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- **Content Items in red must be completed and return to the NCCDD as the grant application**

North Carolina Council on Developmental Disabilities (NCCDD)

INTRODUCTION

The North Carolina Council on Developmental Disabilities (NCCDD) is authorized to advise on behalf of, and advocate for, persons with developmental disabilities under both federal and state law. Under federal law, the “Developmental Disabilities Assistance and Bill of Rights Act” (P.L. 106-402), the Council is mandated to provide assistance to the state and to public and private nonprofit agencies and organizations to “contribute to a coordinated, consumer and family-centered, consumer and family-directed, comprehensive system of community services, individualized supports, and other forms of assistance that enable individuals with developmental disabilities to exercise self-determination, be independent, be productive, and be integrated and included in all facets of community life.” It realizes its mandate to serve as a systems advocate for all persons with developmental disabilities by carrying out “areas of emphasis.” Areas of emphasis include, among others: advocating for public policy change and community acceptance for all persons with developmental disabilities and their families with federal, state, and local policymakers; conducting studies and analyses; demonstrating new ways to enhance independence, productivity, integration and inclusion into the community; outreach; training; prevention activities; enhancing systems design; eliminating barriers to access and eligibility for services; and enhancing individual, family, and citizen participation and involvement in all aspects of service delivery.

Under State law, G.S. 143B-177 through 179, the Council on Developmental Disabilities serves to advise the Secretary of the Department of Health and Human Services regarding the development and implementation of the state plan for developmental disabilities as required by the Developmental Disabilities Assistance and Bill of Rights Act (P.L. 106-402) and to advise the Secretary of the Department of Health and Human Services regarding the coordination of planning and service delivery of all state-funded programs which provide services to persons with developmental disabilities.

NCCDD meetings are held approximately four times a year, usually in Raleigh. Public hearings are held periodically for development of, and amendment to, the NCCDD Five Year State Plan.

North Carolina Council on Developmental Disabilities (NCCDD)

STATE LEGISLATIVE HISTORY: 1962-2003

The Developmental Disabilities Program began in North Carolina in 1962, when Governor Terry Sanford, through the efforts of concerned citizens, was made aware of the overwhelming needs of persons with mental retardation in the State. Realizing the dimensions of the issue, Governor Sanford responded by appointing the Governor's Commission to Study the Needs of the Mentally Retarded. The Commission was composed of educators, medical professionals, legislators, mental retardation specialists and interested citizens. Their charge was to study the overall needs of persons with mental retardation, to examine existing services, and to determine the degree of unmet needs for this population.

The Commission's findings identified a lack of knowledge about persons with mental retardation and a fragmented approach to helping persons with mental retardation. In addition to specific recommendations on improvement of facilities, treatment, and education, a general recommendation was made to meet the need for coordination and planning: the creation of a group to continue and to intensify the study of facilities and care. As a result of this Commission's findings and recommendation, the 1963 General Assembly enacted legislation (G.S. 35-73) which created the North Carolina Council on Mental Retardation.

The Council on Mental Retardation was an interagency advisory body that was not granted funding for direct services, but rather, attempted to promote coordination among already existing service delivery systems. The Council was expected to advise the Governor on matters related to mental retardation, to examine the need for new state legislation and programs, to promote public understanding of the needs of persons with mental retardation, and to promote interagency cooperation in the development and implementation of mental retardation programs. The Governor in accordance with the legislation's regulations appointed council members. The Council and its committees to gain additional expertise on particular issues utilized special consultants. The Council first met in 1964 and formed committees to address issues such as medical research and prevention, education, and residential care.

In 1963, through the Mental Retardation Facilities and Community Mental Health Centers Construction Act (P.L. 88-164), federal appropriations were provided to build facilities for persons with mental retardation. This legislation required that all states, in order to receive federal funding grants, designate a State planning and advisory body as well as a single State agency responsible for the administration of all construction grants. The Council on Mental Retardation became the planning and advisory body; the Department of Mental Health became the administering agency. Shortly thereafter, the first Executive Director of the Council was chosen and became the coordinator of the State mental retardation planning activities. In 1965, the Council produced its first Annual Report, which outlined specific areas of concern, including: adequate facilities for "trainable retarded persons," preventive programs, and social services for persons with mental retardation. Recommendations included increased state allotments for persons with mental retardation in the schools, adequate salaries for professionals, and increased support for community vocational programs serving persons with mental retardation. In 1966, another report, Mandate for Tomorrow, in which the Council described several additional areas for study and action, was submitted to Governor Dan K. Moore.

In 1970, the United State Congress, through the Developmental Disabilities Act (P.L. 91-517), amended P.L. 88-164 to include persons with epilepsy and cerebral palsy. This legislation required that each state designate a planning and advisory council before being eligible to receive federal funds for developmental disabilities programs. The North Carolina legislature responded in 1971 through the amendments to G.S. 35-73, and gave these responsibilities to the Council on Mental Retardation and Developmental Disabilities (formerly the Council on Mental Retardation). This legislation specified the following as functions of the Council: advising the agencies charged with administering and implementing the Developmental Disabilities Act (P.L. 91-517); promoting public awareness and new programs for persons with developmental disabilities; preparing a state plan; and promoting coordination among all state agencies providing services to persons with developmental disabilities. Also through P.L. 91-517, the definitions for services to be provided to persons with developmental disabilities were specified and divided into sixteen categories.

The reorganization of State government in North Carolina in 1973 moved the Council on Mental Retardation and Developmental Disabilities from the Department of Administration to the newly created Department of Human Resources. In addition, this legislation (G.S. 143B-177) changed the Council's name to the Council on Developmental Disabilities and expanded its membership to 30 members.

After the United States Congress enacted P.L. 94-103 in 1975, the 1977 North Carolina Legislature responded with amendments to G.S. 143B-177. This legislation changed the focus of the State Council from advisory to planning. It also added autism to the definition of developmental disabilities and expanded the Council to 36 members.

