universal enrollment, children's transition from preschool to kindergarten, and in aligning data across ECE programs.
5. Increase access to high quality infant and toddler care through the NC Babies First (NCB1) program.

This RFA relates to PDG Activity 1, in supplying information for the required Needs Assessment. Specific tasks are explained in the Scope of Services below. The dates below may need to be adjusted throughout the project, based on other grant work.

### III. SCOPE OF SERVICES

The successful applicant will propose a timeline and budget for activities that specifically address the following:

- By 6/10/19, the Contractor will conduct a survey of key ECE data users to provide a summary describing what ECE public data is available by source to capture the unmet need of children to be served by NC programs. No Personally Identifiable Information (PII), or any sensitive or confidential information, from ECE programs will be collected or accessed by the Contractor as part of the survey process.
  - Entities surveyed should include state and local agencies, researchers, policy makers, teachers, and other members of the public.
  - The survey will pose key questions to understand and provide information on: 1) the primary state-level data sources used by ECE stakeholders today, 2) the purposes for which ECE data are currently used, 3) the current unmet data needs that ECE data users in NC continue to face.
  - Based on the results, the Contractor will describe and summarize the public data currently available (e.g., subsidy waitlist information in DCDEE database, survey of NC Pre-K providers about enrollment and capacity), identify gaps (e.g., home visiting data not currently included in the NC ECIDS) and make recommendations about next steps to fill the gaps.
  - By 6/26/19, the Contractor will submit a preliminary written report to DCDEE that summarizes data that is available and data that is needed, to be included in the statewide NA report.
- By 8/1/19 the Contractor will make recommendations about how these data can be incorporated into the expansion of the NC Early Childhood Integrated Data System (ECIDS). NC ECIDS serves as a single source for data integrated from multiple ECE programs and can provide unduplicated counts of the number of children served by a subset of education, health, and social services programs. The Contractor will start by describing data for programs not currently integrated into the NC ECIDS, identifying gaps, and making recommendations about data to add from these programs.
- By 10/1/19, the Contractor will identify data needs when considering whether NC is reaching intended outcomes as specified in the NC Early Childhood Action Plan (ECAP). The framework for the NC ECAP includes over 40 quantitative indicators that will be measured annually to track progress towards its 2025 goals to improve early childhood outcomes in NC. As such, reliable, high-quality, and readily-accessible data sources are needed to ensure that these indicators are accurately measured. Therefore, the Contractor will inventory the data sources available for NC ECAP indicators and identify any gaps that need to be addressed, emphasizing the identification of data sources for indicators focused on vulnerable children, such as those facing homelessness.



- By 11/1/19, the Contractor will propose formal recommendations for the state to consider in setting an aligned data strategy for the state across multiple ECE initiatives.
- By 12/30/19, the Contractor will submit a final written report on work completed.
- Throughout 2019, the Contractor will be guided by and communicate regularly with a Needs Assessment advisory group who will help refine the inventory work and help identify next steps to address various data gaps identified.
- Throughout 2019, the Contractor will participate in statewide planning efforts as requested by DCDEE to provide input based on findings of the inventory.

### **Additional Requirements**

1. **Reports-** Provide data as requested by DCDEE to meet federal reporting requirements. A final report of the tasks in this project is due to DCDEE in both hard copy and in an electronic format by the end of the contract period, or by the deadline from DCDEE in order to meet any submission date required from the federal funder, whichever is sooner.
2. **Feedback-** Provide at least monthly feedback to DCDEE and stakeholders as requested throughout the duration of the grant.

### **IV. APPLICANT QUALIFICATIONS AND CAPACITY**

Applicants must have demonstrated knowledge of North Carolina’s ECE mixed delivery system.

Applicants must demonstrate capacity to obtain and analyze relevant information within the project timeframe, collaborate with a variety of stakeholders, and work effectively with various state and local agencies.

Applicants must detail the qualifications of key personnel to implement the tasks required for this project.