During 1978, a new federal developmental disabilities law, entitled the Developmental Disabilities Assistance and Bill of Rights Act, part of the Rehabilitation Amendments of 1978 (P.L. 95-601), was enacted. This law modified the role of the Council on Developmental Disabilities and redefined developmental disabilities in terms of functional limitations such as mobility, self-care and capacity for independent living. The law focused the program on individuals with severe, chronic, mental and/or physical disabilities that occurred before age twenty-two and were likely to continue indefinitely. The new law also changed the membership requirements of the Council to ensure that one-half of the members would be persons with developmental disabilities and persons who were relatives or guardians of persons with developmental disabilities. The bill designated four priority service areas: case management services; child development services; alternative community living arrangement services; and non-vocational social-developmental services. It also required that Councils spend 65% of their funding in at least one of these areas and in no more than two.

The 1979 North Carolina General Assembly responded to P.L. 95-602 by amending G.S. 143B-179 to: (1) decrease Council membership from 36 to 32 members; (2) realign the required types of membership; and (3) redefine developmental disabilities based on functional rather than categorical criteria.

Federal legislation has been reauthorized through four amendments since 1978: (1981, P.L.97-35; 1984, P.L.98-527; 1987, P.L.100-146; and 1990, P.L.101-496). While minor changes occurred in these amendments through 1984, employment related services became a required priority area for all developmental disabilities programs, nationwide, as the result of the 1987 amendments. In addition, the 1987 NC General Assembly amended G.S. 143B-178's definition of developmental disabilities to include persons with traumatic head injury who met the statute's functional criteria, regardless of age of onset. Further, to bring State legislation in line with Federal legislation, it redefined Council membership by amending G.S. 143B-179 to include representation from the university affiliated facility and the State protection and advocacy system.

One of the primary goals of P.L. 100-146 was to identify barriers that prevented persons with developmental disabilities from achieving their full potential in their communities, and to develop policies and programs that would help to remove those barriers. This "community focused" legislation became the first step in undertaking specific activities designed to establish a national information base of "best practices" to further the goals of each state. As a beginning, P.L.100-146 mandated that all Councils produce reports that would review and analyze services of all state agencies assisting persons with developmental disabilities in achieving the goals of independence, productivity and integration into the community; review and analyze consumer satisfaction with services provided by state agencies; and hold public forums regarding the unserved and underserved populations of persons with developmental disabilities and regarding recommendations for removal of barriers to services. In response, North Carolina's 1990 Report, "Tomorrow's History: Needs Met or Futures Wasted," was developed for presentation to the Governor, the State Legislature, and the Administration on Developmental Disabilities. At the conclusion of the Model Services Project in 1987, funded by the Council, the Division of Mental Health, Mental Retardation and Substance Abuse Services became the Division of Mental Health, Developmental Disabilities and Substance Abuse Services. The Developmental Disabilities Section adopted the functional definition of "developmental disability," and began to serve persons with developmental disabilities.

In 1990, P.L. 101-496, the Developmental Disabilities Assistance and Bill of Rights Act was enacted. This legislation went well beyond the goals of P.L. 100-146 by recognizing the commitment to enabling persons with developmental disabilities, including those with severe disabilities, to achieve interdependence and inclusion into society, and recognition of contributions other than just productivity, a term primarily related to work. Systems coordination and community education was added as an additional priority service area.

In light of the continued expansion and change in the Council's federal mandate, it acknowledges a need for a systematic approach to its operations that would enhance its capabilities to achieve the mission set forth in P.L. 101-496. In June 1992, the Council initiated a project with Human Services Research Institute (HSRI) to evaluate its diverse and complex activities. The Council became the first to use, as a tool for this process, a preliminary version of the "Quality Indicators for Developmental Disabilities Councils," developed by Human Services Research Institute for the National Association of Developmental Disabilities Councils (NADDC). The indicators were developed to assist councils in enhancing their functions and operations, and by consensus of Councils on Developmental Disabilities nationwide, represent excellence in practice. The NC Council on Developmental Disabilities has assumed a leadership role in the use of these indicators as it moved into 1993.

The DD Assistance and Bill of Rights Act of 1994, P.L. 103-230, and reauthorization in 1996, P.L. 104-183 codified into law that people with developmental disabilities, including those with the most severe disabilities, and their families have competencies, capabilities and personal goals that should be recognized, encouraged and supported in a manner that demonstrates respect for individual dignity, personal preference, and cultural differences. Assistance to adults with developmental disabilities and to children and their families should be provided in an individualized manner, consistent with an individual's or family's unique strengths, resources, priorities, concerns, abilities, and capabilities. Further, people with developmental disabilities and their families should have access to opportunities and the necessary supports to be included in community life, have interdependent relationships, live in homes and communities, and make contributions to their families, community, state, and nation. The NC Council on Developmental Disabilities has embraced not only the letter of the law, but the spirit of the law through the embodiment of a mission statement and the endorsement of the Mental Health Study Commission Comprehensive Plan for Service and Supports for Persons with Developmental Disabilities (MHSC DD Plan). This plan provides policy guidance to address issues affecting people with developmental disabilities into the next century.

The most recent reauthorization of the DD Act (P.L. 106-402), in 2000, specifically engaged "advocacy, capacity building, and systemic change activities; and contribute to a coordinated, consumer and family-centered, consumer and family-directed, comprehensive system of community services, individualized supports, an other forms of assistance that enable individuals with developmental disabilities to exercise self-determination, be independent, be productive, and be integrated and included in all facets of community live." The new law also specified that the State Plan would be developed every five years rather than every three years, but continues to require annual amendments to the Plan. Council membership was increased from 32 to 34 to meet the requirements in the federal law to increase from 50% to 60% the percentage of individuals with developmental disabilities and family members of people with developmental disabilities who make up the Council membership.