The following organizations are eligible for funding under this Application:

1. Public Entities
2. Private Non-Profit Organizations
3. State Agencies
4. Universities

### **V. LINE ITEM BUDGET & NARRATIVE**

Applicants must submit a line item budget for the calendar year 2019 and a narrative for all expenses. A narrative justification must be included for every expense listed in the budget.

Each justification should show how the amount on the line item budget was calculated, and it should be clear how the expense relates to the project’s activities. A budget template is included with this RFA.

**Travel Reimbursement Rates**

Mileage reimbursement rates must be based on rates determined by the North Carolina Office of State Budget and Management (OSBM). Because mileage rates fluctuate with the price of fuel, the OSBM will release the “Change in IRS Mileage Rate” memorandum to be found on OSBM’s website when there is a change in this rate. The state mileage reimbursement rate as of 1/01/19 is \$0.58 cents per mile.

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

**Current Rates for Travel and Lodging**

<b>Meals</b>	<b>In State</b>	<b>Out of State</b>
Breakfast	\$8.40	\$8.40
Lunch	\$11.00	\$11.00
Dinner	\$18.90	\$21.60
<i>Total Meals Per Diem Per Day</i>	<i>\$38.30</i>	<i>\$41.00</i>
<b>Lodging</b> ( <i>Maximum rate per person, excludes taxes and fees</i> )	\$71.20	\$84.10
<b>Total Travel Allowance Per Day</b>	<b>\$109.50</b>	<b>\$125.10</b>
Mileage	\$0.58 cents per mile	

**Indirect Cost Rate – 10%**

Indirect cost is the cost incurred for common or joint objectives which cannot be readily identified but are necessary to the operations of the organization, e.g., the cost of operating and maintaining facilities, depreciation, and administrative salaries. **Indirect cost should be calculated at no more than 10% for this proposal.**

**VI. APPLICATION CONTENT & FORMAT**

The submitted electronic application must be formatted to print on 8.5 x 11-inch paper with margins of 1 inch, except for the spreadsheets used in the budget template. Line spacing should be single-spaced. Use Calibri or Times New Roman font **only** no smaller than an 11-point font. All proposals must include the following (*\* indicates form attached in the RFA email*).

- 1) **Application Checklist\*** - Summarizes the application components to be submitted

- 2) **Application Face Sheet\***- Requires electronic or scanned signature of authorized authority
- 3) **Proposal Summary:** Provide a brief (3-5 paragraphs) description of the applicant's plan to implement the initiative.
- 4) **Introduction to the Applicant Organization/Applicant Qualifications:**  
Provide a 1-2-page introduction to the applicant's organization, including:
  - The organization's mission, history, and goals
  - Qualifications, experience, and expertise of key personnel to be assigned to this initiative.
  - Organization's experience in the content area specified in the application
- 5) **Proposal Design, Time Line & Strategies:** Provide a 3-5-page narrative describing the proposed project design and the activities/tasks that will be accomplished with the available resources as described in Section III. Include as part of scope of services the major tasks, deliverables, and anticipated dates of completion. Identify the key personnel responsible for each task, by position.
- 6) **Collaborative Partners or Subcontractors:** Identify any collaborative partners or subcontractors you plan to work with to implement the project. Include partner or subcontractor name, address, and nonprofit or for-profit status. Explain the contributions each partner or subcontractor will make toward the initiative, including resources. Attach copies of support letters from collaborative partners or subcontractors, if applicable.
- 7) **Line Item Budget\*, Detailed Budget Narrative, and FTE Sheet\*:** Complete and submit a proposed line item budget according to the format provided with this RFA, within the total budget allotted. Also complete a proposed budget narrative that explains in detail all line items in the budget worksheet in accordance with the "DCDEE Line Item Budget & Narrative Instructions." The FTE worksheet is also required as part of this RFA. Please complete the FTE sheet first so that the line item budget will populate Salary/Fringe values in Column C. Budgets, budget narratives and FTE sheets must be submitted for calendar year 2019.