GRANT AWARDS AND REQUIREMENTS

- I. Federal funds awarded by the Council **must** address the needs of persons with developmental disabilities as defined in federal law. The Developmental Disabilities Assistance and Bill of Rights Act of 2000 (PL 106-402; 42 USC 15001) defines a developmental disability as a severe, chronic disability of an individual that-
- is attributable to a mental or physical impairment or combination of mental and physical impairments;
 - is manifested before the individual attains age 22;
 - is likely to continue indefinitely;
 - results in substantial functional limitations in 3 or more of the following areas of major life activity:
 - Self-care.
 - Receptive and expressive language.
 - Learning.
 - Mobility.
 - Self-direction.
 - Capacity for independent living.
 - Economic self-sufficiency; and
 - reflects the individual's need for a combination and sequence of special, interdisciplinary, or generic services, individualized supports, or other forms of assistance that are of lifelong or extended duration and are individually planned and coordinated.
 - an individual from birth to age 9, inclusive, who has a substantial developmental delay or specific congenital or acquired condition, may be considered to have a developmental disability without meeting 3 or more of the criteria described in clauses (i) through (v) of subparagraph (A) if the individual, without services and supports, has a high probability of meeting those criteria later in life.

Federal funds awarded by the Council may address the needs of persons with developmental disabilities as defined in State law. North Carolina General Statute (NCGS) 122C-3, which defines a developmental disability as a severe, chronic disability of a person which:

- is attributable to a mental or physical impairment or combination of mental and physical impairments;
- is manifested before the person attains age twenty-two, unless the disability is caused by traumatic head injury and is manifested after age twenty-two;
- is likely to continue indefinitely;
- results in substantial functional limitations in three or more of the following areas of major life activity:
 - Self-care,
 - Receptive and expressive language,
 - Capacity for independent living,
 - Learning,
 - Self-direction,
 - Economic self-sufficiency;
 - Mobility

- reflects the person's need for a combination and sequence of special interdisciplinary or generic care, treatment, or other services which are of a lifelong or extended duration and are individually planned and coordinated; or
- When applied to children from birth through four years of age, may be evidenced as developmental delay.

II. Applications may originate from public, for profit, or not-for-profit (501)(c)(3) agencies or organizations.

III. The following funding ratios must be applied to all applications:

Funding Period	Non-Poverty County	Poverty County
1st	75% Fed, 25% Local	90% Fed, 10% Local
2nd	60% Fed, 40% Local	75% Fed, 25% Local
3rd	50% Fed, 50% Local	60% Fed, 40% Local

Designated Poverty Counties*

(CFR 1385.2a.30)

Alleghany	Duplin	Jones	Pitt	Washington
Ashe	Edgecombe	Lenoir	Robeson	Watauga
Beaufort	Graham	Madison	Sampson	Wilson
Bertie	Greene	Martin	Scotland	Yancey
Bladen	Halifax	Northampton	Swain	
Cherokee	Hertford	Pamlico	Tyrrell	
Clay	Hoke	Pasquotank	Vance	
Columbus	Hyde	Perquimans	Warren	

* Subject to change

THE HEADQUARTERS OF THE APPLICANT AGENCY/ORGANIZATION MUST BE LOCATED IN A DESIGNATED POVERTY COUNTY TO QUALIFY FOR THE REDUCED COUNTY FUNDING.

North Carolina Council on Developmental Disabilities (NCCDD)

GENERAL INSTRUCTIONS

Responses to Request for Applications (RFA) require an original and six (6) complete copies of the application and must be received in the office of the NC Council on Developmental Disabilities (NCCDD) on or before 5:00 p.m. on **the date specified in the RFA**. Each copy of the application must be typed on 8 1/2" x 11" paper, not less than double spaced, not less than a twelve (12) font size, stapled in the upper left-hand corner, and **not** enclosed in a binder or cover. Applicants who mail their applications are advised to send them via an overnight courier to ensure that the NCCDD receives them by the prescribed deadline. The NCCDD cannot take responsibility for applications that are late due to a delay on the part of the US Postal Service or other agent of delivery, regardless of when the application is postmarked or sent. Any application that arrives after the deadline will be unconditionally refused. If acknowledgment of receipt is desired, please include a self-addressed, stamped envelope.

Responses to Notice of Grant Awards (NGA) for sole source or continuation funding require an original and one (1) complete copy of the application and must be received in the office of the NCCDD by the date specified in the NGA.

A person authorized to legally bind the applicant organization must sign all applications.

Organization of the Application. All applications must be organized in the format detailed below. Applicants who respond to more than one (1) RFA objective, when more than one is advertised, are required to submit a separate application for each RFA objective. All information relevant to the applicant's ability to satisfy the requirements of the RFA should be presented in the order outlined below:

1. **Project Profile** (Must be signed by authorized official) (**Form A**)
2. **Project Abstract and Narrative (Form B)**
 - a. Statement of need
 - b. Description of the target population
 - c. Methodology: Narrative description of project goals, objectives, and activities to implement the RFA intent
 - d. Description of the impact of proposed project
 - e. Project staffing requirements (include description of duties of each position)
 - f. Organizational structure for project, as applicable (for example, supervision, reporting structure)
 - g. Plan for dissemination of any materials developed by project
 - h. Post-project activities (include discussion of options or plans to obtain continued funding)
3. **Proposed Action Plan for NCCDD Project (Form C)**

The Action Plan should specify outcomes that are expected as a result of activities of this project with timelines confined to the duration of the period for which the project is funded as specified in the Performance Agreement.
4. **Evaluation Strategy (Form not included)**
 - a. Plan for evaluating activities and outcomes of the project
 - i. Description of process for gathering information
 - ii. Description of process for analyzing information
 - b. Identification of individual(s) conducting and/or participating in evaluation
 - c. Plan for utilizing and communicating evaluation results
5. **Budget Summary** (Must be signed by authorized official) (**Form D**)

The Budget Summary is intended to provide a fiscal description of the resources needed to achieve the outcomes described in the Narrative and the Action Plan. An attachment page is required that explains how the figures in each line item were determined.