## **VII. SELECTION PROCESS**

The following is a general description of the process for selecting applications for funding for this initiative. A selection committee chosen by DCDEE will review each application submitted. Upon review of each application the selection committee will assign a numerical rating based on the following:

- 1) **Proposal Summary** (Maximum of **10** points):  
Response must reflect the applicant's understanding of and responsiveness to the Scope of Services described in Section III.
- 2) **Applicant Organization(s)/Applicant Qualifications/Partners** (Maximum of **25** points):  
Response must reflect the applicant's capacity for successful completion of the project, as well as knowledge of North Carolina's ECE mixed delivery system. The qualifications of key

personnel must also be reflected. Collaborative partners or subcontractors, if used, should be qualified and have the capacity to provide the services specified.

- 3) **Proposal Design, Time Line & Strategies** (Maximum of **40** points):  
Response must reflect design and methodology for the project that address the criteria in Section III. Include a timeline of deliverables for the 2019 calendar year that will support completion of the project by 12/30/19.
- 4) **Line Item Budget\*, Detailed Budget Narrative and FTE Sheet\***: (Maximum of **25** points):  
Budget must reflect efficient and effective use of financial resources. The proposal must follow all stipulations included in the budget worksheet and narrative instructions. The plan must provide a clear and reasonable justification for all proposed expenditures. The funding period will be calendar year 2019.

**Maximum Points: 100**

Any attachments must further demonstrate the applicant's capacity to fulfill the requirements for this project as described. The selection committee will submit recommendations to DCDEE based on the selection process described. The Division will make a final selection and notify all applicants of that selection in writing and/or electronically **no later than 5:00 pm on Friday, March 22, 2019.**

**VIII. APPLICATION PROCUREMENT PROCESS**

1. Written questions concerning the RFA specifications will be received until the date specified on the cover sheet of this RFA. A summary of all questions and answers will be posted to DCDEE's website (<http://ncchildcare.nc.gov/>) by **Friday, March 8, 2019.**
2. **An electronic submission** of the application must be received from each agency or organization. The submission must include an application face sheet with an electronic or scanned signature by an official authorized to bind the agency or organization in a legal contract.
3. All applications must be received by DCDEE via email not later than the date and time specified on the cover sheet of the RFA. **Paper copies or faxed applications will not be accepted.**
4. The date and time of application receipt will be documented by the date and time shown on the email submission received via [DCDEE.Contracts.Unit.RFA@dhhs.nc.gov](mailto:DCDEE.Contracts.Unit.RFA@dhhs.nc.gov). Budgets and budget narratives are to be included as part of the application submitted.
5. At their option, the RFA evaluation team may request additional information from any or all applicants for clarification or to support the materials presented in any part of the application. However, agencies and organizations are cautioned that the evaluation team is not required to request clarification; therefore, all applications should be complete and reflect the most favorable terms available from the agency or organization.

6. Applications will be evaluated according to completeness, content, and applicant's documented experience with similar projects, apparent ability of the agencies or organization's staff and cost. 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.
7. 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.
8. **Application Process Summary Dates**
  - 02/22/2019: Request for Applications issued
  - 03/01/2019: Notice of Intent due (optional).
  - 03/01/2019: End of Q&A period. All questions due via email no later than 5 pm.
  - 03/08/2019: Answers to Questions posted to the DCDEE website no later than 5 pm.
  - 03/15/2019: Applications must be received via email no later than 5 pm.
  - 03/22/2019: Successful applicant will be notified.
  - TBD: Contract begins for calendar year 2019.