6. **Applicant Qualifications (Form not included)**
 - a. Applicant background (for example, organization's mission, history, and capacity)
 - b. Experience relevant to undertaking project
 - c. Organizational structure of the applicant organization
7. **Assurances for Project Application** (Must be signed by authorized official) (**Form E**)
8. **Conflict of Interest Policy Statement (Sample Form included)** that is signed, dated, and notarized. The statement should reflect the policy of the applicant agency.
9. **Not-for-Profit Organizations** must include current documentation of their non-profit status (501(c)3).
10. **Notice of Certain Reporting and Audit Requirements (Attachment F)** must include grantee/applicant fiscal year – **not** the year of the grant award.
11. **Endorsements and Letters of Support** indicating coordination/collaboration with community in this activity and/or other activities (Year 1 only - Form not included)

Miscellaneous Instructions

1. Applicants may not address more than one objective in a single application.
2. The NCCDD reserves the right to request clarification of any application.
3. Additional material, not requested in the application packet, should not be submitted with the application. Materials included, but not requested will be separated and discarded.
4. Any direct services provided to individuals with developmental disabilities will be provided in an individualized manner, consistent with the unique strengths, resources, priorities, concerns, abilities, and capabilities of the individual.
5. Grants are contingent on the availability of funds.
6. The NCCDD reserves the right to withhold awards for any objective.
7. Inquiries and applications should be addressed to:

NC Council on Developmental Disabilities
3801 Lake Boone Trail, Suite 250
Raleigh, North Carolina 27607
Telephone: (919) 420-7901 (voice or TDD) or Toll-Free 1-800-357-6916
Council Web Site: <http://nccdd.org/>

Request for Application (RFA) Review Process

1. **Initial Screening:** A first level of screening will be conducted to eliminate applications that are incomplete or unacceptable for the following reasons:
 - (a) Late submission
 - (b) Ineligible applicant
 - (c) Application does not meet instruction specifications
 - (d) Application is not within the intent of the objective

2. **Second Screening:** Review Panels, composed of Council members and members of the public who are knowledgeable of developmental disability issues and the content of the RFA, will determine the merit of each application which is qualified through the initial screening process. Review of the applications will include written comments, numerical rankings, and group discussion. Recommendations for funding from the Review Panels will be compiled and presented to the appropriate Base Committee of the Council. The Executive Committee will review selection to ensure conformity to the process and to funding priorities.

3. **Notification of Grant Awards:** The Council will receive the recommendations of the Review Panels. Applicants will be notified of the decision of the Council following a regularly scheduled Council meeting. Subsequent to the selection and approval of grantees, written feedback will be provided to all applicants upon request.

North Carolina Council on Developmental Disabilities (NCCDD)

PROJECT PROFILE

RFA # / Title of Project:

APPLICANT AGENCY	NAME:
	ADDRESS:
	CITY, STATE, ZIP CODE:
	TYPE OF AGENCY OR ORGANIZATION: <input type="checkbox"/> State <input type="checkbox"/> Private non-profit <input type="checkbox"/> Other/Public
	COUNTY HEADQUARTER: <input type="checkbox"/> Poverty County <input type="checkbox"/> Non-poverty County <i>(See list of Designated Poverty Counties on page 7 of Application)</i>
	APPLICANT AGENCY FISCAL YEAR: Begin ___/___/___ End ___/___/___

AUTHORIZED OFFICIAL (OF APPLICANT AGENCY)	NAME:
	TITLE:
	EMAIL ADDRESS:
	TELEPHONE: () FAX: ()
	SIGNATURE:

IMPLEMENTING AGENCY (IF DIFFERENT FROM APPLICANT AGENCY)	NAME:
	ADDRESS:
	CITY, STATE, ZIP CODE:
	CONTACT PERSON:
	EMAIL ADDRESS:
	TELEPHONE: () FAX: ()
IMPLEMENTING AGENCY FISCAL YEAR: Begin: ___/___/___ End: ___/___/___	

PROJECT DIRECTOR	NAME:
	ADDRESS:
	CITY, STATE, ZIP CODE:
	EMAIL ADDRESS:
	TELEPHONE: () FAX: ()

MINIMUM & ACTUAL FINANCIAL INFORMATION AT A GLANCE

YEAR of	NCCDD SHARE %	MATCHING SHARE		TOTAL BUDGET	Actual Proposed	NCCDD SHARE %	MATCHING SHARE		TOTAL BUDGET
		CASH	IN-KIND				CASH	IN-KIND	
Required Minimum									

Project Start Date: ___/___/___ **Project End Date:** ___/___/___

North Carolina Council on Developmental Disabilities (NCCDD)

PROJECT ABSTRACT AND NARRATIVE

Project Abstract and Narrative: In an initial paragraph (100 words or less) provide an abstract (summary) of the project you propose. In the remainder of the eight (8) pages or less (double-spaced, 12 font size, front only, no reductions), detail what you propose to accomplish throughout this grant. Your narrative should include the following: statement of need, description of the target population, methodology, impact and expected outcomes of the proposed project, project staffing requirements, organizational structure for the project, plan for dissemination of any project materials, and post-project activities. *(When applying for project continuation funding, this section should be modified to describe the progress of the project during the previous Performance Agreement and expected outcomes for the next Performance Agreement.)*

Applicants are encouraged to use "people first" language in all written materials, including your work plan. For further information, please request the NCCDD publication, "People First."

North Carolina Council on Developmental Disabilities (NCCDD)

PROPOSED ACTION PLAN FOR NCCDD PROJECT

Expected Outcome of Project Activities Listed Below: _____

Contact Person: _____ Telephone Number: _____

Project Activities Leading to Outcome Above	Responsible Person	Timeline

North Carolina Council on Developmental Disabilities (NCCDD)

PROPOSED ACTION PLAN FOR NCCDD PROJECT

Expected Outcome of Project Activities Listed Below: Grantee will identify and secure funding for the continuation of this project after Council funding has ended.