## **IX. General Information on Submitting Applications**

1. **Award or Rejection**

All complete and timely submitted applications will be evaluated and awards will be made to that agencies or organizations 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. The successful applicant will be notified by **Friday, February 15, 2019**.
2. **Cost of Application Preparation**

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

Elaborate applications in the form of brochures or other presentations beyond what is necessary to present a complete and effective application are not desired.
4. **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.
5. **Reference to Other Data**

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

6. **Titles**  
Titles and headings in this RFA are for convenience only and shall have no binding force or effect.
7. **Form of Application**  
Each application must be submitted utilizing the forms provided by DCDEE, and upon award, these forms will be incorporated into the funding agency's Performance Agreement (contract).
8. **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.
9. **Advertising**  
In submitting its application, agencies and organizations agree not to use the results of the selection process as part of any news release or commercial advertising without prior written approval of DCDEE.
10. **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.
11. **Competitive Offer**  
Pursuant to the provision of N.C.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.
12. **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 regarding the application.
13. **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.

14. **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.

15. **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.

16. **Gifts Ban**

N.C.G.S. 133-32 and Executive Order 24 prohibit the offer to or acceptance by any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response to this request, agencies and organizations attest, for the entire organization and its employees or agents, that no such gift has been offered, accepted, or promised by any employees of the organization.

17. **Contract/Funds Disbursement**

DCDEE will issue a contract to the recipients of the grant that will include their application. Expenditures may begin upon receipt of a fully executed contract and not before that point. To receive compensation, following contract submission and agreement, the selected applicants must submit a monthly reimbursement request to the Division for all expenses incurred.

18. **Audit**

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

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 on the budget. Audit expenses should be prorated based on the ratio of the grant to the total pass-through funds received by the entity.

19. **Additional Documentation to Include with Application**

All applicants are required to include documentation of their tax identification number. Those applicants which are private nonprofit 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.)
20. **Federal Certifications**

Agencies or organizations receiving federal funds are required to execute Federal certifications regarding non-discrimination, Drug-Free Workplace, Environmental Tobacco Smoke, Debarment, Lobbying, and Lobbying Activities.
21. **System for Award Management Database (SAM)**

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

Contracts will require additional 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 authorized to sign contracts.
  - b. A completed and signed letter from the agency's Board President/Chairperson identifying individuals authorized to sign expenditure reports.
  - 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.
  - d. 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.)
  - e. 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:
    - i. A completed, signed, and notarized statement which includes the agency's Conflict of Interest Policy.



- ii. A completed, signed, and notarized page certifying that the agency has no overdue tax debts.
- f. All grantees receiving funds through the State of North Carolina are required to execute Contractor Certifications Required by North Carolina Law. Contractor Certifications should **NOT** be generated, signed or returned with application.

**Note:** At the start of each calendar year, all agencies with current DCDEE 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.

23. **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](http://www.secretary.state.nc.us/corporations).)

24. **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 when awarded \$25,000 or more in federal funds.

25. **Salary Limitation**

The Consolidated Appropriations Act, 2018, (Division H, Title II, Sec. 202), limits the salary amount that may be awarded and charged to ACF grants and cooperative agreements. Award funds issued under this announcement may not be used to pay the salary of an individual at a rate in excess of Executive Level II. The Executive Level II salary of the "Rates of Pay for the Executive Schedule" is \$189,600. This amount reflects an individual's base salary exclusive of fringe benefits and any income that an individual may be permitted to earn outside of the duties of the applicant organization. This salary limitation also applies to subawards and subcontracts under an ACF grant or cooperative agreement.

## Preparing Your Contract Budget and Budget Narrative

### General Instructions:

- Budget narratives must show calculations for all budget line items and must clearly justify/explain the need for these items. All expenses that are shared across multiple programs (e.g., rent, utilities, insurance, etc.) must be prorated for this program and the narrative must include a detailed calculation which shows how the amount is prorated.
- Each budgeted line item should include:
  - What is it?
  - How many?
  - How much?
  - For what purpose?
- Allocated costs should include:
  - What is it?
  - What is the annual cost?
  - What is the prorated % or allocation for the contracted project?
  - How is the allocation calculated?
- All calculations should be easy to follow/recreate.
- Do NOT add new line items to the budget. All budget expenses must fit in one of the line items listed. Please use the guidance below to place your expense in the proper budget line item.