Contact Person: Ms. A. Jones (Project Director) Phone Number: (123) 555-1234

Project Activities Leading to Outcome Above	Responsible Person	Timeline
1. Establish work group to coordinate continuation funding	Ms. A. Jones	1/1/03
2. Work group will develop a plan of action to secure future funding	Ms. A. Jones	7/1/03
3. Work group and Project Director will monitor progress of plan monthly	Ms. A. Jones	8/1/03
4. The plan will be evaluated at least annually and modified for improved effectiveness	Ms. A. Jones	9/1/03
5. Activities, successes, barriers of the work group will be reported to the grantor in the Quarterly Report	Ms. A. Jones	4/15/03

North Carolina Council on Developmental Disabilities

**NORTH CAROLINA COUNCIL ON DEVELOPMENTAL DISABILITIES (NCCDD)
BUDGET SUMMARY**

PROJECT TITLE:
APPLICANT AGENCY:
ANNUAL BUDGET: Please fill in dollar amounts in the budget categories below. TOTAL PROGRAM COST must equal the sum of the MATCHING SHARE (cash and/or in-kind) plus the NCCDD FUNDS REQUIRED.

BUDGET CATEGORY	BUDGET			
	NCCDD FUNDS REQUIRED	MATCH		TOTAL PROGRAM COST
		CASH	IN-KIND	
SALARIES				\$0.00
FRINGE BENEFITS				\$0.00
SUPPLIES				\$0.00
STAFF TRAVEL				\$0.00
COST OF SPACE				\$0.00
EQUIPMENT				\$0.00
CONTRACTED SERVICES				\$0.00
OTHER				\$0.00
INDIRECT COST				\$0.00
TOTAL	\$0.00	\$0.00	\$0.00	\$0.00
REMARKS:				

CERTIFICATION BY OFFICIAL AUTHORIZED TO MAKE COMMITMENT

It is understood that Non-Federal Resources identified in this budget will be used to match only NC Council on Developmental Disabilities' Federal Funds, and will not be used to match any other Federal Funds during the period of the NCCDD funded Project.

NAME & TITLE	DATE
SIGNATURE	

**NORTH CAROLINA COUNCIL ON DEVELOPMENTAL DISABILITIES (NCCDD)
BUDGET SUMMARY NARRATIVE**

BUDGET				
POSITION/DESCRIPTION	NCCDD FUNDS REQUIRED	MATCHING SHARE		TOTAL PROGRAM COST
		CASH	IN-KIND	
SALARIES				
				\$0.00
				\$0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00	\$0.00
FRINGE BENEFITS				
				\$0.00
				\$0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00	\$0.00
SUPPLIES				
				\$0.00
				\$0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00	\$0.00
STAFF TRAVEL				
				\$0.00
				\$0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00	\$0.00
COST OF SPACE				
				\$0.00
				\$0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00	\$0.00
EQUIPMENT				
				\$0.00
				\$0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00	\$0.00
CONTRACTED SERVICES				
				\$0.00
				\$0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00	\$0.00
OTHER				
				\$0.00
				\$0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00	\$0.00
INDIRECT COST				
				\$0.00
				\$0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00	\$0.00
TOTAL	\$0.00	\$0.00	\$0.00	\$0.00

Note:

A brief narrative description on each of the budget categories shown above are located in the Grant Application General Instructions Section III under Budget Information.

BUDGET INFORMATION

All costs to be reimbursed by federal funds must be used for the conduct of the project. The following list is a summary of costs considered "allowable," but is not all inclusive. Exclusion of an item from this list does not necessarily mean it is unallowable.

Budget categories may include:

Salaries	Fringe Benefits	Supplies
Staff Travel	Cost of Space	Equipment
Contracted Services	Other	Indirect Costs

- **Salaries**

Salaries for all staff hired by the applicant organization to work specifically on the project. This may include professional staff, interns, paraprofessionals, and/or part-time/hourly employees. (See Assurances, Items 17, 18, 19 and 20)

- **Fringe Benefits**

Fringe Benefits for staff working on the project may include FICA, Unemployment, Worker's Compensation, Health Insurance and/or Retirement Benefits.

- **Supplies**

Supplies may include consumable items that are essential to the program. Examples of allowable supplies include office supplies, computer supplies, medical supplies, subscriptions, directories and/or journals.

- **Staff Travel**

Travel costs of staff identified in the budget that is deemed reasonable and necessary to conduct project activities. Examples of staff travel include transporting consumers, staff mileage relating to project operation, room, board, air fare, conference registration fees and meals.

- **Cost of Space**

Cost of Space may include rent or lease of office space (including utilities), and meeting or conference space to be used specifically for the project.

- **Equipment**

Equipment is defined as non-expendable items with a value exceeding \$500.00. This may include new or updated equipment, rental equipment or leased equipment essential to the program. Examples of allowable equipment include tools, office equipment, computers and computer software.

- **Contracted Services**

Contracted Services may include essential services which cannot be met by other grant personnel which specifically relate to the work of the project. Examples of contracted services include consultants, photocopy services, fiscal and/or auditing services. The Council must provide approval prior to grantee entering into any contracts.

- **Other Services**

Other Services may include consumer stipends, reproduction/printing, cleaning/janitorial services, telephone or any other service which does not fit into another category.

- **Indirect Costs**

Indirect cost rates negotiated with the Department of Health and Human Services Regional comptroller or other similar federal agency may be used to compute allowable indirect costs. Expenditures included as indirect costs may *not* be duplicated elsewhere in the budget. A copy of the Negotiation Agreement must be included with the grant application. Indirect/overhead costs may not exceed 15% of the total project cost or \$20,000, whichever is less.