### A. Human Resources:

- 1) **Salary/Wages:** Include separate descriptions of each position, including position title, name of staff person, position duties relative to project activities, part/full-time status. University staff must indicate if positions are Exempt/Non Exempt/SPA/EPA.
- 2) **Fringe Benefits:** Health insurance, FICA, dental insurance, etc. Provide cost per category per staff person.
- 3) **Other:** Other would be used to document payments for human resources that are outside of the Contractor's staff but are not considered subcontractors. For example: temporary workers. Must include hours to be worked, hourly rate, and how long individual will be employed.

### B. Operational Expenses/Capital Outlays:

#### 1) **Supplies and Materials:**

- a. Furniture: Desks, bookshelves, chairs, file cabinets, etc.
- b. Other Supplies: Office supplies (business cards, printer ink, paper, etc.), educational items (curriculums, Videos, Books, Training manuals, etc.); postage (include postage rates and estimated number of mailings.)



*Justification Sample:* Routine office supplies: \$50 per person per month (2 staff members @ \$50 x 12 = \$1,200).  
2 cartridges for laser printer @ \$50 = \$100.

**2) Equipment:** Equipment is for items that are purchased outright – not rented or leased.

- a. Communication: Telephone System. Note: this is not monthly usage, but rather the initial purchase of these items. Monthly usage should be entered under Utilities.
- b. Office: Copier Machine, Fax Machine.
- c. IT: Personal Computers, laptops, iPads, scanners, desk printers, PC speakers.
- d. Assistive Technology: Assistive, adaptive and rehabilitative devices for people with disabilities.
- e. Other: Use this for any equipment item that does not fit in one of the defined categories above.



*Justification Sample for IT Equipment:* Desktop Computer: 2 Computers @ \$500 each for the Program Manager and Coordinator to use for writing reports, capture data, and entering data into online database = \$1,000; 2 laser printers @ \$150 each for the Program Manager and Coordinator to print reports, materials, program policies, etc. = \$300.

**3) Travel:**

*Please note: Reimbursements for travel should not exceed current State Rates as defined by the State of North Carolina Office of State Budget and Management.*

- a. Contractor Staff: Include any travels, meals, mileage for staff members listed under the salary and fringe section. Do NOT include conference registration. Conference registration goes under Staff Development.
- b. Board Members Expense: Includes any travel, meals, mileage for board members or community partners.

**State Rates**

	<b>In State</b>	<b>Out of State</b>
Breakfast	\$8.30	\$8.30
Lunch	\$10.90	\$10.90
Dinner	\$18.70	\$21.30
Lodging	\$67.30	\$79.50
Mileage	\$0.54 per mile	



*Justification Sample for Contractor Staff Travel:* Overnight accommodations for Program Coordinator and Program Assistant to attend required XYZ Training: 2 nights x \$67.30 = \$134.60. 418 miles round trip from Greensboro, NC to Wilmington, NC for training x \$0.54/mile = \$225.72. 2 staff x (1 breakfast at \$8.30 each + 2 lunches at \$10.90 each + 2 dinners at \$18.70 each) = \$135.00. Total travel: \$134.60 + \$225.72 + \$135.00 = \$495.32.

**4) Utilities:** (If not included in the rent)

- a. Gas/Electric/Water: Monthly Gas, Electric, and/or Water bill prorated for program share
- b. Telephone: Monthly Phone or Cell service prorated for program share.
- c. Other: Use this for any utility item that does not fit in one of the defined categories above, such as internet service (unless combines with telephone), security monthly monitoring cost, etc.



*Justification Sample:* Prorated share of electric bill: 25% of \$100 monthly cost; 12 months x \$25 = \$300.

**5) Repair and Maintenance:** Custodial Services or basic Repairs and Maintenance not billed in the Professional Service area.



*Justification Sample:* Custodial Services for services and maintenance of space used by programs and Program Coordinator's office @ 12 months x \$65 = \$780.