ASSURANCES

THE APPLICANT AGREES:

1. That it possesses legal authority to apply for the grant and to finalize the proposed project; that a resolution, motion, or similar action supporting the proposed project has been adopted or passed as an official act of the application; and that it will provide such additional information as may be required.
2. To provide services as specified in this grant application in accordance with the provisions of the "Developmental Disabilities Assistance and Bill of Rights Act of 2000," P.L. 106-402, and with all regulations promulgated under the act.
3. To furnish information to the NCCDD as required to support the full cost of service(s) as described in the grant application.
4. To comply with all applicable state licensing standards, all applicable accrediting standards, and any other standards or criteria established by state or federal law to assure quality of service(s).
5. To accept responsibility for adherence to sound fiscal and administrative procedures.
6. That the use or disclosure of consumer information obtained in connection with the administration of the project is restricted to purposes directly connected with the administration of developmental disabilities funds.
7. That any direct services provided to individuals with a developmental disability through the project will be provided in an individual manner consistent with unique strengths, resources, priorities, concerns, abilities and capabilities of the individual.
8. To use "people first" language, as described in the NCCDD publication of the same name, when communicating with, writing about, and referring to persons with disabilities in the conduct and administration of developmental disabilities funds.
9. To comply with all state and federal rules, regulations, and policies protecting the human rights of people with developmental disabilities and, specifically, to avoid or discontinue the use of aversive therapies and procedures to modify the behavior of people with developmental disabilities.
10. Services and facilities furnished for people with developmental disabilities are in accordance with all applicable standards prescribed by federal and state laws and regulations.
11. That, at all times during the term of the grant, the grantee will indemnify and hold harmless, to the extent allowable by law, the NCCDD and the Department of Health and Human Services (DHHS) against liability, loss, damage, costs or expenses to pay by reason of any consumer's

suffering, personal injury, death, or property loss or damage while participating in or receiving from the grantee services to be furnished by the grantee under the terms of the Performance Agreement or while on premises owned, leased or operated by the grantee, or while being transported to or from the premises in any vehicle owned, operated, leased, chartered or otherwise contracted for by the grantee; or any employee who is furnishing services called for under the terms of the grant, provided, however, that the provisions of the paragraph shall not apply to liabilities caused by or resulting from the acts of the NCCDD or any of its officers, members, employees, agents or representatives.

12. To comply with Title VII of the Civil Rights Act of 1964 and all regulations promulgated under the act.

13. To comply with all applicable provisions of the Americans with Disabilities Act (ADA) and all applicable regulations promulgated under the act.

14. To the development and implementation of an affirmative action plan.

15. To employ and advance in employment qualified persons with disabilities.

16. To comply with the Rehabilitation Act of 1992 and all applicable regulations promulgated under the act.

17. To maintain time records for all salaried staff who work less than 100% of their time in the program.

18. That no project employee or volunteer, without providing justification in writing to the NCCDD, may utilize a percentage of his/her time for match or to procure federal funds, which percentage of time is incompatible with commitments to other endeavors, paid or volunteer, which occur during the time period that person is obligated to the Council project.

19. That any employee, officer, or director of such agency cannot participate on any review committee of the NCCDD voting on its own application, and that any employee, officer, or director of such agency making an appeal to the NCCDD cannot participate in the review of that appeal.

20. That any employee, officer, or director of such agency shall avoid using his or her position for private gain, giving preferential treatment to any person, or affecting adversely the confidence of the public in the integrity of such agency and/or the NCCDD.

21. That the project will maximize the use of all community resources, including volunteers and appropriate voluntary organizations.

22. To comply, if a state agency, with the DHHS Drug-Free Workplace Act requirements.

23. That ownership of all property and equipment purchased with NCCDD funds shall remain with the NCCDD.

24. To maintain and administer, in accordance with sound business practices, a program for the maintenance, repair, protection and preservation of all property and equipment purchased with NCCDD funds that is associated with project activities, to assure its continued availability.

25. To obtain prior written approval from the NCCDD before subcontracting any work contemplated. Grantees are encouraged to use qualified minority firms where possible. Any approved subcontracts shall be subject to all conditions of these assurances.

26. To submit to the NCCDD programmatic and fiscal reports as required and in the manner described by the NCCDD.

27. To maintain program and fiscal reports required by the NCCDD and agrees that a program, facilities and/or fiscal review may be conducted by state and/or federal personnel and other persons authorized by the NCCDD.

28. To conduct an external audit, annually, in accordance with standards published in U. S. Office of Management and Budget Circulars, A-102 (for Government Grantees), and A-133 (for Private-Nonprofit and Institutions of Higher Education Grantees), and/or budget circulars that may supersede these, and to submit one (1) copy for each funding period to the NCCDD. (See Item 5.7 of the Performance Agreement).

29. To maintain books, records, documents and other evidence and accounting procedures which reflect all direct and indirect costs expended under the terms of the grant; to maintain a current, complete inventory of all equipment purchased under the terms of the grant; to allow these records to be inspected, reviewed and/or audited by state and federal personnel and other personnel duly authorized by the NCCDD.

30. Access to Persons and Records:

The State Auditor shall have access to persons and records as a result of all contracts or grants entered into by State agencies or political subdivisions in accordance with General Statute 147-64.7. Additionally, as the State funding authority, the NC DHHS shall have access to persons and records as a result of all contracts or grants entered into by State agencies or political subdivisions.

The DHHS basic records retention policy requires all records to be retained for a minimum of three years following completion or termination of the contract. If the contract is subject to Federal policy and regulations (applicable for all NCCDD contracts and Performance Agreements), record retention will normally be longer than three years since records must be retained for a period of three years following submission of the final Federal Financial Status Report, if applicable, or three years following the submission of a revised final Federal Financial Status Report. Also, if any litigation, claim, negotiation, audit, disallowance action, or other action involving this contract has been started before expiration of the three year retention period described above, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three year period described above, whichever is later. Therefore, records shall not be destroyed, purged or disposed of without the express written consent of the Division.

31. That the NCCDD may duplicate, use and disclose all data delivered under the terms of this grant within the boundaries of regulations pertaining to confidentiality of consumer information; that the NCCDD has a royalty-free, non-exclusive and irrevocable license to publish, translate, reproduce, deliver, perform, dispose of all data, and to authorize others to do so, now or hereafter covered by copyright; provided that with respect to data not originated in the performance of this grant, such license shall be only to the extent that the grantee has the right to grant such license without becoming liable to pay compensation to others because of such grant.
32. That the publication of manuals and/or brochures will be reviewed by and receive prior approval from the NCCDD before the printing and distribution of such material.
33. That all reports, studies, statements, press releases, requests for applications, bid solicitations, or other documents made as the result of this project will acknowledge the support provided by the NCCDD, and will state the percentage and dollar amount of federal and non-federal resources associated with the project. (The following is an example for a grantee funded at a 25%-75% ratio: "This project is supported at 25% (\$XX.XX) by name of your agency and at 75% (\$XX.XX) by the North Carolina Council on Developmental Disabilities and the funds it receives through P.L. 106-402, the Developmental Disabilities Assistance and Bill of Rights Act of 2000.")
34. To certify that the NCCDD funds used for this project do not replace or supplant, in any way, non-federal funds for already existing services.
35. To certify that the NCCDD funds are not used for activities that the grantee is already mandated by law to provide.
36. To participate in program, fiscal and administrative monitoring, and to make records and staff time available to the NCCDD.
37. To participate in an evaluation conducted by the NCCDD, or an evaluation conducted by a third party in coordination with the NCCDD, to evaluate the impact of the project.
38. That this project, in whole or in part, may be canceled at any time by the NCCDD in the event funding to the Council from federal sources is not available and/or is not continued at an aggregate level sufficient to allow for the purchase of the indicated quantity of service(s), by mutual consent of both parties, or by either party with cause, upon thirty (30) days notice, in writing and delivered by registered mail with return receipt requested.
39. That in the event of termination in part, both parties shall continue the performance of this agreement to the extent not terminated.
40. That if this project is terminated, the NCCDD may require the grantee to deliver and transfer title or assignment of interest in any property secured through use of NCCDD funds to the NCCDD; dispose of any property specifically produced or acquired through use of NCCDD funds for the performance of such part of this agreement as has been terminated in accordance with instructions from the NCCDD; and protect and preserve property in the possession of the grantee in which the NCCDD has an interest.

41. That after receipt of a notice of termination and except as otherwise directed by the NCCDD, the grantee shall cease work under the agreement on the date, and to the extent specified, in the notice of termination; that the NCCDD shall pay the grantee the agreed upon amount for the delivery of services under the terms of the grant up to the effective date of termination; and that payment shall not be made for property or excessive supplies purchased after the notice of termination is received, except as approved by the NCCDD.

42. That if the grant is terminated as described above, the grantee will pay back any NCCDD funds received, less the amount expended or encumbered for services provided up to the time of termination.

43. That it is expressly understood and agreed that the services provided by this project for which funds have been received from the NCCDD, or for which funds have been designated as match for funds received from the NCCDD, shall consist exclusively of those services specified in the grant application.

44. That payment of NCCDD funds to the grantee will be made monthly with total compensation not to exceed the total federal share awarded to the project, and that payment will be based on approval by the NCCDD of monthly expense reports and quarterly program reports submitted by the grantee. Requests for payment of NCCDD funds to the grantee will be made on the basis of one of the following requests submitted by the project and approved by the Council:

- (A) Requests for reimbursement to the project of actual expenditures incurred by the project during the reporting period, or
- (B) Requests for advancement of funds to the project based on estimated costs if the grantee is not a North Carolina State governmental agency, institution, or department.

45. To comply with non-federal matching requirements in its first and/or second and/or third funding period (if a second and/or third funding period is warranted) using the following percentages:

Funding Period	Non-Poverty County	Poverty County
1st	75% Fed, 25% Local	90% Fed, 10% Local
2nd	60% Fed, 40% Local	75% Fed, 25% Local
3rd	50% Fed, 50% Local	60% Fed, 40% Local

46. That any project which may acquire program income as a result of the grant must be accountable for this income. Program income may include, but will not be limited to, income from service fees, sale of commodities, use of rental fees, sale of assets purchased with grant funds, and royalties on patents and copyrights.

(1) Program income may be deducted from total project costs. Under this alternative, the recipient must use the income to reduce the amount of federal and other funds needed to pay the allowable costs of the project.

(2) Program income may be used for costs that count toward satisfying a cost-sharing or matching requirement. The income, when received, must be used to provide the cost-sharing or matching before grant funds are used.

(3) Program income may be used for costs that further the objectives of the statute under which the grant is made, but which are not part of the project budget. *This method is currently the method required by the NCCDD. Income used in this fashion is not deducted from the total project costs when completing the "Request for Reimbursement" forms.*

47. That the NCCDD will not be responsible for reimbursement of pre-award expenses.

48. That the NCCDD may, from time to time, require changes in the scope of the services of the project to be performed under this grant application. Such changes, including any increase or decrease in the amount of the grantee's compensation, which are mutually agreed upon by and between the grantee and the NCCDD, shall be incorporated in written amendments to the grant application and Performance Agreement after being approved by the NCCDD.

49. That the grantee shall not change the scope of the services specified in the approved grant application without the prior written approval from the NCCDD.

50. That it is further understood and agreed that the provision of services pursuant to this grant shall be subject to the limitations, guidelines, and plans cited in the grant application.

51. To abide by the conditions of the Certification Regarding Lobbying as follows:

(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 an agency, a Member of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, 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 the federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification for Assurances #1 through #50 is a material representation of fact upon which reliance was placed when this agreement was made or entered into. Submission of this certification is a prerequisite for making or entering into this agreement.

This certification for Assurance #51 (Lobbying), 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 and not more than \$100,000 for each such failure.

Certifying Organization (Please Print)

Certifying Signature

Title

Date

CONFLICT OF INTEREST POLICY

In accordance with G.S. 143C-6-23 and related legislation, I, the undersigned entity, have adopted the following policy regarding conflicts of interest.

The undersigned entity is aware that in the process of fund allocation by its management, employees, members of the board of directors or other governing body, instances may arise which have the appearance of a conflict of interest or appearance of impropriety.

In order to avoid conflicts of interest or the appearance of impropriety, should instances arise where a conflict may be perceived, any individual who may benefit, directly or indirectly, from the entity's disbursement of funds shall abstain from participating in any decisions or deliberation by the entity regarding the disbursement of funds.

The undersigned entity recognizes the possibility that it may be the recipient of funds which are allocated consistent with the purpose and goals of its programs. If such allocations are made, the undersigned entity will strive to ensure that funds are expended in such a manner that no individual will benefit, directly or indirectly from the expenditure of such funds in a manner inconsistent with its programs.