**6) Staff Development:** Conference, Workshops, and Continuing Education for Contractor staff.



*Justification Sample:* Quarterly training costs for staff: 2 staff x \$75 per class x 4 classes = \$600.

**7) Media/Communications:**

- a. Advertising: Newspaper, Billboard, etc. Can be ads for program or staff recruitment.
- b. Audiovisual Presentations, Multimedia, TV, Radio Presentations: Development of PowerPoint presentations, YouTube video productions, TV and/or Radio spots.
- c. Logos: Cost associated to create a program logo.
- d. Promotional Items: Any giveaway items used to promote program to the general public, e.g.: keychains, t-shirts, mugs. Items purchased as incentives for program participants belong in the Incentives & Participants category, under Other.
- e. Publications: Items that the Contractor is responsible for designing and producing or printing such as brochures, posters, fact sheets, etc.
- f. PSAs and Ads: Placement costs for Public Service Announcements or Ads for television and/or radio.
- g. Reprints: Duplication of an existing publication; photocopies.
- h. Text Translation: Cost associated with translation of documents into another language.
- i. Websites and Web Materials: Costs to create website, maintain website, etc.



*Justification Sample for Reprints:* Program flyers for community program (1000 @ \$.10 = \$100); photocopies for use in program sessions (400/month @ \$.05 = \$240).

**8) Rent:**

- a. Office Space: Office Space, Program Meeting Space – **must include square footage.** Calculations must define totals and prorated amounts for the program.
- b. Equipment: This category is for equipment that is rented or leased, such as a Copier Machine or Phone System.
- c. Furniture: Rented or leased office furniture.
- d. Vehicles: Long-term leases of Cars, Vans or Buses. (Vehicles rented for short-term *staff* travel belong under Contractor Staff travel. Vehicles rented for short-term *participant* travel belong under Incentives and Participants.)
- e. Other: Use this for any rented or leased item that does not fit in one of the defined categories above that is necessary per contract deliverables.



*Justification Sample for Office Space Rent:* Prorated rent: 25% of \$1,600 monthly rent (1200 sq.ft.): 12 months @ \$400 = \$4,800.

**9) Professional Services:** These are services that are purchased to support the overhead of the agency.

- a. Legal: Legal services retained by the Contractor.
- b. IT: Information Technology or IT-related technical services retained by the Contractor.
- c. Accounting: Accounting, bookkeeping services retained by the Contractor.
- d. Payroll: Payroll services retained by the Contractor.
- e. Security: Security services, in the form of personnel such as a security guard, retained by the Contractor. (Purchase of a security system belongs under Equipment - Other. Monthly security monitoring belongs under Utilities – Other.)



*Justification Sample for Accounting:* 8 hours per month at \$40/hour budgeted for program accounting work such as generating financial reports, reimbursement requests, accounts payable, etc.  $8 \text{ hours} \times \$40 \times 12 \text{ months} = \$3,840$ .

**10) Dues and Subscriptions:** Dues for professional associations/affiliations; Subscriptions to related or required periodicals; Subscriptions to web-based applications such as Survey Monkey or Constant Contact that are leased at a rate per month.



*Justification Sample for Dues and Subscriptions:* 1 Organizational Membership to Healthy Teen Network  $\times \$250 = \$250$ .

**11) Other:**

- a. Audit Services: Cost associated with annual financial audits performed. NOTE: Contractors must be a Level 3 Contractor with the State (i.e., receive more than \$500,000 in State dollars) for audit costs to be allowable in their budget. Audit costs are NOT allowable at all in Purchase of Service (POS) contracts.
- b. Incentives and Participants: Costs associated with: Incentives given to participants or comparison group members (e.g., gift cards, meals, diaper bags, etc.); Participant Costs (field trips, enrichment activities, etc.); Open Houses; Parents' Nights, etc.
- c. Insurance and Bonding: Liability Insurance to cover staff and participants while field trip or daily activities.
- d. Indirect Cost: Must provide indirect cost letter. Indirect costs may not exceed 10% of the total direct cost.
- e. Other: Use this for any item that does not fit in any other category.