Name of Entity

Chairman, Executive Director, or
Other Authorized Official

Sworn to and subscribed before me,

This the _____ day of _____, _____

Notary Public

My Commission expires:_____

NON PROFIT STATUS DOCUMENTATION

Organizations applying for NCCDD funds that are designated as non-profit, or not-for-profit organizations must provide documentation of their non-profit status with the grant application. Please include a copy of the applicant organization's current 501(c)3 status.

Attachment F
Notice of Certain Reporting and Audit Requirements

Grantee shall comply with all rules and reporting requirements established by statute or administrative rules. All reports must be submitted to the addresses below.

The applicable prescribed requirements are found in the Office of the State Auditor's Audit Advisory #ADV-2005-001, North Carolina General Statute 143C-6-22 & 23 entitled "Use of State Funds by Non-State Entities" and Implementation of Required Rules, 09 NCAC 03M .0102 -0802, North Carolina Administrative Code, issued September 2005. The Office of State Auditor's Audit Advisory #ADV-2005-001, additional policy statements, access to the Grants Information Center and forms are available on the State Auditor's Internet web site at www.ncauditor.net. From the home page select "Grants". Select the "Regulations" tab for the standards and the "Forms" tab to download forms as needed.

The Contractor's fiscal year runs from _____ to _____.

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 your 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

A grantee's reporting date is determined by its fiscal year end and the total funding received directly from all State agencies. For those grantees receiving less than \$500,000, the due date is 6 months from its fiscal year end. For those receiving \$500,000 or more, the due date is 9 months from its fiscal year end. In addition to the reports, grantees receiving \$500,000 or more must submit a yellow book audit in electronic or hard copy to the Office of the State Auditor and to all funding State agencies at the addresses below.

All annual grantee reports required by G.S. 143C-6-23 must be entered online in the Grants Information Center. The GIC will automatically place your organization on the Noncompliance list if your reports have not been entered into the GIC by your required due date.

To access the GIC go to www.ncauditor.net and click on the GIC icon located under the Grants button at the top of the page. You must set up a NCID and password to access GIC. For questions about your NCID and password, contact Cheryl_Baggett-Pounds@ncauditor.net

Once you have logged in you will see your "Grantee Summary / Data Entry Screen".

- Your summary screen will identify your correct level of reporting, i.e., Level 1, 2 or 3, based on the State grant funds paid to your organization during your fiscal year.
- The summary will show all the grants contained in the GIC that have been awarded to your organization. The program will automatically provide links to the reports that correspond to your reporting level, and only those reports, for each grant. Check to make sure that the grant(s) shown in the system correspond with what you show as having received from each agency for your fiscal year.

- If you have questions, need help in resolving any differences between your records and GIC or need corrections to be made to the data you enter, send an e-mail to the OSA administrator and ask for help.

Any grantee that **does not have internet capabilities** may file a hard copy of the required reports. The Office of the State Auditor staff will enter the data for these grantees into the GIC. Go to www.ncauditor.net, "grants," "grants home", "forms" and download the forms. Grantees should send the hard copy reports and yellow book audits directly to:

Mail to: The Office of the State Auditor
 Attention: Grants Compliance Reporting
 20601 Mail Service Center
 Raleigh, NC 27699-0601

Or direct delivery to: 2 South Salisbury Street
 Raleigh, NC 27603

IMPORTANT NOTE FOR AUDITS

If you expend more than \$500,000 in Federal grant funds from all sources, then you must have an A-133 single audit performed. If you are at this level for federal reporting and you are required to file a yellow book audit with the State under G.S. 143C-6-23, then you may substitute the A-133 audit for the yellow book audit.

If you are required to have an A-133 audit performed and you receive any Federal grant funds passed through the North Carolina Department of Health and Human Services, you are required to file the A-133 audit with the North Carolina Department of Health and Human Service.

If you expend more than \$500,000 and you are required to file a yellow book audit with the State Auditor under G.S. 143C-6-23, then you are also required to file the yellow book audit with the North Carolina Department of Health and Human Service.

Please send the required audit to the following address:

Mail to: DHHS Office of the Controller
 Attention: Audit Resolution
 2019 Mail Service Center
 Raleigh, NC 27699-2019

Or direct delivery to: 1050 Umstead Drive
 Raleigh, NC 27606

Equipment Purchased with Contract Funds:

Title to equipment costing in excess of \$500.00 acquired by the Contractor with funds from this contract shall vest in the Contractor, subject to the following conditions.

- A. The Contractor shall use the equipment in the project or program for which it was acquired as long as needed. When equipment is no longer needed for the original project or program or if operations are discontinued, or at the termination of this contract the Contractor shall contact the Division for written instructions regarding disposition of equipment.
- B. With the prior written approval of the Division, the Contractor may use the equipment to be replaced as trade-in against replacement equipment or may sell said equipment and use the proceeds to offset the costs of replacement equipment.

- C. For equipment costing in excess of \$500.00, equipment controls and procedures shall include at a minimum the following:
1. Detailed equipment records shall be maintained which accurately include the:
 - a. Description and location of the equipment, serial number, acquisition date/cost, useful life and depreciation rate;
 - b. Source/percentage of funding for purchase and restrictions as to use or disposition; and
 - c. Disposition data, which includes date of disposal and sales price or method used to determine fair market value.
 2. Equipment shall be assigned a control number in the accounting records and shall be tagged individually with a permanent identification number.
 3. Biennially, a physical inventory of equipment shall be taken and results compared to accounting and fixed asset records. Any discrepancy shall immediately be brought to the attention of management and the governing board.
 4. A control system shall be in place to ensure adequate safeguards to prevent loss, damage, or theft of equipment and shall provide for full documentation and investigation of any loss or theft.
 5. Adequate maintenance procedures shall be implemented to ensure that equipment is maintained in good condition.
 6. Procedures shall be implemented which ensure that adequate insurance coverage is maintained on all equipment. A review of coverage amounts shall be conducted on a periodic basis, preferably at least annually.
- D. The Contractor shall ensure all subcontractors are notified of their responsibility to comply with the equipment conditions specified in this section.