*Justification Sample for Incentives & Participants:* Backpacks for 100 participants at \$8.00 each = \$800.

	<b>Contract Number:</b>		
	<b>Contractor:</b>		
	<b>Program Name:</b>	Preschool Development Grant	
<b>Column A Category</b>	<b>Column B Line Item</b>	<b>Column C Amount</b>	<b>Column D Narrative</b>
<b>A. Human Resources</b>			
	1. Salary/Wages	\$ -	
	2. Fringe Benefits	\$ -	
	3. Other	\$	
	<b>A. Total Human Resources</b>	\$ -	
<b>B. Operational Expenses/Capital Outlays</b>			
<b>1. Supplies and Materials</b>			
	a. Furniture	\$	
	b. Other	\$	
<b>2. Equipment</b>			
	a. Communication	\$	
	b. Office	\$	
	c. IT	\$	
	d. Assistive Technology	\$	
	e. Other	\$	
<b>3. Travel</b>			
	a. Contractor Staff	\$	
	b. Meeting Expenses	\$	
<b>4. Utilities</b>			
	a. Gas/Electric/Water	\$	
	b. Telephone	\$	
	c. Other	\$	
<b>5. Repair and Maintenance</b>			
		\$	
<b>6. Staff Development</b>			
		\$	
<b>7. Media/Communications</b>			
	a. Advertising	\$	
	b. Audiovisual Presentations, Multimedia, etc.	\$	
	c. Logos	\$	
	d. Promotional Items	\$	
	e. Publications	\$	
	f. Public Service Announcement and Ads (TV, Radio Presentations)	\$	
	g. Reprints/Printing/Binding	\$	
	h. Text translation	\$	
	i. Websites and Web Materials	\$	
<b>8. Rent</b>			
	a. Office Space	\$	
	b. Equipment	\$	
	c. Furniture	\$	
	d. Vehicles	\$	
	e. Other	\$	
<b>9. Professional Services</b>			
	a. Legal	\$	
	b. IT	\$	
	c. Accounting	\$	
	d. Payroll	\$	
	e. Security	\$	
<b>10. Dues and Subscriptions</b>			
		\$	

Column A Category	Column B Line Item	Column C Amount	Column D Narrative
11. Other			
	a. Audit Services	\$	
	b. Incentives and Participants	\$	
	c. Insurance and Bonding	\$	
	d. Indirect Cost	\$	
	e. Not Otherwise Classified	\$	
<b>B. Total Operational Expenses/Capital Outlays</b>		\$ -	
<b>C. Subcontracting and Grants Direct Services</b>			
<b>D. Total Budgeted Expenditures</b>		\$ -	





## **APPLICATION CHECKLIST**

The following items must be included in the application. Please assemble the application in the following order in the format identified in Section VI on pages 7-8:

- Application Face Sheet
- Proposal Summary
- Introduction to the Applicant Organization / Applicant Qualifications
- Proposal Design, Timeline, Strategies
- Collaborative Partners or Subcontractors
- List of Subcontractors
- Line Item Budget & FTE Worksheet
- Indirect Cost Rate Approval Letter (if applicable)
- Letters of Commitment or Statements of Support, if applicable
- IRS Tax Status Documentation
  - a. IRS letter documenting your organization's tax identification number.
  - Or
  - b. IRS determination letter regarding your organization's 501(c)(3) tax exempt status for private nonprofits.

## Application Face Sheet

This form provides basic information about the applicant and the proposed project with the NC Division of Child Development and Early Education, 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 #004-DCDEE-2019** are accurate. 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"/> Non Profit	
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"/>	
Signature by authorized agency representative affirms the accuracy of the application, required attachments, and supporting documentation contained herein and certifies the agency representative with signature authority. Electronic or scanned signature is acceptable so that this form may be submitted electronically with the application.	
16. Signature of Authorized Representative	17. Date